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CONFIRMATION NO. 9495

21912
VAN PELT, YI & JAMES LLP
10050 N. FOOTHILL BLVD #200
CUPERTINO, CA 95014

FILING RECEIPT



Date Mailed: 12/29/2010

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Applicant(s)

Gregory G. Raleigh, Woodside, CA;

Power of Attorney:

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If Required, Foreign Filing License Granted: 12/22/2010

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 61/422,565**

Projected Publication Date: None, application is not eligible for pre-grant publication

Non-Publication Request: No

Early Publication Request: No
Title

SERVICE DESIGN CENTER FOR DEVICE ASSISTED SERVICES

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page 1 of 3

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PROVISIONAL APPLICATION FOR
UNITED STATES PATENT

**SERVICE DESIGN CENTER FOR DEVICE ASSISTED
SERVICES**

By Inventors:

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ItsOn Platform Feature Description

Revision 1.1

December 10, 2010



ItsOn, Inc. and Headwater Partners I



Document Revision History

Revision Date	Version	Description
12/3/2010	1.0	Created Document
12/9/2010	1.1	Revised with internal IO feedback

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Contents

Document Revision History	2
Disclaimer	2
1.0 ItsOn Features.....	4
1.1 Device Client Platforms.....	4
1.2 Service Description Overview.....	4
2.0 Classification and Filtering.....	5
2.1 Activity Enforcement and Control	6
2.2 Notifications	6
2.2.1 Notification Types	6
2.2.2 Notification Actions	8
2.2.3 Notification Customizations	9
2.3 End User Experience and UI.....	9
2.4 Service Design Center	10
2.5 Languages/Localization.....	12



1.0 ItsOn Features

This document includes the features currently planned for trial availability in the March 2011 timeframe.

1.1 Device Client Platforms

The ItsOn Platform currently supports selected Operator-specific Smart Phones and Tablets that run Android 2.2 or later.

1.2 Service Description Overview

Services are configured on the ItsOn Service Design Center (SDC). Services are defined using the following terminology.

- **Group** – A collection of end users, SIMs or devices.
- **Service Plan Group** – A set of Service Plans that are offered to a Group. Each Group is presented with a single Service Plan Group. The Service Plan Group is the mechanism for associating Plans with Group.
- **Service Plan** – A set of Service Components. A Service Plan is a discrete entity that an end user can purchase or be given access to as a sponsored service. A Service Plan consists of one or more Service Components (e.g., 100 MB weekly plan with 5 MB of daily access to Amazon and 50 MB of streaming data).
- **Service Component** – Used to define logical groupings of activity (e.g., Sponsored services including Amazon and eBay Activities). A Service Component contains one or more Service Activities.
- **Service Activity** – The lowest grouping level on the platform. A Service Activity consists of one or more Filters.
 - **Filters** – Used to define the network resource being managed. A Filter can define the resource by application, domain, IP address, protocol, or content type; and can be specific to an operating system if desired. (e.g., eBay Filter that allows access to the eBay application and/or web site).

Within the Service Plan or Service Component, the SDC user can define the appropriate charging policies (e.g., periodicity by minutes, hours, days, month(s), overage control-enable, disable, etc.) associated with the Service Activities. Additionally, the SDC user can specify Notification



messages at the Plan and Component level (e.g., “You have used 25% of your data plan”, or “Your plan does not allow access to this web site”, etc.).

2.0 Classification and Filtering

The ItsOn platform classifies and filters data streams based upon the following filter types configured in the Service Design Center within a Service Activity.

- Remote Host IP Address or domain: (e.g. youtube.com)
- Remote Host Port: (e.g., 80 for html, 443 for SSL, etc.)
- Layer 3/Layer 4 Protocol:
- Protocols include TCP and UDP
- Application: (e.g. com.google.android, com.android.email, iexplore.exe, outlook.exe)
- Associative
 - An “Associative” filter can be applied to a remote host name. This allows web pages to load 3rd party content without having to specify filters for every 3rd party site.
- Specific Content Type: Ability to match and control traffic based on content type. Initial support includes video, audio and email. Video and audio types include:

Protocol	Content Type
HTTP	mp4,3gpp
HTTP	mpeg
MS-WMSP	mms
	audio/mpeg, audio/aacp
HTTP	octec-stream
HTTP	mp4,3gpp
HTTP	mpeg
RTMP	
RTSP	
HTTP/RTMP	x-fcs/x-shockwave-flash
HTTP	video/3gpp
HTTP	video/mp4
ICY	
HTTP	File Download

- Email types include (Non-Secured SMTP, POP3, IMAP)



2.1 Activity Enforcement and Control

The ItsOn platform allows the Operator to define controls when a Filter within a Service Activity is matched. Additionally, controls can be associated with certain Plan events (e.g., reaching a plan cap, transitions to a roaming network, time of day, network busy state, etc.).

