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| APPLICATION NO. | ISSUE DATE | PATENT NO. | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 14/942,551 | 12/11/2018 | 10152973 | SEAZN.761C1 | 2939 |

79502 7590 11/20/2018

Knobbe, Martens, Olson & Bear, LLP
AMAZON TECHNOLOGIES, INC. (SEAZN/AMAZON)
2040 Main Street
Fourteenth Floor
Irvine, CA 92614

# 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):

Bjorn Hoffmeister, Seattle, WA;
Amazon Technologies, Inc., Seattle, WA;
Hugh Evan Secker-Walker, Newburyport, MA;
Jeffrey Cornelius O'Neill, Somerville, MA;

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VB Assets - EXHIBIT 2014 01
Amazon.com, Services LLC, v. VB Assets, LLC - IPR2025-01240

| Notice of References Cited | Application/Control No. 14/942,551 | Applicant(s)/Patent Under Reexamination HOFFMEISTER ET AL. | |
|---|---|---|---|
| | Examiner THUYKHANH LE | Art Unit 2658 | Page 1 of 3 |

**U.S. PATENT DOCUMENTS**

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| * | B | US-2004/0117189 A1 | 06-2004 | Bennett, Ian M. | G06F17/27 | 704/270.1 |
| * | C | US-2005/0149337 A1 | 07-2005 | Asadi, Ayman O. | G10L15/30 | 704/277 |
| * | D | US-2007/0011010 A1 | 01-2007 | Dow; Barry Neil | G10L15/30 | 704/270.1 |
| * | E | US-2006/0190268 A1 | 08-2006 | Wang; Jui-Chang | G10L15/30 | 704/275 |
| * | F | US-2010/0198597 A1 | 08-2010 | ZHU; Qifeng | G10L15/083 | 704/236 |
| * | G | US-2013/0024196 A1 | 01-2013 | Ganong, III; William F. | G10L17/00 | 704/246 |
| * | H | US-2012/0059653 A1 | 03-2012 | Adams; Jeffrey P. | G10L15/19 | 704/243 |
| * | I | US-2008/0091443 A1 | 04-2008 | Strope; Brian | G06Q10/103 | 705/301 |
| * | J | US-2007/0244703 A1 | 10-2007 | Adams; Hugh William JR. | G09B19/04 | 704/270.1 |
| * | K | US-2008/0189110 A1 | 08-2008 | Freeman; Tom | G06Q30/0241 | 704/251 |
| * | L | US-2013/0030804 A1 | 01-2013 | Zavaliagkos; George | G10L15/26 | 704/235 |
| * | M | US-2011/0153325 A1 | 06-2011 | Ballinger; Brandon M. | G10L15/30 | 704/235 |

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| | Examiner THUYKHANH LE | Art Unit 2658 | Page 2 of 3 |

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| * | B | US-2011/0148857 A1 | 06-2011 | Krupka; Eyal | G06F17/30259 | 345/419 |
| * | C | US-2003/0236665 A1 | 12-2003 | Sharma, Sangita R. | G10L15/065 | 704/260 |
| * | D | US-2013/0006634 A1 | 01-2013 | Grokop; Leonard Henry | G10L17/10 | 704/245 |
| * | E | US-2009/0276215 A1 | 11-2009 | Hager; Paul M. | G06F17/273 | 704/235 |
| * | F | US-2002/0087325 A1 | 07-2002 | Lee, Victor Wai Leung | G06Q30/06 | 704/270.1 |
| * | G | US-2003/0220794 A1 | 11-2003 | Che, Chiwei | G10L15/30 | 704/270.1 |
| * | H | US-2012/0245934 A1 | 09-2012 | Talwar; Gaurav | G10L15/22 | 704/235 |
| * | I | US-2002/0055845 A1 | 05-2002 | Ueda, Takaya | G10L15/32 | 704/270 |
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| * | M | US-2011/0077943 A1 | 03-2011 | Miki; Kiyokazu | G10L15/183 | 704/250 |

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| Notice of References Cited | Application/Control No. 14/942,551 | Applicant(s)/Patent Under Reexamination HOFFMEISTER ET AL. | |
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| | Examiner THUYKHANH LE | Art Unit 2658 | Page 3 of 3 |

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| * | D | US-2003/0050783 A1 | 03-2003 | Yoshizawa, Shinichi | G10L15/065 | 704/270.1 |
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| * | G | US-2009/0010324 A1 | 01-2009 | YAMAMOTO; Hirotsugu | H04N5/4401 | 375/240.01 |
| * | H | US-2011/0257974 A1 | 10-2011 | Kristjansson; Trausti | G10L21/0208 | 704/246 |
| * | I | US-2011/0307253 A1 | 12-2011 | Lloyd; Matthew I. | G10L15/20 | 704/233 |
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| * | K | US-7,386,443 B1 | 06-2008 | Parthasarathy; Sarangarajan | G10L15/07 | 704/201 |
| * | L | US-8,805,684 B1 | 08-2014 | Aleksic; Petar | G10L15/07 | 704/231 |
| * | M | US-8,606,581 B1 | 12-2013 | Quast; Holger | G10L15/32 | 704/254 |

