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Application Number: 63603895

Document Date: 11/29/2023

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- Appendix

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ELECTRONIC ACKNOWLEDGEMENT RECEIPT

APPLICATION #
63/603,895

RECEIPT DATE / TIME
11/29/2023 03:49:37 PM Z ET

ATTORNEY DOCKET #
VANL-100-P

Title of Invention

Estate Planning System

Application Information

APPLICATION TYPE Utility - Provisional Application under
35 USC 111(b)

PATENT # -

CONFIRMATION # 8047

FILED BY Mary Miller

PATENT CENTER # 63423692

FILING DATE -

CUSTOMER # 22827

FIRST NAMED
INVENTOR Amjad Hussain

CORRESPONDENCE
ADDRESS -

AUTHORIZED BY Neil Batavia

Documents

TOTAL DOCUMENTS: 8

DOCUMENT	PAGES	DESCRIPTION	SIZE (KB)
VANL-100- P_ApplicationDataSheet_29NOV2023.pdf	8	Application Data Sheet	1226 KB
VANL-100- P_TransmittalPacket_29NOV2023.pdf	2	-	692 KB
VANL-100- P_TransmittalPacket_29NOV2023-136A.pdf	(1-1) 1	Authorization for Extension of Time all replies	480 KB
VANL-100- P_TransmittalPacket_29NOV2023-LET.pdf	(2-2) 1	Miscellaneous Incoming Letter	401 KB

VANL-100-P_Application.pdf		78	-	5752 KB
VANL-100-P_Application-SPEC.pdf	(1-11)	11	Specification	89 KB
VANL-100-P_Application-CLM.pdf	(12-13)	2	Claims	65 KB
VANL-100-P_Application-ABST.pdf	(14-14)	1	Abstract	51 KB
VANL-100-P_Application-APPENDIX.pdf	(15-78)	64	Appendix to the specification	5716 KB
Vanilla-100-P_Drawings.pdf		2	Drawings-only black and white line drawings	576 KB

Digest

DOCUMENT	MESSAGE DIGEST(SHA-512)
VANL-100-P_ApplicationDataSheet_29NOV2023.pdf	67A574EFE5E209B67F9F98543BBC27465EE643E18716743A6516573075897DC3FEA0F8877C949E39C3F6F245FC1675CA0BDA2255F0BB7BB8B0458514FB6AFC67
VANL-100-P_TransmittalPacket_29NOV2023.pdf	D3BC650E583AA3F406783820EFE5A6A1264D2ADEA68D4619B985F95385FE550C09B5FEDBEF08026434E3F459060A976A499E59E871AB2D51C7BCCAC3F0A25282
VANL-100-P_TransmittalPacket_29NOV2023-136A.pdf	C89DE75FE8A240BAF8CB1845950C7A221E089CFD5EA97B61A9B238C672C4A2274AD74863BA70BCBCA1A650CE6E5542C486A483902EFC55FF2B1C70FC8DCA8019
VANL-100-P_TransmittalPacket_29NOV2023-LET.pdf	73B5DA17AD3B54D8A30BFA980DD8757B969C3BF79220CC4409AF2024E5902DEA95CD05505FD5E423C47F73DF1FCFF67FFBE3E1028B415A1F4A7280492B6C6A77
VANL-100-P_Application.pdf	78EC13E34C906737692D899DEB7882BB68E2479560FC307155

268461A3222BDEE94917120343B7D8A35DBA64E7D9505E41D
3E17CA9FDF5861A02A95D35D3D5EE

VANL-100-P_Application-
SPEC.pdf 9C1A0CB64D6A5C03D4253E5664C65397042D6E63E36C0A4F9
96FC09D9A104233721A6D4DE81D66C87FD4AB50D12247B096
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VANL-100-P_Application-
CLM.pdf 3FCE4A0B8D336889325B6F09E757487CBFC473FB0AADD89D3
F84D315037858EB103331D615DF7931DE68A6D0E24B0041154
C285CA908E9F430EF21E8B36BF7C5

VANL-100-P_Application-
ABST.pdf 59F5F1E8A69F06FF42917D9E55E9C36D488F1B38D4A5F37962
A955994E4C6289B5BED12C23242C3CE4B9C51BDF00C1927B
E0EF6896915D28AB592AE8F14586AE

VANL-100-P_Application-
APPENDIX.pdf 54A7FF77180A218372F9AAF77ABE52BCEDDEE86D2A20BF7C13
3473ED4AAAB2BC727666CFA496BABBB87E02BC5331FBFA76C
E6D392FCEF7FDBC3A97DF3F8E1C66C5

Vanilla-100-P_Drawings.pdf A86F01B7F8D56B576512F22A678D7338F84A52EE1812402DD7
4F09CFA0257B761C7608DD5543F828A9C1C4B1F3CD8C8CA24
91812A64CD3DECF67987DAC2BC91B

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 filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application

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

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

New International Application Filed with the USPTO as a Receiving Office

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

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

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		
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		
	Amjad		Hussain			
Residence Information (Select One) ☒ US Residency ☐ Non US Residency ☐ Active US Military Service						
City	Newcastle	State/Province	WA	Country of Residence	US	
Mailing Address of Inventor:						
Address 1		c/o Vanilla Technologies Inc.				
Address 2		310 South Main St., 10th Floor				
City	Salt Lake City		State/Province	UT		
Postal Code		84101	Country	US		
Inventor 2					Remove	
Legal Name						
Prefix	Given Name	Middle Name	Family Name	Suffix		
	Kei	Daniel	Yadui			
Residence Information (Select One) ☒ US Residency ☐ Non US Residency ☐ Active US Military Service						
City	Los Angeles	State/Province	CA	Country of Residence	US	
Mailing Address of Inventor:						
Address 1		c/o Vanilla Technologies Inc.				
Address 2		310 South Main St., 10th Floor				
City	Salt Lake City		State/Province	UT		
Postal Code		84101	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).