Specific controls for activities include:

- Allow
- Block
- Cap

Controls can be further modified based on events. Specific events include:

- Reaching a plan limit threshold (can be defined in MB of usage, time used, or plan expiration)
- Change in network busy state. Currently, NBS is based on time of day only. There are four network busy states that can be configured:
 - NBS1 - Not Busy (default)
 - NBS2 - Light Busy
 - NBS3 - Medium
 - NBS4 - Critical (most busy)
 - NBS1 is defined as anything not covered by the other three states. The subsequent three can be set to any mutually exclusive period of time during a week.
- Change in network access (roaming state (yes/no), APN name)
- Transition of Network Type (2G (GPRS/EDGE/1x RTT), 3G/4G, Wi-Fi)
- Backgrounding of Activities is defined by application or destination, tied to network busy state, and is blocked during the network busy state.

2.2 Notifications

The ItsOn platform allows the operator to define customized notifications that inform the end user in real-time when certain events occur.

2.2.1 Notification Types

ItsOn platform provides the following customizable notification types:

- **Plan Limit thresholds (under 100%):** Informs end user when he reaches the specified % of Charging Policy cap - can be customized based upon 1% plan usage increments or time remaining in plan.



- (e.g. "You have consumed 75% of your daily plan", "You have consumed 100% of your daily plan", "You are half-way through your one-month data plan", etc.)
- **Plan Cap Limit:** Informs end user that the requested network activity has been capped because he has reached the Charging Policy cap. This notification can also be configured to offer the end user the option to buy a new Service Plan, allow overage in this service plan or block ongoing usage associated with this service plan.
 - (e.g. "You have exhausted your free daily access to Amazon. Select "Buy" to view your purchase options.")
- **Plan Limit Overage (over 100%):** Informs end user that they are over the Service Plan cap and offers the option to allow overage, buy a new Service Plan or block ongoing usage associated with this plan. Can be customized based upon overage percentage. Additionally, charging can be and based upon different charging rates.
 - (e.g. "You have used 115% of your YouTube plan allowance. Additional usage will be charged at the rate of \$0.10/MB. Select OK to continue or "Buy" to view additional purchase options.")
- **Plan Expiration:** Informs end user that the current plan has expired and offers her the option to buy a new Service Plan.
 - (e.g. "Your current video streaming plan has expired. Select "Buy" to view additional purchase options.")
- **Activity Block Event:** Informs end user that an action has been blocked because of a filter match or activity state change. Blocks can be configured based upon Application or remote host, port or domain, Network Busy State or Time of Day, etc.
 - (e.g. "Your plan does not permit access to YouTube while roaming. Please try again later. Select "Buy" to view additional purchase options that will enable YouTube while roaming.")
- **No Capable Plan:** Informs end user that the current plan does not support the requested network activity and results in a block event. It is customized with application or web site name.
 - (e.g. "Access to YouTube.com is not supported by your current plan. Select "Buy" to view additional purchase options.")
- **Marketing Interceptor:** Allows for the targeting of end users with specific messages or offers based on their current activity or status.



- Current plans can include a Welcome promotional message that includes an overview of what the plan provides and can be customized to trigger based on a percentage of data usage.
 - (e.g. at 1% data usage: "Welcome to your free Mobile Broadband Trial. Enjoy open access to the Internet anytime, anywhere!")
- Configure the up sell of specific tiered plans based upon end user's current usage (i.e. start on ramp trial/sponsored service, then up-sell to specific a la carte specific service, then to open access plan)
 - (e.g. "You have exhausted your One Hour News plan. You might consider a One Day plan instead. Select "Buy" to view all your options.")
- Provide a notification to the end user when he attempts to access an activity that is not permitted in his current plan, but is supported by a different plan.
 - (e.g., "Your current plan does not permit access to Google Maps. For just \$5, you can get Google Maps access for the month, Select "Buy" to view purchase options)

2.2.2 Notification Actions

The ItsOn platform provides the following Actions in the form of a button for the end user to interact with. Control and appearance of these buttons is configured via the SDC. The SDC user can define whether or not a button is displayed with a particular notification and the text that should appear on the button (e.g., define an "OK" type button with a text label that says "I Accept").

