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APPLICATION NUMBER	PATENT NUMBER	GROUP ART UNIT	REQUEST ID
16/194,944	11080758	2656	145702

PAIR Correspondence Address/Fee Address Change

The following fields have been changed to Customer Number 00197 on 08/17/2021 via Private PAIR in view of the certification copied below that authorized the change.

- Maintenance Fee Address

The address for Customer Number 00197 is:
00197
CPA GLOBAL LIMITED
2318 Mill Road 12th Floor
ALEXANDRIA, VA 22314

I certify, in accordance with 37 CFR 1.4(d)(4) that I am:

An attorney or Agent of Record registered to practice before the Patent and Trademark Office who has been given power of attorney in this application

Signature:	/James G. Gatto/
Name:	James G. Gatto
Registration Number:	32694

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APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	08/03/2021	11080758	62KC-287092	1070

133759 7590 07/14/2021

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

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):

Tom FREEMAN, Mercer Island, WA;
VB Assets, LLC, Bellevue, WA;
Mike KENNEWICK, Bellevue, 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.

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Timothy P. Cremen/Susan Trader
Attorney Docket Number:	62KC-287092

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:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
UTILITY APPL ISSUE FEE	1501	1	1200	1200

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Miscellaneous:				
			Total in USD ($)	**1200**

Electronic Acknowledgement Receipt	
EFS ID:	43122780
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/ OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Susan Trader
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	29-JUN-2021
Filing Date:	19-NOV-2018
Time Stamp:	15:59:19
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$1200
RAM confirmation Number	E20216SF59470788
Deposit Account	504561
Authorized User	Susan Trader
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: 37 CFR 1.19 (Document supply fees) 37 CFR 1.20 (Post Issuance fees)	

37 CFR 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Issue Fee Payment (PTO-85B)	62KC-287092_Issue_Fee.pdf	150645 db116ef86bb7ea1830c5db5574e84501bcb28246	no	1
Warnings:					
Information:					
2	Miscellaneous Incoming Letter	62KC-287092_Comments_on_Statement_of_Reasons_for_Allowance.pdf	187092 ede39571e1df8cf81300265201f3484c9e5b51a2	no	4
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30510 a6182ed9d6a5da38a86a409fb86be78b4316a0eb	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	368247		

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

New Applications Under 35 U.S.C. 111
If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.
National Stage of an International Application under 35 U.S.C. 371
If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.
New International Application Filed with the USPTO as a Receiving Office
If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), by mail or fax, or via EFS-Web.

By mail, send to: Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

By fax, send to: (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)

133759 7590 03/31/2021
Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

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 transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

(Typed or printed name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

TITLE OF INVENTION: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	UNDISCOUNTED	$1200	$0.00	$0.00	$1200	06/30/2021

EXAMINER	ART UNIT	CLASS-SUBCLASS
ALBERTALLI, BRIAN LOUIS	2656	705-014660

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 03-09 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 Sheppard Mullin Richter & Hampton 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 must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE: VB Assets, LLC

(B) RESIDENCE: (CITY and STATE OR COUNTRY): 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. Fees submitted: ■ Issue Fee ☐ Publication Fee (if required) ☐ Advance Order - # of Copies _____

4b. Method of Payment: *(Please first reapply any previously paid fee shown above)*

■ Electronic Payment via EFS-Web ☐ Enclosed check ☐ Non-electronic payment by credit card (Attach form PTO-2038)

■ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. 504561

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

Authorized Signature /Timothy P. Cremen/ Date June 29, 2021

Typed or printed name Timothy P. Cremen Registration No. 50,855

PTOL-85 Part B (08-18) Approved for use through 01/31/2020 OMB 0651-0033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Amazon/VB Assets
Exhibit 1003
Page 7

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Tom FREEMAN *et al.*	CONFIRMATION NO. :	1070
SERIAL NUMBER :	16/194,944	EXAMINER :	Brian Louis Albertalli
FILING DATE :	November 19, 2018	ART UNIT :	2656
FOR :	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASE ON ADVERTISEMENTS		

COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE

MAIL STOP ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Submitted: June 29, 2021

Dear Sir:

In response to the Reasons for Allowance provided in the Notice of Allowance mailed March 31, 2021, and prior to payment of the Issue Fee, Applicant submits the **Remarks** beginning on page 2 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 therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 504561 (**Ref. No. 62KC-287092**).

REMARKS

In response to the Examiner's Statement of Reasons for Allowance in the Notice of Allowability mailed on March 31, 2021, the Applicant respectfully submits the following comments.

In the Statement of Reasons for Allowance, the Examiner states:

> The amendments to claims 7 and 17 overcome the 35 U.S.C. 112 rejections. The 35 U.S.C. rejections are therefore withdrawn.
>
> Regarding the prior art rejections, Applicant's arguments are persuasive. Specifically, as noted in Applicant's arguments, the claimed "context for the natural language utterance" is limited to a context that is determined "based on the recognized words or phrases". Levin discloses refining a user's natural language query by filtering the list of results according to a user-specified set of criteria, which could be considered as a type of "context" information used to interpret the user's query. However, Levin does not disclose or suggest to determine the context "based on the recognized words or phrases" recognized from a natural language utterance input to a speech recognition engine. In other words, Applicant's claimed invention determines the context from the recognized words or phrases recognized from a natural language utterance, while Levin discloses determining the context from information provided in addition to the natural language utterance.
>
> Levin and the additional prior art of record does not disclose or suggest, therefore, to determine a context for a natural language utterance based on the recognized words or phrases, then to utilize that context for a natural language utterance based on the recognized words or phrases to select a purchase opportunity, and further tracking an interaction pattern associated with the purchase opportunity, building or updating a user-specific profile based on the tracked interaction pattern, and interpreting a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity, where the purchase opportunity, user-specific profile, and subsequent

> interpretation are ultimately based on the determined context for a natural language utterance based on the recognized words or phrases.

In response to the Examiner's reasons for allowance in this application, Applicant respectfully submits that the subject matter of the allowed claims is patentable for at least the reasons expressed in Applicant's December 21, 2020 Amendment. To the extent the Examiner's comments incorrectly or incompletely summarize Applicant's previous arguments, particular as to what claim elements are or are not "limited to," Applicant reaffirms its previous arguments.

Moreover, Applicant respectfully submits that the claims are patentable for their respective recitations of claimed combinations as a whole, without any particular criticality or distinguishing feature being attributable to any one or more of such features, and without any narrowing interpretation being imposed on any of such features. As such, Applicant submits that no one element or limitation in particular should be deemed to impart to or be required for patentability of the claims.

Applicant also respectfully submits that the independent claims are all separately patentable from each other and are patentable for the subject matter specifically recited as a whole in each of those claims. Applicant also submits that the dependent claims are allowable for their dependence on the allowed independent claims and further for the additional subject matter recited in each of those dependent claims.

Applicant reserves the right to pursue at a later date any previously pending or other broader or narrower claims that capture any subject matter supported by the application's disclosure. Accordingly, reviewers of this or any child or related prosecution history shall not reasonably infer that the Applicant has made any disclaimers, disavowals, or abandonments of any subject matter supported by the present application, and any prior or alleged disclaimers, disavowals, or abandonments are hereby rescinded.

These comments are being filed concurrently with payment of the Issue Fee.

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By____/Timothy P. Cremen/__
Timothy P. Cremen
Registration No.: 50,855

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2338

Customer No.
133759

Dated: June 29, 2021

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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P.O. Box 1450
Alexandria, Virginia 22313-1450
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

133759 7590 06/28/2021

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	

ART UNIT	PAPER NUMBER
2656	

NOTIFICATION DATE	DELIVERY MODE
06/28/2021	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

Supplemental ***Notice of Allowability***	**Application No.** 16/194,944	**Applicant(s)** FREEMAN et al.	
	Examiner BRIAN L ALBERTALLI	**Art Unit** 2656	**AIA (FITF) Status** Yes

-- 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 11 June 2021.
   ☐ 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 _____ . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see **http://www.uspto.gov/patents/init_events/pph/index.jsp** or send an inquiry to **PPHfeedback@uspto.gov.**

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

   Certified copies:

   a) ☐ All b) ☐ Some *c) ☐ None of the:

   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____ .

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

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

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

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

Attachment(s)

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

/BRIAN L ALBERTALLI/
Primary Examiner, Art Unit 2656

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

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

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030216919		2003-11-20	ROUSHAR JOSEPH C	

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

FOREIGN PATENT DOCUMENTS Remove

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

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

NON-PATENT LITERATURE DOCUMENTS Remove

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1		

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

EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	06/23/2021

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

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2021-06-11
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

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

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

U.S.PATENT APPLICATION PUBLICATIONS Remove

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030216919		2003-11-20	ROUSHAR JOSEPH C	

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

FOREIGN PATENT DOCUMENTS Remove

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

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

NON-PATENT LITERATURE DOCUMENTS Remove

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1		

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

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2021-06-11
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

Privacy Act Statement

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

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

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

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

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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.

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

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Timothy P. Cremen/Susan Trader
Attorney Docket Number:	62KC-287092

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:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
SUBMISSION- INFORMATION DISCLOSURE STMT	1806	1	260	260
		Total in USD ($)		**260**

Electronic Acknowledgement Receipt	
EFS ID:	42968251
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/ OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Susan Trader
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	11-JUN-2021
Filing Date:	19-NOV-2018
Time Stamp:	16:24:01
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$260
RAM confirmation Number	E20216AG24143604
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	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	502440 712a946cb3be60b8da2455bb3fc31447a5a847a5	no	1
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053112 85c34384c65da2efa0df8e0e61a338500df96c23	no	4
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30550 1ceddd4f9b007e1c17f554a69b74e6e50a6abeb1	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	1586102		

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(d), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(c) and on or before payment of the issue fee.

CERTIFICATION STATEMENT

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

FEE

This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(d). Therefore, this Information Disclosure Statement is subject to the $260 (large entity) fee set forth in 37 CFR 1.17(p).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Timothy P. Cremen /	**Date**	2021-06-11
Name	Timothy P. Cremen	**Registration Number**	50,855

SyncIDS.com

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

133759 7590 03/31/2021
Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	
ART UNIT	PAPER NUMBER
2656	

DATE MAILED: 03/31/2021

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

TITLE OF INVENTION: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	UNDISCOUNTED	$1200	$0.00	$0.00	$1200	06/30/2021

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: Maintenance fees are due in utility patents issuing on applications filed on or after Dec. 12, 1980. It is patentee's responsibility to ensure timely payment of maintenance fees when due. More information is available at www.uspto.gov/PatentMaintenanceFees.

PTOL-85 (Rev. 02/11)

Amazon/VB Assets
Exhibit 1003
Page 27

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), by mail or fax, or via EFS-Web.

By mail, send to: Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

By fax, send to: (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)

133759 7590 03/31/2021
Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

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 transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

(Typed or printed name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

TITLE OF INVENTION: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	UNDISCOUNTED	$1200	$0.00	$0.00	$1200	06/30/2021

EXAMINER	ART UNIT	CLASS-SUBCLASS
ALBERTALLI, BRIAN LOUIS	2656	705-014660

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 03-09 or more recent) attached. **Use of a Customer Number is required.**

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

1 _____
2 _____
3 _____

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

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). 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. Fees submitted: ❑Issue Fee ❑Publication Fee (if required) ❑Advance Order - # of Copies _____

4b. Method of Payment: *(Please first reapply any previously paid fee shown above)*

❑ Electronic Payment via EFS-Web ❑ Enclosed check ❑ Non-electronic payment by credit card (Attach form PTO-2038)

❑ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. _____

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

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

Amazon/VB Assets
Exhibit 1003
Page 28

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.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

133759 7590 03/31/2021

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	
ART UNIT	**PAPER NUMBER**
2656	

DATE MAILED: 03/31/2021

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

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

PTOL-85 (Rev. 02/11)

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

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

The information collected by PTOL-85 Part B is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Privacy Act Statement

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

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

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

Notice of Allowability	Application No. 16/194,944	Applicant(s) FREEMAN et al.	
	Examiner BRIAN L ALBERTALLI	Art Unit 2656	AIA (FITF) Status Yes

-- 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 21 December 2020.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

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

3. ☑ The allowed claim(s) is/are 1-44 . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see **http://www.uspto.gov/patents/init_events/pph/index.jsp** or send an inquiry to **PPHfeedback@uspto.gov.**

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

   Certified copies:

   a) ☐ All b) ☐ Some *c) ☐ None of the:

   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____ .

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

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

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

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

Attachment(s)

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

/BRIAN L ALBERTALLI/
Primary Examiner, Art Unit 2656

Notice of Pre-AIA or AIA Status

The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

Allowable Subject Matter

Claims 1-44 are allowed.

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

The amendments to claims 7 and 17 overcome the 35 U.S.C. 112 rejections. The 35 U.S.C. rejections are therefore withdrawn.

Regarding the prior art rejections, Applicant's arguments are persuasive. Specifically, as noted in Applicant's arguments, the claimed "context for the natural language utterance" is limited to a context that is determined "based on the recognized words or phrases". Levin discloses refining a user's natural language query by filtering the list of results according to a user-specified set of criteria, which could be considered as a type of "context" information used to interpret the user's query. However, Levin does not disclose or suggest to determine the context "based on the recognized words or phrases" recognized from a natural language utterance input to a speech recognition engine. In other words, Applicant's claimed invention determines the context from the recognized words or phrases recognized from a natural language utterance, while Levin discloses determining the context from information provided *in addition to* the natural language utterance.

Levin and the additional prior art of record does not disclose or suggest, therefore, to determine a context for a natural language utterance based on the recognized words or phrases, then to utilize that context for a natural language utterance based on the recognized words or phrases to select a purchase opportunity, and further tracking an interaction pattern associated with the purchase opportunity, building or updating a user-specific profile based on the tracked interaction pattern, and interpreting a

subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity, where the purchase opportunity, user-specific profile, and subsequent interpretation are ultimately based on the determined context for a natural language utterance based on the recognized words or phrases.

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 BRIAN LOUIS ALBERTALLI whose telephone number is (571)272-7616. The examiner can normally be reached on W: 12-4, Th: 9-3, F: 9-3.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Bhavesh Mehta can be reached on 571-272-7453. 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 https://ppair-

my.uspto.gov/pair/PrivatePair. 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.

BLA 3/24/21

/BRIAN L ALBERTALLI/
Primary Examiner, Art Unit 2656

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

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

CLAIMS

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

CLAIM		DATE								
Final	Original	08/19/2019	01/14/2020	09/15/2020	03/24/2021					
1	1	✓	✓	✓	=					
2	2		✓	✓	=					
3	3		✓	✓	=					
4	4		✓	✓	=					
5	5		✓	✓	=					
6	6		✓	✓	=					
7	7		✓	✓	=					
8	8		✓	✓	=					
9	9		✓	✓	=					
10	10		✓	✓	=					
23	11		✓	✓	=					
24	12		✓	✓	=					
25	13		✓	✓	=					
26	14		✓	✓	=					
27	15		✓	✓	=					
28	16		✓	✓	=					
29	17		✓	✓	=					
30	18		✓	✓	=					
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16	26				=					
18	27				=					
19	28				=					
20	29				=					
17	30				=					
33	31				=					
34	32				=					
35	33				=					
36	34				=					
37	35				=					
38	36				=					
40	37				=					
41	38				=					
42	39				=					
39	40				=					
21	41				=					
22	42				=					

Amazon/VB Assets
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Page 35

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

CLAIM		DATE								
Final	Original	08/19/2019	01/14/2020	09/15/2020	03/24/2021					
43	43				=					
44	44				=					

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

CPC - Searched*		
Symbol	**Date**	**Examiner**
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA

CPC Combination Sets - Searched*		
Symbol	**Date**	**Examiner**

US Classification - Searched*			
Class	**Subclass**	**Date**	**Examiner**

* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

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Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

Search Notes		
Search Notes	**Date**	**Examiner**
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA
EAST Search	08/19/2019	BLA
Updated EAST Search	01/14/2020	BLA
Updated EAST Search	09/15/2020	BLA
Updated EAST Search	03/24/2021	BLA
IP.com Search	03/24/2021	BLA
Reviewed PTAB Proceeding #IPR2020-01374	03/24/2021	BLA
Reviewed PTAB Proceeding #IPR2020-01377	03/24/2021	BLA
Reviewed PTAB Proceeding #IPR2020-01388	03/24/2021	BLA
Reviewed PTAB Proceeding #IPR2020-01390	03/24/2021	BLA

Interference Search			
US Class/CPC Symbol	**US Subclass/CPC Group**	**Date**	**Examiner**
	Interference Search	03/24/2021	BLA

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	**Art Unit**
	BRIAN L ALBERTALLI	2656

CPC							
Symbol						**Type**	**Version**
G06Q	/	30	/	0269		F	2013-01-01
G10L	/	15	/	26		I	2013-01-01
G06Q	/	30	/	0241		I	2013-01-01
G06F	/	40	/	263		I	2020-01-01
G06Q	/	30	/	0251		I	2013-01-01
G06Q	/	30	/	0242		I	2013-01-01
G10L	/	15	/	18		I	2013-01-01

CPC Combination Sets								
Symbol						**Type**	**Set**	**Ranking**	**Version**
	/		/						

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	44	
/BRIAN L ALBERTALLI/ Primary Examiner, Art Unit 2656	24 March 2021	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	3

U.S. Patent and Trademark Office — Part of Paper No.: 20210318

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Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	**Art Unit**
	BRIAN L ALBERTALLI	2656

INTERNATIONAL CLASSIFICATION				
CLAIMED				
G06Q30/02	/	30	/	02
G10L15/26	/	15	/	26
G06F40/263	/	40	/	263
G10L15/18	/	15	/	18

NON-CLAIMED				
	/		/	

US ORIGINAL CLASSIFICATION	
CLASS	**SUBCLASS**

CROSS REFERENCES(S)						
CLASS	**SUBCLASS (ONE SUBCLASS PER BLOCK)**					

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	44	
/BRIAN L ALBERTALLI/ Primary Examiner, Art Unit 2656	24 March 2021	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	3

U.S. Patent and Trademark Office — Part of Paper No.: 20210318

Amazon/VB Assets
Exhibit 1003
Page 40

Issue Classification	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	**Art Unit**
	BRIAN L ALBERTALLI	2656

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

CLAIMS

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	1	10	10	31	19	19	28	40	37						
2	2	23	11	32	20	20	29	41	38						
3	3	24	12	11	21	17	30	42	39						
4	4	25	13	12	22	33	31	39	40						
5	5	26	14	13	23	34	32	21	41						
6	6	27	15	14	24	35	33	22	42						
7	7	28	16	15	25	36	34	43	43						
8	8	29	17	16	26	37	35	44	44						
9	9	30	18	18	27	38	36								

NONE		**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	44	
/BRIAN L ALBERTALLI/ Primary Examiner, Art Unit 2656	24 March 2021	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	3

U.S. Patent and Trademark Office Part of Paper No.: 20210318

Amazon/VB Assets
Exhibit 1003
Page 41

Bibliographic Data

Application No: 16/194,944

Foreign Priority claimed: ○ Yes ◉ No

35 USC 119 (a-d) conditions met: ☐ Yes ☑ No ☐ Met After Allowance

Verified and Acknowledged: /BRIAN L ALBERTALLI/ (Examiner's Signature) | (Initials)

Title: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
11/19/2018	705	2656	62KC-287092
RULE			

APPLICANTS

VB Assets, LLC, Bellevue, WA, UNITED STATES

INVENTORS

Tom FREEMAN, Mercer Island, WA, UNITED STATES

Mike KENNEWICK, Bellevue, WA, UNITED STATES

CONTINUING DATA

This application is a CON of 15223870 07/29/2016 PAT 10134060

15223870 is a CON of 14836606 08/26/2015 PAT 9406078

14836606 is a CON of 14537598 11/10/2014 PAT 9269097

14537598 is a CON of 14016757 09/03/2013 PAT 8886536

14016757 is a CON of 13371870 02/13/2012 PAT 8527274

13371870 is a CON of 12847564 07/30/2010 PAT 8145489

12847564 is a CON of 11671526 02/06/2007 PAT 7818176

FOREIGN APPLICATIONS

IF REQUIRED, FOREIGN LICENSE GRANTED**

12/11/2018

STATE OR COUNTRY

UNITED STATES

ADDRESS

Sheppard Mullin Richter & Hampton LLP

650 Town Center Drive, 10th Floor

Costa Mesa, CA 92626

UNITED STATES

FILING FEE RECEIVED

$785

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

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	1					

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

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NON-PATENT LITERATURE DOCUMENTS Remove

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

EFS Web 2.1.18

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01367, Decision Granting Institution of Inter Partes Review of U.S. Patent No. 8,073,681 B2, entered March 11, 2021, 22 pages.	
	2	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01390, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 7,818,176, entered March 11, 2021, 27 pages.	

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

EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	03/18/2021

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

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2021-03-16
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S28	132	kennewick.in. and (domain$4 with agent$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 10:02
S29	131	S28 and context$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 10:03
S30	9	(natural$5 near2 language$5).clm. and (track$5 with purchas$5).clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 10:48
S31	242	(natural$5 near2 language$5).clm. and (track$5 with purchas$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 10:50
S32	48	S31 and G10L$/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 10:50
S33	518,347	G06Q30/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 12:13
S34	1,756	S33 and (natural$5 near2 language$5).clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 12:14
S35	168	S34 and track$5.clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/04 12:15
S36	267	S34 and purchas$5.clm.	US-PGPUB; USPAT; USOCR;	OR	ON	2021/03/04 12:33

			FPRS; EPO; JPO; DERWENT; IBM_TDB			
S37	2	11/212693.app.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 13:32
S38	2	11/197504.app.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 13:35
S39	519,282	G06Q30/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 13:37
S40	1,766	S39 and (natural$5 near2 language$5).clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 13:37
S41	269	S40 and purchas$5.clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 13:37
S42	184	S41 and (speech$5 or voice$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 13:37
S43	185	S40 and ((profil$5 or track$5) with purchas$5) and (natural$5 near2 languag$5) and (speech$5 or voice$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 14:16
S44	1,429	S39 and ((profil$5 or track$5) with purchas$5) and (natural$5 near2 languag$5) and (speech$5 or voice$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 14:16
S45	264	S39 and (purchas$5 with (natural$5 near2 language$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 14:23

S46	103	S40 and (purchas$5 with (natural$5 near2 language$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 14:23
S47	259	S40 and ((profile$5 or track$5) with (natural$5 near2 language$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/17 14:23
S48	519,462	G06Q30/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:06
S49	797	S48 and (track$5 same (natural$5 near2 language$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:06
S50	59	S49 and (profile$5 with (natural$5 near2 language$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:07
S52	519,462	G06Q30/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:11
S53	797	S52 and (track$5 same (natural$5 near2 language$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:11
S55	519,462	G06Q30/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:12
S56	9	(("6081779") or ("6859776") or ("8078502")).PN.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2021/03/18 09:43
S57	6	(US-20010014857-$ | US-20030154082-$ | US-20040128514-$).DID.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO;	OR	ON	2021/03/18 09:43

			DERWENT; IBM_TDB			
S58	6	(US-20060247919-$ | US-20080032622-$ | US-20140136259-$).DID.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:43
S59	16	(US-9626703-$ | US-6173250-$ | US-6526335-$ | US-5729659-$ | US-6757362-$ | US-6839896-$ | US-7376586-$ | US-7774333-$).DID.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:47
S60	2	(US-20030182123-$).DID.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2021/03/18 09:49

EAST Search History (Interference)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S61	12	((profil$5 or track$5) with purchas$5).clm. and (natural$5 near2 languag$5).clm. and (speech$5 or voice$5).clm.	US-PGPUB; USPAT	OR	ON	2021/03/18 09:52

3/24/2021 12:41:41 PM
C:\Users\balbertalli\Documents\EAST\Workspaces\16194944B.wsp

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Tom FREEMAN *et al.*	CONFIRMATION NO.:	1070
SERIAL NUMBER :	16/194,944	EXAMINER:	Brian Louis Albertalli
FILING DATE :	November 19, 2018	ART UNIT:	2656
FOR :	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS		

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 following Notice of Filing Date According to Petition and Time for Filing Patent Owner Preliminary Response in the following cases before the Patent Trial and Appeal Board:

1. U.S. Patent No. 9,015,049, Case IPR2020-01346, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

2. U.S. Patent No. 8,886,536, Case IPR2020-01374, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

3. U.S. Patent No. 8,886,536, Case IPR2020-01377, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

4. U.S. Patent No. 9,626,703, Case IPR2020-01380, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

5. U.S. Patent No. 9,626,703, Case IPR2020-01381, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

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It is respectfully requested that the Examiner review these cases, and obtain copies of any of the references he needs.

I hereby certify that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge, after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

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.

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By /James G. Gatto/
James G. Gatto
Registration No.: 32,694

Customer No.
133759

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Telephone: (202) 747-1945

Dated: September 25, 2020

/BRIAN L ALBERTALLI/ 03/18/2021

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PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5729659		1998-03-17	POTTER JERRY L	
	2	6173250		2001-01-09	JONG KENNETH	
	3	6526335		2003-02-25	TREYZ G VICTOR	
	4	6757362		2004-06-29	COOPER ROBERT S	
	5	6839896		2005-01-04	COFFMAN DANIEL M	
	6	7376586		2008-05-20	PARTOVI HADI	
	7	7774333		2010-08-10	COLLEDGE MATTHEW	
	8	9626703		2017-04-18	MICHAEL R. KENNEWICK, SR.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

U.S.PATENT APPLICATION PUBLICATIONS Remove

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030182123		2003-09-25	MITSUYOSHI SHUNJI	

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FOREIGN PATENT DOCUMENTS Remove

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2]	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	2002297626	JP		2002-10-11	JUST SYST CORP		X

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NON-PATENT LITERATURE DOCUMENTS Remove

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01346, Decision Granting Institution of Inter Partes Review of U.S. Patent No. 9,015,049 B2, entered February 4, 2021, 24 pages.	
	2	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01374, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 8,886,536 B2, entered February 4, 2021, 37 pages.	
	3	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01377, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 8,886,536 B2, entered February 4, 2021, 29 pages.	
	4	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01380, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 9,626,703 B2, entered February 4, 2021, 28 pages.	

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	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	5	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01381, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 9,626,703 B2, entered February 4, 2021, 29 pages.	
	6	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01388, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 9,269,097 B2, entered February 24, 2021, 25 pages.	
	7	ASTHANA, A., et al., "A Small Domain Communications System for Personalized Shopping Assistance", Proceedings of 1994 International Conference on Personal Wireless Communications, IEEE Press, August 1994, pages 199-203.	
	8	HUANG et al., "Spoken Language Processing: A Guide to Theory, Algorithm, and System Development", Prentice Hall, 2001, 1010 pages.	
	9	IEEE 100 The Authoritative Dictionary of IEEE Standards Terms, Seventh Edition, Standards Information Network, IEEE Press, Print ISBN 0-7381-2601-2, Published December 2000, 3 pages.	
	10	LUCENTE, Mark, "Conversational Interfaces for E-Commerce Applications", Communications of the ACM, Volume 43, No. 9, September 2000, pages 59-61.	
	11	SENEFF, Stephanie, et al., "Hypothesis Selection and Resolution in the Mercury Flight Reservation System", Spoken Language Systems Group, MIT, 2001, 8 pages.	

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EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	03/18/2021

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

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

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	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2021-03-08
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

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Privacy Act Statement

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PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6081779		2000-06-27	BESLING STEFAN	
	2	6859776		2005-02-22	COHEN MICHAEL H	
	3	8078502		2011-12-13	HAO BIAO	

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U.S.PATENT APPLICATION PUBLICATIONS Remove

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010014857		2001-08-16	WANG ZIFEI PETER	
	2	20030154082		2003-08-14	TOGURI YASUHIRO	
	3	20040128514		2004-07-01	RHOADS GEOFFREY B	

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	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	4	20060247919		2006-11-02	SPECHT JEFFREY	
	5	20080032622		2008-02-07	KOPRA TONI	
	6	20140136259		2014-05-15	KINSEY II EDWARD PHILLIP	

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

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NON-PATENT LITERATURE DOCUMENTS Remove

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

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EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	03/18/2021

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

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	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

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	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2020-09-23
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

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

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

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

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01367, Decision Granting Institution of Inter Partes Review of U.S. Patent No. 8,073,681 B2, entered March 11, 2021, 22 pages.	
	2	Amazon.com, Inc., Amazon.com LLC, Amazon Web Services, Inc., A2Z Development Center, Inc. d/b/a/ Lab126, Rawles LLC, Amzn Mobile LLC, Amzn Mobile 2 LLC, Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc., and Amazon.com Services LLC (formerly Amazon Digital Services LLC) v. VB Assets, LLC, IPR2020-01390, Decision Denying Institution of Inter Partes Review of U.S. Patent No. 7,818,176, entered March 11, 2021, 27 pages.	

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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A certification statement is not submitted herewith.

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Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2021-03-16
Name/Print	Timothy P. Cremen	Registration Number	50,855

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Electronic Acknowledgement Receipt

EFS ID:	42197445
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Susan Trader
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	16-MAR-2021
Filing Date:	19-NOV-2018
Time Stamp:	16:58:13
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	501917 6f8380d4d287d32fc52eabd50e14500cde03d37d	no	1
Warnings:					

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053309 1d0c4ac17bf765d70a65603299c11c697b8c5546	no	4
Warnings:					
Information:					
A U.S. Patent Number Citation or a U.S. Publication Number Citation is required in the Information Disclosure Statement (IDS) form for autoloading of data into USPTO systems. You may remove the form to add the required data in order to correct the Informational Message if you are citing U.S. References. If you chose not to include U.S. References, the image of the form will be processed and be made available within the Image File Wrapper (IFW) system. However, no data will be extracted from this form. Any additional data such as Foreign Patent Documents or Non Patent Literature will be manually reviewed and keyed into USPTO systems.					
3	Non Patent Literature	62KC-287092-NPL-001.pdf	283459 614fd6f1906871879302 3fafd10c227a4ed90fbe	no	22
Warnings:					
Information:					
4	Non Patent Literature	62KC-287092-NPL-002.pdf	332834 7c85a3197fc2eb68c276a895eb8ba80018e8d35c	no	27
Warnings:					
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		Total Files Size (in bytes):	2171519		

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application.

CERTIFICATION STATEMENT

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

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c), and is accompanied by the certification statement of 37 CFR 1.97(e)(2).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Timothy P. Cremen /	**Date**	2021-03-16
Name	Timothy P. Cremen	**Registration Number**	50,855

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PTO/SB/08a (02-18)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5729659		1998-03-17	POTTER JERRY L	
	2	6173250		2001-01-09	JONG KENNETH	
	3	6526335		2003-02-25	TREYZ G VICTOR	
	4	6757362		2004-06-29	COOPER ROBERT S	
	5	6839896		2005-01-04	COFFMAN DANIEL M	
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	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

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

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(19) Japanese Patent Office (JP)

(12) JAPANESE KOKAI (PUBLISHED UNEXAMINED PATENT APPLICATION) (A)

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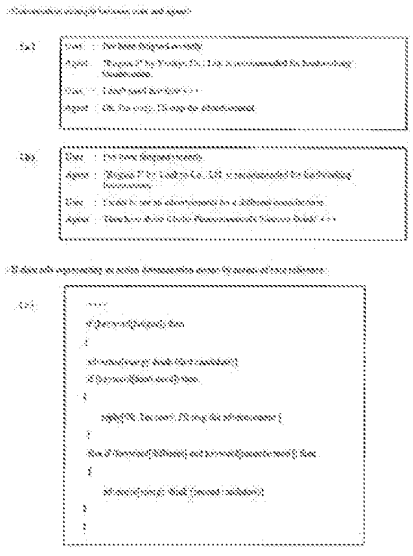
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Continued on last page

(54) [Title of Invention] Information Presentation Device, Information Presentation Program, and Information Presentation Method

(57) [Summary]
[Problem] To provide an information presentation device that can present, to a user, an advertisement with a more appropriate content at a more appropriate timing.
[Solution] A dialogue system, which carries out a more detailed analysis process while referencing cases assuming user remarks, presents advertisements and responses to advertisement inquiries. It is thereby made possible to select an advertisement that matches the user's taste and that is presented at an appropriate timing, and to return a simple response to an inquiry about an advertisement. This type of operation is realized by a computer as an operation carried out by an agent having a pseudo personality. As a core engine for such purpose, as many cases as possible that assume user remarks are prepared, and these cases are referenced to determine actions of the agent (returning responses and advertisements to the user). The core engine carries out preprocessing and action determinations.



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[SCOPE OF THE PATENT CLAIMS]

[Claim 1] An information presentation device, comprising

a case storage means in which are stored, as cases, a plurality of presumed user remarks and a plurality of inquiry responses or advertisement actions corresponding to the remarks,

a character string information acquisition means for acquiring character string information corresponding to contents of user remarks,

a preprocessing means for analyzing the character string information acquired by the character string information acquisition means,

an action determination means for determining an action with respect to the user in accordance with cases stored in the case storage means based on the result of analysis by the preprocessing means, and

a presentation means for presenting, to the user, the inquiry response or the advertisement determined by the action determination means.

[Claim 2] The information presentation device according to claim 1, wherein the cases stored in the case storage means are defined by if-then rules.

[Claim 3] The information presentation device according to claim 1, wherein the if-then rules use at least one of a keyword, a history of remarks, a progress status of inquiries, and user information representing the user's preference, etc., analyzed by the preprocessing means, as a condition for case matching.

[Claim 4] The information presentation device according to claim 1, wherein the preprocessing means creates clause information composed of independent words and dependent words from the acquired character string information.

[Claim 5] The information presentation device according to claim 4, wherein the preprocessing means appends additional information, such as affirmative form, negative form, present form, future form, and the like, as clause information.

[Claim 6] The information presentation device according to claim 1, wherein

the preprocessing means includes a preference expression extraction means for extracting, from the character string information, preference information representing preference, and

the information presentation device comprises a user information storage means for storing, as user information, the preference information extracted by the preference expression extraction means and the target of the preference information.

[Claim 7] The information presentation device according to claim 1, wherein the case storage means stores the plurality of cases as a case dictionary or a processing program.

[Claim 8] The information presentation device according to claim 1, further comprising

an advertisement acquisition means for acquiring an advertisement presented by an advertisement provider, and

an advertisement information dictionary for storing the advertisement acquired by the advertisement acquisition means, wherein

when an advertisement action is determined by the action determination means, the presentation means reads out an advertisement corresponding to the action from the advertisement information dictionary and presents the advertisement to the user.

[Claim 9] The information presentation device according to claim 1, further comprising

a related word dictionary in which are stored related words consisting of at least one of a hypernym, a hyponym, a related word, and an antonym with respect to a specific word, wherein

the action determination means extracts, from the related word dictionary, a related word with respect to a specific word analyzed by the preprocessing means and determines an action for the user in accordance with cases stored in the case storage means, based on the specific word and/or the extracted related word.

[Claim 10] An information presentation program for causing a computer to function as

a case storage means in which are stored, as cases, a plurality of presumed user remarks and a plurality of inquiry responses or advertisement actions corresponding to the remarks,

a character string information acquisition means for acquiring character string information corresponding to contents of user remarks,

a preprocessing means for analyzing the character string information acquired by the character string information acquisition means,

an action determination means for determining an action with respect to the user in accordance with cases stored in the case storage means based on the result of analysis by the preprocessing means, and

a presentation means that presents, to the user, the inquiry response or the advertisement determined by the action determination means.

[Claim 11] An information presentation method, comprising

a character string information acquisition step for acquiring character string information corresponding to contents of user remarks,
a preprocessing step for analyzing the character string information acquired by the character string information acquisition means,
an action determination step for determining an action with respect to the user in accordance with cases stored in the case storage means, in which are stored, as cases, a plurality of presumed user remarks and a plurality of inquiry responses or advertisement actions corresponding to the remarks, based on the result of analysis in the preprocessing step, and
a presentation step for presenting, to the user, the inquiry response or the advertisement determined in the action determination step.

[DETAILED DESCRIPTION OF THE INVENTION]

[0001]

[Technical Field to which the Invention Belongs] The present invention relates to an information presentation device, an information presentation program, and an information presentation method, and relates to, for example, presenting an advertisement in the form of a dialogue with a user.

[0002]

[Conventional Technology] Various electronic devices, such as personal computers (hereinafter referred to as PCs) and microwave ovens equipped with a microcomputer system, are widely used. Some of these electronic devices are connected to other electronic devices or apparatuses via various networks, such as the Internet and LAN (Local Area Network), and can acquire various information and programs through communication. When using such an electronic device, it is very convenient to be able to obtain an advertisement of interest to a user at a desired time. On the other hand, for an advertisement provider, being able to provide an advertisement only to interested users is extremely preferable since it enhances the effect of advertising.

[0003] Therefore, various methods for providing effective advertisements to users using electronic devices, such as PCs and mobile phones, have been proposed in the prior art. For example, in a technique proposed in Japanese Laid Open Patent Application No. Hei11-3348, keywords are extracted from a remarks log of chat participants in an Internet chat room, and related advertisements are presented to the chat participants.

[0004]

[Problem to be Solved by the Invention] However, the technique proposed by the above-described publication uses only simple keyword matching, so that there is the problem that unrelated advertisements may be matched, or that advertisements, of which the user has a negative opinion, may be presented. For example, let us assume a case in which a remark is made such as "I don't need desktop PCs because they take up space." In this case, because "desktop PC" is matched as a keyword from the content of the remark, there are cases in which "desktop PC" is returned as a hit. In such a case, inappropriate advertisements would be presented because "don't need," which is an important part of the user's remark, is ignored.

[0005] In addition, since only perfunctory advertisements corresponding to the hit keyword can be presented, there is also the problem that advertisements meeting a user's request for more details cannot be served. For example, if "200,000 yen" and "200,000 yen or less" are set as keywords with respect to a remark "I would buy a laptop computer for 200,000 yen or less," a laptop computer that is "180,000" does not return a hit.

[0006] In addition, even if a user makes an inquiry regarding the content of the advertisement, such as "what is the size of the PC's LCD?" it is not possible to respond thereto.

[0007] Furthermore, it is not possible to determine what the topic is related to from keywords spoken by the user so as to present an appropriate advertisement. For example, it is no not possible to present an advertisement about sports in general, when the user is speaking about snowboards.

[0008] Therefore, a first object of the present invention is to provide an information presentation device, an information presentation program, and an information presentation method that can present, to a user, an advertisement with a more appropriate content at a more appropriate timing. In addition, a second object of the present invention is to make it possible to present different advertisements depending on the user's request for more details. Additionally, a third object of the present invention is to make it possible to appropriately respond to the user's inquiry regarding the content of the advertisement. In addition, a fourth object of the present invention is to make it possible to determine what the topic is related to from keywords spoken by the user so as to present an appropriate advertisement.

[0009]

[Means for Solving the Problem] In the invention according to claim 1, the object is achieved by providing an information presentation device with a case storage means in which are stored, as cases, a plurality of presumed user remarks and a plurality of inquiry responses or advertisement actions corresponding to the remarks, a character string information acquisition means for acquiring character string information corresponding to contents of user remarks, a preprocessing means for analyzing the character string information acquired by the character string information acquisition means, an action determination means for determining an action with respect to the user in accordance with cases stored in the case storage means based on the result of analysis by the preprocessing means, and a presentation means for presenting, to the user, the inquiry response or the advertisement determined by the action determination means.

[0010] In the present invention, the case storage means may be stored as a program that executes a case matching process, or as dictionary data for carrying out the case matching process. In addition, the character string information acquisition means may be configured to acquire character string information from text data input from a keyboard, or the like, to acquire character string information stored in a prescribed storage medium by means of a storage medium drive means, to acquire character string information created by an external device via a data communication means, and, further, to acquire voice data that are input via a microphone or a communication means to thereby acquire character string information by executing voice recognition on these voice data. Additionally, when presenting an inquiry response or an advertisement to the user, the presentation means may make a presentation by means of voice, means of displaying character strings on a display means, such as a liquid crystal display device or a CRT, or by any another presentation method. In this case, it is preferable to present using the same format as the format used for the acquisition by the character string information acquisition means. That is, if character string information is acquired by executing voice recognition on voice data, inquiry responses and advertisements are presented by means of voice from a voice output means, such as a speaker, and if character string information is acquired by means of text data, such as in a chat, inquiry responses are presented by means of text data and advertisements are presented by means of text data or image information on the display means. In this case, a separate screen, window, or an area for displaying the advertisement may be provided separately from the screen, window, or area for displaying the character string information input by the

user. When presenting an advertisement with the presentation means via the display means, access information for accessing an advertisement page of an advertisement provider (for example, a URL (uniform resource locators) as link information) may be presented to the user.

[0011] In the present invention, the character string information acquisition means and the presentation means may function as an agent for the user, and the preprocessing means and the action determination means may function as an engine for determining the operation of the agent. The user can thereby acquire information such as advertisements better suited to the user's preference from a dialogue with the agent, and can use the information presentation device as something more familiar. Here, the "user" refers to ordinary people as targets for spreading advertisements. The "agent" acts as an agent that presents advertisements to the user instead of an advertiser, or as a dialogue partner that presents information such as an advertisement that is desired by the user.

[0012] The invention according to claim 2 is the information presentation device according to claim 1, wherein the cases stored in the case storage means are defined by if-then rules. The invention according to claim 3 is the information presentation device according to claim 1, wherein the if-then rules use at least one of a keyword, a history of remarks, a progress status of returned inquiries, and user information representing the user's preference, etc., analyzed by the preprocessing means, as a condition for case matching. The invention according to claim 4 is the information presentation device according to claim 1, wherein the preprocessing means creates clause information composed of independent words and dependent words from the acquired character string information. The invention according to claim 5 is the information presentation device according to claim 1, wherein the preprocessing means adds additional information, such as affirmative form, negative form, present form, future form, and the like, as clause information.

[0013] The invention according to claim 6 is the information presentation device according to claim 1, wherein the preprocessing means includes a preference expression extraction means for extracting, from the character string information, preference information representing preference, and the information presentation device comprises a user information storage means for storing, as user information, the preference information extracted by the preference expression extraction means and the target of the preference information. The preference expression extraction means determines whether information representing preference is included in the character string information, and carries out a processing in accordance with a preference expression rule stating

that, if a user input such as "I don't like XXX," "I like XXX," "XXX is nice," and "XXX is cool" is returned as a hit, then the user input is stored internally. This preference expression rule can be defined as a program. It also may be entered into a preference expression rule dictionary.

[0014] The invention according to claim 7 is the information presentation device according to claim 1, wherein the case storage means stores the plurality of cases as a case dictionary or a processing program. The invention according to claim 8 is the information presentation device according to claim 1, further comprising an advertisement acquisition means for acquiring an advertisement presented by an advertisement provider, and an advertisement information dictionary for storing the advertisement acquired by the advertisement acquisition means, wherein, when an advertisement action is determined by the action determination means, the presentation means reads out an advertisement corresponding to the action from the advertisement information dictionary and presents the advertisement to the user. The invention according to claim 9 is the information presentation device according to claim 1, further comprising a related word dictionary in which are stored related words consisting of at least one of a hypernym, a hyponym, a related word, and an antonym with respect to a specific word, wherein the action determination means extracts, from the related word dictionary, a related word with respect to a specific word analyzed by the preprocessing means and determines an action for the user in accordance with cases stored in the case storage means, based on the specific word and/or the extracted related word.

[0015] In the information presentation program according to claim 10, the object is achieved by causing a computer to function as a case storage means in which are stored, as cases, a plurality of presumed user remarks and a plurality of inquiry responses or advertisement actions corresponding to the remarks, a character string information acquisition means for acquiring character string information corresponding to contents of user remarks, a preprocessing means for analyzing the character string information acquired by the character string information acquisition means, an action determination means for determining an action with respect to the user in accordance with cases stored in the case storage means based on the result of analysis by the preprocessing means, and a presentation means that presents, to the user, the inquiry response or the advertisement determined by the action determination means.

[0016] In the information presentation program method to claim 11, the object is achieved by executing a character string information acquisition step for acquiring character string

information corresponding to contents of user remarks, a preprocessing step for analyzing the character string information acquired by the character string information acquisition means, an action determination step for determining an action with respect to the user in accordance with cases stored in the case storage means, in which are stored, as cases, a plurality of presumed user remarks and a plurality of inquiry responses or advertisement actions corresponding to the remarks, based on the result of analysis in the preprocessing step, and a presentation step for presenting, to the user, the inquiry response or the advertisement determined in the action determination step.

[0017]

[Embodiments of the Invention] Preferred embodiments of the information presentation device, the information presentation program, and the information presentation method according to the present invention will be described in detail below, with reference to Figures 1 to 8.

(1) Outline of the Embodiment

In the present embodiment, instead of presenting advertisements based on simple keyword matching, a dialogue system, which carries out a more detailed analysis process while referencing cases assuming user remarks, presents advertisements and returns advertisement inquiry responses. It is thereby made possible to select an advertisement that matches the user's taste and that is presented at an appropriate timing, and to return a simple answer to an inquiry about an advertisement. In the present embodiment, this type of operation is realized by a computer as an operation carried out by an agent having a pseudo personality. As a core engine for such purpose, as many cases as possible that assume user remarks are prepared, and these cases are referenced to determine actions of the agent (returning inquiry responses and advertisements to the user). The core engine carries out preprocessing and action determinations.

[0018] (2) Details of the Embodiment

Figure 1 is a configuration of one embodiment of the information presentation device according to the present invention, conceptually showing a configuration of an information presentation program and of a computer that has read the program of a storage medium to which said information presentation program is stored according to the present invention. As shown in this conceptual block diagram, the information presentation device (computer) comprises a character string information acquisition means 1, a preprocessing means 2, an action determination means 3, a presentation means 4, an advertisement acquisition means 5, a dictionary storage unit 6, a

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user information storage means 7, a billing means 8, and a billing information presentation means 9. The preprocessing means 2 includes a preference expression extraction 10. The dictionary storage unit 6 includes an advertisement information dictionary 61, a case storage means 62, a related word dictionary 63, and a preference expression rule dictionary 64.

[0019] The character string information acquisition means 1 acquires character string information from information containing user remarks or contents corresponding to remarks. For example, character string information is directly acquired from a keyboard, a mouse, a microphone, or a voice recognition device for voice from this microphone, as an input means, or from an input device that functions as another input means. In addition, the character string information acquisition means 1 may be configured to acquire by wire or wirelessly from an auxiliary storage device or an external device, via a communication means or an interface. Examples of external devices include other personal computers connected by means of LAN and external personal computers connected to the World Wide Web (WWW) of the Internet.

[0020] The preprocessing means 2 divides the character string information acquired by the character string information acquisition means 1 into clauses composed of independent words and dependent words, to obtain clause information. The preprocessing means 2 appends, as clause information, additional information such as affirmative form, negative form, present form, and future form, to each of the divided clauses. In addition, the preprocessing means 2 includes the preference expression extraction means 10. This preference expression extraction means 10 is configured to extract, from the acquired character string information, preference information representing preference.

[0021] The action determination means 3 is configured to determine an action to be carried out by the agent, while referring to the case storage means 62 and the related word dictionary 63 prepared in advance, based on the clause information obtained by the preprocessing means 2. Examples of the agent's actions determined by the action determination means 3 include appropriately responding to the user's inquiry, returning an inquiry to the user, and determining the advertisement to be presented. As described further below, the case storage means 62 stores if-then format rules (cases) that assume user remarks, such as "if the user remarks 'I'm tired,' then present a first candidate energy drink." For example, if the keyword "tired" is returned as a hit from the clause information, the action determination means 3 is configured to determine the

action "present a first candidate energy drink" from among the cases stored in the case storage means 62.

[0022] In addition, the action determination means 3 uses the related word dictionary 63 and carries out matching that takes into consideration related words such as hypernyms, hyponyms, related words, antonyms, and the like. As a result, for example, when the user is talking about "snowboard," it becomes possible to determine that the topic includes "sports," which is a hypernym, and to present a sports-related advertisement.

[0023] Additionally, the action determination means 3 is configured to count the appearance frequency of independent words (keywords) and preference expressions included in the clause information obtained by the preprocessing means 2 (appearance frequency counting means). Then, the user's taste, hobbies, preferences, and the like are determined from this appearance frequency, and are used for presenting advertisements. For example, when the information presentation device according to the present embodiment is applied to a server for chat rooms, "keywords frequently appearing in each chat room" are counted as a remark history, what type of hobbies and preferences are shared by the most people in each chat room is automatically determined, and advertisements best matching the hobbies and preferences are presented. For example, if many people talk about sports, sports-related advertisements can be fed into the chat room.

[0024] Additionally, the action determination means 3 is configured to store, as user information, the preference information present in the character string information extracted by the preprocessing means 2 in the user information storage means 7, together with the target of the preference information (preference target). The storage of this preference information is extracted in accordance with a rule stored in the preference expression rule dictionary 64. The user information stored in the user information storage means 7 is provided to the advertisement provider as necessary, and is used for analyzing the users' preferences, and the like.

[0025] The presentation means 4 presents, to the user, the action determined by the action determination means 3 as the agent's action. If the determined action is responding to an inquiry for determining an advertisement based on a case, the presentation means 4 presents, to the user, a response sentence, a response voice, an inquiry response sentence, or an inquiry response voice that is defined as a case. On the other hand, if the determined action is an advertisement, the presentation means 4 reads an advertisement corresponding to the determined action from the

advertisement information dictionary 61 and presents the advertisement to the user. The presentation means 4 is configured to be capable of clearly indicating, when necessary, that an advertisement is in progress. This clear indication can be stopped based on a user's process, or this function can be omitted from the beginning. An example of an explicit advertisement function is adding the phrase "advertisement in progress" to the content of the agent's remark. In addition, it can be clearly indicated that an advertisement is in progress by displaying the advertisement content in an advertisement signboard that is held by a character on the screen of an output device, such as a liquid crystal display device. By clearly indicating in this manner that an advertisement is in progress, the user can be aware that it is an advertisement, so that when an advertisement is incorporated in a dialogue, it can be prevented from becoming subconsciously imprinted without the user being aware.

[0026] The advertisement acquisition means 5 is configured to acquire advertisement information provided by the advertisement provider. Examples of advertisement information acquired by the advertisement acquisition means 5 include active advertisement information, response advertisement information, and priority ranking information. The active advertisement information is information for the system to actively present advertisements to the user, composed of advertising companies, products to be advertised, and action contents, such as text or voice, for advertising the products to be advertised. The response advertisement information is information for advertising in accordance with the user's remarks and inquiries, and is composed of action contents, such as text or voice, that respond to the user's remarks and inquiries, such as the price, efficacy, and release date of said product. The priority ranking information is information used for determining which advertisement to prioritize when there are competing advertisements, and is composed of registration fees, and the like. The main method by which the advertisement acquisition means 5 acquires the advertisement information is by acquiring advertisement information transmitted from the advertisement provider via a communication control means. Various types of storage media, such as floppy disks or CD-ROMs storing advertisement information may be acquired, and the advertisement information may be acquired using the corresponding storage medium drive device. The advertisement information acquired by the advertisement acquisition means 5 is configured to be stored in the advertisement information dictionary 61.

[0027] The billing means 8 calculates billing information for the advertisement provider. In a billing system, for example, a registration fee, an individual advertisement fee, a user information feedback fee, a detailed information presentation fee, a link fee, etc., are determined, and the billing means 8 calculates each of these fees in accordance with an agreement concluded with the advertisement provider at regular intervals. When an advertisement provider participates in the advertisement presentation function according to the present embodiment, a registration fee is collected. When a plurality of advertisement providers are in competition, the frequency at which the advertisement is presented to the user is increased as the registration fee is increased. The higher the registration fee, the higher the priority ranking stored in the advertisement information dictionary 61 is set. In addition, an individual advertisement fee is collected from the corresponding advertiser in accordance with the number of times that the advertisement is presented to the user. The user's preference information and personal information obtained during the presentation of the advertisement are configured to be capable of being fed back to the advertisement provider side via the Internet. A user information feedback fee is collected from the advertisement provider in accordance with the amount of said information. Examples of information to be fed back, include "I like laptop computers," "200,000 yen or less," etc., in the case of user preferences, and "age, job, hobby, likes, dislikes, etc." in the case of the user's personal information. When detailed information that is requested by the user is presented, a corresponding detailed information presentation fee is added. In addition, a mechanism for presenting a link (URL) to an advertisement to the users and counting the number of times that the users click on the link is provided. A link fee is charged in accordance with the number of times that the link is clicked. Each of the foregoing fees and billing methods are merely examples, and billing may be carried out by various other methods.

[0028] The total amount to be charged calculated by the billing means 8 is presented, as billing information, to the advertisement provider by the billing information presentation means 9. A specific example of the presentation method is transmitting it as a billing mail to a terminal device registered by the advertisement provider, but various other methods may be used as well.

[0029] Figure 2 shows a specific system configuration of the information presentation device configured in this manner. Figure 2 mainly shows a configuration when the owner of the information presentation device and the user are the same. As shown in Figure 2, the information presentation device is configured by a computer, including personal computers, word processors,

or the like. As shown in Figure 2, the information presentation device has a control unit 11 for controlling the entire system. To this control unit 11 are connected, as input devices, a keyboard 12, a mouse 13, the display device 14, a printing device 15, a storage device 16, a storage medium drive device 17, a communication control device 18, an input/output I/F 19, a character recognition device 20, and a voice recognition device 21, via bus lines of a data bus, or the like.

[0030] The control unit 11 includes a CPU 111, a ROM 112, and a RAM 113. The CPU 111 controls various devices and performs calculations in accordance with a program. The ROM 112 is a read-only memory in which are stored, in advance, programs, and the like, that are executed when the computer starts up. The RAM 113 is used as a working memory in which are stored programs and data used by the CPU to carry out various controls and calculations, and it is possible to secure therein various areas for carrying out various processes, such as the character string information acquisition process, the preprocessing, the action determination process, the presentation process, the billing process, the billing information presentation process, and the advertisement acquisition process according to the present embodiment.

[0031] The keyboard 12 constitutes the input means, and is used by the user to input character string information to be the content of remarks, and to select the character string information of the content of remarks that are stored in advance in a storage medium, such as a floppy (registered trademark) disk or a hard disk. Various keys, such as kana keys for inputting kana characters, numeric keys, as well as function keys, cursor keys, etc., for executing various functions, are arranged on the keyboard 12. The mouse 13 is a pointing device constituting the input means, in the same manner as the keyboard, and is used to click on keys, icons, etc., displayed on the display device 14 to thereby select the character string information of the content of remarks, select link information of the advertisement presented by the agent, or to select and provide instructions concerning a specific process. For example, a CRT, a liquid crystal display, or the like is used as the display device 14. This display device 14 functions as the presentation means 4, and a screen thereof is configured to display the content of user remarks, responses from the agent (inquiry responses, etc.), and presented advertisements. The printing device 15 functions as the presentation means 4 and prints an image, or the like, displayed on the display device 14. Examples of the printing device that can be used include various printing devices, such as a laser printer, a dot-matrix printer, an inkjet printer, a page printer, a thermal printer, and a thermal transfer printer.

[0032] The storage device (auxiliary storage device) 16 is composed of a readable/writable storage medium, and a drive device for reading and writing various information to and from the storage medium, such as programs and data. A hard disk is mainly used as the storage medium used in the storage device 16, but it is also possible to use a readable/writable storage medium from among the various types of storage media used in the storage medium drive device 17 described further below. The storage device 16 includes a program storage unit 162, a data storage unit 163, the dictionary storage unit 6, other storage units not shown (for example, a storage unit for backing put programs and data stored in the storage device 16), and the like.

[0033] The program storage unit 162 stores various programs such as a character string information acquisition processing program, a preprocessing program, an action determination processing program, a presentation processing program, a billing processing program, and a billing information presentation processing program according to the present embodiment, a kana-kanji conversion program, and the like. The data storage unit 163 functions as the user information storage means 7 to thereby store user information, information data, and other various data required by the system.

[0034] Figure 3 conceptually shows the storage content of the dictionary storage unit 6. As shown in Figure 3, the dictionary storage unit 6 includes the advertisement information dictionary 61, the case storage means 62 that functions as the case storage means, the related word dictionary 63, the preference expression rule dictionary 64, and another dictionary 65. The advertisement information dictionary 61 stores advertisement information (active advertisement information, response advertisement information, priority ranking information), which is presented by the advertisement provider and that is acquired by the communication control device 18 or the storage medium drive device 17, which functions as the advertisement acquisition means 5.

[0035] The active advertisement information is information for the system to actively present advertisements to the user, composed of advertising companies, products to be advertised, and action contents, such as text or voice, for advertising the products to be advertised, and is stored in the form of a table. For example, active advertisement information on energy drinks is stored in a table like the one shown below.

Yonkyo Co., Ltd.'s "Rogain J": "Rogain J" by Yonkyo Co., Ltd. is recommended for hardworking businessmen.

Chuho Pharmaceutical's "Neovita Drink": Chuho Pharmaceutical's "Neovita Drink" contains 2000 mg of taurine, so it will blow away your fatigue.

[0036] The response advertisement information is information for advertising in accordance with the user's remarks and inquiries, and is composed of action contents, such as text or voice, that respond to the user's remarks and inquiries, such as the price, efficacy, and release date of said product. For example, response advertisement information on energy drinks is stored in a table like the one shown below.

Price of "Rogain J": "Rogain J" is priced affordably at XX yen.

Release date of "Neovita Drink": It is scheduled to be released at the end of XX-month. Stay tuned!!

[0037] The priority ranking information is information used for determining which advertisement to prioritize when there are competing advertisements, and is composed of registration fees, and the like. For example, priority ranking information for advertisements is stored in a table like the one shown below.

Registration fee 1st place: Yonkyo Co., Ltd.'s "Rogain J"

Registration fee 2nd place: Chuho Pharmaceutical's "Neovita Drink"

[0038] The advertisement information dictionary 61 is independent of the preprocessing means 2 and the action determination means, so that advertisements can be easily added or replaced. That is, the advertisements are not always fixed, and can be replaced or added as a result of a sponsorship change or a new participant.

[0039] Cases assuming a wide range of user remarks are defined in the case dictionary 62. These cases are defined as if-then format rules (cases), such as "if the user remarks 'I'm tired,' then present a first candidate energy drink." Then, in response to the keyword "tired," the action "present a first candidate energy drink" is determined from among the above-described cases. These if-then format cases also define cases for making inquiries for determining the advertisement target. In addition, cases are defined so as to present appropriate advertisements by preparing case matching conditions corresponding to (assuming) various situations, such as a history of remarks and a progress status of inquiry responses. For example, cases are defined to present appropriate advertisements at appropriate timings, such as responding to a request to stop advertisements or a change request from the user. These case matching conditions refer to the if (condition) portion in the if-then rule. Specifically, they are defined assuming conditions

regarding keywords, remark history (what topics were mentioned in the past, etc.), progress status of inquiry responses (hierarchical information on inquiry responses, etc.), user information (likes, dislikes, etc.), and various other items.

[0040] The preference expression rule dictionary 64 defines a preference expression rule that determines whether information representing preference is included in the character string information, and if a user input such as "I don't like XXX," "I like XXX," "XXX is nice," and "XXX is cool" is returned as a hit, then the user input is stored internally. The preference information present in the character string information extracted in accordance with this preference expression rule is stored, as user information, in the data storage unit 163 (user information storage means 7), together with the target of the preference information (preference target).

[0041] This preference expression rule dictionary 64 can store rules independently, but in the present embodiment, it is incorporated in the cases of the case dictionary 62. That is, in addition to an advertisement presentation process, a preference information holding process is also stated in the then portion of the if-then rule of the cases defined in the case dictionary 62. For example, in the if-then rule shown in Figure 6(b), described further below, the preference information holding process is defined by the statement "user_information [likes: laptop computer]." In this manner, if there is information in the user remark indicating the user's preference, there is a function to retain it as useful information for the advertisement provider.

[0042] The related word dictionary 63 stores words related to specific words, such as hypernyms, hyponyms, related words, antonyms, and the like. For example, "sports" is stored as a hypernym of the specific word "snowboard." As a result, for example, when a user A is talking about "snowboard," it becomes possible for the action determination means 3 to determine that the topic includes "sports," which is its hypernym, and to determine a sports-related advertisement as the agent's action. Specifically, let us assume that an inquiry "what is Mr. A's hobby?" is made to the user A, as the agent's action. In this case, if user A responds "my hobby is snowboarding," the character information acquisition means 1corresponding to this remark. Then, the keyword "snowboard" is extracted by means of preprocessing by the preprocessing means 2. Then, the action determination means 3 detects the related word "sports" corresponding to "snowboard" from the related word dictionary 63, and further determines the corresponding action from the case dictionary 62, using the extracted "sports" as the keyword. For example, the comment "Huh.

You like sports.is presented by the presentation means 4. Thereafter, conditioned upon acquisition of character string information of a positive response, such as a reaction from the user like "Yeah. I guess so." an advertisement for "sports goods", such as an advertisement like "If you're going to play sports, running shoes made by Asics are good." is presented to the user by the presentation means 4 as the agent's action. In the present embodiment, referencing of the related word dictionary 63 described above by the action determination means 3 is carried out when a case that returns a hit with respect to an independent word (keyword) obtained in the preprocessing of the preprocessing means 2 is not present in the case dictionary 62.

[0043] The storage medium drive device 17 shown in Figure 2 is a drive device used by the CPU 111 to read data including computer programs and documents from an external storage medium. The computer programs stored in the storage medium include various processing programs for the character string information acquisition process, the preprocessing, the action determination process, the presentation process, the billing process, the billing information presentation process, etc., according to the present embodiment, as well as data and dictionaries used by said processes. Here, the storage medium refers to a storage medium in which computer programs, data, etc., are stored, and specifically includes magnetic storage media such as floppy disks, hard disks, and magnetic tapes, semiconductor storage media such as memory chips and IC cards, storage media from which information is optically read, such as CD-ROMs, MOs, and PDs (Phase Change Rewritable Optical Disk), storage media using paper, such as paper cards and paper tapes (as well as media having a function corresponding to paper and that is programmable by means of scanning and character recognition), and storage media to which computer programs, etc., are stored by various other methods. Storage media mainly used as the storage medium used in the information presentation device according to the present embodiment are storage media such as CD-ROMs and floppy disks. In addition to reading a computer program from these various storage media, the storage medium drive device 17 can write data, etc., stored in the RAM 113 and the storage device 16 to a writable storage medium, such as a floppy disk.

[0044] When reading the character string information of the user remark stored in a floppy disk, a memory chip, an IC card, etc., via the storage medium drive device 17, the storage medium drive device 17 functions as the character string information acquisition means 1.

[0045] In the information presentation device according to the present embodiment, the CPU 111 of the control unit 11 reads computer programs from an external storage medium set in the

storage medium drive device 17, and stores (installs) the computer programs in each unit of the storage device 16. Then, when executing the preprocessing, the information presentation process such as the action determination process, and other processes according to the present embodiment, the programs are read from the storage device 16 onto the RAM 113 and executed by the CPU 111. However, a program can be read by the storage medium drive device 17 from an external storage medium, instead of the storage device 16, directly onto the RAM 113, and executed. In addition, depending on the information presentation device, programs for the data analysis process of the present embodiment may be stored in the ROM 112 in advance, and be executed by the CPU 111. Furthermore, various programs and data such as programs for the information presentation process of the present embodiment may be downloaded from another storage medium via the communication control device 18 and executed.

[0046] The communication control device 18 is a control device for establishing a network connection between the information presentation device and various other external electronic devices, such as personal computers and word processors. The communication control device 18 enables access from these various external electronic devices via this communication control device 18, and user remarks can be input thereto from the external electronic device. The communication control device 18 in this case functions as the character string information acquisition means 1. In addition, advertisement information can be acquired from an external electronic device of the advertisement provider via the communication control device 18 to update the advertisement information dictionary 61. The communication control device 18 in this case functions as the advertisement acquisition means 5. It is possible to output, to an external electronic device, actions determined by the action determination means 3 (inquiry responses, advertisements, and the like) via the communication control device 18, in which case the communication control device 18 functions as the presentation means 4. Furthermore, the communication control means 18 functions as a billing information presentation means 9 and transmits billing information to an external electronic device of the advertisement provider.

[0047] The input/output I/F 19 is an interface for connecting various devices for outputting voice, music, and the like, such as a speaker. The character recognition device 20 is a device for recognizing characters written on paper, or the like, in various formats, such as text format, HTML format, or the like, and is composed of an image scanner, a character recognition program, and the like. This character recognition device 20 functions as the character

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information acquisition means 1. A microphone, not shown, which functions as a voice capturing means for capturing voice, is connected to the voice recognition device 21, which recognizes the voice captured by the microphone and converts the voice to text data. The voice recognition device 21, when recognizing information data composed of voice that is input from the microphone and converting the information data into character string information, functions as the character string information acquisition means 1.

[0048] Figure 4 shows the system configuration when the owner of the information presentation device for display and the user requesting the presentation of the advertisement are different. As shown in Figure 4, an information presentation device 100 functions as a server, and is connected, via the Internet 30 as the network, to client devices 40a, 40b,..., home electric appliances such as a television 40d, a rice cooker 40e, a microwave over 40f, and various client devices (electronic devices) such as a mobile phone 40g. Each client device 40 may be connected to the information presentation device 100 via various networks other than the Internet 30, such as LAN (Local Area Network). In this manner, by causing the information presentation device 100 according to the present embodiment to function as a server on a network, it becomes unnecessary to store and update various data and dictionaries for each client device that is used by the user. In addition, since the advertisement information dictionary is on a network and is constantly updated, the latest advertisement can always be presented to the user. In addition, since the information presentation device 100 functions as a server on a network, it becomes possible to incorporate the advertisement presentation function as well as a daily conversation function of the information presentation device 100 into chat rooms on web sites. When the client device 40 also functions as an information presentation device, it is possible to download the latest advertisement information from the information presentation device 100 that functions as a server on the Internet.

[0049] The processing operation carried out by the information presentation device configured as described above will be described next. Figure 5 shows conversation examples (a), (b) between a user and an agent in a case of presenting an advertisement for an energy drink, assuming the user's remarks relating to fatigue, and an if-then rule (c) that shows the action determination procedure carried out by referring to this case. As shown in Figures 5(a) and (b), when the user (User) remarks "I've been fatigued recently, " the character string information acquisition means 1 acquires the character string information corresponding to this remark. The acquisition of this

character string information is achieved by acquiring input data as the character string information if the user inputs from the keyboard 12, and by acquiring the character string information corresponding to the voice recognized by the voice recognition device 21 if the user is speaking into the microphone (the same applies hereinafter).

[0050] Next, the preprocessing means 2 carries out preprocessing on the acquired character string information and creates clause information. Then, an action determination unit compares each of the independent words of the created clause information and the condition portion (if portion) of each case in the case dictionary 62, and when the keyword (independent word) "fatigue" returns a hit, determines "energy drink (first candidate)" as the action in accordance with the provision of the then portion of the corresponding case.

[0051] Based on this determination, the presentation means 4 looks up what the first candidate energy drink is in the advertisement information dictionary 61 (refers to the priority ranking information). If the first candidate of the priority ranking information is Yonkyo Co., Ltd.'s "Rogain J," then the action content therefor is looked up, and, as a result, the presentation means 4 presents, as shown in Figures 5(a), (b), the advertisement phrase "'Rogain J' by Yonkyo Co., Ltd. is recommended for hardworking businessmen." to the user as the agent's action. The presentation of this advertisement is carried out by outputting a synthesized voice from the speaker of the output means in the case where the character information acquisition means 1 acquired the information from the result of voice recognition based on voice, and by displaying the advertisement on the display screen of the display device 14, if the information is acquired as text data from the keyboard, or the like.

[0052] Then, if the user remarks "I don't need that now..." as shown in Figure 5(a) with respect to the agent's advertisement (action), based on the keyword "don't need" extracted from this remark, the agent takes the action "Oh, I'm sorry, I'll stop the advertisement." The process from the user's remark to the agent's action (presentation of the response or the advertisement by the presentation means) is carried out in the same manner as up to the presentation of the advertisement for Rogain in response to "fatigue" described above. However, as defined in Figure 5(c), since the action "Oh, I'm sorry, I'll stop the advertisement." is defined in this case, the presentation means 4 presents the action of the specified content to the user without referring to the advertisement information dictionary 61.

[0053] On the other hand, if the user remarks "I want to see an advertisement for a different manufacturer" as shown in Figure 5(b) with respect to the agent's advertisement (action), based on the keywords "different" and "manufacturer" extracted from this remark, the action determination means 3 determines, as the action, "energy drink (second candidate)" from the provision of the then portion of the case in the case dictionary 62 that returns a hit. Then, the presentation means 4 looks up the second candidate energy drink from the advertisement information dictionary 61, and if the second candidate is Chuho Pharmaceutical's "Neovita Drink," looks up the action content therefor. As a result, as shown in Figure 5(b), the presentation means 4 presents, to the user, the advertisement phrase "Then how about Chuho Pharmaceutical's 'Neovita Drink'..." as the agent's action.

[0054] Figure 6 shows a case in which an advertisement is presented assuming the user's remark relating to PCs, showing a conversation example (a) between the user and the agent, and an if-then rule (b) that shows the action determination procedure carried out by referring to this case. As shown in Figure 6(a), with respect to the user's remark "I wonder if it's about time I replaced this PC," the agent of the information presentation device determines that the topic is about PCs and suggests presenting an advertisement for a PC such as "What kind of PC would you like? How about a desktop PC?" If the user responds to this by saying "I don't need a big desktop. I'd rather get a laptop computer," the agent determines that an advertisement for a laptop computer, rather than a desktop computer, should be presented, and responds to the inquiry "You want a laptop, right?" If the user responds "Yeah. Something under 200,000 yen," the agent determines that it is the appropriate timing to present an advertisement, and presents the advertisement "For someone like you, I recommend BBM's TankPad. Take a look at this."

[0055] Figure 6 (b) shows the case (if-then rule) that presumed such user remarks and responses as shown in (a). The <critical> portion of the keyword "desktop <critical>" in this case is additional information that is appended to the clause information. This additional information is used by the preprocessing means 2 to determine whether the user has made a critical evaluation with respect to a specific keyword, from expressions such as "won't buy" "don't need" "don't like" "unnecessary" and the like.

[0056] Then, as shown in Figure 6(a), when the assumed user remark is established (when the if condition is met), the user's preference information that the user dislikes desktop PCs and likes laptop computers is obtained, and definitions "user_informatinon [likes: laptop computer]" and

"user_information [dislikes: desktop PC]" are provided giving instructions about the preference information holding process in these cases.

[0057] Figure 7 shows a case assuming user remarks between a user and an agent when the information presentation device is incorporated in a household electrical appliance. The case dictionary of this information presentation device defines cases for the agent to execute a command operation function, and the command operation function based on these cases is incorporated in the household electrical appliance. Figure 7 is a case in which the information presentation device is incorporated in a rice cooker. As shown in Figure 7, in response to the user's remark "Make sure than I can eat at 7 o'clock tomorrow morning," the action determination means 3 refers to the case dictionary 62 and determines a reservation command for the time to finish cooking. By means of this reservation command, the control unit of the rice cooker sets a reservation (command operation function) such that the cooking of the rice will be done at the specified time of 7 o'clock in the morning. Then, the action determination means 3 of the information presentation device determines, in accordance with the case, the response and inquiry "Got it. How firm do you want it to be?" and presents them by means of the presentation means.

[0058] If the user responds to this with "Make it a bit soft," the action determination means 3 determines a setting command for the firmness of the freshly cooked rice. Based on this determination, the command operation function of the rice cooker is set so that the rice is cooked firmly. Then, the action determination means 3 of the information presentation device determines, in accordance with the case, the response and inquiry "Got it. By the way, what are you going to have for the main dish?" and presents them by means of the presentation means.

[0059] The following is a description of the repetition of the assumed user remarks and the agent's advertisement presentation function. That is, as shown in Figure 7, in response to the user remark "I haven't decided yet . . . ," the information presentation device presents, to the user, the advertisement "How about Kadomiya's 'Domestic Soybean Natto' for breakfast? It uses 100% carefully selected soybeans grown in Hokkaido. Of course, it doesn't use any genetically modified soybeans." Then, if the user remarks "That's good. How much is it?" the information presentation device presents the advertisement (presentation of detailed information) "Only 160 yen for three 40 g packs." Furthermore, the user's response "That's perfect for me, before payday!" is assumed, and in the same manner thereafter, advertisement presentations and

command operations are continued in accordance with cases corresponding to various presumed user remarks.

[0060] Products "with advertisement presentation functions" as described above are sold at a lower cost than products that do not have advertisement presentation functions. Alternatively, a "cash back function" may be added and advertisement fees obtained from the advertisement provider may be returned to the user.

[0061] Figure 8 shows an assumed example of when the information presentation device is used for chat. That is, a case is created in which the advertisement presentation function and the daily conversation function are incorporated in a chat room on a website. A case is defined in which, while user A and user A are chatting, the system senses that it is 3 o'clock, and the information presentation device presents the action "Hey A and B. It's 3 o'clock already. What are you having for afternoon tea?"

[0062] In this manner, cases are defined such that, when there are people in a chat room but there have been no remarks for a set period of time, or when a specific time arrives, the agent actively presents an advertisement. This leads to reactivation of the chat and provision of topics. Additionally, cases are defined such that if one user enters an empty chat room, the user can have a daily conversation with the agent until another user enters. The user can thereby be incentivized to stay in the chat room.

[0063] According to the present invention described above, the following effects can be obtained.

(1) It becomes possible to present, to a user, an advertisement with an appropriate content at an appropriate timing.

(2) It becomes possible to present different advertisements depending on the user's request for more details.

(3) It becomes possible to appropriately respond to the user's inquiry regarding the content of the advertisement.

(4) It becomes possible to determine what the topic is related to from keywords spoken by the user so as to present an appropriate advertisement.

[0064] One embodiment of the information presentation device, the information presentation program, and the information presentation method according to the present invention was described above, but the present invention is not limited to the above-described embodiment, and

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various modifications can be made within the scope described in each of the claims. For example, in the embodiment described above, a case was described in which cases for carrying out if-then format processes are stored in the case dictionary 62; however, the cases may be incorporated in an action determination process for the action determination means 3 as an if-then format program.

[0065] Additionally, in the embodiment described above, when there is a plurality of competing advertisements, priority ranking information is stored in the advertisement information dictionary 61, and those with the highest advertisement fees are preferentially displayed, but since there is the possibility that advertisements with low advertisement fees will not be presented, the number of times that advertisements are presented may be counted, and the advertisements may be presented an appropriate number of times in consideration of this count number and advertisement fees.

[0066] In addition, instead of setting a priority ranking, inquiries such as "what flavor do you like?" and "what kind of energy drink do you like?" may be set in the if-then rules so that the advertisement target and the energy drink, of which there is a plurality, may be ultimately determined.

[0067]

[Effect of the Invention] According to the present invention, it becomes possible to present, to a user, an advertisement with a more appropriate content at a more appropriate timing.

[BRIEF DESCRIPTION OF THE DRAWINGS]

[Figure 1] Figure 1 is a configuration of one embodiment of the information presentation device according to the present invention, conceptually showing a configuration of an information presentation program and of a computer that has read the program of a storage medium to which said information presentation program is stored according to the present invention.

[Figure 2] Figure 2 shows a specific system configuration of the information presentation device configured in this manner. Figure 2 mainly shows a configuration when the owner of the information presentation device and the user are the same.

[Figure 3] Figure 3 conceptually shows the storage content of the dictionary storage unit 6.

[Figure 4] Figure 4 shows the system configuration when the owner of the information presentation device for display and the user requesting the presentation of the advertisement are different.