**FOREIGN PATENT DOCUMENTS**

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SEAZN.761C1 |
|---|---|---|
| | Application Number | |
| Title of Invention | SPEECH MODEL RETRIEVAL IN DISTRIBUTED SPEECH RECOGNITION SYSTEMS | |

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 |
|---|---|---|---|---|
| | Bjorn | | Hoffmeister | |

**Residence Information (Select One)** ◉ US Residency ○ Non US Residency ○ Active US Military Service

| City | Seattle | State/Province | WA | Country of Residence i | US |
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**Mailing Address of Inventor:**

| Address 1 | 410 Terry Avenue North | | |
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| Address 2 | | | |
| City | Seattle | State/Province | WA |
| Postal Code | 98109-5210 | Country i | US |

**Inventor 2** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | Hugh | Evan | Secker-Walker | |

**Residence Information (Select One)** ◉ US Residency ○ Non US Residency ○ Active US Military Service

| City | Newburyport | State/Province | MA | Country of Residence i | US |
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**Mailing Address of Inventor:**

| Address 1 | 410 Terry Avenue North | | |
|---|---|---|---|
| Address 2 | | | |
| City | Seattle | State/Province | WA |
| Postal Code | 98109-5210 | Country i | US |

**Inventor 3** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | Jeffrey | Cornelius | O'Neill | |

**Residence Information (Select One)** ◉ US Residency ○ Non US Residency ○ Active US Military Service

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | SEAZN.761C1 |
|---|---|---|
| | Application Number | |
| Title of Invention | SPEECH MODEL RETRIEVAL IN DISTRIBUTED SPEECH RECOGNITION SYSTEMS | |

| City | Somerville | State/Province | MA | Country of Residence i | US |
|---|---|---|---|---|---|

**Mailing Address of Inventor:**

| Address 1 | 410 Terry Avenue North | | |
|---|---|---|---|
| Address 2 | | | |
| City | Seattle | State/Province | WA |
| Postal Code | 98109-5210 | Country i | 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.**
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☐ **An Address is being provided for the correspondence Information of this application.**

| Customer Number | 79502 | | |
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| Email Address | efiling@knobbe.com | Add Email | Remove Email |

## Application Information:

| Title of the Invention | SPEECH MODEL RETRIEVAL IN DISTRIBUTED SPEECH RECOGNITION SYSTEMS | | |
|---|---|---|---|
| Attorney Docket Number | SEAZN.761C1 | Small Entity Status Claimed | ☐ |
| Application Type | Nonprovisional | | |
| Subject Matter | Utility | | |
| Total Number of Drawing Sheets (if any) | 6 | 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 i |
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## 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.

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|---|---|---|
| | Application Number | |
| Title of Invention | SPEECH MODEL RETRIEVAL IN DISTRIBUTED SPEECH RECOGNITION SYSTEMS | |

## 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) |
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| Customer Number | 79502 | | |

## 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 this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.
When referring to the current application, please leave the application number blank.

| Prior Application Status | Pending | | Remove |
|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) |
| | Continuation of | 13712891 | 2012-12-12 |

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button. Add

## Foreign Priority Information:

This section allows for the applicant to claim 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) 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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| | Application Number | |
| Title of Invention | SPEECH MODEL RETRIEVAL IN DISTRIBUTED SPEECH RECOGNITION SYSTEMS | |

## 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.

## Authorization to Permit Access:

☒ Authorization to Permit Access to the Instant Application by the Participating Offices

If 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 World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application; and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date o f filing this Authorization.

## 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.

| **Application Data Sheet 37 CFR 1.76** | Attorney Docket Number | SEAZN.761C1 |
|---|---|---|
| | Application Number | |
| Title of Invention | SPEECH MODEL RETRIEVAL IN DISTRIBUTED SPEECH RECOGNITION SYSTEMS | |

**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. [X]

| Organization Name | Amazon Technologies, Inc. |
|---|---|

**Mailing Address Information For Applicant:**

| | | | |
|---|---|---|---|
| **Address 1** | PO Box 81226 | | |
| Address 2 | | | |
| **City** | Seattle | **State/Province** | WA |
| **Country** [i] | US | Postal Code | 98108-1226 |
| Phone Number | | Fax Number | |
| Email Address | | | |

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## Assignee Information including Non-Applicant Assignee Information:

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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.

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If the Assignee or Non-Applicant Assignee is an Organization check here. [ ]

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| Prefix | **Given Name** | Middle Name | **Family Name** | Suffix |
|---|---|---|---|---|
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**Mailing Address Information For Assignee including Non-Applicant Assignee:**

| | | | |
|---|---|---|---|
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| Address 2 | | | |
| **City** | | **State/Province** | |
| **Country** i | | Postal Code | |
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## Signature:

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

| **Signature** | /Andrew Kimmel/ | | | Date (YYYY-MM-DD) | 2015-11-16 |
|---|---|---|---|---|---|
| First Name | Andrew | Last Name | Kimmel | Registration Number | 58855 |

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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 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 C o o p eration 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.