- OK / Dismiss: Closes message window
- Cancel: Cancels the current sequence
- Acknowledge: Closes the notification window and sends the end user acknowledgement to the Service Controller
- Buy: Links to Buy workflow
- More Info: Links to a More Information message (e.g., the notification text has basic reason for a "Block", and the "More Information" text has additional information on the block and suggestion for purchasing service that allows access to the activity).
- Back: Returns to previous page
- Next: Calls another Workflow Screen
- Launch: Launches a specific URL or application (e.g. sponsored services application or My "Operator" application / My Enterprise website or an enterprise VPN application)



2.2.3 Notification Customizations

The ItsOn platform provides the following fields for notification customization and branding.

- Notification Types include:
 - Foreground: Always displays in the foreground as a pop up and provides options for end user action.
 - Background – Displays in the Status tray or as a pop up toast that fades away without end user action required. If the end user selects the notification in the status tray, the full foreground notification is presented.
 - Foreground/Background – Displays in the foreground if the activity is in foreground, otherwise is displayed as a background notification
- Notification Title: title displayed in the notification window
- Notification Subtitle: subtitle displayed in the notification window
- Notification Text: message displayed in the notification window
- Notification Icon: custom icon displayed in the notification window
- Notification Buttons/Actions: buttons displayed in the notification window that the end user interacts with to take action upon the notification (e.g., OK, Cancel, Buy, Buy Up)
- “Default” target button: defines the button action that is selected by default
- Notifications have a “do not show again” check box with a time field. If checked, that specific block will not be show again until the time specified has elapsed.

2.3 End User Experience and UI

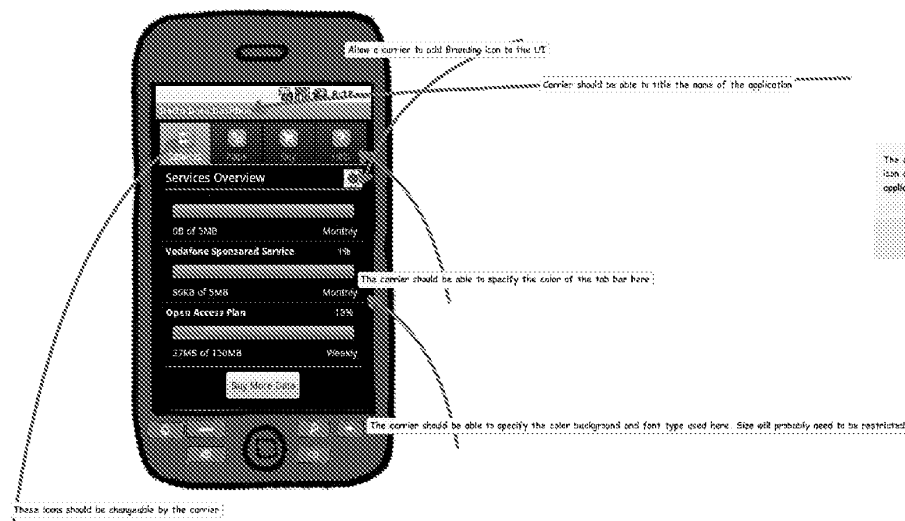
The ItsOn client is a real-time monitoring and management dashboard application that includes plan data usage status, application usage statistics, plan purchasing, and support.

- Client Dashboard includes the following menus:
 - **Services:** displays current services purchased and the data usage based upon MB and and/or time
 - **Statistics:** lists the specific applications that are consuming data and the amount of data used displayed in MB and percentage used.
 - **Buy:** navigates the end user through the activation, service enrollment, plan selection and purchase workflows. The service enrollment process includes the collection of personal and payment information that is sent to the Operator’s backend systems for billing.



- **Help:** provides device details such as model, network type, IMEI, IMSI, etc and customer care contact information.
- **Settings:** End user defined preferences. (e.g. language)
- The Client Dashboard look and feel and activation, service enrollment, plan selection and purchase workflows can be customized with icons, custom language and screens along with font styles/colors and background colors.

For the trial, the following elements can be customized.



2.4 Service Design Center

ItsOn Service Design Center (SDC) allows authorized individuals within the Operator to manage Service Plans that include Service Components, Service Activities, Charging, Filters and custom Notifications. Service Plans are associated with Groups and then published to the devices for purchase.