[Figure 5] Figure 5 shows conversation examples (a), (b) between a user and an agent in a case of presenting an advertisement for an energy drink, assuming the user's remarks relating to fatigue, and an if-then rule (c) that shows the action determination procedure carried out by referring to this case.

[Figure 6] Figure 6 shows a case in which an advertisement is presented assuming the user's remark relating to PCs, showing a conversation example (a) between the user and the agent, and an if-then rule (b) that shows the action determination procedure carried out by referring to this case.

[Figure 7] Figure 7 shows a case assuming user remarks between a user and an agent when the information presentation device is incorporated in a household electrical appliance.

[Figure 8] Figure 8 shows an assumed example of when the information presentation device is used for chat. That is, a case is created in which the advertisement presentation function and the daily conversation function are incorporated in a chat room on a website.

[Descriptions of the Reference Symbols]

1 Character string information acquisition means

2 Preprocessing means

3 Action determination means

4 Presentation means

5 Advertisement acquisition means

6 Dictionary storage unit

7 User information storage means

8 Billing means

9 Billing information presentation means

10 Preference expression extraction

61 Advertisement information dictionary

62 Case storage means

63 Related word dictionary

64 Preference expression rule dictionary

100 Information presentation device

30 Internet

40a-40c Client devices

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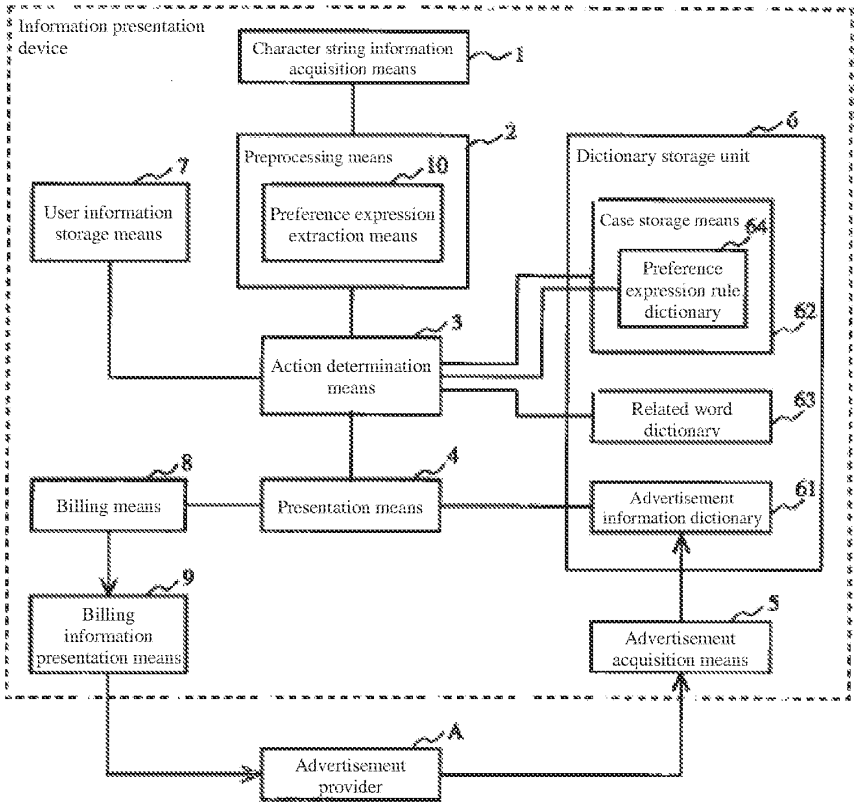
40d Television

40e Rice cooker

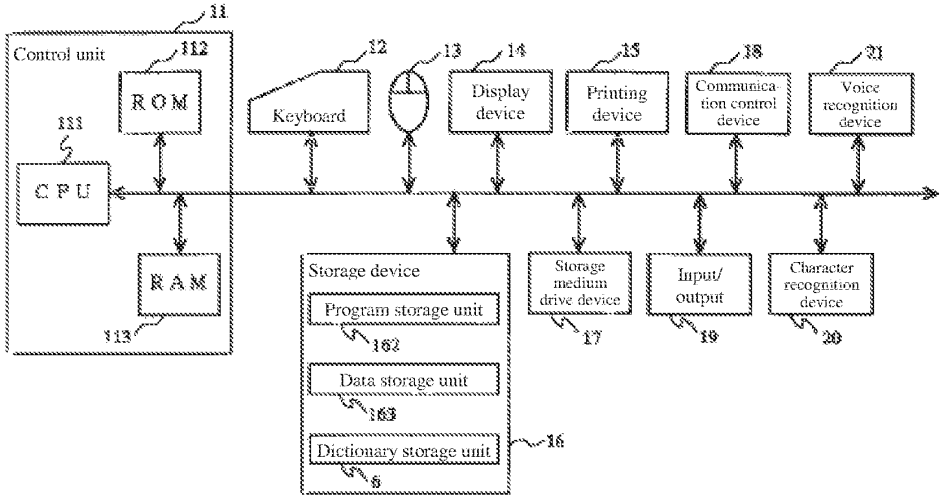
40f Microwave oven

40g Mobile phone

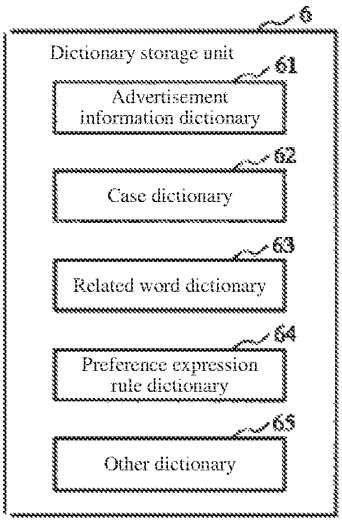
[FIGURE 1]



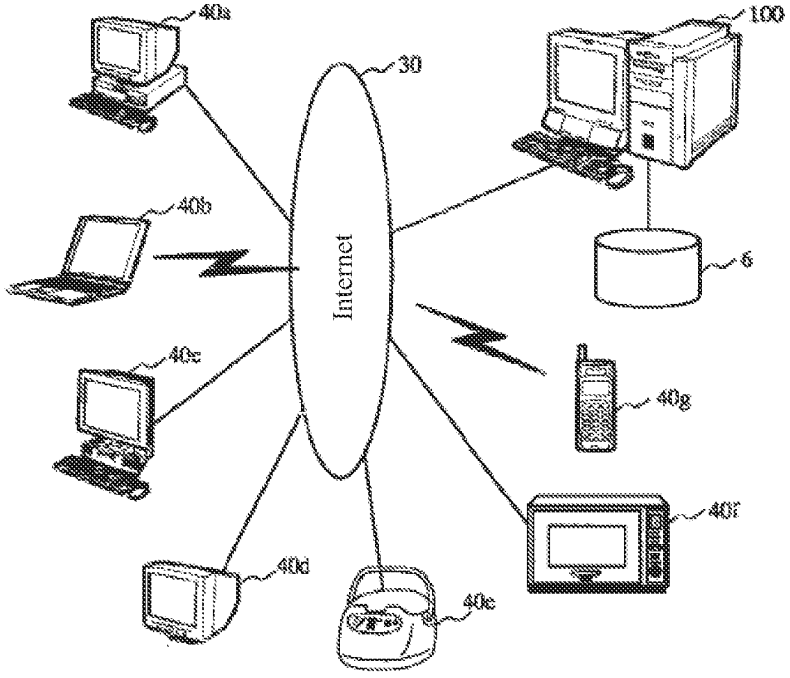
[FIGURE 2]



[FIGURE 3]



[FIGURE 4]



[FIGURE 5]

<Conversation example between user and agent>

(a)

User : I've been fatigued recently.

Agent : "Rogain J" by Yonkyo Co., Ltd. is recommended for hardworking businessmen.

User : I don't need that now • • •

Agent : Oh, I'm sorry. I'll stop the advertisement.

(b)

User : I've been fatigued recently.

Agent : "Rogain J" by Yonkyo Co., Ltd. is recommended for hardworking businessmen.

User : I want to see an advertisement for a different manufacturer.

Agent : Then how about Chuho Pharmaceutical's 'Neovita Drink" • • •

<If-then rule representing an action determination means by means of case reference>

(c)

```
 ` ` ` `
if (keyword[fatigue]) then
{
 advertise[energy drink (first candidate)]
 if (keyword[don't need]) then
{
     reply[Oh, I'm sorry. I'll stop the advertisement.]
 }
 else if (keyword[different] and keyword[manufacturer]) then
 {
     advertise[energy drink (second candidate)]
}
}
```

[FIGURE 6]

<Conversation example between user and agent>

(a)

User	:	I wonder if it's about time I replaced this PC.
Agent	:	What kind of PC would you like? How about a desktop PC?
User	:	I don't need a big desktop. I'd rather get a laptop computer.
Agent	:	You want a laptop, right?
User	:	Yeah. Something under 200,000 yen.
Agent	:	For someone like you, I recommend BBM's TankPad. Take a look at this.

<If-then rule that shows the action determination procedure carried out by referring to this case>

(b)

```
if(keyword [PC] and keyword [replace<positive, present form or future form>]
 {
   reply [What kind of PC would you like? How about a desktop PC?]
   if(keyword [desktop<critical>] and keyword [laptop]) then
   {
        user_information [likes: laptop computer]
        user_information [dislikes: desktop PC]
        reply [You want a laptop, right?]
        if(keyword [<numerical value>yen or lower] and keyword [want]) then
        {
                        advertise [<numerical value>laptop computer under ~yen]
      }
        otherwise
        {
                        advertise [common laptop computer]
        }
  }
}
```

*Whether the user has made a critical evaluation with respect to a specific keyword is determined, from expressions such as "won't buy," "don't need," "don't like," "unnecessary," and the like.

[FIGURE 7]

Example 1: Incorporation into household electrical appliances

• Advertisement presentation function is incorporated in a home electric appliance {together with a command operation function by an agent}

*User • • • Human Agent • • • Rice cooker

User : Make sure than I can eat at 7 o'clock tomorrow morning.

Agent : Got it. How firm do you want it to be?

User : Make it a bit soft.

Agent : Got it. By the way, what are you going to have for the main dish?

User : I haven't decided yet • • •

Agent : How about Kadomiya's "Domestic Soybean Natto" for breakfast?

It uses 100% carefully selected soybeans grown in Hokkaido.

Of course, it doesn't use any genetically modified soybeans.

User : That's good. How much is it?

Agent : Only 160 yen for three 40 g packs.

User : That's perfect for me, before payday!

[FIGURE 8]

Example 2: Incorporation into chats

• The advertisement presentation function and the daily conversation function are incorporated in a chat room on a website.

*UserA, UserB • • • Chat participants		
UserA	:	I'm getting tired of chatting. There are only the two of us for a while.
UserB	:	Yeah. I'm tired.
Advertisement	:	Hey, A and B. It's 3 o'clock already. What are you having for afternoon tea?
		For an afternoon snack, I have to recommend Laurent's Kalbi Bun.
		The word "kalbi" is branded on top, and the seasoning is exactly the taste of kalbi.
UserB	:	I'm a sweet tooth.
Advertisement	:	Ah, you're a sweet tooth. Number one recommendation for a sweet tooth is "Cappuccino Bun."
		The coffee cream and the milk cream form an exquisite harmony that will melt you.
UserA	:	Oh. I had a Cappuccino Bun the other day.
UserB	:	Huh, you're actually a sweet tooth, too.

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May 27, 2020

Re: JP2002297626A

To Whom It May Concern:

This is to certify that the above-referenced documents **(JP2002297626A)** have been translated from Japanese into English by a professional translator on our staff who is skilled in the Japanese language.

The English translation conforms essentially to the original Japanese except for those words or phrases for which there are no equivalents. Such words or phrases are noted in the translation along with the best English meaning.

Tonja Shepard
TONJA SHEPARD

Subscribed and sworn to before me on May 27, 2020.

Deborah K. Wright
Notary Public, State of Texas

My commission expires: April 12, 2022

DEBORAH K. WRIGHT
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Expires April 12, 2022

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	１７０		１７０Ｚ
9/44	５５０	9/44	５５０Ｎ
13/00	５４０	13/00	５４０Ｐ

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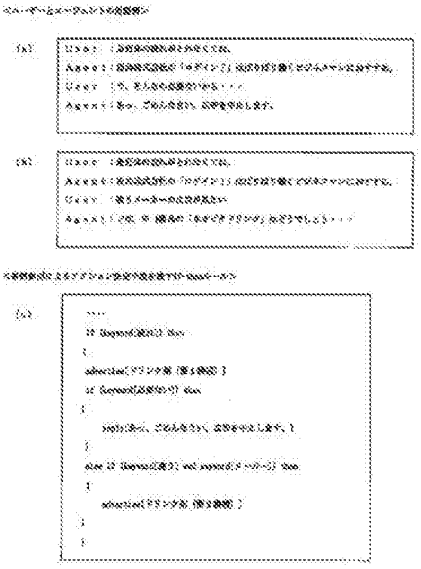
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(54)【発明の名称】　情報提示装置、情報提示プログラム、及び情報提示方法

(57)【要約】
【課題】　ユーザに対して、より適切なタイミングでより適切な内容の広告を提示できる、情報提示装置を提供する。
【解決手段】　ユーザ発言を想定した事例を参照しながらより詳細な解析処理を行う対話システムにより、広告を提示し、また、広告を提示するための問い返しを行う。そうすることで、広告のなかからユーザの嗜好に合ったものを取捨選択して適切なタイミングで提示したり、広告の問い合わせに対する簡単な応答を返せるようにする。このような動作を擬似人格を有するエージェントによる動作として、コンピュータが実現する。そのためのコアエンジンとして、ユーザ発言を想定した可能な限りの事例を用意し、この事例を参照しながら、エージェントのアクション（ユーザへの問い返しや広告）を決定する。コアエンジンは、前処理及びアクション決定を行う。



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【特許請求の範囲】
【請求項1】　予め想定されるユーザの発言と、当該発言に対応する問い返し又は広告のアクションとが事例として複数記憶される事例記憶手段と、
ユーザの発言内容に対応する文字列情報を取得する文字列情報取得手段と、
前記文字列情報取得手段で取得した文字列情報を分析する前処理手段と、
前記前処理手段による分析結果に基づいて、前記事例記憶手段に記憶された事例に従いユーザに対するアクションを決定するアクション決定手段と、
前記アクション決定手段で決定した問い返し又は広告をユーザに提示する提示手段と、を具備することを特徴とする情報提示装置。
【請求項2】　前記事例記憶手段に記憶された事例はif-thenルールにより規定されていることを特徴とする請求項1に記載の情報提示装置。
【請求項3】　前記if-thenルールは、前記前処理手段で分析されたキーワード、発言履歴、問い返しの進捗状況、ユーザの嗜好等を表すユーザ情報のうちの少なくとも1つを事例マッチングのための条件とすることを特徴とする請求項1に記載の情報提示装置。
【請求項4】　前記前処理手段は、取得した前記文字列情報から自立語と付属語からなる文節情報を作成することを特徴とする請求項1に記載の情報提示装置。
【請求項5】　前記前処理手段は、文節情報として、肯定形、否定形、現在形、未来形等の付加情報を付加することを特徴とする請求項4に記載の情報提示装置。
【請求項6】　前記前処理手段は、前記文字列情報から、嗜好を表す嗜好情報を抽出する嗜好表現抽出手段を備え、
この嗜好表現抽出手段で抽出した嗜好情報と、その嗜好情報の対象とをユーザ情報として記憶するユーザ情報記憶手段を有することを特徴とする請求項1に記載の情報提示装置。
【請求項7】　前記事例記憶手段は、前記複数の事例を事例辞書又は処理プログラムとして記憶することを特徴とする請求項1に記載の情報提示装置。
【請求項8】　広告提供者から提示される広告を取得する広告取得手段と、
広告取得手段で取得した広告を記憶する広告情報辞書を備え、
前記提示手段は、前記アクション決定手段で広告のアクションが決定された場合に、前記アクションに対応する広告を前記広告情報辞書から読み出して前記ユーザに提示することを特徴とする請求項1に記載の情報提示装置。
【請求項9】　特定の語に対する上位語、下位語、関連語、反対語のうちの少なくとも1つからなる関連語が格納された関連語辞書を備え、
前記アクション決定手段は、前記前処理手段で分析された特定の語に対する関連語を前記関連語辞書から抽出し、前記特定の語及び抽出した関連語の少なくとも一方に基づいて、前記事例記憶手段に記憶された事例に従いユーザに対するアクションを決定することを特徴とする請求項1に記載の情報提示装置。
【請求項10】　予め想定されるユーザの発言と、当該発言に対応する問い返し又は広告のアクションとが事例として複数記憶される事例記憶手段、
ユーザの発言内容に対応する文字列情報を取得する文字列情報取得手段、
前記文字列情報取得手段で取得した文字列情報を分析する前処理手段、
前記前処理手段による分析結果に基づいて、前記事例記憶手段に記憶された事例に従いユーザに対するアクションを決定するアクション決定手段、
前記アクション決定手段で決定した問い返し又は広告をユーザに提示する提示手段、としてコンピュータを機能させるための情報提示プログラム。
【請求項11】　ユーザの発言内容に対応する文字列情報を取得する文字列情報取得ステップと、
前記文字列情報取得ステップで取得した文字列情報を分析する前処理手ステップと、
前記前処理ステップによる分析結果に基づいて、予め想定されるユーザの発言と、当該発言に対応する問い返し又は広告のアクションとが事例として複数記憶された事例記憶手段に記憶された事例に従いユーザに対するアクションを決定するアクション決定ステップと、
前記アクション決定ステップで決定した問い返し又は広告をユーザに提示する提示ステップと、を実行することを特徴とする情報提示方法。
【発明の詳細な説明】
【0001】
【発明の属する技術分野】本発明は情報提示装置、情報提示プログラム、及び情報提示方法に係り、例えば、ユーザとの対話形式により広告を提示することに関する。
【0002】
【従来の技術】パーソナルコンピュータ（以下パソコンという）や、マイコンシステムを備えた電子レンジ等の各種電子機器が広く普及している。これらの電子機器では、インターネットやLAN（Local Area Network）等の各種ネットワークにより他の電子機器や装置と接続され、通信により各種情報やプログラムを取得できるようになっているものもある。このような電子機器を使用する場合、そのユーザにとって関心のある広告を適した時点で入手できると非常に便利である。一方、広告提供者にとっては、不特定多数の人に対して広告する場合に比べて、興味や関心を持ったユーザに絞って広告を提供できることは、広告することの効果を上げることになるため、非常に好ましいことである。

【0003】そこで、従来からパソコンや携帯電話等の電子機器を使用しているユーザに対して、効果的な広告を提供する方法が種々提案されている。例えば、特開平11-33482で提案されている技術では、インターネットのチャット部屋において、チャット参加者の発言ログからキーワードを抽出し、関連する広告をチャット参加者に提示することが行われている。

【0004】

【発明が解決しようとする課題】しかし、上記公報提案の技術では、単純なキーワードマッチングであり、関係のない広告にマッチしたり、ユーザが否定的な評価を持つものに対しても広告を提示してしまうという問題がある。例えば、「デスクトップパソコンは場所をとるから要らない」といった発言がされた場合を想定してみる。この場合発言内容から「デスクトップパソコン」がキーワードとしてマッチングされるため、「デスクトップパソコン」がヒットしてしまう場合がある。この様な場合、「要らない」とのユーザの重要な発言部分が無視されるため、不適切な広告を提示してしまうことになる。

【0005】また、ヒットしたキーワードに対応する通り一遍の広告しか提示できないため、ユーザのより詳細な要求に合った広告を出せないという問題もある。例えば、発言「20万円以内のノートパソコンなら買うんだけど」に対して、「20万円」「20万以内」がキーワードとして設定されている場合には、「18万円」のノートパソコンにヒットすることはなかった。

【0006】また、ユーザが広告内容について、例えば、「そのパソコンの液晶何インチ？」等の問い合わせを行ってもそれに応じることができなかった。

【0007】さらに、ユーザ発話中のキーワードから、それが何に関連する話題なのかを判断して適切な広告を提示することができなかった。例えば、ユーザがスノーボードについての発話をしているときに、スポーツ一般についての広告を出すことができなかった。

【0008】そこで本発明は、ユーザに対して、より適切なタイミングでより適切な内容の広告を提示できる、情報提示装置、情報提示プログラム、及び情報提示方法を提供することを第1の目的とする。また、ユーザのより詳細な要求に応じて、様々な広告を提示できるようにすることを第2の目的とする。また、広告内容についてのユーザの問い合わせに対して、適切な応答ができるようにすることを第3の目的とする。また、ユーザ発話中のキーワードから、それが何に関連する話題なのかを判断して適切な広告を提示できるようにすることを第4の目的とする。

【0009】

【課題を解決するための手段】請求項1に記載した発明では、予め想定されるユーザの発言と、当該発言に対応する問い返し又は広告のアクションとが事例として複数記憶された事例記憶手段と、ユーザの発言内容に対応する文字列情報を取得する文字列情報取得手段と、前記文字列情報取得手段で取得した文字列情報を分析する前処理手段と、前記前処理手段による分析結果に基づいて、前記事例記憶手段に記憶された事例に従いユーザに対するアクションを決定するアクション決定手段と、前記アクション決定手段で決定した問い返し又は広告をユーザに提示する提示手段と、を情報提示装置に具備させて前記目的を達成する。

【0010】本発明において、事例記憶手段は、事例マッチング処理を行うプログラムとして記憶してもよく、また事例マッチング処理を行うための検索データとして記憶するようにしてもよい。また、文字列情報取得手段は、キーボード等から入力されたテキストデータから文字列情報を取得し、所定の記憶媒体に格納された文字列情報を記憶媒体駆動手段により取得し、データ通信手段により外部機器で作成された文字列情報を取得し、更に、マイクや通信手段を介して音声入力された音声データを取得してこの音声データの音声認識により文字列情報を取得するようにしてもよい。また、提示手段は、問い返し又は広告をユーザに提示する場合、音声による提示、又は、液晶表示装置やCRT等の表示手段に文字列を表示することによる提示、その他の提示方法による。この場合、文字列情報取得手段により取得した形式と同一の形式により提示することが好ましい。すなわち、音声データの音声認識により文字列情報を取得した場合にはスピーカ等の音声出力手段からの音声による問い返しや広告の提示を行い、チャットのようにテキストデータにより文字列情報を取得した場合には表示手段へのテキストデータによる問い返しや、テキストデータ又は画像情報による広告の提示を行う。この場合、広告を表示する到画面、ウィンドウ、領域を、ユーザが入力した文字列情報が表示される画面、ウィンドウ、領域と別に設けるようにしてもよい。提示手段により、表示手段を介して広告を提示する場合、広告提供者の広告ページにアクセスするためのアクセス情報（例えば、リンク情報としてのURL（uniform resource locators））をユーザに提示するようにしてもよい。

【0011】本発明において、文字列情報取得手段と提示手段が、ユーザに対するエージェントとして機能し、エージェントの動作を決定するためのエンジンとして前処理手段、アクション決定手段が機能するようにしてもよい。これにより、ユーザはエージェントとの対話から、より自分の嗜好に合った広告等の情報を取得することができ、情報提示装置をより身近なものとして使用することができるようになる。ここで、「ユーザ」は広告を広める対象となる一般の人間を意味する。「エージェント」は広告主に代わって広告をユーザに提示する代理人として、またユーザの希望する広告等の情報を提供する対話相手として振る舞うことになる。

Amazon/VB Assets
Exhibit 1017
Page 3

【００１２】請求項３に記載の発明では、請求項１に記載の情報提示装置において、前記事例記憶手段に記憶された事例はIf-thenルールにより規定されていることを特徴とする。請求項３に記載の発明では、請求項１に記載の情報提示装置において、前記If-thenルールは、前記前処理手段で分析されたキーワード、発言履歴、問い返しの進捗状況、ユーザの嗜好等を表すユーザ情報のうちの少なくとも１つを事例マッチングのための条件とすることを特徴とする。請求項４に記載の発明では、請求項１に記載の情報提示装置において、前記前処理手段は、取得した前記文字列情報から自立語と付属語からなる文節情報を作成することを特徴とする。請求項５に記載の発明では、請求項１に記載の情報提示装置において、前記前処理手段は、文節情報として、肯定形、否定形、現在形、未来形等の付加情報を付加することを特徴とする。

【００１３】請求項６に記載の発明では、請求項１に記載の情報提示装置において、前記前処理手段は、前記文字列情報から嗜好をあす嗜好情報を抽出する嗜好表現抽出手段を備え、この嗜好表現抽出手段で抽出した嗜好情報と、その嗜好情報の対象とをユーザ情報として記憶するユーザ情報記憶手段を有することを特徴とする。嗜好表現抽出手段は、嗜好を表す情報が文字列情報に含まれているか否かを判断し、例えば、「○○が嫌い」「○○が好き」「○○が素敵」「○○がかっこいい」というユーザ入力にヒットしたら、内部的にそれを記憶する、という嗜好表現のルールに従って処理を行う。この嗜好表現ルールは、プログラムとして規定することが可能である。また嗜好表現ルール辞書に記述するようにしてもよい。

【００１４】請求項７に記載の発明では、請求項１に記載の情報提示装置において、前記事例記憶手段は、前記複数の事例を事例辞書又は処理プログラムとして記憶することを特徴とする。請求項８に記載の発明では、請求項１に記載の情報提示装置において、広告提供者から提示される広告を取得する広告取得手段と、広告取得手段で取得した広告を記憶する広告情報辞書を備え、前記提示手段は、前記アクション決定手段で広告のアクションが決定された場合に、前記アクションに対応する広告を前記広告情報辞書から読み出して前記ユーザに提示することを特徴とする。請求項９に記載の発明では、請求項１に記載の情報提示装置において、特定の語に対する上位語、下位語、関連語、反対語のうちの少なくとも１つからなる関連語が格納された関連語辞書を備え、前記アクション決定手段は、前記前処理手段で分析された特定の語に対する関連語を前記関連語辞書から抽出し、前記特定の語及び抽出した関連語の少なくとも一方に基づいて、前記事例記憶手段に記憶された事例に従いユーザに対するアクションを決定することを特徴とする。

【００１５】請求項１０に記載した情報提示プログラムでは、予め想定されるユーザの発言と、当該発言に対応する問い返し又は広告のアクションとが事例として複数記憶される事例記憶手段、ユーザの発言内容に対応する文字列情報を取得する文字列情報取得手段、前記文字列情報取得手段で取得した文字列情報を分析する前処理手段、前記前処理手段による分析結果に基づいて、前記事例記憶手段に記憶された事例に従いユーザに対するアクションを決定するアクション決定手段、前記アクション決定手段で決定した問い返し又は広告をユーザに提示する提示手段、としてコンピュータを機能させる、ことにより前記目的を達成する。

【００１６】請求項１１に記載した情報提示方法では、ユーザの発言内容に対応する文字列情報を取得する文字列情報取得ステップと、前記文字列情報取得ステップで取得した文字列情報を分析する前処理ステップと、前記前処理ステップによる分析結果に基づいて、予め想定されるユーザの発言と、当該発言に対応する問い返し又は広告のアクションとが事例として複数記憶された事例記憶手段に記憶された事例に従い、ユーザに対するアクションを決定するアクション決定ステップと、前記アクション決定ステップで決定した問い返し又は広告をユーザに提示する提示ステップと、を実行する、ことにより前記目的を達成する。

【００１７】

【発明の実施の形態】以下、本発明の情報提示装置、情報提示プログラム、及び情報提示方法における好適な実施の形態について、図１から図８を参照して詳細に説明する。

（１）実施形態の概要

本実施形態では、単なるキーワードマッチングによる広告の提示ではなく、ユーザ発言を想定した事例を参照しながらより詳細な解析処理を行う対話システムにより、広告を提示し、また、広告を提示するための問い返しを行う。そうすることで、広告の数からユーザの嗜好に合ったものを取捨選択して適切なタイミングで提示したり、広告の問い合わせに対する簡単な応答を返せるようにする。本実施形態では、このような動作を擬似人格を有するエージェントによる動作として、コンピュータが実現する。そのためのコアエンジンとして、ユーザ発言を想定した可能な限りの事例を用意し、この事例を参照しながら、エージェントのアクション（ユーザへの問い返しや広告）を決定する。コアエンジンは、前処理及びアクション決定を行う。

【００１８】（２）実施形態の詳細

図１は本発明の情報提示装置の一実施形態の構成であり、本発明の情報提示プログラムや該情報提示プログラムが記憶された記憶媒体の該プログラムが読みとられたコンピュータの構成を、概念的に表したものである。この概念構成図に示されるように、情報提示装置（コンピュータ）は、文字列情報取得手段１、前処理手段２、ア

クション決定手段3、提示手段4、広告取得手段5、課金結部6、ユーザ情報記憶手段7、課金手段8、課金情報提示手段9を備えている。前処理手段2は、嗜好表現抽出10を備えている。辞書格納部6は、広告情報辞書61、事例記憶手段62、関連語辞書63、嗜好表現ルール辞書64を備えている。

【0019】文字列情報取得手段1は、ユーザの発言又は発言に相当する内容を含む情報から文字列情報を取得する。例えば、入力手段としての、キーボード、マウス、マイク及びこのマイクからの音声の音声認識装置、その他の入力手段として機能する入力装置から文字列情報を直接取得する。また、文字列情報取得手段1は、通信手段やインターフェイスを介して、補助記憶装置や外部装置から、有線または無線で取得するようにしてもよい。外部装置としては、LAN接続された他のパーソナルコンピュータや、インターネットのワールド・ワイド・ウェブ（WWW）に接続された外部のパーソナルコンピュータなどが該当する。

【0020】前処理手段2は、文字列情報取得手段1で取得した文字列情報を、自立語と付属語からなる文節に区切り、文節情報を得る。前処理手段2は、区切った各文節に、肯定形、否定形、現在形、未来形などの付加情報を文節情報として付与する。また、前処理手段2は、嗜好表現抽出手段10を備えている。この嗜好表現抽出手段10は、取得した文字列情報から嗜好を表す嗜好情報を抽出するようになっている。

【0021】アクション決定手段3は、前処理手段2で得た文節情報に基づいて、予め用意された事例記憶手段62、関連語辞書63を参照しながら、エージェントが行うべきアクションを決定するようになっている。アクション決定手段3で決定するエージェントのアクションとして、ユーザの問い合わせに対する適切な応答、ユーザへの問い返し、提示する広告の決定などが行われる。後述するように、事例記憶手段62には、ユーザ発言を想定した、例えば「ユーザが『疲れた』と発言したときに第1候補のドリンク剤を提示する」というif-then形式のルール（事例）が格納されている。アクション決定手段3は、例えば、文節情報からキーワード「疲れ」がヒットすると、事例記憶手段62に格納された上記事例から、「第1候補のドリンク剤を提示する」というアクションを決定するようになっている。

【0022】また、アクション決定手段3は、関連語辞書63を用いることで、上位語、下位語、関連語、反対語などの関連語を考慮したマッチングを行うようになっている。これにより、例えばユーザが「スノーボード」について話していたなら、上位語である「スポーツ」をも話題と判断して、スポーツ関連の広告を提示することが可能になる。

【0023】また、アクション決定手段3は、前処理手段2で得た文節情報中に含まれる自立語（キーワード）や嗜好表現の出現頻度をカウントするようになっている（出現頻度カウント手段）。そして、この出現頻度からユーザの嗜好や、趣味、好み等を判断し、広告提示に利用するようになっている。例えば、本実施形態による情報提示装置をチャット部屋用のサーバーに適用した場合、「チャット部屋ごとに良く出てくるキーワード」を発言頻度としてカウントし、そのチャット部屋にどのような趣味・嗜好を持った人が多いかを自動的に判定し、それに合った広告を提示する。例えばスポーツについて話す人が多ければ、スポーツについての広告をチャット部屋に流すことが可能になる。

【0024】またアクション決定手段3は、前処理手段2で抽出された、文字列情報中に存在する嗜好情報は、その嗜好情報の対象（嗜好対象）と共に、ユーザ情報としてユーザ情報記憶手段7に格納されるようになっている。この嗜好情報の格納は、嗜好表現ルール辞書64に格納されているルールに従って抽出される。ユーザ情報記憶手段7に格納されたユーザ情報は、必要に応じて広告提供者に提供され、また、ユーザの嗜好分析等に使用される。

【0025】提示手段4は、アクション決定手段3で決定したアクションをエージェントのアクションとしてユーザに提示するようになっている。決定したアクションが、事例に基づく広告決定のための問い返しである場合、提示手段4は、事例として規定されている応答文や応答音声、又は問い返し文や問い返し音声をユーザに提示する。一方、決定したアクションが広告である場合、提示手段4は、決定したアクションに対応する広告を広告情報辞書61から読み出してユーザに提示する。提示手段4は、必要に応じて、広告中であることを明示できるようになっている。この明示はユーザの処理に基づいて停止することも可能であり、また、当初からこの機能を設けないことも可能である。広告中明示機能としては、例えば、エージェントの発言内容に「ただいま広告中です」を付け加えることによる、また、液晶表示装置等の出力装置の画面において、キャラクターに特定な広告看板の中に広告内容を表示することで、広告中であることを明示するようにしてもよい。このように広告であることを明示することで、ユーザは広告であることを認識できるため、会話中に広告を組み入れた場合に、ユーザがそれと意識できずに無意識へのすり込みとなることを防止される。

【0026】広告取得手段5は、広告提供者から提供される広告情報を取得するようになっている。広告取得手段5が取得する広告情報としては、能動広告情報、回答広告情報、優先順位情報がある。能動広告情報は、システムがユーザに対して能動的に広告提示を行うための情報で、広告企業や広告商品と、それを広告するための文言や音声からなるアクション内容などから構成される。回答広告情報は、ユーザの発言や問い合せに応じて広告

を行うための情報で、当該商品等の価格、効能、発売日など、ユーザの発言、問い合せに答える文言又や音声からなるアクション内容等から構成されている。優先順位情報は、競合する広告があった場合、どれを優先して広告するかを決定するのに使用される情報で、登録料等から構成される。また、広告取得手段5が広告情報を取得する方法としては、主として通信制御手段を介して広告提供者から送信される広告情報を取得する。なお、広告情報が記録されたフロッピーディスクやCD-ROM等の各種記録媒体を取得し、対応する記憶媒体駆動装置から広告情報を取得するようにしてもよい。広告取得手段5で取得した広告情報は、広告情報記憶61に格納されるようになっている。

【0027】課金手段8は、広告提供者に対する課金情報を算出する。課金システムとしては、例えば、登録料、個別広告料、ユーザ情報フィードバック料、詳細情報提示料、リンク料等が定められており、課金手段8は、これらの各料金を広告提供者との契約により一定期間毎に算出する。広告提供者が、本実施形態による広告提示機能に参入する場合には、登録料を徴収する。複数の広告提供者が競合する場合、登録料が高いほど広告がユーザに提示される頻度を高めるようにする。この登録料が高い程、広告情報記憶61に格納される優先順位が高く設定される。また、ユーザに広告が提示された回数に応じて、該当する広告主から個別広告料を徴収する。広告提示の中で得られたユーザの嗜好情報や個人情報を、インターネットを介して広告提供者側にフィードバックできるようにしておく。その情報量に応じて広告提供者からユーザ情報フィードバック料を徴収する。フィードバックする情報として例えば、ユーザの嗜好場合「ノートパソコンが好き」、「20万円以内」等があり、ユーザ個人情報の場合「年齢、職業、趣味、好きなもの、嫌いなものetc.」がある。ユーザから要求された詳細情報を提示した場合には、それに応じた詳細情報提示料を追加する。また、ユーザに広告へのリンク（URL）を提示し、ユーザがリンクをクリックした回数を計測するしくみを持たせておく。リンクをクリックした回数に応じてリンク料の課金を行う。以上の各料金及び課金の方法は一例であり、他の各種方法により課金するようにしてもよい。

【0028】課金手段8で算出された合計の課金額は、課金情報として、課金情報提示手段9により広告提供者に提示される。具体的な提示方法としては、広告提供者が登録した端末装置に課金メールとして送信するか、その他各種方法によってもよい。

【0029】図2は、このように構成された情報提示装置の、具体的なシステム構成を表したものである。この図2は、主として情報提示装置の所有者とユーザとが一致している場合の構成である。図2に示されるように、情報提示装置はパーソナルコンピュータやワードプロセッサ等を含むコンピュータシステムによって構成される。情報提示装置は、図2に示すようにシステム全体を制御するための制御部11を備えている。この制御部11には、データバス等のバスラインを介して、入力装置としてのキーボード12やマウス13、表示装置14、印刷装置15、記憶装置16、記憶媒体駆動装置17、通信制御装置18、入出力I/F19、及び文字認識装置20、音声認識装置21が接続されている。

【0030】制御部11は、CPU111、ROM112、RAM113を備えている。CPU111は、プログラムに従って各種装置を制御し演算を行う。ROM112は、コンピュータの起動時に実行されるプログラム等が予め格納されたリードオンリーメモリである。RAM113は、CPUが各種制御や演算を行うためのプログラムやデータが格納されるワーキングメモリとして使用され、本実施形態による、文字列情報取得処理、前処理、アクション決定処理、提示処理、課金処理、課金情報提示処理、広告取得処理等の各種処理を行うための各種エリアが確保可能になっている。

【0031】キーボード12は、入力手段を構成し、ユーザが発言内容となる文字列情報を入力したり、フロッピー（登録商標）ディスクやハードディスク等の記憶媒体に予め格納した発言内容の文字列情報を選択するために使用される。キーボード12には、仮名文字を入力するための仮名キーやテンキー、各種機能を実行するための機能キー、カーソルキー、等の各種キーが配置されている。マウス13は、ポインティングデバイスであり、キーボードと同様に入力手段を構成し、表示装置14に表示されたキーやアイコン等をクリックすることで、発言内容の文字列情報を選択したり、エージェントから提示された広告のリンク情報を選択したり、特定の処理の選択と命令を行う。表示装置14は、例えばCRTや液晶ディスプレイ等が使用される。この表示装置14は提示手段4として機能し、その画面にはユーザの発言内容や、エージェントからの応答（問い返し等）や提示される広告が表示されるようになっている。印刷装置15は、提示手段4として機能し、表示装置14に表示された画像等の印刷を行うためのものである。この印刷装置としては、レーザプリンタ、ドットプリンタ、インクジェットプリンタ、ページプリンタ、感熱式プリンタ、熱転写式プリンタ、等の各種印刷装置が使用される。

【0032】記憶装置（補助記憶装置）16は、読み書き可能な記憶媒体と、その記憶媒体に対してプログラムやデータ等の各種情報を読み書きするための駆動装置で構成されている。この記憶装置16に使用される記憶媒体としては、主としてハードディスクが使用されるが、後述の記憶媒体駆動装置17で使用される各種記憶媒体のうちの読み書き可能な記憶媒体を使用するようにしてもよい、記憶装置16は、プログラム格納部162、データ格納部163、辞書格納部6、図示しないその他の

格納部（例えば、この情報装置１６内に格納されているプログラムやデータ等をバックアップするための格納部）等を有している。

【００３３】プログラム格納部１６２には、本実施形態における、文字列情報取得処理プログラム、前処理プログラム、アクション決定処理プログラム、提示処理プログラム、課金処理プログラム、課金情報提示処理プログラム、広告取得処理プログラム等の各種処理プログラム、等の各種、仮名漢字変換プログラム等の各種プログラムが格納されている。データ格納部１６３には、ユーザ情報記憶手段７として機能することでユーザ情報が格納される他、情報データやシステムが必要とする各種データが格納される。

【００３４】図３は、辞書格納部６の格納内容を概念的に表したものである。この図３に示されるように、辞書格納部６は、広告情報辞書６１、事例記憶手段として機能する事例辞書６２、関連語辞書６３、嗜好表現ルール辞書６４、その他の辞書６５を備えている。広告情報辞書６１には、広告提供者から提示され、広告取得手段５として機能する通信制御装置１８又は記憶媒体駆動装置１７で取得する広告情報（能動広告情報、回答広告情報、優先順位情報）が格納されている。

【００３５】能動広告情報は、システムがユーザに対して能動的に広告提示を行うための情報で、広告主要や広告商品と、それを広告するための文言や音声からなるアクション内容などから構成され、テーブルの形で格納されている。例えば、ドリンク剤の能動広告情報の場合、次のようなテーブルで格納されている。

四共株式会社の「ロゲインＪ」：四共株式会社の「ロゲインＪ」は、ばりばり働くビジネスマンにおすすめ。

中部薬品の「ネオビタドリンク」：中部薬品の「ネオビタドリンク」はクウリンが２０００ｍｇも入ってるから疲れも吹っ飛びますよ。

【００３６】回答広告情報は、ユーザの発言や問い合せに応じて広告を行うための情報で、当該商品等の価格、効能、発売日など、ユーザの発言や問い合せに答える文言や音声からなるアクション内容等から構成され、テーブルの形で格納されている。例えば、ドリンク剤の回答広告情報の場合、次のようなテーブルで格納されている。

「ロゲインＪ」の値段：「ロゲインＪ」はお求めやすい○○円。

「ネオビタドリンク」の発売日：○月末に発売予定です。どうぞ期待！！

【００３７】優先順位情報は、適合する広告があった場合、どれを優先して広告するかを決定するのに使用される情報で、登録料等から構成される、広告の優先順位情報は、次のようなテーブルで格納されてる。

登録料１位：四共株式会社の「ロゲインＪ」

登録料２位：中部薬品の「ネオビタドリンク」

【００３８】広告情報辞書６１は、前処理部２やアクション決定手段と切り離されているので、広告の追加・差し替えを容易に行うことができる。すなわち、広告は常に固定的ではなく、スポンサーが変わる、参入するなどの理由で差し替え、追加が起った場合にも対応することができる。

【００３９】事例辞書６２には、広範なユーザ発言を想定した、事例が規定されている。この事例は、例えば「ユーザが『疲れた』と発言したときに第１候補のドリンク剤を提示する」というif-then形式のルール（事例）として規定されている。そして、キーワード「疲れ」に対して、上記事例から、「第１候補のドリンク剤を提示する」というアクションが決定されるようになっている。このif-then形式による事例は、広告対象を決定するための問い合わせを行うための事例も規定されている。また、発言履歴や問い返しの連鎖状況など、様々な状況に応じた（想定した）事例マッチ条件を予め用意することで、適切な広告を提示するように、事例が規定されている。例えば、ユーザからの広告中止要求や変更要求に応じるなど、適切なタイミングで適切な広告を提示するような事例が規定される。この事例マッチ条件は、if-thenルール内のif（条件）部分を意味する。具体的には、キーワード、発言履歴（以前に何の話題を発言したかなど）、問い返しの連鎖状況（問い返しの階層情報など）、ユーザ情報（好きなもの、嫌いなもの、など）、その他の各種項目についての条件を想定して規定されている。

【００４０】嗜好表現ルール辞書６４には、嗜好を表す情報が文字列情報に含まれているか否かを判断し、例えば、「○○が嫌い」「○○が好き」「○○が素敵」「○○がかっこいい」というユーザ入力にヒットしたら、内部的にそれを記憶する、という嗜好表現のルールが規定されている。この嗜好表現のルールに従って抽出された、文字列情報中に存在する嗜好情報は、その嗜好情報の対象（嗜好対象）と共に、ユーザ情報としてデータ格納部１６３（ユーザ情報記憶手段７）に格納される。

【００４１】この嗜好表現ルール辞書６４は独立してルールを格納することも可能であるが、本実施形態では、事例辞書６２の事例中に組み込まれている。すなわち、事例辞書６２に規定されている事例、if-thenルールのthen部分では、広告提示処理のほかに嗜好情報保持処理も記述されている。例えば、後述の図６（ｂ）に示したif-thenルールでは、「ｕｓｅｒ＿ｉｎｆｏｒｍａｔｉｏｎ「好きなもの：ノートパソコン」」との記述により嗜好情報保持処理が規定される。このように、ユーザ発言の中にユーザの嗜好を表す情報があれば、広告提供者側に有用な情報として保持しておく機能も持つ。

【００４２】関連語辞書６３には、特定の語に対する上位語、下位語、関連語、反対語などの関連語が格納されている。例えば、特定語「スノーボード」に対する上位

語として「スポーツ」が格納されている。これにより、例えば、ユーザAが「スノーボード」の話をしている場合、その上位語である「スポーツ」を含む認識であると、アクション決定手段3が判断し、スポーツ関連の広告をエージェントのアクションとして決定することが可能になる。具体的には、エージェントのアクションとして「Aさんの趣味は何ですか？」との問い合わせをユーザAに対してしたものとする。この場合に、ユーザAが「僕の趣味はスノーボードだよ」との回答があると、この発言に対応する文字情報を文字情報取得手段1が取得する。そして前処理手段2による前処理によりキーワード「スノーボード」が抽出される。そして、アクション決定手段3が「スノーボード」に対応する関連語「スポーツ」を関連語辞書63から検出し、さらに、抽出した「スポーツ」をキーワードとして事例辞書62から対応するアクションを決定する。例えば、提示手段4により、「へえ、スポーツが好きなんですね。」とのコメントを提示する。以後、ユーザからのリアクション「うん、まあね。」等の肯定的な回答の文字列情報の取得を条件として、「スポーツ用品」の広告、例えば、「スポーツするならやっぱりエシックスのランニングシューズがいいよね。」等の広告を提示手段4がエージェントの動作としてユーザに提示する。なお、本実施形態において、アクション決定手段3における、上記関連語辞書63の参照は、前処理手段2の前処理で得られる自立語（キーワード）に対してヒットする事例が事例辞書62に存在しない場合に参照される。

【0043】図2に示した記憶媒体駆動装置17は、CPU111が外部の記憶媒体からコンピュータプログラムや文書を含むデータ等を読み込むための駆動装置である。記憶媒体に記憶されているコンピュータプログラム等には、本実施形態の情報提示装置により実行される文字列情報取得処理、前処理、アクション決定処理、提示処理、課金処理、課金情報提示処理、広告取得処理等の各種処理プログラム及び、当該処理で使用されるデータや辞書も含まれる。ここで、記憶媒体とは、コンピュータプログラムやデータ等が記憶される記憶媒体をいい、具体的には、フロッピーディスク、ハードディスク、磁気テープ等の磁気記憶媒体、メモリチップやICカード等の半導体記憶媒体、CD-ROMやMO、PD（相変化書換型光ディスク）等の光学的に情報が読み取られる記憶媒体、紙カードや紙テープ等の用紙（及び、用紙に相当する機能を持った媒体でスキャナ読み取りと文字認識によりプログラム化が可能なもの）を用いた記憶媒体、その他各種方法でコンピュータプログラム等が記憶される記憶媒体が含まれる。本実施形態の情報提示装置において使用される記憶媒体としては、主として、CD-ROMやフロッピーディスク等の記憶媒体が使用される。記憶媒体駆動装置17は、これらの各種記憶媒体からコンピュータプログラムを読み込む他に、フロッピーディスクのような書き込み可能な記憶媒体に対してRAM113や記憶装置16に格納されているデータ等を書き込むことが可能である。

【0044】なお、フロッピーディスクやメモリチップ、ICカード等に格納されたユーザ発言の文字列情報を記憶媒体駆動装置17を介して読み込む場合、記憶媒体駆動装置17は文字列情報取得手段1として機能する。

【0045】本実施形態の情報提示装置では、制御部11のCPU111が、記憶媒体駆動装置17にセットされた外部の記憶媒体からコンピュータプログラムを読み込んで、記憶装置16の各部に格納（インストール）する。そして、本実施形態による前処理、アクション決定処理等の情報提供処理、その他の処理を実行する場合、記憶装置16から該当プログラムをRAM113に読み込み、CPU111で実行するようになっている。但し、記憶装置16からではなく、記憶媒体駆動装置17により外部の記憶媒体から直接RAM113にプログラムを読み込んで実行することも可能である。また、情報提示装置によっては、本実施形態のデータ分析処理のための各プログラムを予めROM112に記憶させておき、これをCPU111が実行するようにしてもよい。更に、本実施形態の情報提供処理のためのプログラム等の各種プログラムやデータを、通信制御装置18を介して他の記憶媒体からダウンロードし、実行するようにしてもよい。

【0046】通信制御装置18は、情報提示装置と他のパーソナルコンピュータやワードプロセッサ等の各種外部電子機器との間をネットワーク接続するための制御装置である。通信制御装置18は、これら各種外部電子機器からこの通信制御装置18を介してのアクセスを可能にしており、外部電子機器からユーザ発言を入力することができる。この場合の通信制御装置18は、文字列情報取得手段1として機能する。また、通信制御装置18を介して広告提供者の外部電子機器から広告情報を取得して、広告情報辞書61を更新することができる。この場合の通信制御装置18は、広告取得手段5として機能する。アクション決定手段3で決定したアクション（問い返しや広告等）を通信制御装置18を介して外部電子機器に出力することが可能であり、この場合の通信制御装置18は、提示手段4として機能する。さらに、通信制御手段18は、課金情報提示手段9として機能し、広告提供者の外部電子機器に課金情報を送信するようになっている。

【0047】入出力I/F19は、音声や音楽等の出力を行うスピーカ等の各種機器を接続するためのインターフェースである。文字認識装置20は、用紙等に記載された文字をテキスト形式やHTML等の各種形式で認識する装置であり、イメージスキャナや文字認識プログラム等で構成されている。この文字認識装置20は、文字

情報取得手段1として機能する。音声認識装置21には音声を取り込む音声取り込み手段として機能する図示しないマイクが接続されており、このマイクから取り込んだ音声を認識してテキストデータに変換するようになっている。マイクから入力される音声による情報データを認識し文字列情報に変換する場合の音声認識装置21は、文字列情報取得手段1として機能する。

【0048】図4は、表示の情報提示装置の所有者と広告の提示を受けるユーザとが異なる場合のシステム構成を表したものである。この図4に示されるように、情報提示装置100はサーバとして機能し、クライアント装置40a，40b，…や、テレビ40c，炊飯器40e，電子レンジ40f等の家電製品、さらに携帯電話40g等の各種クライアント装置（電子機器）と、ネットワークとしてのインターネット30を介して接続されている。なお、各クライアント装置40は、インターネット30以外に、LAN（Local Area Network）等の各種ネットワークにより情報提示装置100と接続されていてもよい。このように、本実施形態の情報提示装置100をネットワーク上のサーバとして機能させることで、ユーザが使用するクライアント装置毎に各種データや辞書を保存、及び更新する必要がなくなる。また、広告情報辞書がネットワーク上にあり常時更新されているため、ユーザに対して常に最新の広告を提示することができる。また、情報提示装置100がネットワーク上のサーバとして機能しているため、webサイト上でのチャット部屋に、情報提示装置100の広告提示機能及び日常会話機能を組み込むことが可能になる。なお、クライアント装置40も情報提示装置として機能する場合、インターネット上のサーバとして機能する情報提示装置100から最新の広告情報をダウンロードすることができる。

【0049】以上のように構成された情報提示装置による処理動作について次に説明する。図5は、ユーザの疲れに関する発言を想定したドリンク剤の広告を提示する事例における、ユーザとエージェントとの会話例（a）、（b）と、この事例参照によるアクション決定手順を表すif-thenルール（c）を表したものである。図5（a）、（b）に示すように、ユーザ（User）が「最近体の疲れがとれなくてね。」と発言すると、この発言に対応する文字列情報を文字列情報取得手段1が取得する。この文字列情報の取得は、ユーザがキーボードF12から入力する場合には入力データが文字列情報として取得され、マイクに向かって話している場合には、音声認識装置21で認識した音声に対応する文字列情報が取得される（以下同じ）。

【0050】次に、取得した文字列情報に対して前処理手段2が前処理を行い、文節情報を作成する。そして、アクション決定部は、作成した文節情報の各自立語と、事例辞書62の各事例の条件部分（if部分）を比較することで、キーワード（自立語）「疲れ」がヒットし、該当する事例のthen部分の規定から、「ドリンク剤（第1候補）」をアクションとして決定する。

【0051】この決定に基づいて、提示手段4は、第1候補のドリンク剤が何であるかを広告情報辞書61から辞書引きする（優先順位情報を参照する）。優先順位情報の第1候補が四共株式会社の「ログインJ」であれば、これに対するアクション内容を辞書引きし、その結果、提示手段4は、図5（a）、（b）に示すように、広告の文言「四共株式会社の「ログインJ」は、はりはり働くビジネスマンにおすすめ。」をエージェント（Agent）のアクションとしてユーザに提示する。この広告の提示は、文字情報取得手段1が音声に基づく音声認識結果から取得している場合には、出力手段のスピーカから合成音声が出力され、キーボード等からテキストデータとして取得している場合には、表示装置14の表示画面に表示する。

【0052】そして、このエージェントの広告（アクション）に対して、ユーザが、図5（a）に示すように「今、そんなの必要ないから…」との発言をした場合、この発言から抽出されるキーワード「必要ない」に基づいて、エージェントは「あっ、ごめんなさい、広告を中止します。」とのアクションをとる。なお、ユーザの発言からエージェントのアクション（提示手段による広告や応答の提示）までの処理は、上記「疲れ」に対するログインの広告提示までと同様に行われる。但し、図5（c）に規定されるように、アクション「あっ、ごめんなさい、広告を中止します。」は、事例中に規定されているため、提示手段4は、広告情報辞書61を参照することなく、規定内容のアクションをユーザに提示することになる。

【0053】一方、エージェントの広告（アクション）に対して、ユーザが、図5（b）に示すように「違うメーカの広告がみたい」との発言をした場合、この発言から抽出されるキーワード「違う」及び「メーカー」に基づいて、アクション決定手段3が事例辞書62のヒットした事例のthen部分の規定から、「ドリンク剤（第2候補）」をアクションとして決定する。そして、提示手段4は、第2候補のドリンク剤を広告情報辞書61から辞書引きし、第2候補が中間薬品の「ネオビタドリンク」であれば、これに対するアクション内容を辞書引きする。その結果、提示手段4は、図5（b）に示すように、広告の文言「では、中間薬品の「ネオビタドリンク」はいかがでしょう…」をエージェントのアクションとしてユーザに提示する。

【0054】図6は、ユーザのパソコンに関する発言を想定して広告を提示する事例を表したもので、ユーザとエージェントとの会話例（a）と、この事例参照によるアクション決定手順を表すif-thenルール（b）を表したものである。図6（a）に示されるように、ユーザの

「そろそろこのパソコンも買い換え時かな。」との発言に対し、情報提示装置によるエージェントは、パソコンについての話題と判断し、「どんなパソコンがいいですか？デスクトップはどうでしょう？」というようにパソコンの広告提示を持ちかける。これに対してユーザが「デスクトップは大きいから要らない。それよりノートパソコンがいい。」と回答すると、エージェントは、デスクトップではなく、ノートパソコンの広告を出すべきと判断し、「ノートパソコンですね。」との問い合わせを行う。そして、ユーザが「うん。２０万円以内のが欲しい。」と反応した場合、エージェントは、広告を出すタイミングと判断し、「そんなあなたには、ＢＢＭのＴａｎｋＰａｄがおすすめ。こちらをご覧ください。」と広告を提示する。

【００５５】このような図６（ａ）に示したユーザ発言と対応を予め想定した場合の、事例（if-thenルール）が（ｂ）に示されている。この事例中のキーワード「デスクトップ＜肯定的＞」における＜肯定的＞の部分は、文脈情報中に付加された付加情報である。この付加情報は、特定のキーワードに対してユーザが肯定的な評価を下しているかどうかを、「買おない」「要らない」「嫌い」「余計」などの表現から前処理手段２が判断する。

【００５６】そして、図６（ａ）のように想定したユーザ発言が成立した場合（if条件が成立した場合）、ユーザの嗜好としてデスクトップパソコンが嫌いで、ノートパソコンが好きであるという情報が得られるので、事例中に嗜好情報保持処理を指示する「ｕｓｅｒ＿ｉｎｆｏｒｍａｔｉｏｎ［好きなもの：ノートパソコン］」、「ｕｓｅｒ＿ｉｎｆｏｒｍａｔｉｏｎ［嫌いなもの：デスクトップパソコン］」規定が設けられている。

【００５７】図７は、情報提示装置を家電製品に組み込んだ場合のユーザとエージェントとのユーザ発言を想定した事例を表したものである。この情報提示装置の事例辞書には、エージェントがコマンド操作機能を実行するための事例が規定され、この事例に基づくコマンド操作機能が家電製品に組み込まれている。図７は、炊飯器に情報提示装置を組み込んだ場合の例である。図７に示されるように、ユーザの「明日の朝７時に食べられるようにして。」との発言に対して、アクション決定手段３は、事例辞書６２を参照して炊き上がり時間の予約コマンドを決定する。この予約コマンドにより、炊飯器の制御部は、指定された時間の朝７時に炊き上がるように予約設定（コマンド操作機能）を行う。そして、情報提示装置のアクション決定手段３は、事例に従って、「分かりました。固さはどうしますか？」との応答と問いかけを決定し、提示手段で提示する。

【００５８】これに対しユーザが「ちょっとやわらかめにして。」と回答すると、アクション決定手段３は、炊き上がりの固さの設定コマンドを決定する。この決定に基づいて炊飯器のコマンド操作機能は、固めに炊きあがるように設定する。そして、情報提示装置のアクション決定手段３は、事例に従って、「分かりました。ところでご飯のおかずは何にするの？」との応答と問いかけを決定し、提示手段で提示する。

【００５９】以下ユーザの想定する発言とエージェントの広告提示機能の繰り返しを説明すると、次のようになる。すなわち、図７に示されるように、ユーザ発言「まだ決めてないんだけど・・・」に対し、情報提示装置は「朝食には角美屋の「国産大豆納豆」はいかが？厳選された北海道産大豆を１００％使用しているんだって。もちろん遺伝子組み替え大豆は一切使ってないよ。」との広告をユーザに提示する。そして、ユーザが「それいいね。いくらするの？」と発言すると、情報提示装置は「４０ｇのパックが３つ入ってたったの１６０円だよ。」との広告提示（詳細情報の提示）を行う。さらに、ユーザの「それは給料日前の僕にはピックリだ！」との応答が想定され、以後同様にして、予め想定される各種ユーザ発言に応じた事例によって広告提示やコマンド操作などが次々と継続する。

【００６０】以上のような、「広告提示機能付き」の製品は、広告提示機能を搭載していない製品よりも安価で販売する、もしくは、「キャッシュバック機能」を付け広告提供者から得られた広告料をユーザに還元するようにしてもよい。

【００６１】図８は、情報提示装置をチャットに利用した場合の想定例を表したものである。すなわち、Ｗｅｂサイト上でのチャット部屋に、広告提示機能及び日常会話機能を組み込む事例が作成される。ユーザＡとユーザＡとのチャットの場に、３時になったことをシステムが感知して、情報提示装置が「Ａさん、Ｂさん。もう３時ですよ、今日のおやつは何にするの？」とのアクションを提示するように事例が規定される。

【００６２】このように、チャット部屋に人がいるのに一定時間発言がなかった場合、あるいは特定の時刻になった場合などに、エージェントから能動的に広告を提示するように事例を規定しておく。これにより、チャットの活性化、話題提供につながる。また、チャット部屋に誰もいないときにユーザが一人入ってきたときは、別のユーザが入ってくるまでの間、エージェントと日常会話ができるように事例を規定しておく。これにより、ユーザをチャット部屋に引き留めておくことができる。

【００６３】以上説明したように本実施形態によれば、次のような効果を得ることができる。

（１）ユーザに対して、適切なタイミングで適切な内容の広告を提示できるようになる。

（２）ユーザのより詳細な要求に応じて、異なる広告を提示できるようになる。

（３）広告内容についてのユーザの問い合せに対して、適切な応答ができるようになる。

（４）ユーザ発話中のキーワードから、それが何に関連

する話題なのかを判断して適切な広告を提示できるようになる。

【００６４】以上、本発明の情報提示装置、情報提示プログラム、及び情報提示方法における１実施形態について説明したが、本発明は説明した実施形態に限定されるものではなく、各請求項に記載した範囲において各種の変形を行うことが可能である。例えば、説明した実施形態では、If-then方式の処理を行うための事例が事例辞書６２に格納する場合について説明したが、他に、事例をIf-then方式のプログラムとしてアクション決定手段３用のアクション決定プログラムの中に組み込むようにしてもよい。

【００６５】また、説明した実施形態では、競合する広告が複数存在する場合のために、優先順位情報を広告情報辞書６１に格納するようにし、広告料が高いものから優先的に表示するようにしたが、広告料の低い広告が提示されなくなる可能性があるため、広告の提示回数をカウントし、このカウント数と広告料を考慮して、適切な回数だけ広告が表示されるようにしてもよい。

【００６６】また、優先順位を設けず、「どんな味がいいですか」「どのようなドリンク剤が好みですか」のような問い合わせをIf-thenルールに記述することで、複数存在するドリンク剤や広告対象を最終的に決定するようにしてもよい。

【００６７】

【発明の効果】本発明によれば、ユーザに対して、より適切なタイミングでより適切な内容の広告を提示することができる。

【図面の簡単な説明】

【図１】図１は本発明の情報提示装置の一実施形態の構成であり、本発明の情報提示プログラムや該情報提示プログラムが記憶された記憶媒体の該プログラムが読みとられたコンピュータの構成を、概念的に表したものである。

【図２】図２は、このように構成された情報提示装置の、具体的なシステム構成を表したものである。この図２は、主として情報提示装置の所有者とユーザとが一致している場合の構成である。

【図３】図３は、辞書格納部６の格納内容を概念的に表したものである。

【図４】図４は、表示の情報提示装置の所有者と広告の提示を求めるユーザとが異なる場合のシステム構成を表したものである。

【図５】図５は、ユーザの疲れに関する発言を想定したドリンク剤の広告を提示する事例における、ユーザとエージェントとの会話例（ａ）、（ｂ）と、この事例参照によるアクション決定手順を表すIf-thenルール（ｃ）を表したものである。

【図６】図６は、ユーザのパソコンに関する発言を想定して広告を提示する事例を表したもので、ユーザとエージェントとの会話例（ａ）と、この事例参照によるアクション決定手順を表すIf-thenルール（ｂ）を表したものである。

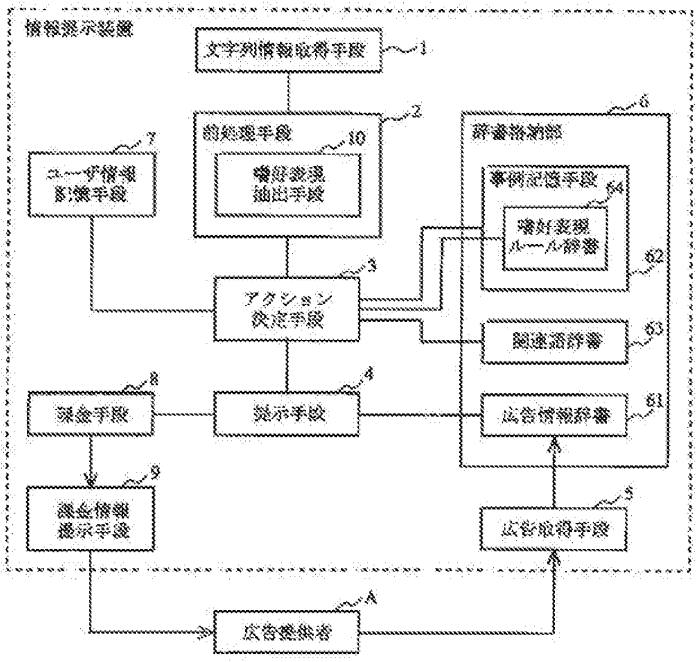
【図７】図７は、情報提示装置を家電製品に組み込んだ場合のユーザとエージェントとのユーザ発言を想定した事例を表したものである。

【図８】図８は、情報提示装置をチャットに利用した場合の想定図を表したものである。すなわち、Ｗｅｂサイト上でのチャット部屋に、広告提示機能及び目的志向機能を組み込む事例が作成される。

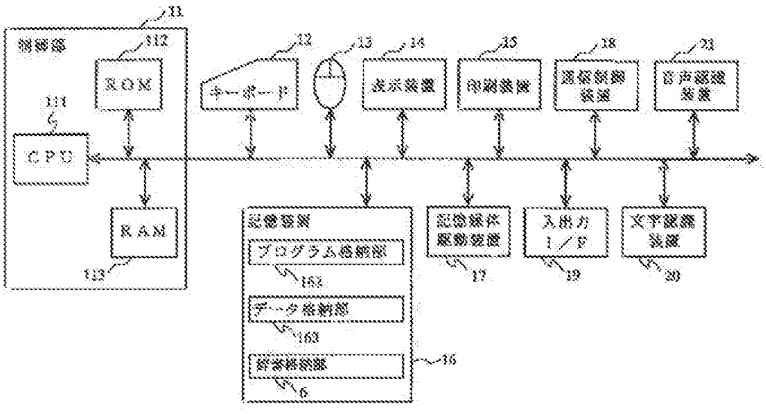
【符号の説明】

１　文字列情報取得手段
２　前処理手段
３　アクション決定手段
４　提示手段
５　広告取得手段
６　辞書格納部
７　ユーザ情報記憶手段
８　課金手段
９　課金情報提示手段
１０　嗜好表現抽出
６１　広告情報辞書
６２　事例記憶手段
６３　関連語辞書
６４　嗜好表現ルール辞書
１００　情報提示装置
３０　インターネット
４０ａ～４０ｃ　クライアント装置
４０ｄ　テレビ
４０ｅ　炊飯器
４０ｆ　電子レンジ４０
４０ｇ　携帯電話

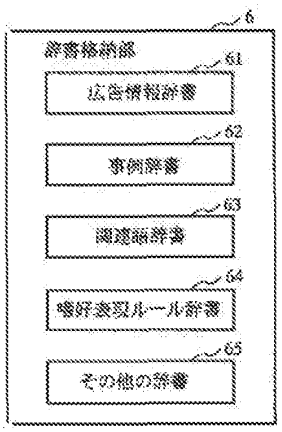
【図1】


情報提示装置
文字列情報取得手段
1
前処理手段
2
ユーザ情報
取得手段
7
特徴表現
抽出手段
10
評価格納部
6
事例記憶手段
64
増対表現
ルール辞書
62
アクション
決定手段
3
関連語辞書
63
課金手段
8
提示手段
4
広告情報辞書
61
課金情報
提示手段
9
広告取得手段
5
広告提供者
A

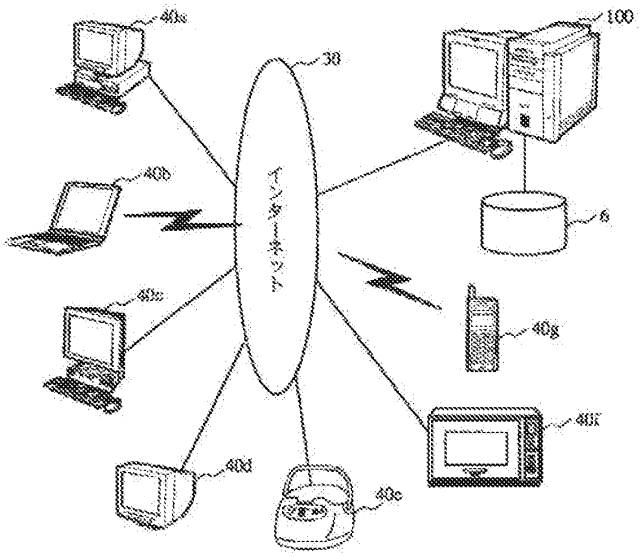
【図2】


11
制御部
112
ROM
111
CPU
RAM
113
12
キーボード
13
14
表示装置
15
印刷装置
18
音声認識
装置
21
記憶装置
プログラム格納部
163
データ格納部
163
辞書格納部
6
16
記憶媒体
駆動装置
17
入出力
I／F
19
文字読取
装置
20

【図3】



【図4】



【図7】

例1：家電製品への組み込み

・家電製品で、（エージェントによるコマンド操作機能とともに）広告表示機能を組み込む

＊Ｕｓｅｒ・・・人間　Ａｇｅｎｔ・・・仮装機

Ｕｓｅｒ　：・明日の朝7時に念べられるようにして。
Ａｇｅｎｔ：分かりました。量さはどうしますか？
Ｕｓｅｒ　：もふっとやわらかめにして。
Ａｇｅｎｔ：分かりました。ところでご飯のおかずはなにするの？
Ｕｓｅｒ　：まだ決めてないんだけど・・・
Ａｇｅｎｔ：納豆には今美屋の「国産大豆納豆」はいかが？
　　厳選された北海道産大豆を１００％使用しているんだって。
　　もちろん遺伝子組み替え大豆は一切使ってないよ。
Ｕｓｅｒ　：それいいね。いくらするの？
Ａｇｅｎｔ：４０ｇのパックが3つ入ってたったの１５０円だよ。
Ｕｓｅｒ　：それは絶対明日朝の僕にはピッタリだ！

【図5】

<ユーザーとエージェントの会話例>

(a)

User　：最近体の疲れがとれなくてね。
Agent：岡本株式会社の「ログイン」はぴりぴり働くビジネスマンにおすすめ。
User　：今、そんなの必要ないから・・・
Agent：あっ、ごめんなさい、広告を中止します。

(b)

User　：最近体の疲れがとれなくてね。
Agent：岡本株式会社の「ログイン」はぴりぴり働くビジネスマンにおすすめ。
User　：違うメーカーの広告が出たい
Agent：では、中島製薬の「ネオビタドリンク」はどうでしょう・・・

<参照参照によるアクション状態予測を表すif-thenルール>

(c)

```
 ・・・・
 if (keyword[疲れ]) then
{
 advertise[ドリンク剤 (第1候補) ]
 if (keyword[必要ない]) then
{
    reply[あっ、ごめんなさい、広告を中止します。]
 }
 else if (keyword[違う] and keyword[メーカー]) then
 {
    advertise[ドリンク剤 (第2候補) ]
 }
 }
```

【図6】

<ユーザーとエージェントの対話例>

(a)

```
User  ：そろそろこのパソコンも買い換え時かな。
Agent：どんなパソコンがいいですか？デスクトップはどうでしょう？
User  ：デスクトップは大きいから嫌らない。それよりノートパソコンがいい。
Agent：ノートパソコンですね。
User  ：うん。３０万円以内のが欲しい。
Agent：そんなあなたには、ＨＤＭのＴａｎｋＰａｄがおすすめ。こちらをご覧ください
```

<事例参照によるアクション決定手順を表すｉｆ－ｔｈｅｎルール>

(b)

```
if(keyword [パソコン] and keyword [買い換える<肯定形，現在形or未来形>]
 {
   reply [どんなパソコンがいいですか？デスクトップはどうでしょう？]
   if(keyword [デスクトップ<否定的>] and keyword [ノート] ) then
   {
        user_information [好きなもの：ノートパソコン]
        user_information [嫌いなもの：デスクトップパソコン]
        reply [ノートパソコンですね。]
        if(keyword [<数値>円以内] and keyword [欲しい] ) then
        {
                        advertise [<数値>円以内のノートパソコン]
     }
        otherwise
        {
                        advertise [一般のノートパソコン]
        }
  }
}
```

＊他のキーワードに対してユーザーが肯定的な評価を下しているかどうかを、
「良わかい」「要らない」「嫌い」「余計」などの表現から判断する。

【図８】

例２：チャットへの組み込み

・Ｗｅｂサイト上でのチャット画面に、広告等の情報及び会話情報を組み込む。

＊ＵｓｅｒＡ，ＵｓｅｒＢ・・・チャット参加者

ＵｓｅｒＡ：チャットもそろそろ飽きたしー。さっきから二人しかいないしー。

ＵｓｅｒＢ：うん。なんかだるーいよな。

広告　　：Ａさん、Ｂさん。もう３時ですよ、今日のおやつは何にするの？

　　おやつにはやっぱりローランのカルピさんがおすすめ。

　　上に「カルピ」の絵柄も押してあるし、後片付はカルピの缶そのままだよ。

ＵｓｅｒＢ：俺的には甘党なんだよ。

広告　　：あら甘党なんですね。甘党のあなたへのお薦めは「カンダーノまん」。

　　ホーセーグリームとミルクグリームの絶妙なハーモニーがあなたをとろけさせます。

ＵｓｅｒＡ：あっ。そういえばこのあいだ出れたプダーノまん食ったよ。

ＵｓｅｒＢ：へえおまえも実は甘党だったんだ。

フロントページの続き

(51)Int.Cl.⁷	識別記号	Ｆ Ｉ		(参考)
Ｇ０６Ｆ　17/60	３２６	Ｇ０６Ｆ　17/60	３２６	
Ｇ０９Ｆ　19/00		Ｇ０９Ｆ　19/00	Ｚ	

Ｆターム(参考)　5B075 ND20 NK32 NK35 PP02 PP05
PP07 PQ02 PQ03 PR03 QM05

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Timothy P. Cremen/Susan Trader
Attorney Docket Number:	62KC-287092

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:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
SUBMISSION- INFORMATION DISCLOSURE STMT	1806	1	260	260
		Total in USD ($)		**260**

Electronic Acknowledgement Receipt	
EFS ID:	42105682
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Susan Trader
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	08-MAR-2021
Filing Date:	19-NOV-2018
Time Stamp:	17:28:38
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$260
RAM confirmation Number	E202138H29032310
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	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	506020 c3c58615ae40eaeb324cb2fec1433a11ce597e15	no	1
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1054313 736d54d3b87c27c5bd790cd2fd2f4c3433e4f514	no	5
Warnings:					
Information:					
3	Foreign Reference	62KC-287092-Foreign-001.pdf	3625351 e0c769ed6f535c1bf236c5ad58b2b5b7df8f0196	no	50
Warnings:					
Information:					
4	Non Patent Literature	62KC-287092-NPL-001.pdf	243752 cff9086134f601b2d0b7f3e31f905e61a823e954	no	24
Warnings:					
Information:					
5	Non Patent Literature	62KC-287092-NPL-002.pdf	377540 07b113eceee97c1814b885cb0c178d7c43d9ce6a	no	37
Warnings:					
Information:					
6	Non Patent Literature	62KC-287092-NPL-003.pdf	359429 cfd81b42529a626ace96e53c47c69987c6f32289	no	29
Warnings:					
Information:					

7	Non Patent Literature	62KC-287092-NPL-004.pdf	435048 280595532178de2a4d6d2bf170da4189d1422b96	no	28
Warnings:					
Information:					
8	Non Patent Literature	62KC-287092-NPL-005.pdf	439590 ed374f3159915e58c19f8aef880821dda99dbaa0	no	29
Warnings:					
Information:					
9	Non Patent Literature	62KC-287092-NPL-006.pdf	348311 8c1046beafe763349f7c9d43a5613a85b6c2f30b	no	25
Warnings:					
Information:					
10	Non Patent Literature	62KC-287092-NPL-007.pdf	1144265 7e0a6951127e70b30934619d77b84fe853de29c4	no	5
Warnings:					
Information:					
11	Non Patent Literature	NPL_008_part_1.pdf	3619151 133ccf1abb4e105267c2c1ec24ca88e39983fdac	no	30
Warnings:					
Information:					
12	Non Patent Literature	NPL_008_part_2.pdf	8924099 100b8584eb72a8ccd610a8d4b27a509af12185b8	no	59
Warnings:					
Information:					
13	Non Patent Literature	NPL_008_part_3.pdf	9953000 d83d8edee2f520d7c5af7285bd3557f968e68dd3	no	73
Warnings:					
Information:					

14	Non Patent Literature	NPL_008_part_4.pdf	10225540 7820f72a99ea3396f8c61099d48736b8c8e7b801	no	76
Warnings:					
Information:					
15	Non Patent Literature	NPL_008_part_5.pdf	10094818 e3512ffa605406c661827b88e49df77771a35d57	no	91
Warnings:					
Information:					
16	Non Patent Literature	NPL_008_part_6.pdf	10130536 79f5e8b6755868c8ee9cb263a21351384df9a91c	no	77
Warnings:					
Information:					
17	Non Patent Literature	NPL_008_part_7.pdf	9798353 bf020dcf760f60ebc490b6b027f6f22a301313d4	no	67
Warnings:					
Information:					
18	Non Patent Literature	NPL_008_part_8.pdf	5327513 8e41854b76834d7fcf7bcb18eebab1b9eacb9227	no	35
Warnings:					
Information:					
19	Non Patent Literature	NPL_008_part_9.pdf	10005785 28e0680face6212d8cb120206ddc1334f6df6081	no	75
Warnings:					
Information:					
20	Non Patent Literature	NPL_008_part_10.pdf	9972164 3b886aeb42c77167a61f7c8818286b70d4d09290	no	67
Warnings:					
Information:					

21	Non Patent Literature	NPL_008_part_11.pdf	9987574 03a818a793abcab9965c75efd58a7d1920d4dad7	no	68
Warnings:					
Information:					
22	Non Patent Literature	NPL_008_part_12.pdf	9795244 057647cd4899ad44fa4ec71aa1925d30c297c93e	no	60
Warnings:					
Information:					
23	Non Patent Literature	NPL_008_part_13.pdf	9722403 48be39d6286f1337e99d1528924f127775cb58ca	no	64
Warnings:					
Information:					
24	Non Patent Literature	NPL_008_part_14.pdf	9904494 2869010ddd25cdd200896cacdc954cd6b3f86762	no	65
Warnings:					
Information:					
25	Non Patent Literature	NPL_008_part_15.pdf	10415817 a346a48dad673e466895c08bfb1f7fc64b491231	no	63
Warnings:					
Information:					
26	Non Patent Literature	NPL_008_part_16.pdf	6077118 51cd7967a15785c26579f3051a06687f95c1a993	no	40
Warnings:					
Information:					
27	Non Patent Literature	62KC-287092-NPL-009.pdf	197017 e6a92afd890746 44d31baa6a8a149c472d83eed7	no	3
Warnings:					
Information:					

28	Non Patent Literature	62KC-287092-NPL-010.pdf	240596 64a289dc3e75f5b8f90b4adb931bf178153e411d	no	3
Warnings:					
Information:					
29	Non Patent Literature	62KC-287092-NPL-011.pdf	517281 c3d18fb275e9aeb2b530bcd8050919b69136080f	no	8
Warnings:					
Information:					
30	Fee Worksheet (SB06)	fee-info.pdf	30550 837230aad4492044a3599214cdb4b04552a4e59f	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	153472672		

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application.

CERTIFICATION STATEMENT

No certification statement is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c) and is accompanied by the fee set forth in 37 CFR 1.17(p).

FEE

This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c), and is not accompanied by one of the certification statements of 37 CFR 1.97(e). Therefore, this Information Disclosure Statement is subject to the $260 (large entity) fee set forth in 37 CFR 1.17(p).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Timothy P. Cremen /	**Date**	2021-03-08
Name	Timothy P. Cremen	**Registration Number**	50,855

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IN THE UNITED STATES PATENT & TRADEMARK OFFICE			
In Re Patent Application Of:	Tom FREEMAN *et al.*	**Attorney Docket No.:**	62KC-287092
Serial No.:	16/194,944	**Confirmation No.:**	1070
Filing Date:	November 19, 2018	**Examiner:**	Brian Albertalli
		Art Unit:	2657

For: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

RESPONSE TO NON-FINAL OFFICE ACTION

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

Submitted: December 21, 2020

Dear Sir:

In response to the Non-Final Office Action mailed **September 21, 2020**, please amend the above-identified application as follows:

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

Remarks begin on page **14** 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 therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 504561 (**Ref. No. 62KC-287092**).

AMENDMENTS TO THE CLAIMS

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

LISTING OF CLAIMS:

1. (**Previously Presented**) A method for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon, the method being implemented by one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method, the method comprising:

providing, by the one or more processors, a natural language utterance as an input to a speech recognition engine;

receiving, by the one or more processors, words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine;

determining, by the one or more processors, a context for the natural language utterance based on the recognized words or phrases;

selecting, by the one or more processors, a purchase opportunity based on the determined context;

delivering, by the one or more processors, the selected purchase opportunity via an electronic device in communication with the one or more processors;

tracking, by the one or more processors, an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the purchase opportunity;

building or updating, by the one or more processors, a user-specific profile based on the tracked interaction pattern; and

interpreting, by the one or more processors, a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

2. (**Previously Presented**) The method of claim 1, wherein the purchase opportunity relates to an item, the method further comprising:

receiving, by the one or more processors, a second natural language utterance;

determining, by the one or more processors, that the second natural language utterance comprises a request to purchase the item; and

completing, by the one or more processors, a purchase transaction of the item based on the second natural language utterance.

3. (**Previously Presented**) The method of claim 1, the method further comprising:

receiving, by the one or more processors, an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction;

determining, by the one or more processors, whether the interpretation of the natural language utterance was correct based on the indication; and

interpreting, by the one or more processors, a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct.

4. (**Previously Presented**) The method of claim 1, wherein delivering the selected purchase opportunity via the electronic device comprises:

audibly presenting, by the electronic device, a natural language conversational purchase opportunity.

5. (**Previously Presented**) The method of claim 1, wherein the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, the method further comprising:

providing, by the one or more processors, the words or phrases as an input to the conversational language processor; and

receiving, by the one or more processors, an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance.

6. (**Previously Presented**) The method of claim 5, wherein the conversational language processor comprises one or more domain agents, where a domain agent is configured to assist in: (i) interpreting requests related to its domain; and (ii) determining a response to the requests related to its domain.

7. (**Currently Amended**) The method of claim 6, wherein the domains in which the one or more domain agents are configured to assist comprises an electronic commerce ~~agent configured to assist in the selection of the purchase opportunity related to its~~ domain.

8. (**Previously Presented**) The method of claim 1, wherein recognizing the words or phrases from the natural language utterance comprises:

using, by the speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

9. (**Previously Presented**) The method of claim 1, the method further comprising:

using, by the one or more processors, an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information.

10. (**Previously Presented**) The method of claim 1, wherein the environmental information comprises a user location, a user activity, or a user action.

11. (**Previously Presented**) A system for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon, the system comprising:

one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to:

provide a natural language utterance as an input to a speech recognition engine;

receive words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine;

determine a context for the natural language utterance based on the recognized words or phrases;

select a purchase opportunity based on the determined context;

deliver the selected purchase opportunity via an electronic device in communication with the one or more processors;

track an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the purchase opportunity;

build or update a user-specific profile based on the tracked interaction pattern; and

interpret a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

12. (**Previously Presented**) The system of claim 11, wherein the purchase opportunity relates to an item, and wherein the one or more processors are further programmed to:

receive a second natural language utterance;

determine that the second natural language utterance comprises a request to purchase the item; and

complete a purchase transaction of the item based on the second natural language utterance.

13. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

receive an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction;

determine whether the interpretation of the natural language utterance was correct based on the indication; and

interpret a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct.

14. (**Previously Presented**) The system of claim 11, wherein to deliver the selected purchase opportunity, the electronic device is configured to:

audibly present a natural language conversational purchase opportunity.

15. (**Previously Presented**) The system of claim 11, wherein the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, wherein the one or more processors are further programmed to:

provide the words or phrases as an input to the conversational language processor; and

receive an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance.

16. (**Previously Presented**) The system of claim 15, wherein the conversational language processor comprises one or more domain agents, where a domain agent is configured to assist in: (i) interpreting requests related to its domain; and (ii) determining a response to the requests related to its domain.

17. (**Currently Amended**) The system of claim 16, wherein the domains in which the one or more domain agents are configured to assist comprises an electronic commerce ~~agent configured to assist in the selection of the purchase opportunity related to its~~ domain.

18. (**Previously Presented**) The system of claim 11, wherein to recognize the words or phrases from the natural language utterance, the speech recognition engine is configured to:

use phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

19. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

use an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information.

20. (**Previously Presented**) The system of claim 11, wherein the environmental information comprises a user location, a user activity, or a user action.

21. (**Previously Presented**) The method of claim 1, further comprising:

invoking, by the one or more processors, one or more system resources to select the purchase opportunity based on the determined context;

wherein the one or more system resources include at least an agent comprising an autonomous executable, wherein the executable comprises a redistributable package of functionality for a specific application that receives, processes, and responds to user questions, queries, and/or commands.

22. (**Previously Presented**) The method of claim 21, wherein the agent returns results of user questions, queries, and/or commands as responses to the user; and the responses are created using the results of information queries, system personality, and user preferences or other data in the user-specific profile.

23. (**Previously Presented**) The method of claim 21, further comprising updating the agent from a remote location over a network to provide new functionality.

24. (**Previously Presented**) The method of claim 21, wherein the agent uses system resources and the services of other agents.

25. (**Previously Presented**) The method of claim 21, further comprising providing a framework allowing the user to create or modify the agent.

26. (**Previously Presented**) The method of claim 24, further comprising providing a license management framework to enable the user to purchase the agent on a one time or subscription basis.

27. (**Previously Presented**) The method of claim 1, further comprising:

capturing, by the one or more processors, the first natural language utterance;

parsing, by the one or more processors, the first natural language utterance;

interpreting, by the one or more processors, the first natural language utterance; and

invoking, by the one or more processors, an applicable agent from a library of agents.

28. (**Previously Presented**) The method of claim 1, further comprising:

invoking an agent to process the natural language utterance; and

creating a query to a local database or through a network interface to a remote database.

29. (**Previously Presented**) The method of claim 1, further comprising providing a user interface allowing the user to modify the user-specific profile, questions, queries, data sources, preferences, or parameters.

30. (**Previously Presented**) The method of claim 21, wherein:

the method is implemented on a network of devices using a common base of agents, data, information, user-specific profiles, and histories;

the user can interact with, and receive the same services and applications from, any one of the devices on the network; and

the location of a particular device addressed by the user is used as part of context for questions asked of the user.

31. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

invoke, by the one or more processors, one or more system resources to select the purchase opportunity based on the determined context;

wherein the one or more system resources include at least an agent comprising an autonomous executable, wherein the executable comprises a redistributable package of functionality for a specific application that receives, processes, and responds to user questions, queries, and/or commands.

32. (**Previously Presented**) The system of claim 31, wherein the agent returns results of user questions, queries, and/or commands as responses to the user; and the responses are created using the results of information queries, system personality, and user preferences or other data in the user-specific profile.

33. (**Previously Presented**) The system of claim 31, wherein the one or more processors are further programmed to update the agent from a remote location over a network to provide new functionality.

34. (**Previously Presented**) The system of claim 31, wherein the agent uses system resources and the services of other agents.

35. (**Previously Presented**) The system of claim 31, wherein the one or more processors are further programmed to provide a framework allowing the user to create or modify the agent.

36. (**Previously Presented**) The system of claim 34, wherein the one or more processors are further programmed to provide a license management framework to enable the user to purchase the agent on a one time or subscription basis.

37. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

capture, by the one or more processors, the first natural language utterance;

parse, by the one or more processors, the first natural language utterance;

interpret, by the one or more processors, the first natural language utterance; and

invoke, by the one or more processors, an applicable agent from a library of agents.

38. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

invoke an agent to process the natural language utterance; and

create a query to a local database or through a network interface to a remote database.

39. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to provide a user interface allowing the user to modify the user-specific profile, questions, queries, data sources, preferences, or parameters.

40. (**Previously Presented**) The system of claim 31, wherein:

the method is implemented on a network of devices using a common base of agents, data, information, user-specific profiles, and histories;

the user can interact with, and receive the same services and applications from, any one of the devices on the network; and

the location of a particular device addressed by the user is used as part of context for questions asked of the user.

41. (**New**) The method of claim 1, wherein the context comprises a categorization of the recognized words or phrases.

42. (**New**) The method of claim 1, wherein the context comprises one of commands, directories, e-commerce, education, entertainment, lists, locations, multimedia, navigation, news, points of interest, search, stocks, recipes, scheduling, sports, subscriptions, transportation, or weather.

43. (**New**) The system of claim 11, wherein the context comprises a categorization of the recognized words or phrases.

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44. (**New**) The system of claim 11, wherein the context comprises one of commands, directories, e-commerce, education, entertainment, lists, locations, multimedia, navigation, news, points of interest, search, stocks, recipes, scheduling, sports, subscriptions, transportation, or weather.

REMARKS

Applicant thanks the Examiner for withdrawing the 35 USC 112(b) rejections set forth in the January 21, 2020 *Office Action*.

Status of the Application

Claims 1-44 are all the claims pending in the Application, as claims 41-44 are hereby added. Only claims 1-20 stand rejected.

The Examiner has failed to address claims 21-40 added in Applicant's July 21, 2020 Amendment. While Applicant assumes the Examiner's silence on claims 21-40 is an indication of their allowability (as their features are certainly not taught or suggested by the references applied against claims 1-20), should the Examiner elect to address them in any subsequent action, such action should be non-final.

Claims 7 and 17 are amended to address informalities only; no estoppel is intended.

Enablement Rejection

The Examiner has rejected claims 7 and 17 under 35 U.S.C. § 112(a) / 35 U.S.C. § 112(a), first paragraph, as allegedly failing to comply with the written description requirement. The informalities noted by the Examiner have been corrected. Thus, withdrawal of the rejection is respectfully requested.

Anticipation Rejection

The Examiner has again rejected claims 1, 2, 4, 5, 9-12, 14, 15, 19, and 20 under 35 U.S.C. § 102(a)(1) / 35 U.S.C. § 102(b) as being anticipated by U.S. Pat. Pub. No. 2003/0061039 to *Levin* (hereinafter "*Levin*"). This rejection is respectfully traversed.

Applicant respectfully submits that *Levin* fails to teach or suggest: (i) "determining, by the one or more processors, a context for the natural language utterance based on the recognized

words or phrases;" and (ii) "selecting, by the one or more processors, a purchase opportunity based on the determined context," as recited in independent claim 1 (independent claim 11 recites a similar feature).

The Examiner's rejection cites *Levin's* disclosure of: (i) search options for television programs in pars. [0050]-[0054] (such as searching by program name or actors); and (ii) that the selected television program may be pay-per-view in par. [0066] as allegedly disclosing these features. *OA*, p. 7. As discussed in Applicant's previous response, however, paragraphs [0050]-[0054] simply disclose that the user may select ***what*** to search (*e.g.*, "show titles") before providing the subject of his search (*e.g.*, "60 Minutes") by a series of voice commands. And *Levin's* paragraph [0066] simply discloses that, if the searched-for show is a pay-per-view show (*e.g.*, a boxing match), the system may facilitate ordering of the show. This functionality does not teach or suggest the claimed features.

For example, in the *Levin* system, if a user wanted to search for a Mike Tyson pay-per-view fight, he might say, in response to successive queries from the system, "show titles," then "Tyson fight," and then "yes" to confirm that he wishes to order the fight. As can be understood from this example, each operation by the system is in direct response to a voice command from the user. There is no teaching or suggestion that this process determines a separate "context" outside of the stream of voice commands, or provides any response based on such a "context," let alone the claimed "purchase opportunity." Indeed, no context needs to be determined in the cited portions of *Levin* – the search results are all direct responses to voice commands. Further, there is no teaching or suggestion of the provision of a "purchase opportunity" in the cited portions of *Levin*. The only particular information provided to the user is the show that matches

his voice command and, if a pay-per-view show, a confirmation step that he wants to order the show. A display of a show to watch or the capability to confirm a pay-per-view order is not a "purchase opportunity" as recited in the pending claims.

In response to Applicant's previous arguments, the Examiner has explained that he is taking a very broad view of "a context for the natural language utterance" as "*any information* that is related is some way to the natural language utterance." *OA*, p. 4, emphasis in original. Thus, it appears that the Examiner is reading "a context for the natural language utterance" as coextensive with the "recognized words or phrases" of the natural language utterance (*e.g.*, the successive commands of the cited portions of *Levin*).

While Applicant agrees that "context for the natural language utterance" does have a broad scope, it is not as broad as the Examiner asserts here. For example, as is apparent by reviewing claim 1 (and claim 11) a "context for the natural language utterance" is conceptually different from the "recognized words or phrases" of the natural language utterance – because it is information determined ***based on*** the words or phrases of the utterance. A good example of "context" information can be found in pars. [0032] and [0033] of the instant Application, where contexts (*e.g.*, "navigation," "sports," "Philadelphia") can be determined based on utterances, in addition to recognizing the underlying words or phrases. While *Levin* discloses recognizing words or phrases to complete its voice commands, it does not teach or suggest determining context from those words or phrases.

Thus, Applicant respectfully submits that independent claims 1 and 11 are patentable over the applied reference. Further, Applicant respectfully submits that rejected dependent claims 2, 4, 5, 9, 10, 12, 14, 15, 19, and 20 are allowable, *at least* by virtue of their dependency.

Thus, Applicants respectfully request that the Examiner withdraw this rejection.

Obviousness Rejection

The Examiner has again rejected claims 8 and 18 under 35 U.S.C. § 103 as being unpatentable over *Levin* in view of FR 2867583 to Pannier et al. (hereinafter "*Pannier*"). This rejection is respectfully traversed.

Applicant respectfully submits that claims 8 and 18 are patentable at least by virtue of their dependency from independent claims 1 and 11, respectively. Further, Applicant respectfully submits that *Pannier*, even if it could have been combined with *Levin* as the Examiner asserts, fails to correct the deficiencies of *Levin vis-à-vis* claims 1 and 11 discussed above.

Thus, Applicants respectfully request that the Examiner withdraw this rejection.

New Claims

Claims 41-44 are hereby added. Claims 41-44 are fully supported by the instant Application, along with the disclosures of the patents incorporated by reference noted by the Examiner. Claims 41-44 are respectfully submitted to be allowable both by virtue of their dependency, and by virtue of the features recited therein.

Conclusion

In view of the foregoing, it is respectfully submitted that claims 1-44 are allowable. Thus, it is respectfully submitted that the application now is in condition for allowance with all of the claims 1-44.

If any points remain in issue which the Examiner feels may be best resolved through a personal or telephone interview, the Examiner is kindly requested to contact the undersigned at the telephone number listed below.

Respectfully submitted,

Date: **December 21, 2020**

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By: / Timothy P. Cremen /
Timothy P. Cremen
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Direct Dial: 202-747-1854
Fax: 202-747-3381

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Timothy P. Cremen/Diane Bogusz
Attorney Docket Number:	62KC-287092

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:				
CLAIMS IN EXCESS OF 20	1202	4	100	400
Miscellaneous-Filing:				
Petition:				
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:	41455065
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Diane Bogusz
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	21-DEC-2020
Filing Date:	19-NOV-2018
Time Stamp:	18:50:49
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	E2020BKI51068091
Deposit Account	
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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		62KC-287092_RESPONSE.pdf	188551 0bc6557c3fff25d5d5437ea2f0ead7ff1b01f3af	yes	18

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Amendment/Req. Reconsideration-After Non-Final Reject	1	1
	Claims	2	13
	Applicant Arguments/Remarks Made in an Amendment	14	18

Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30564 2ccccb4f4e2ece1a7b1b76ce0a4253bf49234446	no	2
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New Applications Under 35 U.S.C. 111

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

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

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

New International Application Filed with the USPTO as a Receiving Office

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

PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 16/194,944	Filing Date 11/19/2018	☐ To be Mailed

ENTITY: ☑ LARGE ☐ SMALL ☐ MICRO

APPLICATION AS FILED - PART I

	(Column 1)	(Column 2)			
FOR	NUMBER FILED	NUMBER EXTRA		RATE ($)	FEE ($)
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A		N/A	
☐ SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A		N/A	
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A		N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*		x $100 =	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*		x $460 =	
☐ 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).				
☐ 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	

APPLICATION AS AMENDED - PART II

AMENDMENT	12/21/2020	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA		RATE ($)	ADDITIONAL FEE ($)
	Total (37 CFR 1.16(i))	* 44	Minus	** 40	= 4		x $100 =	400
	Independent (37 CFR 1.16(h))	* 1	Minus	*** 3	= 0		x $480 =	0
	☐ Application Size Fee (37 CFR 1.16(s))							
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							
							TOTAL ADD'L FEE	400

AMENDMENT		(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA		RATE ($)	ADDITIONAL FEE ($)
	Total (37 CFR 1.16(i))	*	Minus	**	=		x $0 =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=		x $0 =	
	☐ Application Size Fee (37 CFR 1.16(s))							
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							
							TOTAL ADD'L FEE	

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

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

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Tom FREEMAN *et al.*	CONFIRMATION NO.:	1070
SERIAL NUMBER :	16/194,944	EXAMINER:	Brian Louis Albertalli
FILING DATE :	November 19, 2018	ART UNIT:	2656
FOR :	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS		

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 following Notice of Filing Date According to Petition and Time for Filing Patent Owner Preliminary Response in the following cases before the Patent Trial and Appeal Board:

1. U.S. Patent No. 9,015,049, Case IPR2020-01346, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

2. U.S. Patent No. 8,886,536, Case IPR2020-01374, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

3. U.S. Patent No. 8,886,536, Case IPR2020-01377, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

4. U.S. Patent No. 9,626,703, Case IPR2020-01380, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

5. U.S. Patent No. 9,626,703, Case IPR2020-01381, Mailed August 7, 2020, Amazon.com, Inc.; Amazon.com LLC; Amazon Web Services, Inc.; A2Z Development Center, Inc. d/b/a Lab126; Rawles LLC; Amzn Mobile LLC; Amzn Mobile 2 LLC; Amazon.com Services, Inc. f/k/a Amazon Fulfillment Services, Inc.; and Amazon.com Services LLC (formerly Amazon Digital Services LLC) (Petitioner) v. VB Assets, LLC (Patent Owner).

It is respectfully requested that the Examiner review these cases, and obtain copies of any of the references he needs.

I hereby certify that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge, after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

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.

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By /James G. Gatto/
James G. Gatto
Registration No.: 32,694

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133759

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Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-1945

Dated: September 25, 2020

Electronic Acknowledgement Receipt

EFS ID:	40672823
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	James G. Gatto/Susan Trader
Filer Authorized By:	James G. Gatto
Attorney Docket Number:	62KC-287092
Receipt Date:	25-SEP-2020
Filing Date:	19-NOV-2018
Time Stamp:	15:01:10
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_IDS.pdf	175878 be22af127ee990621851edc89f3181a84056e717	no	3
Warnings:					

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Total Files Size (in bytes):	175878

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National Stage of an International Application under 35 U.S.C. 371
If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.
New International Application Filed with the USPTO as a Receiving Office
If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
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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.

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6081779		2000-06-27	BESLING STEFAN	
	2	6859776		2005-02-22	COHEN MICHAEL H	
	3	8078502		2011-12-13	HAO BIAO	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010014857		2001-08-16	WANG ZIFEI PETER	
	2	20030154082		2003-08-14	TOGURI YASUHIRO	
	3	20040128514		2004-07-01	RHOADS GEOFFREY B	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	4	20060247919		2006-11-02	SPECHT JEFFREY	
	5	20080032622		2008-02-07	KOPRA TONI	
	6	20140136259		2014-05-15	KINSEY II EDWARD PHILLIP	

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

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2020-09-23
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

Privacy Act Statement

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

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

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

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

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

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

Electronic Acknowledgement Receipt	
EFS ID:	40639501
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Susan Trader
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	23-SEP-2020
Filing Date:	19-NOV-2018
Time Stamp:	11:33:43
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	501898 6fa865b5a570983074862e4f6e9eae4731273ce6	no	1

Warnings:

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053387 89237d5f617b88fb9a72352862aff6fc1460e552	no	5
Warnings:					
Information:					
			Total Files Size (in bytes):	1555285	

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application.

CERTIFICATION STATEMENT

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

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c), and is accompanied by the certification statement of 37 CFR 1.97(e)(2).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Timothy P. Cremen /	**Date**	09/23/2020
Name	Timothy P. Cremen	**Registration Number**	50,855

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

133759 7590 09/21/2020

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	

ART UNIT	PAPER NUMBER
2656	

NOTIFICATION DATE	DELIVERY MODE
09/21/2020	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

Office Action Summary	**Application No.** 16/194,944	**Applicant(s)** FREEMAN et al.	
	Examiner BRIAN L ALBERTALLI	**Art Unit** 2656	**AIA (FITF) Status** Yes

-- 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 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

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

Status

1)☑ Responsive to communication(s) filed on 21 July 2020.

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

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

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

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

Disposition of Claims*

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

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

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 1-20 is/are rejected.

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

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

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

Application Papers

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

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

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

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

Priority under 35 U.S.C. § 119

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

Certified copies:

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

Attachment(s)

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

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

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

4) ☐ Other: _____.

Notice of Pre-AIA or AIA Status

The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

Response to Arguments

Applicant's arguments regarding the 35 U.S.C. 112(b) rejections are persuasive. The amendments to claims 1 and 11 overcome the 35 U.S.C. 112(b) rejections.

Applicant's arguments regarding the 35 U.S.C. 112(a) rejections have been fully considered but they are not persuasive.

Applicant has amended claims 7 and 17 to require that "the domain agents comprise an electronic commerce agent configured to assist in the selection of the purchase opportunity related to its domain". As noted in the prior Office Action, the only description of "domain agents" is in paragraph [017] of the originally filed specification. The specification describes domain agents that "competitively generate a context-based interpretation of the utterance", and by doing to the agents "may model various domains (e.g. navigation, music, a specific user, global users, advertising, e-commerce, etc.)". While the described domain agents may model various domains that include e-commerce, the specification does not describe these domain agents as "electronic commerce agents" (nor does it describe "navigation agents, music agents, etc.). Furthermore, there is nothing in the specification that describes electronic commerce agents or domain agents configured to "assist in the selection of the purchase opportunity". Rather, domain agents are clearly illustrated in Fig. 1 135 as elements of a conversational language processor 120. Fig. 2 illustrates an advertising server 230, which establishes communication with a voice-enabled device and "may select one or more advertisements from among the advertisements", using an "advertisement selection module 250" (paragraphs [0021-0022]). Thus,

even if the "domain agents" that "model" an e-commerce domain could be considered to support "an electronic commerce agent" as claimed, the specification fails to disclose or suggest an agent "configured to assist in the selection of the purchase opportunity", because the selection is performed by the advertisement selection module 250 of advertising server 230. Furthermore, there is no description of any type of communication between domain agents 135 of conversational language processor 120 and the advertisement selection module 250 of advertising server 230 that would suggest a domain agent 135 could "assist" the advertisement selection module 250.

For the reasons give above, the 35 U.S.C. 112(a) rejections are maintained.

Applicant's arguments regarding the prior art rejections have been fully considered but they are not persuasive.

Applicant asserts that Levin does not disclose "determining… a context for the natural language utterance based on the recognized words or phrases (pages 11-12 of Applicant's response). In order to evaluate this argument, the broadest reasonable interpretation of "a context for the natural language utterance" must be established. The specification as originally filed discloses "context-based interpretations and responses to a voice-based input" may be generated using techniques described in U.S. Patent No. 7,640,160 and U.S. Patent No. 7,949,529, incorporated by reference. Turning to U.S. Patent No. 7,640,160, it becomes clear that "a context" for a natural language utterance broadly includes several different definitions. For example, column 12, line 56 to column 13, line 12 of U.S. Patent No. 7,640,160 describes a "context" related to received speech commands comprises "multimodal support" to "maintain the context during both voice interaction and through the non-speech interface". Column 13, lines 13-28 describe a "context manager" for "synchronizing context" across a plurality of registered devices. Column 13, lines 44-59 of U.S. Patent No. 7,640,160 describe comparing a text message transcribed from a verbal utterance to a "context description grammar"

where a "match" is determined based on a text combination, where the text combination comprises "a particular character, group of characters, word, group of words, and other text combinations". Column 13, line 60 to column 14, line 20 of U.S. Patent No. 7,640,160 describes a "knowledge-enhanced speech recognition system" that utilizes a "set of expected contexts that are stored in a context stack" to recognize an utterance, where "context" refers to "time, location, numbers, dates, categories… and other context".

Returning to the present application, the claimed "context" recited in "determining… a context for a natural language utterance based on the recognized words or phrases" would seem to cover all of the examples described above. Based on the disclosure incorporated by reference, the broadest reasonable interpretation of "a context for a natural language utterance" would cover *any information* that is related in some way to the natural language utterance.

Having established a broadest reasonable interpretation of "a context of a natural language utterance", paragraphs [0050-0054] of Levin clearly teach this limitation. For example, paragraph [0050] describes a "context" similar to the "multimodal" sense of the term described above where the speech recognition engine recognizes a user's spoken query and/or pressing of a button. Paragraph [0050] further discloses the system and the user "engage in a natural-language spoken dialog as required to refine the user's query", where refining a query over several utterance turns is equivalent to the "text combination" sense of context described above. Still further, paragraph [0055] discloses the results of a search in response to a user's spoken query produce information related to time, date, and location, which are equivalent to the "expected contexts" described above.

For the reasons given above, the prior art rejections are maintained.

Claim Rejections - 35 USC § 112

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

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

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

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

Claims 7 and 17 are rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor or a joint inventor, or for pre-AIA the inventor(s), at the time the application was filed, had possession of the claimed invention.

Claims 7 and 17 are directed to "domain agents" and require that the domain agents comprise "an electronic commerce agent configured to assist in the selection of the purchase opportunity related to its domain". The only description of "domain agents" in the specification as filed occurs in paragraph [017], which describes a conversational language processor 120 using a context determination module 130 to establish a context for a current utterance "by having domain agents 135 competitively generate a context-based interpretation of the utterance". Further, the specification indicates that "agents 135 may model various domains… and *conversational language processor 120 may interpret and/or respond* to a voice-based input accordingly" (emphasis added). Thus, the only functionality provided by "domain agents" described in the filed specification is providing contextual interpretations to the conversational language processor 120. Fig. 2 illustrates an advertising server 230, which establishes communication

with a voice-enabled device and "may select one or more advertisements from among the advertisements", using an "advertisement selection module 250" (paragraphs [0021-0022]). Thus, even if the "domain agents" that "model" an e-commerce domain could be considered to support "an electronic commerce agent" as claimed, the specification fails to disclose or suggest an agent "configured to assist in the selection of the purchase opportunity", because the selection is performed by the advertisement selection module 250 of advertising server 230. Furthermore, there is no description of any type of communication between domain agents 135 of conversational language processor 120 and the advertisement selection module 250 of advertising server 230, which would suggest a domain agent 135 could "assist" the advertisement selection module 250.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (a)(1) the claimed invention was patented, described in a printed publication, or in public use, on sale or otherwise available to the public before the effective filing date of the claimed invention.

Claim(s) 1-2, 4-5, 9-12, 14-15, and 19-20 is/are rejected under 35 U.S.C. 102(a)(1) as being anticipated by Levin (U.S. Patent Application Pub. No. 2003/0061039).

In regard to claim 1, Levin discloses a method for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon (Fig. 2), the method being implemented by one or more physical processors programmed with computer program

instructions, which when executed cause the one or more physical processors to perform the method (speech recognition processor 24, query processing 23, etc., paragraph [0037]), comprising:

providing, by the one or more processors, a natural language utterance as input to a speech recognition engine (digital signaling and speech processing resource 23 provides spoken voice responses to speech recognition 24, paragraph [0037]);

receiving, by the one or more processors, words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine (query processing 25 receives the utterances translated from speech to text, paragraph [0038]);

determining, by the one or more processors, a context for the natural language utterance based on the recognized words or phrases (the system determines contextual information related to how the user wants to search the database, e.g. by program name, actors, directors, etc., paragraphs [0050-0054]);

selecting, by the one or more processors, a purchase opportunity based on the determined context (programming that may be purchased by the user is selected based on the user's query, paragraph [0066]);

delivering, by the one or more processors, the selected purchase opportunity via an electronic communication with the one or more processors (the user is offered, via the natural language dialog system, the opportunity to purchase a program, paragraph [0066]);

tracking, by the one or more processors, an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the advertisement (after offering the user the opportunity to purchase the

programming, a natural language dialog interacts with the user to complete the purchase of the programming, paragraph [0067]; wherein a monitoring/logging system 32 tracks user requests to purchase products, paragraph [0044]);

building or updating, by the one or more processors, a user-specific profile based on the tracked interaction pattern (a user profile database 27 is maintained containing information about a particular user, paragraph [0040]); and

interpreting, by the one or more processors, a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance (for example, a user's credit card information may be stored in a first dialog, so that in a later dialog, the command "charge that to my VISA card" is interpreted so that the stored credit card information is used to complete the purchase, paragraph [0067]).

In regard to claim 2, Levin discloses the purchase opportunity relates to an item (programming, paragraph [0066], the method further comprising:

receiving, by the one or more processors, a second natural language utterance (in response to a query, the user is offered the opportunity to purchase the programming, paragraph [0066]);

determining, by the one or more processors, that the second natural language utterance comprises a request to purchase the item (the user responds positively to the natural language dialog to purchase the programming, paragraph [0067]; and

completing, by the one or more processors, a purchase transaction of the item based on the second natural language utterance (after payment is validated, the system transmits the program to the user, paragraph [0068]).

In regard to claim 4, Levin discloses delivering the selected purchase opportunity via the electronic device comprises:

audibly presenting, by the electronic device, a natural language conversational purchase opportunity (using a spoken natural language dialog, paragraphs [0037] and [0066-0067]).

In regard to claim 5, Levin discloses the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance (), the method further comprising:

providing, by the one or more processors, the words or phrases as an input to the conversational language processor (speech recognition 24 provides results to query processor 25, see Fig. 2 and paragraphs [0037-0038]); and

receiving, by the one or more processors, an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance (a natural language dialog is conducted between the user and the system, paragraph [0050]; and utilized to select the program purchase opportunity, paragraph [0066]).

In regard to claim 9, Levin discloses using, by the one or more processors, an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information (the user's location is determined to aid the natural language dialog, paragraphs [0056-0057]).

In regard to claim 10, Leven discloses the environmental information comprises a user location, a user activity, or a user action (user location, paragraph [0056]).

In regard to claim 11, Levin discloses system for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon (Fig. 2), the system comprising:

one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method (speech recognition processor 24, query processing 23, etc., paragraph [0037]), comprising:

provide a natural language utterance as input to a speech recognition engine (digital signaling and speech processing resource 23 provides spoken voice responses to speech recognition 24, paragraph [0037]);

receive words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine (query processing 25 receives the utterances translated from speech to text, paragraph [0038]);

determine a context for the natural language utterance based on the recognized words or phrases (the system determines contextual information related to how the user wants to search the database, e.g. by program name, actors, directors, etc., paragraphs [0050-0054]);

select a purchase opportunity based on the determined context (programming that may be purchased by the user is selected based on the user's query, paragraph [0066]);

deliver the selected purchase opportunity via an electronic communication with the one or more processors (the user is offered, via the natural language dialog system, the opportunity to purchase a program, paragraph [0066]);

track an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with

the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the advertisement (after offering the user the opportunity to purchase the programming, a natural language dialog interacts with the user to complete the purchase of the programming, paragraph [0067]; wherein a monitoring/logging system 32 tracks user requests to purchase products, paragraph [0044]);

build or update a user-specific profile based on the tracked interaction pattern (a user profile database 27 is maintained containing information about a particular user, paragraph [0040]); and

interpret a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance (for example, a user's credit card information may be stored in a first dialog, so that in a later dialog, the command "charge that to my VISA card" is interpreted so that the stored credit card information is used to complete the purchase, paragraph [0067]).

In regard to claim 12, Levin discloses the purchase opportunity relates to an item (programming, paragraph [0066], and wherein the one or more processors are further programmed to:

receive a second natural language utterance (in response to a query, the user is offered the opportunity to purchase the programming, paragraph [0066]);

determine that the second natural language utterance comprises a request to purchase the item (the user responds positively to the natural language dialog to purchase the programming, paragraph [0067]; and

complete a purchase transaction of the item based on the second natural language utterance (after payment is validated, the system transmits the program to the user, paragraph [0068]).

In regard to claim 14, Levin discloses to deliver the selected purchase opportunity, the electronic device is configured to:

audibly present a natural language conversational purchase opportunity (using a spoken natural language dialog, paragraphs [0037] and [0066-0067]).

In regard to claim 15, Levin discloses the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, wherein the one or more processors are further programmed to:

provide the words or phrases as an input to the conversational language processor (speech recognition 24 provides results to query processor 25, see Fig. 2 and paragraphs [0037-0038]); and

receive an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance (a natural language dialog is conducted between the user and the system, paragraph [0050]; and utilized to select the program purchase opportunity, paragraph [0066]).

In regard to claim 19, Levin discloses to use an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information (the user's location is determined to aid the natural language dialog, paragraphs [0056-0057]).

In regard to claim 20, Leven discloses the environmental information comprises a user location, a user activity, or a user action (user location, paragraph [0056]).

Claim Rejections - 35 USC § 103

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

> A patent for a claimed invention may not be obtained, notwithstanding that the claimed invention is not identically disclosed as set forth in section 102, if the differences between the claimed invention and the prior art are such that the claimed invention as a whole would have been obvious before the effective filing date of the claimed invention to a person having ordinary skill in the art to which the claimed invention pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim(s) 8 and 18 is/are rejected under 35 U.S.C. 103 as being unpatentable over Levin, in view of Pannier et al. (French Patent Application FR 2867583, hereinafter "Pannier").

In regard to claim 8, Levin does not disclose recognizing the words or phrases from the natural language utterance comprises using, by the speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

Pannier discloses a method for recognizing words or phrases from a natural language utterance comprises:

using, by a speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes (vocalized user expressions are recognized by determining an expression that most phonetically matches the dictated expression, see Abstract).

It would have been obvious to one of ordinary skill in the art prior to the effective filing date of the claimed invention to utilize phonetic dictation to recognize a stream of phonemes in the natural language utterance, because this prevents the utterance from being recognized incorrectly, as suggested by Pannier (see Abstract).

Claim(s) 3 and 13 is/are rejected under 35 U.S.C. 103 as being unpatentable over Levin, in view of Yonebayashi (Japanese Patent App. Pub. No. 2002/297626).

In regard to claims 3 and 13, Levin does not expressly disclose a user interaction with the purchase opportunity.

Yonebayashi discloses a method for presenting purchase opportunities via speech, comprising:

receiving, by the one or more processors, an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction (a user interaction with a purchase opportunity is received (advertisement presentation), paragraph [0054]);

determining, by the one or more processors, whether the interpretation of the natural language utterance was correct based on the indication ("You want a laptop, right?", paragraph [0054]); and

interpreting, by the one or more processors, a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct (the agent interprets subsequent responses based on the prior interpretations, e.g., a laptop is presented, paragraph [0054]).

It would have been obvious to one of ordinary skill in the art at the time of invention to determine whether an interpretation of a natural language utterance was correct based on user interaction with a purchase opportunity, because it would allow the system to respond to inquiries from the user regarding the content of the purchase opportunity, as suggested by Yonebayashi (paragraphs [0006-0008]).

Claim(s) 6 and 16 is/are rejected under 35 U.S.C. 103 as being unpatentable over Levin, in view of Kennewick (U.S. Patent Application Pub. No. 2004/0193420, hereinafter "Kennewick").

In regard to claims 6 and 16, Levin does not disclose the conversational language processor comprises one or more domain agents.

Kennewick discloses a conversational language processor comprising one or more domain agents (Fig. 6, 156) where a domain agent is configured to assist in:

(i) interpreting requests related to its domain (domain agents respond to questions and commands related to their domain, paragraphs [0126-0127]); and

(ii) determining a response to the requests related to its domain (domain agents respond to questions and commands related to their domain, paragraphs [0126-0127]).

It would have been obvious to one of ordinary skill in the art at the time of invention to include one or more domain agents, because domain agents provide advantages such as "include[ing] everything needed to extend or modify the functionality of the system in a current or new domain", as taught by Kennewick (paragraph [0126]).

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to BRIAN LOUIS ALBERTALLI whose telephone number is (571)272-7616. The examiner can normally be reached on W: 12-4, Th: 9-3, F: 9-3.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Bhavesh Mehta can be reached on 571-272-7453. 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 https://ppair-my.uspto.gov/pair/PrivatePair. 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.

BLA 9/13/20

/BRIAN L ALBERTALLI/
Primary Examiner, Art Unit 2656

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

CPC - Searched*		
Symbol	**Date**	**Examiner**
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA

CPC Combination Sets - Searched*		
Symbol	**Date**	**Examiner**

US Classification - Searched*			
Class	**Subclass**	**Date**	**Examiner**

* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

Search Notes		
Search Notes	**Date**	**Examiner**
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA
EAST Search	08/19/2019	BLA
Updated EAST Search	01/14/2020	BLA
Updated EAST Search	09/15/2020	BLA

Amazon/VB Assets
Exhibit 1003
Page 190

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

Interference Search			
US Class/CPC Symbol	US Subclass/CPC Group	Date	Examiner

Amazon/VB Assets
Exhibit 1003
Page 191

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2656

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

CLAIMS

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

CLAIM		DATE								
Final	Original	08/19/2019	01/14/2020	09/15/2020						
	1	✓	✓	✓						
	2		✓	✓						
	3		✓	✓						
	4		✓	✓						
	5		✓	✓						
	6		✓	✓						
	7		✓	✓						
	8		✓	✓						
	9		✓	✓						
	10		✓	✓						
	11		✓	✓						
	12		✓	✓						
	13		✓	✓						
	14		✓	✓						
	15		✓	✓						
	16		✓	✓						
	17		✓	✓						
	18		✓	✓						
	19		✓	✓						
	20		✓	✓						

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(Not for submission under 37 CFR 1.99)

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

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	1	103229206A	CN		2013-07-31	EZPAYY INC		X
	2	0129742A2	WO		2001-04-26	TELLME NETWORKS INC		☐

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	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Office Action issued in Chinese Patent Application No. 201580060519.1 on March 13, 2020, with its English translation, 40 pages.	

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Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2020-06-15
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

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	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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	1	20050240412		2005-10-27	FUJITA MASAHIRO	
	2	20050043956		2005-02-24	AOYAMA KAZUMI	

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

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	487	(704/$.ccls. or G10L$/$.cpc.) and (ad or ads or advertis$10).ti.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/16 16:14
S2	709	(704/$.ccls. or G10L$/$.cpc.) and ((ad or ads or advertis$10) with context$10)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/16 16:15
S3	120	S1 and S2	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/16 16:16
S4	1	(11/530921).APP.	USPAT; USOCR	OR	OFF	2019/08/19 10:44
S5	144	("20020007276" | "20020049594" | "20020065944" | "20020092019" | "20020099553" | "20020120554" | "20020147593" | "20020184610" | "20030039341" | "20030046316" | "20030046346" | "20030101451" | "20030125945" | "20030179865" | "20030182622" | "20030195739" | "20030217161" | "20030229900" | "20030235282" | "20040019487" | "20040025115" | "20040031058" | "20040044516" | "20040049390" | "20040059705" | "20040083109" | "20040120472" | "20040120476" | "20040138890" | "20040153323" | "20040179038" | "20040216036" | "20040236574" | "20040260562" | "20050075884" | "20050091059" | "20050131701" | "20050137862" | "20050138219" | "20050138647" | "20050154580" | "20050160461" |	US-PGPUB; USPAT; USOCR	OR	OFF	2019/08/19 10:45

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S7	709	(704/$.ccls. or G10L$/$.cpc.) and ((ad or ads or advertis$10) with context$10)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO;	OR	OFF	2019/08/19 10:55

			DERWENT; IBM_TDB			
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S17	55	(704/$.ccls. or G10L$/$.cpc.) and (ad or ads or advertis$10).ti. and (clickthrough$5 or (click$5 near2 through$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:14
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S21	2,739	S20 and track$5.clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO;	OR	OFF	2020/01/07 17:29

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S22	2,139	S20 and track$5 with profile$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:30
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S25	6	"20030061039"	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/09/03 12:08
S26	2	"7640160".pn.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/09/03 12:38

EAST Search History (Interference)

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9/13/2020 4:53:59 PM
C:\Users\balbertalli\Documents\EAST\Workspaces\16194944B.wsp

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20040199387		2004-10-07	WANG AVERY LI-CHUN	
	2	20080010135		2008-01-10	SCHROCK JEFF	
	3	20100076778		2010-03-25	KONDRK ROBERT H	

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FOREIGN PATENT DOCUMENTS Remove

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

EFS Web 2.1.18

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

NON-PATENT LITERATURE DOCUMENTS [Remove]

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

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

EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	09/13/2020

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

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2020-03-12
Name/Print	Mark A. Patrick	Registration Number	72,958

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

IN THE UNITED STATES PATENT & TRADEMARK OFFICE			
In Re Patent Application Of:	Tom FREEMAN *et al.*	**Attorney Docket No.:**	62KC-287092
Serial No.:	16/194,944	**Confirmation No.:**	1070
Filing Date:	November 19, 2018	**Examiner:**	Brian Albertalli
		Art Unit:	2657

For: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

PAYMENT TRANSMITTAL AND AUTHORIZATION

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

Dear Sir:

This paper is being submitted to address a good faith error in payment of small entity fees on July 21, 2020 for the Request for Continued Examination, Petition for three month extension of time, and claims in excess of 20. The erroneous payment of small entity fees was made inadvertently. Applicant requests that the Commissioner charge the payment is owed, which is calculated to be $2,350, to Deposit Account No. 504561 (Ref. No. 62KC-287092). Please contact the undersigned by telephone if there are any questions regarding this matter.

Respectfully submitted,

Date: **July 21, 2020**

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By: / Timothy P. Cremen /
Timothy P. Cremen
Registration No. 50,855

Customer No. 133759
2099 Pennsylvania Avenue, NW, Suite 100
Washington, DC 20006-6801
Main: 202-747-1900
Direct Dial: 202-747-1854
Fax: 202-747-3381

Electronic Acknowledgement Receipt

EFS ID:	40067308
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Diane Bogusz
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	21-JUL-2020
Filing Date:	19-NOV-2018
Time Stamp:	19:55:35
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_FEE_LETTER.pdf	5669 f03799677602b30288265204513 17c05d49e1c1a	no	1

Warnings:

Information:	
Total Files Size (in bytes):	5669

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

New Applications Under 35 U.S.C. 111

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

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

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

New International Application Filed with the USPTO as a Receiving Office

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

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL
(Submitted Only via EFS-Web)

Application Number	16/194,944	Filing Date	2018-11-19	Docket Number (if applicable)	62KC-287092	Art Unit	2657
First Named Inventor	Tom Freeman			Examiner Name	Brian Albertalli		

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. The Instruction Sheet for this form is located at WWW.USPTO.GOV

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).

☐ 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.

- ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____
- ☐ Other _____

☒ Enclosed

- ☒ Amendment/Reply
- ☐ Information Disclosure Statement (IDS)
- ☐ Affidavit(s)/ Declaration(s)
- ☒ Other Petition for 3 month extension of time

MISCELLANEOUS

☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months _____ (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

☐ Other _____

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 any underpayment of fees, or credit any overpayments, to Deposit Account No 504561

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

X Patent Practitioner Signature

Applicant Signature

PTO/SB/30EFS (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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Signature of Registered U.S. Patent Practitioner			
Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2020-07-21
Name	Timothy P. Cremen	Registration Number	50855

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.

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

PTO/AIA/22 (03-13)
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PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)	Docket Number (Optional) 62KC-287092
Application Number 16/194,944	Filed Nov. 19, 2018
For SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS	
Art Unit 2657	Examiner Brian Albertalli

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

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

		Fee	Small Entity Fee	Micro Entity Fee	
☐	One month (37 CFR 1.17(a)(1))	$200	$100	$50	$
☐	Two months (37 CFR 1.17(a)(2))	$600	$300	$150	$
☑	Three months (37 CFR 1.17(a)(3))	$1,400	$700	$350	$ 700
☐	Four months (37 CFR 1.17(a)(4))	$2,200	$1,100	$550	$
☐	Five months (37 CFR 1.17(a)(5))	$3,000	$1,500	$750	$

☐ Applicant asserts small entity status. See 37 CFR 1.27.

☐ Applicant certifies micro entity status. See 37 CFR 1.29.
Form PTO/SB/15A or B or equivalent must either be enclosed or have been submitted previously.

☐ 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 504561.

☑ Payment made via EFS-Web.

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.

☑ attorney or agent of record. Registration number 50885.

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

/Timothy P. Cremen/ — Signature

July 21, 2020 — Date

Timothy P. Cremen — Typed or printed name

202.747.1900 — Telephone Number

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

☐ * Total of _____ forms are submitted.

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

Privacy Act Statement

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

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

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

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In Re Patent Application Of:	Tom FREEMAN *et al.*	**Attorney Docket No.:**	62KC-287092
Serial No.:	16/194,944	**Confirmation No.:**	1070
Filing Date:	November 19, 2018	**Examiner:**	Brian Albertalli
		Art Unit:	2657

For: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

RESPONSE TO FINAL OFFICE ACTION

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

Submitted: July 21, 2020

Dear Sir:

In response to the Final Office Action mailed **January 21, 2020**, please amend the above-identified application as follows:

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

Remarks begin on page **11** 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 therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 504561 (**Ref. No. 62KC-287092**).

AMENDMENTS TO THE CLAIMS

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

LISTING OF CLAIMS:

1. (**Currently Amended**) A method for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon, the method being implemented by one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method, the method comprising:

providing, by the one or more processors, a natural language utterance as an input to a speech recognition engine;

receiving, by the one or more processors, words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine;

determining, by the one or more processors, a context for the natural language utterance based on the recognized words or phrases;

selecting, by the one or more processors, a purchase opportunity based on the determined context;

delivering, by the one or more processors, the selected purchase opportunity via an electronic device in communication with the one or more processors;

tracking, by the one or more processors, an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the ~~advertisement~~ purchase opportunity;

building or updating, by the one or more processors, a user-specific profile based on the tracked interaction pattern; and

interpreting, by the one or more processors, a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

2. (**Previously Presented**) The method of claim 1, wherein the purchase opportunity relates to an item, the method further comprising:

receiving, by the one or more processors, a second natural language utterance;

determining, by the one or more processors, that the second natural language utterance comprises a request to purchase the item; and

completing, by the one or more processors, a purchase transaction of the item based on the second natural language utterance.

3. (**Previously Presented**) The method of claim 1, the method further comprising:

receiving, by the one or more processors, an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction;

determining, by the one or more processors, whether the interpretation of the natural language utterance was correct based on the indication; and

interpreting, by the one or more processors, a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct.

4. (**Previously Presented**) The method of claim 1, wherein delivering the selected purchase opportunity via the electronic device comprises:

audibly presenting, by the electronic device, a natural language conversational purchase opportunity.

5. (**Previously Presented**) The method of claim 1, wherein the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, the method further comprising:

providing, by the one or more processors, the words or phrases as an input to the conversational language processor; and

receiving, by the one or more processors, an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance.

6. (**Previously Presented**) The method of claim 5, wherein the conversational language processor comprises one or more domain agents, where a domain agent is configured to assist in: (i) interpreting requests related to its domain; and (ii) determining a response to the requests related to its domain.

7. (**Currently Amended**) The method of claim 6, wherein the domain agents comprise an electronic commerce agent configured to assist in the selection of the purchase opportunity related to its domain.

8. (**Previously Presented**) The method of claim 1, wherein recognizing the words or phrases from the natural language utterance comprises:

using, by the speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

9. (**Previously Presented**) The method of claim 1, the method further comprising:

using, by the one or more processors, an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information.

10. (**Previously Presented**) The method of claim 1, wherein the environmental information comprises a user location, a user activity, or a user action.

11. (**Currently Amended**) A system for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon, the system comprising:

one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to:

provide a natural language utterance as an input to a speech recognition engine;

receive words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine;

determine a context for the natural language utterance based on the recognized words or phrases;

select a purchase opportunity based on the determined context;

deliver the selected purchase opportunity via an electronic device in communication with the one or more processors;

track an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the ~~advertisement~~ purchase opportunity;

build or update a user-specific profile based on the tracked interaction pattern; and

interpret a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

12. (**Previously Presented**) The system of claim 11, wherein the purchase opportunity relates to an item, and wherein the one or more processors are further programmed to:

receive a second natural language utterance;

determine that the second natural language utterance comprises a request to purchase the item; and

complete a purchase transaction of the item based on the second natural language utterance.

13. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

receive an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction;

determine whether the interpretation of the natural language utterance was correct based on the indication; and

interpret a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct.

14. (**Previously Presented**) The system of claim 11, wherein to deliver the selected purchase opportunity, the electronic device is configured to:

audibly present a natural language conversational purchase opportunity.

15. (**Previously Presented**) The system of claim 11, wherein the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, wherein the one or more processors are further programmed to:

provide the words or phrases as an input to the conversational language processor; and

receive an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance.

16. (**Previously Presented**) The system of claim 15, wherein the conversational language processor comprises one or more domain agents, where a domain agent is configured to assist in: (i) interpreting requests related to its domain; and (ii) determining a response to the requests related to its domain.

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17. (**Currently Amended**) The system of claim 16, wherein the domain agents comprise an electronic commerce agent configured to assist in the selection of the purchase opportunity related to its domain.

18. (**Previously Presented**) The system of claim 11, wherein to recognize the words or phrases from the natural language utterance, the speech recognition engine is configured to:

use phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

19. (**Previously Presented**) The system of claim 11, wherein the one or more processors are further programmed to:

use an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information.

20. (**Previously Presented**) The system of claim 11, wherein the environmental information comprises a user location, a user activity, or a user action.

21. (**New**) The method of claim 1, further comprising:

invoking, by the one or more processors, one or more system resources to select the purchase opportunity based on the determined context;

wherein the one or more system resources include at least an agent comprising an autonomous executable, wherein the executable comprises a redistributable package of functionality for a specific application that receives, processes, and responds to user questions, queries, and/or commands.

22. (**New**) The method of claim 21, wherein the agent returns results of user questions, queries, and/or commands as responses to the user; and the responses are created using the results of information queries, system personality, and user preferences or other data in the user-specific profile.

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23. (**New**) The method of claim 21, further comprising updating the agent from a remote location over a network to provide new functionality.

24. (**New**) The method of claim 21, wherein the agent uses system resources and the services of other agents.

25. (**New**) The method of claim 21, further comprising providing a framework allowing the user to create or modify the agent.

26. (**New**) The method of claim 24, further comprising providing a license management framework to enable the user to purchase the agent on a one time or subscription basis.

27. (**New**) The method of claim 1, further comprising:
capturing, by the one or more processors, the first natural language utterance;
parsing, by the one or more processors, the first natural language utterance;
interpreting, by the one or more processors, the first natural language utterance; and
invoking, by the one or more processors, an applicable agent from a library of agents.

28. (**New**) The method of claim 1, further comprising:
invoking an agent to process the natural language utterance; and
creating a query to a local database or through a network interface to a remote database.

29. (**New**) The method of claim 1, further comprising providing a user interface allowing the user to modify the user-specific profile, questions, queries, data sources, preferences, or parameters.

30. (**New**) The method of claim 21, wherein:
the method is implemented on a network of devices using a common base of agents, data, information, user-specific profiles, and histories;

the user can interact with, and receive the same services and applications from, any one of the devices on the network; and

the location of a particular device addressed by the user is used as part of context for questions asked of the user.

31. (**New**) The system of claim 11, wherein the one or more processors are further programmed to:

invoke, by the one or more processors, one or more system resources to select the purchase opportunity based on the determined context;

wherein the one or more system resources include at least an agent comprising an autonomous executable, wherein the executable comprises a redistributable package of functionality for a specific application that receives, processes, and responds to user questions, queries, and/or commands.

32. (**New**) The system of claim 31, wherein the agent returns results of user questions, queries, and/or commands as responses to the user; and the responses are created using the results of information queries, system personality, and user preferences or other data in the user-specific profile.

33. (**New**) The system of claim 31, wherein the one or more processors are further programmed to update the agent from a remote location over a network to provide new functionality.

34. (**New**) The system of claim 31, wherein the agent uses system resources and the services of other agents.

35. (**New**) The system of claim 31, wherein the one or more processors are further programmed to provide a framework allowing the user to create or modify the agent.

36. (**New**) The system of claim 34, wherein the one or more processors are further programmed to provide a license management framework to enable the user to purchase the agent on a one time or subscription basis.

37. (**New**) The system of claim 11, wherein the one or more processors are further programmed to:

capture, by the one or more processors, the first natural language utterance;

parse, by the one or more processors, the first natural language utterance;

interpret, by the one or more processors, the first natural language utterance; and

invoke, by the one or more processors, an applicable agent from a library of agents.

38. (**New**) The system of claim 11, wherein the one or more processors are further programmed to:

invoke an agent to process the natural language utterance; and

create a query to a local database or through a network interface to a remote database.

39. (**New**) The system of claim 11, wherein the one or more processors are further programmed to provide a user interface allowing the user to modify the user-specific profile, questions, queries, data sources, preferences, or parameters.

40. (**New**) The system of claim 31, wherein:

the method is implemented on a network of devices using a common base of agents, data, information, user-specific profiles, and histories;

the user can interact with, and receive the same services and applications from, any one of the devices on the network; and

the location of a particular device addressed by the user is used as part of context for questions asked of the user.

REMARKS

Applicant thanks the Examiner for withdrawing the rejections set forth in the August 22, 2019 *Office Action.*

Status of the Application

Claims 1-40 are all the claims pending in the Application, as claims 21-40 are hereby added. Claims 1-20 stand rejected. Claims 1, 7, 11, and 17 are amended in a clarifying manner, with no estoppel intended.

Enablement Rejection

The Examiner has rejected claims 7 and 17 under 35 U.S.C. § 112(a) / 35 U.S.C. § 112(a), first paragraph, as allegedly failing to comply with the written description requirement. Claims 7 and 17 are hereby amended in a clarifying manner that renders this rejection moot. Thus, withdrawal of the rejection is respectfully requested.

Indefiniteness Rejection

The Examiner has rejected claims 1-20 under 35 U.S.C. § 112(b) / 35 U.S.C. § 112, second paragraph, as allegedly being indefinite. Claims 1 and 11 are hereby amended in a clarifying manner that renders this rejection moot. Thus, withdrawal of the rejection is respectfully requested.

Anticipation Rejection

The Examiner has rejected claims 1, 2, 4, 5, 9-12, 14, 15, 19, and 20 under 35 U.S.C. § 102(a)(1) / 35 U.S.C. § 102(b) as being anticipated by U.S. Pat. Pub. No. 2003/0061039 to *Levin* (hereinafter "*Levin*"). This rejection is respectfully traversed.

Applicant respectfully submits that *Levin* fails to disclose, or teach or suggest, "determining, by the one or more processors, a context for the natural language utterance based

on the recognized words or phrases," as recited in independent claim 1 (and the similar feature of independent claim 11). While the Examiner cites *Levin's* disclosure of the selection of search options in *Levin's* pars [0050]-[0054], these paragraphs simply disclose that the user may select how the search is performed before his search request is uttered. The Examiner has not explained how this functionality determines a context for the user's request based on words or phrases recognized in the request, as recited in the independent claims.

Thus, Applicant respectfully submits that independent claims 1 and 11 are patentable over the applied reference. Further, Applicant respectfully submits that rejected dependent claims 2, 4, 5, 9, 10, 12, 14, 15, 19, and 20 are allowable, *at least* by virtue of their dependency.

Thus, Applicants respectfully request that the Examiner withdraw this rejection.

Obviousness Rejection

The Examiner has rejected claims 8 and 18 under 35 U.S.C. § 103 as being unpatentable over *Levin* in view of FR 2867583 to Pannier et al. (hereinafter "*Pannier*"). This rejection is respectfully traversed. Applicant respectfully submits that claims 8 and 18 are patentable at least by virtue of their dependency from independent claims 1 and 11, respectively. Additionally, Applicant respectfully submits that *Pannier*, even if it could have been combined with *Levin* as the Examiner asserts, fails to correct the deficiencies of *Levin vis-à-vis* claims 1 and 11 discussed above. Thus, Applicants respectfully request that the Examiner withdraw this rejection.

New Claims

Claims 21-40 are hereby added. Claims 21-40 are fully supported by the instant Application, along with the disclosures of, for example, U.S. Patent Nos. 7,640,160 and 7,949,529, which are incorporated by reference in their entirety (*see* specification at [0019]).

Claims 21-40 are respectfully submitted to be allowable both by virtue of their dependency, and by virtue of the features recited therein.

Conclusion

In view of the foregoing, it is respectfully submitted that claims 1-40 are allowable. Thus, it is respectfully submitted that the application now is in condition for allowance with all of the claims 1-40.

If any points remain in issue which the Examiner feels may be best resolved through a personal or telephone interview, the Examiner is kindly requested to contact the undersigned at the telephone number listed below.

Respectfully submitted,

Date: **July 21, 2020** **SHEPPARD MULLIN RICHTER & HAMPTON LLP**

By: / Timothy P. Cremen /
Timothy P. Cremen
Registration No. 50,855

Customer No. 133759

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Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Timothy P. Cremen/Diane Bogusz
Attorney Docket Number:	62KC-287092

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
Pages:				
Claims:				
CLAIMS IN EXCESS OF 20	2202	20	50	1000
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Extension - 3 months with $0 paid	2253	1	700	700
Miscellaneous:				
RCE- 1ST REQUEST	2801	1	650	650
		Total in USD ($)		**2350**

Electronic Acknowledgement Receipt	
EFS ID:	40064282
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Diane Bogusz
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	21-JUL-2020
Filing Date:	19-NOV-2018
Time Stamp:	16:25:16
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$2350
RAM confirmation Number	E20207KG25368296
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	Request for Continued Examination (RCE)	62KC-287092_RCE.pdf	1350018 f417d9043b9bd31e8e0be827f097c026f73fe853	no	3
Warnings:					
Information:					
2	Extension of Time	287092_EOT_21JULY20.pdf	163731 49854e59e6845aa9313d2b7e4930e317dc994df6	no	2
Warnings:					
Information:					
3		62KC-287092_RESPONSE_21JULY20.pdf	57846 b2be0c8f9f969c332a5786076868d9e5e2f2b69d	yes	13

Multipart Description/PDF files in .zip description

Document Description	Start	End
Amendment Submitted/Entered with Filing of CPA/RCE	1	1
Claims	2	10
Applicant Arguments/Remarks Made in an Amendment	11	13

Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	34382 d8d4dc504b46180bb71ba9583a8e74e0548d0bda	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	1605977		

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

New Applications Under 35 U.S.C. 111

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

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

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

New International Application Filed with the USPTO as a Receiving Office

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

PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 16/194,944	Filing Date 11/19/2018	☐ To be Mailed

ENTITY: ☐ LARGE ☑ SMALL ☐ MICRO

APPLICATION AS FILED - PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA		RATE ($)	FEE ($)
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A		N/A	
☐ SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A		N/A	
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A		N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*		x $50 =	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*		x $230 =	
☐ 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).				
☐ 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	

APPLICATION AS AMENDED - PART II

AMENDMENT	07/21/2020	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA		RATE ($)	ADDITIONAL FEE ($)
	Total (37 CFR 1.16(i))	* 40	Minus	** 20	= 20		x $50 =	1000
	Independent (37 CFR 1.16(h))	* 2	Minus	*** 3	= 0		x $230 =	0
	☐ Application Size Fee (37 CFR 1.16(s))							
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							
							TOTAL ADD'L FEE	1000

AMENDMENT		(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA		RATE ($)	ADDITIONAL FEE ($)
	Total (37 CFR 1.16(i))	*	Minus	**	=		x $0 =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=		x $0 =	
	☐ Application Size Fee (37 CFR 1.16(s))							
	☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							
							TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.	LIE
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".	/KIMBERLY N PANNELL/
*** 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.

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

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

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U.S.PATENT APPLICATION PUBLICATIONS Remove

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20050240412		2005-10-27	FUJITA MASAHIRO	
	2	20050043956		2005-02-24	AOYAMA KAZUMI	

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

FOREIGN PATENT DOCUMENTS Remove

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

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NON-PATENT LITERATURE DOCUMENTS Remove

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

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Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2020-06-15
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Timothy P. Cremen/Susan Trader
Attorney Docket Number:	62KC-287092

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:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
SUBMISSION- INFORMATION DISCLOSURE STMT	1806	1	240	240
		Total in USD ($)		**240**

Electronic Acknowledgement Receipt	
EFS ID:	39719468
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Timothy P. Cremen/Susan Trader
Filer Authorized By:	Timothy P. Cremen
Attorney Docket Number:	62KC-287092
Receipt Date:	15-JUN-2020
Filing Date:	19-NOV-2018
Time Stamp:	14:48:18
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$240
RAM confirmation Number	E20206EE48433958
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	Transmittal Letter	62KC-287092_FOREIGN_Transmittal-Letter.pdf	506731 d6a11237046a928940eadaa73886b596dabebd80	no	1
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_FOREIGN_PTO_IDS-Form.pdf	1053228 19bcb66c456b355187cb484f49d39b036ad2a46f	no	4
Warnings:					
Information:					
A U.S. Patent Number Citation or a U.S. Publication Number Citation is required in the Information Disclosure Statement (IDS) form for autoloading of data into USPTO systems. You may remove the form to add the required data in order to correct the Informational Message if you are citing U.S. References. If you chose not to include U.S. References, the image of the form will be processed and be made available within the Image File Wrapper (IFW) system. However, no data will be extracted from this form. Any additional data such as Foreign Patent Documents or Non Patent Literature will be manually reviewed and keyed into USPTO systems.					
3	Foreign Reference	62KC-Foreign-001.pdf	1182656 c03ee5063d0435c9b769b83ce73aac73b66b1695	no	11
Warnings:					
Information:					
4	Foreign Reference	62KC-Foreign-002.pdf	2401990 f2e4a95037eae892be9fcec617da060fafd51cb7	no	66
Warnings:					
Information:					
5	Non Patent Literature	62KC-NPL-001.pdf	3610276 dc79a2458b8d97146e75c311e20cfe19186920b2	no	40
Warnings:					
Information:					

6	Transmittal Letter	62KC-287092_US_Transmittal-Letter.pdf	502516 b378041255b5bd267162aac433b1d1516a21276e	no	1
Warnings:					
Information:					
7	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_US_PTO_IDS-Form.pdf	1053114 cc81d070a07a92d8c532b2319d70ed6527e6f042	no	4
Warnings:					
Information:					
8	Fee Worksheet (SB06)	fee-info.pdf	30498 1cab122cb671f409273c3acabc4c9af791dac4d9	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	10341009		

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(d), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(c) and on or before payment of the issue fee.

CERTIFICATION STATEMENT

Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

FEE

This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(d). Therefore, this Information Disclosure Statement is subject to the $240 (large entity) fee set forth in 37 CFR 1.17(p).

ADDITIONAL COMMENTS

The foreign patent documents were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided.

SIGNATURE

Signature	/ Timothy P. Cremen /	**Date**	2020-06-15
Name	Timothy P. Cremen	**Registration Number**	50,855

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2656
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1	103229206A	CN		2013-07-31	EZPAYY INC		X
	2	0129742A2	WO		2001-04-26	TELLME NETWORKS INC		☐

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

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	Office Action issued in Chinese Patent Application No. 201580060519.1 on March 13, 2020, with its English translation, 40 pages.	

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

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

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	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Timothy P. Cremen/	Date (YYYY-MM-DD)	2020-06-15
Name/Print	Timothy P. Cremen	Registration Number	50,855

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

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

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

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

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

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

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

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

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.

Espacenet

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System and method for mobile electronic purchasing

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Abstract of CN103229206 (A)

A system and method for electronic purchasing via a mobile web-enabled communication device. A contact list containing shipping addresses, and a payment file containing encrypted credit card information for one or more credit cards is stored on the mobile device. In response to a request for credit card and shipping information from a merchant website for an item to be purchased, a specific one of the credit cards and a specific one of the shipping addresses is selected from the contacts list and the payment file, respectively. The credit card data for the selected credit card is decrypted, and the decrypted credit card data and the selected shipping address are sent to the merchant website for order processing.