- **Manage Groups** – A collection of end users, SIMs or devices.
 - Create Groups and Group directory
 - Assign the identity hierarchy for the Operator
 - Associate identifiers (e.g. individual SIMs, Sub ID, etc.) with Groups



- **Manage Service Plan:** A Service Plan is an entity that a end user purchases and consists of one or more Service Components and includes the following parameters:
 - Plan Name and Description
 - Groups using the Plan
 - Service Components
 - Service Activities
 - Network Busy States and connection types
 - Charging Policies including usage limits, thresholds, frequency, time and payment type (Prepaid, Postpaid)
 - Notifications for Plan Usage Thresholds, Plan Cap, Expiration, Block, Overage, and No Capable Plan
 - Events for Plan Usage Thresholds, Plan Cap, Expiration, Block, Overage
- **Manage Service Component:** A Service Component is a logical grouping of one or more service activities and includes the following parameters:
 - Component Name and Description
 - Plans using the Component
 - Network Busy States and connection types
 - Charging Policies including usage limits, thresholds, frequency, time and payment type (Prepaid, Postpaid)
 - Notifications for Plan Usage Thresholds, Plan Cap, Expiration, Block, Overage, and No Capable Plan
 - Events for Plan Usage Thresholds, Plan Cap, Expiration, Block, Overage
- **Manage Service Activity:** A Service Activity consists of one or more filters and specifies the action to take when a filter within the Service Activity is matched and includes the following parameters:
 - Activity Name and Description
 - Plans using the Activity
 - Components using the Activity
 - Filter Name and Description
 - Filter type details for operating system, application, remote, port and protocol
- **Manage Service Plan Groups:** A Service Plan Group includes the Service Plans that are offered to a Group.
 - Assign and Publish Plan Group



- Create Activation workflow screens
- Create Buy workflow screens
- **Reports:** Basic end user reports supported will include:
 - Usage reports by destination for a end user over date range
 - Usage reports by destination for a range of end users over date range (top destinations)

2.5 Languages/Localization

- Client:
 - Language for the static client labels is stored in the client SW and is determined by the language selected in the device by the end user. Specific Plans and Services language entered into the SDC is sent to the ItsOn Client for display.
- Service Design Center
 - SDC User interface is in English
 - All text input fields will support Unicode

Electronic Patent Application Fee Transmittal				
Application Number:				
Filing Date:				
Title of Invention:		SERVICE DESIGN CENTER FOR DEVICE ASSISTED SERVICES		
First Named Inventor/Applicant Name:		Gregory G. Raleigh		
Filer:		Michael J. Schallop		
Attorney Docket Number:		RALEP043+		
Filed as Large Entity				
Provisional Filing Fees				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Provisional application filing	1005	1	220	220
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:				
Total in USD (\$)				220

Electronic Acknowledgement Receipt	
EFS ID:	9024222
Application Number:	61422565
International Application Number:	
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Title of Invention:	SERVICE DESIGN CENTER FOR DEVICE ASSISTED SERVICES
First Named Inventor/Applicant Name:	Gregory G. Raleigh
Customer Number:	21912
Filer:	Michael J. Schallop/Veronica Pula
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Attorney Docket Number:	RALEP043+
Receipt Date:	13-DEC-2010
Filing Date:	
Time Stamp:	18:39:05
Application Type:	Provisional

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$220
RAM confirmation Number	6105
Deposit Account	500685
Authorized User	
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Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Provisional Cover Sheet (SB16)	RALEP043plus_Provisional_Application_Transmittal.pdf	1000033 c954301809a943c6f93860f737c4765223db e458	no	3

Warnings:

Information:

2		RALEP043plus_App.pdf	424971 98afa9c114f19ea8125f49e95719109a5f120 3c9	yes	13
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Multipart Description/PDF files in .zip description

Document Description	Start	End
Transmittal of New Application	1	1
Specification	2	13

Warnings:

Information:

3	Fee Worksheet (PTO-875)	fee-info.pdf	29202 94cff5c8b936ff90b488798cd2908f1ea4d0 30e	no	2
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National Stage of an International Application under 35 U.S.C. 371

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New International Application Filed with the USPTO as a Receiving Office

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Provisional Application for Patent Cover Sheet

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c)

Inventor(s)

Inventor 1

Remove

Given Name	Middle Name	Family Name	City	State	Country i
Gregory	G.	Raleigh	Woodside	CA	US

All Inventors Must Be Listed – Additional Inventor Information blocks may be generated within this form by selecting the **Add** button.**Add**

Title of Invention	SERVICE DESIGN CENTER FOR DEVICE ASSISTED SERVICES
Attorney Docket Number (if applicable)	RALEP043+

Correspondence Address

Direct all correspondence to (select one):

☒ The address corresponding to Customer Number ☐ Firm or Individual Name

Customer Number	21912
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The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government.

☒ No.☐ Yes, the name of the U.S. Government agency and the Government contract number are:

Entity Status

Applicant claims small entity status under 37 CFR 1.27

- ☐ Yes, applicant qualifies for small entity status under 37 CFR 1.27
- ☒ No

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Signature

Please see 37 CFR 1.4(d) for the form of the signature.

Signature	/Michael J. Schallop/			Date (YYYY-MM-DD)	2010-12-13
First Name	Michael	Last Name	Schallop	Registration Number (If appropriate)	44319

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