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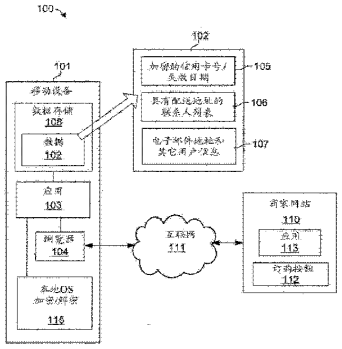
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(54)发明名称

用于移动电子购物的系统和方法

(57)摘要

用于经由支持网络的移动通信设备进行电子购物的系统和方法。包含配送地址的联系人列表以及包含用于一个或多个信用卡的加密信用卡信息的支付文件被储存在该移动设备上。作为对来自待购买物品的商家网站对信用卡和配送地址信息的请求的响应，分别从联系人列表和支付文件中选择信用卡中的指定信用卡和配送地址中的指定地址。所选信用卡的信用卡数据被解密。被解密的信用卡数据和所选配送地址被发送至商家网站以进行订单处理。



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1. 一种经由支持网络的移动通信设备进行电子购物的方法，所述移动通信设备包括互联网浏览器，所述方法包括：

创建联系人列表，所述联系人列表存储在所述移动通信设备上并包含至少一个配送地址；

创建支付文件，所述支付文件储存在所述移动通信设备上并包含加密的信用卡信息，所述信用卡信息包括用于至少一个信用卡的卡号和失效日期；

经由所述浏览器显示商家网站，所述商家网站包括显示订单按钮的网页；

将待购买物品放入所述网页上的订单列表；

选择所述订单按钮以使物品信息从所述商家网站被发送至所述移动通信设备，所述物品信息包括所选的待购买物品的名称和价格；

从所述商家网站请求所选物品的价格；

从所述商家网站接收所选物品的价格；

作为从所述商家网站接收所述物品信息的响应：分别从所述联系人列表和所述支付文件中选择所述信用卡中的指定信用卡和所述配送地址中的指定地址；

对所选信用卡的信用卡数据进行解密；以及

将解密的信用卡数据和所选的配送地址从所述移动通信设备发送至所述商家网站以进行订单处理。

2. 根据权利要求 1 所述的方法，其中，用于请求步骤和发送步骤的通信使用所述商家网站上的用于所述请求步骤和所述发送步骤中的每一个的相应 URL 来起作用。

3. 根据权利要求 2 所述的方法，其中，执行请求、接收、及选择的步骤的应用由所述浏览器启动。

4. 根据权利要求 1 所述的方法，其中，执行请求、接收以及选择的步骤的应用由另一应用启动。

5. 根据权利要求 1 所述的方法，其中，所述联系人列表是用于确定在从所述设备发送电子邮件消息时所使用的电子邮件地址的文件。

6. 一种经由支持网络的移动通信设备进行电子购物的方法，所述方法包括：

创建联系人列表，所述联系人列表存储在所述移动通信设备上并包含至少一个配送地址；

创建支付文件，所述支付文件储存在所述移动通信设备上并包含加密的信用卡信息，所述信用卡信息包括用于至少一个信用卡的卡号和失效日期；

作为来自待购买物品的商家网站的对信用卡和配送信息的请求的响应，分别从所述联系人列表和所述支付文件中选择所述信用卡中的指定信用卡和所述配送地址中的指定地址；

对所选信用卡的信用卡数据进行解密；以及

将解密的信用卡数据和所选的配送地址发送至所述商家网站以进行所述待购买物品的订单处理。

7. 根据权利要求 6 所述的方法，其中，发送的步骤使用所述商家网站上的用于所述设备与所述商家网站之间通信的 URL 来起作用。

8. 根据权利要求 7 所述的方法，其中，执行请求、接收以及选择的步骤的应用由所述浏览器启动。

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9. 根据权利要求 6 所述的方法，其中执行请求、接收以及选择的步骤的应用由另一应用启动。

10. 一种用于移动电子购物的系统，包括：

支持网页的移动通信设备，包括互联网浏览器和数据存储区，数据存储区中储存有 (1) 包括配送地址的联系人列表以及 (2) 包括用于一个或多个信用卡的每一个的信用卡号和失效日期的加密信用卡数据；

其中：

所述设备上的所述浏览器显示商家网址上的网页，所述网页包括订单按钮，所述订单按钮在被选择时使包括待购买物品的名称和价格的物品信息从所述商家网站发送至所述设备；以及

作为从所述商家网站接收所述物品信息的响应：

分别从所述联系人列表和所述信用卡数据中选择所述信用卡中的指定信用卡和所述配送地址中的指定地址；以及

对所选信用卡的信用卡数据进行解密，以及将解密的信用卡数据和所选的配送地址发送至所述商家网站以进行订单处理。

11. 根据权利要求 10 所述的方法，其中，所述设备与所述商家网站之间的通信经由至少一个 URL 来起作用。

12. 根据权利要求 11 所述的方法，其中，执行请求、接收以及选择的步骤的应用由所述浏览器启动。

13. 根据权利要求 10 所述的方法，其中，执行请求、接收以及选择的步骤的交易处理应用由另一应用启动。

14. 根据权利要求 13 所述的方法，其中，所述商家网站使用专门适用于在所述网站与所述设备中的交易处理应用之间传输产品和购买信息的应用。

15. 一种用于移动电子购物的系统，包括：

支持网络的移动通信设备，包括数据存储区，所述数据存储区中储存有 (1) 包括至少一个配送地址的列表以及 (2) 包括用于一个或多个信用卡中的每一个的信用卡号和失效日期的加密信用卡数据；

其中，加密信用卡数据被解密，并且被解密的信用卡数据和配送地址从所述设备发送至商家网站以购买经由所述网站订购的物品。

16. 根据权利要求 15 所述的方法，其中，所述发送的步骤使用所述商家网站上的用于所述设备与所述商家网站之间通信的 URL 来起作用。

17. 根据权利要求 16 所述的方法，其中，执行请求、接收以及选择的步骤的应用由所述浏览器启动。

18. 根据权利要求 15 所述的方法，其中，执行请求、接收以及选择的步骤的应用由另一应用启动。

19. 根据权利要求 15 所述的方法，其中，所述列表是用于从所述设备发送电子邮件的联系人列表。

20. 根据权利要求 15 所述的方法，其中，所述商家网站使用专门适用于在所述网站与所述设备中的应用之间传输产品和购买信息的应用。

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用于移动电子购物的系统和方法

背景技术

[0001] 通过移动电话进行互联网购物通常需要购买者手动输入数据，例如信用卡号和配送信息。对于购买者而言，这在使用多个电子商务系统和网站时变得厌烦。对于商家而言，在使用移动互联网时需要进行与接受信用卡支付相关的额外工作。因此，需要支持网络的移动设备（例如“智能电话”）的系统允许用户和商家在比现有购买者－商家接口付出更少时间和努力的情况下完成基于互联网的购物任务。

发明内容

[0002] 本系统存储多个信用卡并使用之前输入的数据来简化在线信用卡交易的数据输入。个人／支付信息保持安全地储存在用户的移动电话中。此外，通过本系统，商家能够有效利用现有网络资产和商家账户，从而无需为每种类型的“智能电话”构建应用。当在商家网站上选择物品购买之后，客户结账的时间被减少为较少的点击。该系统允许每个用户的智能电话在不同商家网站上具有更加一致的体验。

[0003] 在一个实施方式中，包含配送地址的联系人列表以及包含用于一个或多个信用卡的加密信用卡信息的支付文件被存储在智能电话上。作为对来自待购买物品的商家网站对信用卡和配送地址信息的请求的响应，分别从联系人列表和支付文件中选择信用卡中的指定信用卡和配送地址中的指定地址。所选信用卡的信用卡数据被解密。被解密的信用卡数据和所选配送地址被发送至商家网站以进行订单处理。

附图说明

[0004] 图 1 是示出本系统的一个实施方式的示例性组件的示图；

[0005] 图 2 是示出由一个实施方式中的本系统执行的示例性步骤的流程图；以及

[0006] 图 3 是示出本系统的工作期间的示例性数据流的示图。

具体实施方式

[0007] 图 1 是示出本系统 100 的示例性高层组件的示图。如图 1 所示，在示例性实施方式中，用于移动电子购物的系统 100 包括经由互联网 111 互连的支持网络的移动通信设备（例如，“智能电话”）101 和商家网站 110。

[0008] 移动设备 101 包括网页浏览器 104、交易处理和通信应用 103、以及包含数据 102 的数据存储区 108，数据 102 包括加密数据 105。数据 102 包括支付文件 105，支付文件 105 含有一个或多个加密的用户信用卡号和失效日期、联系人列表 106、以及用户电子邮件地址和其它用户信息。在一个实施方式中，联系人列表 106 是由移动设备 101 上的应用（例如浏览器）所使用的用于确定从该设备发送电子邮件消息时所使用的电子邮件地址的相同文件。

[0009] 商家网站 110 包括订单按钮 112，订单按钮 112 与打开应用 113 的 URL 关联，应用 113 与购买者（下文称系统用户或简称为“用户”）通信。图 1 中所示内容的每一个的功能

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将在下文详细说明。

[0010] 图 2 是示出在示例性实施方式中使用支持网络的诸如“智能电话”的移动通信设备（下文称“移动设备”）通过信用卡（借记卡）购买物品时由本系统实施的步骤。如图 2 所示，在使用本系统进行购买之前，在步骤 202 中，用户使用应用 103 输入一个或多个信用卡的信用卡信息（包括卡号和失效日期），并输入联系人列表 106 中的一个或多个人的姓名和地址。应用 103 使用本地操作系统服务 115（在移动设备是iPhone®或iPad®的情况下，例如为Apple®的 iOS Keychain 或 Core Data Service（核心数据服务））来加密（和解密）移动设备上的信息，并在步骤 203 中，加密和储存用于数据存储 102 的支付文件 105 中的一个或多个信用卡或借记卡的信息。

[0011] 为了进行购买，用户首先使用移动设备 101 上的网页浏览器 104 显示商家网站上的网页。在用户通过将物品放入订单列表（诸如“购物车”等）而选择待购买物品之后，在步骤 204 中选择（“点击”）网页上的订单按钮 112 以启动购买交易。商家网站 110 使用应用 113 来与移动设备 101 通信。在示例性实施方式中，应用 113 特别适用于向移动设备 101 中的应用 103 发送产品和购买信息 / 从移动设备 101 中的应用 103 接收产品和购买信息。

[0012] 在步骤 205 中，随后通过移动设备请求包括所选物品的物品价格、商家名称以及物品描述的物品信息，并且在步骤 206 中，将所请求的信息从商家网站 110 发送至移动设备应用 103。

[0013] 在步骤 207 中，用户响应于设备 101 上的屏幕提示来选择配送方式，配送方式包括配送地址以及支付方法（将用于交易的具体信用卡 / 借记卡）。可以从之前输入的配送地址数据（来自用户的联系人列表 106）来选择配送方式，并且从卡的列表中选择具体信用卡或借记卡，这些卡的数据可以被之前输入并以加密形式储存在文件 105 中。

[0014] 在步骤 208 中，通过本地操作系统服务 115 将之前储存在移动设备中的加密的信用卡信息和配送信息解密到移动设备上。在步骤 210 中，将信用卡号、配送地址、用户电子邮件地址发送至商家网站。在一个实施方式（下面详细描述）中，使用基于 URL 的机制在移动设备 101 与商家网站 110 之间进行通信。

[0015] 在步骤 215 中，在商家成功接收交易之后，成功或失败 URL 通信从商家发送至移动设备。

[0016] 基于 URL 的通信机制

[0017] 每个 URL 都由下列中的至少一些组成：方案名（通常称为协议），紧接着是冒号，随后是（根据方案）主机名（可选地，IP 地址）、端口号、待获取的资源的或待运行的程序的路径，然后是（对于诸如公共网关接口 (CGI) 脚本的程序）查询字符串。组合的语法是：

[0018] scheme://usemame:password@domain:port/path ? query_string#anchor

[0019] 在本系统的一个实施方式中，编码后的 URL 被用于在用户移动设备 101 与商家网站 110 之间进行通信。当移动设备 101 中的浏览器 104 显示商家网站 110 上的具有（包含由用户选择购买的物品的订单列表）“购物车”的网页时，网页上的购买按钮图像显示诸如“现在购买”的消息。用于启动交易处理应用 103 的执行的 HTML 链接可包围交易按钮图像，例如：

[0020] <a href = " EPay://www.Merchant.com:1234/Merchant_main_

[0021] page/EPayOpen_Session1D = xxx " >

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[0022] 其中“EPay”是设备 101 上的本地限定的协议，其指定安全连接的使用。“www.Merchant.com”是商家网站的 URL，“Merchant_main_page/EPayOpen”是打开应用 103 以接收用户 / 购买者信息的链接，并且“SessionID”是 URL 的查询字符串部分中的商家的会话信息。

[0023] 应用 103 将其在查询字符串中发现的任何结果在随后请求中传回商家，使得用户的会话可被识别。在示例性实施方式中，应用 103 对与商家网站的所有连接都使用 HTTPS 协议。“HTTPS”代表安全超文本传输协议安全，其是超文本传输协议 (HTTP) 与 SSL/TLS 协议的组合以提供加密的通信和网页服务器的安全识别。应用 103 的执行可由或驻留在移动设备 101 上或与移动设备远程通信的单独应用来启动。

[0024] 图 3 是示出本系统的工作期间的示例性数据流的示图。如图 3 中的箭头 205 指示，当用户点击购买按钮 (图 2，步骤 204) 时，“打开 URL”301 被激活，URL301 是与该按钮关联的目标 URL，“打开 URL”打开移动设备 101 上的应用 103。下面的示例示出“打开”URL :

[0025] EPay://www.Merchant.com:/1234/Merchant_main_page/EPayOpen_SessionID = xxx

[0026] 如箭头 306 所指示，应用 103 经由上述 URL 请求购物车价格、商家名、以及商家证书 (步骤 205)，这些信息随后由商家网站以两部分多用途因特网邮件扩展 (mime)/ 多文档形式 (步骤 206，图 3 中的箭头 307) 提供 (经由应用 113)，其中证书位于第二部分中。商家网站上的打开文档可采用如下形式 :

[0027] HTTP/1.1 200OK

[0028] Cache-Control :private

[0029] Content-Length :1589

[0030] Content-Type :multipart/mixed ;boundary = " --===EPay_demo" ;charset = utf-8

[0031] Server :Microsott-I IS/7.0

[0032] X-EPay-Version :1.0

[0033] X-AspNet-Version :2.0.50727

[0034] X-Powered-By :ASP.NET

[0035] X-5o9-MobileMe-SRVID :5o9-iMobile 1.2.2.08.16.084.29.2010-19.11.57

[0036] Date :Thu,29 Apr 2010 19:11:57GMT

[0037] Price = 3500&MerchantName = Merchant

[0038] --===EPay_demo

[0039] Content-Type :text/plain

[0040] Content-ID :<Certificate>

[0041] -----BEGIN CERTIFICATE-----

[0042] MIID+zCCA2SgAw1BAg1JAKf1CZF0L/EWMA0GCS...

[0043] -----END CERTIFICATE-----

[0044] --===EPay_demo--

[0045] 然后用户从之前储存在移动设备 101 中的信息中选择包括配送地址和支付方法 (即，用于交易的具体信用卡或借记卡) 的配送方式 (步骤 207)，并输入 PIN(个人 ID 号)。

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本地操作系统服务 115 接着对用于所选配送和支付方法的预先储存的配送和信用卡信息进行解密（步骤 208）。应用 103 随后经由至 URL302 的简单形式的发布（post）将该信息发送至商家网站（步骤 210，图 3 中的箭头 308），URL302 可采用如下形式：

[0046] EPay://www.Merchant.com:/1234/Merchant_main_page/EPayPost_SessionID = xxx

[0047] 被发送的格式字段包括：

[0048] Name

[0049] Phone

[0050] Email

[0051] ShippingName

[0052] Street

[0053] City

[0054] State

[0055] Zip

[0056] CreditCard

[0057] CreditCardNumber

[0058] CreditCardExpiration

[0059] 包括信用卡号和失效日期的上述信息储存在商家数据区 303 中，以由商家进行处理。此时，商家网站 110 处理交易并回复 HTTP200 状态（交易成功）或 HTTP402 状态和错误消息，其将被显示给用户的（215）。

[0060] 当交易已经完成时，应用 103 在用户的网页浏览器中打开“返回”URL 并退出。该返回 URL 可采用如下形式：

[0061] EPay://www.Merchant.com:/1234/Merchant_main_page/EPayReturn_SessionID = xxx

[0062] 参照了本发明的具体实施方式详细地描述了本发明，在不背离由所附权利要求所限定的范围的情况下，修改和变形是显而易见的。更具体地，预期本系统不限于其具体公开的方面。

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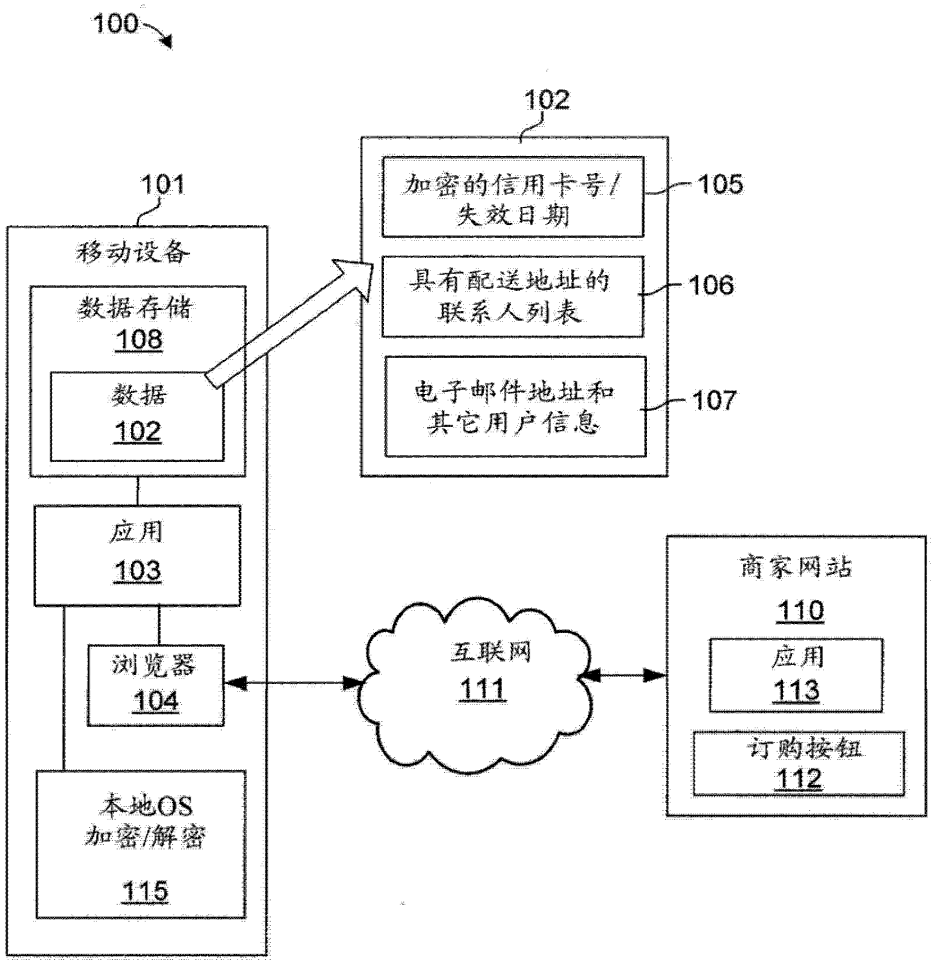


图 1

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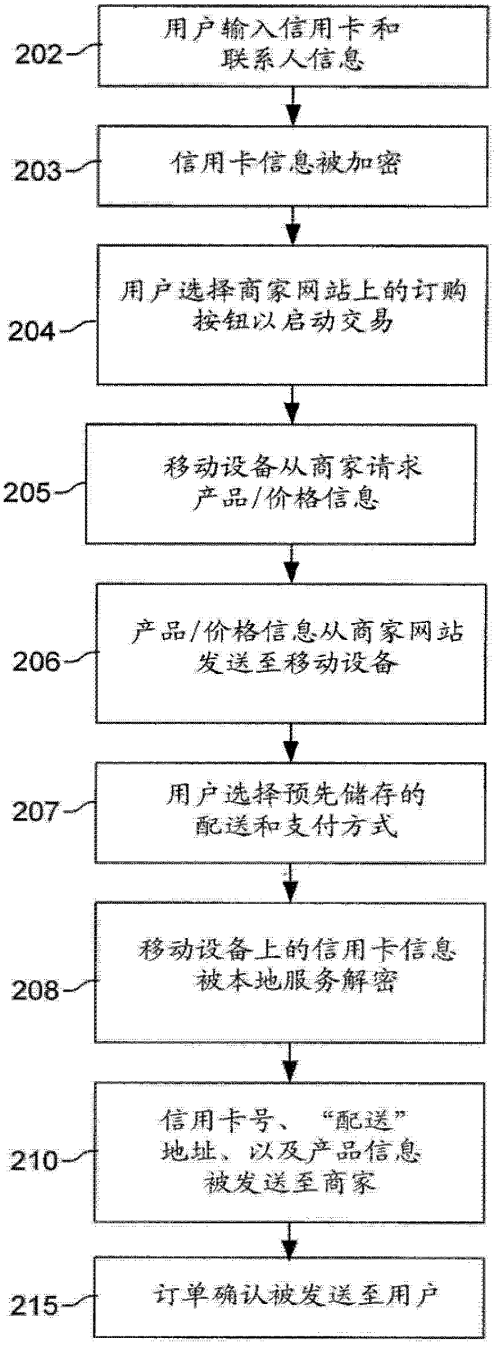


图 2

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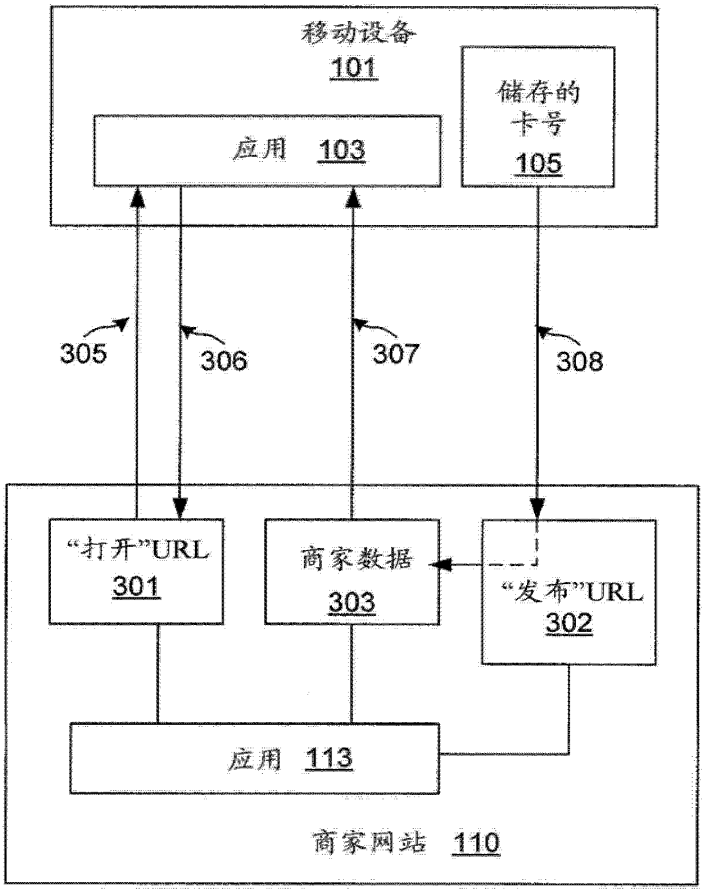


图 3

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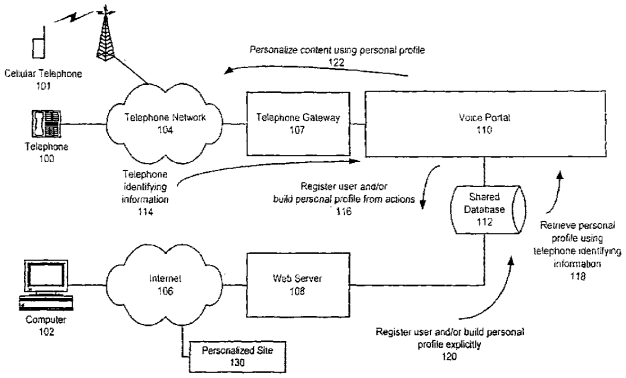
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(54) Title: METHOD AND APPARATUS FOR ELECTRONIC COMMERCE USING A TELEPHONE INTERFACE



(57) Abstract: A voice portal supporting telephone to web server commerce is described. The voice portal allows users to access web servers using a hypertext transfer protocol (HTTP), optionally including the use of a secure sockets layer (SSL) protocol, to complete commercial transactions. Additionally, embodiments of the invention can employ a one word commerce model that abstracts the particular model used by various electronic commerce vendors' web sites. The one word commerce model permits a user to identify a product and signal her/his purchase intentions with a single word, phrase, or touch-tone command. The voice portal can then complete the transaction supplying the electronic commerce vendor necessary information about the purchaser, e.g. her/his address, telephone number, electronic mail address, credit card information, etc. As needed, the voice portal can prompt the purchaser for information. Because the voice portal can maintain a record of this information independent from a particular vendor, the collected information can automatically be re-used when making purchases from other vendors. Further, embodiments of the invention can provide a record of commerce transactions in the form of voice receipts. The voice receipts can include vendor specific status information. Selective password protection of the commerce features are afforded by some embodiments of the invention to reduce the likelihood of unauthorized transactions. Additionally, embodiments of the invention may employ a range of personalization techniques to assist purchasers in selecting items as well as in the presentation of suggested items.

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METHOD AND APPARATUS FOR ELECTRONIC COMMERCE USING A TELEPHONE INTERFACE

BACKGROUND OF THE INVENTION

Field of the Invention

This disclosure relates to the field of electronic commerce. In particular, the invention relates to technologies for providing electronic commerce to users over a telephone interface. The disclosure also relates to identifying and registering users using telephone identifying information and personalizing the content, including the electronic commerce, presented to them using a profile selected using the telephone identifying information.

Description of the Related Art

The following describes various techniques used in telephone systems to provide enhanced user features. First, telephone identifying information will be discussed. Many telephone systems that support enhanced user features use telephone identifying information as a basic component. Then, a variety of example systems will be discussed that use telephone identifying information to provide enhanced user features will be discussed.

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1. Telephone Identifying Information

The advent of automatic number identification (ANI) and calling number identification (CNID, CLID, or CID) within the North American Numbering Plan (NANP) has supported the creation of a number of services that use these pieces of telephone identifying information. Comparable systems may be used in other numbering plans and countries to support similar services.

For example, when consumers receive credit cards in the mail, they have to call from their home telephone numbers to activate the cards. This is a typical use of ANI. In this instance, the credit card company matches the ANI information provided when the consumer calls to a previously provided telephone number. If the ANI matches the credit card company's records, the credit card company activates the card.

2. Examples of Telephone System Personalization

a. Personalization Generally

With the advent of widely available real-time delivery of telephone identifying information such as ANI, a number of systems have been developed to use that information. One of the most common uses of ANI is for credit card activation. However, previous systems have been single purpose and typically require reference to other information provided separately. For example, credit card activation lines require separately provided information, e.g. your home phone number from the application.

b. Building Personalized Content on the Web

Some systems allow a user to build personalized content over the web. One example is the myYahoo!™ service provided by Yahoo! of Santa Clara, California at <http://my.yahoo.com/>. The personalized content pages developed on the web are delivered over the web to users accessing the pages with computers. These systems rely on

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a username and password type system to identify the user rather than telephone identifying information and the delivery mechanisms is different.

c. Interactive Personalization

Still other systems allow users to personalize the content without entering special editing modes. For example, Amazon.com, of Seattle, Washington, keeps track of your purchases and preferences using cookies stored on a customer's web browser.

Some telephone systems provide limited customization capabilities. For example, voice mail systems from Octel, a division of Lucent Technologies, allow a user to set preferences for prompt length, but those settings must be made explicitly by each user. Further, customization is limited to a few options like prompt length and outgoing message selection. The user can not redefine the way the voice mail system works for her/him beyond those narrow customization options. Further, these customizations do not affect the kinds of content and further the presentation is not selected based on telephone identifying information.

d. Locale Selection

Services such as Amtrak's 1-800-USA-RAIL reservation line use telephone identifying information to select an initial region. For example, if you call Amtrak's reservation number in the Northeastern United States, the system presents options relating to the Boston-Washington line. However, if you call from California, the system presents information about travel between San Francisco and Los Angeles.

This can be accomplished by using the calling party's area code and/or exchange included with the telephone identifying information to select a region. The area codes and/or exchanges can then be paired to different scripts or default selections. For example, the area codes for New York City, e.g. "212", could be mapped to the Northeast Corridor

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while San Francisco, "415", could be mapped to the San Francisco-Los Angeles line. However this does not change the kind of content presented and it is not user-selected.

e. Time Appropriate Information Presentation

Several services provide information through the telephone. That information may be adapted based on the time of day or date.

Some systems provide the information irrespective of the telephone identifying information. One example is Moviefone™, 777-FILM in most locales. Moviefone™ uses the current time at the called number to present appropriate information. The called number can be obtained using the dialed number identification service (DNIS). Thus, if you call Moviefone™ in the San Francisco Bay Area at 10 o'clock in the morning, only movies starting after 10 o'clock in the morning in the San Francisco Bay Area will be presented to you. However, if you call the Philadelphia Moviefone™, +1 (215) 222-FILM, from California, you will hear the Philadelphia movie times in Eastern Time. Thus, at 10 o'clock in the morning Pacific Time, a call to the Philadelphia Moviefone™ will produce information for Philadelphia show times after one o'clock in the afternoon Eastern Time at Philadelphia area theatres.

f. Targeted Advertising

Some free long distance services provide customized advertising to support their services. One example is FreeWay™ offered by Broadpoint, of Landover, Maryland. <http://www.broadpoint.com/>. These services require an explicit user registration process, typically using a computer to access a web site, to provide the service with a profile. Once the profile is provided, the advertising is targeted to the particular person's explicitly provided demographic information. In some instances, the advertising may be targeted both based on the caller's demographics and their location. Thus, callers from the

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San Francisco Bay Area with a particular explicit demographic profile may be presented one ad, while callers from outside the San Francisco Bay Area may be presented with another ad. Another, similar, service is offered on by phone by UAccess, Inc., <http://www.uaccess.com/>, by calling +1 (800) UACCESS, and provides consumers targeted advertising based on profile information they enter.

g. Voice Character

Most telephone systems have a small number of voice actors. Continuing with the example of Moviefone™, one actor performs all of the menus and prompts. Other systems may use different voice actors for different subsystems.

These actors are typically selected on a system wide basis and as such, different voices, talents, speeds, characteristics, dialects, and other prosody aspects of the presentation are not user selectable.

h. Purchase Recommendations

Voice systems such as GALAXY from the Massachusetts Institute of Technology (MIT), Cambridge, Massachusetts, have been adapted to provide information about purchasing decisions for used cars. For example, GALAXY has been used to allow for interactive browsing of automobile classified ads. These voice systems are problem domain specific. Further, the systems are designed to locate vehicles matching a particular set of criterion, rather than making actual recommendations.

Other systems are web based. For example, Amazon.com will make book suggestions for users connected to the web via a computer. However, those suggestions are limited to a particular site, e.g. Amazon.com.

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i. Voice Login

Most telephone systems require a user to explicitly identify herself/himself by using a combination of a login identifier, e.g. credit card number, account number, etc., and a personal identification number (PIN). Some systems abbreviate this process by allowing a user calling from a particular phone to shortcut this process slightly. For example, callers using a phone number associated with a particular credit card might only be asked to enter the last four digits of their credit card number together with their billing zip code instead of all sixteen digits of the card number. Other products such as Nuance Verifier™ from Nuance Communications, Menlo Park, California, support voice login capabilities, e.g. you just speak instead of entering a password.

j. Initial Profile Generation from Database Lookups

Most systems that provide information over the telephone require users to explicitly answer one or more questions in one form or another, e.g. over the phone, the web, and/or in written form. These questions form a demographic and/or psychographic profile for the user. All of these systems require the user to explicitly provide her/his profile information.

3. Telephone Commerce Systems

Prior techniques for telephone commerce have required users to explicitly identify themselves and provide credit card, or other billing information, for each transaction. For example, Moviefone™ allows consumers to purchase tickets for movies via a telephone interface. To purchase the tickets, the user must explicitly key her/his credit card information into the Moviefone™ system. For verification purposes, Moviefone™ requires the presence of the credit card when the tickets are picked up at the theatre.

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Other automated systems operate similarly. Some systems record a user speaking her/his address either on tape, or in a computer memory, to allow for entry of the user's address information. These systems require offline processing by humans to key the voice entered data for order completion. Examples of these types of systems may include telephone operator base commerce, e.g. mail-order catalogs, and telephone based stock trading.

SUMMARY

A voice portal supporting telephone to web server commerce is described. The voice portal allows users to access web servers using a hypertext transfer protocol (HTTP), optionally including the use of a secure sockets layer (SSL) protocol, to complete commercial transactions. This allows the voice portal to complete transactions at non-voice enabled electronic commerce sites through a data connectivity engine supporting access to standard electronic commerce web sites.

Some embodiments of the invention employ a one word commerce model. This model abstracts the particular commerce model used by electronic commerce vendors, e.g. web site A uses a shopping cart model, web site B uses a one-click buy model, web site C uses a third purchase model. The one word commerce model permits a purchaser to identify a product and then signal her/his purchase intentions with a single word, phrase, or touch-tone command. Thus, the particular vendor's commerce – and fulfillment – model is irrelevant.

The voice portal can then complete the transaction by supplying the electronic commerce vendor all necessary information about the purchaser to complete the transaction. For example, the voice portal can provide the purchaser's address, telephone number, electronic mail address, credit card information, etc.

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As needed, the voice portal can prompt the purchaser for information. For example, the first time a purchaser uses the voice portal, her/his shipping address may not be known to the voice portal. The voice portal can maintain a record of this information apart from a particular vendor. Thus, information need not be repeatedly collected and can be automatically re-used for future purchases at different vendors.

Further, embodiments of the invention can provide a record of commerce transactions in the form of voice receipts. The voice receipts can include a vendor specific tracking and status information. For example, the voice receipt may include tracking information such as the shipping status from the web site of an electronic commerce vendor as well as details of the purchase. Similarly, the voice receipt for a stock trade request could include the time of execution. the execution price, and/or other merchant specific information. The voice receipts can be reviewed over the telephone interface and/or from a web site coupled to the voice portal.

Selective password protection of the commerce features are afforded by some embodiments of the invention to reduce the likelihood of unauthorized transactions. For example, some embodiments require the user to provide a password, or other identification number, to the voice portal for the first commerce transaction of each telephone session.

Additionally, embodiments of the invention may employ a range of personalization techniques to assist purchasers in selecting items as well as in the presentation of suggested items. For example, the voice portal may supply customized commerce suggestions based on the time of day, the time of the year, special events in the user's locale, etc.

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BRIEF DESCRIPTION OF THE FIGURES

Fig. 1 illustrates a system including embodiments of the invention used to provide personalized content to users of telephones according to telephone identifying information.

Fig. 2 illustrates the components of a voice portal supporting personalized content.

Fig. 3 is a process flow diagram supporting personalization and registration of and for users accessing a voice portal over a telephone interface.

Fig. 4 is a process flow diagram for personalizing a voice portal over a web based interface.

Fig. 5 is a process flow diagram for providing personalized content according to some embodiments of the invention.

Fig. 6 is a process flow diagram for conducting electronic commerce over a telephone interface according to some embodiments of the invention.

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DETAILED DESCRIPTION

A. Introduction

A voice portal supporting electronic commerce over a telephone interface is described. The voice portal allows users of telephones. including cellular telephones, to access a voice portal by dialing a phone number to purchase goods and services. The information provided over the voice portal may come from the World Wide Web (WWW), databases, third parties, and/or other sources.

The term voice portal refers to the capability of various embodiments of the invention to provide commerce capabilities over a telephone interface to a caller. The voice portal can receive dual-tone multi-frequency (DTMF or touch-tone) commands as well as spoken commands to further control the content presented and direct commerce transactions as well as the manner of presentation. The term audio request, or input, is used to refer to either a voice or touch-tone input, or a combination of the two types of input.

Embodiments of the invention use telephone identifying information to personalize caller interactions with the voice portal. This allows the system to present highly customized information to each caller based on a personal profile the system associates with the telephone identifying information.

The invention will be described in greater detail as follows. First, a number of definitions useful to understanding the invention are presented. Then, the hardware and software architecture is presented in the System Overview. Then, a series of sections describe the various personalization features provided by different embodiments of the invention. Then, a section describes the electronic commerce capabilities of the system.

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B. Definitions

1. Telephone Identifying Information

For the purposes of this application, the term telephone identifying information will be used to refer to ANI information, CID information, and/or some other technique for automatically identifying the source of a call and/or other call setup information. For example, telephone identifying information may include a dialed number identification service (DNIS). Similarly, CID information may include text data including the subscriber's name and/or address, e.g. "Jane Doe". Other examples of telephone identifying information might include the type of calling phone, e.g. cellular, pay phone, and/or hospital phone.

Additionally, the telephone identifying information may include wireless carrier specific identifying information, e.g. location of wireless phone now, etc. Also, signaling system seven (SS7) information may be included in the telephone identifying information.

2. User Profile

A user profile is a collection of information about a particular user. The user profile typically includes collections of different information as shown and described more fully in connection with Figure 6. Notably, the user profile contains a combination of explicitly made selections and implicitly made selections.

Explicitly made selections in the user profile stem from requests by the user to the system. For example, the user might add business news to the main topic list. Typically, explicit selections come in the form of a voice, or touch-tone command, to save a particular location. e.g. "Remember this", "Bookmark it", "shortcut this", pound (#) key touch-tone, etc., or through adjustments to the user profile made through the web interface using a computer.

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In contrast, implicit selections come about through the conduct and behavior of the user. For example, if the user repeatedly asks for the weather in Palo Alto, California, the system may automatically provide the Palo Alto weather report without further prompting. In other embodiments, the user may be prompted to confirm the system's implicit choice, e.g. the system might prompt the user "Would you like me to include Palo Alto in the standard weather report from now on?"

Additionally, the system may allow the user to customize the system to meet her/his needs better. For example, the user may be allowed to control the verbosity of prompts, the dialect used, and/or other settings for the system. These customizations can be made either explicitly or implicitly. For example if the user is providing commands before most prompts are finished, the system could recognize that a less verbose set of prompts is needed and implicitly set the user's prompting preference to briefer prompts.

3. Topics and Content

A topic is any collection of similar content. Topics may be arranged hierarchically as well. For example, a topic might be business news, while subtopics might include stock quotes, market report, and analyst reports. Within a topic different types of content are available. For example, in the stock quotes subtopic, the content might include stock quotes. The distinction between topics and the content within the topics is primarily one of degree in that each topic, or subtopic, will usually contain several pieces of content.

4. Qualified

The term qualified as it is used in this application refers to whether or not a particular user being presented an advertisement, or other material, meets the demographic and/or psychographic profile requirements for that advertisement, or content. For example, a San Francisco-based bookstore might request that all listeners to its advertisement be

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located in a particular part of the San Francisco Bay Area. Thus, a user of the system would be qualified if she lived in the designated part of the San Francisco Bay Area.

Different embodiments of the invention may qualify users of the system according to different requirements. For example, in some instances advertising, or content, is qualified solely based on telephone identifying information. In other embodiments the telephone identifying information is used in conjunction with other information such as an associated user profile, a reverse telephone number lookup for locale demographics, and/or other information.

5. Locale

As used in this application, the term locale refers to any geographic area. The geographic area may be a neighborhood, a city, a county, a metropolitan region, a state, a country, a continent, a group of countries, and/or some other collection of one or more geographic areas, e.g. all United State major metropolitan areas.

For this reason, a single user of the system may be considered to be in several locales. For example, a caller from Palo Alto, California, might be in the Palo Alto locale, a Silicon Valley locale, a San Francisco Bay Area locale, a Northern California locale, a California state locale, and a United States locale.

Thus, the telephone identifying information for a single telephone number can be mapped to a number of system-defined locales.

6. Voice Character

The term voice character as it is used in this application refers to all aspects of speech pronunciation including dialect, speed, volume, gender of speaker, pitch, language, voice talent used, actor, characteristics of speech, and/or other prosody values. Users can adjust the voice character of the system by changing their voice character settings.

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For example, an elderly user could select voice character settings that provide louder volume and slower speech. Similarly, a caller from the South could adjust the voice character settings to support a Southern dialect.

7. Demographic and Psychographic Profiles

Both demographic profiles and psychographic profiles contain information relating to a user. Demographic profiles typically include factual information, e.g. age, gender, marital status, income, etc. Psychographic profiles typically include information about behaviors, e.g. fun loving, analytical, compassionate, fast reader, slow reader, etc. As used in this application, the term demographic profile will be used to refer to both demographic and psychographic profiles.

C. System Overview

First, the hardware and software architecture of a system including an embodiment of the invention will be described with reference to Figures 1-2. Figure 1 illustrates a system including embodiments of the invention used to provide personalized content to users of telephones according to telephone identifying information. The system of Figure 1 can be used to allow users of standard telephones and cellular telephones to access a voice portal with personalized content from their telephones.

The following lists the elements of Figure 1 and describes their interconnections. Figure 1 includes a telephone 100, a cellular telephone 101, a computer 102, a telephone network 104, an Internet 106, a telephone gateway 107, a web server 108, a voice portal 110, a shared database 112 and a personalized site 130. The cellular telephone 101 and the telephone 100 are coupled in communication with the telephone network 104. The telephone network 104 is coupled in communication with the telephone gateway 107. The telephone gateway 107 is coupled in communication with the voice portal 110. The

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computer 102 is coupled in communication with the Internet 106. The Internet 106 is coupled in communication with the web server 108. The voice portal 110 and the web server 108 are coupled in communication with the shared database 112. The personalized site 130 is coupled in communication with the Internet 106.

The following describes each of the elements of Figure 1 in greater detail. The use of each of the elements will be described further in conjunction with the sections describing the personalization features.

The telephone 100 and the cellular telephone 101 are two different telephone interfaces to the voice portal 110. The telephone 100 and the cellular telephone 101 may be any sort of telephone and/or cellular telephone. For example the telephone 100 or the cellular telephone 101 may be a land line phone, a PBX telephone, a satellite phone, a wireless telephone, and/or any other type of communication device capable of providing voice communication and/or touch-tone signals over the telephone network 104. However, any audio signal carrying interface could be used.

The telephone network 104 may be the public switched telephone network (PSTN) and/or some other type of telephone network. For example, some embodiments of the invention may allow users with a voice over Internet Protocol (IP) phone to access the voice portal 110. The telephone network 104 is coupled to the telephone gateway 107 that allows the voice communications and/or touch-tone signals from the telephone network 104 to reach the voice portal 110 in usable form. Similarly, the telephone gateway 107 allows audio signals generated by the voice portal 110 to be sent over the telephone network 104 to respective telephones, e.g. the telephone 100. The telephone network 104 generally represents an audio signal carrying network.

The computer 102 is a computer such as a personal computer, a thin client computer, a server computer, a handheld computer, a set top box computer, and/or some

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other type of visual web browsing device. The computer 102 is coupled in communication with the Internet 106, e.g. by a dial-up connection, a digital subscriber loop (DSL), a cable modem, and/or some other type of connection. This allows the computer 102 to communicate with the web server 108. The computer 102 typically provides a visual interface to the WWW and the web server 108 using web browsing software such as Internet Explorer™ from Microsoft Corporation, Redmond, Washington.

Both the web server 108 and the voice portal 110 are capable of communicating with the shared database 112 to register users, build personal profiles implicitly and/or explicitly as will be described more fully below. The database 112 stores profiles for each user based on an association between one or more pieces of telephone identifying information and a particular user. Thus, the database may have a profile for a user Sarah Smith that is keyed to her home telephone number, e.g. 650-493-####. Additionally, Sarah could associate other numbers, e.g. work, cellular, etc., with her profile either implicitly, e.g. by repeatedly calling the voice portal 110 from those numbers, or explicitly, e.g. by adding those numbers to the system directly.

In some embodiments, an existing profile for a web-based portal is adapted for use by the voice portal 110 by associating one or more telephone numbers with the existing profile as stored in the shared database 112. In these embodiments, the existing profile may be further modified for use with the voice portal 110 to allow for different preferences between the web and the voice interfaces.

The call flow arrows 114-122 shown on Figure 1 will be described in greater detail below.

Figure 2 illustrates the components of a voice portal supporting personalized content. This could be used to support the voice portal 110 and provide personal content as described above.

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The following lists the elements of Figure 2 and describes their interconnections. The voice portal 110 is coupled in communication with the telephone gateway 107. The voice portal 110 includes a call manager 200, an execution engine 202, a data connectivity engine 220, an evaluation engine 222 and a streaming engine 224. Additionally Figure 2 includes elements that may be included in the voice portal 110, or which may be separate from, but coupled to, the voice portal 110. Thus Figure 2 also includes a recognition server 210, a text to speech server 214, an audio repository 212, the shared database 112, a database 226, the Internet 106, a database 228 and a web site 230. The call manager 200 within the voice portal 110 is coupled to the execution engine 202. The execution engine 202 is coupled to the recognition server 210, the text to speech server 214, the audio repository 212, data connectivity engine 220, the evaluation engine 222 and the streaming engine 224. The data connectivity engine 220 is coupled in communication with the shared database 112, the database 226 and the Internet 106. The Internet 106 is coupled in communication with database 228 and the web site 230.

The following describes each of the elements of Figure 2 in greater detail. The use of each of the elements will be described further in conjunction with the sections describing the personalization features.

Typically, the voice portal 110 is implemented using one or more computers. The computers may be server computers such as UNIX workstations, personal computers and/or some other type of computers. Each of the components of the voice portal 110 may be implemented on a single computer, multiple computers and/or in a distributed fashion. Thus, each of the components of the voice portal 110 is a functional unit that may be divided over multiple computers and/or multiple processors. The voice portal 110 represents an example of a telephone interface subsystem. Different components may be included in a telephone interface subsystem. For example, a telephone interface subsystem

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may include one or more of the following components: the call manager 200, the execution engine, the data connectivity 220. the evaluation engine 222, the streaming subsystem 224, the audio repository 212, the text to speech 214 and/or the recognition engine 210.

The call manager 200 is responsible for scheduling call and process flow among the various components of the voice portal 110. The call manager 200 sequences access to the execution engine 202. Similarly, the execution engine 202 handles access to the recognition server 210, the text to speech server 214, the audio repository 212, the data connectivity engine 220, the evaluation engine 222 and the streaming engine 224.

The recognition server 210 supports voice, or speech, recognition. The recognition server 210 may use Nuance 6™ recognition software from Nuance Communications, Menlo Park, California, and/or some other speech recognition product. The execution engine 202 provides necessary grammars to the recognition server 210 to assist in the recognition process. The results from the recognition server 210 can then be used by the execution engine 202 to further direct the call session. Additionally, the recognition server 110 may support voice login using products such as Nuance Verifier™ and/or other voice login and verification products.

The text to speech server 214 supports the conversion of text to synthesized speech for transmission over the telephone gateway 107. For example. the execution engine 202 could request that the phrase, "The temperature in Palo Alto. California, is currently 58 degrees and rising" be spoken to a caller. That phrase would be translated to speech by the text to speech server 214 for playback over the telephone network on the telephone (e.g. the telephone 100). Additionally the text to speech server 214 may respond using a selected dialect and/or other voice character settings appropriate for the caller.

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The audio repository 212 may include recorded sounds and/or voices. In some embodiments the audio repository 212 is coupled to one of the databases (e.g. the database 226, the database 228 and/or the shared database 112) for storage of audio files. Typically, the audio repository server 212 responds to requests from the execution engine 202 to play a specific sound or recording.

For example, the audio repository 212 may contain a standard voice greeting for callers to the voice portal 110, in which case the execution engine 202 could request play-back of that particular sound file. The selected sound file would then be delivered by the audio repository 212 through the call manager 200 and across the telephone gateway 107 to the caller on the telephone, e.g. the telephone 100. Additionally, the telephone gateway 107 may include digital signal processors (DSPs) that support the generation of sounds and/or audio mixing.

The execution engine 202 supports the execution of multiple threads with each thread operating one or more applications for a particular call to the voice portal 110. Thus, for example, if the user has called in to the voice portal 110, a thread may be started to provide her/him a voice interface to the system and for accessing other options.

In some embodiments of the invention an extensible markup language (XML)-style language is used to program applications. Each application is then written in the XML-style language and executed in a thread on the execution engine 202. In some embodiments, an XML-style language such as VoiceXML from the VoiceXML Forum, <http://www.voicexml.org/>, is extended for use by the execution engine 202 in the voice portal 110.

Additionally, the execution engine 202 may access the data connectivity engine 220 for access to databases and web sites (e.g. the shared database 112, the web site 230), the evaluation engine 222 for computing tasks and the streaming engine 224 for

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presentation of streaming media and audio. The streaming engine 224 may allow users of the voice portal 110 to access streaming audio content, or the audio portion of streaming video content, over the telephone interface. For example, a streaming media broadcast from ZDNet™ could be accessed by the streaming engine 224 for playback through the voice portal.

The data connectivity engine 220 supports access to a variety of databases including databases accessed across the Internet 106, e.g. the database 228, and also access to web sites over the Internet such as the web site 230. In some embodiments the data connectivity engine can access standard query language (SQL) databases, open database connectivity databases (ODBC), and/or other types of databases. The shared database 112 is represented separately from the other databases in Figure 2; however, the shared database 112 may in fact be part of one of the other databases, e.g. the database 226. Thus, the shared database 112 is distinguished from other databases accessed by the voice portal 110 in that it contains user profile information.

Having described the hardware and software architecture supporting various embodiments of the invention, the various personalization features provided by different embodiments of the invention will now be described.

D. Telephone Driven Profile Building

Turning to Figure 3, the process of creating a profile using a telephone interface will be described. This process will be described with reference to the call flow arrows shown on Figure 1 as well.

The voice portal 110 is able to flexibly handle multiple callers from a single telephone, e.g. Tom and Dick are roommates and both call from 650-493-####. Similarly, the voice portal 110 is able to handle a single caller that uses multiple telephones, e.g.

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Tom has a cell phone 650-245-####, his home phone 650-493-####, and a work phone 408-301-####. The manner in which the voice portal 110 can handle some of the above situations will be discussed throughout. In the example used while describing Figure 3, the process will be described using a caller Jane Smith as an exemplary caller who has never registered with the voice portal 110 from any telephone and an exemplary caller John Doe who has previously called the voice portal 110 from his telephone 100.

First, at step 300, telephone identifying information is received. This is shown in Figure 1 by call flow arrow 114 representing the transfer of telephone identifying information through the telephone gateway 107 to the voice portal 110. This step occurs after a user has placed a call to the voice portal 110 with a telephone, e.g. the telephone 100.

Next, at step 302, a determination is made as to whether the telephone identifying information corresponds to a known profile, e.g. is the user registered? Some examples may be illustrative. If Jane Smith uses the cellular telephone 101 to call the voice portal 110 for the first time, her telephone identifying information will not be associated with any existing unique profile in the shared database 112. Therefore, at step 302, the determination would be made that she is not registered and the process would continue at step 304. In contrast, John Doe has previously called the voice portal from the telephone 100 and so his telephone identifying information will be associated with a profile in the shared database 112 and the process would continue at step 306.

If, the telephone identifying information is not associated with an existing profile in the shared database 112, a new profile is created at step 304. The new profile may be initialized using a variety of information derived from the telephone identifying information and/or predetermined values for the voice portal 110. Thus, for example, when Jane Smith calls for the first time from the cellular telephone 101, an initial profile

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can be created using the calling number, e.g. 650-493-####, included in the telephone identifying information to select initial profile settings. The call flow arrow 116 shows this process on Figure 1. The use of the telephone identifying information to create an initial profile is discussed below in the section "Automatic Profile Initialization".

In some embodiments, the profile is not initialized using the telephone identifying information. In other embodiments, the user may be explicitly queried by the voice portal 110 to create one or more components of the initial profile, e.g. "Please speak your first name", to allow for more personalized prompting by the voice portal 110. Once a profile is created, the process continues at step 306.

At step 306, the profile is retrieved from the shared database 112 as shown by the call flow arrow 118. The profile can be updated throughout the call based on the user's behavior and actions -- implicit preferences -- as well as explicit requests from the user to customize the voice portal 110. Once a profile is selected at step 306, the personalized content can be presented to the user as shown by the call flow arrow 122 in Figure 1.

For example, John Doe, who is calling from the telephone 100, already has a profile in the shared database 112. That profile may indicate that John prefers a southern dialect and likes to hear a quick stock market report immediately on call in. Thus, for John, his telephone identifying information serves to log him directly into the system and trigger the personalized behavior unique to him: a quick stock market report in a southern dialect. In contrast, a different caller, Sarah Brown, from a different telephone will be provided different personalized content based on that telephone identifying information.

The voice portal may support multiple callers from a single telephone. For example, Sarah Brown and John Doe may both use the telephone 100 to call the voice portal 110. In the case where two or more profiles are identified with the same telephone

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identifying information, the voice portal may prompt for a password or other unique identifier, either as voice or touch-tone, to select among the profiles.

However, as a general matter, the voice portal is configured to minimize the need for a caller to provide a password. Thus, during a single call session, the caller is typically only asked to provide her/his password a single time. However, some embodiments of the invention may require that a password always be used to complete commercial transactions and/or after the passage of a predetermined period, e.g. ten minutes since last password prompt. In some embodiments, the user may adjust her/his profile to allow login without a password for playback features.

Also, a single profile can be associated with multiple calling numbers. For example, the user Jane Doe could specify that both the telephone 100 and the cellular telephone 101 should be associated with her profile. Similarly, if Jane calls from a new telephone, e.g. pay phone, she can provide her existing telephone number and her password to access her profile. In some embodiments, whenever the user calls from a new telephone number, she/he is prompted as to whether to remember the number for future use. In some embodiments, additional telephone identifying information, e.g. this is a pay phone, is used so that the caller is not prompted to associated telephone numbers that are likely to be single time uses with her/his profile. Similarly, voice verification may be used to recognize a caller's voice instead of, or in addition to, using a password or other identification number.

Typical events that would require a password, or that the user be authenticated previously with a password, might include adding and removing items from the user profile through explicit commands as well as requests for specific personal information. e.g. that user's stock portfolio, bank account balances, etc.

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It is not necessary for callers to the voice portal 110 to explicitly specify their preferences using this embodiment of the invention. The callers' behaviors and actions are used by the voice portal 110 to adopt implicit preferences, sometimes after receiving confirmation. For example, behaviors and actions reflecting repeated access to a content in a particular topic, or a particular topic, may cause the voice portal 110 to automatically include the repeatedly requested content in the default message.

For example, if a caller from New York City repeatedly asks for the weather in San Francisco, the system can add the San Francisco weather to the standard weather report. Alternatively, the system may request confirmation before adding the weather report, e.g. "Would you like me to include San Francisco in the standard weather report?" Similarly, at the level of topics, users who repeatedly ask for information about business related issues may find that the system will adjust the main menu to include business. Similarly, if that same user never asks for sports scores, that option may drop off the main menu. In some embodiments, the system may ask for confirmation before modifying the menu choices, or the system may notify the user of a modification and/or allow a user to review/change past modifications. As a result, the structure and content of the call may change, e.g. San Francisco weather will be announced at the beginning of future calls and sports information may be omitted.

Through the use of this process, the need for a specialized editing mode of the type seen on customizable web portals is reduced. The user's actions and behaviors shape the options presented to her/him. Thus, reducing the need to explicitly pick topics and/or content in an editing mode. However, some embodiments of the invention may allow for explicit profile creation in an editing mode over the web, see below, and/or over the telephone. Also, users are typically permitted to add and remove topics and/or items at

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will with explicit commands, e.g. "Remember this", "Remove", "Add to my stock list", etc.

E. Web Driven Profile Building

Turning to Figure 4, the process of modifying a profile for use over a telephone interface over the web will be described. This process will be described with reference to the call flow arrows shown on Figure 1 as well.

The process shown in Figure 4 assumes that a profile has already been created, e.g. by calling for the first time as described above. However, in some embodiments of the invention, users may create profiles using the web interface by providing the telephone identifying information for their primary calling phone number and a password. As is the case with the telephone registration process described in step 304, the telephone identifying information provided, here the primary calling phone number, can be used to create the initial profile.

Starting at step 400, the profile is accessed using a computer (e.g. the computer 102) via a web interface. The web interface is provided by a web server (e.g. the web server 108) and allows for access to the shared database 112 as shown by the call flow arrow 120.

Once the user has signed in to access her/his profile on the computer, she/he can manually identify content and topics to build her/his profile at step 404. This can be supported by allowing the user to specify topics from a list of topics and then specifying per topic content from a list of content. For example, the topics might include business, sports, news, entertainment, and weather, to name a few. The user could include weather, news, and business in her/his main menu and then further customize the specific content to be presented within those topics. For example, within weather, the user might select the

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specific cities she/he wants listed in her/his weather menu and/or the cities for which the weather is automatically played.

Alternatively, at step 402, the user can identify a web location with personalized content to use in building her/his profile, e.g. a uniform resource indicator (URI). For example, Figure 1 includes the personalized site 130. The personalized site 130 could be a customized portal web page, e.g. myYahoo!, My Netscape, etc., a home page the user herself/himself has designed, and/or any other web page that includes content of interest to the user. The user can identify the personalized site with a uniform resource indicator (URI), including a login identifier and password if necessary, e.g. for myYahoo! The personalized site 130 can then be accessed and the pertinent user preferences, e.g. news, stocks, selected. Taking the example of a customized portal site, the main topics selected, e.g. horoscopes, and the content within, Sagittarius, could be adopted. However, the voice portal 110 may present its own content for that particular item, e.g. the version of the Sagittarius horoscope on the voice portal 110 not the version from the personalized site 130.

The processes of step 402 and step 404 can be used together allowing a user to quickly transfer preferences from a web portal to her/his voice portal while still supporting explicit personalization.

Alternatively, in some embodiments of the invention, an existing web portal profile is voice enabled for use by a voice portal through the association of telephone identifying information with the existing web portal. In this embodiment, at step 402, the telephone identifying information, e.g. the primary calling number, is associated with an existing web profile, e.g. myYahoo! profile, stored in the shared database 112 and that existing web profile is then usable from the voice portal 110 either using voice or touch-tone commands.

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Additionally, web sites like the personalized site 130 may be accessed using the voice portal 110 in some embodiments of the invention through the use of the data connectivity engine 220 as shown in Figure 2.

F. Profile Building Via Other Web Sites

Some embodiments of the invention may allow users of the voice portal 110 to add to their profile from other web sites. For example, if a user of the computer 102 is accessing a web site (e.g. the personalized site 130), the web site might include a link like "Add this to your voice portal." Thus, for example, from a service such as MapQuest™ or Ameritrade™, the user could click on a link to add a particular piece of content or a particular topic to their portal for the voice portal 110.

For example, a user could add her/his "QQQ" stock symbol to her/his profile on the voice portal 110 even though the voice portal 110 may be operated independently of the particular web site.

This type of web based profile building allows for widespread profile building for the voice portal 110 from a variety of Internet sites. Also, in some embodiments, the web browser software on the user's computer (e.g. the computer 102) can support an option to add a bookmark to the user's profile stored in the shared database 112 for the voice portal 110. For example, a menu option in the browser on the computer 102 might include "Add Page to Voice Portal Shortcuts" and upon selecting that menu option, the current web page would be added to the user's profile on the voice portal 110.

This would typically be accomplished by accessing a URI on the web server 108 that included the information to be added. At that point, the web server 108 might ask for a primary calling phone number and/or a password. In some embodiments, a cookie stored by the browser on the computer 102 may be used to obviate one or both of these steps.

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After the user provides the information, or it is accepted automatically, a confirmation page may be shown including a return link to the originating web page. Several example URI's for adding content are shown below:

```
<http://www.voiceportal.com/add.cgi?topic=stock%20quote&content=QQQ>
<http://www.voiceportal.com/add.cgi?shortcut=MapQuest&ref=www.mapquest.com/voice.vxml>
<http://www.voiceportal.com/add.cgi?shortcut=myYahoo&ref=my.yahoo.com/voice.vxml&login=jdoe>
```

These examples are illustrative of the various types of URI's that can be placed as links on web sites to allow users of the voice portal 110 to further customize their profile.

G. Locale Based Personalization

Turning to Figure 5, the basic personalization framework used by several embodiments of the invention is presented. At step 500, a request is made for content, or a topic. Then one or more of steps 502-510 take place, in parallel or sequence, and then the content is presented at step 512. Which of steps 502-510 occur for a given request may be determined based on the topic or content requested. For example, step 504 can be omitted when non-time dependent information is presented.

Turning to step 502, the customization of content based on the calling locale. The telephone identifying information includes information about the caller's locale independent of any user provided registration information. This information can be derived from telephone routing tables that provide a descriptive name for each area code/exchange combination within the North American Numbering Plan (NANP). Thus, the phone number 650-493-#### would be associated with "Palo Alto, California". Similarly, 650-592-#### would be associated with "San Carlos, California".

This information may be directly present in the telephone identifying information provided to the voice portal 110, or may be ascertained from a local exchange routing guide (LERG). For international callers outside the NANP, similar types of telephone

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identifying information can be mapped to locales within countries to the extent permitted by the particular numbering plan.

The city-state combination may correspond to multiple locales for the purposes of the voice portal 110. For example, a county-wide or multi-city locale can be defined that encompasses multiple area code/exchange combinations. Thus, a single caller may be in multiple locales.

Locale information can be further refined through the use of additional databases, e.g. city/state to zip code databases, street address to five digit zip code databases, reverse lookup databases that map phone numbers to street addresses, longitude-latitude conversion databases, and/or other databases that provide locale related information from telephone identifying information. Thus, for example, V and H coordinates might be determined using the telephone identifying information. Those can be further converted to a longitude and latitude to determine the locale. Alternatively, a reverse phone number database could be used to find a specific street address for the telephone identifying information.

Examples of the uses for the locale information include: providing locale-appropriate lottery results, providing driving directions to a requested destination, providing locale-appropriate weather reports, providing locale-appropriate show times for movies other events, e.g. cultural, governmental, etc., traffic reports, yellow page listings, and/or providing other locale-related information.

H. Time/Date Based Personalization

Turning to step 504, the customization of content based on the time and/or date will now be described. The telephone identifying information includes information about the caller's locale independent of any user provided registration information. This

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information can be derived from telephone routing tables that provide a descriptive name for each area code/exchange combination within the NANP. Thus, the phone number 650-493-#### would be associated with "Palo Alto, California" and thus the correct time zone, Pacific, could be selected as well.

This time zone may be directly present in the telephone identifying information provided to the voice portal 110, or may be ascertained from the LERG. For international callers outside the NANP, similar types of telephone identifying information can be mapped to locales within countries to the extent permitted by the particular numbering plan. Thus, callers from United Kingdom numbers would be mapped to British Standard Time.

The time zone information allows the voice portal 110 to customize the presentation of information based on the time in the caller's locale. Callers can use a single nationwide, or international, number to reach the voice portal 110, e.g. 800-###-####. The voice portal 110 will use the time zone information to adjust the content presented to each user.

Thus, during the lunch hour, the voice portal 110 might report a stock quote to the user while on a Friday evening, the voice portal 110 might suggest a movie. For example, "It is Friday night, would you be interested in seeing a movie?" A "yes" response by the caller will lead to the presentation of a list that is both time and date adapted and locale appropriate. For example, a caller from Palo Alto at six o'clock p.m. on a Friday would hear about show times after six o'clock p.m. in his local area.

If necessary, the voice portal 110 may connect the user to an appropriate transaction system to complete a user requested transaction such a the purchase of an airline ticket, a movie ticket, an audio CD, etc. However, in many instances, the voice portal 110 may be able to directly complete the transaction using the data connectivity

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engine 220 and access to the Internet 106 and/or one more databases (e.g. the database 226). This process can occur even if the caller has not explicitly provided the voice portal 110 her/his home location or the current time. For example, this personalized content might be presented immediately at after step 304 of Figure 3 in step 306.

Similarly, other time sensitive information can be presented such as airline schedules, cultural and other events, etc. Thus, for example a caller asking for flight times to New York from a 650-493-#### telephone number might be prompted to select one of the three local airports: San Francisco International, San Jose International, and Oakland International, and then the flight times to New York after the current time in the Pacific time zone would be presented.

Some additional examples include customizing the presentation of business reports based on whether or not the market is open; modifying the greeting prompt based on the time of day; and providing traffic information automatically during commute hours, but not at other times.

I. Targeted Advertising

Embodiments of the invention support the presentation of targeted advertising, or other content, to callers of the voice portal 110 as shown at step 508. The two primary types of targeted advertising supported by embodiments of the invention will be described. The different types of targeted advertising can be combined as well.

1. Based Solely on Telephone Identifying Information

Telephone identifying information can be used to reference demographic information about callers from a particular area. For example, if the telephone identifying information includes the calling number 650-493-####, corresponding to Palo Alto, California, general demographic information about callers from that particular region can

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be used to target the advertising, or other content. Further, if a reverse lookup database is used, the phone number can, in some instances, locate specific demographic information for a given household, or caller.

This personalization allows the targeting of advertising to qualified callers by the voice portal 112. For example, an advertiser of expensive luxury vehicles might request that its callers be qualified based on their income, or a particular psychographic attribute, e.g. fun-loving. In that case, the demographic profile corresponding to the telephone identifying information can be used to qualify the caller. Thus, callers from the relatively affluent city of Palo Alto, California might receive the advertising. Similarly, if a particular household meets the requirements based on a reverse lookup, those households can receive the advertising as well.

2. Based on Profile

Another source of information about the caller is the profile used by the shared database 112. This profile may indicate interests based on the explicit and implicit preferences, e.g. likes sports, and can be used in combination with the telephone identifying information to more closely tailor ads to the caller.

For example, if the caller has added movie and entertainment information to her/his profile, either explicitly or implicitly, advertising related to movies and entertainment could be favored over other qualified advertising based on the caller's profile. Other examples include providing brokerage, and other financial services, advertisements to callers who frequently check stock quotes and/or have a customized stock list.

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J. Adaptive Voice Character

Turning to step 508, the customization of content through adaptive voice character will now be described. The telephone identifying information includes information about the caller's locale independent of any user provided registration information. The locales may be associated with one or more standard voice character settings, e.g. for dialect, and also idiomatic speech. Thus, callers from California may receive different prompts and a different dialect from the voice portal then callers from Florida.

Similarly, the telephone identifying information may include information about the type of phone, e.g. pay phone, hospital phone, etc., that can be used to adjust the voice character, e.g. louder and slower speech.

Additionally, the caller's speaking voice may be used to refine the voice character of the system. Thus, callers with speech patterns from a particular region of the country may find that after several verbal interactions with the voice portal, the content being presented at step 512 is being spoken using a voice character more suited to their own speech patterns. Similarly, in response to callers who request that information be repeated several times, the voice character for those callers may be slowed and played back louder. Additional examples include allowing users to select different voice actors, different background music and/or sound effects, control the verbosity of prompts, etc.

K. Purchase Recommendations

Turning to step 510, the customization of content through purchase suggestions. Based on the caller's profile -- as retrieved through the telephone identifying information -- and/or demographic information from other sources, e.g. locale based and/or reverse lookup, the system can make purchasing suggestions.

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The suggestions could be based on the caller's locale and what others in that locale have purchased. In other embodiments, the suggestions may be based on the profile of the user relative to other user's purchases. In some embodiments, approaches such as collaborative filtering are used to generate recommendations.

Examples of recommendations may include particular goods and services, e.g. flowers for Mom a few days before Mother's Day. Further, the exact suggestion may vary based on the caller's past habits, e.g. in the past you bought chocolates so this year chocolates might be suggested again. Alternatively, if many people from your locale are buying a particular book that might be suggested as well. The particular purchase recommendation may relate to goods and services offered independently, by, and/or in affiliation with the operator of the voice portal 110.

L. Voice Login

As discussed above, the system may support the use of one or more passwords, either spoken or touch-tone for login and authentication purposes. The passwords provide for protection against modifications to a user's profile without authentication. Additionally, certain specific actions, e.g. making a purchase, listening to certain types of personalized content, etc., may require authentication.

Typically, the authentication system will support either a voice or a touch-tone password for users of the voice portal 110. This flexibility addresses situations where the voice password is not working due to line conditions and/or conditions of the calling telephone. Products such as Nuance Verifier™ and/or other voice login and verification products may be used to provide the voice login feature. In some embodiments, both types of authentication may be required.

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Once logged in, or authenticated, embodiments of the invention may minimize the need for the user to re-authenticate herself/himself, as described above. Additionally, the password, either voice and/or touch-tone, used for authentication for telephone sessions may be the same or different as any passwords used for authentication for web access to the profile customization options described in conjunction with Figure 4.

M. Automatic Profile Initialization

As discussed in conjunction with Figure 3, it may be desirable to initialize the profile using the telephone identifying information. The telephone identifying information can be used to select an appropriate demographic profile and list of topics based on the calling locale. In other embodiments, a reverse lookup of the calling number provided with the telephone identifying information is used to obtain a specific demographic profile for a caller and/or her/his household.

Then the demographic information derived from the locale and/or the reverse lookup are used to set initial profile values. For example, the user's income might be estimated based on the average income for the calling locale, e.g. Palo Alto, California, or from demographic information from the reverse lookup. Similarly, the caller's initial topics might be selected based on commonly selected topics for her/his locale and/or the preferences available based on the demographic information retrieved by the reverse lookup.

These initial values may be revised based on a caller's later actions. For example, if the initial estimate of a caller's age is too high, later actions may cause that information to be revised. Similarly, callers may be permitted to explicitly provide certain types of demographic information as needed. For example, the user might provide her/his birth

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date to a horoscope feature provided by the voice portal 110, in that instance, the birth date might be incorporated into the profile.

N. Electronic Commerce Features

The preceding discussion has focused on personalization of content for users accessing the voice portal 110. This section describes special commerce features within various embodiments of the invention. A transcript from a possible interaction between a user ("C") and the voice portal 110 ("S") will be provided. The transcript will be discussed segment by segment. In some instances, phrases will be included between angle brackets, e.g. "<>", in those cases an appropriate substitution with the indicated value(s) should be made. After the dialogue from the transcript is discussed the process will be described in greater detail with respect to Figure 6.

1. Sample Dialogue Transcript

1	S	<Introduction>
2	S	<Optional Sponsorship>
3	S	You can interrupt the system at any time.
4	S	If you need assistance, say "help".
5	S	Main Menu. Options: stocks, news, personal or travel.
6	C	Travel.
7	S	Welcome to the flight reservations system.
8	S	What city would you like to depart from? San Francisco, Oakland, or San Jose?
9	C	San Francisco.
10	S	San Francisco. What city are you flying to?
11	C	Las Vegas.
12	S	Las Vegas. On what date would you like to depart?
13	C	June first.
14	S	June first. Around what time would you like to depart?
15	C	7 p m
16	S	Seven p m. How many travelers?
17	C	one
18	S	One traveler. Will this be round trip or one way?
19	C	Round trip
20	S	Round trip. On what day would you like to return?
21	C	June seventh
22	S	June seventh. Around what time would you like to return?
23	C	Nine a m
24	S	Nine a m. One moment while I locate flights.

Transcript Segment 1

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Turning to the first segment of the transcript. The voice portal 110 introduces itself to the user at lines 1-5. Notice that sponsorship information can be inserted into the conversation, e.g. line 2. For example, the voice portal might offer a personalized advertisement, see above, at line 2. The sponsorship might also be personalized topically based on the subject matter of the purchase, e.g. travel.

In this example, the user is attempting to purchase an airline ticket. The user lives in Palo Alto, California, and so the personalization features of the system described above allow the system at line 8 to prompt the user with the most likely departure airports. Thus, the personalization features are easily combinable with the commerce features of embodiments of the invention. In appropriate circumstances, the list provided might be adjusted based on the user's present location as opposed to the user's home. For example, if the user were to call from a pay phone in Washington, D.C., the airports in the D.C. area might be listed in addition to, or instead of, the San Francisco area airports.

At lines 9-24 of the transcript, the user provides information to clarify her/his purchase requests. Airline tickets require a more elaborate dialogue than say music CDs because there is more information to specify.

In contrast, if at line 6 the user said, "Music", and that was a valid option, the system might ask for the artist or album name. Then, the user might be prompted to select from a short list of found items. For example, the user might say "98 Degrees" and the system might offer "There are three albums from 98 Degrees, please select 98 Degrees, 98 Degrees and Rising, or 98 Degrees Christmas." Upon selecting one or more of those albums, the conversation could then continue.

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Continuing with the transcript for the airline ticket purchase:

25 S	<Airline> is offering a special fare of $248 for flights to Las Vegas in June. To hear more about this offer, say "<Airline>". To hear a list of other flights, say "more flights".
26 C	<Airline>
27 S	<Airline> flight 2315, departs San Francisco on June 1st, at 7:14 p.m. and arrives in Las Vegas at 9:50 p.m. The return flight is <Airline> flight 7006, departing Las Vegas on June 7th, at 8:40 a.m., and arriving in San Francisco at 10:10 p.m.
28 S	To reserve this <Airline> flight, say "reserve it". To hear a list of other flights, say "more flights".
29 C	Reserve it.
30 S	Your <Airline> flight has been reserved. Your <Airline> confirmation number is <Confirmation Number>.
31 S	Remember, that you can view details of this transaction, as well as others, at voiceportal.com.
32 S	To purchase this ticket, please say "purchase", say "hold" to hold the reservation for twenty-four hours.
33 C	Purchase

Transcript Segment 2

Lines 25 through 33 of the transcript show the recommendation and reservation process. At line 25, the system is generating a recommendation. This recommendation may be based on a match between the user's requested schedule and the best fare for that schedule. Additionally, other preferences could be taken into account.

For example, between lines 24 and 25 of the dialogue, the system could access the user profile to determine that the user prefers to fly Southwest Airlines. That preference may be derived from either an implicit, or explicit, personalization, see above. As a result, the recommendation generated at line 25 may be based on that preference and as a result Southwest Airlines flights might be suggested first.

Also, between lines 29 and 30 of the dialogue the voice portal 110 can access the user profile corresponding to the telephone identifying information to assist in completing the transaction. More specifically, the user's full name, address, shipping information, credit card number, and/or other personal information can be retrieved from the user's profile. Also, embodiments of the invention can support other types of payments than credit cards, most generally any form of payment identifier can be used, e.g. automated check clearinghouse (ACH) information, electronic currency, credit card numbers, smart

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card payment certificate, and/or other suitable forms of payment and identification of that payment can be used.

This information can then be provided to the merchant to complete the transaction. If the information is not available in the user's profile, it can be obtained from the user. Users need not be re-prompted for information already in their profile, even for new merchants. Thus, if the user's full name and address are in the profile, no questions would have to be asked at this point of the example dialogue because only a name and address are needed to reserve an airline ticket.

In contrast, if that information was not known, the voice portal 110 could interactively obtain the necessary information prior to continuing at line 30 of the dialogue and reserving the ticket. If necessary, or appropriate, a human operator may be brought on the line to receive the information and update the user's profile. Typically, voice and/or touch tone responses may be used in conjunction with information about the user's calling locale as derived from telephone identifying information to update the information without the assistance of a human operator.

Once the user's profile contains adequate information to complete the required function, e.g. reserve an airline ticket, the voice portal 110 can complete the task. This might be done by accessing a database (e.g. the database 228) belonging to the airline over the Internet 106, or some other network or communication channel. For example, the reservation database for Southwest Airlines might be accessed directly using electronic data interchange (EDI) format, extensible markup language (XML), and/or some other protocol. Those same protocols may have been used to obtain the flight information from the database at line 25 of the dialogue.

In other instances, the execution engine 202 and the data connectivity engine 220 may access a web site 230, or a web server, and perform the necessary transactions.

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Specifically, the voice portal could respond to the purchase command by executing a request to a server using the HTTP protocol or the secure hypertext transfer protocol (HTTPS). The secure socket layers (SSL) protocol can be used to ensure the privacy and security of the transaction. For example, if Southwest Airlines has a web site (e.g. the web site 230) that supports electronic commerce using SSL, HTTPS and/or HTTP, the data connectivity engine 220 could supply the requisite information to the web site 230 to place a reservation and/or purchase tickets.

In these situations, the data connectivity engine 220 and the voice portal 110 acts in a similar fashion to a user's web browser. The voice portal 110 accesses the web site 230 for the user and provides information in appropriate fields from the user's profile. This interaction with a web site may occur while the user waits or in the background, with confirmation provided to the user at a later point.

In some instances, one or more web site descriptions may be developed to allow access by the data connectivity engine 220 to web sites for commerce purposes. The web site description may describe how to search for products and services. For example, a uniform resource indicator (URI) for the search engine and the format for search queries for a particular web site (e.g. the web site 230) might be included. The web site description may also specify how to parse search results. The web site descriptions may specify how to initiate a purchase transaction and as well as a mapping between user profile information and fields on the web site's forms. The web site description may specify how to parse confirmation and transaction results. The web site descriptions allow the data connectivity engine 220 to act as an automated agent for the user. Further, they also allow for the generation of a cross-merchant record of all purchases made with the voice portal 110, e.g. a voice receipt. Notification of the creation of a voice receipt is shown in line 31 of the sample transcript. These voice receipts may be accessible over the web as suggested

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by line 31 of the dialogue. Voice receipts may also be reviewed directly within the voice portal 110 in some embodiments of the invention.

The voice receipt may contain information about a purchase, e.g. product/service, description, time of purchase, merchant/vendor/provider name, price paid, credit card used, order number, confirmation number, status -- e.g. on backorder, shipped, 24 hours to purchase, awaiting trade execution, etc. -- and/or other information relating to the transaction.

Notably, the status information may be obtained through dynamic access to one or more merchant data sources. For example, if the voice receipt was for a trading request, the status information might be obtained from the brokerage company's computer systems by the data connectivity engine 220. The voice receipts offer a powerful management tool to users for tracking purchases made using the voice portal at multiple merchants. As in the case of this airline example, the voice receipt may include helpful information, e.g. the confirmation number, in a secure easily accessible location, obviating the need to manually record it with pen and paper at the time of the transaction.

In this example with airline tickets, a distinction is made between reserving the tickets and purchasing them. This distinction is specific to this type of product because airlines allow customers to reserve tickets for twenty-four hours before purchasing them. At lines 31-33 of the dialogue, the user requests the purchase of the airline ticket.

34 S	In order to complete this transaction using one your credit cards on file, we need to confirm your identity. Please speak or touch-tone your password. If you prefer to use a different credit card, please speak or touch-tone that credit card number now.
35 C	<Password>
36 S	We have confirmed your identity. Which credit card would you like to use? <Card1> <Card2>, or <Card3>
37 C	<Card2>
38 S	Thank you, now processing your transaction.
39 S	<Musical Interlude>
40 S	Your ticket has now been purchased using your <Card2> credit card. You can review details of this transaction as well as others at voiceportal.com or by requesting "Receipts" from the main menu.

Transcript Segment 3

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In this example, this is the first transaction for this telephone session, as such the voice portal 110 requests password confirmation from the user before allowing the purchase to be completed. In some embodiments of the invention, the user is prompted for a password for all purchases. In other embodiments, a password is only requested for the first purchase in each telephone session. In other embodiments, the password is requested a single time in each session for all purposes. In some embodiments of the invention, users of wireless telephones may, as a default setting, not be required to provide a password since it is assumed that the wireless telephone is not shared by multiple users.

The ability to quickly reference credit card information already on file improves transaction speed by eliminating the need for the user to re-provide information. This same approach can be used to select shipping addresses. For example, the system might prompt, "Do you want this order sent to your billing address, home address or work address?" to allow the user to select a shipping address for delivery of products.

The commerce model employed by the voice portal 110 is designed to allow purchases using a single command, "Purchase", or similar phrases. In other words, the neither a password, a credit card selection, need be required from the user. Thus, the user input must specify a product selection and the user must issue the "Purchase" command.

Accordingly, the voice portal need not maintain a shopping cart, or similar construct for a user, store, or session. Further, the commerce model of the voice portal 110 is independent of the commerce model used by any merchant. Thus, the voice portal 110 may enable its users to buy items from web sites that use a shopping cart model using the one word purchase commerce model of the voice portal 110. Thus, the purchase of multiple CDs at a music store by a user of the voice portal 110 can each be treated as separate purchases. Further, for each CD, all order information may be provided to the merchant by the voice portal 110 as outlined above.

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The order fulfillment process used by a given merchant may group related purchases from a user over a predetermined time period, e.g. session, day, week, month, etc. For example, the voice portal 110 might combine all CD purchases made in a single session into a single order in the merchant's computer systems. Alternatively, the merchant may combine the separate orders for fulfillment purposes.

Similarly, if desirable, the voice portal 110 may group distinct purchases from a single merchant within a predetermined time period, e.g. session, day, week, month, etc., into a single voice receipt with, if appropriate, status information for the individual items and/or the group of items as a whole.

Additionally, the voice portal 110 may support a number of additional electronic commerce features. For example, accessory services may be provided relative to a purchase, e.g. status change notifications for a product. For example, the voice portal 110 might prompt, "For twenty-five cents, we can notify you if your flight is delayed or changed, say 'notify me', to request this service." Similarly, the voice portal 110 might prompt, "For ten cents, we can send you an alpha-numeric page when your trade is executed, say 'page me', to request this service."

In some instances, there may be no charge for the accessory service. The accessory service may be available irrespective of whether a particular merchant/vendor supports a feature. For example, a brokerage firm might provide e-mail trade confirmations. However, the voice portal 110 may use its interface to the brokerage systems to independently provide other features, e.g. pager notification.

Similarly, the voice portal 110 may recommend related products, e.g. cross-sell. So in the example above of purchasing hotel tickets to Las Vegas, the system dialogue might prompt the user: "Our records indicate that <Convention> is being held in Las Vegas during your stay and hotel availability is low, would you like to book a hotel room now?"

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If the user says yes, the dialogue can unfold much as it did for the purchase of the airline ticket.

2. Process Detail

Figure 6 is a process flow diagram for conducting electronic commerce over a telephone interface according to some embodiments of the invention. The process of Figure 6 could be used by the voice portal 110 to provide electronic commerce over a telephone interface. Throughout the discussion of Figure 6, it will be assumed that the user has been identified by the voice portal 110, as in Figure 1, e.g. using the telephone identifying information 114. Alternatively, some embodiments of the invention may use alternative means to identify the caller to the voice portal, e.g. an explicit login process.

First, at step 600, an audio request is received to initiate a transaction. This request may take the form of the user requesting a specific topic within the voice portal 110, e.g. travel, stock trading, music store, etc., or a more specific request, e.g. the user might say "I want to buy the new CD from 98 Degrees." Other audio input formats, including touch-tone are possible.

Next, at step 602, the voice portal 110 conducts an audio dialogue with the user to more specifically identify the product or service they wish to purchase. For the purposes of this discussion, a product will be considered either a product or a service. For example, if the user has entered the travel category, a dialogue like the example above for airline tickets might unfold. In contrast, in music, or some other type of, store, the user might be prompted to provide search terms, or other product identifiers. Once, the voice portal 110 has identified a product with sufficient specificity, any of steps 604-608 may occur. Steps 604-608 may occur in parallel, in sequence, based on user requests, and/or asynchronously in the background.

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For example, the user might automatically be presented a recommendation at step 606, e.g. a specific product like the CD "98 Degrees and Rising" or the specially priced airline ticket. Meanwhile, price comparisons for that product at different merchants could occur in the background at step 604. Also, a list of

The dialogue process of step 602 and the processes of steps 604-608 may occur iteratively until the user has identified a product she/he wishes to purchase. Thus in the airline ticket purchase example above, if the user was not satisfied with the recommendation, the user could request a list of flights at step 608. If she/he was still not satisfied, she/he could return to step 602 and adjust her/his request.

At step 610, a purchase confirmation is received from the user for the identified product. The confirmation from the user typically takes the form of a single word or command phrase such as "Purchase" or "Buy It", or a similar phrase. Because the user's identifying information is already available based on the associated profile for the telephone identifying information, it is not necessary to input names, addresses, and credit card numbers typically. If telephone identifying information is unavailable, then the user may be required to login and identify herself/himself. However, the provision of address information and credit card information, etc., would still be automated.

Periodically, for security purposes a password, or other identifier, may be requested from the user in conjunction with step 610. For example, the first purchase of each telephone session might require a password identifier.

At step 612, the order is then placed with the merchant. The order may be placed through a number of electronic means. Notably, the order may be placed directly through a general purpose electronic commerce web site (e.g. the web site 230) using SSL and/or HTTPS with the voice portal 110 acting as a browser on behalf of the user. The voice portal 110 can fill out forms on the web site using information from the user profile. In

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other embodiments, XML, EDI, and/or other proprietary or non-proprietary formats are used to place the order with the merchant. These same techniques can be used at steps 604-608 to access information about products and services available for sale. Thus, it is not necessary for merchants to specially design their electronic commerce sites to support the voice portal 110 or the purchase model used by the voice portal 110. However, for efficiency reasons a particular web site may provide a custom mechanism for the voice portal 110 to conduct commerce via HTTP, HTTPS and/or SSL as well as a custom data exchange format for obtaining information and placing orders.

Additionally, a voice receipt can be generated for the transaction at step 612. The voice receipt includes information about the transaction as described above. When appropriate, status information can be included as part of the voice receipt. The status information can be dynamically obtained from the appropriate merchant for inclusion in the voice receipt when it is reviewed. For example, an order for CDs might have shipping status information extracted directly from the merchant at the time the voice receipt is reviewed. The voice receipts may be reviewed on a web site for the voice portal 110 and/or on the voice portal 110 itself, e.g. over the telephone

The process of Figure 6 omits data collection steps that may, in some instances, be necessary to complete certain types of orders. For example, basic information such as name, address, shipping address, and credit card number are needed for many transactions. That information can be collected as needed for various purposes throughout the entire voice portal 110. Thus, an earlier request for driving directions may have provided the user's address to the voice portal 110. As part of step 610, additional data can be collected either using audio input and output to a computer or to a human operator. The user of the voice portal 110 may not even be aware that a human operator is receiving her/his input for entry into her/his profile. In addition, reverse lookup information can be used to derive

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the user's name and address or assist in verification of the user's input. The voice portal 110 minimizes the need for re-entry of data by maximizing usage of user profile information across different merchants/vendors.

Still other embodiments of the invention allow a user to signal on a web site to have the vendor contact them to complete the transaction by telephone. This may allow for better support of customers who are uncomfortable making purchases over the Internet and/or make it easier for customers to make purchases from new vendors. For example, if Jane Doe already has a profile established with the voice portal 110, then she can circumvent the purchase process at a particular merchant by clicking on a link to have the voice portal 110 call her. In some instances, the user may be asked to provide her/his phone number on the web site.

Still other information that is needed may be product/service specific, e.g. type of seating, pant size, etc. That information may be obtained as part of the dialogue at step 602 and/or stored as user preferences by the voice portal 110.

In some embodiments of the invention, a list of items may be presented to a user, e.g. a top *n* list of books, music, etc. The voice portal 110 may pause briefly between items in the list to receive a purchase request, e.g. "Buy It" or a touch-tone signal. Thus, the purchase model is extended to handle purchases from a list of items. This may also be helpful when the user has requested a search and wants to purchase one of the items provided in the result list.

O. Conclusion

Thus, the voice portal 110 can serve as a telephone to HTTP, HTTPS, and/or SSL gateway for commerce purposes. Further, the voice portal 110 supports a one word purchase commerce model that greatly reduces the overhead of completing transactions

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with multiple vendors using the telephone interface. Further, the model abstracts the particular purchase/transaction/vending model used by the vendor in favor of a uniform interface provided by the voice portal 110. Typical embodiments of the invention may support one or more words, phrases, or DTMF signals for use as the purchase command in the one word purchase model.

A number of different personalization features provided by embodiments of the invention have been described, those features can be combined in a number of ways to provide personalized commerce services.

In some embodiments, voice portal 110 can be hardware based, software based, or a combination of the two. In some embodiments, voice portal 110 is comprised of one or more computer programs that are included in one or more computer usable media such as CD-ROMs, floppy disks, or other media. In some embodiments, call manager programs, execution engine programs, data connectivity engine programs, evaluation engine programs, streaming subsystem programs, recognition server programs, and/or text to speech programs are included in one or more computer usable media.

Some embodiments of the invention are included in an electromagnetic wave form. The electromagnetic waveform comprises information such as call manager programs, execution engine programs, data connectivity engine programs, evaluation engine programs, streaming subsystem programs, recognition server programs, and/or text to speech programs. The electromagnetic waveform may include the programs accessed over a network.

The foregoing description of various embodiments of the invention has been presented for purposes of illustration and description. It is not intended to limit the invention to the precise forms disclosed. Many modifications and equivalent arrangements will be apparent.

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Fig 1

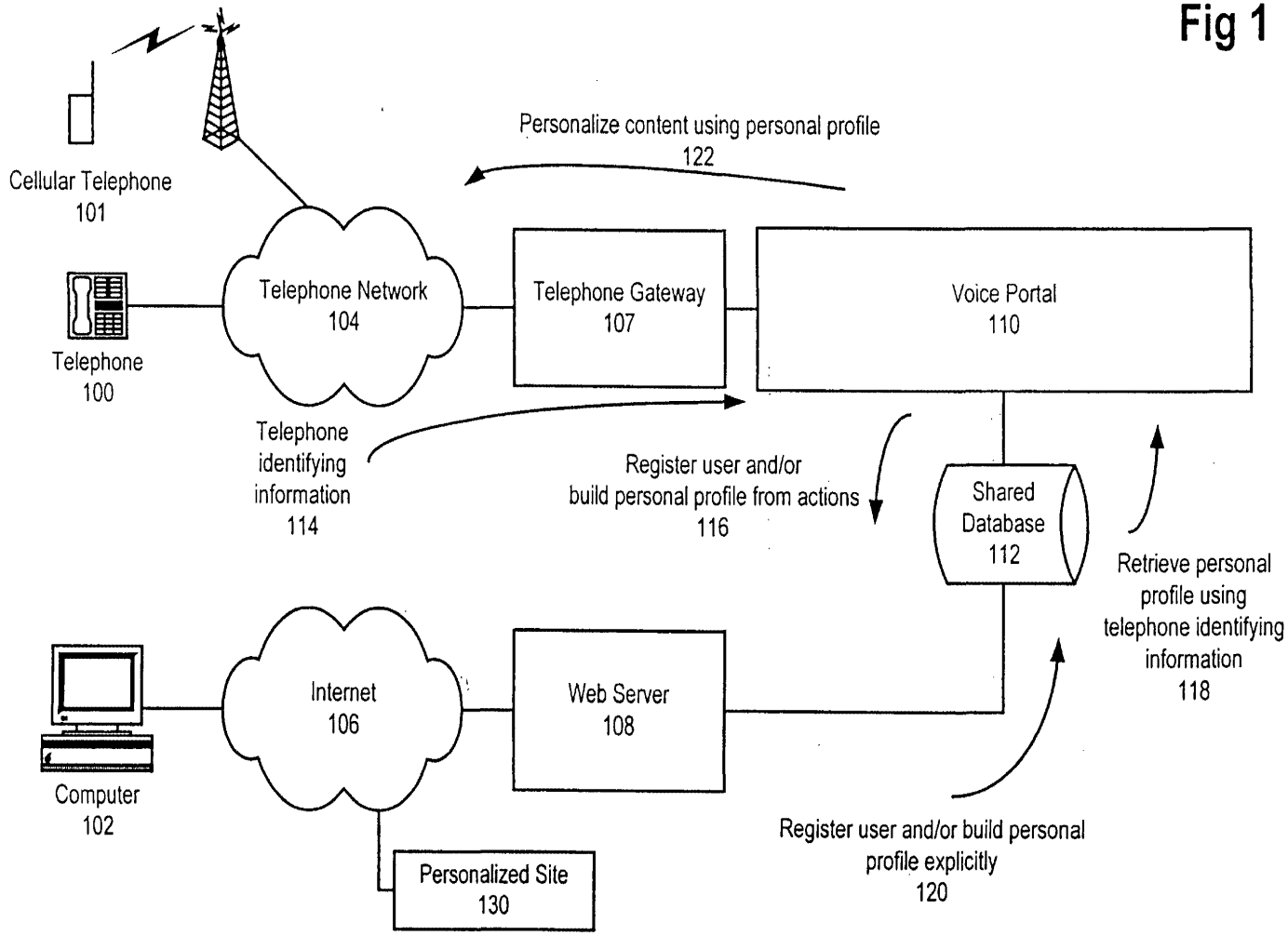
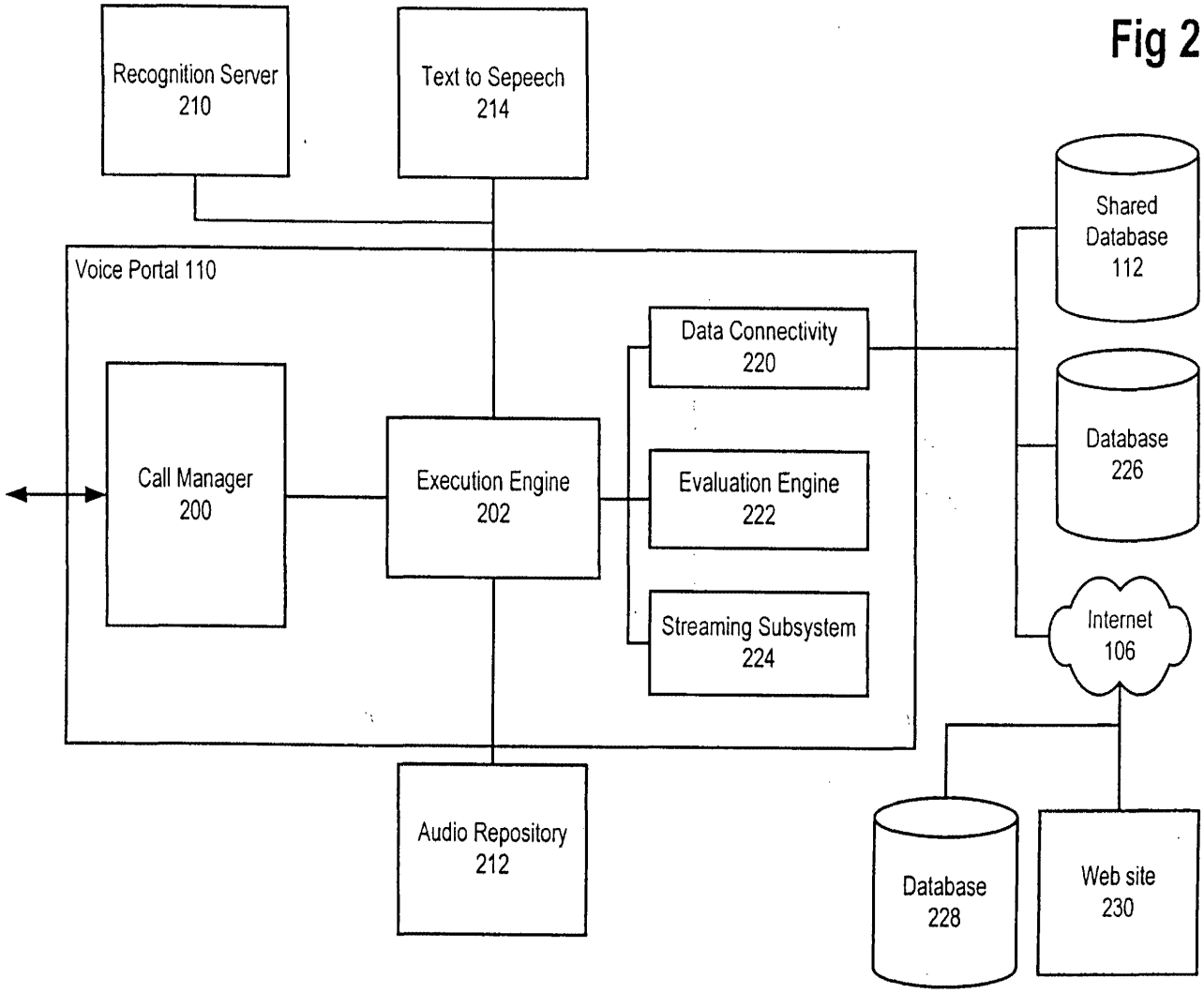

Cellular Telephone
101
Personalize content using personal profile
122
Telephone
100
Telephone Network
104
Telephone Gateway
107
Voice Portal
110
Telephone identifying information
114
Register user and/or build personal profile from actions
116
Shared Database
112
Retrieve personal profile using telephone identifying information
118
Computer
102
Internet
106
Web Server
108
Register user and/or build personal profile explicitly
120
Personalized Site
130

Fig 2


Recognition Server
210
Text to Sepeech
214
Shared
Database
112
Voice Portal 110
Data Connectivity
220
Database
226
Connection
to Telephone
Gateway 107
Call Manager
200
Execution Engine
202
Evaluation Engine
222
Streaming Subsystem
224
Internet
106
Audio Repository
212
Database
228
Web site
230

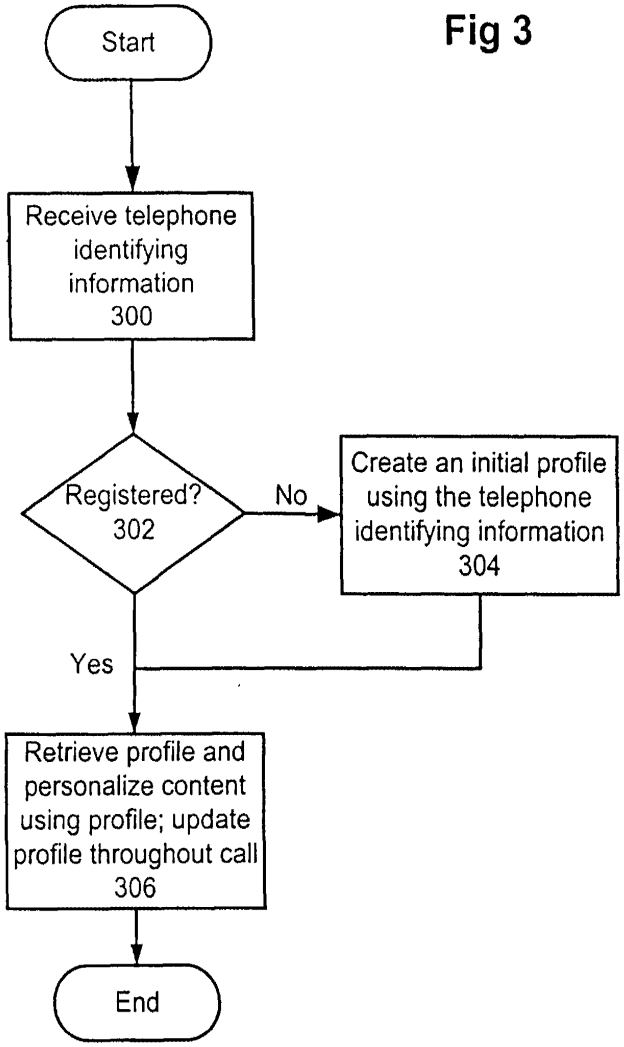

Start
Receive telephone identifying information 300
Registered? 302
No
Create an initial profile using the telephone identifying information 304
Yes
Retrieve profile and personalize content using profile; update profile throughout call 306
End

Fig 3

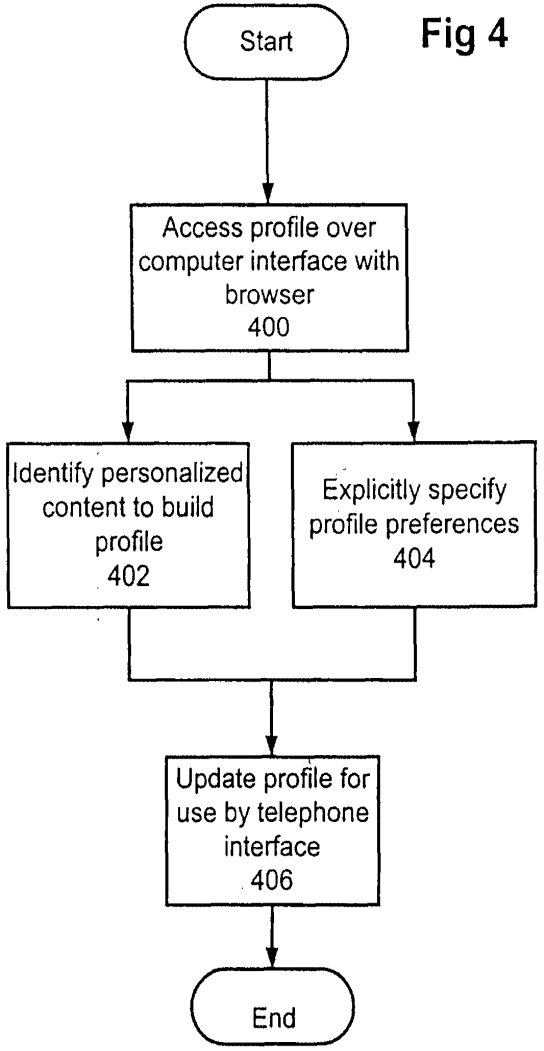
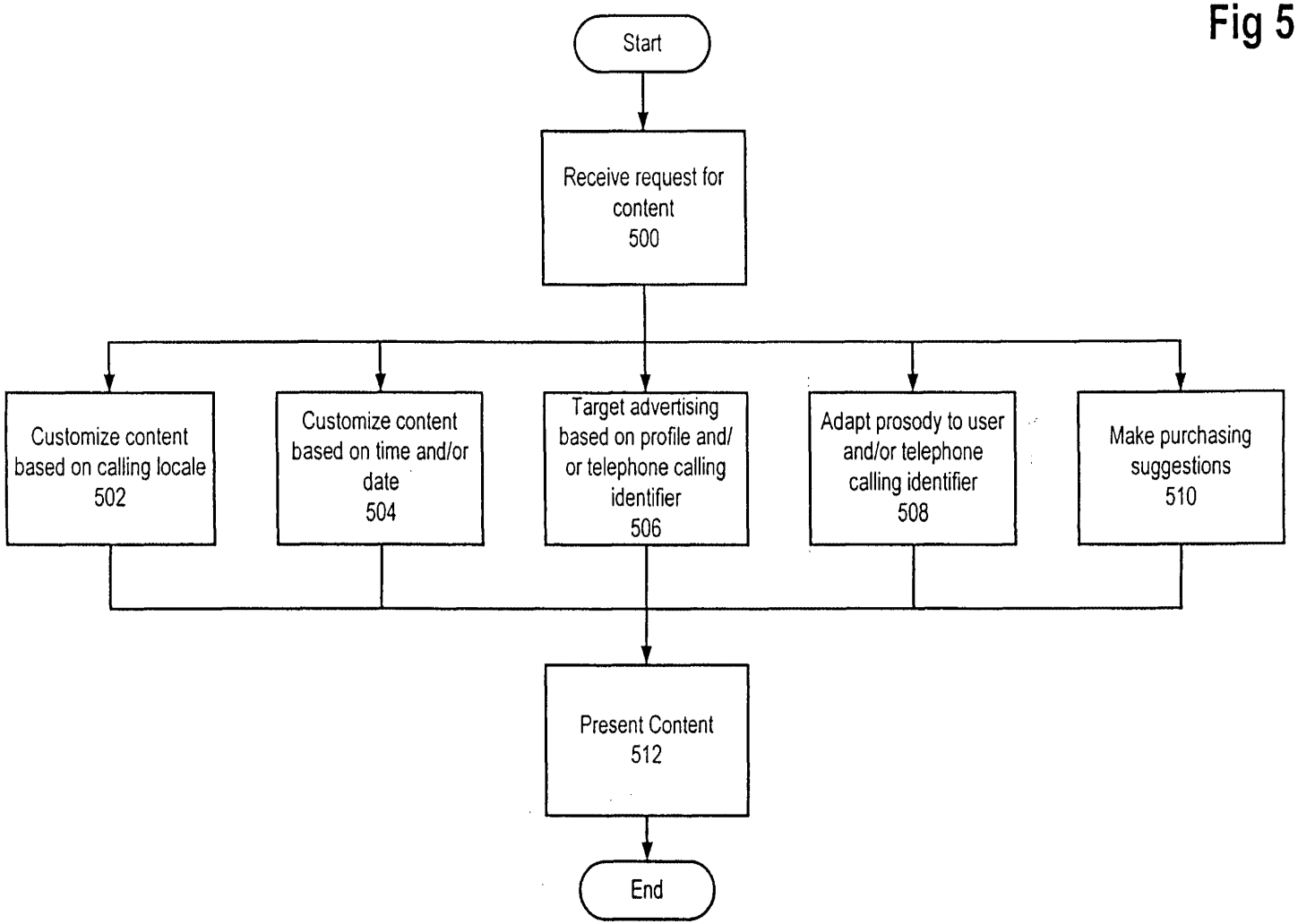

Start
Access profile over computer interface with browser 400
Identify personalized content to build profile 402
Explicitly specify profile preferences 404
Update profile for use by telephone interface 406
End

Fig 4

Fig 5



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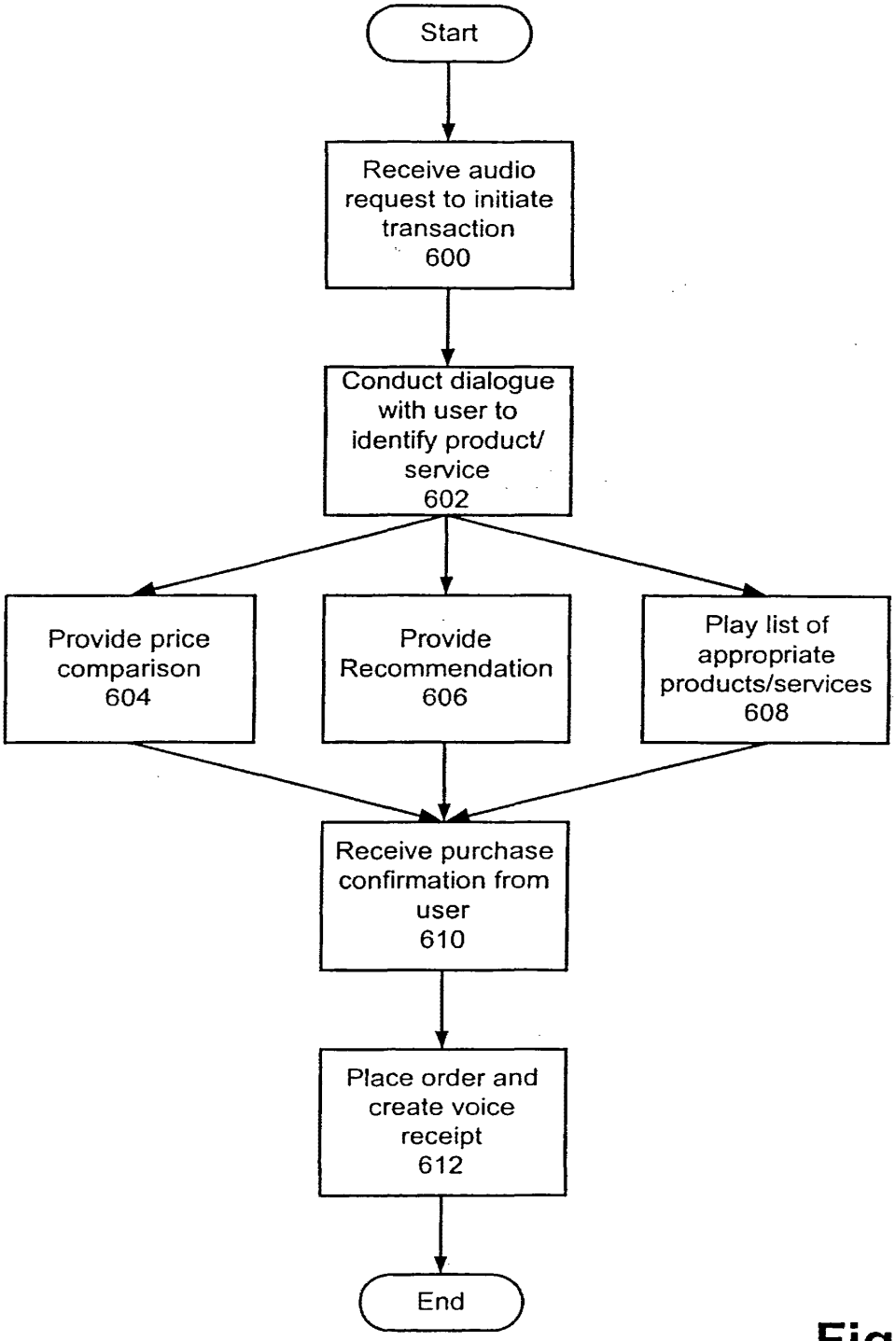


Fig 6

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CLAIMS

What is claimed is:

1. A method of providing an electronic commerce transaction from the Internet to a telephone using a computer system, the computer system including a telephone interface system coupled in communications with an Internet access system, the telephone interface system being coupled in communications with the telephone, the method comprising:

receiving an audio request over the telephone interface system, the audio request corresponding to a product for sale from a merchant, the merchant providing electronic commerce on the Internet using a second computer system;

responsive to the audio purchase request, performing the following

sending a first request to the second computer system over the Internet access system, the first request corresponding to a request for information about the product,

receiving a first response from the second computer system over the Internet access system, the first response corresponding to an information about the product,

providing an audio response over the telephone interface system, the audio response corresponding to the information, and

receiving an audio confirmation over the telephone interface system; and

responsive to the audio confirmation, performing the following

sending a second request to the second computer system over the Internet access system, the second request corresponding to a request to purchase or order the product from the merchant;

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receiving a second response from the second computer system over the Internet access system, the first response corresponding to a confirmation of the first request; and

providing a second audio response over the telephone interface system, the second audio response indicating completion of the electronic commerce transaction.

2. The method of claim 1, wherein the telephone interface system receives a telephone identifying information, the method further comprising:

accessing a user profile corresponding to the telephone identifying information, the user profile corresponding to information about a user; and

including information from the user profile in at least one of the first request and the second request.

3. The method of claim 2, further comprising:

providing a third audio request over the telephone interface system, the third audio request corresponding to a request for at least one of a name, an address, a credit card number, a credit card expiration date, an electronic mail address, and a telephone number;

receiving an audio information response over the telephone interface system, the audio information response corresponding to at least one of a name, an address, a credit card number, a credit card expiration date, an electronic mail address, and a telephone number; and

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including the corresponding at least one of a name, an address, a credit card number, a credit card expiration date, an electronic mail address, and a telephone number in the user profile.

4. The method of claim 1, further comprising responsive to the second response, generating a voice receipt, the voice receipt corresponding to information about the electronic commerce transaction.

5. The method of claim 4, wherein the voice receipt includes at least one of a name of the product, a description of the product, a name of the merchant, a contact information for the merchant, a price paid for the product, an order number, a confirmation number, and a status.

6. The method of claim 4, further comprising:

receiving an audio request, the audio request corresponding to a request to review the voice receipt; and

responsive to the audio request, providing a second audio response over the telephone interface, the second audio response corresponding to information from the voice receipt.

7. The method of claim 1, wherein the receiving the audio purchase request comprises receiving a verbal request for a product, performing voice recognition on the verbal request to determine the product.

8. The method of claim 1, wherein the receiving the audio purchase request comprises receiving a series of one or more touch tone signals and decoding the series of one or more touch tone signals to determine the product.

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9. The method of claim 1, wherein the receiving the audio purchase request comprises receiving a verbal request for a merchant, performing voice recognition on the verbal request to determine the merchant.

10. The method of claim 1, wherein the receiving the audio purchase request comprises receiving a series of one or more touch tone signals and decoding the series of one or more touch tone signals to determine the merchant.

11. The method of any one of the preceding claims wherein the audio request is a purchase request.

12. A computer system to provide an electronic commerce transaction from the Internet to a telephone, the computer system comprising:

an Internet interface including at least one program to access a second computer system using one or more of a SSL protocol, a HTTP, and a HTTPS;

a telephone interface to send and receive audio signals to and from the telephone and to receive a telephone identifying information corresponding to the telephone; and

a control subsystem to control the Internet interface and the telephone interface, the control subsystem including at least one program for

processing an audio request to purchase a product from a merchant, the merchant providing electronic commerce on the Internet using the second computer system, and

completing the electronic commerce transaction for the product with the merchant over the Internet interface responsive to an audio confirmation.

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13. The computer system of claim 12, wherein the at least one program in the control subsystem further for accessing a user profile corresponding to the telephone identifying information, the user profile corresponding to information about a user and wherein the completing further comprises providing at least a portion of the user profile to the merchant over the Internet interface.

14. The computer system of claim 12, wherein the at least one program in the control subsystem further for generating a voice receipt responsive to the completing, the voice receipt corresponding to information about the electronic commerce transaction.

15. A computer system performing an electronic commerce transaction over a telephone, the computer system receiving a telephone identifying information associated with the telephone, the electronic commerce transaction performed over the Internet, the computer system comprising:

means for receiving an audio request to initiate the electronic commerce transaction;

means for selecting a product from a merchant using an audio dialogue, the merchant providing electronic commerce on the Internet using a second computer system;

means for receiving audio confirmation of the electronic commerce transaction of the product; and

means for completing the electronic commerce transaction over the Internet with the second computer system.

16. The computer system of claim 15, wherein the means for completing further comprises:

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means for accessing a user profile corresponding to the telephone identifying information, the user profile corresponding to information about a user;

means for providing at least a portion of the user profile to the second computer system over the Internet to complete the electronic commerce transaction.

17. The computer system of claim 15, further comprising means for providing a voice receipt of the electronic commerce transaction, the voice receipt corresponding to a record of the electronic commerce transaction.

18. The computer system of claim 15, wherein the means for selecting comprises:

means for comparing prices for the product at a plurality of merchants;

means for providing a list of a predetermined number of merchants from the plurality of merchants over the telephone, the predetermined number of merchants offering the product at a lower price than other merchants in the plurality of merchants; and

means for receiving an audio selection of one of the merchants in the list, the selection corresponding to the merchant.

19. A method of ordering an item over a telephone, the telephone coupled to a computer system by a telephone interface, the computer system supporting access to an Internet for completing commerce transactions, the method comprising:

presenting information about the item in audio format over the telephone interface using the computer system; and

responsive to a single audio response received by the computer system over the telephone interface:

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retrieving telephone identifying information associated with the telephone to identify a profile associated with the purchaser; and

sending a request to order the item, the request including information from the profile about the purchaser to a second computer system on the Internet, the second computer system operated by a merchant selling the item.

20. The method of claim 19, wherein the request is sent to the second computer system over the Internet using a secure hypertext transfer protocol (HTTPS) and the request includes a payment identifier from the user profile.

21. The method of claim 2 or 19, wherein the profile includes at least one of a name, an address, a credit card number, a credit card expiration date, an electronic mail address, and a telephone number.

22. The method of claim 2 or 19, wherein the profile includes information obtained from a reverse directory lookup on the telephone identifying information.

23. The method of claim 2 or 19, wherein the second computer system includes a web server providing an HTML order form, and wherein the request to order the item comprises HTML form data corresponding to information from the profile.

24. The method of claim 2 or 19, wherein the second computer system includes a web server supporting an HTTP protocol, and wherein the request to order the item comprises data corresponding to information from the profile sent using the HTTP protocol.

25. The method of claim 1 or 19, wherein computer system communicates with the second computer system over the Internet using one or more of a secure sockets layer

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Page 323

(SSL) protocol, a hypertext transfer protocol (HTTP), and a secure hypertext transfer protocol (HTTPS).

26. The method of claim 25, wherein the request to order the item includes at least one of hypertext markup language (HTML) data and extensible markup language (XML) data sent to the second computer system using HTTPS.

27. The method of claim 25, wherein the second computer system includes a web server providing an HTML order form, and wherein the request to order the item comprises HTML form data corresponding to an order for the product.

28. The method of claim 19, further comprising after the request to order the item, generating a voice receipt, the voice receipt corresponding to information about the order of the item.

29. The method of claim 28, wherein the voice receipt includes at least one of a name of the item, a description of the item, a name of the merchant, a contact information for the merchant, a price paid for the item, an order number, a confirmation number, and a status.

30. The method of claim 4 or 28, wherein the voice receipt includes a status, the status corresponding to information retrieved from the second computer system about the order of the item.

31. A method of completing a purchase of an item over a telephone, the telephone coupled to a first computer system by a telephone interface, the first computer system supporting access to an Internet, the method comprising:

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receiving a signal from a second computer system over the Internet, the signal corresponding to a request to place a telephone call to a user at a telephone number to complete the purchase of the item;

calling the user over the telephone at the telephone number using the telephone interface using the first computer system;

conducting an audio dialogue over the telephone interface with the user using the first computer system to obtain at least one of a name, an address, a credit card number, a credit card expiration date, an electronic mail address, a telephone number, a confirmation of the purchase, and a password; and

completing the purchase of the item by sending a message to the second computer over the Internet, the message including at least a portion of personal identifying information obtained in the audio dialogue.

32. The method of claim 31, wherein the conducting the audio dialogue comprises:

identifying a user profile associated with the telephone number;

making an audio request, the audio request corresponding to a request for a password from the user;

receiving an audio response, the audio response corresponding to a password from the user; and

wherein the completing occurs responsive to verification of the password provided by the user against the password in the user profile.

33. A method of completing a purchase from a list over a telephone, the telephone coupled to a first computer system by a telephone interface, the telephone supplying telephone identifying information to the first computer system over the telephone

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interface, the first computer system supporting access to an Internet, the list including a plurality of items, the method comprising:

identifying a user profile associated with the telephone identifying information;

using the computer to present each of the plurality of items in the list over the telephone interface; and

responsive to an audio response, completing a purchase of a most recently presented item on a second computer system coupled in communication with the first computer system over the Internet using the user profile.

34. The method of claim 33, wherein a pause of a predetermined amount of time is inserted between the presentation of each item.

35. A method of storing information received over a telephone interface in a data storage coupled to a computer, the telephone coupled to the computer by a telephone interface, the method comprising:

using the computer to prompt a user for information over the telephone interface;

receiving an audio signal over the telephone interface;

sending the audio signal from the computer to an audio interface, the audio interface for presenting the audio signal to a human;

receiving a data signal on the computer, the data signal corresponding to a speech recognition result for the audio signal by a human; and

responsive to receiving the data signal, updating the data storage to include the speech recognition result.

36. The method of claim 35, wherein the speech recognition result indicates that the human could not process the audio signal, the method further comprising repeating the

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method until the speech recognition result no longer indicates that the human could not process the audio signal.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2656
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(d), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(c) and on or before payment of the issue fee.

CERTIFICATION STATEMENT

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

FEE

This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(d). Therefore, this Information Disclosure Statement is subject to the $240 (large entity) fee set forth in 37 CFR 1.17(p).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Timothy P. Cremen /	**Date**	2020-06-15
Name	Timothy P. Cremen	**Registration Number**	50,855

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PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2657
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20040199387		2004-10-07	WANG AVERY LI-CHUN	
	2	20080010135		2008-01-10	SCHROCK JEFF	
	3	20100076778		2010-03-25	KONDRK ROBERT H	

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

FOREIGN PATENT DOCUMENTS Remove

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

NON-PATENT LITERATURE DOCUMENTS [Remove]

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

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

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2020-03-12
Name/Print	Mark A. Patrick	Registration Number	72,958

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Mark Andrew Patrick/Susan Trader
Attorney Docket Number:	62KC-287092

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:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
SUBMISSION- INFORMATION DISCLOSURE STMT	1806	1	240	240
		Total in USD ($)		**240**

Electronic Acknowledgement Receipt	
EFS ID:	38846239
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	12-MAR-2020
Filing Date:	19-NOV-2018
Time Stamp:	13:24:31
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$240
RAM confirmation Number	E20203BD25221264
Deposit Account	504561
Authorized User	Susan Trader
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: 37 CFR 1.16 (National application filing, search, and examination fees) 37 CFR 1.17 (Patent application and reexamination processing fees)	

37 CFR 1.19 (Document supply fees)

37 CFR 1.20 (Post Issuance fees)

37 CFR 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	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	498600 6a7bf8a91e01cd06a2648a905758a2f4cafa3d83	no	1
Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053159 a1cae231015aab40419511d816bbd836a8cb23af	no	4
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30635 736561b723681af80f0b4b56e8e58235dbab5a13	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	1582394		

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

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In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(d), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(c) and on or before payment of the issue fee.

CERTIFICATION STATEMENT

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FEE

This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(d). Therefore, this Information Disclosure Statement is subject to the $240 (large entity) fee set forth in 37 CFR 1.17(p).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Mark A. Patrick /	**Date**	2020-03-12
Name	Mark A. Patrick	**Registration Number**	72,958

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United States Patent and Trademark Office
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www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

133759 7590 01/21/2020

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	

ART UNIT	PAPER NUMBER
2657	

NOTIFICATION DATE	DELIVERY MODE
01/21/2020	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

Office Action Summary	Application No. 16/194,944	Applicant(s) FREEMAN et al.	
	Examiner BRIAN L ALBERTALLI	Art Unit 2657	AIA (FITF) Status Yes

-- 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 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

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

Status

1)☑ Responsive to communication(s) filed on 22 November 2019.

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

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

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

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

Disposition of Claims*

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

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

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 1-20 is/are rejected.

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

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

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

Application Papers

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

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

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

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

Priority under 35 U.S.C. § 119

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

Certified copies:

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

Attachment(s)

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

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

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

4) ☐ Other: _____.

Notice of Pre-AIA or AIA Status

The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

Response to Arguments

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

Claim Rejections - 35 USC § 112

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

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

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

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

Claims 7 and 17 are rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor or a joint inventor, or for pre-AIA the inventor(s), at the time the application was filed, had possession of the claimed invention.

Claims 7 and 17 are directed to "domain agents" and require that the domain agents comprise "an electronic commerce agent configured to select the purchase opportunity related to its domain". The only description of "domain agents" in the specification as filed occurs in paragraph [017], which describes a conversational language processor 120 using a context determination module 130 to establish a context for a current utterance "by having domain agents 135 competitively generate a context-based interpretation of the utterance". Further, the specification indicates that "agents 135 may model various domains… and *conversational language processor 120 may interpret and/or respond* to a voice-based input accordingly" (emphasis added). Thus, the only functionality provided by "domain agents" described in the filed specification is providing contextual interpretations to the conversational language processor 120. The conversational language processor 120 then utilizes this information to interpret and/or respond to the voice-based input. That is, *conversational language processor 120* determines the response, which may be a purchase opportunity. There is nothing in the specification to suggest to one of ordinary skill in the art, however, that any of the "domain agents" are configured to select the purchase opportunity. Nor is there any suggestion that the inventor possessed a *particular* domain agent (an "electronic commerce agent") that was specifically configured to select the purchase opportunity related to its domain. For these reasons, claims 7 and 17 fail to meet the written description requirement.

The following is a quotation of 35 U.S.C. 112(b):
(b) CONCLUSION.—The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the inventor or a joint inventor regards as the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:
The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-20 are rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention.

Claim 1 recites the limitation "the advertisement" in line 31 of the claim. There is insufficient antecedent basis for this limitation in the claim. Dependent claims 2-10 are rejected for their dependence on claim 1.

Claim 11 recites the limitation "the advertisement" in line 18 of the claim. There is insufficient antecedent basis for this limitation in the claim. Dependent claims 12-20 are rejected for their dependence on claim 11.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (a)(1) the claimed invention was patented, described in a printed publication, or in public use, on sale or otherwise available to the public before the effective filing date of the claimed invention.

Claim(s) 1-2, 4-5, 9-12, 14-15, and 19-20 is/are rejected under 35 U.S.C. 102(a)(1) as being anticipated by Levin (U.S. Patent Application Pub. No. 2003/0061039).

In regard to claim 1, Levin discloses a method for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon (Fig. 2), the method being implemented by one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method (speech recognition processor 24, query processing 23, etc., paragraph [0037]), comprising:

providing, by the one or more processors, a natural language utterance as input to a speech recognition engine (digital signaling and speech processing resource 23 provides spoken voice responses to speech recognition 24, paragraph [0037]);

receiving, by the one or more processors, words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine (query processing 25 receives the utterances translated from speech to text, paragraph [0038]);

determining, by the one or more processors, a context for the natural language utterance based on the recognized words or phrases (the system determines contextual information related to how the user wants to search the database, e.g. by program name, actors, directors, etc., paragraphs [0050-0054]);

selecting, by the one or more processors, a purchase opportunity based on the determined context (programming that may be purchased by the user is selected based on the user's query, paragraph [0066]);

delivering, by the one or more processors, the selected purchase opportunity via an electronic communication with the one or more processors (the user is offered, via the natural language dialog system, the opportunity to purchase a program, paragraph [0066]);

tracking, by the one or more processors, an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the advertisement (after offering the user the opportunity to purchase the programming, a natural language dialog interacts with the user to complete the purchase of the

programming, paragraph [0067]; wherein a monitoring/logging system 32 tracks user requests to purchase products, paragraph [0044]);

building or updating, by the one or more processors, a user-specific profile based on the tracked interaction pattern (a user profile database 27 is maintained containing information about a particular user, paragraph [0040]); and

interpreting, by the one or more processors, a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance (for example, a user's credit card information may be stored in a first dialog, so that in a later dialog, the command "charge that to my VISA card" is interpreted so that the stored credit card information is used to complete the purchase, paragraph [0067]).

In regard to claim 2, Levin discloses the purchase opportunity relates to an item (programming, paragraph [0066], the method further comprising:

receiving, by the one or more processors, a second natural language utterance (in response to a query, the user is offered the opportunity to purchase the programming, paragraph [0066]);

determining, by the one or more processors, that the second natural language utterance comprises a request to purchase the item (the user responds positively to the natural language dialog to purchase the programming, paragraph [0067]; and

completing, by the one or more processors, a purchase transaction of the item based on the second natural language utterance (after payment is validated, the system transmits the program to the user, paragraph [0068]).

In regard to claim 4, Levin discloses delivering the selected purchase opportunity via the electronic device comprises:

audibly presenting, by the electronic device, a natural language conversational purchase opportunity (using a spoken natural language dialog, paragraphs [0037] and [0066-0067]).

In regard to claim 5, Levin discloses the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance (), the method further comprising:

providing, by the one or more processors, the words or phrases as an input to the conversational language processor (speech recognition 24 provides results to query processor 25, see Fig. 2 and paragraphs [0037-0038]); and

receiving, by the one or more processors, an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance (a natural language dialog is conducted between the user and the system, paragraph [0050]; and utilized to select the program purchase opportunity, paragraph [0066]).

In regard to claim 9, Levin discloses using, by the one or more processors, an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information (the user's location is determined to aid the natural language dialog, paragraphs [0056-0057]).

In regard to claim 10, Leven discloses the environmental information comprises a user location, a user activity, or a user action (user location, paragraph [0056]).

In regard to claim 11, Levin discloses system for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon (Fig. 2), the system comprising:

one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method (speech recognition processor 24, query processing 23, etc., paragraph [0037]), comprising:

provide a natural language utterance as input to a speech recognition engine (digital signaling and speech processing resource 23 provides spoken voice responses to speech recognition 24, paragraph [0037]);

receive words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine (query processing 25 receives the utterances translated from speech to text, paragraph [0038]);

determine a context for the natural language utterance based on the recognized words or phrases (the system determines contextual information related to how the user wants to search the database, e.g. by program name, actors, directors, etc., paragraphs [0050-0054]);

select a purchase opportunity based on the determined context (programming that may be purchased by the user is selected based on the user's query, paragraph [0066]);

deliver the selected purchase opportunity via an electronic communication with the one or more processors (the user is offered, via the natural language dialog system, the opportunity to purchase a program, paragraph [0066]);

track an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with

the purchase opportunity includes the electronic device completing a transaction related to the advertisement (after offering the user the opportunity to purchase the programming, a natural language dialog interacts with the user to complete the purchase of the programming, paragraph [0067]; wherein a monitoring/logging system 32 tracks user requests to purchase products, paragraph [0044]);

build or update a user-specific profile based on the tracked interaction pattern (a user profile database 27 is maintained containing information about a particular user, paragraph [0040]); and

interpret a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance (for example, a user's credit card information may be stored in a first dialog, so that in a later dialog, the command "charge that to my VISA card" is interpreted so that the stored credit card information is used to complete the purchase, paragraph [0067]).

In regard to claim 12, Levin discloses the purchase opportunity relates to an item (programming, paragraph [0066], and wherein the one or more processors are further programmed to:

receive a second natural language utterance (in response to a query, the user is offered the opportunity to purchase the programming, paragraph [0066]);

determine that the second natural language utterance comprises a request to purchase the item (the user responds positively to the natural language dialog to purchase the programming, paragraph [0067]; and

complete a purchase transaction of the item based on the second natural language utterance (after payment is validated, the system transmits the program to the user, paragraph [0068]).

In regard to claim 14, Levin discloses to deliver the selected purchase opportunity, the electronic device is configured to:

audibly present a natural language conversational purchase opportunity (using a spoken natural language dialog, paragraphs [0037] and [0066-0067]).

In regard to claim 15, Levin discloses the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, wherein the one or more processors are further programmed to:

provide the words or phrases as an input to the conversational language processor (speech recognition 24 provides results to query processor 25, see Fig. 2 and paragraphs [0037-0038]); and

receive an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance (a natural language dialog is conducted between the user and the system, paragraph [0050]; and utilized to select the program purchase opportunity, paragraph [0066]).

In regard to claim 19, Levin discloses to use an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information (the user's location is determined to aid the natural language dialog, paragraphs [0056-0057]).

In regard to claim 20, Leven discloses the environmental information comprises a user location, a user activity, or a user action (user location, paragraph [0056]).

Claim Rejections - 35 USC § 103

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

> A patent for a claimed invention may not be obtained, notwithstanding that the claimed invention is not identically disclosed as set forth in section 102, if the differences between the claimed invention and the prior art are such that the claimed invention as a whole would have been obvious before the effective filing date of the claimed invention to a person having ordinary skill in the art to which the claimed invention pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim(s) 8 and 18 is/are rejected under 35 U.S.C. 103 as being unpatentable over Levin, in view of Pannier et al. (French Patent Application FR 2867583, hereinafter "Pannier").

In regard to claim 8, Levin does not disclose recognizing the words or phrases from the natural language utterance comprises using, by the speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

Pannier discloses a method for recognizing words or phrases from a natural language utterance comprises:

using, by a speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes (vocalized user expressions are recognized by determining an expression that most phonetically matches the dictated expression, see Abstract).

It would have been obvious to one of ordinary skill in the art prior to the effective filing date of the claimed invention to utilize phonetic dictation to recognize a stream of phonemes in the natural language utterance, because this prevents the utterance from being recognized incorrectly, as suggested by Pannier (see Abstract).

Conclusion

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 BRIAN LOUIS ALBERTALLI whose telephone number is (571)272-7616. The examiner can normally be reached on M-F 8:30-6:00.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Daniel Washburn can be reached on 571-272-5551. 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 https://ppair-my.uspto.gov/pair/PrivatePair. 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.

BLA 1/16/20

/BRIAN L ALBERTALLI/
Primary Examiner, Art Unit 2657

Notice of References Cited	Application/Control No. 16/194,944	Applicant(s)/Patent Under Reexamination FREEMAN et al.	
	Examiner BRIAN L ALBERTALLI	Art Unit 2657	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
*	A	US-20070174258-A1	07-2007	Jones; Scott A.	G06Q30/02	1/1
	B					
	C					
	D					
	E					
	F					
	G					
	H					
	I					
	J					
	K					
	L					
	M					

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	CPC Classification
	N	FR-2867583-A1	09-2005	FR	PANNIER DOMINIQUE FRANCOIS RO	G10L15/26
	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.

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2657

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

CLAIMS

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

CLAIM		DATE								
Final	Original	08/19/2019	01/14/2020							
	1	✓	✓							
	2		✓							
	3		✓							
	4		✓							
	5		✓							
	6		✓							
	7		✓							
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	16		✓							
	17		✓							
	18		✓							
	19		✓							
	20		✓							

Amazon/VB Assets
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Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2657

CPC - Searched*		
Symbol	**Date**	**Examiner**
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA

CPC Combination Sets - Searched*		
Symbol	**Date**	**Examiner**

US Classification - Searched*			
Class	**Subclass**	**Date**	**Examiner**

* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

Search Notes		
Search Notes	**Date**	**Examiner**
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA
EAST Search	08/19/2019	BLA
Updated EAST Search	01/14/2020	BLA

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Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2657

Interference Search			
US Class/CPC Symbol	US Subclass/CPC Group	Date	Examiner

Amazon/VB Assets
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Page 355

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6076057		2000-06-13	NARAYANAN SHRIKANTH SAMBASIVAN	

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

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1		

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EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	01/16/2020

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

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

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-11-25
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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

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

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

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

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

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

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

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

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

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.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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	Attorney Docket Number	62KC-287092

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	1	101236635A	CN		2008-08-06	IBM		X

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	01/16/2020

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CERTIFICATION STATEMENT

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

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

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See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-11-25
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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

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

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

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

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	1	5898760		1999-04-27	SMETS RAYMOND J	
	2	8972354		2015-03-03	TELANG NILESH	

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	1	20010011336		2001-08-02	SITKA LARRY R	
	2	20050080821		2005-04-14	BREIL PETER D	
	3	20050138168		2005-06-23	HOFFMAN PHILIP M	
	4	20170004588		2017-01-05	ISAACSON THOMAS M	

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EAST Search History

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Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S17	55	(704/$.ccls. or G10L$/$.cpc.) and (ad or ads or advertis$10).ti. and (clickthrough$5 or (click$5 near2 through$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:14
S19	464620	G06Q30/$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:28
S18	0	G06Q/30$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:28
S21	2739	S20 and track$5.clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:29
S20	31109	S19 and ((speech$5 or voice$5) near2 (recogni$10 or text$5))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:29
S23	121	S20 and (track$5 with profile$5).clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:30
S22	2139	S20 and track$5 with profile$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/07 17:30
S24	2	"20050261907"	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/09 16:03
S27	102	(track$5 with purchas$5).clm. and (speech$5 or voice$5).clm.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/13 08:15
S26	23	(G10L$/$.cpc. or 704/$.ccls.) and (purchas$5 with ringtone$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/13 08:15

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S28	32	(S26 or S27) and (natural$5 near2 language$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/13 08:24
S29	8	(track$5 with purchas$5).clm. and (G10L$/$.cpc. or 704/$.ccls.)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/13 13:00
S31	102	S30 and (natural$5 near2 language$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/13 13:01
S30	571	(track$5 with purchas$5) and (G10L$/$.cpc. or 704/$.ccls.)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/13 13:01
L1	492	purchas$5 with (natural near2 language$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/14 13:27
L2	58	(purchas$5 with (natural near2 language$5)).ab.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/14 13:28
L3	121	(G10L$/$.cpc. or 704/$.ccls.) and (phonetic$5 near2 dictat$5)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2020/01/14 13:55

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(19) RÉPUBLIQUE FRANÇAISE

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DE LA PROPRIÉTÉ INDUSTRIELLE

PARIS

(11) **N° de publication :** **2 867 583**
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(21) **N° d'enregistrement national :** **04 02650**

(51) Int Cl[7] : **G 06 F 17/27**, G 10 L 13/08 // G 09 B 19/04

(12) DEMANDE DE BREVET D'INVENTION A1

(22) **Date de dépôt :** 15.03.04.

(30) **Priorité :**

(43) **Date de mise à la disposition du public de la demande :** 16.09.05 Bulletin 05/37.

(56) **Liste des documents cités dans le rapport de recherche préliminaire :** *Se reporter à la fin du présent fascicule*

(60) **Références à d'autres documents nationaux apparentés :**

(71) **Demandeur(s) :** *VESSIERE GILLES RENE* — FR, *BROBECK MARIE LOUISE ep. ZINGLE* — FR et *PANNIER DOMINIQUE FRANCOIS ROGER* — FR.

(72) **Inventeur(s) :** VESSIERE GILLES RENE, BROBECK MARIE LOUISE ep. ZINGLE et PANNIER DOMINIQUE FRANCOIS ROGER.

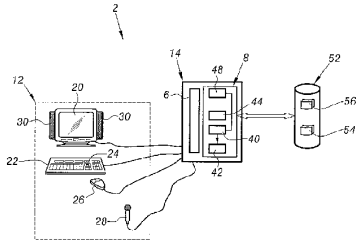
(73) **Titulaire(s) :**

(74) **Mandataire(s) :** CABINET LAVOIX AUVERGNE.

(54) CORRECTEUR SEMANTIQUE, SYNTAXIQUE ET/OU LEXICAL ET PROCEDE D'INTERACTION VOCALE, SUPPORT D'ENREGISTREMENT ET PROGRAMME D'ORDINATEUR POUR SA MISE EN OEUVRE.

(57) Ce correcteur sémantique, syntaxique et/ou lexical électronique est adapté aux personnes dyslexiques ou dysorthographiques pour faciliter la correction syntaxique et/ou lexicale d'une expression erronée dans un texte numérique. Ce correcteur comporte:

- un module (42) d'établissement d'expressions apte à établir automatiquement une liste d'au moins deux expressions correctes propres chacune à remplacer l'expression erronée, et
- un module (44) d'interaction vocale pour sélectionner dans cette liste l'expression correcte destinée à remplacer l'expression erronée dans le texte numérique.



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L'invention concerne un correcteur sémantique, syntaxique et/ou lexical, un procédé d'interaction vocale, un support d'enregistrement et un programme d'ordinateur pour sa mise en œuvre.

Plus précisément, l'invention concerne un correcteur comportant un module d'établissement d'expressions apte à établir automatiquement une liste d'au moins deux expressions correctes propres chacune à remplacer l'expression erronée, cette liste étant établie à partir de l'expression erronée et à l'aide d'une base préétablie de règles de corrections.

Ici, le terme « expression » sera utilisé pour désigner aussi bien un mot, un groupe de mots dans une phrase ou une phrase entière.

Il existe aujourd'hui de nombreux correcteurs syntaxiques et/ou lexicaux associés à différents logiciels de traitement de textes existant. L'un des plus connu de ces correcteurs est, par exemple, celui utilisé dans le traitement de texte Word de Microsoft®.

Typiquement, ces correcteurs détectent automatiquement une expression erronée, la soulignent et affichent une liste d'expressions susceptibles d'être utilisées pour corriger l'expression erronée. L'utilisateur doit alors cliquer sur l'une de ces expressions dans la liste pour la sélectionner. L'expression sélectionnée est ensuite utilisée pour corriger l'expression erronée.

Ces correcteurs sont pratiques et adaptés pour la plupart des utilisateurs. Toutefois, de tels correcteurs ne sont pas faciles à utiliser pour une personne dyslexique ou dysorthographique. En effet, ces personnes ont souvent des difficultés pour lire les expressions d'une liste d'expressions de sorte qu'il leur est difficile de sélectionner dans la liste d'expressions proposées l'expression correcte à utiliser pour corriger l'expression erronée. Il n'existe donc pas aujourd'hui de correcteur adapté aux personnes dyslexiques pour les assister à corriger un texte.

L'invention vise à remédier à cette lacune en proposant un correcteur sémantique, syntaxique et/ou lexical adapté aux personnes dyslexiques ou dysorthographiques pour les aider dans la correction sémantique, syntaxique et/ou lexicale d'une expression erronée dans un texte numérique.

L'invention a donc pour objet un correcteur sémantique, syntaxique et/ou lexical caractérisé en ce qu'il comporte un module d'interaction vocale pour sélectionner dans cette liste l'expression correcte destinée à remplacer l'expression erronée dans le texte numérique.

Contrairement aux correcteurs connus, celui-ci fait appel à la voix pour sélectionner une expression dans la liste d'expressions susceptibles d'être utilisées pour corriger l'expression erronée. Ainsi, même une personne dyslexique ou dysorthographique souffrant de troubles de la lecture peut sélectionner correctement et facilement dans la liste l'expression qui doit remplacer l'expression erronée.

Suivant d'autres caractéristiques supplémentaires prises seules ou en combinaison, ce correcteur conforme à l'invention se caractérise en ce que :

- le module d'interaction vocale est apte à :

  - acquérir une expression dictée par un utilisateur,

  - comparer l'expression dictée à chaque expression de ladite liste pour déterminer l'expression de cette liste ressemblant phonétiquement le plus à l'expression dictée, et

  - sélectionner automatiquement l'expression de la liste la plus ressemblante à l'expression dictée ;

  - à construire un premier modèle de parole pour chaque expression de ladite liste et un second modèle de parole pour l'expression dictée, et

  - à comparer l'expression dictée à chaque expression de ladite liste en comparant le second modèle de parole à chacun des premiers modèles de parole construits.

- il comporte :

  - un module de synthèse vocale propre à lire le texte numérique,

  - un module de sélection de l'expression du texte actuellement lue par le module de synthèse en réponse à un signal d'activation, et

  - un dispositif de génération dudit signal d'activation sous la commande d'un utilisateur, et

- en ce que le module d'établissement est apte à utiliser l'expression sélectionnée par le module de sélection en tant qu'expression erronée pour générer les expressions de ladite liste.

L'invention a également pour objet un procédé d'interaction vocale pour faciliter la correction sémantique, syntaxique et/ou lexicale d'une expression erronée dans un texte numérique, ce procédé comportant :

- une étape automatique d'établissement d'une liste limitée d'expressions correctes propres chacune à remplacer l'expression erronée, cette liste étant établie à partir de l'expression erronée et à l'aide d'une base préétablie de règles de corrections de manière à former un sous ensemble limité parmi l'ensemble des expressions possibles dans une langue donnée,

- une étape d'interaction vocale pour sélectionner dans cette liste l'expression correcte destinée à remplacer l'expression erronée dans le texte numérique, cette étape comportant les opérations consistant à :

- acquérir une expression dictée par un utilisateur,

- comparer l'expression dictée à chaque expression de ladite liste pour déterminer l'expression de cette liste ressemblant le plus à l'expression dictée, et

- sélectionner automatiquement l'expression de la liste la plus ressemblante à l'expression dictée.

L'invention a également pour objet un support d'enregistrement d'informations et un programme d'ordinateur, caractérisés en ce qu'ils comportent des instructions pour l'exécution d'un procédé conforme à l'invention, lorsque ces instructions sont exécutées par un calculateur électronique.

L'invention sera mieux comprise à la lecture de la description qui va suivre donnée uniquement à titre d'exemple et faite en se référant aux dessins sur lesquels :

- la figure 1 est une illustration schématique d'un système de correction syntaxique et lexical conforme à l'invention,

- la figure 2 est un organigramme d'un procédé pour faciliter la correction syntaxique et lexicale conforme à l'invention, et

- la figure 3 est un organigramme d'un autre mode de réalisation du procédé de la figure 2.

La figure 1 représente un système de correction sémantique, syntaxique et lexical désigné par la référence générale 2. Le système 2 est ici réalisé, à titre d'exemple, à partir d'un ordinateur conventionnel équipé d'un logiciel de traitement de texte conventionnel et d'un correcteur sémantique, syntaxique et lexical 8.

Le logiciel de traitement de texte 6 forme ici un exemple d'un moyen d'acquisition d'un texte numérique dactylographié complet à corriger. Ce texte complet est formé d'une succession d'expressions.

L'ordinateur comporte une interface homme/machine 12 associée à une unité centrale 14.

L'interface homme/machine 12 comporte, par exemple :

- un écran vidéo 20,
- un clavier 22 équipé d'une touche 24 d'activation d'un module de sélection du correcteur 8,
- un dispositif de pointage 26, tel que, par exemple, une souris,
- des moyens d'acquisition d'un signal acoustique prononcé ou dicté par un utilisateur, tel que, par exemple, un microphone 28, et
- au moins un haut-parleur 30.

L'unité centrale 14 est formée à partir d'un calculateur électronique programmable conventionnel apte à exécuter le logiciel 6 de traitement de texte.

Le correcteur 8 est apte à corriger des expressions erronées acquises à l'aide du logiciel 6. A cet effet il comporte :

- un module 40 de sélection d'une expression erronée en réponse à l'enfoncement de la touche 24,
- un module 42 d'établissement automatique d'une liste comportant plusieurs expressions susceptibles d'être utilisées pour corriger une expression erronée,
- un module 44 d'interaction vocale pour sélectionner dans cette liste l'expression à utiliser pour corriger l'expression erronée,

- un module 48 de synthèse vocale propre à transformer un texte et chaque expression dactylographiée numérique de ce texte en un signal acoustique restitué par l'intermédiaire des haut-parleurs 30 de manière à être intelligible par l'utilisateur.

De manière à convertir un signal acoustique en un texte dactylographié numérique et vice-versa, les modules 44 et 48 utilisent des techniques connues telles que celles décrites dans : Tubach J.P & al. (1989) « La parole et son traitement automatique », Masson. Paris. En particulier, la technique utilisée ici fait appel à des modèles de paroles conventionnels tels que ceux définis dans l'ouvrage précédent.

Une mémoire 52 est associée à l'unité centrale 14.

La mémoire 52 comporte une base 54 préétablie de règles de correction d'expressions erronées. Cette base 54 est destinée à être utilisée par le module 42 pour établir à partir d'une expression erronée la liste d'expressions susceptibles de corriger cette expression erronée.

La mémoire 52 comporte également une base 56 préétablie de règles de détection d'erreurs permettant au correcteur 8 de détecter automatiquement les expressions erronées présentes dans le texte acquis par le logiciel 6. Ici, les bases 54 et 56 sont chacune divisées en une première et une seconde parties. La première partie comporte des règles adaptées à tout type d'utilisateur. A l'inverse, la seconde partie comporte des règles spécialement établies pour un utilisateur donné. Ainsi, chaque seconde partie est associée à un identifiant de l'utilisateur du correcteur 8. A titre d'exemple, ces secondes parties comporteront des règles permettant de détecter et de corriger la substitution d'un mot correctement orthographié par un autre mot correctement orthographié. Par exemple, ici la base 56 comporte une règle de détection associée à un utilisateur α consistant à détecter le mot « lieu » et une règle de correction associée à ce même utilisateur dans la base 54 consistant à proposer le mot « lion » pour corriger le mot « lieu ».

Ici, le correcteur 8 est réalisé sous la forme d'un programme d'ordinateur exécutable par le calculateur électronique de l'unité centrale 14. A cet effet, la mémoire 52 comporte également des instructions pour l'exécution des procédés des figures 2 et 3.

Un premier mode de fonctionnement du système 2 va maintenant être décrit en regard du procédé de la figure 2 dans le cas particulier de l'utilisateur α.

Initialement, lors d'une étape 70 d'initialisation du correcteur 8, l'utilisateur α s'identifie auprès du correcteur 8. En fonction de l'utilisateur ainsi identifié, le correcteur 8 sélectionne lors de la même étape, les secondes parties des bases 54 et 56 correspondantes à utiliser.

Ensuite, l'utilisateur α saisit un texte à l'aide du clavier 22. Ce texte est acquis, lors d'une étape 72, par le logiciel 6 sous la forme d'un texte dactylographié numérique.

Une fois que le texte complet à corriger a été acquis par le logiciel 6, le module 48 commence à relire l'ensemble du texte acquis lors d'une étape 74.

Lorsque l'utilisateur entend une expression erronée, il enfonce la touche 24. En réponse à l'enfoncement de la touche 24, le module 40 sélectionne, lors d'une étape 76, l'expression actuellement lue par le module 48.

En réponse à cette sélection, le module 42 établit automatiquement, lors d'une étape 78, à partir de l'expression sélectionnée et à l'aide des règles de la base 54 une liste d'expressions susceptibles d'être utilisées pour corriger l'expression sélectionnée. Par exemple, si l'expression sélectionnée est : "le lieu est au zoo", la liste établie comporte l'expression "le lion est au zoo" ou "lion".

Ensuite, lors d'une étape 80, le module 44 d'interaction vocale construit pour chacune des expressions de la liste établie lors de l'étape 78 un modèle de parole.

Ensuite, lors d'une étape 82, le correcteur 8 présente à l'utilisateur l'expression qu'il a sélectionnée comme étant incorrecte. Par exemple, lors de cette étape 82, l'expression sélectionnée est mise en évidence sur l'écran 20 et, en parallèle, lue vocalement à l'aide du module 48.

Puis, lors d'une étape 84, la liste construite est présentée par le correcteur 8 à l'utilisateur. Lors de cette étape 84, cette liste est, par exemple, affichée sur l'écran 20 et, en parallèle, chaque expression de cette liste est lue et/ou épelée par le module 48.

A l'issue de cette étape 84, le correcteur 8 procède à une étape 90 d'interaction vocale pour sélectionner, dans la liste présentée, l'expression à utiliser pour corriger l'expression erronée. A cet effet, l'utilisateur est invité à dicter ou à prononcer dans le microphone 28 l'expression correcte. Le module 44 procède alors à une opération 92 d'acquisition du signal acoustique correspondant puis à une opération 94 de construction d'un modèle de parole pour l'expression dictée dans le microphone 28. Le modèle de parole ainsi construit lors de l'opération 94 est alors comparé, lors d'une opération 96, à chaque modèle de parole établi lors de l'étape 80. Cette comparaison est réalisée de manière à identifier quel est parmi les différents modèles de paroles construits lors de l'étape 80 celui qui ressemble le plus au modèle de parole construit lors de l'opération 94.

Enfin, lors d'une opération 98, le module 44 sélectionne automatiquement l'expression de la liste dont le modèle de parole est le plus ressemblant à celui construit lors de l'opération 94.

Dès lors, l'expression ainsi sélectionnée est utilisée par le correcteur 8, lors d'une étape 100, pour remplacer l'expression erronée.

Les étapes 76 à 100 sont alors réitérées pour l'expression suivante sélectionnée par l'utilisateur en tant qu'expression erronée.

Dans ce premier mode de fonctionnement, le correcteur 8 ne détecte pas lui-même les expressions erronées, ce travail étant réalisé par l'utilisateur lorsque celui-ci enfonce la touche 24.

Un second mode de fonctionnement du système 2 va maintenant être décrit en regard du procédé de la figure 3.

Dans la figure 3, contrairement au procédé de la figure 2, le correcteur 8 détecte lui-même les expressions erronées à l'aide de la base de règles 56 de sorte que dans ce mode de fonctionnement, l'utilisateur n'a plus besoin d'utiliser la touche 24 ni le module de sélection 40 associé à cette touche.

Sur l'organigramme de la figure 3, les étapes ou opérations qui sont identiques à celles de la figure 2 portent les mêmes références.

Le procédé de la figure 3 commence par les étapes 70 et 72. Ensuite, lors d'une étape 110, le correcteur sélectionne automatiquement une

expression erronée dans le texte acquis lors de l'étape 72. A cet effet, le correcteur utilise la base 56 de règles de détection d'expressions erronées et plus particulièrement la seconde partie de cette base spécifique à l'utilisateur α.

Ensuite, le correcteur 8 procède aux étapes 78, 80, 82, 84, 90 et 100 comme décrit en regard de la figure 2.

Le mode de fonctionnement de la figure 2 présente l'avantage d'être plus simple à réaliser. En effet détecter des expressions erronées de façon automatique est compliqué.

Le fait d'établir dans un premier temps une liste limitée d'expressions correctes possibles et ensuite de rechercher uniquement dans cette liste l'expression erronée dictée lors de l'opération 92 par l'utilisateur augmente considérablement la probabilité d'identifier correctement à l'aide d'une interaction vocale l'expression dictée par l'utilisateur. Le fonctionnement du correcteur s'en trouve donc amélioré. En effet, contrairement, par exemple, au cas où l'utilisateur utilise un logiciel de dictée vocale, l'expression dictée ici n'est pas comparée à l'ensemble des expressions possibles dans une langue donnée, mais simplement à un sous-ensemble limité de ces expressions possibles. Typiquement, la liste établie lors de l'étape 78 est limitée à 5, 10 ou 30 expressions au maximum.

Enfin, le fait de comparer lors de l'opération 96 des modèles de paroles entre eux accroît également l'efficacité de l'interaction vocale. Ici, contrairement aux procédés de reconnaissance vocale, on évite de transformer le signal acoustique acquis lors de l'opération 92 en une chaîne de caractères. Or, lors de cette opération de transformation en chaîne de caractères des erreurs risquent de se produire. On évite donc ainsi une source d'erreur et on augmente la probabilité de reconnaître correctement une expression dictée, ce qui rend plus performant le correcteur 8.

Le système 2 a été décrit ici dans le cas particulier où le module d'acquisition du texte à corriger est un logiciel de traitement de texte. En variante, d'autres logiciels aptes à éditer du texte peuvent être utilisés à sa place, tels que par exemple des logiciels de messagerie électronique ou de dictée vocale.

Le système a également été décrit dans le cas particulier où celui-ci est adapté pour mettre en œuvre les procédés des figures 2 et 3. En variante, le système 2 est adapté pour mettre en œuvre uniquement l'un des procédés des figures 2 et 3.

Le système a été décrit dans le cas particulier d'un correcteur sémantique, syntaxique et lexical. En variante, le correcteur est uniquement adapté pour corriger un ou plusieurs types d'erreurs choisis dans l'ensemble composé des erreurs sémantiques, syntaxiques ou lexicales.

REVENDICATIONS

1. Correcteur sémantique, syntaxique et/ou lexical électronique pour faciliter la correction sémantique et/ou syntaxique et/ou lexicale d'une expression erronée dans un texte numérique, ce correcteur comportant :

- un module (42) d'établissement d'expressions apte à établir automatiquement une liste d'au moins deux expressions correctes propres chacune à remplacer l'expression erronée, cette liste étant établie à partir de l'expression erronée et à l'aide d'une base préétablie de règles de corrections,

caractérisé en ce qu'il comporte

- un module (44) d'interaction vocale pour sélectionner dans cette liste l'expression correcte destinée à remplacer l'expression erronée dans le texte numérique.

2. Correcteur selon la revendication 1, caractérisé en ce que le module (44) d'interaction vocale est apte à :

- acquérir une expression dictée par un utilisateur,

- comparer l'expression dictée à chaque expression de ladite liste pour déterminer l'expression de cette liste ressemblant phonétiquement le plus à l'expression dictée, et

- sélectionner automatiquement l'expression de la liste la plus ressemblante à l'expression dictée.

3. Correcteur selon la revendication 2, caractérisé en ce que le module (44) d'interaction vocale est apte :

- à construire un premier modèle de parole pour chaque expression de ladite liste et un second modèle de parole pour l'expression dictée, et

- à comparer l'expression dictée à chaque expression de ladite liste en comparant le second modèle de parole à chacun des premiers modèles de parole construits.

4. Correcteur selon l'une quelconque des revendications précédentes, caractérisé en ce qu'il comporte :

- un module (48) de synthèse vocale propre à lire le texte numérique,

- un module (40) de sélection de l'expression du texte actuellement lue par le module de synthèse en réponse à un signal d'activation, et

- un dispositif (24) de génération dudit signal d'activation sous la commande d'un utilisateur, et

- en ce que le module (42) d'établissement est apte à utiliser l'expression sélectionnée par le module de sélection en tant qu'expression erronée pour générer les expressions de ladite liste.

5. Procédé d'interaction vocale pour faciliter la correction sémantique, syntaxique et/ou lexicale d'une expression erronée dans un texte numérique, ce procédé comportant :

- une étape (78) automatique d'établissement d'une liste limitée d'expressions correctes propres chacune à remplacer l'expression erronée, cette liste étant établie à partir de l'expression erronée et à l'aide d'une base préétablie de règles de corrections de manière à former un sous ensemble limité parmi l'ensemble des expressions possibles dans une langue donnée,

- une étape (90) d'interaction vocale pour sélectionner dans cette liste l'expression correcte destinée à remplacer l'expression erronée dans le texte numérique, cette étape comportant les opérations consistant à :

- acquérir (en 92) une expression dictée par un utilisateur,

- comparer (en 96) l'expression dictée à chaque expression de ladite liste pour déterminer l'expression de cette liste ressemblant phonétiquement le plus à l'expression dictée, et

- sélectionner (en 98) automatiquement l'expression de la liste la plus ressemblante à l'expression dictée.

6. Procédé selon la revendication 5, caractérisé en ce que l'étape d'interaction vocale comporte :

- une opération (80, 84) de construction d'un premier modèle de parole pour chaque expression de ladite liste et d'un second modèle de parole pour l'expression dictée, et

- en ce que l'opération (90) de comparaison est réalisée en comparant le second modèle de parole à chacun des premiers modèles de parole construits.

7. Procédé selon l'une quelconque des revendications 5 à 6, caractérisé en ce qu'il comporte :

- une étape (74) de synthèse vocale pour lire le texte numérique,

- une étape (76) de sélection de l'expression du texte actuellement lue par le module de synthèse en réponse à un signal d'activation, et

- une étape (76) de génération dudit signal d'activation sous la commande d'un utilisateur, et

- en ce que lors de l'étape d'établissement (78), l'expression sélectionnée lors de l'étape de sélection est utilisée en tant qu'expression erronée pour générer les expressions de ladite liste.

8. Support (52) d'enregistrement d'informations, caractérisé en ce qu'il comporte des instructions pour l'exécution d'un procédé d'interaction vocale conforme à l'une quelconque des revendications 5 à 7, lorsque ces instructions sont exécutées par un calculateur électronique.

9. Programme d'ordinateur, caractérisé en ce qu'il comporte des instructions pour l'exécution d'un procédé d'interaction vocale conforme à l'une quelconque des revendications 5 à 7, lorsque ledit programme est exécuté par un calculateur électronique.

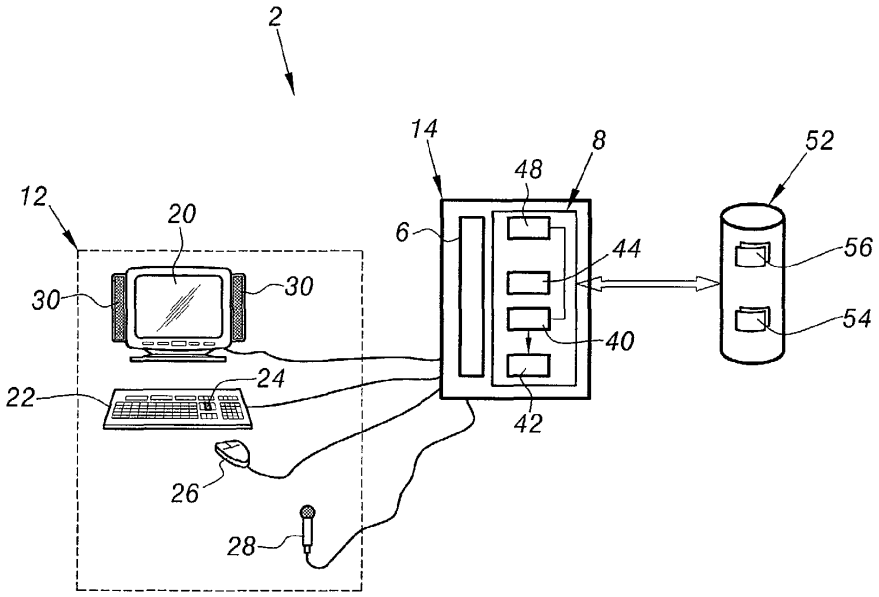


FIG.1

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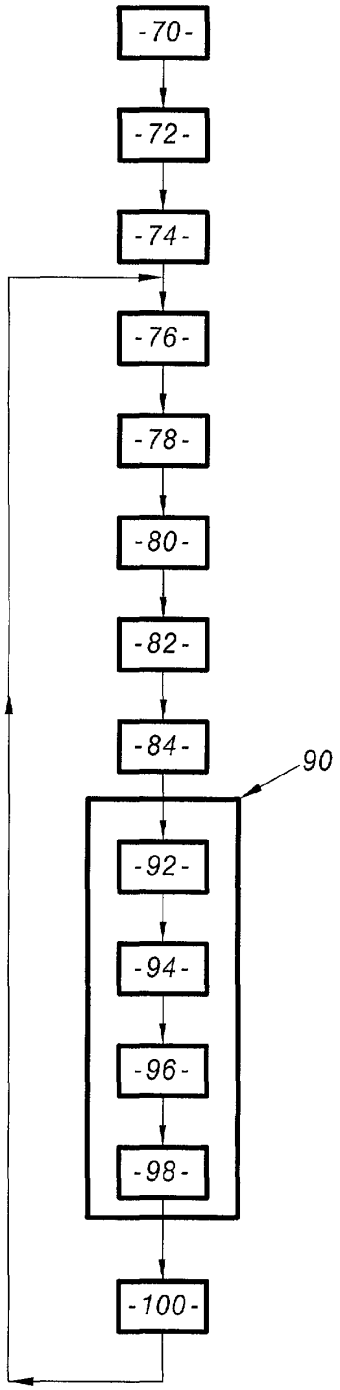

-70-
-72-
-74-
-76-
-78-
-80-
-82-
-84-
90
-92-
-94-
-96-
-98-
-100-

FIG. 2

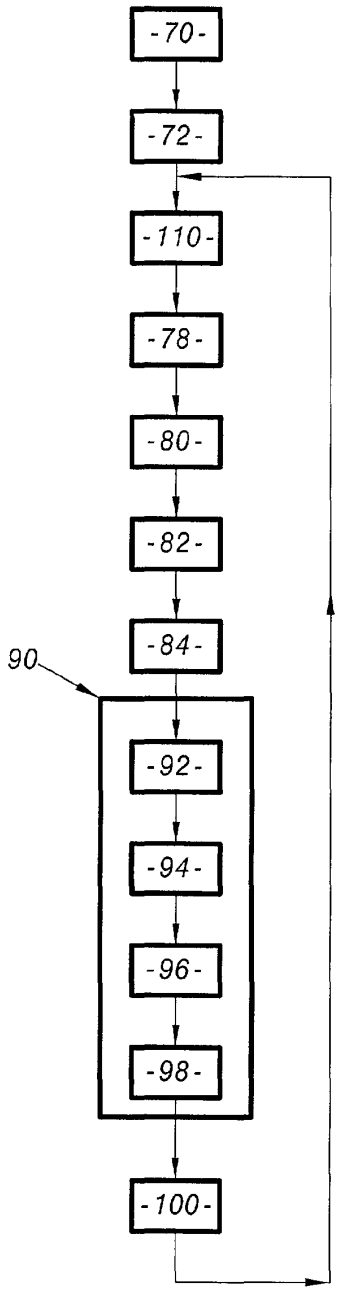

-70-
-72-
-110-
-78-
-80-
-82-
-84-
90
-92-
-94-
-96-
-98-
-100-

FIG. 3

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RAPPORT DE RECHERCHE PRÉLIMINAIRE

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DOCUMENTS CONSIDÉRÉS COMME PERTINENTS		Revendication(s) concernée(s)	Classement attribué à l'invention par l'INPI
Catégorie	Citation du document avec indication, en cas de besoin, des parties pertinentes		
Y	GREGOR P ET AL: "AN EMPIRICAL INVESTIGATION OF WAYS IN WHICH SOME OF THE PROBLEMS ENCOUNTERED BY SOME DYSLEXICS MABY BE ALLEVIATED USING COMPUTER TECHNIQUES" THE FOURTH INTERNATIONAL ACM CONFERENCE ON ASSISTIVE TECHNOLOGIES. ARLINGTON, VA, NOV. 13 - 15, 2000, INTERNATIONAL ACM CONFERENCE ON ASSISTIVE TECHNOLOGIES, NEW YORK, NY : ACM, US, vol. CONF. 4, 13 novembre 2000 (2000-11-13), pages 85-91, XP000994001 ISBN: 1-58113-314-8 * page 87, colonne de droite, alinéa 2 * * page 89, colonne de gauche, dernier alinéa * * page 89, colonne de droite, dernier alinéa - page 90, colonne de gauche, alinéa 1 *	1,2,5,8, 9	G06F17/27 G10L13/08
	-----		DOMAINES TECHNIQUES RECHERCHÉS (Int.CL.7)
Y	INTERNATIONAL BUSINESS MACHINES CORPORATION: "Voice-activated speller" RESEARCH DISCLOSURE, KENNETH MASON PUBLICATIONS, HAMPSHIRE, GB, vol. 441, no. 138, janvier 2001 (2001-01), XP007127527 ISSN: 0374-4353 * le document en entier *	1,2,5,8, 9	G06F
	----- -/--		

Date d'achèvement de la recherche	Examinateur
31 août 2004	Abram, R

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Catégorie	Citation du document avec indication, en cas de besoin, des parties pertinentes		
A	ANONYMOUS: "Audio Highlighting Tool for Proofreading Dictated Text" RESEARCH DISCLOSURE, KENNETH MASON PUBLICATIONS, HAMPSHIRE, GB, vol. 42, no. 418, 1 février 1999 (1999-02-01), page 1, XP002262763 ISSN: 0374-4353 * le document en entier *	1-9	
A	SIEGEL R P: "FUZZY LOGIC SPELLING CHECKER" XEROX DISCLOSURE JOURNAL, XEROX CORPORATION. STAMFORD, CONN, US, vol. 20, no. 3, 1 mai 1995 (1995-05-01), pages 289-290, XP000512647 * le document en entier *	1-9	
A	EP 1 321 926 A (DRAGON SYSTEMS INC) 25 juin 2003 (2003-06-25) * revendications 1-5 *	1-9	DOMAINES TECHNIQUES RECHERCHÉS (Int.CL.7)
A	US 2003/157968 A1 (BOMAN ET AL.) 21 août 2003 (2003-08-21) * alinéa [0025] - alinéa [0027] *	4,7	

Date d'achèvement de la recherche	Examinateur
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ANNEXE AU RAPPORT DE RECHERCHE PRÉLIMINAIRE RELATIF A LA DEMANDE DE BREVET FRANÇAIS NO. FR 0402650 FA 648933

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Document brevet cité au rapport de recherche	Date de publication	Membre(s) de la famille de brevet(s)	Date de publication
EP 1321926 A	25-06-2003	US 6064959 A	16-05-2000
		EP 1321926 A1	25-06-2003
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EPO FORM P0465

Pour tout renseignement concernant cette annexe : voir Journal Officiel de l'Office européen des brevets, No.12/82

PUB-NO: FR002867583A1
DOCUMENT-IDENTIFIER: FR 2867583 A1
TITLE: Semantic, syntax and lexical electronic proof reader for e.g. dyslexic person, has vocal interaction module to select expression matching most phonetically with dictated expression automatically and replace wrong expression in digital text
PUBN-DATE: September 16, 2005
PATENT-FAMILY-ID: 34896530

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FR 0402650 A	20040315

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IPCS	G10L13/08 20060101
IPCN	G10L15/02 20060101
IPCN	G09B19/04 20060101

REF-CITED:

PHASE-COUNTRY/NUMBER/KIND/DATE-NPL-INFO

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GREGOR P ET AL: "AN EMPIRICAL INVESTIGATION OF WAYS IN WHICH SOME OF THE PROBLEMS ENCOUNTERED BY SOME DYSLEXICS MABY BE ALLEVIATED USING COMPUTER TECHNIQUES", THE FOURTH INTERNATIONAL ACM CONFERENCE ON ASSISTIVE TECHNOLOGIES. ARLINGTON, VA, NOV. 13 - 15, 2000, INTERNATIONAL ACM CONFERENCE ON ASSISTIVE TECHNOLOGIES, NEW YORK, NY : ACM, US, vol. CONF. 4, 13 November 2000 (2000-11-13), pages 85 - 91, XP000994001, ISBN: 1-58113-314-8

ABSTRACT:

The reader has a vocal interaction module (44) that compares an expression dictated by a user with expressions of a correct expression list to determine an expression of the list which matches most phonetically with the dictated expression. The module selects the determined expression automatically from the list. The module replaces a wrong expression in a digital text. Independent claims are also included for the following: (A) a process for vocal interaction for facilitating semantic, syntax and/or lexical correction of a wrong expression in a digital text (B) an information storage medium comprising instructions for the execution of a vocal interaction process (C) a computer program comprising instructions for the execution of a vocal interaction process.

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DESCRIPTION FR2867583

The invention relates to a semantic, syntactic and / or lexical corrector,

a method of voice interaction, a recording medium and a computer program for its implementation.

More specifically, the invention relates to a corrector comprising an expression establishment module capable of automatically establishing a list of at least two correct expressions each suitable for replacing the erroneous expression, this list being established from the expression erroneous and using a pre-established base of correction rules.

Here, the term expression will be used to denote either a word, a group of words in a sentence or an entire sentence.

Today there are many syntax and / or lexical proofreaders associated with different existing word processing software. One of the best known of these correctors is, for example, the one used in Microsoft's Word word processor.

Typically, these correctors automatically detect a wrong expression, underline it and display a list of expressions that can be used to correct the wrong expression. The user must then click on one of these expressions in the list to select it. The selected expression is then used to correct the incorrect expression.

These correctors are practical and suitable for most users. However, such correctors are not easy to use for a dyslexic or dysorthographic person. Indeed, these people often have difficulty reading the expressions in a list of expressions so that it is difficult for them to select from the list of expressions proposed the correct expression to be used to correct the erroneous expression. There is therefore currently no corrector suitable for dyslexic people to assist them in correcting a text.

The invention aims to remedy this shortcoming by proposing a semantic, syntactic and / or lexical corrector adapted to dyslexic or dysorthographic people to help them in the semantic, syntactic and / or lexical correction of an incorrect expression in a digital text.

The subject of the invention is therefore a semantic, syntactic and / or lexical corrector, characterized in that it includes a voice interaction module for selecting from this list the correct expression intended to replace the erroneous expression in the digital text.

Unlike known proofreaders, this one uses voice to select an expression from the list of expressions that can be used to correct the erroneous expression. Thus, even a dyslexic or dysorthographic person suffering from reading difficulties can correctly and easily select from the list the expression which must replace the erroneous expression.

According to other additional characteristics taken alone or in combination, this corrector according to the invention is characterized in that: - the voice interaction module is able to: - acquire an expression dictated by a user, - compare the expression dictation to each expression of said list to determine the expression of this list which most phonetically resembles the dictated expression, and automatically selects the expression of the list most similar to the dictated expression; - constructing a first speech model for each expression in said list and a second speech model for the dictated expression, and - comparing the dictated expression with each expression in said list by comparing the second speech model with each of the first speech models constructed.

- it includes: - a voice synthesis module suitable for reading digital text, - a module for selecting the expression of the text currently read by the synthesis module in response to an activation signal, and - a generation device of said activation signal under the control of a user, and - in that the establishment module is able to use the expression selected by the selection module as an erroneous expression to generate the expressions in said list.

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The subject of the invention is also a method of voice interaction to facilitate the semantic, syntactic and / or lexical correction of an erroneous expression in a digital text, this method comprising: - an automatic step of establishing a limited list correct expressions each suitable for replacing the erroneous expression, this list being established from the erroneous expression and using a pre-established base of correction rules so as to form a limited subset among the set possible expressions in a given language, - a voice interaction step to select from this list the correct expression intended to replace the erroneous expression in the digital text, this step comprising the operations consisting in: acquiring an expression dictated by a user, - compare the expression dictated with each expression of said list to determine the expression of this list that most closely resembles to the dictated expression, and - automatically select the expression from the list most similar to the dictated expression.

The subject of the invention is also an information recording medium and a computer program, characterized in that they include instructions for the execution of a method according to the invention, when these instructions are executed by an electronic computer.

The invention will be better understood on reading the description which follows given solely by way of example and made with reference to the drawings in which: - Figure 1 is a schematic illustration of a syntactic and lexical correction system in accordance to the invention, - Figure 2 is a flow diagram of a method for facilitating syntactic and lexical correction according to the invention, and - Figure 3 is a flow diagram of another embodiment of the method of Figure 2 .

FIG. 1 represents a semantic, syntactic and lexical correction system designated by the general reference 2. System 2 is here produced, by way of example, from a conventional computer equipped with conventional word processing software and a semantic, syntactic and lexical corrector 8.

The word processing software 6 here forms an example of a means of acquiring a complete typed digital text to be corrected. This complete text is made up of a succession of expressions.

The computer comprises a man / machine interface 12 associated with a central unit 14.

The man / machine interface 12 comprises, for example: - a video screen 20, a keyboard 22

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equipped with a key 24 for activating a selection module of the corrector 8, - a pointing device 26, such as, for example, a mouse, - means for acquiring an acoustic signal pronounced or dictated by a user, such as, for example, a microphone 28, and - at least one speaker 30.

The central unit 14 is formed from a conventional programmable electronic computer capable of executing the word processing software 6.

Corrector 8 is able to correct erroneous expressions acquired using software 6. To this end, it comprises: - a module 40 for selecting an erroneous expression in response to the pressing of the key 24, - a module 42 for automatically establishing a list comprising several expressions capable of being used to correct an erroneous expression 30, a voice interaction module 44 for selecting from this list the expression to be used to correct the erroneous expression, a speech synthesis module 48 suitable for transforming a text and each numerically typed expression of this text in an acoustic signal reproduced via the speakers 30 so as to be intelligible to the user.

In order to convert an acoustic signal into a digital typed text and vice versa, modules 44 and 48 use known techniques such as those described in: Tubach J.P & al. (1989) Speech and its automatic processing, Masson. Paris. In particular, the technique used here uses conventional speech models such as those defined in the previous work.

A memory 52 is associated with the central unit 14.

The memory 52 comprises a pre-established base 54 of rules for correcting erroneous expressions. This base 54 is intended to be used by the module 42 to establish, from an erroneous expression, the list of expressions capable of correcting this erroneous expression.

The memory 52 also includes a pre-established base 56 of error detection rules allowing the corrector 8 to automatically detect the erroneous expressions present in the text acquired by the software 6. Here, the bases 54 and 56 are each divided into first and second parts. The first part includes rules adapted to any type of user. Conversely, the second part includes rules specially established for a given user. Thus, each second part is associated with an identifier of the user of the corrector 8. By way of example, these second parts will include rules making it possible to detect and correct the substitution of a word correctly spelled by another word correctly spelled. For example, here the base 56 comprises a detection rule associated with a user a consisting in detecting the word place and a correction rule associated with this same user in the base 54

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consisting in proposing the word lion to correct the word place.

Here, the corrector 8 is produced in the form of a computer program executable by the electronic computer of the central unit 14. To this end, the memory 52 also includes instructions for the execution of the methods of FIGS. 2 and 3.

A first mode of operation of the system 2 will now be described with reference to the method of FIG. 2 in the particular case of the user a.

Initially, during a step 70 of initialization of the corrector 8, the user identifies himself with the corrector 8. Depending on the user thus identified, the corrector 8 selects during the same step, the second parts of the corresponding bases 54 and 56 to be used.

Then, the user has entered a text using the keyboard 22. This text is acquired, during a step 72, by the software 6 in the form of a digital typed text.

Once the complete text to be corrected has been acquired by the software 6, the module 48 begins to re-read all of the text acquired during a step 74.

When the user hears an incorrect expression, he presses the key 24. In response to pressing the key 24, the module 40 selects, during a step 76, the expression currently read by the module 48.

In response to this selection, the module 42 automatically establishes, during a step 78, from the selected expression and using the rules of the base 54 a list of expressions capable of being used to correct the selected expression. For example, if the expression selected is: "the place is at the zoo", the list established includes the expression "the lion is at the zoo" or "lion".

Then, during a step 80, the voice interaction module 44 constructs a speech model for each of the expressions in the list established during step 78.

Then, during a step 82, the corrector 8 presents the user with the expression which he has selected as being incorrect. For example, during this step 82, the selected expression is

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highlighted on the screen 20 and, in parallel, read by voice using the module 48.

Then, during a step 84, the constructed list is presented by the corrector 8 to the user. During this step 84, this list is, for example, displayed on the screen 20 and, in parallel, each expression of this list is read and / or spelled by the module 48.

At the end of this step 84, the corrector 8 proceeds to a voice interaction step 90 to select, from the list presented, the expression to be used to correct the erroneous expression. To this end, the user is invited to dictate or pronounce the correct expression in the microphone 28. The module 44 then proceeds to an operation 92 for acquiring the corresponding acoustic signal then to an operation 94 for building a speech model for the expression dictated in the microphone 28. The speech model thus constructed during operation 94 is then compared, during operation 96, with each speech model established during step 80. This comparison is carried out so as to identify which of the different speech models constructed during step 80 is the one that most closely resembles the speech model constructed during operation 94.

Finally, during an operation 98, the module 44 automatically selects the expression from the list whose speech model is most similar to that constructed during the operation 94.

Consequently, the expression thus selected is used by the corrector 8, during a step 100, to replace the erroneous expression.

Steps 76 to 100 are then repeated for the next expression selected by the user as an erroneous expression.

In this first operating mode, the corrector 8 does not itself detect the erroneous expressions, this work being carried out by the user when the latter presses the key 24.

A second mode of operation of the system 2 will now be described with reference to the method of FIG. 3.

In FIG. 3, unlike the method of FIG. 2, the corrector 8 itself detects the erroneous expressions using the rule base 56 so that in this operating mode, the user no longer needs using the key 24 or

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the selection module 40 associated with this key.

In the flow diagram of FIG. 3, the steps or operations which are identical to those of FIG. 2 have the same references.

The process of FIG. 3 begins with steps 70 and 72. Then, during a step 110, the corrector automatically selects an incorrect expression in the text acquired during step 72. For this purpose, the corrector uses the base 56 of rules for detecting erroneous expressions and more particularly the second part of this database specific to the user a.

Then, the corrector 8 proceeds to steps 78, 80, 82, 84, 90 and 100 as described with reference to FIG. 2.

The operating mode of FIG. 2 has the advantage of being simpler to carry out. Indeed, detecting erroneous expressions automatically is complicated.

The fact of first establishing a limited list of possible correct expressions and then of only searching in this list for the incorrect expression dictated during operation 92 by the user considerably increases the probability of correctly identifying the Using voice interaction the expression dictated by the user. The operation of the corrector is therefore improved. In fact, unlike, for example, if the user uses voice dictation software, the expression dictated here is not compared to the set of possible expressions in a given language, but simply to a subset limited of these possible expressions. Typically, the list established during step 78 is limited to 5, 10 or 30 expressions at most.

Finally, the fact of comparing, during operation 96, speech models with each other also increases the efficiency of the voice interaction. Here, unlike voice recognition methods, we avoid transforming the acoustic signal acquired during operation 92 into a character string. However, during this operation of transformation into a character string, errors are likely to occur. We thus avoid a source of error and we increase the probability of correctly recognizing a dictated expression, which makes the corrector 8 more efficient.

The system 2 has been described here in the particular case where the module for acquiring the text to be corrected is word processing software. As a variant, other software capable of editing

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text can be used in its place, such as for example electronic messaging or voice dictation software.

The system has also been described in the particular case where it is adapted to implement the methods of FIGS. 2 and 3. As a variant, the system 2 is suitable for implementing only one of the methods of FIGS. 2 and 3.

The system has been described in the particular case of a semantic, syntactic and lexical corrector. As a variant, the corrector is only suitable for correcting one or more types of errors chosen from the set composed of semantic, syntactic or lexical errors.

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

PTO/SB/08a (02-18)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6076057		2000-06-13	NARAYANAN SHRIKANTH SAMBASIVAN	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
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	First Named Inventor	Tom FREEMAN
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-11-25
Name/Print	Mark A. Patrick	Registration Number	72,958

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Electronic Acknowledgement Receipt

EFS ID:	37842612
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	25-NOV-2019
Filing Date:	19-NOV-2018
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Application Type:	Utility under 35 USC 111(a)

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Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_Transmittal-Letter-Foreign.pdf	502650 fec5b51c8c8960ec8e7cc2f7c969f79e6cd307d1	no	1

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2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form-Foreign.pdf	1053125 7a2b0de419aa305d8f5a715f1818518df982e915	no	4
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Warnings:					
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6	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form-US.pdf	1053135 4733e6770b840855c31febe6105314b81b2e94f8	no	4
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If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application.

CERTIFICATION STATEMENT

Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c), and is accompanied by the certification statement of 37 CFR 1.97(e)(1).

ADDITIONAL COMMENTS

This reference was cited in a search report by a foreign patent office in a counterpart foreign application. Submission of the search report that indicates the degree of relevance found by the foreign office is provided. An explanation for the types of related documents is as follows:

X: The document that when taken alone, prejudices the novelty of the inventiveness
Y: The document that when combined with other document(s) of Y type cited in this report, prejudices the inventiveness.
A: The background art document.

SIGNATURE

Signature	/ Mark A. Patrick /	**Date**	11/25/2019
Name	Mark A. Patrick	**Registration Number**	72,958

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2657
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

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	1	101236635A	CN		2008-08-06	IBM		X

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1		

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-11-25
Name/Print	Mark A. Patrick	Registration Number	72,958

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

Espacenet

Bibliographic data: CN101236635 (A) — 2008-08-06

Electronic business shopping method and system

Inventor(s): BIAO HAO [US]; SHIJU MATHAI [US] ± (HAO BIAO, ; MATHAI SHIJU)

Applicant(s): IBM [US] ± (IBM)

Classification: **- international:** ***G06Q30/00***
- cooperative: G06F17/243 (EP); G06Q30/00 (EP); G06Q30/0613 (EP); G06Q30/0623 (EP); G06Q30/0633 (EP); G06Q30/0641 (EP)

Application number: CN20081008949 20080131

Priority number(s): US20070670251 20070201

Also published as: US2008189187 (A1) US8078502 (B2)

Abstract not available for CN101236635 (A)
Abstract of corresponding document: US2008189187 (A1)

The present invention can include an e-commerce shopping method that includes a step of receiving shopper free form input representing a shopping request. A software program can extract semantics from the shopper free form input relating to at least one item available for sale. At least one item can be automatically added to an electronic shopping cart based upon the extracted semantics. A shopper can be permitted to check-out shopping cart items and/or to edit items, item details, and desired quantities contained in the shopping cart.

[19] 中华人民共和国国家知识产权局

[51] Int. Cl.
G06Q 30/00 (2006.01)

[12] 发明专利申请公布说明书

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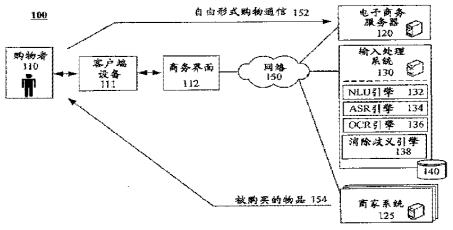
权利要求书 4 页 说明书 13 页 附图 4 页

[54] 发明名称

电子商务购物方法和系统

[57] 摘要

本发明可以包括一种电子商务购物方法，所述方法包括接收表示购物请求的购物者自由形式输入的步骤。 软件程序可以从所述购物者自由形式输入中提取关于至少一个可用于销售的物品的语义。 至少一个物品可以基于所述提取的语义被自动添加到电子购物车。 购物者可以被允许结账购物车物品，和/或编辑包含在所述购物车中的物品、物品细节和所需要的数量。



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1. 一种电子商务购物方法，包括:

接收表示购物请求的购物者自由形式输入;

软件程序从所述购物者自由形式输入中提取关于至少一个可用于销售的物品的语义;

基于所述提取的语义自动将至少一个物品添加到电子购物车；以及

为对应购物者提供自动购买包含在所述电子购物车中的物品的能力。

2. 根据权利要求 1 所述的方法，所述提取步骤进一步包括:

在所述提取步骤期间，确定关于所述自由形式输入的一部分涉及的多个可能物品的歧义；以及

基于包含在机器可读媒体中关于所述购物者的之前存储的数据通过对于所述可能物品中的一个的偏爱来解决所述歧义，其中，所述之前存储的数据包括购物者购买历史数据和购物者偏好数据中的至少一个，其中，所述至少一个被添加的物品包括该解决步骤中所偏爱的物品。

3. 根据权利要求 1 所述的方法，进一步包括:

在所述提取步骤期间，确定关于所述自由形式输入的一部分涉及的多个可能物品的歧义;

将对所述歧义的可能解释缩减到一组很可能的意义；以及

呈现用于解决所述歧义的一组购物者可选择选项，其中，所述一组选项是基于所述缩减步骤的结果。

4. 根据权利要求 1 所述的方法，其中，方法 1 的所述步骤在购物者与自动化商务系统之间的实时交互式通信会话期间被实施。

5. 根据权利要求 4 所述的方法，进一步包括:

呈现所述电子购物车物品进行购物者确认;

为对应购物者提供至少一个选项以便编辑所呈现的购物车物品信息;

接收用户所选择的响应以对所述电子购物车中的物品结账；以及

在结账期间结束电子商务事务从而结束所述结账物品的购物者购买。

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6. 根据权利要求 4 所述的方法，其中，所述实时交互式通信会话是在线基于 web 的购物会话、交互式语音响应会话和文本交换会话中的至少一个。

7. 根据权利要求 1 所述的方法，其中，所接收的自由形式输入在电子邮件消息和传真消息的至少一个中被提供。

8. 根据权利要求 1 所述的方法，其中，所述自由形式输入是自然语言格式的语音输入。

9. 根据权利要求 1 所述的方法，其中，所述自由形式输入是自然语言格式的文本输入。

10. 根据权利要求 1 所述的方法，其中，权利要求 1 所述的步骤是由至少一个机器根据具有多个代码部分的至少一个计算机程序自动实施的步骤，其中，所述多个代码部分可被所述至少一个机器执行。

11. 根据权利要求 1 所述的方法，其中，权利要求 1 所述的步骤由服务代理和被该服务代理操纵的计算设备的至少一个实施，所述步骤响应于服务请求而被实施。

12. 一种用于进行电子商务的系统，包括:

电子商务服务器，其被配置为接收购物者输入、基于该输入进行电子商务事务，其中，在所述电子商务事务期间，购物者购买至少一个可用物品;

输入处理系统，其被配置为：接收自由形式购物者输入，以及语义地将所述自由形式购物者输入解释为关于所述电子商务事务的离散数据字段；以及

商家数据存储库，其被配置为记录可用于购买的一组物品，其中，所述离散数据字段的至少一部分标识所述一组物品中购物者所需要的那些物品。

13. 根据权利要求 12 所述的系统，进一步包括:

消除歧义引擎，其被配置为，解决由所述输入处理系统在将包含在所述自由形式购物者输入中的内容转换为被放入所述离散数据字段中的信息

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时检测到的歧义；以及

购物者数据存储库，其被配置为存储和索引包括关于购物者偏好和购买历史的信息的购物者特定信息，其中，所述消除歧义引擎利用存储在所述购物者数据存储库中的数据来解决歧义。

14. 根据权利要求 **12** 所述的系统，进一步包括：

自然语言理解引擎，其被配置为，将自由形式购物者输入转换为进入关联于所述电子商务事务的信息的离散单元的数据。

15. 根据权利要求 **14** 所述的系统，其中，所述购物者自由形式输入包含在购物者提供的话语中，所述系统进一步包括：

语音识别引擎，其被配置为将所述购物者提供的话语转换为文本，所述文本进一步被所述自然语言理解引擎处理。

16. 根据权利要求 **14** 所述的系统，其中，所述购物者自由形式输入包含在图像文件中，所述系统进一步包括：

光学字符识别引擎，其被配置为从所述图像文件中提取文本，所述文本进一步被所述自然语言理解引擎处理。

17. 一种购物者面向的电子商务界面，包括：

自然语言输入单元，其中，购物者通过其能够输入自然语言格式的信息；

购物车，其被配置为呈现由所述购物者指定的用于购物者购买的多个物品，其中，所述呈现的物品从经由所述自然语言输入单元提供的输入中确定；以及

至少一个购物交互式选项，其被配置为被用户选择，其中，对所述购物交互式选项的选择导致所述购物车中呈现的物品的改变和涉及所述购物车中呈现的物品的购买的电子商务事务的结束中的至少一个。

18. 根据权利要求 **17** 所述的界面，进一步包括：

购物者简档编辑界面，其被配置为允许购物者配置物品购买偏好，所述物品购买偏好被自然语言处理系统用于在所述自然语言处理系统将所述输入信息语义地解释为专用于至少一个所呈现的物品的离散数据单元时解

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决在所述输入信息中检测到的歧义。

19. 根据权利要求 **17** 所述的界面，其中，所述界面是可经由具有图形用户界面的浏览器访问的基于 **web** 的界面，其中，所述自然语言输入单元、所述购物交互式选项和所述购物车由图形用户界面单元表示。

20. 根据权利要求 **17** 所述的界面，其中，所述界面是用于在实时通信信道上与自动化语音响应系统交互的仅语音界面。

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电子商务购物方法和系统

技术领域

本发明涉及电子商务和自然语言处理领域，特别涉及基于包含在自然语言输入中的内容填充电子商务购物车和/或其它电子商务字段。

背景技术

电子商务（electronic commerce）或电子商务（e-commerce）涉及在网络上和通过计算机进行对商业通信和事务。更具体地说，电子商务包括使用数字通信和通常自动化系统进行的货物和服务的购买和销售以及传输资金。在线购物是一种类型的电子商务事务，其涉及购物者访问链接到电子商务服务器的网站。购物者至商务的服务器事务不限于基于 web 的那些事务，而还包括基于电话的事务（例如交互式语音响应事务）、电子商务事务、基于聊天的事务、基于电子邮件的事务，基于传真的事务等。

常规电子商务购物作为购物者与自动化系统之间的一个或更多定向事务被进行。购物者典型通过可用物品的目录来浏览或使用数据库搜索控制来基于购物者提供的准则搜索所述目录。购物者可以选择感兴趣的物品，并且可以将其添加到电子购物车。一旦购物被完成，则所述购物者可以选择行进到结账阶段，在此处，支付和运货细节可以被提供，以及该购物会话可以结束。

当所述目录中的可用物品的数量巨大时，从数千物品中对几个物品进行购物对于购物者可以是非常冗长的任务。通常，用户无法定位所需要的物品，即使被访问的商务源可能包括该物品。当所述商务源包括来自许多不同商家源的物品的合并时，所述情形特别可以是真实的。例如，购物者可以与将购物者链接到多个物品源的“网关”源（例如 AMAZON.COM、

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SHOPZILLA.COM 和 EBAY.COM）交互。

用于帮助指导购物者的当前方法使用定向购物技术，其中，所述定向购物技术是基于由问卷响应确定的客户偏好、客户购买历史和其它这样的准则。当前的定向购物技术用于预期客户所需要的物品，以及是用于指导营销或指导广告的有效方法。

没有任何已知电子商务技术允许购物者使用自由形式输入来进行购物事务。进一步地，用于自动化商务事务的交互式模态（modality）传统上已限于那些屈从于类似目录的界面的模态（例如经由 web 的在线购物）。所需要的是一种允许客户使用例如自然语言输入的自由形式输入来进行电子商务事务的方法，所述方法是可以跨许多不同交互式模态来进行的用户友好的交互式方法。

发明内容

本发明公开了一种解决方案，其被设计为增强电子商务购物从而购物者可以使用自然语言输入与自动化系统交互。例如，购物者可以用例如英语的自然语言向商务服务器提交请求。所述请求可以是基于口语和/或文本的，以及可以在实时通信会话（例如电话通信会话、聊天会话等）期间或使用一组被交换的离散消息（例如电子邮件、传真等）来传播。请求可以使用自然语言处理技术来处理，从而有意义的语义可以从购物者输入中被提取，以及智能的计划性动作被作为响应实施。例如，从所述输入确定的物品可以被自动放入购物者的电子购物车中。此外，运货地址、支付信息以及其它电子商务事务特定的信息可以从购物者提供的自然语言输入中被提取。在一个实施例中，关联于所述自然语言输入的歧义可以基于之前已记录的购物者偏好（preference）、购物者简档（profile）、购买历史等被自动解决。

本发明可以根据与这里呈现的材料一致的众多方面来实现。例如，本发明的一方面可以包括一种用于进行电子商务的系统，所述系统包括电子商务服务器、输入处理系统和商家数据存储库。所述电子商务服务器可以

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接收购物者输入，以及可以基于该输入进行电子商务事务。购物者在所述电子商务事务期间可以购买至少一个可用物品。所述输入处理系统可以接收自由形式购物者输入，以及可以将所述自由形式购物者输入语义地解释为关于所述电子商务事务的离散数据字段。所述商家数据存储库可以记录一组可用于购买的物品。所述离散数据字段的至少一部分可以标识所述一组物品中购物者所需要的那些物品。

本发明的另一方面包括一种购物者面向的电子商务界面，所述界面包括自然语言输入单元、购物车和至少一个购物交互式选项。所述自然语言输入单元可以允许购物者输入自然语言格式的信息。所述购物车可以用于呈现由购物者指定的用于购物者购买的物品，其中，所呈现的物品从经由所述自然语言输入单元提供的输入中确定。所述购物交互式选项可以被用户选择，其中，对所述选项之一的选择可以导致呈现在购物车中的物品的至少一个改变。另一选项可以结束涉及呈现在购物车中的物品的购买的电子商务事务。

本发明的再一方面可以包括一种电子商务购物方法，所述方法包括接收表示购物请求的购物者自由形式输入的步骤。软件程序可以从所述购物者自由形式输入中提取关于至少一个可用于销售的物品的语义。至少一个物品可以基于所述提取的语义被自动添加到电子购物车。用于自动购买包含在所述电子购物车中的物品的能力被提供给对应购物者。

应当指出，本发明的各个方面可以被实现为一种用于控制计算设备来实现这里所描述的功能的程序、或一种用于使计算设备能够实施对应于这里公开的步骤的过程的程序。所述程序可以经由将所述程序存储在磁盘、光盘、半导体存储器或任意其它记录媒体中来提供。所述程序还可以作为经由载波传播的被数字编码的信号被提供。所描述的程序可以是单一程序，或者可以被实现为多个子程序，其中，所述多个子程序的每个在单一计算设备内交互，或跨网络空间以分布式方式交互。

还应当指出，这里详述的方法还可以是至少部分地由服务代理和/或被服务代理操纵的机器响应于服务请求而实施的方法。

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附图说明

附图中示出了当前优选的实施例，然而应当理解，本发明不限于所示的准确方案和手段。

图 1 是一种根据这里公开的发明方案的实施例的、处理包括自然语言输入的自由形式输入的电子商务购物系统的示意图。

图 2 是一种根据这里公开的发明方案的实施例的、在电子商务事务期间处理自由形式输入的系统的示意图。

图 3 是一种根据这里公开的发明方案的实施例的、用于部分地基于自由形式用户输入进行电子商务事务的方法。

图 4 提供了电子商务事务期间的自由形式文本处理的示例。

图 5 是一种根据这里公开的发明方案的实施例的方法的流程图，在所述方法中，一种服务代理可以将电子商务系统配置为处理自由形式购物者输入。

具体实施方式

图 1 是一种根据这里公开的发明方案的实施例的、处理包括自然语言输入的自由形式输入的电子购物系统 100 的示意图。更具体地说，购物者 110 可以利用客户端设备 111，其中，该客户端设备 111 托管了通信地链接到网络 150 的商务界面 112。电子商务服务器 120、输入处理系统 130 和商家系统 125 也可以通信地链接到网络 150。购物者 110 可以在实时或非实时通信会话中与电子商务服务器 120 通信，其中，在所述通信会话期间，自由形式的购物者提供的输入 152 可以被传播到电子商务服务器 120。

电子商务服务器 120 可以将所述输入传播到输入处理系统 130，其中，该输入处理系统 130 可以从所述输入提取语义意义。例如，语音输入可以被自动语音识别（ASR）引擎 134 处理，以及然后进一步被自然语言理解（NLU）引擎 132 处理。在另一示例中，包含在图形图像中的（例如来自传真消息或来自图像文件消息的）文本内容在被 NLU 引擎 132 处理之前

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可以被光学字符识别（OCR）引擎136预处理。所提取的语义意义可以与来自至少一个商家系统125的可用于购物者110进行购买的存货物品比较。匹配可以被添加到由电子商务服务器120提供的电子购物车或其它商务产物（artifact）。购物者110可以经由由商务界面112提供的选项修改购买细节和/或确认购买（即，购物者110可以选择修改购物车物品和/或行进到结账）。一旦电子商务事务已完成，则如果必要，针对所购买的物品的支付可以被发送，以及所购买的物品154可以被运送到由购物者110指定的地址。在一个实施例中，该地址可以使用输入处理系统130从自由形式的购物通信152中提取。

如系统100中所示，购物者110可以是参与电子商务事务的人类参与者。购物者110所使用的商务界面112取决于通信类型和基于设备111的类型可以改变，其中，界面112在设备111上执行。客户端托管的设备111可以包括被配置为接受包括自由形式输入152的购物者输入110的链接到网络150的任意通信设备。设备111可以包括但不限于计算机（例如台式PC、客户端侧服务器、笔记本计算机、平板式计算设备、个人数字助理、瘦客户端等）、电话（例如基于线路的电话、移动电话和/或基于会话启动协议的电话）、传真机、电子邮件台、文本交换设备（例如即时消息传送、文本消息传送和/或使能聊天的设备）、联网扫描仪、娱乐游戏设备、媒体播放设备、嵌入式计算系统和/或电子商务信息站。

电子商务服务器120可以包括用于与购物者110交互的任意自动化或部分自动化的系统。电子商务服务器120例如可以包括web服务器、交互式语音响应（IVR）系统、传真/电子邮件处理和路由系统等。电子商务服务器120可以专用于特定商家（例如用于该商家的在线店面），或可以集中地针对由许多不同商家（例如AMAZON.COM、包括到EBAY商店及其中出售的物品的访问的EBAY.COM等）提供的物品来索引/管理/处理电子商务事务。

在一个实施例中，电子商务服务器120可以使用基于面向服务体系结构（SOA）的技术来实现。例如，服务器120可以是这样的部件服务模型

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系统的一部分，所述部件服务模型系统允许跨许多模态的交互，以及甚至可以包括在其中会话状态信息被保存的会话中模态切换功能。用于实现电子商务服务器 120 的常规解决方案可以包括国际商业机器公司（IBM）的 WEBSPHERE COMMERCE SERVER、BEA 系统的 WEBLOGIC COMMERCE SERVER 以及多种其它商务解决方案中的任一个。

输入处理系统 130 可以是被配置为处理自由形式的购物通信 152 以及提取例如客户所需要的产品、运货地址、支付细节等的有意义的电子商务信息的任意系统。在一个实施例中，WEBSHPERE 部件和扩展可以用于实现系统 130 的各个部件（132－138）。然而，其它解决方案是可用的，任意解决方案可以用于系统 100。

消除歧义引擎 138 可以利用存储在数据存储库 140 中的数据、规则和/或偏好来解决歧义。例如，数据存储库 140 可以包括购物者 110 的历史购物信息，所述历史购物信息可以用于确定否则有歧义物品的购物者优选的品牌和尺寸。购物者简档 110 可以也存储在数据存储库 140 中，其中，例如颜色、价格阈值、优选品牌等的客户偏好可以被引擎 138 用于解决歧义。例如信用卡号信息、家庭地址、工作地址等的其它购物者 110 特定数据可以用于将自然语言物品（例如我家）翻译成可以在电子商务事务期间使用的量化地址（例如，宾西法尼亚大街西北 1600 号，华盛顿 DC 20500）。例如最近出售的最流行的品牌、物品的最流行颜色等的其它非购物者特定的偏好可以在数据存储 140 库中保存，以及被消除歧义引擎 138 使用。

在一个实施例中，对于从自由形式购物输入 152 提取的每个语义单元，置信值可以被建立。这些置信值可以与用户/管理员可配置的阈值比较。当所述置信值超过上阈值时，所述语义单元可以被认为是精确的，以及对应的电子商务字段可以被自动填写。当被关联用于多个可能解释的置信值全都超过下阈值时，购物者可以被提示选择所述多个解释中的一个，以及对应的电子商务字段可以被自动填写。当对于自由形式输入的单元的精确解释不能被确定时（语义单元的置信值落在指定阈值以下），该自由形式单元或者可以被忽略，或者可以触发提示购物者 110 澄清其对于所述有歧义

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单元的预期意义的提示操作。

网络 150 可以包括对于传播在载波中编码的数字内容必要的任意硬件/软件和固件。数字内容可以被包括在模拟或数字信号中，以及可以通过数字或语音信道被传播。网络 150 可以包括对于将在计算设备部件之间以及集成设备部件与外围设备之间交换的通信必要的本地部件和数据通路。网络 150 还可以包括网络设备，例如一起构成例如因特网的数据网络的路由器、数据线路、集线器和中间服务器。网络 150 还可以包括基于电路的通信部件和移动通信部件，例如电话交换机、调制解调器、蜂窝通信塔等。网络 150 可以包括基于线路的和/或无线的通信通路。

应当理解，允许自由形式购物通信 152 被应用到电子商务上下文的增强可以以各种方式集成到商业系统中。例如，服务器 120 和 130 可以被集成到单一电子商务硬件/软件系统中，其中，所述系统可以遵循私有或开放标准。在另一示例中，对自由形式输入的已增强处理可以在中间件（例如 WEBSPHERE APPLICATION SERVER）中实现，以及经由应用程序接口（API）、链接库和/或对象类、远程过程调用等被远程访问。进一步地，处理自由形式电子商务输入的能力可以在 web 服务中实现，其中，可以使所述 web 服务可用于电子零售商进行例如费用的有价考虑。

图 2 是一种根据这里公开的发明方案的实施例的、用于在电子商务事务期间处理自由形式输入的系统 200 的示意图。系统 200 是系统 100 的可替换标识，以及在所描述的功能的执行时可以利用其中详述的部件。

在系统 200 中，购物者可以使用例如浏览器 212、文本消息传送界面 214、电子邮件界面 214、电话界面 215、传真界面 216、信息站界面 217 等的购物界面 210 进行电子商务事务。输入可以包括输入处理器 220 接收的自由形式输入。输入处理器 220 可以从所述输入中提取关于至少一个可用于销售的物品的语义。可用物品可以在电子商务服务器 222 的存货数据存储库 223 中指定。

每当所提取语义与存货物品之间的无歧义匹配出现时，那些物品可以与任意所涉及的数量和运货地址信息一起被自动放入购物车 230 中。经由

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使用购物者简档/偏好数据存储 228 中保存的购物者特定信息，歧义可以被解决，和/或其它条目的精度被改进。购物者特定设置可以使用配置部件 224 来配置，其中，所述配置可以基于自动确定的购物者数据、购物者输入的信息和历史电子商务事务数据。个人化/规则引擎 226 可以建立用于将购物者简档/偏好信息应用于电子商务事务的商家和/或电子商务服务器 120 特定的规则。由配置部件 224 产生的处理可以导致对包含在购物车 230 中的物品/数据的改变。

一旦物品被包含在购物车 230 中，购物者可以被提供一系列用于编辑、更新和另外修改购物车 230 的条目的选项。例如，当对于所需要的物品存在歧义时，购物者可以被提示从所呈现的列表中选择优选的物品。在另一示例中，许多商家源（全部可通过电子商务服务器 222 访问）可以提供购物者所需要的物品，以及该购物者可以选择优选商家源。用于编辑购物车物品的交互可以包括被输入处理器 220 处理的自由形式输入。系统 200 在其各种实施例中设想了多模式接口和/或允许自由形式和指定交互的接口（例如接口 210）的使用。

如这里呈现的，数据存储库 223 和 228（以及系统 100 的数据存储库 140）的每个可以是被配置为存储数字信息的物理或虚拟存储空间。数据存储库 140、223 和 228 可以在任意类型的硬件中物理地实现，其中，所述硬件包括但不限于磁盘、光盘、半导体存储器、数字编码的塑料存储器、全息存储器或任意其它记录媒体。数据存储库 140、223 和 228 的每个可以是独立存储单元以及通过多个物理设备构成的存储单元。另外，信息可以以多种方式存储在数据存储库 140、223 和 228 中。例如，信息可以被存储在数据库结构中，或者可以被存储在文件存储系统的一个或更多文件中，其中，每个文件可以或可以不由于信息搜索目的而被索引。进一步地，数据存储库 140、223 和/或 228 可以利用一种或更多加密机制来保护所存储的信息免于未授权的访问。

图 3 是一种根据这里公开的发明方案的实施例的、用于部分上基于自由形式用户输入进行电子商务事务的方法 300 的流程图。方法 300 可以在

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系统 100、系统 200 和/或包括用于语义地解释自由形式输入的输入处理部件的任意类似的电子商务系统中被实施。

方法 300 可以在步骤 305 中开始，此时购物者可以访问电子商务服务器。例如，购物者可以登录由所述电子商务服务器提供的网站。然而，如在系统 100 和 200 中分别详述的那样，方法 300 的交互不限于那些基于 web 的交互，以及其它用于交互的机制（例如经由电话访问 IVR 系统）被设想。在步骤 310 中，所述购物者可以向电子商务系统提交自然语言（或其它自由形式）格式的购物请求。所述购物请求可以使用在线表格、电子邮件、传真、基于语音通信信道的语音、邮件、聊天等来提供。

在步骤 315 中，一种输入处理系统可以处理所述购物请求。所述输入处理系统可以包括语音识别部件、OCR 部件、文本分析部件、NLU 部件等，它们在适当时被选择地用于其中包含了所述购物请求的消息类型。在步骤 320 中，从所述购物请求中确定的一个或更多购物物品可以被检测。

对于歧义的检查可以在步骤 325 中实施。在步骤 330 中，无歧义的被请求物品可以被加载到关联于购物者特定的电子商务事务的购物车或其它电子商务产物中。在步骤 335 中，有歧义的物品可以被配置部件进一步解决。如果初始未被完全解决，则有歧义的物品可以被缩减到可管理的可能物品集合。可选的进一步购物者交互（例如，对于已缩减选项集合的选择）然后可以发生。所述缩减过程的结果可以将新物品放入购物车中。

相应地，如由步骤 340 所示，购物者特定的购物车可以被从所述购物请求确定的物品所填充。另外，一组用户可选择选项可以被缩减，例如编辑选项、结账选项等可以关联于所述购物车。在步骤 345 中，购物者可以被呈现所述购物车，并且可以被允许利用一个或更多所述购物车选项。该呈现可以例如当电子商务事务经由 web 站点进行时实时地发生，或者例如当电子商务事务经由电子邮件、邮件或传真消息进行时通过一系列被交换的消息在一段时间后发生。例如传真通知和/或电子邮件通知和/或邮件通知的通知可以被提供，从而通知购物者其购物请求已被处理。在一可选实施例中，甚至当初始购物请求通过非实时形式（例如邮件、传真、电子邮

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件等）来提交时，一种实时交互式模态（例如在线基于 web 的模态和/或基于电话的模态）可以被请求用于结束电子商务事务。

在步骤 350 中，购物者可选地可以编辑已填充的购物车物品。在步骤 355 中，购物者可以确认购物车中的物品，以及可以结束所述电子商务事务。例如，购物者可以选择结账。该用户可以被提示输入任意缺失的结账信息，例如运货地址信息、支付信息等。应当指出，所述信息中的一些或所有可以从之前提供的包含在购物请求中的自由形式输入中自动提取，其中，所述购物请求曾被输入处理部件处理。任意缺失的信息也可以在自由形式消息中提供，其中，所述输入处理部件可以处理该自由形式消息。购买订单（PO）和其它必要的电子商务事务产物可以在事务的结账阶段被自动生成。方法 300 可以针对所需要的其它电子商务事务被重复。此外，过去事务历史可以被存储以及用于增加将来事务的精度。例如，所述配置部件当解决歧义时可以权衡之前已被购物者购买的物品。

图 4 提供了电子商务事务期间的自由形式文本处理的示例 400。示例 400 可以使用系统 100 或 200 来进行。示例 400 包括包含以自由形式格式提供的内容的购物请求消息 405。特别地，内容可以包括“我需要 5 加仑脱脂牛奶、2 个 OREO 饼干包、10 份 CAMPBELL 番茄汤 10 盎司、5 份 QUAKER 燕麦片 30 盎司、2 个大包装 HUGGIES 尿布、3 个背包、10 个 23 盎司的 ENFAMIL 奶粉、5 包奶酪。从我的信用卡收费以及送到我家。”

输入处理部件可以识别在电子商务上下文中有意义的一系列标志（token）410－428。例如购买物品标志 430 和购买细节标志 432 的不同类型的标志可以被使用。购买物品标志 430 可以包括关于所需要的物品和物品数量的信息。细节标志 432 可以包括关于运货、支付等的信息。

另外，不同标志 410－428 可以具有不同的被标识范围。例如，标志 410－424 具有专用于对应标志单元的单元范围。例如，标志 410 “5 加仑脱脂牛奶”应用于单一购买物品。标志 426-428 具有应用于消息 405 中的所有购买物品标志 430 的全局范围。例如，标志 426 “我的信用卡”标识用于为由标志 410－424 指定的物品进行支付的支付机制。未被示例 400

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示出的其它范围也可以存在。例如，自由形式短语“牛奶、橙汁和果汁每样五份”可以具有应用于多个物品（每个是单独的物品特定标志）的范围的数量（其是单独的标志）。

在标志 410－428 被生成、分类和/或确定范围之后，第一标志处理阶段可以被实施。在该第一阶段中，标志可以被处理以及被分类为无歧义物品 440 和有歧义物品 445，其中，所述无歧义物品的细节是清晰的。例如，关联于标志 412、414、416 和 418 的物品的品牌、物品和数量可以是清晰的。有歧义物品 445 的品牌和/或其它购买细节可以是初始未知的。

第二处理阶段可以使用购物者的购买历史、偏好和简档信息解决歧义。如由图示 450 所示的，购物者的简档可以指定带铁的 ENFAMIL LIPIL 是优选的婴儿配方。购物者购买历史还可以指示出奶酪是指 KRAFT 10 盎司包装，其解决了标志 424 的歧义。

所述第二处理阶段可以保持一个或更多物品不被解决，例如三个背包的标志 420，其由图示 452 示出。品牌流行度和一般购物者简档信息可以用于定位未被解决物品的一个或更多潜在候选。例如，与背包流行度数据（获取自其它购物者的购买）结合的购物者简档中的质量和价格阈值可以建议背包是指“JANSPORT、COLUMBIA 或 NORTH FACE”，所述建议可以被呈现给购物者进行购物者选择。

当数量、品牌、颜色、商家源和其它准则未被提供时，这些准则可以从客户偏好、历史、商家特价品、流行度和其它这样的因素自动推断出。在一个实施例中，用户界面可以使用用于聚焦用户注意力从而便于确认的可区分指示符来指示所推断的细节。

例如，GUI 界面可以对具有在之前设置的阈值之上的关联精度分数的条目使用与具有较低精度分数的条目不同的已着色字段。背包特定的物品可以在具有红色背景的字段中呈现，有歧义物品的品牌可以在具有黄色背景的字段中呈现，以及无歧义物品可以在具有绿色背景的字段中呈现。当多个可能属性值被确定时，下拉控制可以被提供以允许用户快速调整字段值。例如，用于背包的下拉控制可以包括值 JANSPORT、COLUMBIA、

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NORTH FACE 和 OTHER，其中，OTHER 为用户提供不同选项。例如物品颜色和/或商家的进一步可用选项也可以在建立了默认值的下拉选择器中呈现。

应当理解，示例 400 仅是示出这里公开的发明方案的使用的一个可能的示例。本发明不应当限于这里表述的技术和方案。因此，示例 400 用作用于阐明本发明的各方面的具体示例，以及不旨在被解释为强加于本申请书的发明范围的限制。例如，当前存在多个常规自然语言处理技术，以及本发明不限于这里所讨论的标志标识和处理技术。类似地，众多指导营销和客户偏好确定技术可以用于解决物品歧义。再进一步地，示例 400 中关于用户界面的细节聚焦在基于 web 的 GUI 实施例上，并且其它物品提示、区分和呈现机制更适于其它界面类型。

图 5 是根据这里公开的发明方案的实施例的、在其中服务代理可以配置电子商务系统来处理自由形式购物者输入的方法 500 的流程图。方法 500 可以在系统 100、200 和/或类似系统的上下文中实施。

方法 500 可以在步骤 505 中开始，此时客户启动服务请求。该服务请求可以是用于将现有电子商务系统扩展为处理自由形式输入或用于建立具有自由形式输入处理功能的新电子商务系统的对服务代理的请求。该服务请求还可以是用于检修处理自由形式输入的现有电子商务系统的问题的请求。

在步骤 510 中，人类代理可以被选为响应所述服务请求。在步骤 515 中，所述人类代理可以分析客户的当前系统，以及可以开发解决方案。在步骤 520 中，所述人类代理可以将客户的系统配置为进行涉及自由形式输入的电子商务事务，其中，所述自由形式输入由自动化计算部件自动处理。这可以包括所述电子商务系统方面中的硬件/软件的安装以及客户员工的培训。在步骤 525 中，人类代理可以完成服务活动。

本发明可以用硬件、软件或硬件和软件的组合实现。本发明可以以集中方式在一个计算机系统中或者以分布式方式实现，其中，在所述分布式方式中，不同单元跨几个互连的计算机系统散布。适于实施这里描述的方

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法的任意种类的计算机系统或其它装置是适合的。硬件和软件的典型组合可以是具有这样的计算机程序的通用计算机系统，所述计算机程序当被加载和执行时控制所述计算机系统从而其实施这里描述的方法。

本发明还可以被嵌入计算机程序产品中，其中，所述计算机程序产品包括使能这里描述的方法的实现的所有特征，以及，所述计算机程序产品当被加载到计算机系统中时能够实施这些方法。本发明上下文中的计算机程序是指用任意语言、代码或符号对指令集的任意表述，其中，所述指令集旨在导致系统或直接地或在以下的任一个或两个之后具有实施特定功能的信息处理功能：a）转换为另一语言、代码或符号；b）用不同材料形式再现。

本发明在不脱离其精神或基本属性的情况下可以以其它形式来实现。相应地，为指示本发明的范围，应当参考下面的权利要求而非前述说明书。

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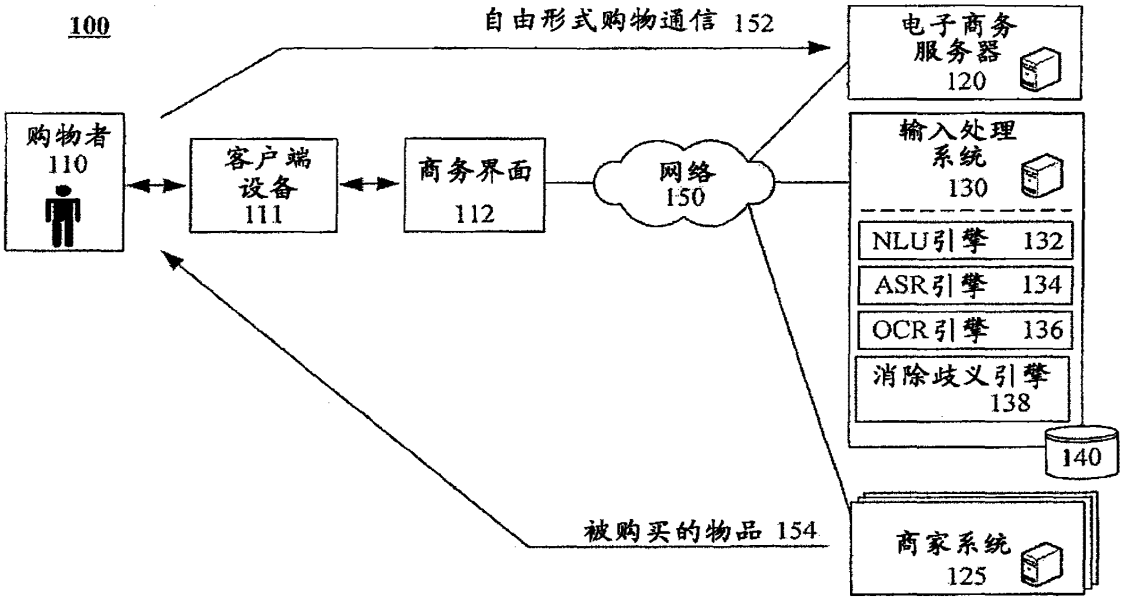


图 1

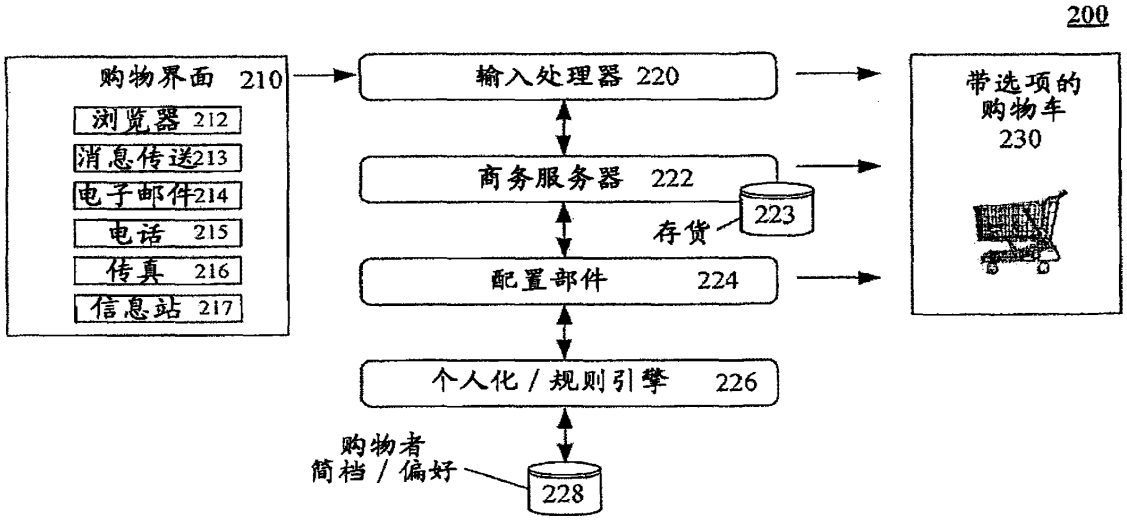


图 2

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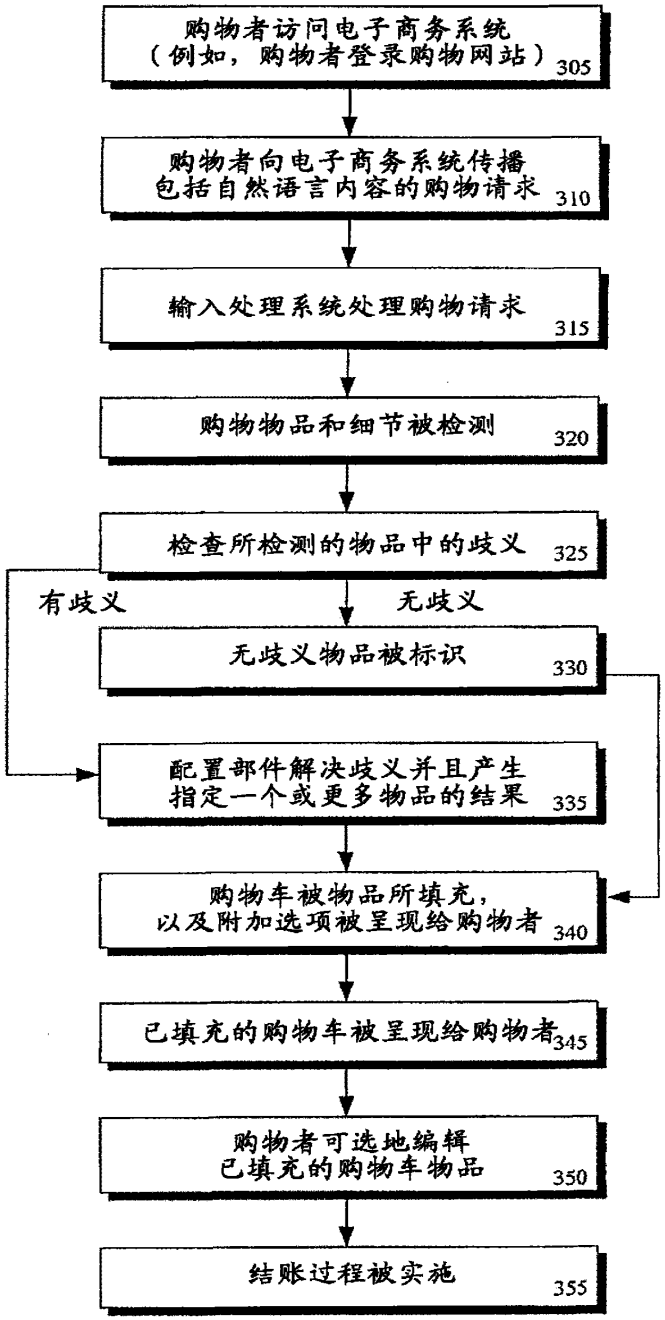


图 3

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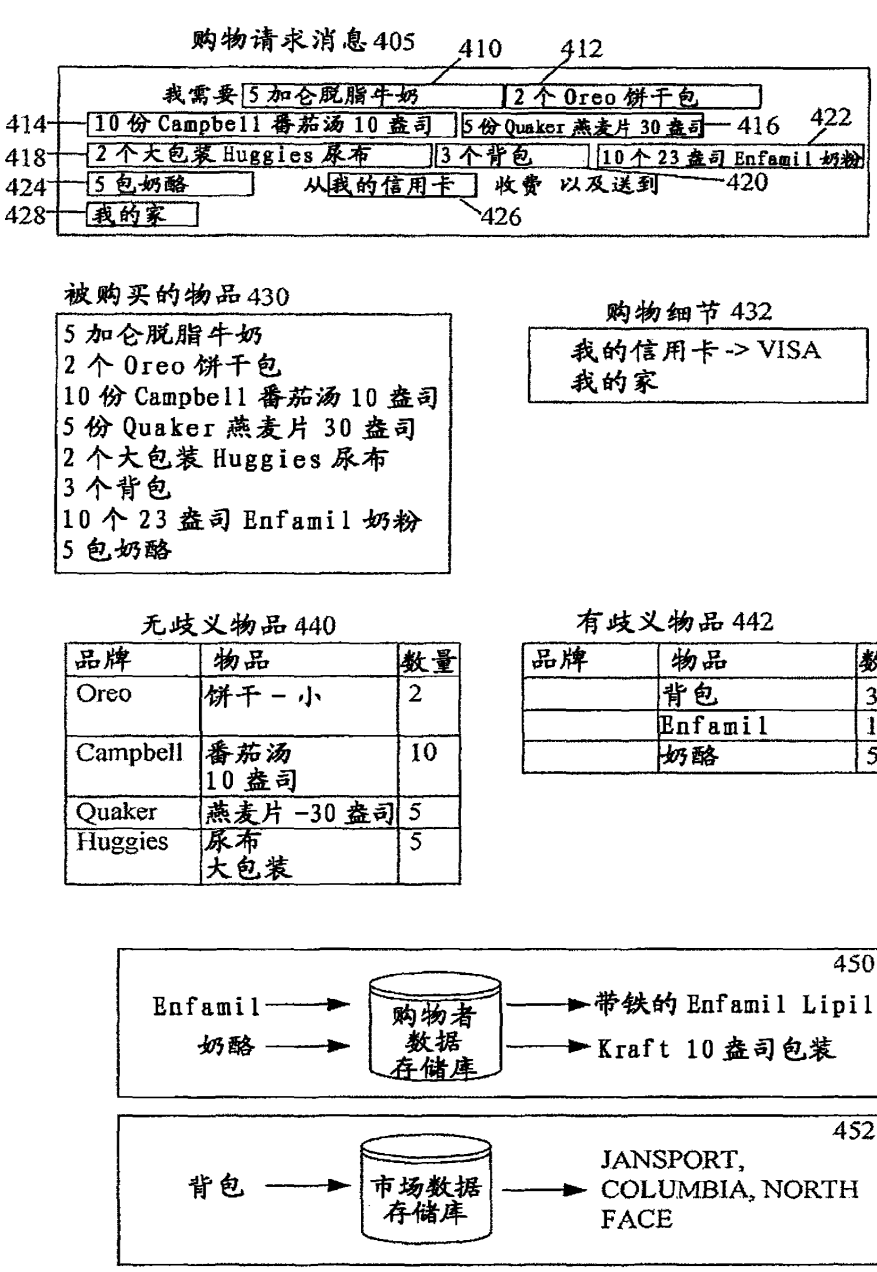


图 4

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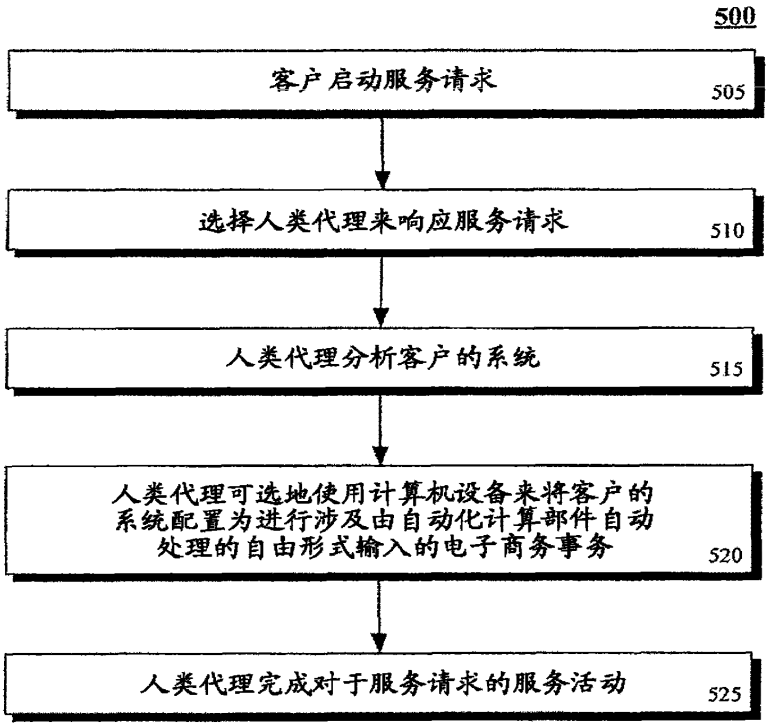


图 5

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application.

CERTIFICATION STATEMENT

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

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c), and is accompanied by the certification statement of 37 CFR 1.97(e)(2).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Mark A. Patrick /	**Date**	11/25/2019
Name	Mark A. Patrick	**Registration Number**	72,958

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IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In Re Patent Application Of:	Tom FREEMAN *et al.*	**Attorney Docket No.:**	62KC-287092
Serial No.:	16/194,944	**Confirmation No.:**	1070
Filing Date:	November 19, 2018	**Examiner:**	Brian Albertalli
		Art Unit:	2657

For: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

RESPONSE TO NON-FINAL OFFICE ACTION MAILED AUGUST 22, 2019

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

Submitted: November 22, 2019

Dear Sir:

In response to the Non-Final Office Action mailed **August 22, 2019**, please amend the above-identified application as follows:

Amendments to the Specification begin on page **2** of this paper.

Amendments to the Claims begin on page **3** of this paper.

Remarks begin on page **9** 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 therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 504561 (**Ref. No. 62KC-287092**).

Electronic Acknowledgement Receipt	
EFS ID:	37838349
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Diane Bogusz
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	22-NOV-2019
Filing Date:	19-NOV-2018
Time Stamp:	21:41:56
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		62KC-287092_RESPONSE.pdf	54387 1b182ea1c0d53ac8fc27ca67acbb521e5890d035	yes	11

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Applicant Arguments/Remarks Made in an Amendment	9	11
	Claims	3	8
	Specification	2	2
	Amendment/Req. Reconsideration-After Non-Final Reject	1	1
Warnings:			
Information:			
	Total Files Size (in bytes):	54387	

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.

REMARKS

In response to the Non-Final Office Action mailed **August 22, 2019** (hereinafter "Office Action"), claim 1 has been amended, and claims 2-20 have been newly added. Therefore, claims 1-20 are now pending. Support for the instant amendments and newly added claims is provided throughout the as-filed Specification. Thus, no new matter has been added. In view of the foregoing amendments and following remarks, allowance of all the claims pending in the application is respectfully requested.

REJECTION UNDER 35 U.S.C. § 102

Claim 1 stands rejected under 35 U.S.C. § 102(a)(2) as allegedly being anticipated by U.S. Patent Application Publication No. 2008/0065389 to Cross *et al.* (hereinafter "Cross"). *Office Action* at 2.

Applicant traverses the rejection for at least the reason that Cross does not disclose each and every feature of the claimed invention. Nonetheless, solely to expedite prosecution and in no way acquiescing in the propriety of the alleged rejection, Applicant has amended the claims to clarify various aspects of the claimed invention.

For example, as amended, independent claim 1 now recites, *inter alia*, the features of:

> providing, by the one or more processors, a natural language utterance as an input to a speech recognition engine;
>
> receiving, by the one or more processors, words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine;
>
> determining, by the one or more processors, a context for the natural language utterance based on the recognized words or phrases;
>
> selecting, by the one or more processors, a purchase opportunity based on the determined context;
>
> delivering, by the one or more processors, the selected purchase opportunity via an electronic device in communication with the one or more processors;
>
> tracking, by the one or more processors, an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the

> purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the advertisement;
>
> building or updating, by the one or more processors, a user-specific profile based on the tracked interaction pattern; and
>
> interpreting, by the one or more processors, a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

Independent claim 11 includes similar recitations.

In the Office Action, the Examiner alleges that Cross discloses each of the features previously recited by independent claim 1. *Office Action* at 2-3. However, Cross does not appear to teach or describe delivering a purchase opportunity selected based on the context of a natural language utterance via an electronic device, tracking an interaction pattern associated with the purchase opportunity delivered to the electronic device that includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, and building or updating a user-specific profile based on the tracked interaction pattern. To anticipate a claim, the disclosure must teach each and every element of the claim. For at least the foregoing reasons, Cross does not appear to teach or disclose each and every feature of independent claims 1 and 11. Accordingly, independent claims 1 and 11 (and their dependent claims) are allowable over the reference relied upon by the Examiner. As such, the rejection of independent claim 1 under 35 U.S.C. § 102 is improper and must be withdrawn.

Currently pending claims 2-10 and 12-20 depend from and add features to one of independent claims 1 and 11. As such, these dependent claims are allowable over the references relied upon by the Examiner for at least their dependency on an allowable claim and for the further features they each recite.

NEWLY ADDED CLAIMS

Applicant introduces newly added claims 2-20 to recite additional subject matter disclosed by Applicant's Specification. Applicant respectfully asserts that, in addition to reciting additional allowable subject matter, these claims are allowable over the references cited by the

Examiner at least due to their dependency on an allowable claim and the further features they each recite.

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 22, 2019**

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By: / Mark A. Patrick /
Mark A. Patrick
Registration No. 72,958

Customer No. 133759

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Fax: 202-747-3853

AMENDMENTS TO THE CLAIMS

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

LISTING OF CLAIMS:

1. (**Currently Amended**) A method for processing natural language utterances that include requests and selecting and presenting ~~advertisements~~ purchase opportunities based thereon, the method being implemented by one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method~~, the computer program instructions comprising at least a conversational language processor configured to interpret a natural language utterance, which relates to a request, based on words or phrases recognized from the natural language utterance~~, the method comprising:

~~in response to receiving the natural language utterance,~~ providing, by the one or more processors, [[the]] a natural language utterance as an input to a speech recognition engine;

~~in response to~~ receiving, by the one or more processors, [[the]] words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine~~,~~ ~~providing the words or phrases as an input to the conversational language processor~~;

~~interpreting the natural language utterance, at the conversational language processor, based on the recognized words or phrases;~~

~~determining the request based on the interpretation of the natural language utterance;~~

determining, by the one or more processors, a context for the natural language utterance based ~~at least~~ on the recognized words or phrases;

selecting, by the one or more processors, ~~an advertisement~~ a purchase opportunity based ~~at least~~ on the determined context;

~~providing~~ delivering, by the one or more processors, the selected ~~advertisement~~ purchase opportunity via an electronic device in communication with the one or more processors ~~via an output device coupled to the conversational language processor~~;

~~obtaining a response to the request; and~~

~~providing the response to the request.~~

tracking, by the one or more processors, an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the advertisement;

building or updating, by the one or more processors, a user-specific profile based on the tracked interaction pattern; and

interpreting, by the one or more processors, a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

2. (**New**) The method of claim 1, wherein the purchase opportunity relates to an item, the method further comprising:

receiving, by the one or more processors, a second natural language utterance;

determining, by the one or more processors, that the second natural language utterance comprises a request to purchase the item; and

completing, by the one or more processors, a purchase transaction of the item based on the second natural language
utterance.

3. (**New**) The method of claim 1, the method further comprising:

receiving, by the one or more processors, an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction;

determining, by the one or more processors, whether the interpretation of the natural language utterance was correct based on the indication; and

interpreting, by the one or more processors, a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct.

4. (**New**) The method of claim 1, wherein delivering the selected purchase opportunity via the electronic device comprises:

audibly presenting, by the electronic device, a natural language conversational purchase opportunity.

5. (**New**) The method of claim 1, wherein the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, the method further comprising:

providing, by the one or more processors, the words or phrases as an input to the conversational language processor; and

receiving, by the one or more processors, an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance.

6. (**New**) The method of claim 5, wherein the conversational language processor comprises one or more domain agents, where a domain agent is configured to assist in: (i) interpreting requests related to its domain; and (ii) determining a response to the requests related to its domain.

7. (**New**) The method of claim 6, wherein the domain agents comprise an electronic commerce agent configured to select the purchase opportunity related to its domain.

8. (**New**) The method of claim 1, wherein recognizing the words or phrases from the natural language utterance comprises:

using, by the speech recognition engine, phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

9. (**New**) The method of claim 1, the method further comprising:

using, by the one or more processors, an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information.

10. (**New**) The method of claim 1, wherein the environmental information comprises a user location, a user activity, or a user action.

11. (**New**) A system for processing natural language utterances that include requests and selecting and presenting purchase opportunities based thereon, the system comprising:

one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to:

provide a natural language utterance as an input to a speech recognition engine;

receive words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine;

determine a context for the natural language utterance based on the recognized words or phrases;

select a purchase opportunity based on the determined context;

deliver the selected purchase opportunity via an electronic device in communication with the one or more processors;

track an interaction pattern associated with the purchase opportunity delivered to the electronic device, wherein the tracked interaction pattern associated with the purchase opportunity includes information associated with a subsequent request in which the electronic device interacts with the purchase opportunity, wherein the subsequent request in which the electronic device interacts with the purchase opportunity includes the electronic device completing a transaction related to the advertisement;

build or update a user-specific profile based on the tracked interaction pattern; and

interpret a subsequent natural language utterance using the user-specific profile to select a subsequent purchase opportunity based on the subsequent natural language utterance.

12. (**New**) The system of claim 11, wherein the purchase opportunity relates to an item, and wherein the one or more processors are further programmed to:

receive a second natural language utterance;

determine that the second natural language utterance comprises a request to purchase the item; and

complete a purchase transaction of the item based on the second natural language utterance.

13. (**New**) The system of claim 11, wherein the one or more processors are further programmed to:

receive an indication of an occurrence of a user interaction with the purchase opportunity, wherein the interaction pattern includes the user interaction;

determine whether the interpretation of the natural language utterance was correct based on the indication; and

interpret a subsequent natural language utterance based on the determination of whether the interpretation of the natural language utterance was correct.

14. (**New**) The system of claim 11, wherein to deliver the selected purchase opportunity, the electronic device is configured to:

audibly present a natural language conversational purchase opportunity.

15. (**New**) The system of claim 11, wherein the computer program instructions comprise at least a conversational language processor configured to interpret a natural language utterance, wherein the one or more processors are further programmed to:

provide the words or phrases as an input to the conversational language processor; and

receive an interpretation of the natural language utterance, based on the words or phrases, as an output of the conversational language processor, wherein the purchase opportunity is selected based further on the interpretation of the natural language utterance.

16. (**New**) The system of claim 15, wherein the conversational language processor comprises one or more domain agents, where a domain agent is configured to assist in: (i) interpreting requests related to its domain; and (ii) determining a response to the requests related to its domain.

17. (**New**) The system of claim 16, wherein the domain agents comprise an electronic commerce agent configured to select the purchase opportunity related to its domain.

18. (**New**) The system of claim 11, wherein to recognize the words or phrases from the natural language utterance, the speech recognition engine is configured to:

use phonetic dictation to recognize a stream of phonemes in the natural language utterance, wherein the recognized words or phrases are based on the recognized stream of phonemes.

19. (**New**) The system of claim 11, wherein the one or more processors are further programmed to:

use an environmental model to determine environmental information, wherein the context for the natural language utterance is determined based further on the environmental information.

20. (**New**) The system of claim 11, wherein the environmental information comprises a user location, a user activity, or a user action.

AMENDMENTS TO THE SPECIFICATION

Please replace paragraph [001] of the "Cross Reference to Related Applications" section of the as-filed Specification with the following replacement paragraph (identifying insertions and ~~deletions~~):

[001] This application is a continuation of U.S. Patent Application Serial No. 15/223,870, entitled "System and Method for Delivering Targeted Advertisements and/or Providing Natural Language Processing Based on Advertisements", filed July 29, 2016 (which issued as U.S. Patent No. 10,134,060 on November 20, 2018), which is a continuation of U.S. Patent Application Serial No. 14/836,606, entitled "System and Method for Delivering Targeted Advertisements and/or Providing Natural Language Processing Based on Advertisements," filed August 26, 2015 (which issued as U.S. Patent No. 9,406,078 on August 2, 2016), which is a continuation of U.S. Patent Application Serial No. 14/537,598, entitled "System and Method for Delivering Targeted Advertisements and/or Providing Natural Language Processing Based on Advertisements," filed November 10, 2014 (which issued as U.S. Patent No. 9,269,097 on February 23, 2016), which is a continuation of U.S. Patent Application Serial No. 14/016,757, entitled "System and Method for Delivering Targeted Advertisements and Tracking Advertisement Interactions in Voice Recognition Context," filed September 3, 2013 (which issued as U.S. Patent No. 8,886,536 on November 11, 2014), which is a continuation of U.S. Patent Application Serial No. 13/371,870, entitled "System and Method for Delivering Target Advertisements and Tracking Advertisement Interactions in Voice Recognition Context," filed February 13, 2012 (which issued as U.S. Patent No. 8,527,274 on September 3, 2013), which is a continuation of U.S. Patent Application Serial No. 12/847,564, entitled "System and Method for Selecting and Presenting Advertisements Based on Natural Language Processing of Voice-Based Input," filed July 30, 2010 (which issued as U.S. Patent No. 8,145,489 on March 27, 2012), which is a continuation of U.S. Patent Application Serial No. 11/671,526, entitled "System and Method for Selecting and Presenting Advertisements Based on Natural Language Processing of Voice-Based Input," filed February 6, 2007 (which issued as U.S. Patent No. 7,818,176 on October 19, 2010), the contents of which are hereby incorporated by reference in their entirety.

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2657
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5898760		1999-04-27	SMETS RAYMOND J	
	2	8972354		2015-03-03	TELANG NILESH	

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

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20010011336		2001-08-02	SITKA LARRY R	
	2	20050080821		2005-04-14	BREIL PETER D	
	3	20050138168		2005-06-23	HOFFMAN PHILIP M	
	4	20170004588		2017-01-05	ISAACSON THOMAS M	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

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

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-08-30
Name/Print	Mark A. Patrick	Registration Number	72,958

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

Electronic Acknowledgement Receipt

EFS ID:	37033158
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	30-AUG-2019
Filing Date:	19-NOV-2018
Time Stamp:	14:22:31
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	497812 95f7adc8eb1e1d8075418b34ec132aa055bedfb7	no	1
Warnings:					

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053258 e93813c3591dfc8d0f28b02e0178f2274bfb6aae	no	4
Warnings:					
Information:					
			Total Files Size (in bytes):	1551070	

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(c), this Information Disclosure Statement is being filed after the period specified in 37 CFR 1.97(b) and before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application.

CERTIFICATION STATEMENT

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

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(c), and is accompanied by the certification statement of 37 CFR 1.97(e)(2).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Mark A. Patrick /	**Date**	2019-08-30
Name	Mark A. Patrick	**Registration Number**	72,958

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

133759 7590 08/22/2019

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	

ART UNIT	PAPER NUMBER
2657	

NOTIFICATION DATE	DELIVERY MODE
08/22/2019	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

Office Action Summary	**Application No.** 16/194,944	**Applicant(s)** FREEMAN et al.	
	Examiner BRIAN L ALBERTALLI	**Art Unit** 2657	**AIA (FITF) Status** Yes

-- 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 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

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

Status

1)☐ Responsive to communication(s) filed on _____.

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

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

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

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

Disposition of Claims*

5) ☑ Claim(s) 1 is/are pending in the application.

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

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 1 is/are rejected.

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

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

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

Application Papers

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

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

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

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

Priority under 35 U.S.C. § 119

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

Certified copies:

a)☐ All b)☐ Some** c)☐ None of the:

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

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

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

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

Attachment(s)

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

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

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

4) ☐ Other: _____.

Notice of Pre-AIA or AIA Status

The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (a)(2) the claimed invention was described in a patent issued under section 151, or in an application for patent published or deemed published under section 122(b), in which the patent or application, as the case may be, names another inventor and was effectively filed before the effective filing date of the claimed invention.

Claim(s) 1 is/are rejected under 35 U.S.C. 102(a)(2) as being anticipated by Cross et al. (U.S. Patent Application Pub. No. 2008/0065389, hereinafter "Cross").

In regard to claim 1, Cross discloses a method for processing natural language utterances that include requests and selecting and presenting advertisements based thereon (see Abstract), the method being implemented by one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method (Fig. 1, a server 16 inherently includes at least one programmed processor, paragraph [0024]), the computer program instructions comprising at least a conversational language processor configured to interpret a natural language utterance, which relates to a request, based on words or phrases recognized from the natural language utterance (a request comprising a fully-formed question, sentence, keyword, or search phrase is received from the user, paragraph [0022]; and recognized and interpreted by an automated interactive speech response system, paragraph [0025]), the method comprising:

in response to receiving the natural language utterance, providing the natural language utterance as an input to a speech recognition engine (user queries 12 are provided to automatic speech recognizers, paragraph [0025]);

in response to receiving the words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine, providing the words or phrases as an input to the conversational language processor (the transcribed keywords are passed to one or more search engines or resources, paragraph [0031]);

interpreting the natural language utterance, at the conversational language processor, based on the recognized words or phrases (after transcription to text, words from the voice query are interpreted to differentiate, for example, Apple™ computer products and apple fruits, paragraph [0040]);

determining the request based on the interpretation of the natural language utterance (a request pertaining to the question input by the user is determined, paragraph [0046]);

determining a context for the natural language utterance based at least on the recognized words or phrases (in addition to the words of a query, additional information for selecting advertisements is determined, paragraphs [0028-0029]);

selecting an advertisement based at least on the determined context (the information is used to select an advertisement, paragraphs [0028-0029]);

providing the selected advertisement via an output device coupled to the conversational language processor (the advertisement is played back to the user, paragraphs [0035] and [0041]);

obtaining a response to the request (responses to the user request are received, paragraph [0023]); and

providing the response to the request (the responses are returned to the user, paragraph [0023]).

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to BRIAN LOUIS ALBERTALLI whose telephone number is (571)272-7616. The examiner can normally be reached on M-F 8:30-6:00.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Daniel Washburn can be reached on 571-272-5551. 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.

BLA 8/19/19

/BRIAN L ALBERTALLI/
Primary Examiner, Art Unit 2657

Notice of References Cited	Application/Control No. 16/194,944	Applicant(s)/Patent Under Reexamination FREEMAN et al.	
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*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	CPC Classification	US Classification
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	B					
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*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	CPC Classification
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*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.

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
	Examiner	Art Unit
	BRIAN L ALBERTALLI	2657

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

CLAIMS										
☐ Claims renumbered in the same order as presented by applicant			☐ CPA		☐ T.D.		☐ R.1.47			
CLAIM		DATE								
Final	Original	08/19/2019								
	1	✓								

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Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	16/194,944	FREEMAN et al.
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CPC - Searched*		
Symbol	Date	Examiner
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA

CPC Combination Sets - Searched*		
Symbol	Date	Examiner

US Classification - Searched*			
Class	Subclass	Date	Examiner

* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

Search Notes		
Search Notes	Date	Examiner
G06Q 30/0251	08/19/2019	BLA
G06F 17/27	08/19/2019	BLA
G10L 15/22	08/19/2019	BLA
EAST Search	08/19/2019	BLA

Interference Search			
US Class/CPC Symbol	US Subclass/CPC Group	Date	Examiner

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

PTO/SB/08a (02-18)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

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Art Unit	TBD
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Attorney Docket Number	62KC-287092

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	215	20090299857		2009-12-03	Brubaker	
	216	20090304161		2009-12-10	Pettyjohn	
	217	20090307031		2009-12-10	Winkler	
	218	20090313026		2009-12-17	Coffman	
	219	20090319517		2009-12-24	Ramananthan V. Guha	
	220	20100023320		2010-01-28	Cristo	
	221	20100023331		2010-01-28	DUTA NICOLAE	
	222	20100029261		2010-02-04	Mikkelsen	
	223	20100036967		2010-02-11	Caine	
	224	20100049501		2010-02-25	Kennewick	
	225	20100049514		2010-02-25	Kennewick	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	226	20100057443		2010-03-04	Cristo	
	227	20100063880		2010-03-11	Atsmon	
	228	20100064025		2010-03-11	Nelimarkka	
	229	20100094707		2010-04-15	Freer	
	230	20100138300		2010-06-03	R. Tyler Wallis	
	231	20100145700		2010-06-10	Kennewick	
	232	20100185512		2010-07-22	Borger	
	233	20100191856		2010-07-29	GUPTA APURV	
	234	20100204986		2010-08-12	Kennewick	
	235	20100204994		2010-08-12	Kennewick	
	236	20100217604		2010-08-26	Baldwin	

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	237	20100268536		2010-10-21	SUENDERMANN DAVID	
	238	20100286985		2010-11-11	Kennewick	
	239	20100299142		2010-11-25	Freeman	
	240	20100312547		2010-12-09	VAN OS MARCEL	
	241	20100312566		2010-12-09	Odinak	
	242	20100318357		2010-12-16	Anthony F. Istvan	
	243	20100331064		2010-12-30	Michelstein	
	244	20110022393		2011-01-27	Waller	
	245	20110106527		2011-05-05	Chiu	
	246	20110112827		2011-05-12	Kennewick	
	247	20110112921		2011-05-12	Kennewick	

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	Attorney Docket Number	62KC-287092

	248	20110119049		2011-05-19	Ylonen	
	249	20110131036		2011-06-02	DiCristo	
	250	20110131045		2011-06-02	Cristo	
	251	20110231182		2011-09-22	Weider	
	252	20110231188		2011-09-22	Kennewick	
	253	20110238409		2011-09-29	Jean-Marie Henri Daniel Larcheveque	
	254	20110307167		2011-12-15	Taschereau	
	255	20120022857		2012-01-26	Baldwin	
	256	20120041753		2012-02-16	Marc Dymetman	
	257	20120046935		2012-02-23	Nagao	
	258	20120101809		2012-04-26	Kennewick	

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	260	20120109753		2012-05-03	Kennewick	
	261	20120150620		2012-06-14	Mandyam	
	262	20120150636		2012-06-14	Freeman	
	263	20120239498		2012-09-20	Ramer	
	264	20120240060		2012-09-20	Pennington	
	265	20120265528		2012-10-18	Thomas Robert Gruber	
	266	20120278073		2012-11-01	Weider	
	267	20130006734		2013-01-03	Ocko	
	268	20130054228		2013-02-28	Baldwin	
	269	20130060625		2013-03-07	Davis	

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	270	20130080177		2013-03-28	Chen	
	271	20130211710		2013-08-15	Kennewick	
	272	20130253929		2013-09-26	Weider	
	273	20130254314		2013-09-26	Chow	
	274	20130297293		2013-11-07	Cristo	
	275	20130304473		2013-11-14	Baldwin	
	276	20130311324		2013-11-21	Stoll	
	277	20130332454		2013-12-12	Gunther Stuhec	
	278	20130339022		2013-12-19	Baldwin	
	279	20140006951		2014-01-02	Hunter	
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	281	20140025371		2014-01-23	Sunyoung Min	
	282	20140108013		2014-04-17	Cristo	
	283	20140136187		2014-05-15	WOLVERTON MICHAEL J	
	284	20140156278		2014-06-05	Kennewick	
	285	20140195238		2014-07-10	Makoto Terao	
	286	20140236575		2014-08-21	Tur	
	287	20140249821		2014-09-04	Kennewick	
	288	20140249822		2014-09-04	Baldwin	
	289	20140278413		2014-09-18	Pitschel	
	290	20140278416		2014-09-18	Adrian M. Schuster	
	291	20140288934		2014-09-25	Kennewick	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	292	20140330552		2014-11-06	Srinivas Bangalore	
	293	20140337007		2014-11-13	WAIBEL NAOMI AOKI	
	294	20140365222		2014-12-11	Weider	
	295	20150019211		2015-01-15	Patrice Y. Simard	
	296	20150019217		2015-01-15	Cristo	
	297	20150019227		2015-01-15	Anandarajah	
	298	20150066479		2015-03-05	PASUPALAK SAM	
	299	20150066627		2015-03-05	Freeman	
	300	20150073910		2015-03-12	Kennewick	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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Doc code: IDS
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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	10	6968311		2005-11-22	Knockeart	
	11	6973387		2005-12-06	Masclet	
	12	6975983		2005-12-13	FORTESCUE NICHOLAS DAVID	
	13	6975993		2005-12-13	Keiller	
	14	6980092		2005-12-27	Turnbull	
	15	6983055		2006-01-03	Luo	
	16	6990513		2006-01-24	Belfiore	
	17	6996531		2006-02-07	Korall	
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	19	7016849		2006-03-21	Arnold	

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	21	7024364		2006-04-04	Guerra	
	22	7027586		2006-04-11	Bushey	
	23	7027974		2006-04-11	Justin Eliot Busch	
	24	7027975		2006-04-11	Pazandak	
	25	7031908		2006-04-18	HUANG XUEDONG D	
	26	7035415		2006-04-25	Belt	
	27	7036128		2006-04-25	Julia	
	28	7043425		2006-05-09	Pao	
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	30	7058890		2006-06-06	George	

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	32	7069220		2006-06-27	Coffman	
	33	7072834		2006-07-04	Zhou	
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	35	7076362		2006-07-11	Ohtsuji	
	36	7082469		2006-07-25	Gold	
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	38	7092928		2006-08-15	Elad	
	39	7107210		2006-09-12	Deng	
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	41	7110951		2006-09-19	Lemelson	

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	44	7130390		2006-10-31	Abburi	
	45	7136875		2006-11-14	Anderson	
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	84	7386443		2008-06-10	Parthasarathy	
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	94	7454608		2008-11-18	Gopalakrishnan	
	95	7461059		2008-12-02	Richardson	
	96	7472020		2008-12-30	Brulle-Drews	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	97	7472060		2008-12-30	Gorin	
	98	7472075		2008-12-30	Odinak	
	99	7477909		2009-01-13	Roth	
	100	7478036		2009-01-13	Shen	
	101	7487088		2009-02-03	Gorin	
	102	7487110		2009-02-03	Bennett	
	103	7493259		2009-02-17	Jones	
	104	7493559		2009-02-17	Wolff	
	105	7502672		2009-03-10	Kolls	
	106	7502730		2009-03-10	WANG KUANSAN	
	107	7502738		2009-03-10	Kennewick	

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	Attorney Docket Number	62KC-287092

	108	7512906		2009-03-31	BAIER JOHN JOSEPH	
	109	7516076		2009-04-07	Walker	
	110	7529675		2009-05-05	Maes	
	111	7536297		2009-05-19	Byrd	
	112	7536374		2009-05-19	Au	
	113	7542894		2009-06-02	Murata	
	114	7546382		2009-06-09	Healey	
	115	7548491		2009-06-16	Macfarlane	
	116	7552054		2009-06-23	Stifelman	
	117	7558730		2009-07-07	Davis	
	118	7574362		2009-08-11	Walker	

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	119	7577244		2009-08-18	Taschereau	
	120	7606708		2009-10-20	Hwang	
	121	7606712		2009-10-20	SMITH STEVEN G	
	122	7620549		2009-11-17	DiCristo	
	123	7634409		2009-12-15	Kennewick	
	124	7640006		2009-12-29	Portman	
	125	7640160		2009-12-29	DiCristo	
	126	7640272		2009-12-29	Mahajan	
	127	7672931		2010-03-02	Hurst-Hiller	
	128	7676365		2010-03-09	Hwang	
	129	7676369		2010-03-09	Fujimoto	

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	130	7684977		2010-03-23	Morikawa	
	131	7693720		2010-04-06	Kennewick	
	132	7697673		2010-04-13	Chiu	
	133	7706616		2010-04-27	Kristensson	
	134	7729916		2010-06-01	Coffman	
	135	7729918		2010-06-01	Walker	
	136	7729920		2010-06-01	Chaar	
	137	7734287		2010-06-08	Ying	
	138	7748021		2010-06-29	Obradovich	
	139	7788084		2010-08-31	Brun	
	140	7792257		2010-09-07	Vanier	

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	141	7801731		2010-09-21	Odinak	
	142	7809570		2010-10-05	Kennewick	
	143	7818176		2010-10-19	Freeman	
	144	7831426		2010-11-09	Bennett	
	145	7831433		2010-11-09	Belvin	
	146	7856358		2010-12-21	Ho	
	147	7873519		2011-01-18	Bennett	
	148	7873523		2011-01-18	Potter	
	149	7873654		2011-01-18	Bernard	
	150	7881936		2011-02-01	Longe	
	151	7890324		2011-02-15	Bangalore	

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	152	7894849		2011-02-22	Kass	
	153	7902969		2011-03-08	Obradovich	
	154	7917367		2011-03-29	DiCristo	
	155	7920682		2011-04-05	Byrne	
	156	7949529		2011-05-24	Weider	
	157	7949537		2011-05-24	Walker	
	158	7953732		2011-05-31	Frank	
	159	7974875		2011-07-05	Quilici	
	160	7983917		2011-07-19	Kennewick	
	161	7984287		2011-07-19	Gopalakrishnan	
	162	8005683		2011-08-23	Tessel	

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	163	8015006		2011-09-06	Kennewick	
	164	8024186		2011-09-20	Jeremy S. De Bonet	
	165	8027965		2011-09-27	Mitsuru Takehara	
	166	8032383		2011-10-04	Bhardwaj	
	167	8060367		2011-11-15	Keaveney	
	168	8069046		2011-11-29	Kennewick	
	169	8073681		2011-12-06	Baldwin	
	170	8077975		2011-12-13	Ma	
	171	8082153		2011-12-20	Coffman	
	172	8086463		2011-12-27	Ativanichayaphong	
	173	8103510		2012-01-24	Sato	

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	174	8112275		2012-02-07	Kennewick	
	175	8140327		2012-03-20	Kennewick	
	176	8140335		2012-03-20	Kennewick	
	177	8145489		2012-03-27	Freeman	
	178	8150694		2012-04-03	Kennewick	
	179	8155962		2012-04-10	Kennewick	
	180	8170867		2012-05-01	Germain	
	181	8180037		2012-05-15	Delker	
	182	8195468		2012-06-05	Weider	
	183	8200485		2012-06-12	Lee	
	184	8204751		2012-06-19	Giuseppe Di Fabbrizio	

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	185	8219399		2012-07-10	Lutz	
	186	8219599		2012-07-10	Tunstall-Pedoe	
	187	8224652		2012-07-17	Wang	
	188	8255224		2012-08-28	Singleton	
	189	8326599		2012-12-04	Nadi Tomeh	
	190	8326627		2012-12-04	Kennewick	
	191	8326634		2012-12-04	DiCristo	
	192	8326637		2012-12-04	Baldwin	
	193	8332224		2012-12-11	DiCristo	
	194	8340975		2012-12-25	Theodore Alfred Rosenberger	
	195	8346563		2013-01-01	Hjelm	

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	196	8370147		2013-02-05	Kennewick	
	197	8447607		2013-05-21	Weider	
	198	8447651		2013-05-21	Nathaniel B. Scholl	
	199	8452598		2013-05-28	Kennewick	
	200	8503995		2013-08-06	Ramer	
	201	8509403		2013-08-13	Chiu	
	202	8515765		2013-08-20	Baldwin	
	203	8527274		2013-09-03	Freeman	
	204	8577671		2013-11-05	Rakesh Barve	
	205	8589161		2013-11-19	Kennewick	
	206	8612205		2013-12-17	Gregory Alan Hanneman	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	207	8612206		2013-12-17	Achraf Chalabi	
	208	8620659		2013-12-31	DiCristo	
	209	8719005		2014-05-06	Lee	
	210	8719009		2014-05-06	Baldwin	
	211	8719026		2014-05-06	Kennewick	
	212	8731929		2014-05-20	Kennewick	
	213	8738380		2014-05-27	Baldwin	
	214	8849652		2014-09-30	Weider	
	215	8849670		2014-09-30	DiCristo	
	216	8849696		2014-09-30	Pansari	
	217	8849791		2014-09-30	Hertschuh	

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	218	8886536		2014-11-11	Freeman	
	219	8972243		2015-03-03	Nikko Strom	
	220	8983839		2015-03-17	Kennewick	
	221	9009046		2015-04-14	Stewart	
	222	9015049		2015-04-21	Baldwin	
	223	9037455		2015-05-19	Faaborg	
	224	9070366		2015-06-30	Lambert Mathias	
	225	9070367		2015-06-30	Bjorn Hoffmeister	
	226	9105266		2015-08-11	Baldwin	
	227	9171541		2015-10-27	Kennewick	
	228	9269097		2016-02-23	Freeman	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	229	9305548		2016-04-05	Kennewick	
	230	9308445		2016-04-12	Michael M. Merzenich	
	231	9318108		2016-04-19	GRUBER THOMAS ROBERT	
	232	9406078		2016-08-02	Freeman	
	233	9443514		2016-09-13	Gabriel Taubman	
	234	9502025		2016-11-22	Mike Kennewick	
	235	9711143		2017-07-18	KENNEWICK ROBERT A	

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	2	20010041980		2001-11-15	Howard	

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	3	20010047261		2001-11-29	Peter Kassan	
	4	20010049601		2001-12-06	Kroeker	
	5	20010054087		2001-12-20	Flom	
	6	20020002548		2002-01-03	Brian Roundtree	
	7	20020007267		2002-01-17	BATCHILO LEONID	
	8	20020010584		2002-01-24	Schultz	
	9	20020015500		2002-02-07	Belt	
	10	20020022927		2002-02-21	Lemelson	
	11	20020022956		2002-02-21	Igor Ukrainczyk	
	12	20020029186		2002-03-07	Roth	
	13	20020029261		2002-03-07	Shibata	

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	14	20020032752		2002-03-14	Gold	
	15	20020035501		2002-03-21	Handel	
	16	20020040297		2002-04-04	Tsiao	
	17	20020049535		2002-04-25	Rigo	
	18	20020049805		2002-04-25	Yamada	
	19	20020059068		2002-05-16	Rose	
	20	20020065568		2002-05-30	Silfvast	
	21	20020067839		2002-06-06	Heinrich	
	22	20020069059		2002-06-06	Smith	
	23	20020069071		2002-06-06	Knockeart	
	24	20020073176		2002-06-13	Ikeda	

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	25	20020082911		2002-06-27	Dunn	
	26	20020087312		2002-07-04	Lee	
	27	20020087326		2002-07-04	Lee	
	28	20020087525		2002-07-04	Abbott	
	29	20020107694		2002-08-08	Lerg	
	30	20020120609		2002-08-29	Lang	
	31	20020124050		2002-09-05	Middeljans	
	32	20020133347		2002-09-19	Eberhard Schoneburg	
	33	20020133354		2002-09-19	Ross	
	34	20020133402		2002-09-19	Faber	
	35	20020135618		2002-09-26	Maes	

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	37	20020143532		2002-10-03	McLean	
	38	20020143535		2002-10-03	Kist	
	39	20020152260		2002-10-17	Chen	
	40	20020161646		2002-10-31	Gailey	
	41	20020161647		2002-10-31	Michael Gailey	
	42	20020169597		2002-11-14	Vitaliy Fain	
	43	20020173333		2002-11-21	Buchholz	
	44	20020173961		2002-11-21	Guerra	
	45	20020178003		2002-11-28	GEHRKE JAMES K	
	46	20020184373		2002-12-05	Maes	

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	47	20020188455		2002-12-12	SHIODA TAKEHIKO	
	48	20020188602		2002-12-12	Stubler	
	49	20020198714		2002-12-26	Zhou	
	50	20030005033		2003-01-02	Sudhir Mohan	
	51	20030014261		2003-01-16	Kageyama	
	52	20030016835		2003-01-23	Elko	
	53	20030036903		2003-02-20	Courtney Konopka	
	54	20030046071		2003-03-06	Blair Wyman	
	55	20030046281		2003-03-06	Chan Son	
	56	20030046346		2003-03-06	Mumick	
	57	20030064709		2003-04-03	Gailey	

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	59	20030069734		2003-04-10	Everhart	
	60	20030069880		2003-04-10	Tom Harrison	
	61	20030088421		2003-05-08	Maes	
	62	20030093419		2003-05-15	Srinivas Bangalore	
	63	20030097249		2003-05-22	Walker	
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CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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

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

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

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

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

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

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

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

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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L6	44335	G06Q30/025$.cpc.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 13:19
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L8	106	l7 and (natural$5 near2 language$5) and context$10	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 13:20
L9	1070	l6 and (natural$5 near2 language$5) and context$10	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 13:21
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S1	487	(704/$.ccls. or G10L$/$.cpc.) and (ad or ads or advertis$10).ti.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/16 16:14
S2	709	(704/$.ccls. or G10L$/$.cpc.) and ((ad or ads or advertis$10) with context$10)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/16 16:15
S3	120	S1 and S2	US-PGPUB;	OR	OFF	2019/08/16

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Exhibit 1003
Page 524

			USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB			16:16
S4	1	(11/530921).APP.	USPAT; USOCR	OR	OFF	2019/08/19 10:44
S5	144	("20020007276" | "20020049594" | "20020065944" | "20020092019" | "20020099553" | "20020120554" | "20020147593" | "20020184610" | "20030039341" | "20030046316" | "20030046346" | "20030101451" | "20030125945" | "20030179865" | "20030182622" | "20030195739" | "20030217161" | "20030229900" | "20030235282" | "20040019487" | "20040025115" | "20040031058" | "20040044516" | "20040049390" | "20040059705" | "20040083109" | "20040120472" | "20040120476" | "20040138890" | "20040153323" | "20040179038" | "20040216036" | "20040236574" | "20040260562" | "20050075884" | "20050091059" | "20050131701" | "20050137862" | "20050138219" | "20050138647" | "20050154580" | "20050160461" | "20050203729" | "20050203747" | "20050261908" | "20050273769" | "20050283367" | "20051888412" | "20060047510" | "20060064302" | "20060069564" | "20060074680" | "20060075120" | "20060111906" | "20060122836" | "20060123358" | "20060136222" | "20060136228" | "20060146728" | "20060168095" | "20060168595" | "20060184626" | "20060190264" | "20060218039" | "20060229880" | "20060235694" | "20060287845" | "20060287865" | "20060287866" | "20060288309" | "20070265851" | "20070274296" | "20070274297" | "20070288241" | "20070294084" | "20080065386" | "20080065387" | "20080065388" | "20080065389" | "20080065390" | "20080086564" | "20080140410" | "20080162136" | "20080177530" | "20080195393" | "20080208584" | "20080208585" | "20080208586" | "20080208587" | "20080208588" | "20080208589" | "20080208590" | "20080208591").PN. OR ("20080208592" | "20080208593" | "20080208594" | "20080228494" | "20080228495" | "20080235021" | "20080235022" | "20080235027" | "20080235029" | "20080249782" | "20080255850" | "20080255851" | "5553119" | "5577165" | "5584052" | "5969717" | "6208972" | "6243375" | "6275806" | "6301560" | "6513011" | "6606599" | "6708153" |	US-PGPUB; USPAT; USOCR	OR	OFF	2019/08/19 10:45

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Exhibit 1003
Page 525

		"6813605" | "6856960" | "6920425" | "6932668" | "6999930" | "7035805" | "7171243" | "7188067" | "7330890" | "7376586" | "7409349" | "7412422" | "7454348" | "7487085" | "7509659" | "7552403" | "7640160" | "7693719").PN. OR ("7957976").URPN.				
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S7	709	(704/$.ccls. or G10L$/$.cpc.) and ((ad or ads or advertis$10) with context$10)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 10:55
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S9	489	(704/$.ccls. or G10L$/$.cpc.) and (ad or ads or advertis$10).ti.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 10:56
S10	120	S9 and S7	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 10:56
S11	174	S8 not S10	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2019/08/19 10:56

EAST Search History (Interference)

< This search history is empty>

8/19/2019 2:23:46 PM
C:\Users\balbertalli\Documents\EAST\Workspaces\16194944B.wsp

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Exhibit 1003
Page 526

Bibliographic Data

Application No: 16/194,944

Foreign Priority claimed: ○ Yes ◉ No

35 USC 119 (a-d) conditions met: ☐ Yes ☐ No ☐ Met After Allowance

Verified and Acknowledged: /BRIAN L ALBERTALLI/ Examiner's Signature | Initials

Title: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
11/19/2018	705	2657	
RULE			

APPLICANTS

VB Assets, LLC, Bellevue, WA, UNITED STATES

INVENTORS

Tom FREEMAN Mercer Island, WA, UNITED STATES

Mike KENNEWICK Bellevue, WA, UNITED STATES

CONTINUING DATA

This application is a CON of 15223870 07/29/2016 PAT 10134060

15223870 is a CON of 14836606 08/26/2015 PAT 9406078

14836606 is a CON of 14537598 11/10/2014 PAT 9269097

14537598 is a CON of 14016757 09/03/2013 PAT 8886536

14016757 is a CON of 13371870 02/13/2012 PAT 8527274

13371870 is a CON of 12847564 07/30/2010 PAT 8145489

12847564 is a CON of 11671526 02/06/2007 PAT 7818176

FOREIGN APPLICATIONS

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2657
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5860059		1999-01-12	AUST HARALD	
	2	5982906		1999-11-09	ONO YOSHIHIRO	
	3	6377919		2002-04-23	BURNETT GREG C	
	4	6823308		2004-11-23	KEILLER ROBERT ALEXANDER	
	5	7146315		2006-12-05	BALAN RADU VICTOR	
	6	7729913		2010-06-01	LEE NICHOLAS J	

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	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1	20010021905		2001-09-13	BURNETT GREG C	
	2	20050060142		2005-03-17	VISSER ERIK	

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	1		

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Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	08/19/2019

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

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	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-02-28
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
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Application Number	TBD
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	62KC-287092

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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	1	20150095159		2015-04-02	Kennewick	
	2	20150142447		2015-05-21	Kennewick	
	3	20150170641		2015-06-18	Kennewick	
	4	20150193379		2015-07-09	Sarin S. Mehta	
	5	20150199339		2015-07-16	Shachar Mirkin	

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	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	6	20150228276		2015-08-13	Baldwin	
	7	20150293917		2015-10-15	John P. Bufe	
	8	20150348544		2015-12-03	Baldwin	
	9	20150348551		2015-12-03	Thomas R. Gruber	
	10	20150364133		2015-12-17	Freeman	
	11	20160049152		2016-02-18	Kennewick	
	12	20160078482		2016-03-17	Kennewick	
	13	20160078491		2016-03-17	Kennewick	
	14	20160078504		2016-03-17	Kennewick	
	15	20160078773		2016-03-17	Carter	
	16	20160110347		2016-04-21	Kennewick	

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	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	17	20160148610		2016-05-26	Kennewick	
	18	20160148612		2016-05-26	Guo	
	19	20160188292		2016-06-30	Carter	
	20	20160188573		2016-06-30	Tang	
	21	20160217785		2016-07-28	Robert A. Kennewick	
	22	20160335676		2016-11-17	Tom Freeman	

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

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	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

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Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	08/19/2019

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

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

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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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.

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

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

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

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

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

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Not for submission under 37 CFR 1.99)

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2657
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	8190436		2012-05-29	BANGALORE SRINIVAS	
	2	10089984		2018-10-02	KENNEWICK ROBERT A	

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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20060149633		2006-07-06	VOISIN CRAIG D	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	First Named Inventor	Tom FREEMAN
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	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

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

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	08/19/2019

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

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

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	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

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Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-06-05
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

Application Number	TBD
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	4430669		1984-02-07	Cheung	
	2	4821027		1989-04-11	Mallory	
	3	4829423		1989-05-09	Tennant	
	4	4887212		1989-12-12	Zamora	
	5	4910784		1990-03-20	Doddington	
	6	5027406		1991-06-25	Roberts	
	7	5155743		1992-10-13	Jacobs	
	8	5164904		1992-11-17	Sumner	

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	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	9	5208748		1993-05-04	Flores	
	10	5265065		1993-11-23	Turtle	
	11	5274560		1993-12-28	LaRue	
	12	5331554		1994-07-19	GRAHAM JAMES M	
	13	5357596		1994-10-18	Takebayashi	
	14	5369575		1994-11-29	Lamberti	
	15	5377350		1994-12-27	Skinner	
	16	5386556		1995-01-31	Hedin	
	17	5424947		1995-06-13	Nagao	
	18	5471318		1995-11-28	Ahuja	
	19	5475733		1995-12-12	Eisdorfer	

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	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	20	5479563		1995-12-26	Yamaguchi	
	21	5488652		1996-01-30	Bielby	
	22	5499289		1996-03-12	Bruno	
	23	5500920		1996-03-19	Kupiec	
	24	5517560		1996-05-14	Greenspan	
	25	5533108		1996-07-02	Harris	
	26	5537436		1996-07-16	Bottoms	
	27	5539744		1996-07-23	Chu	
	28	5557667		1996-09-17	Bruno	
	29	5559864		1996-09-24	KennedyJr	
	30	5563937		1996-10-08	Bruno	

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	Examiner Name	TBD
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	31	5577165		1996-11-19	Takebayashi	
	32	5590039		1996-12-31	Ikeda	
	33	5608635		1997-03-04	Tamai	
	34	5615296		1997-03-25	Vincent M. Stanford	
	35	5617407		1997-04-01	Bareis	
	36	5633922		1997-05-27	August	
	37	5634086		1997-05-27	Rtischev	
	38	5652570		1997-07-29	Lepkofker	
	39	5675629		1997-10-07	Raffel	
	40	5696965		1997-12-09	Dedrick	
	41	5708422		1998-01-13	Blonder	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	42	5721938		1998-02-24	Stuckey	
	43	5722084		1998-02-24	Chakrin	
	44	5740256		1998-04-14	CastelloDaCosta	
	45	5742763		1998-04-21	Jones	
	46	5748841		1998-05-05	Morin	
	47	5748974		1998-05-05	Johnson	
	48	5752052		1998-05-12	Richardson	
	49	5754784		1998-05-19	Garland	
	50	5761631		1998-06-02	Nasukawa	
	51	5774841		1998-06-30	Salazar	
	52	5774859		1998-06-30	Houser	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	53	5794050		1998-08-11	Dahlgren	
	54	5794196		1998-08-11	Yegnanarayanan	
	55	5797112		1998-08-18	Komatsu	
	56	5799276		1998-08-25	Komissarchik	
	57	5802510		1998-09-01	Jones	
	58	5829000		1998-10-27	Huang	
	59	5832221		1998-11-03	Jones	
	60	5839107		1998-11-17	Gupta	
	61	5848396		1998-12-08	Gerace	
	62	5855000		1998-12-29	Waibel	
	63	5867817		1999-02-02	Catallo	

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	Attorney Docket Number	62KC-287092

	64	5878385		1999-03-02	Bralich	
	65	5878386		1999-03-02	Coughlin	
	66	5892813		1999-04-06	Morin	
	67	5892900		1999-04-06	Ginter	
	68	5895464		1999-04-20	Bhandari	
	69	5895466		1999-04-20	Goldberg	
	70	5897613		1999-04-27	Chan	
	71	5899991		1999-05-04	Robert Karch	
	72	5902347		1999-05-11	Backman	
	73	5911120		1999-06-08	Jarett	
	74	5918222		1999-06-29	Fukui	

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	75	5926784		1999-07-20	Richardson	
	76	5933822		1999-08-03	Braden-Harder	
	77	5950167		1999-09-07	Yaker	
	78	5953393		1999-09-14	Culbreth	
	79	5960384		1999-09-28	Douglas E. Brash	
	80	5960397		1999-09-28	Rahim	
	81	5960399		1999-09-28	Barclay	
	82	5960447		1999-09-28	Holt	
	83	5963894		1999-10-05	Richardson	
	84	5963940		1999-10-05	Liddy	
	85	5983190		1999-11-09	Trowerll	

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	86	5987404		1999-11-16	DellaPietra	
	87	5991721		1999-11-23	Asano	
	88	5995119		1999-11-30	Cosatto	
	89	5995928		1999-11-30	Nguyen	
	90	5995943		1999-11-30	Bull	
	91	6009382		1999-12-28	Martino	
	92	6014559		2000-01-11	Amin	
	93	6018708		2000-01-25	Dahan	
	94	6021384		2000-02-01	Gorin	
	95	6028514		2000-02-22	Lemelson	
	96	6035267		2000-03-07	Watanabe	

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	97	6044347		2000-03-28	Abella	
	98	6049602		2000-04-11	Foladare	
	99	6049607		2000-04-11	Marash	
	100	6058187		2000-05-02	Chen	
	101	6067513		2000-05-23	Ishimitsu	
	102	6073098		2000-06-06	Buchsbaum	
	103	6076059		2000-06-13	Glickman	
	104	6078886		2000-06-20	Dragosh	
	105	6081774		2000-06-27	deHita	
	106	6085186		2000-07-04	Christianson	
	107	6101241		2000-08-08	Boyce	

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	108	6108631		2000-08-22	Ruhl	
	109	6119087		2000-09-12	Kuhn	
	110	6119101		2000-09-12	Peckover	
	111	6122613		2000-09-19	Baker	
	112	6134235		2000-10-17	Goldman	
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	115	6154526		2000-11-28	Dahlke	
	116	6160883		2000-12-12	Jackson	
	117	6167377		2000-12-26	Gillick	
	118	6173266		2001-01-09	Marx	

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	119	6173279		2001-01-09	Levin	
	120	6175858		2001-01-16	Bulfer	
	121	6185535		2001-02-06	Hedin	
	122	6188982		2001-02-13	Chiang	
	123	6192110		2001-02-20	Abella	
	124	6192338		2001-02-20	Haszto	
	125	6195634		2001-02-27	Dudemaine	
	126	6195651		2001-02-27	Handel	
	127	6199043		2001-03-06	Happ	
	128	6208964		2001-03-27	Sabourin	
	129	6208972		2001-03-27	Grant	

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	131	6219643		2001-04-17	Cohen	
	132	6219645		2001-04-17	BYERS CHARLES CALVIN	
	133	6226612		2001-05-01	Srenger	
	134	6233556		2001-05-15	Teunen	
	135	6233559		2001-05-15	Balakrishnan	
	136	6233561		2001-05-15	Junqua	
	137	6236968		2001-05-22	Kanevsky	
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	142	6269336		2001-07-31	Ladd	
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	144	6272461		2001-08-07	Phillip C. Meredith	
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	146	6278377		2001-08-21	DeLine	
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	148	6286002		2001-09-04	Axaopoulos	
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	153	6311159		2001-10-30	VanTichelen	
	154	6314402		2001-11-06	Monaco	
	155	6321196		2001-11-20	Franceschi	
	156	6356869		2002-03-12	Chapados	
	157	6362748		2002-03-26	Huang	
	158	6366882		2002-04-02	Bijl	
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	160	6374214		2002-04-16	Friedland	
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	183	6434529		2002-08-13	Walker	
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	199	6505155		2003-01-07	Vanbuskirk	
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	213	6567797		2003-05-20	Schuetze	
	214	6567805		2003-05-20	Johnson	
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	219	6574624		2003-06-03	Johnson	
	220	6578022		2003-06-10	Foulger	
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	224	6591185		2003-07-08	Ari Israel Polidi	
	225	6591239		2003-07-08	McCall	
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	230	6601029		2003-07-29	John Brian Pickering	
	231	6604075		2003-08-05	Brown	
	232	6604077		2003-08-05	Dragosh	
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	242	6636790		2003-10-21	Lightner	
	243	6643620		2003-11-04	Contolini	
	244	6647363		2003-11-11	Claassen	
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	247	6678680		2004-01-13	Woo	
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	259	6726636		2004-04-27	DerGhazarian	
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	263	6741931		2004-05-25	Kohut	
	264	6742021		2004-05-25	Halverson	
	265	6745161		2004-06-01	Arnold	
	266	6751591		2004-06-15	Gorin	
	267	6751612		2004-06-15	Schuetze	
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	278	6810375		2004-10-26	Ejerhed	
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	280	6816830		2004-11-09	Kempe	
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	285	6856990		2005-02-15	Barile	
	286	6865481		2005-03-08	Kawazoe	
	287	6868380		2005-03-15	Kroeker	
	288	6868385		2005-03-15	Gerson	
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	291	6877001		2005-04-05	Wolf	
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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /B.L.A/

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	18	VANHOUCKE, Vincent, "Confidence Scoring and Rejection Using Multi-Pass Speech Recognition", Nuance Communications, Menlo Park, CA, 2005, 4 pages.	
	19	WENG, Fuliang, et al., "Efficient Lattice Representation and Generation", Speech Technology and Research Laboratory, SRI International, Menlo Park, CA, 1998, 4 pages.	
	20	WU, Su-Lin, et al., "Incorporating Information from Syllable-Length Time Scales into Automatic Speech Recognition", Proceedings of the 1998 IEEE International Conference on Acoustics, Speech and Signal Processing, 1998, Volume 2, IEEE, 1998, 4 pages.	
	21	WU, Su-Lin, et al., "Integrating Syllable Boundary Information into Speech Recognition", IEEE International Conference on Acoustics, Speech, and Signal Processing, ICASSP-97, 1997, Volume 2, IEEE, 1997, 4 pages.	
	22	ZHAO, Yilin, "Telematics: Safe and Fun Driving", IEEE Intelligent Systems, Volume 17, Issue 1, 2002, pages 10-14.	

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

EXAMINER SIGNATURE

Examiner Signature	/BRIAN L ALBERTALLI/	Date Considered	08/19/2019

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

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

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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

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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.
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092	1070

133759 7590 07/03/2019

Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 10th Floor
Costa Mesa, CA 92626

EXAMINER	
ALBERTALLI, BRIAN LOUIS	

ART UNIT	PAPER NUMBER
2657	

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

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

In re Application of	PROCESSING BASED ON
FREEMAN et al.	ADVERTISEMENTS
Application No. 16/194,944	:
Filed: 19 Nov 2018	:
For: SYSTEM AND METHOD FOR	:
DELIVERING TARGETED	: DECISION ON PETITION
ADVERTISEMENTS AND/OR	:
PROVIDING NATURAL LANGUAGE	:
	:

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 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.

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 **ACCEPTED**.

Status a small entity has been removed. Accordingly, all future fees paid in this application must be paid at the undiscounted entity rate.

Inquiries related to this communication should be directed to the undersigned at (571) 272-1058.

/AngelaWalker/
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. 16/194,944	Applicant(s)/Patent Under Reexamination FREEMAN et al.	
	Deciding Official ALBERTALLI, BRIAN LOUIS	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

Enclosed is a copy of the latest communication from the United States Patent and Trademark Office in the above-identified Application/Patent.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Tom FREEMAN *et al.*	CONFIRMATION NO.:	1070
SERIAL NUMBER :	16/194,944	EXAMINER:	Brian Louis Albertalli
FILING DATE :	November 19, 2018	ART UNIT:	2657
FOR :	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS		

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-287092**).

Please contact the undersigned by telephone if there are any questions regarding this matter.

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By /Mark A. Patrick/
Mark A. Patrick
Registration No.: 72,958

Customer No.
133759

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2192

Dated: June 5, 2019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORS :	Tom FREEMAN *et al.*	CONFIRMATION NO.:	1070
SERIAL NUMBER :	16/194,944	EXAMINER:	Brian Louis Albertalli
FILING DATE :	November 19, 2018	ART UNIT:	2657
FOR :	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS		

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).

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 **$935.00,** to Deposit Account No. 504561 **(Ref. No. 62KC-287092).**

Respectfully submitted,

SHEPPARD MULLIN RICHTER & HAMPTON LLP

By /Mark A. Patrick/
Mark A. Patrick
Registration No.: 72,958

Customer No.
133759

2099 Pennsylvania Avenue, NW
Suite 100
Washington, D.C. 20006-6801
Telephone: (202) 747-2192

Dated: June 5, 2019

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	$75.00	Application filed November 19, 2018	$300.00 - $75.00 = **$225.00**
Second Deficient Payment	Utility Search Fee – Fee Code 2111	$660.00	$330.00	Application filed November 19, 2018	$660.00 - $330.00 = **$330.00**
Third Deficient Payment	Utility Examination Fee – Fee Code 2311	$760.00	$380.00	Application filed November 19, 2018	$760.00 - $380.00 = **$380.00**
Total Deficiency Payment Owed 37 C.F.R. 1.28(c)(2)(ii)(D)	$225.00 + $330.00 + $380.00 = **$935.00** Total Deficiency Owed				

Electronic Patent Application Fee Transmittal

Application Number:	16194944
Filing Date:	19-Nov-2018
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Mark Andrew Patrick/Susan Trader
Attorney Docket Number:	62KC-287092

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:	36215782
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	05-JUN-2019
Filing Date:	19-NOV-2018
Time Stamp:	18:20:07
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	060619INTEFSW00005293504561
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	Petition for review by the Office of Petitions	62KC-287092_Petition_to_Expedite.pdf	112568 ff20a58092f1f4a02b49123b72ec01f91d140a99	no	1
Warnings:					
Information:					
2	Notification of loss of entitlement to small entity status	62KC-287092_Deficiency_Payment.pdf	146545 7c7ef968266bdf74090229da0a04b7f01276b4a7	no	3
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30816 30678ae1bb8df206b352f92110580d4ef77a516a	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	289929		

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.

Document code: WFEE

United States Patent and Trademark Office
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01 FC : 1461 935.00 DA

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
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	2	10089984		2018-10-02	KENNEWICK ROBERT A	

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

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Examiner Signature		Date Considered	

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Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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

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

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

Electronic Acknowledgement Receipt

EFS ID:	36206391
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	05-JUN-2019
Filing Date:	19-NOV-2018
Time Stamp:	13:00:25
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	502196 6d09b966f3df7167402c64fa46846265b99055a4	no	1

Warnings:

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053131 77a9ae05887783e9121b2585ce0cfc55c98fc7fb	no	4
Warnings:					
Information:					
3	Other Reference-Patent/App/Search documents	62KC_Other.pdf	19791468 6a0ddc6076fffc520183812ab8848354d1966fe4	no	41
Warnings:					
Information:					
			Total Files Size (in bytes):	21346795	

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(b), this Information Disclosure Statement is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

CERTIFICATION STATEMENT

No certification statement is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(b).

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(b).

ADDITIONAL COMMENTS

The U.S. Patent Application Publication was cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided.

SIGNATURE

Signature	/ Mark A. Patrick /	**Date**	2019-06-05
Name	Mark A. Patrick	**Registration Number**	72,958

SyncIDS.com

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
16/194,944	11/19/2018	VB Assets, LLC	62KC-287092	89175

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:

X 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

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
16/194,944	11/19/2018	Tom FREEMAN	62KC-287092

CONFIRMATION NO. 1070

133759
Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 4th Floor
Costa Mesa, CA 92626

PUBLICATION NOTICE

OC000000106764428

Title:SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

Publication No.US-2019-0087866-A1
Publication Date:03/21/2019

NOTICE OF PUBLICATION OF APPLICATION

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

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

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Public Records Division. The Public Records Division can be reached by telephone at (571) 272-3150 or (800) 972-6382, by facsimile at (571) 273-3250, by mail addressed to the United States Patent and Trademark Office, Public Records Division, Alexandria, VA 22313-1450 or via the Internet.

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

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

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

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

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

Application Number	16194944
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	2657
Examiner Name	Brian Louis Albertalli
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5860059		1999-01-12	AUST HARALD	
	2	5982906		1999-11-09	ONO YOSHIHIRO	
	3	6377919		2002-04-23	BURNETT GREG C	
	4	6823308		2004-11-23	KEILLER ROBERT ALEXANDER	
	5	7146315		2006-12-05	BALAN RADU VICTOR	
	6	7729913		2010-06-01	LEE NICHOLAS J	

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

U.S.PATENT APPLICATION PUBLICATIONS Remove

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

	1	20010021905		2001-09-13	BURNETT GREG C	
	2	20050060142		2005-03-17	VISSER ERIK	

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

FOREIGN PATENT DOCUMENTS Remove

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

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

NON-PATENT LITERATURE DOCUMENTS Remove

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

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

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	16194944
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
	Examiner Name	Brian Louis Albertalli
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2019-02-28
Name/Print	Mark A. Patrick	Registration Number	72,958

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

Privacy Act Statement

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

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

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

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

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

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

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

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

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

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

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

Electronic Acknowledgement Receipt	
EFS ID:	35283576
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	28-FEB-2019
Filing Date:	19-NOV-2018
Time Stamp:	13:53:49
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	62KC-287092_Transmittal-Letter.pdf	497525 8a23b707fbd2fca16018a8398bb173805dfa7b7a	no	1

Warnings:

Information:					
2	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form.pdf	1053295 de2e9eae8fa55963a87a87ad337df22041ab0c80	no	4
Warnings:					
Information:					
			Total Files Size (in bytes):	1550820	

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.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	16/194,944
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	2657
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(b), this Information Disclosure Statement is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

CERTIFICATION STATEMENT

No certification statement is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(b).

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(b).

ADDITIONAL COMMENTS

SIGNATURE

Signature	/ Mark A. Patrick /	**Date**	2019-02-28
Name	Mark A. Patrick	**Registration Number**	72,958

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UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	TOT CLAIMS	IND CLAIMS
16/194,944	11/19/2018	2658	785	62KC-287092	1	1

CONFIRMATION NO. 1070

133759
Sheppard Mullin Richter & Hampton LLP
650 Town Center Drive, 4th Floor
Costa Mesa, CA 92626

FILING RECEIPT

OC000000104380072

Date Mailed: 12/13/2018

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

Inventor(s)

Tom FREEMAN, Mercer Island, WA;
Mike KENNEWICK, Bellevue, WA;

Applicant(s)

VB Assets, LLC, Bellevue, WA;

Assignment For Published Patent Application

VB Assets, LLC, Bellevue, WA

Power of Attorney: The patent practitioners associated with Customer Number 133759

Domestic Priority data as claimed by applicant

This application is a CON of 15/223,870 07/29/2016 PAT 10134060
which is a CON of 14/836,606 08/26/2015 PAT 9406078
which is a CON of 14/537,598 11/10/2014 PAT 9269097
which is a CON of 14/016,757 09/03/2013 PAT 8886536
which is a CON of 13/371,870 02/13/2012 PAT 8527274
which is a CON of 12/847,564 07/30/2010 PAT 8145489
which is a CON of 11/671,526 02/06/2007 PAT 7818176

Foreign Applications for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.
Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.

Permission to Access Application via Priority Document Exchange: Yes

Permission to Access Search Results: Yes

Applicant may provide or rescind an authorization for access using Form PTO/SB/39 or Form PTO/SB/69 as appropriate.

If Required, Foreign Filing License Granted: 12/11/2018

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 16/194,944**

Projected Publication Date: 03/21/2019

Non-Publication Request: No

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

SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

Preliminary Class

704

Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications: No

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 (1-866-999-4258).

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign AssetsControl, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number: 16/194,944

APPLICATION AS FILED - PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA	SMALL ENTITY RATE($)	SMALL ENTITY FEE($)	OR	OTHER THAN SMALL ENTITY RATE($)	OTHER THAN SMALL ENTITY FEE($)
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A	75		N/A	
SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A	N/A	330		N/A	
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A	380		N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	1 minus 20 =	*	x 50 =	0.00	OR		
INDEPENDENT CLAIMS (37 CFR 1.16(h))	1 minus 3 =	*	x 230 =	0.00			
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			0.00			
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))				0.00			
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL	785		TOTAL	

APPLICATION AS AMENDED - PART II

AMENDMENT A

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

AMENDMENT B

	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	RATE($)	ADDITIONAL FEE($)	OR	RATE($)	ADDITIONAL FEE($)
Total (37 CFR 1.16(i))	*	Minus	**	=	x =		OR	x =	
Independent (37 CFR 1.16(h))	*	Minus	***	=	x =		OR	x =	
Application Size Fee (37 CFR 1.16(s))									
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.

PTO/SB/08a (02-18)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20150095159		2015-04-02	Kennewick	
	2	20150142447		2015-05-21	Kennewick	
	3	20150170641		2015-06-18	Kennewick	
	4	20150193379		2015-07-09	Sarin S. Mehta	
	5	20150199339		2015-07-16	Shachar Mirkin	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	6	20150228276		2015-08-13	Baldwin	
	7	20150293917		2015-10-15	John P. Bufe	
	8	20150348544		2015-12-03	Baldwin	
	9	20150348551		2015-12-03	Thomas R. Gruber	
	10	20150364133		2015-12-17	Freeman	
	11	20160049152		2016-02-18	Kennewick	
	12	20160078482		2016-03-17	Kennewick	
	13	20160078491		2016-03-17	Kennewick	
	14	20160078504		2016-03-17	Kennewick	
	15	20160078773		2016-03-17	Carter	
	16	20160110347		2016-04-21	Kennewick	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	17	20160148610		2016-05-26	Kennewick	
	18	20160148612		2016-05-26	Guo	
	19	20160188292		2016-06-30	Carter	
	20	20160188573		2016-06-30	Tang	
	21	20160217785		2016-07-28	Robert A. Kennewick	
	22	20160335676		2016-11-17	Tom Freeman	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

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Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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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.

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

Electronic Patent Application Fee Transmittal

Application Number:	
Filing Date:	
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Filer:	Mark Andrew Patrick/Susan Trader
Attorney Docket Number:	62KC-287092

Filed as Small Entity

Filing Fees for Utility under 35 USC 111(a)

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Basic Filing:				
UTILITY FILING FEE (ELECTRONIC FILING)	4011	1	75	75
UTILITY SEARCH FEE	2111	1	330	330
UTILITY EXAMINATION FEE	2311	1	380	380
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Miscellaneous:				
		Total in USD ($)		**785**

Electronic Acknowledgement Receipt	
EFS ID:	34348722
Application Number:	16194944
International Application Number:	
Confirmation Number:	1070
Title of Invention:	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
First Named Inventor/Applicant Name:	Tom FREEMAN
Customer Number:	133759
Filer:	Mark Andrew Patrick/Susan Trader
Filer Authorized By:	Mark Andrew Patrick
Attorney Docket Number:	62KC-287092
Receipt Date:	19-NOV-2018
Filing Date:	
Time Stamp:	15:07:37
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	$785
RAM confirmation Number	112018INTEFSW00001689504561
Deposit Account	504561
Authorized User	Susan Trader
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: 37 CFR 1.16 (National application filing, search, and examination fees) 37 CFR 1.17 (Patent application and reexamination processing fees)	

37 CFR 1.19 (Document supply fees)

37 CFR 1.20 (Post Issuance fees)

37 CFR 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	Transmittal of New Application	62KC-287092_Utility_Transmittal.pdf	194419 9ec5abbee6b0cae7f05a0c3831ff0b4d5cee0cbf	no	2
Warnings:					
Information:					
2	Application Data Sheet	62KC-287092_ADS.pdf	1823139 1dae95f901e502bbf3ca41e06bbfa04782dc5ea6	no	9
Warnings:					
Information:					
3		62KC-287092_Specification.pdf	231986 b06ad361dd424f0da438c13345991d4da83a3d59	yes	20

Multipart Description/PDF files in .zip description

Document Description	Start	End
Abstract	20	20
Claims	19	19
Specification	1	18

Warnings:					
Information:					
4	Drawings-only black and white line drawings	62KC-287092_Drawings.pdf	41548 573c895e36492d4ad414d0251853b787af3ee336	no	3
Warnings:					
Information:					
5	Oath or Declaration filed	62KC-287092_Declaration.pdf	62938 097ed61b48fb85fc71b413350174cb71740bf201	no	1

Warnings:					
Information:					
6	Power of Attorney	62KC-287092_POA.pdf	1084033 0a9938917c14a435976a4b94fb4b6bb807524b00	no	2
Warnings:					
Information:					
7	Transmittal Letter	62KC-287092_IDS_Transmittal-Letter.pdf	11161 8a4b07abf5c488246a7bae02ded2feafe1d945c1	no	1
Warnings:					
Information:					
8	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form-A.pdf	1061841 6f0471e2e1e8ad7de7a5d1ea9e289f207ac3a230	no	36
Warnings:					
Information:					
9	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form-B.pdf	1058854 74e224a0126075db422321fd8c0e52377ae62de4	no	31
Warnings:					
Information:					
10	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form-C.pdf	1059136 3a70339210582683a41136b9aa60f575b9f5ae06	no	31
Warnings:					
Information:					
11	Information Disclosure Statement (IDS) Form (SB08)	62KC-287092_PTO_IDS-Form-D.pdf	1053463 2b11ebd07e62d275c5f547c21f3cd2db61309a60	no	6
Warnings:					
Information:					
12	Fee Worksheet (SB06)	fee-info.pdf	35338 a8bd06589034008fad5393b1cf6b5b4e006a5d56	no	2
Warnings:					
Information:					

Total Files Size (in bytes):	7717856

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

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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.
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If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.
New International Application Filed with the USPTO as a Receiving Office
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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Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
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Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	20030115062		2003-06-19	Walker	
	2	20030120493		2003-06-26	Gupta	
	3	20030135488		2003-07-17	Amir	
	4	20030144846		2003-07-31	Denenberg	
	5	20030158731		2003-08-21	Falcon	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	6	20030161448		2003-08-28	Parolkar	
	7	20030167167		2003-09-04	Li Gong	
	8	20030174155		2003-09-18	Jie Weng	
	9	20030182132		2003-09-25	Niemoeller	
	10	20030187643		2003-10-02	VanThong	
	11	20030204492		2003-10-30	Wolf	
	12	20030206640		2003-11-06	Malvar	
	13	20030212550		2003-11-13	Ubale	
	14	20030212558		2003-11-13	Matula	
	15	20030212562		2003-11-13	Patel	
	16	20030225825		2003-12-04	Healey	

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	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	17	20030233230		2003-12-18	Egbert Ammicht	
	18	20030236664		2003-12-25	Sharma	
	19	20040006475		2004-01-08	Ehlen	
	20	20040010358		2004-01-15	Oesterling	
	21	20040025115		2004-02-05	Sienel	
	22	20040030741		2004-02-12	Wolton	
	23	20040036601		2004-02-26	Obradovich	
	24	20040044516		2004-03-04	Kennewick	
	25	20040093567		2004-05-13	Yves Schabes	
	26	20040098245		2004-05-20	Walker	
	27	20040102977		2004-05-27	METZLER BENJAMIN T	

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	28	20040117179		2004-06-17	Balasuriya	
	29	20040117804		2004-06-17	Scahill	
	30	20040122673		2004-06-24	Joon-Ah Park	
	31	20040122674		2004-06-24	Bangalore	
	32	20040133793		2004-07-08	Ginter	
	33	20040140989		2004-07-22	Papageorge	
	34	20040143440		2004-07-22	Venkatesh Prasad	
	35	20040148154		2004-07-29	Alejandro Acero	
	36	20040148170		2004-07-29	Alejandro Acero	
	37	20040158555		2004-08-12	Seedman	
	38	20040166832		2004-08-26	Portman	

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	39	20040167771		2004-08-26	Duan	
	40	20040172247		2004-09-02	Yoon	
	41	20040172258		2004-09-02	Dominach	
	42	20040189697		2004-09-30	Toshiyuki Fukuoka	
	43	20040193408		2004-09-30	Hunt	
	44	20040193420		2004-09-30	Kennewick	
	45	20040199375		2004-10-07	Ehsani	
	46	20040199389		2004-10-07	GEIGER HANS	
	47	20040201607		2004-10-14	Joseph Mulvey	
	48	20040204939		2004-10-14	LIU DABEN	
	49	20040205671		2004-10-14	Sukehiro	

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	50	20040220800		2004-11-04	KONG DONG-GEON	
	51	20040243393		2004-12-02	Kuansan Wang	
	52	20040243417		2004-12-02	Pitts	
	53	20040247092		2004-12-09	Timmins	
	54	20040249636		2004-12-09	Ted Applebaum	
	55	20050015256		2005-01-20	Kargman	
	56	20050021331		2005-01-27	Huang	
	57	20050021334		2005-01-27	Iwahashi	
	58	20050021470		2005-01-27	Martin	
	59	20050021826		2005-01-27	Kumar	
	60	20050033574		2005-02-10	Kim	

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	61	20050033582		2005-02-10	Gadd	
	62	20050043940		2005-02-24	Elder	
	63	20050080632		2005-04-14	Endo	
	64	20050102282		2005-05-12	Greg Linden	
	65	20050114116		2005-05-26	Fiedler	
	66	20050125232		2005-06-09	Gadd	
	67	20050131673		2005-06-16	Koizumi	
	68	20050137850		2005-06-23	Odell	
	69	20050137877		2005-06-23	Oesterling	
	70	20050143994		2005-06-30	Mori	
	71	20050144013		2005-06-30	Fujimoto	

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	72	20050144187		2005-06-30	Che	
	73	20050149319		2005-07-07	Honda	
	74	20050169441		2005-08-04	YACOUB SHERIF	
	75	20050216254		2005-09-29	Gupta	
	76	20050222763		2005-10-06	Robert Uyeki	
	77	20050234637		2005-10-20	Michael Obradovich	
	78	20050234727		2005-10-20	Chiu	
	79	20050246174		2005-11-03	DeGolia	
	80	20050283364		2005-12-22	Longe	
	81	20050283532		2005-12-22	Doo Kim	
	82	20050283752		2005-12-22	Fruchter	

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	83	20060041431		2006-02-23	Maes	
	84	20060046740		2006-03-02	Karen Johnson	
	85	20060047509		2006-03-02	Ding	
	86	20060072738		2006-04-06	Louis	
	87	20060074670		2006-04-06	Fuliang Weng	
	88	20060074671		2006-04-06	Farmaner	
	89	20060080098		2006-04-13	Nick Campbell	
	90	20060100851		2006-05-11	Schonebeck	
	91	20060106769		2006-05-18	Kevin Gibbs	
	92	20060129409		2006-06-15	Kenji Mizutani	
	93	20060130002		2006-06-15	Sadahiro Hirayama	

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	94	20060182085		2006-08-17	Sweeney	
	95	20060206310		2006-09-14	Ravikumar	
	96	20060217133		2006-09-28	Christenson	
	97	20060236343		2006-10-19	Hisao Chang	
	98	20060242017		2006-10-26	Libes	
	99	20060253247		2006-11-09	Andrew de Silva	
	100	20060253281		2006-11-09	Letzt	
	101	20060285662		2006-12-21	Yin	
	102	20070011159		2007-01-11	W. Daniel Hillis	
	103	20070033005		2007-02-08	Di Cristo	
	104	20070033020		2007-02-08	Francois	

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	105	20070033526		2007-02-08	William Thompson	
	106	20070038436		2007-02-15	Cristo	
	107	20070038445		2007-02-15	Helbing	
	108	20070043569		2007-02-22	Potter	
	109	20070043574		2007-02-22	Coffman	
	110	20070043868		2007-02-22	Kumar	
	111	20070050191		2007-03-01	Weider	
	112	20070050279		2007-03-01	Qingfeng Huang	
	113	20070055525		2007-03-08	Kennewick	
	114	20070060114		2007-03-15	RAMER JOREY	
	115	20070061067		2007-03-15	Zeinstra	

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	116	20070061735		2007-03-15	Hoffberg	
	117	20070067310		2007-03-22	GUPTA PUNEET	
	118	20070073544		2007-03-29	Millett	
	119	20070078708		2007-04-05	Yu	
	120	20070078709		2007-04-05	Rajaram	
	121	20070078814		2007-04-05	Flowers	
	122	20070094003		2007-04-26	Huang	
	123	20070100797		2007-05-03	Christopher Thun	
	124	20070106499		2007-05-10	DAHLGREN KATHLEEN	
	125	20070112555		2007-05-17	Lavi	
	126	20070112630		2007-05-17	Lau	

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	127	20070118357		2007-05-24	Kasravi	
	128	20070124057		2007-05-31	Prieto	
	129	20070135101		2007-06-14	Ramati	
	130	20070146833		2007-06-28	Satomi	
	131	20070162296		2007-07-12	Altberg	
	132	20070174258		2007-07-26	Jones	
	133	20070179778		2007-08-02	Gong	
	134	20070185859		2007-08-09	Flowers	
	135	20070186165		2007-08-09	Maislos	
	136	20070192309		2007-08-16	Fischer	
	137	20070198267		2007-08-23	Jones	

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	138	20070203699		2007-08-30	Hisayuki Nagashima	
	139	20070203736		2007-08-30	Ashton	
	140	20070208732		2007-09-06	Flowers	
	141	20070214182		2007-09-13	Rosenberg	
	142	20070250901		2007-10-25	McIntire	
	143	20070265850		2007-11-15	Kennewick	
	144	20070266257		2007-11-15	Camaisa	
	145	20070276651		2007-11-29	Bliss	
	146	20070294615		2007-12-20	Saleel Sathe	
	147	20070299824		2007-12-27	Pan	
	148	20080014908		2008-01-17	Abraham Vasant	

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	149	20080034032		2008-02-07	Healey	
	150	20080046311		2008-02-21	Shahine	
	151	20080059188		2008-03-06	Konopka	
	152	20080065386		2008-03-13	Cross	
	153	20080065389		2008-03-13	Cross	
	154	20080065390		2008-03-13	ATIVANICHAYAPHONG SOONTHORN	
	155	20080086455		2008-04-10	Adrienne C. Meisels	
	156	20080091406		2008-04-17	Baldwin	
	157	20080103761		2008-05-01	Printz	
	158	20080103781		2008-05-01	Wasson	
	159	20080104071		2008-05-01	Pragada	

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	160	20080109285		2008-05-08	Reuther	
	161	20080115163		2008-05-15	Gilboa	
	162	20080126091		2008-05-29	Jason W. Clark	
	163	20080126284		2008-05-29	FORBES SCOTT C	
	164	20080133215		2008-06-05	Sarukkai	
	165	20080140385		2008-06-12	Mahajan	
	166	20080147396		2008-06-19	Wang	
	167	20080147410		2008-06-19	Odinak	
	168	20080147637		2008-06-19	Xin Li	
	169	20080154604		2008-06-26	Sathish	
	170	20080162471		2008-07-03	Bernard	

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	171	20080177530		2008-07-24	Cross	
	172	20080184164		2008-07-31	Giuseppe Di Fabbrizio	
	173	20080189110		2008-08-07	Freeman	
	174	20080189187		2008-08-07	HAO BIAO	
	175	20080228496		2008-09-18	Dong Yu	
	176	20080235023		2008-09-25	Kennewick	
	177	20080235027		2008-09-25	Cross	
	178	20080269958		2008-10-30	Dimitar Petrov Filev	
	179	20080270135		2008-10-30	GOEL VAIBHAVA	
	180	20080270224		2008-10-30	Eric A. Portman	
	181	20080294437		2008-11-27	Nakano	

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	182	20080294994		2008-11-27	Kruger	
	183	20080306743		2008-12-11	Giuseppe Di Fabbrizio	
	184	20080319751		2008-12-25	Kennewick	
	185	20090006077		2009-01-01	Keaveney	
	186	20090006194		2009-01-01	Prashant Sridharan	
	187	20090018829		2009-01-15	Michael Kuperstein	
	188	20090024476		2009-01-22	Baar	
	189	20090030686		2009-01-29	WENG FULIANG	
	190	20090052635		2009-02-26	Jones	
	191	20090055176		2009-02-26	HU JUNLING	
	192	20090067599		2009-03-12	Agarwal	

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	193	20090076827		2009-03-19	Bulitta	
	194	20090106029		2009-04-23	DeLine	
	195	20090117885		2009-05-07	Roth	
	196	20090144131		2009-06-04	Chiu	
	197	20090144271		2009-06-04	Richardson	
	198	20090150156		2009-06-11	Kennewick	
	199	20090157382		2009-06-18	BAR SHMUEL	
	200	20090164216		2009-06-25	Rathinavelu Chengalvarayan	
	201	20090171664		2009-07-02	Kennewick	
	202	20090171912		2009-07-02	NASH MICHAEL PATRICK	
	203	20090197582		2009-08-06	Robert C. Lewis	

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	204	20090216540		2009-08-27	Tessel	
	205	20090248565		2009-10-01	Kai Chuang	
	206	20090248605		2009-10-01	Mitchell	
	207	20090259561		2009-10-15	Donald Robert Martin Boys	
	208	20090259646		2009-10-15	Fujita	
	209	20090265163		2009-10-22	Li	
	210	20090271194		2009-10-29	Davis	
	211	20090273563		2009-11-05	Pryor	
	212	20090276700		2009-11-05	Anderson	
	213	20090287680		2009-11-19	Paek	
	214	20090299745		2009-12-03	Kennewick	

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	215	20090299857		2009-12-03	Brubaker	
	216	20090304161		2009-12-10	Pettyjohn	
	217	20090307031		2009-12-10	Winkler	
	218	20090313026		2009-12-17	Coffman	
	219	20090319517		2009-12-24	Ramananthan V. Guha	
	220	20100023320		2010-01-28	Cristo	
	221	20100023331		2010-01-28	DUTA NICOLAE	
	222	20100029261		2010-02-04	Mikkelsen	
	223	20100036967		2010-02-11	Caine	
	224	20100049501		2010-02-25	Kennewick	
	225	20100049514		2010-02-25	Kennewick	

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	226	20100057443		2010-03-04	Cristo	
	227	20100063880		2010-03-11	Atsmon	
	228	20100064025		2010-03-11	Nelimarkka	
	229	20100094707		2010-04-15	Freer	
	230	20100138300		2010-06-03	R. Tyler Wallis	
	231	20100145700		2010-06-10	Kennewick	
	232	20100185512		2010-07-22	Borger	
	233	20100191856		2010-07-29	GUPTA APURV	
	234	20100204986		2010-08-12	Kennewick	
	235	20100204994		2010-08-12	Kennewick	
	236	20100217604		2010-08-26	Baldwin	

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	237	20100268536		2010-10-21	SUENDERMANN DAVID	
	238	20100286985		2010-11-11	Kennewick	
	239	20100299142		2010-11-25	Freeman	
	240	20100312547		2010-12-09	VAN OS MARCEL	
	241	20100312566		2010-12-09	Odinak	
	242	20100318357		2010-12-16	Anthony F. Istvan	
	243	20100331064		2010-12-30	Michelstein	
	244	20110022393		2011-01-27	Waller	
	245	20110106527		2011-05-05	Chiu	
	246	20110112827		2011-05-12	Kennewick	
	247	20110112921		2011-05-12	Kennewick	

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	248	20110119049		2011-05-19	Ylonen	
	249	20110131036		2011-06-02	DiCristo	
	250	20110131045		2011-06-02	Cristo	
	251	20110231182		2011-09-22	Weider	
	252	20110231188		2011-09-22	Kennewick	
	253	20110238409		2011-09-29	Jean-Marie Henri Daniel Larcheveque	
	254	20110307167		2011-12-15	Taschereau	
	255	20120022857		2012-01-26	Baldwin	
	256	20120041753		2012-02-16	Marc Dymetman	
	257	20120046935		2012-02-23	Nagao	
	258	20120101809		2012-04-26	Kennewick	

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	259	20120101810		2012-04-26	Kennewick	
	260	20120109753		2012-05-03	Kennewick	
	261	20120150620		2012-06-14	Mandyam	
	262	20120150636		2012-06-14	Freeman	
	263	20120239498		2012-09-20	Ramer	
	264	20120240060		2012-09-20	Pennington	
	265	20120265528		2012-10-18	Thomas Robert Gruber	
	266	20120278073		2012-11-01	Weider	
	267	20130006734		2013-01-03	Ocko	
	268	20130054228		2013-02-28	Baldwin	
	269	20130060625		2013-03-07	Davis	

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	270	20130080177		2013-03-28	Chen	
	271	20130211710		2013-08-15	Kennewick	
	272	20130253929		2013-09-26	Weider	
	273	20130254314		2013-09-26	Chow	
	274	20130297293		2013-11-07	Cristo	
	275	20130304473		2013-11-14	Baldwin	
	276	20130311324		2013-11-21	Stoll	
	277	20130332454		2013-12-12	Gunther Stuhec	
	278	20130339022		2013-12-19	Baldwin	
	279	20140006951		2014-01-02	Hunter	
	280	20140012577		2014-01-09	Freeman	

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	281	20140025371		2014-01-23	Sunyoung Min	
	282	20140108013		2014-04-17	Cristo	
	283	20140136187		2014-05-15	WOLVERTON MICHAEL J	
	284	20140156278		2014-06-05	Kennewick	
	285	20140195238		2014-07-10	Makoto Terao	
	286	20140236575		2014-08-21	Tur	
	287	20140249821		2014-09-04	Kennewick	
	288	20140249822		2014-09-04	Baldwin	
	289	20140278413		2014-09-18	Pitschel	
	290	20140278416		2014-09-18	Adrian M. Schuster	
	291	20140288934		2014-09-25	Kennewick	

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	292	20140330552		2014-11-06	Srinivas Bangalore	
	293	20140337007		2014-11-13	WAIBEL NAOMI AOKI	
	294	20140365222		2014-12-11	Weider	
	295	20150019211		2015-01-15	Patrice Y. Simard	
	296	20150019217		2015-01-15	Cristo	
	297	20150019227		2015-01-15	Anandarajah	
	298	20150066479		2015-03-05	PASUPALAK SAM	
	299	20150066627		2015-03-05	Freeman	
	300	20150073910		2015-03-12	Kennewick	

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
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	1							

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
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	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
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Application Number	TBD
Filing Date	2018-11-19
First Named Inventor	Tom FREEMAN
Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	62KC-287092

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	6937982		2005-08-30	Kitaoka	
	2	6941266		2005-09-06	Gorin	
	3	6944594		2005-09-13	Busayapongchai	
	4	6950821		2005-09-27	Faybishenko	
	5	6954755		2005-10-11	Reisman	
	6	6959276		2005-10-25	Droppo	
	7	6961700		2005-11-01	Mitchell	
	8	6963759		2005-11-08	Gerson	

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	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	9	6964023		2005-11-08	Maes	
	10	6968311		2005-11-22	Knockeart	
	11	6973387		2005-12-06	Masclet	
	12	6975983		2005-12-13	FORTESCUE NICHOLAS DAVID	
	13	6975993		2005-12-13	Keiller	
	14	6980092		2005-12-27	Turnbull	
	15	6983055		2006-01-03	Luo	
	16	6990513		2006-01-24	Belfiore	
	17	6996531		2006-02-07	Korall	
	18	7003463		2006-02-21	Maes	
	19	7016849		2006-03-21	Arnold	

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	20	7020609		2006-03-28	Thrift	
	21	7024364		2006-04-04	Guerra	
	22	7027586		2006-04-11	Bushey	
	23	7027974		2006-04-11	Justin Eliot Busch	
	24	7027975		2006-04-11	Pazandak	
	25	7031908		2006-04-18	HUANG XUEDONG D	
	26	7035415		2006-04-25	Belt	
	27	7036128		2006-04-25	Julia	
	28	7043425		2006-05-09	Pao	
	29	7054817		2006-05-30	Shao	
	30	7058890		2006-06-06	George	

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	31	7062488		2006-06-13	Reisman	
	32	7069220		2006-06-27	Coffman	
	33	7072834		2006-07-04	Zhou	
	34	7072888		2006-07-04	Alan Perkins	
	35	7076362		2006-07-11	Ohtsuji	
	36	7082469		2006-07-25	Gold	
	37	7085708		2006-08-01	Manson	
	38	7092928		2006-08-15	Elad	
	39	7107210		2006-09-12	Deng	
	40	7107218		2006-09-12	Preston	
	41	7110951		2006-09-19	Lemelson	

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	42	7127395		2006-10-24	Gorin	
	43	7127400		2006-10-24	Koch	
	44	7130390		2006-10-31	Abburi	
	45	7136875		2006-11-14	Anderson	
	46	7137126		2006-11-14	Coffman	
	47	7143037		2006-11-28	Chestnut	
	48	7143039		2006-11-28	Stifelman	
	49	7146319		2006-12-05	Hunt	
	50	7149696		2006-12-12	Shimizu	
	51	7165028		2007-01-16	Gong	
	52	7170993		2007-01-30	Anderson	

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	53	7171291		2007-01-30	Obradovich	
	54	7174300		2007-02-06	Bush	
	55	7177798		2007-02-13	Hsu	
	56	7184957		2007-02-27	Brookes	
	57	7190770		2007-03-13	Ando	
	58	7197069		2007-03-27	Agazzi	
	59	7197460		2007-03-27	Gupta	
	60	7203644		2007-04-10	Anderson	
	61	7206418		2007-04-17	Yang	
	62	7207011		2007-04-17	Mulvey	
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	Examiner Name	TBD
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	64	7228276		2007-06-05	Omote	
	65	7231343		2007-06-12	Treadgold	
	66	7236923		2007-06-26	Gupta	
	67	7254482		2007-08-07	Kawasaki	
	68	7272212		2007-09-18	Eberle	
	69	7277854		2007-10-02	Bennett	
	70	7283829		2007-10-16	Christenson	
	71	7283951		2007-10-16	Marchisio	
	72	7289606		2007-10-30	Sibal	
	73	7299186		2007-11-20	Kuzunuki	
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	Attorney Docket Number	62KC-287092

	75	7305381		2007-12-04	Poppink	
	76	7321850		2008-01-22	Wakita	
	77	7328155		2008-02-05	Endo	
	78	7337116		2008-02-26	Charlesworth	
	79	7340040		2008-03-04	Saylor	
	80	7366285		2008-04-29	Parolkar	
	81	7366669		2008-04-29	Nishitani	
	82	7376645		2008-05-20	Bernard	
	83	7380250		2008-05-27	SCHECHTER GREG D	
	84	7386443		2008-06-10	Parthasarathy	
	85	7398209		2008-07-08	Kennewick	

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	86	7406421		2008-07-29	Odinak	
	87	7415100		2008-08-19	Cooper	
	88	7415414		2008-08-19	Azara	
	89	7421393		2008-09-02	DiFabbrizio	
	90	7424431		2008-09-09	Greene	
	91	7447635		2008-11-04	Konopka	
	92	7451088		2008-11-11	Ehlen	
	93	7454368		2008-11-18	Stillman	
	94	7454608		2008-11-18	Gopalakrishnan	
	95	7461059		2008-12-02	Richardson	
	96	7472020		2008-12-30	Brulle-Drews	

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	97	7472060		2008-12-30	Gorin	
	98	7472075		2008-12-30	Odinak	
	99	7477909		2009-01-13	Roth	
	100	7478036		2009-01-13	Shen	
	101	7487088		2009-02-03	Gorin	
	102	7487110		2009-02-03	Bennett	
	103	7493259		2009-02-17	Jones	
	104	7493559		2009-02-17	Wolff	
	105	7502672		2009-03-10	Kolls	
	106	7502730		2009-03-10	WANG KUANSAN	
	107	7502738		2009-03-10	Kennewick	

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	108	7512906		2009-03-31	BAIER JOHN JOSEPH	
	109	7516076		2009-04-07	Walker	
	110	7529675		2009-05-05	Maes	
	111	7536297		2009-05-19	Byrd	
	112	7536374		2009-05-19	Au	
	113	7542894		2009-06-02	Murata	
	114	7546382		2009-06-09	Healey	
	115	7548491		2009-06-16	Macfarlane	
	116	7552054		2009-06-23	Stifelman	
	117	7558730		2009-07-07	Davis	
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	119	7577244		2009-08-18	Taschereau	
	120	7606708		2009-10-20	Hwang	
	121	7606712		2009-10-20	SMITH STEVEN G	
	122	7620549		2009-11-17	DiCristo	
	123	7634409		2009-12-15	Kennewick	
	124	7640006		2009-12-29	Portman	
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	127	7672931		2010-03-02	Hurst-Hiller	
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	130	7684977		2010-03-23	Morikawa	
	131	7693720		2010-04-06	Kennewick	
	132	7697673		2010-04-13	Chiu	
	133	7706616		2010-04-27	Kristensson	
	134	7729916		2010-06-01	Coffman	
	135	7729918		2010-06-01	Walker	
	136	7729920		2010-06-01	Chaar	
	137	7734287		2010-06-08	Ying	
	138	7748021		2010-06-29	Obradovich	
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	140	7792257		2010-09-07	Vanier	

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	141	7801731		2010-09-21	Odinak	
	142	7809570		2010-10-05	Kennewick	
	143	7818176		2010-10-19	Freeman	
	144	7831426		2010-11-09	Bennett	
	145	7831433		2010-11-09	Belvin	
	146	7856358		2010-12-21	Ho	
	147	7873519		2011-01-18	Bennett	
	148	7873523		2011-01-18	Potter	
	149	7873654		2011-01-18	Bernard	
	150	7881936		2011-02-01	Longe	
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	153	7902969		2011-03-08	Obradovich	
	154	7917367		2011-03-29	DiCristo	
	155	7920682		2011-04-05	Byrne	
	156	7949529		2011-05-24	Weider	
	157	7949537		2011-05-24	Walker	
	158	7953732		2011-05-31	Frank	
	159	7974875		2011-07-05	Quilici	
	160	7983917		2011-07-19	Kennewick	
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	162	8005683		2011-08-23	Tessel	

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	163	8015006		2011-09-06	Kennewick	
	164	8024186		2011-09-20	Jeremy S. De Bonet	
	165	8027965		2011-09-27	Mitsuru Takehara	
	166	8032383		2011-10-04	Bhardwaj	
	167	8060367		2011-11-15	Keaveney	
	168	8069046		2011-11-29	Kennewick	
	169	8073681		2011-12-06	Baldwin	
	170	8077975		2011-12-13	Ma	
	171	8082153		2011-12-20	Coffman	
	172	8086463		2011-12-27	Ativanichayaphong	
	173	8103510		2012-01-24	Sato	

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	175	8140327		2012-03-20	Kennewick	
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	179	8155962		2012-04-10	Kennewick	
	180	8170867		2012-05-01	Germain	
	181	8180037		2012-05-15	Delker	
	182	8195468		2012-06-05	Weider	
	183	8200485		2012-06-12	Lee	
	184	8204751		2012-06-19	Giuseppe Di Fabbrizio	

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	185	8219399		2012-07-10	Lutz	
	186	8219599		2012-07-10	Tunstall-Pedoe	
	187	8224652		2012-07-17	Wang	
	188	8255224		2012-08-28	Singleton	
	189	8326599		2012-12-04	Nadi Tomeh	
	190	8326627		2012-12-04	Kennewick	
	191	8326634		2012-12-04	DiCristo	
	192	8326637		2012-12-04	Baldwin	
	193	8332224		2012-12-11	DiCristo	
	194	8340975		2012-12-25	Theodore Alfred Rosenberger	
	195	8346563		2013-01-01	Hjelm	

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	196	8370147		2013-02-05	Kennewick	
	197	8447607		2013-05-21	Weider	
	198	8447651		2013-05-21	Nathaniel B. Scholl	
	199	8452598		2013-05-28	Kennewick	
	200	8503995		2013-08-06	Ramer	
	201	8509403		2013-08-13	Chiu	
	202	8515765		2013-08-20	Baldwin	
	203	8527274		2013-09-03	Freeman	
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	205	8589161		2013-11-19	Kennewick	
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	208	8620659		2013-12-31	DiCristo	
	209	8719005		2014-05-06	Lee	
	210	8719009		2014-05-06	Baldwin	
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	214	8849652		2014-09-30	Weider	
	215	8849670		2014-09-30	DiCristo	
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	219	8972243		2015-03-03	Nikko Strom	
	220	8983839		2015-03-17	Kennewick	
	221	9009046		2015-04-14	Stewart	
	222	9015049		2015-04-21	Baldwin	
	223	9037455		2015-05-19	Faaborg	
	224	9070366		2015-06-30	Lambert Mathias	
	225	9070367		2015-06-30	Bjorn Hoffmeister	
	226	9105266		2015-08-11	Baldwin	
	227	9171541		2015-10-27	Kennewick	
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	230	9308445		2016-04-12	Michael M. Merzenich	
	231	9318108		2016-04-19	GRUBER THOMAS ROBERT	
	232	9406078		2016-08-02	Freeman	
	233	9443514		2016-09-13	Gabriel Taubman	
	234	9502025		2016-11-22	Mike Kennewick	
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	7	20020007267		2002-01-17	BATCHILO LEONID	
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	18	20020049805		2002-04-25	Yamada	
	19	20020059068		2002-05-16	Rose	
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	26	20020087312		2002-07-04	Lee	
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	32	20020133347		2002-09-19	Eberhard Schoneburg	
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	51	20030014261		2003-01-16	Kageyama	
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Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

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

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See attached certification statement.

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

☒ A certification statement is not submitted herewith.

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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Attorney Docket Number	62KC-287092

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	101	6067513		2000-05-23	Ishimitsu	
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	103	6076059		2000-06-13	Glickman	
	104	6078886		2000-06-20	Dragosh	
	105	6081774		2000-06-27	deHita	
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	111	6122613		2000-09-19	Baker	
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	115	6154526		2000-11-28	Dahlke	
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	125	6195634		2001-02-27	Dudemaine	
	126	6195651		2001-02-27	Handel	
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	131	6219643		2001-04-17	Cohen	
	132	6219645		2001-04-17	BYERS CHARLES CALVIN	
	133	6226612		2001-05-01	Srenger	
	134	6233556		2001-05-15	Teunen	
	135	6233559		2001-05-15	Balakrishnan	
	136	6233561		2001-05-15	Junqua	
	137	6236968		2001-05-22	Kanevsky	
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	146	6278377		2001-08-21	DeLine	
	147	6278968		2001-08-21	Franz	
	148	6286002		2001-09-04	Axaopoulos	
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	213	6567797		2003-05-20	Schuetze	
	214	6567805		2003-05-20	Johnson	
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	220	6578022		2003-06-10	Foulger	
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	222	6584439		2003-06-24	Geilhufe	
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	230	6601029		2003-07-29	John Brian Pickering	
	231	6604075		2003-08-05	Brown	
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	243	6643620		2003-11-04	Contolini	
	244	6647363		2003-11-11	Claassen	
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	246	6658388		2003-12-02	Kleindienst	
	247	6678680		2004-01-13	Woo	
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	250	6701294		2004-03-02	Ball	

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	252	6704576		2004-03-09	Brachman	
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	257	6721633		2004-04-13	Funk	
	258	6721706		2004-04-13	Strubbe	
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	264	6742021		2004-05-25	Halverson	
	265	6745161		2004-06-01	Arnold	
	266	6751591		2004-06-15	Gorin	
	267	6751612		2004-06-15	Schuetze	
	268	6754485		2004-06-22	Obradovich	
	269	6754627		2004-06-22	Woodward	
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	271	6757544		2004-06-29	Rangarajan	
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	274	6795808		2004-09-21	Strubbe	
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	287	6868380		2005-03-15	Kroeker	
	288	6868385		2005-03-15	Gerson	
	289	6871179		2005-03-22	Kist	
	290	6873837		2005-03-29	Yoshioka	
	291	6877001		2005-04-05	Wolf	
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	296	6912498		2005-06-28	Stevens	
	297	6915126		2005-07-05	MazzaraJr	
	298	6928614		2005-08-09	Everhart	
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	14	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.	
	15	O'SHAUGHNESSY, Douglas, "Interacting with Computers by Voice: Automatic Speech Recognition and Synthesis", Proceedings of the IEEE, Volume 91, No. 9, September 1, 2003, XP011100665. pages 1272-1305.	
	16	REUTERS, "IBM to Enable Honda Drivers to Talk to Cars", Charles Schwab & Co., Inc., July 28, 2002, 1 page.	
	17	TURUNEN, "Adaptive Interaction Methods in Speech User Interfaces", Conference on Human Factors in Computing Systems, Seattle, Washington, 2001, pages 91-92.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

	18	VANHOUCKE, Vincent, "Confidence Scoring and Rejection Using Multi-Pass Speech Recognition", Nuance Communications, Menlo Park, CA, 2005, 4 pages.	
	19	WENG, Fuliang, et al., "Efficient Lattice Representation and Generation", Speech Technology and Research Laboratory, SRI International, Menlo Park, CA, 1998, 4 pages.	
	20	WU, Su-Lin, et al., "Incorporating Information from Syllable-Length Time Scales into Automatic Speech Recognition", Proceedings of the 1998 IEEE International Conference on Acoustics, Speech and Signal Processing, 1998, Volume 2, IEEE, 1998, 4 pages.	
	21	WU, Su-Lin, et al., "Integrating Syllable Boundary Information into Speech Recognition", IEEE International Conference on Acoustics, Speech, and Signal Processing, ICASSP-97, 1997, Volume 2, IEEE, 1997, 4 pages.	
	22	ZHAO, Yilin, "Telematics: Safe and Fun Driving", IEEE Intelligent Systems, Volume 17, Issue 1, 2002, pages 10-14.	

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	

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

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

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	TBD
	Filing Date	2018-11-19
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
	Examiner Name	TBD
	Attorney Docket Number	62KC-287092

CERTIFICATION STATEMENT

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

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

OR

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

See attached certification statement.

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

☒ A certification statement is not submitted herewith.

SIGNATURE

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

Signature	/Mark A. Patrick/	Date (YYYY-MM-DD)	2018-11-19
Name/Print	Mark A. Patrick	Registration Number	72,958

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

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

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

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

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

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

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

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

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

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

Doc Code: PA..
Document Description: Power of Attorney

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NOTE: This form is to be submitted with the Power of Attorney by Applicant form (PTO/AIA/82B) to identify the application to which the Power of Attorney is directed, in accordance with 37 CFR 1.5, unless the application number and filing date are identified in the Power of Attorney by Applicant form. If neither form PTO/AIA/82A nor form PTO/AIA82B identifies the application to which the Power of Attorney is directed, the Power of Attorney will not be recognized in the application.

Application Number	To be Assigned
Filing Date	November 19, 2018
First Named Inventor	Tom FREEMAN
Title	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS
Art Unit	To be Assigned
Examiner Name	To be Assigned
Attorney Docket Number	62KC-287092

SIGNATURE of Applicant or Patent Practitioner

Signature	/Mark A. Patrick/	Date (Optional)	November 19, 2018
Name	Mark A. Patrick	Registration Number	72,958
Title (if Applicant is a juristic entity)			
Applicant Name (if Applicant is a juristic entity)			

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. If more than one applicant, use multiple forms.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Doc Code: PA..
Document Description: Power of Attorney

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POWER OF ATTORNEY BY APPLICANT

I hereby revoke all previous powers of attorney given in the application identified in either the attached transmittal letter or the boxes below.

Application Number	Filing Date
See the Transmittal Letter	

(Note: The boxes above may be left blank if information is provided on form PTO/AIA/82A.)

☑ I hereby appoint the Patent Practitioner(s) associated with the following Customer Number as my/our attorney(s) or agent(s), and to transact all business in the United States Patent and Trademark Office connected therewith for the application referenced in the attached transmittal letter (form PTO/AIA/82A) or identified above: 133759

OR

☐ I hereby appoint Practitioner(s) named in the attached list (form PTO/AIA/82C) as my/our attorney(s) or agent(s), and to transact all business in the United States Patent and Trademark Office connected therewith for the patent application referenced in the attached transmittal letter (form PTO/AIA/82A) or identified above. (Note: Complete form PTO/AIA/82C.)

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OR

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OR

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

I am the Applicant (if the Applicant is a juristic entity, list the Applicant name in the box):

VB Assets, LLC

☐ Inventor or Joint Inventor (title not required below)

☐ Legal Representative of a Deceased or Legally Incapacitated Inventor (title not required below)

☑ Assignee or Person to Whom the Inventor is Under an Obligation to Assign (provide signer's title if applicant is a juristic entity)

☐ Person Who Otherwise Shows Sufficient Proprietary Interest (e.g., a petition under 37 CFR 1.46(b)(2) was granted in the application or is concurrently being filed with this document) (provide signer's title if applicant is a juristic entity)

SIGNATURE of Applicant for Patent

The undersigned (whose title is supplied below) is authorized to act on behalf of the applicant (e.g., where the applicant is a juristic entity).

Signature	/Michael Kennewick/	Date (Optional)	Aug 15, 2018
Name	Michael Kyle Kennewick		
Title	Chief Executive Officer of VB Assets, LLC		

NOTE: Signature - This form must be signed by the applicant in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. If more than one applicant, use multiple forms.

☐ Total of forms are submitted.

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		
	Application Number	TBD
	Filing Date	11/19/2018
	First Named Inventor	Tom FREEMAN
	Art Unit	TBD
Page 1 of 1	**Matter Number**	62KC-287092

GENERAL

Pursuant to 37 C.F.R. 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed herewith. A copy of each listed reference, other than U.S. patents/applications and references cited in a parent application, is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

TIMING

In accordance with 37 CFR 1.97(b), this Information Disclosure Statement is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

CERTIFICATION STATEMENT

No certification statement is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(b).

FEE

No fee is required. This Information Disclosure Statement is being filed in accordance with 37 CFR 1.97(b).

ADDITIONAL COMMENTS

The Foreign Patent Documents and the Non-Patent Literature Documents were cited by or submitted to the Office in Application Serial No. 15/223,870, filed July 29, 2016, 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).

SIGNATURE

Signature	/ Mark A. Patrick /	Date	2018-11-19
Name	Mark A. Patrick	Registration Number	72,958

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PTO/AIA/15 (10-17)
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UTILITY PATENT APPLICATION TRANSMITTAL

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

Attorney Docket No.	62KC-287092
First Named Inventor	Tom FREEMAN
Title	See the Application Data Sheet
Priority Mail Express® Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. [ ] **Fee Transmittal Form** (PTO/SB/17 or equivalent)
2. [✓] **Applicant asserts small entity status.** See 37 CFR 1.27
3. [ ] **Applicant certifies micro entity status.** See 37 CFR 1.29. Applicant must attach form PTO/SB/15A or B or equivalent.
4. [✓] **Specification** [*Total Pages* 20] Both the claims and abstract must start on a new page. *(See MPEP § 608.01(a) for information on the preferred arrangement)*
5. [✓] **Drawing(s)** (35 U.S.C. 113) [*Total Sheets* 3]
6. **Inventor's Oath or Declaration** [*Total Pages* 1] *(including substitute statements under 37 CFR 1.64 and assignments serving as an oath or declaration under 37 CFR 1.63(e))*
   a. [ ] Newly executed (original or copy)
   b. [✓] A copy from a prior application (37 CFR 1.63(d))
7. [✓] **Application Data Sheet** ** See note below.* See 37 CFR 1.76 (PTO/AIA/14 or equivalent)
8. **CD-ROM or CD-R** in duplicate, large table, or Computer Program (*Appendix*)
   [ ] Landscape Table on CD
9. **Nucleotide and/or Amino Acid Sequence Submission** *(if applicable, items a. – c. are required)*
   a. [ ] Computer Readable Form (CRF)
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      i. [ ] CD-ROM or CD-R (2 copies); or
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ACCOMPANYING APPLICATION PAPERS

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

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

19. CORRESPONDENCE ADDRESS

[✓] The address associated with Customer Number: 133759 **OR** [ ] Correspondence address below

Name					
Address					
City		State		Zip Code	
Country		Telephone		Email	

Signature	/Mark A. Patrick/	Date	November 19, 2018
Name (Print/Type)	Mark A. Patrick	Registration No. (Attorney/Agent)	72,958

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

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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).
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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	62KC-287092
	Application Number	
Title of Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS	

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

Secrecy Order 37 CFR 5.2:

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

Inventor Information:

Inventor 1 Remove

Legal Name

Prefix	Given Name	Middle Name	Family Name	Suffix
	Tom		FREEMAN	

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

City	State/Province	Country of Residence
Mercer Island	WA	US

Mailing Address of Inventor:

Address 1	6735 83rd Avenue, S.E.
Address 2	
City	Mercer Island
State/Province	WA
Postal Code	98040
Country	US

Inventor 2 Remove

Legal Name

Prefix	Given Name	Middle Name	Family Name	Suffix
	Mike		KENNEWICK	

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

City	State/Province	Country of Residence
Bellevue	WA	US

Mailing Address of Inventor:

Address 1	13407 NE 37th Place
Address 2	
City	Bellevue
State/Province	WA
Postal Code	98005
Country	US

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

Correspondence Information:

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

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	62KC-287092
	Application Number	
Title of Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS	

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

Customer Number	133759		
Email Address	DMIPDocketing@sheppardmullin.com	Add Email	Remove Email

Application Information:

Title of the Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS		
Attorney Docket Number	62KC-287092	**Small Entity Status Claimed**	☒
Application Type	Nonprovisional		
Subject Matter	Utility		
Total Number of Drawing Sheets (if any)	3	**Suggested Figure for Publication (if any)**	1

Filing By Reference:

Only complete this section when filing an application by reference under 35 U.S.C. 111(c) and 37 CFR 1.57(a). Do not complete this section if application papers including a specification and any drawings are being filed. Any domestic benefit or foreign priority information must be provided in the appropriate section(s) below (i.e., "Domestic Benefit/National Stage Information" and "Foreign Priority Information").

For the purposes of a filing date under 37 CFR 1.53(b), the description and any drawings of the present application are replaced by this reference to the previously filed application, subject to conditions and requirements of 37 CFR 1.57(a).

Application number of the previously filed application	Filing date (YYYY-MM-DD)	Intellectual Property Authority or Country

Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

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

Representative Information:

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

Please Select One:	● Customer Number	US Patent Practitioner	○ Limited Recognition (37 CFR 11.9)
Customer Number	133759		

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	62KC-287092
	Application Number	
Title of Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS	

Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, 365(c), or 386(c) or indicate National Stage entry from a PCT application. Providing benefit claim information in the Application Data Sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.
When referring to the current application, please leave the "Application Number" field blank.

Prior Application Status	Pending	Remove

Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)
	Continuation of	15223870	2016-07-29

Prior Application Status	Patented	Remove

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
15223870	Continuation of	14836606	2015-08-26	9406078	2016-08-02

Prior Application Status	Patented	Remove

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
14836606	Continuation of	14537598	2014-11-10	9269097	2016-02-23

Prior Application Status	Patented	Remove

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
14537598	Continuation of	14016757	2013-09-03	8886536	2014-11-11

Prior Application Status	Patented	Remove

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
14016757	Continuation of	13371870	2012-02-13	8527274	2013-09-03

Prior Application Status	Patented	Remove

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
13371870	Continuation of	12847564	2010-07-30	8145489	2012-03-27

Prior Application Status	Patented	Remove

Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
12847564	Continuation of	11671526	2007-02-06	7818176	2010-10-19

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Foreign Priority Information:

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	62KC-287092
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Title of Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS	

This section allows for the applicant to claim priority to a foreign application. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55. When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX)[i] the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(i)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

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

☐ This application (1) claims priority to or the benefit of an application filed before March 16, 2013 and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.
NOTE: By providing this statement under 37 CFR 1.55 or 1.78, this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.

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Application Data Sheet 37 CFR 1.76		Attorney Docket Number	62KC-287092
		Application Number	
Title of Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS		

Authorization or Opt-Out of Authorization to Permit Access:

When this Application Data Sheet is properly signed and filed with the application, applicant has provided written authority to permit a participating foreign intellectual property (IP) office access to the instant application-as-filed (see paragraph A in subsection 1 below) and the European Patent Office (EPO) access to any search results from the instant application (see paragraph B in subsection 1 below).

Should applicant choose not to provide an authorization identified in subsection 1 below, applicant **must opt-out** of the authorization by checking the corresponding box A or B or both in subsection 2 below.

NOTE: This section of the Application Data Sheet is **ONLY** reviewed and processed with the **INITIAL** filing of an application. After the initial filing of an application, an Application Data Sheet cannot be used to provide or rescind authorization for access by a foreign IP office(s). Instead, Form PTO/SB/39 or PTO/SB/69 must be used as appropriate.

1. Authorization to Permit Access by a Foreign Intellectual Property Office(s)

A. Priority Document Exchange (PDX) - Unless box A in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the State Intellectual Property Office of the People's Republic of China (SIPO), the World Intellectual Property Organization (WIPO), and any other foreign intellectual property office participating with the USPTO in a bilateral or multilateral priority document exchange agreement in which a foreign application claiming priority to the instant patent application is filed, access to: (1) the instant patent application-as-filed and its related bibliographic data, (2) any foreign or domestic application to which priority or benefit is claimed by the instant application and its related bibliographic data, and (3) the date of filing of this Authorization. See 37 CFR 1.14(h)(1).

B. Search Results from U.S. Application to EPO - Unless box B in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the EPO access to the bibliographic data and search results from the instant patent application when a European patent application claiming priority to the instant patent application is filed. See 37 CFR 1.14(h)(2).

The applicant is reminded that the EPO's Rule 141(1) EPC (European Patent Convention) requires applicants to submit a copy of search results from the instant application without delay in a European patent application that claims priority to the instant application.

2. Opt-Out of Authorizations to Permit Access by a Foreign Intellectual Property Office(s)

☐ A. Applicant **DOES NOT** authorize the USPTO to permit a participating foreign IP office access to the instant application-as-filed. If this box is checked, the USPTO will not be providing a participating foreign IP office with any documents and information identified in subsection 1A above.

☐ B. Applicant **DOES NOT** authorize the USPTO to transmit to the EPO any search results from the instant patent application. If this box is checked, the USPTO will not be providing the EPO with search results from the instant application.

NOTE: Once the application has published or is otherwise publicly available, the USPTO may provide access to the application in accordance with 37 CFR 1.14.

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Application Data Sheet 37 CFR 1.76	Attorney Docket Number	62KC-287092
	Application Number	
Title of Invention	SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS	

Applicant Information:

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

Applicant 1 — Remove

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

Clear

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

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

Name of the Deceased or Legally Incapacitated Inventor:

If the Applicant is an Organization check here. ☒

Organization Name	VB Assets, LLC		
Mailing Address Information For Applicant:			
Address 1	13407 NE 37th Place		
Address 2			
City	Bellevue	**State/Province**	WA
Country	US	Postal Code	98005
Phone Number		Fax Number	
Email Address			

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Assignee Information including Non-Applicant Assignee Information:

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

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Assignee 1

Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication. An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.

Remove

If the Assignee or Non-Applicant Assignee is an Organization check here. ☒

Organization Name	VB Assets, LLC

Mailing Address Information For Assignee including Non-Applicant Assignee:

Address 1	13407 NE 37th Place		
Address 2			
City	Bellevue	**State/Province**	WA
Country i	US	Postal Code	98005
Phone Number		Fax Number	
Email Address			

Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button. Add

Signature:

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NOTE: This Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). **However, if this Application Data Sheet is submitted with the INITIAL filing of the application and either box A or B is not checked in subsection 2 of the "Authorization or Opt-Out of Authorization to Permit Access" section, then this form must also be signed in accordance with 37 CFR 1.14(c).**

This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of **all** joint inventor-applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

Signature	/Mark A. Patrick/			Date (YYYY-MM-DD)	2018-11-19
First Name	Mark	Last Name	Patrick	Registration Number	72958

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This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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

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

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

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

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

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

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

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

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

ABSTRACT

The system and method described herein may use various natural language models to deliver targeted advertisements and/or provide natural language processing based on advertisements. In one implementation, an advertisement associated with a product or service may be provided for presentation to a user. A natural language utterance of the user may be received. The natural language utterance may be interpreted based on the advertisement and, responsive to the existence of a pronoun in the natural language utterance, a determination of whether the pronoun refers to one or more of the product or service or a provider of the product or service may be effectuated.

CLAIMS

What is claimed is:

1. A method for processing natural language utterances that include requests and selecting and presenting advertisements based thereon, the method being implemented by one or more physical processors programmed with computer program instructions, which when executed cause the one or more physical processors to perform the method, the computer program instructions comprising at least a conversational language processor configured to interpret a natural language utterance, which relates to a request, based on words or phrases recognized from the natural language utterance, the method comprising:

in response to receiving the natural language utterance, providing the natural language utterance as an input to a speech recognition engine;

in response to receiving the words or phrases, recognized from the natural language utterance, as an output of the speech recognition engine, providing the words or phrases as an input to the conversational language processor;

interpreting the natural language utterance, at the conversational language processor, based on the recognized words or phrases;

determining the request based on the interpretation of the natural language utterance;

determining a context for the natural language utterance based at least on the recognized words or phrases;

selecting an advertisement based at least on the determined context;

providing the selected advertisement via an output device coupled to the conversational language processor;

obtaining a response to the request; and

providing the response to the request.

SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND/OR PROVIDING NATURAL LANGUAGE PROCESSING BASED ON ADVERTISEMENTS

CROSS-REFERENCE TO RELATED APPLICATIONS

[001] This application is a continuation of U.S. Patent Application Serial No. 15/223,870, entitled "System and Method for Delivering Targeted Advertisements and/or Providing Natural Language Processing Based on Advertisements", filed July 29, 2016, which is a continuation of U.S. Patent Application Serial No. 14/836,606, entitled "System and Method for Delivering Targeted Advertisements and/or Providing Natural Language Processing Based on Advertisements," filed August 26, 2015 (which issued as U.S. Patent No. 9,406,078 on August 2, 2016), which is a continuation of U.S. Patent Application Serial No. 14/537,598, entitled "System and Method for Delivering Targeted Advertisements and/or Providing Natural Language Processing Based on Advertisements," filed November 10, 2014 (which issued as U.S. Patent No. 9,269,097 on February 23, 2016), which is a continuation of U.S. Patent Application Serial No. 14/016,757, entitled "System and Method for Delivering Targeted Advertisements and Tracking Advertisement Interactions in Voice Recognition Context," filed September 3, 2013 (which issued as U.S. Patent No. 8,886,536 on November 11, 2014), which is a continuation of U.S. Patent Application Serial No. 13/371,870, entitled "System and Method for Delivering Target Advertisements and Tracking Advertisement Interactions in Voice Recognition Context," filed February 13, 2012 (which issued as U.S. Patent No. 8,527,274 on September 3, 2013), which is a continuation of U.S. Patent Application Serial No. 12/847,564, entitled "System and Method for Selecting and Presenting Advertisements Based on Natural Language Processing of Voice-Based Input," filed July 30, 2010 (which issued as U.S. Patent No. 8,145,489 on March 27, 2012), which is a continuation of U.S. Patent Application Serial No. 11/671,526, entitled "System and Method for Selecting and Presenting Advertisements Based on Natural Language Processing of Voice-Based Input," filed February 6, 2007 (which issued as U.S. Patent No. 7,818,176 on October 19, 2010), the contents of which are hereby incorporated by reference in their entirety.

FIELD OF THE INVENTION

[002] The present invention relates to delivering targeted advertisements and/or processing natural language processing based on advertisements.

BACKGROUND OF THE INVENTION

[003] As technology advances, consumer electronics devices tend to play larger roles due to increased functionality and mobility. For example, mobile phones, navigation devices, embedded devices, and other such devices provide a wealth of functionality beyond core applications. However, increased functionality adds difficulty to the learning curve associated with using electronic devices, and increased mobility intensifies the demand for simple mechanisms to interact with devices on the go. For example, existing systems tend to have complex human to machine interfaces, which may inhibit mass-market adoption for various technologies. For example, when a user wishes to perform a relatively simple task on a mobile phone, such as purchasing a ring tone, the user often is forced to navigate through a series of menus and press a series of buttons. In some instances, this may result in the transaction not necessarily occurring, as the user may prefer to avoid the hassles altogether. As such, there is ever-growing demand for ways to exploit technology in intuitive ways.

[004] Voice recognition software may enable a user to exploit applications and features of a device that may otherwise be unfamiliar, unknown, or difficult to use. However, many existing voice user interfaces (when they actually work) still require significant learning on the part of the user. For example, users often cannot directly issue a request for a system to retrieve information or perform an action without having to memorize specific syntaxes, words, phrases, concepts, semantic indicators, or other keywords/qualifiers. Similarly, when users are uncertain of particular needs, many existing systems do not engage the user in a productive, cooperative dialogue to resolve requests and advance a conversation. Instead, many existing speech interfaces force users to use a fixed set commands or keywords to communicate requests in ways that systems can understand. Using existing voice user interfaces, there is virtually no option for dialogue between the user and the system to satisfy mutual goals.

[005] The lack of adequate voice user interfaces results in missed opportunities for providing

valuable and relevant information to users. Not only does this potentially leave user requests unresolved, in certain instances, providers of goods and services may lose out on potential business. In an increasingly global marketplace, where marketers are continually looking for new and effective ways to reach consumers, the problems with existing voice user interfaces leaves a large segment of consumer demand unfulfilled. Furthermore, existing techniques for marketing, advertising, or otherwise calling consumers to action fail to effectively utilize voice-based information, which is one of the most natural, intuitive methods of human interaction.

[006] Existing systems suffer from these and other problems.

SUMMARY OF THE INVENTION

[007] According to various aspects of the invention, a system and method for selecting and presenting advertisements based on natural language processing of voice-based inputs is provided. A natural language voice-based input may be received by a voice user interface. The voice-based input may include a user utterance, and a request may be identified from the utterance. Appropriate action may be taken to service the request, while one or more advertisements may be selected and presented to the user. Advertisements may be selected based on various criteria, including content of the input (e.g., concepts, semantic indicators, etc.), an activity related to the input (e.g., a relation to a request, a requested application, etc.), user profiles (e.g., demographics, preferences, location, etc.), or in other ways. A user may subsequently interact with the advertisement (e.g., via a voice-based input), and action may be taken in response to the interaction. Furthermore, the interaction may be tracked to build statistical profiles of user behavior based on affinities or clusters among advertisements, user profiles, contexts, topics, semantic indicators, concepts, or other criteria.

[008] According to various aspects of the invention, advertisers may create advertisements, which may be stored in an advertisement repository. For example, advertisements may include sponsored messages, calls to action, purchase opportunities, trial downloads, or any other marketing communication, as would be apparent to those skilled in the art. Advertisers may specify various parameters to associate with the advertisements, such as various contexts or topic concepts (e.g., semantic indicators for a "music" concept may include words such as "music," "tunes," "songs," etc.), target demographics (e.g., a preferred audience), marketing

criteria or prices for insertion (e.g., dynamic or static pricing based on various marketing criteria), or other information, as would be apparent. The advertisement repository may be associated with a server, where in response to a voice-based input from a user (e.g., at a voice-enabled device), a communications link may be established with the server. Information may be extracted from the voice-based input (e.g., words in the input, applications requested by the input, etc.), and the extracted information may be correlated with user profiles, advertisement parameters, or other information to determine which advertisements to select in relation to the voice-based input. The server may subsequently communicate the selected advertisements to the user, and the server may track the user's subsequent interaction with the selected advertisements.

[009] Other objects and advantages of the invention will be apparent based on the following drawings and detailed description.

BRIEF DESCRIPTION OF THE DRAWINGS

[010] Figure 1 illustrates a block diagram of an exemplary system for implementing a voice user interface according to various aspects of the invention.

[011] Figure 2 illustrates a block diagram of an exemplary advertising system according to various aspects of the invention.

[012] Figure 3 illustrates a flow diagram of an exemplary method for selecting and presenting advertisements based on voice-based inputs according to various aspects of the invention.

DETAILED DESCRIPTION

[013] Referring to Figure 1, an exemplary system 100 for implementing a voice user interface is illustrated according to various aspects of the invention. System 100 may enable users to perform various tasks on a voice-enabled device. For example, users may control navigation devices, media devices, personal computers, personal digital assistants, or any other device supporting voice-based inputs. System 100 may enable users to request voice-enabled devices to retrieve information or perform various tasks, among other things, using natural language voice-based inputs. For example, system 100 may interpret natural language voice-based inputs and generate responses using, among other things, techniques described in U.S. Patent

Application Serial No. 10/452,147, entitled "Systems and Methods for Responding to Natural Language Speech Utterance," filed June 3, 2003, which issued as U.S. Patent No. 7,398,209 on July 8, 2008, and U.S. Patent Application Serial No. 10/618,633, entitled "Mobile Systems and Methods for Responding to Natural Language Speech Utterance," filed June 15, 2003, which issued as U.S. Patent No. 7,693,720 on April 6, 2010, both of which are hereby incorporated by reference in their entirety. For example, as described in U.S. Patent Application Serial No. 10/452,147, the system 100 may include a speech recognition engine (e.g., an Automatic Speech Recognizer 110) that may recognize words and phrases in an utterance using entries in one or more dictionary and phrase tables. In addition, as further described therein, fuzzy set possibilities or prior probabilities for the words in the dictionary and phrase tables may be dynamically updated to maximize the probability of correct recognition at each stage of the dialog (e.g., the probabilities or possibilities may be dynamically updated based on application domains, questions or commands, contexts, user profiles and preferences, user dialog histories, recognizer dictionary and phrase tables, word spellings, and/or other criteria).

[014] According to various aspects of the invention, system 100 may receive a user input, including at least a voice-based user utterance, at an input device 105. Input device 105 may include any suitable device, or combination of devices, for receiving a voice-based input (e.g., a microphone). In various implementations, input device 105 may include a multi-modal input, such as a touch-screen interface, keypad, or other input. The received utterance may be processed by the Automatic Speech Recognizer 110. Automatic Speech Recognizer 110 may generate one or more preliminary interpretations of the utterance using various techniques. For example, Automatic Speech Recognizer 110 may interpret the utterance using techniques of phonetic dictation to recognize a stream of phonemes. Further, Automatic Speech Recognizer 110 may perform post-processing to enhance the preliminary interpretations. For example, Automatic Speech Recognizer 110 may vary interpretations of an utterance, or components of an utterance, from one context to another. Other techniques for enhancing an interpretation of a user utterance may be used, such as those 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.

[015] The one or more preliminary interpretations may be provided to a conversational language processor 120. Conversational language processor 120 may include a voice search engine 125, a context determination module 130, and one or more agents 135, among other things, to enable cooperative, conversational interaction between the user and system 100. Conversational language processor 120 may be communicatively coupled to one or more data repositories 140 and one or more applications 150. Conversational language processor 120 may generate a domain-specific conversational response, which may be returned to the user as an output 180. Output 180 may include a multi-modal output (e.g., by simultaneously returning a voice-based response and displaying information on a display device).

[016] System 100 may further include an interaction with one or more applications 150 to service one or more requests in the utterance. For example, the utterance may include one or more requests for performing an action, retrieving information, or various combinations thereof. Output 180 may include a conversational response to advance a conversation to service requests by invoking one or more applications 150, as appropriate. For example, applications 150 may include a navigation application 155, an advertising application 160, a music application, an electronic commerce application 170, and/or other applications 175. Furthermore, Automatic Speech Recognizer 110, conversational language processor 120, data repositories 140, and/or applications 150 may reside locally (e.g., on a user device), remotely (e.g., on a server), and/or hybrid local/remote processing models may be used (e.g., lightweight applications may be processed locally while computationally intensive applications may be processed remotely).

[017] Conversational language processor 120 may build long-term and/or short-term shared knowledge in one or more knowledge sources. For example, shared knowledge sources may include information about previous utterances, requests, and other user interactions to inform generating an appropriate response to a current utterance. The shared knowledge may include public/non-private (i.e., environmental) knowledge, as well as personal/private (i.e., historical) knowledge. For example, conversational language processor 120 may use context determination module 130 to establish a context for a current utterance by having domain agents 135 competitively generate a context-based interpretation of the utterance (e.g., by scoring possible interpretations and selecting a highest scoring interpretation). As such, agents

135 may model various domains (e.g., navigation, music, a specific user, global users, advertising, e-commerce, etc.), and conversational language processor 120 may interpret and/or respond to a voice-based input accordingly. For example, context-based interpretations and responses to a voice-based input may be generated using techniques 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.

[018] Furthermore, conversational language processor 120 may support adaptive misrecognition to reinterpret a current utterance and/or one or more previous utterances. For example, information contained in a current utterance may indicate that interpretations for one or more previous utterances were incorrect, and therefore, the previous utterances may be reinterpreted to improve subsequent interpretations. Accordingly, conversational language processor 120 may use the techniques described herein, along with various other techniques, to interpret and respond to conversational, natural language utterances. Conversational language processor 120 may use various other techniques as will be apparent, such as those described in U.S. Patent Application Serial No. 11/200,164, entitled "System and Method of Supporting Adaptive Misrecognition in Conversational Speech," filed August 10, 2005, which issued as U.S. Patent No. 7,620,549 on November 17, 2009, and U.S. Patent Application Serial No. 11/580,926, entitled "System and Method for a Cooperative Conversational Voice User Interface," filed October 16, 2006, which issued as U.S. Patent No. 8,073,681 on December 6, 2011, both of which are hereby incorporated by reference in their entirety. For example, as described in U.S. Patent Application Serial No. 11/200,164, an environmental model may be accessed to determine user location, user activity, track user actions, and/or other environmental information to invoke context, domain knowledge, preferences, and/or other cognitive qualities to enhance the interpretation of questions and/or commands. In addition, as further described therein, based on information received from a general cognitive model, the environmental model, and/or a personalized cognitive model, which provide statistical

abstracts of user interaction patterns, the system 100 may enhance responses to commands and questions by including a prediction of user behavior.

[019] Referring to Figure 2, an exemplary advertising system 200 is illustrated according to various aspects of the invention. System 200 may include a server 230 for receiving one or more advertisements from an advertiser 220, wherein the advertisements may be stored in a data repository 260 associated with server 230. For example, advertisements may include sponsored messages or marketing communications, calls to action, purchase opportunities, trial downloads, coupons, or any other suitable marketing, advertising, campaign, or other information, as would be apparent to those skilled in the art. A voice-enabled device 210 may receive a voice-based input and establish communications with advertising server 230. Subsequently, advertising server 230 may select one or more advertisements from among the advertisements stored in data repository 260, and the selected advertisements may be provided to the voice-enabled device for presentation to a user.

[020] Advertiser 220 may access advertising server 230 via an advertiser interface 245. Advertisers 220 may upload targeted advertisements to server 230 via advertiser interface 245, and server 230 may store the advertisements in data repository 260. The advertisements may include graphically-based advertisements that include banners, images, audio, video, or any suitable combination thereof. Furthermore, the advertisements may include interactive or embedded information, such as links, metadata, or computer-executable instructions, or any suitable combination thereof. Advertisers may specify criteria for a campaign or targeting information for an advertisement (e.g., a start date, an end date, budget information, geo-targeting information, conceptual or contextual information, or any other suitable criteria), which may be used to facilitate selecting an advertisement in relation to a particular voice-based input.

[021] In addition to providing interface 245 for advertisers, server 230 may include a content/action identification module 235, a user profile module 240, an advertisement selection module 250, and a tracking module 255. Users may submit voice-based requests to voice-enabled device 210, and voice-enabled device 210 may communicate information about the voice-based input to server 230. Server 230 may invoke advertisement selection module 250 to extract relevant information from the voice-based input, where advertisement selection

module 250 may select one or more advertisements relevant to the voice-based input based on information extracted using content/action identification module 235 and/or user profile module 240.

[022] For example, content/action identification module 235 may identify content of the voice-based input (e.g., words in the input), requested information (e.g., search results, a web page, music, video, graphics, or other information), requested actions (e.g., calculating a navigation route, placing a telephone call, playing a song, etc.), a category or topic related to the input (e.g., music, business, stocks, sports, navigation, movies, etc.), or other criteria to use in selecting an advertisement. Further, user profile module 240 may identify characteristics of a specific user (e.g., demographics, personal preferences, location-based information, etc.), global user profiles (e.g., demographic profiles, click-through rates, etc.), or other criteria to use in selecting an advertisement. Moreover, advertisement selection module 250 may account for where a request originates from. For example, advertisements may be selected based on a default user location (e.g., identified from a user profile), current geolocation information (e.g., identified from a navigation device), whether an affiliate or partner of server 230 initiated the request, or other criteria.

[023] For instance, a user may request airline reservations via voice-enabled device 210, and content/action identification module 235 may identify specific words used in the request, a category related to the request (e.g., travel, airlines, hotels, etc.), or other information. Furthermore, user profile module 240 may identify relevant characteristics of the user (e.g., user-specific demographics, location information, preferred airlines or hotels, etc.), as well as global user characteristics (e.g., most popular airlines). In various implementations, advertisements may be selected by assigning a score to each advertisement (e.g., based on click-through rates, relevance metrics, target audiences, etc.). As such, advertisement selection module 250 may correlate the information about the request to select advertisements stored in data repository 260, and server 230 may communicate the selected advertisements to voice-enabled device 210. Furthermore, selected advertisements may be presented according to a predetermined ordering or ranking (e.g., based on a ranking of relevance to an advertisement).

[024] In various implementations, advertisement selection module 250 may retrieve a predetermined number of advertisements for any given request. Furthermore, the selected

advertisements may depend upon a presentation format. For example, advertisements may be selected based on an amount of available space on a display of voice-enabled device 210 and/or a size/shape of the selected advertisements. In another example, voice-based advertisements may be selected and presented to the user audibly (e.g., a "hands-free" advertisement may be preferred when voice-enabled device 210 is a telematics device).

[025] Furthermore, the user's subsequent interaction with an advertisement may be tracked using tracking module 255. For example, tracking module 255 may determine whether a conversion or click-through occurs for each advertisement presented to users. Further, tracking module 255 may maintain accounting and/or billing information associated with advertisers 220. For example, advertisers 220 may specify a maximum insertion cost, a cost-per-click-through, an average insertion cost, or other criteria specifying a budget constraint for an advertisement. As such, tracking module 255 may track which advertisements are selected and/or presented, which advertisements result in a conversion or click-through, whether a click-through or conversion results in a transaction or sale, associations between advertisements and users, requests, concepts, semantic indicators, and/or other criteria. For example, tracking user interaction with advertisements may be used to build user-specific and/or global statistical profiles that map or cluster advertisements to topics, semantic indicators, contexts, concepts, etc. based on user behavior, demographics, targeting constraints, content of advertisements, content of requests, actions associated with requests, or other statistically relevant information. Accordingly, the tracking information may be used to bill or invoice advertisers 220, as well as to improve subsequent performance and relevance of advertisements selected using advertisement selection module 250. Other techniques and features of selecting and presenting advertisements based on voice-based inputs may suitably be employed, as would be apparent.

[026] Referring to Figure 3, an exemplary method for selecting and presenting advertisements based on a voice-based input is illustrated according to various aspects of the invention. The method may begin in an operation 305, where a voice-based input, including at least a user utterance, may be received at a voice user interface. The voice user interface may include any suitable mechanism for receiving the utterance (e.g., a microphone), and may interface with

any suitable voice-enabled device, as would be apparent, including personal navigation devices, personal digital assistants, media devices, telematics devices, personal computers, mobile phones, or others.

[027] Subsequently, one or more requests included in the voice-based input may be identified in an operation 310. For example, the requests may include requests to retrieve information, perform tasks, explore or gather information, or otherwise interact with a system or device. For example, a voice-based input to a navigation device may include a request to calculate a route or retrieve location-based information. In another example, a voice-based input to a mobile phone may include a request to place a telephone call, purchase a ringtone, or record a voice-memo. Furthermore, in various implementations, voice-based inputs may include multiple requests, multi-modal requests, cross-device requests, cross-application requests, or other types of requests. For example, an utterance received in operation 305 may be: "Get me a route to Chang's Restaurant, and call them so I can make a reservation." The utterance may thus include multiple requests, including cross-device requests (e.g., calculate a route using a navigation device, and make a telephone call using a mobile phone), as well as cross-application requests (e.g., search for an address and/or phone number using a voice search engine, and calculate a route using a navigation application).

[028] The requests may be part of a conversational interaction between a user and a system or device, whereby an interpretation of requests in a current utterance may be based upon previous utterances in a current conversation, utterances in previous conversations, context-based information, local and/or global user profiles, or other information. For example, a previous request may be reinterpreted based on information included in subsequent requests, a current request may be interpreted based on information included in previous requests, etc. Furthermore, the conversational interaction may take various forms, including query-based conversations, didactic conversations, exploratory conversations, or other types of conversations. For example, the conversational language processor may identify a type of conversation, and information may be extracted from the utterance accordingly to identify the one or more requests in operation 310. Moreover, the conversational language processor may determine whether any of the requests are incomplete or ambiguous, and action may be taken

accordingly (e.g., a system response may prompt a user to clarify an incomplete and/or ambiguous request). The conversational language processor may therefore use various techniques to identify a conversation type, interpret utterances, identify requests, or perform other tasks, such as those described in the aforementioned U.S. Patent Applications and U.S. Patents, which are hereby incorporated by reference in their entirety.

[029] Upon identifying the one or more requests, action may be taken based on the identified requests in an operation 315, while one or more advertisements may be selected in an operation 320 (described in greater detail below). For example, one or more context-appropriate applications may be invoked to service the requests in operation 315 (e.g., a voice search engine, a navigation application, an electronic commerce application, or other application may be invoked depending upon the request). Furthermore, in operation 320, information may be communicated to an advertising server to select one or more advertisements related to the request. Thus, as shown in Figure 3, taking action in operation 315 and selecting advertisements in operation 320 may be related operations (e.g., advertisements may be selected to help in interpreting incomplete and/or ambiguous requests).

[030] Upon taking action in operation 315 (e.g., to service the request) and selecting one or more advertisements in operation 320 (e.g., in relation to the request), an output may be presented to the user in operation 325. The output may indicate a result of the action associated with operation 315. For example, the output may include requested information, an indication of whether a requested task was successfully completed, whether additional information is needed to service the request (e.g., including a prompt for the information), or other information relating to an action based on the request. Furthermore, the output may include advertisements, as selected in operation 320. For example, the output may include text-based, graphic-based, video-based, audio-based, or other types of advertisements, as would be apparent to those skilled in the art. Further, the output may include other types of advertisements, including calls to action (e.g., a location-based coupon or purchase opportunity, trial downloads, or other actionable advertising or marketing).

[031] Advertisements may be selected in relation to a request based on various criteria. For example, an advertisement may be selected based on words or other content of the request, relevant words or content related to the words or content of the request, etc. In another example, the advertisement may be selected based on requested tasks/information (e.g., a request for movie showtimes may result in an advertisement being selected for a particular theater). In yet another example, the advertisement may be selected based on a topic or category associated with the requested tasks/information (e.g., a request to purchase airline tickets may result in an advertisement being selected for a hotel in a destination associated with a reserved flight). In still other examples, the advertisement may be selected based on location information, (e.g., advertisements may be selected based on a proximity to a user geolocation identified using a navigation device), user-specific and/or global user profiles (e.g., advertisements may be selected based on user-specific and/or global preferences, advertiser campaign criteria, etc.).

[032] Content of a voice-based input may be determined based on various criteria, including contextual or conceptual information (e.g., semantic indicators, qualifiers, or other information). For example, a given concept may include various semantically equivalent indicators having an identical meaning. Thus, for instance, a voice-based input may be "Play some tunes!" or "Play some music!" or other variants thereof, each of which may be interpreted as relating to a specific idea (or concept) of "Music." Thus, concept or content information in a request may be used to select an advertisement. For example, a user may request to calculate a route in Seattle, Washington (e.g., "How do I get to the Space Needle?"). Based on a context of the requested task (e.g., "Navigation," "Seattle," etc.), a voice search engine may retrieve an address of the Space Needle and a navigation application may calculate the route. Furthermore, user profile information may indicate that the user is visiting Seattle from out-of-town (e.g., the profile may indicate that the user's home is Sacramento), and therefore, an advertisement for popular points-of-interest in Seattle may be selected. In another example, the user may request information about a sporting event (e.g., "Get me the kickoff time for the Eagles game on Sunday"). Based on a context of the requested information

(e.g., "Search," "Sports," "Philadelphia," etc.), the requested information may be retrieved, while an advertisement for Eagles apparel or memorabilia may be selected.

[033] In various instances, concepts, semantic indicators, qualifiers, or other information included in, or inferred from, a request may indicate an exploratory nature for the request. In other words, the exploratory request may identify a goal for a conversation, instead of a particular task to perform or information to retrieve. As such, in various implementations, an advertisement may be selected in operation 320 in an effort to advance the conversation towards the goal. For example, an exploratory request may include a request for a navigation route (e.g., "I feel like going to a museum, find me something interesting"). Based on a context of the requested task (e.g., "Navigation," "Points of Interest," etc.), the goal of the conversation may be identified, and the request may be serviced in operation 315 (e.g., a voice search engine may locate nearby points of interest based on user preferred topics). Further, the advertising application may select an appropriate advertisement in operation 320, where the advertisement may be selected in an attempt to advance the conversation towards the goal. For example, statistical profiles (e.g., user profiles, global profiles, topic-based profiles, etc.) may reflect an affinity between an advertisement for a particular museum and other users sharing similar demographics or other characteristics with the requesting user. Thus, in addition to retrieving information about museums in operation 315, an advertisement for a museum likely to be of interest to the user may be selected in operation 320.

[034] In various instances, a request may include incomplete, ambiguous, unrecognized, or otherwise insufficient semantic indicators, context, qualifiers, or other information needed to identify the request. In other words, the request may include inadequate information to identify or infer a task to perform, information to retrieve, or a goal for a conversation. Thus, as much information as possible may be extracted and/or inferred from the request based on shared knowledge such as context, user or global profile information, previous utterances, previous conversations, etc. As such, servicing the request may include generating a response and/or communicating with an advertising application to advance a conversation toward a serviceable request. For example, servicing the request in operation 315 and selecting an

advertisement in operation 320 may include generating a response and/or selecting an advertisement to frame a subsequent user input, thereby advancing the conversation.

[035] For example, the request may include incomplete, ambiguous, or unrecognized information (e.g., "Do you know [*mumbled words*] Seattle?"). A context of the requested task may be identified (e.g., "Seattle"), yet the identified context may be insufficient to adequately take action to service the request. Additional information may be inferred based on previous utterances in the conversation, profile information, or other information. However, when the additional information fails to provide adequate information to infer a reasonable hypothesis, servicing the request in operation 315 may include generating a response to frame a subsequent user input and advance the conversation (e.g., information about various topics may be retrieved based on a user's preferred topics). Further, the advertising application may select an advertisement in operation 320 to advance the conversation (e.g., advertisements may be selected based on user and/or global profiles reflecting an affinity between certain advertisements associated with Seattle and user preferences, profiles, etc.). Thus, by selecting an advertisement, indicating dissatisfaction with an advertisement, or otherwise interacting with an advertisement, the interaction may be used to build context and shared knowledge for a subsequent course of the conversation. For example, a user may select an advertisement, and an interpretation of a subsequent voice-based input (e.g., "Call them," "What's the price range?" etc.) may be interpreted with shared knowledge of the advertisement that the voice-based input relates to. Thus, advertisements may be used in a way that enables advertisers to market to consumers, while also improving the consumers' interaction with a device. Other advantages will be apparent to those skilled in the art.

[036] It will be apparent that operation 320 may use various techniques to select advertisements based on voice-based inputs and/or requests included therein. For example, an advertiser may specify a target audience, marketing criteria, campaign strategies, budget constraints, concepts, semantic indicators, related topics, categories, and/or any other suitable information to associate with an advertisement. For instance, advertisers may pay a premium to prioritize an advertisement in relation to similar advertisements (e.g., advertisements associated with competitors). In another example, various statistical profiles may define

affinities between advertisements, topics, users, etc. (e.g., based on click-through or conversion rates, or other tracking information, as described in more detail below). Thus, advertisements may be selected in operation 320 using various techniques, including content of the request, an activity/action associated with the request, user profiles, user preferences, statistical metrics, advertiser-specified criteria, to advance a conversation, to resolve ambiguous requests, or in various other ways, as will be apparent.

[037] The output presented to the user in operation 325 may be provided to the user in various ways. For example, in various implementations, the output may include a voice-based or otherwise audible response. In another example, when an associated device includes a display mechanism, the output may be displayed on the display device. It will be apparent that many combinations or variants thereof may be used, such as augmenting a voice-based response with information on a display device. For example, a user may request information about restaurants, and an advertisement may be selected based on a user preference indicating a favorite type of restaurant (e.g., a Chinese restaurant may be selected based on a user profile indicating a preference for Chinese). Therefore, in one example, the output presented in operation 325 may display information about various restaurants matching the requested information, while a voice-based advertisement for the Chinese restaurant may be played to the user (e.g., via a speaker or other suitable mechanism for playing voice back to the user). Many other variations will be apparent (e.g., a graphical advertisement may be displayed on a display device, while a corresponding or different voice-based advertisement may be played audibly).

[038] Subsequent interaction between the user and the presented advertisements may be monitored in a decisional operation 330. For instance, when the user elects to interact with the advertisement, action may be taken based on the interaction in an operation 335. The interaction may take various forms, including additional voice-based inputs or other suitable mechanisms for interacting with advertisements (e.g., clicking on an advertisement displayed on a personal digital assistant using an associated stylus). For example, a user may initially request information from a voice-enabled media device (e.g., a satellite radio player) about a song currently playing (e.g., "What is this song?"). In addition to outputting the requested

information about the song (e.g., "This song is Double Barrel by Dave and Ansel Collins."), a selected advertisement may enable the user to purchase a ringtone for a mobile phone that corresponds to the song. In this example, the interaction may include a request to purchase the ringtone (e.g., "Yeah, I'll buy that"), and action taken in operation 335 may include completing a transaction for the ringtone and/or downloading the ringtone to the mobile phone. Furthermore, additional advertisements may be selected in an operation 340 based on the interaction, using similar techniques as described in connection with operation 320 (e.g., advertisements for additional ringtones, similar musicians, etc. may be selected). Processing may subsequently return to operation 325 to present output resulting from the interaction.

[039] User advertisement interaction may be tracked in an operation 345. For example, operation 345 may track historical data about users, conversations, topics, contexts, or other criteria to associate information with the selected advertisement. The tracking information may therefore be used to build statistical profiles defining affinities, click-through or conversion rates, or other information about various advertisements, topics, or other criteria on a user-specific and/or a global-user level. Thus, clusters or mappings may be created between advertisements, topics, concepts, demographics, or other criteria based on user behavior with the advertisements (e.g., whether a user interacts with the advertisement in operation 330).

[040] For instance, certain advertisements may experience high click-through rates in relation to a first context and/or topic, but low click-through rates in relation to a second context and/or topic, and therefore, when requests relate to the first context and/or topic, the advertisement may be more likely to be selected in subsequent operations 320/340. In another example, global statistical profiles may indicate that an advertisement experiences more click-throughs by users of a particular demographic, and therefore, the advertisement may be more likely to be selected for users falling within the demographic. Many different techniques for tracking and building statistical profiles will be apparent.

[041] Implementations of the invention may be made in hardware, firmware, software, or any combination thereof. The invention may also be implemented as instructions stored on a machine-readable medium, which may be read and executed by one or more processors. A machine-readable medium may include any mechanism for storing or transmitting information

in a form readable by a machine (e.g., a computing device). For example, a machine-readable storage medium may include read only memory, random access memory, magnetic disk storage media, optical storage media, flash memory devices, and others, and a machine-readable transmission media may include forms of propagated signals, such as carrier waves, infrared signals, digital signals, and others. Further, firmware, software, routines, or instructions may be described in the above disclosure in terms of specific exemplary aspects and implementations of the invention, and performing certain actions. However, it will be apparent that such descriptions are merely for convenience and that such actions in fact result from computing devices, processors, controllers, or other devices executing the firmware, software, routines, or instructions.

[042] Aspects and implementations may be described as including a particular feature, structure, or characteristic, but every aspect or implementation may not necessarily include the particular feature, structure, or characteristic. Further, when a particular feature, structure, or characteristic is described in connection with an aspect or implementation, it will be apparent to effect such feature, structure, or characteristic in connection with other aspects or implementations whether or not explicitly described. Thus, various changes and modifications may be made, without departing from the scope and spirit of the invention. 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.

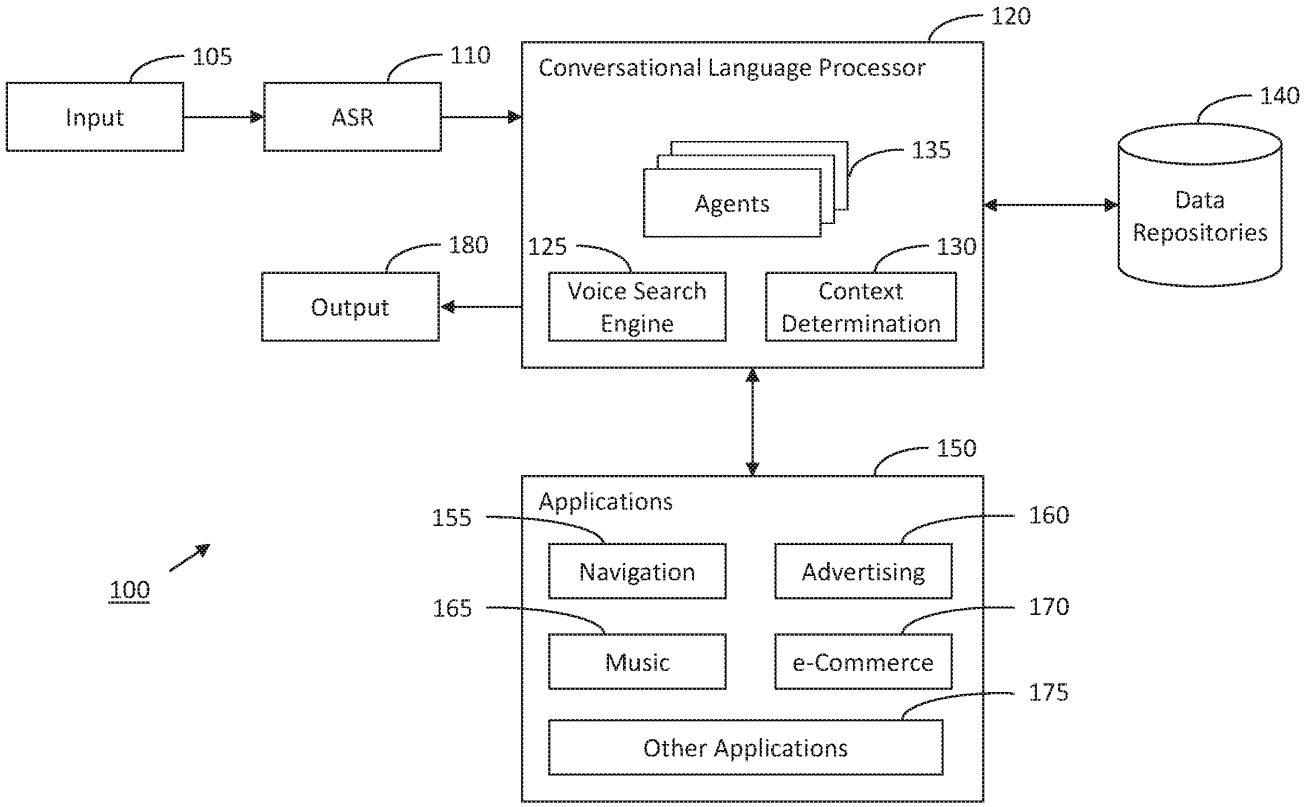

105
Input
110
ASR
120
Conversational Language Processor
135
Agents
140
Data Repositories
180
Output
125
Voice Search Engine
130
Context Determination
150
Applications
155
Navigation
160
Advertising
165
Music
170
e-Commerce
175
Other Applications
100

Figure 1

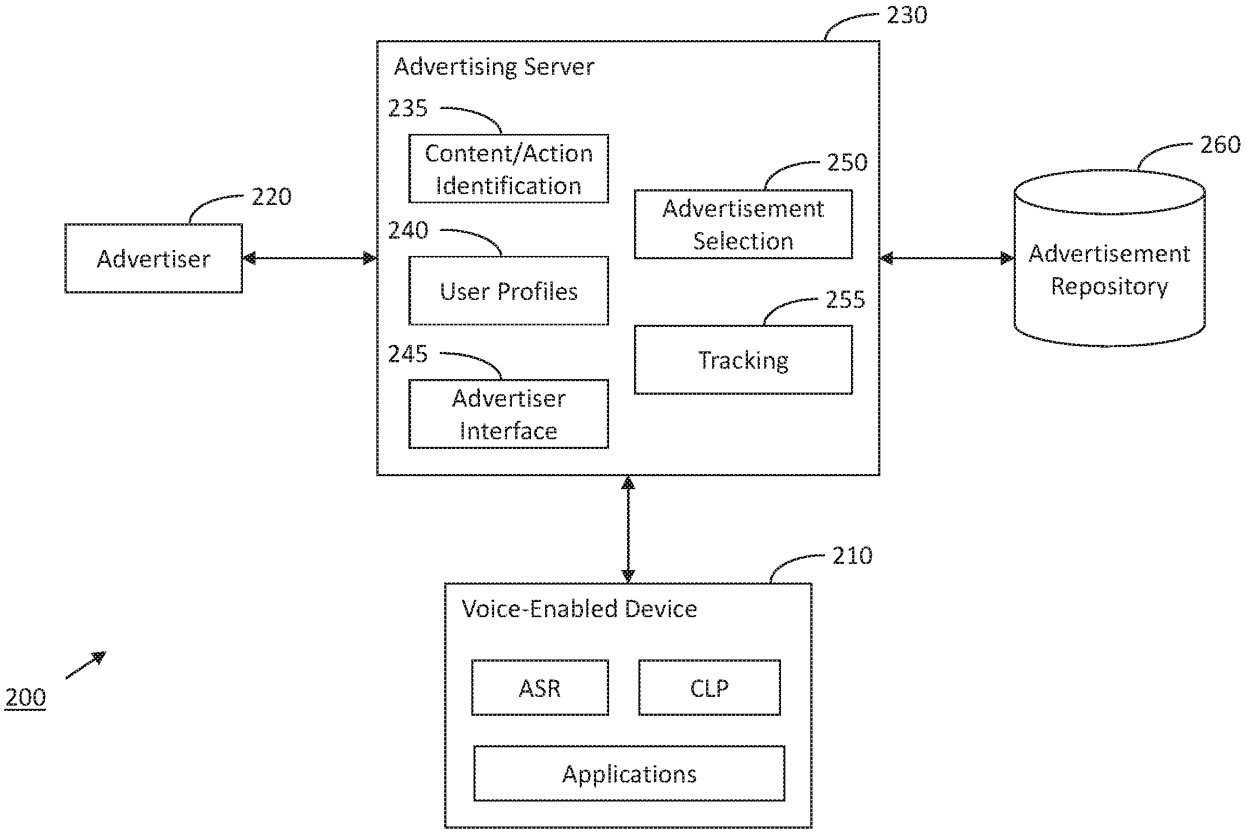

230
Advertising Server
235
Content/Action Identification
240
User Profiles
245
Advertiser Interface
250
Advertisement Selection
255
Tracking
220
Advertiser
260
Advertisement Repository
210
Voice-Enabled Device
ASR
CLP
Applications
200

Figure 2

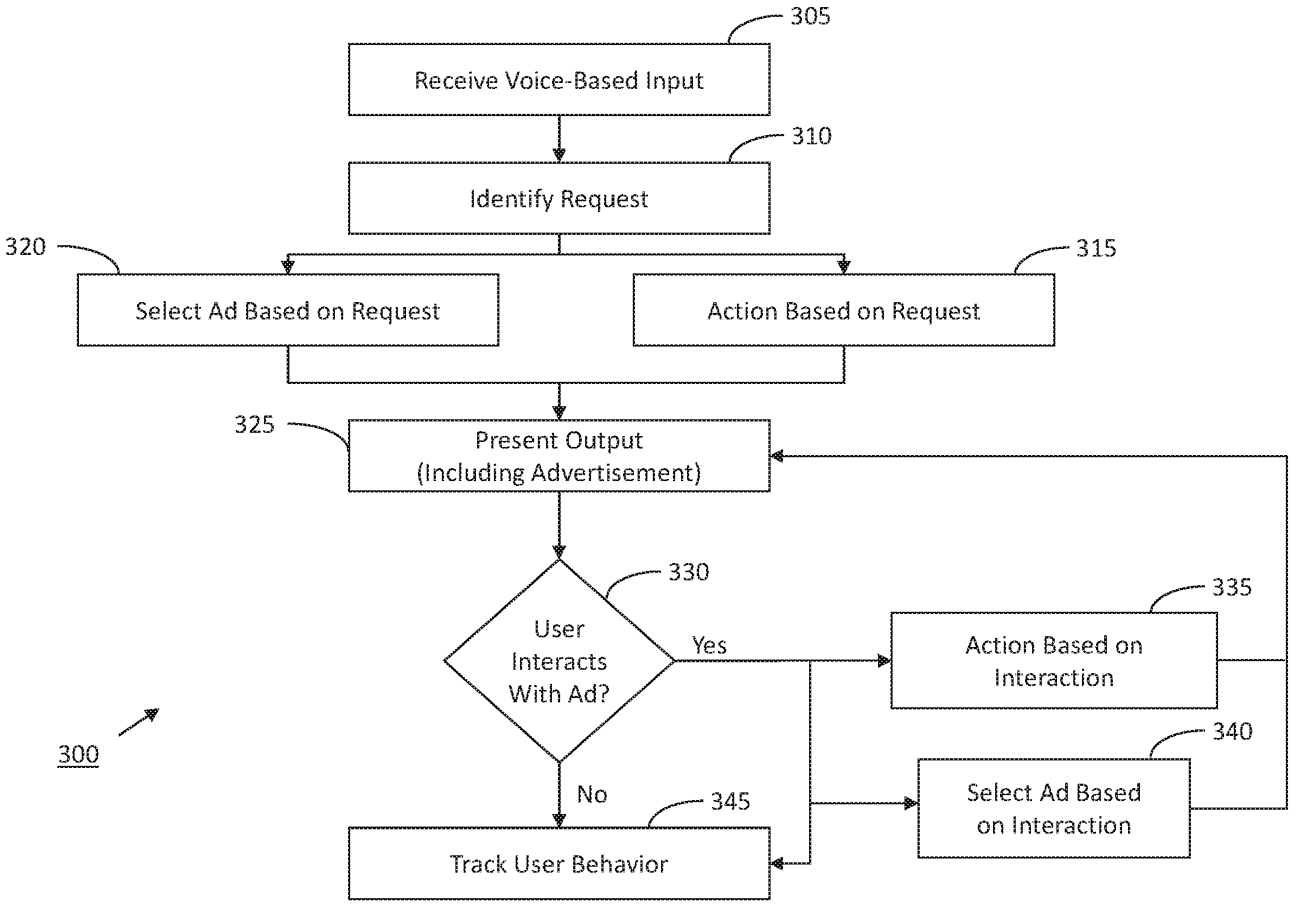

305
Receive Voice-Based Input
310
Identify Request
320
Select Ad Based on Request
315
Action Based on Request
325
Present Output
(Including Advertisement)
330
User
Interacts
With Ad?
Yes
335
Action Based on
Interaction
340
Select Ad Based
on Interaction
No
345
Track User Behavior
300

Figure 3

ATTORNEY DOCKET NUMBER: 090611-0424941

DECLARATION (37 C.F.R. 1.63) FOR UTILITY PATENT APPLICATION USING AN APPLICATION DATA SHEET (37 C.F.R. 1.76)

Title of Invention: SYSTEM AND METHOD FOR DELIVERING TARGETED ADVERTISEMENTS AND TRACKING ADVERTISEMENT INTERACTIONS IN VOICE RECOGNITION CONTEXTS

As a below named inventor, I hereby declare that:

This declaration is directed to United States application number 14/016,757 filed on September 3, 2013.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I have reviewed and understand the contents of the application, including the claims.

I am aware of the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 CFR Section 1.56.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

(1) Legal Name of Inventor: TOM FREEMAN

Signature: _____ Date: 5/22/2014

(2) Legal Name of Inventor: MIKE KENNEWICK

Signature: _____ Date: 5/22/14

Amazon/VB Assets
Exhibit 1003
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