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

☐ An Address is being provided for the correspondence information of this application.

Customer Number	22827		
Email Address	usdocketing@dority-manning.com	Add Email	Remove Email

Application Information:

Title of the Invention	Estate Planning System		
Attorney Docket Number	VANL-100-P	Small Entity Status Claimed	☒
Application Type	Provisional		
Subject Matter	Utility		
Total Number of Drawing Sheets (if any)	2	Suggested Figure for Publication (if any)	

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	22827		

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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			Remove
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)
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)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).

Application Number	Country ⁱ	Filing Date (YYYY-MM-DD)	Remove
			Access Code ⁱ (if applicable)
Additional Foreign Priority Data may be generated within this form by selecting the Add button.			Add

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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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	
☐ Person to whom the inventor is obligated to assign.		☐ Joint Inventor	
☐ 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	Vanilla Technologies Inc.		
Mailing Address Information For Applicant:			
Address 1	310 South Main St.		
Address 2	10th Floor		
City	Salt Lake City	State/Province	UT
Country	US	Postal Code	84101
Phone Number		Fax Number	
Email Address			
Additional Applicant Data may be generated within this form by selecting the Add button. Add			

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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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. ☐

Prefix	Given Name	Middle Name	Family Name	Suffix

Mailing Address Information For Assignee including Non-Applicant Assignee:

Address 1			
Address 2			
City		State/Province	
Country ⁱ		Postal Code	
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:

Remove

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	/Neil Batavia/		Date (YYYY-MM-DD)	2023-11-29
First Name	Neil M.	Last Name	Batavia	Registration Number
				54,599

Additional Signature may be generated within this form by selecting the Add button.

Add

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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.**

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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1 st Named Inventor:	Amjad Hussain	)	Examiner:	Not Yet Assigned
		)		
Serial Number:	Not Yet Assigned	)	Group Art Unit:	Not Yet Assigned
		)		
Filed:	Herewith	)	Customer Number:	22827
		)		
Confirmation No.:	Not Yet Assigned	)	Deposit Account:	04-1403
		)		
Title:	Estate Planning System	)	Docket Number:	VANL-100-P
		)		

DEPOSIT ACCOUNT AUTHORIZATION

Dear Sir:

The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under 37 C.F.R. §§ 1.16-18 (deficiency only) now or hereafter in this application and in the resulting official document under 37 C.F.R. § 1.20, or credit any overpayment, to our Deposit Account No. 04-1403. This statement does not authorize charge of the issue fee in this case.

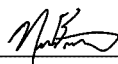
If any extension of time is required under 37 C.F.R. § 1.136 or otherwise in connection with any of the above and not accounted for elsewhere, such extension is hereby requested, and any fees incurred thereby should also be charged to Deposit Account No. 04-1403.

Sincerely,

DORITY & MANNING, P.A.

November 29, 2023

Date



Neil M. Batavia

Registration Number: 54,599

P.O. Box 1449

Greenville, SC 29602

Telephone: (864) 271-1592

Facsimile: (864) 233-7342

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1 st Named Inventor:	Amjad Hussain	)	Examiner:	Not Yet Assigned
		)		
Serial Number:	Not Yet Assigned	)	Group Art Unit:	Not Yet Assigned
		)		
Filed:	Herewith	)	Customer Number:	22827
		)		
Confirmation No.:	Not Yet Assigned	)	Deposit Account:	04-1403
		)		
Title:	Estate Planning System	)	Docket Number:	VANL-100-P

CERTIFICATE OF ELECTRONIC SUBMISSION

I hereby certify that this paper and all attachments and any fee are being transmitted via the internet to the U.S. Patent and Trademark Office via the Electronic Filing System on November 29, 2023.

Mary B. Miller

(Typed or printed name of person transmitting paper or fee)

/Mary B. Miller/

(Signature of person transmitting paper or fee)



UNITED STATES
PATENT AND TRADEMARK OFFICE

P.O. Box 1450
Alexandria, VA 22313 - 1450
www.uspto.gov

ELECTRONIC PAYMENT RECEIPT

APPLICATION #
63/603,895

RECEIPT DATE / TIME
11/29/2023 03:49:37 PM Z ET

ATTORNEY DOCKET #
VANL-100-P

Title of Invention

Estate Planning System

Application Information

APPLICATION TYPE Utility - Provisional Application under
35 USC 111(b)

PATENT # -

CONFIRMATION # 8047

FILED BY Mary Miller

PATENT CENTER # 63423692

AUTHORIZED BY Neil Batavia

CUSTOMER # 22827

FILING DATE -

CORRESPONDENCE
ADDRESS -

FIRST NAMED
INVENTOR Amjad Hussain

Payment Information

PAYMENT METHOD
CARD / 8583

PAYMENT TRANSACTION ID
E2023ASF50387617

PAYMENT AUTHORIZED BY
Mary Miller

FEE CODE	DESCRIPTION	ITEM PRICE(\$)	QUANTITY	ITEM TOTAL(\$)
2005	PROVISIONAL APPLICATION FILING FEE	120.00	1	120.00
TOTAL AMOUNT:				\$120.00

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 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.

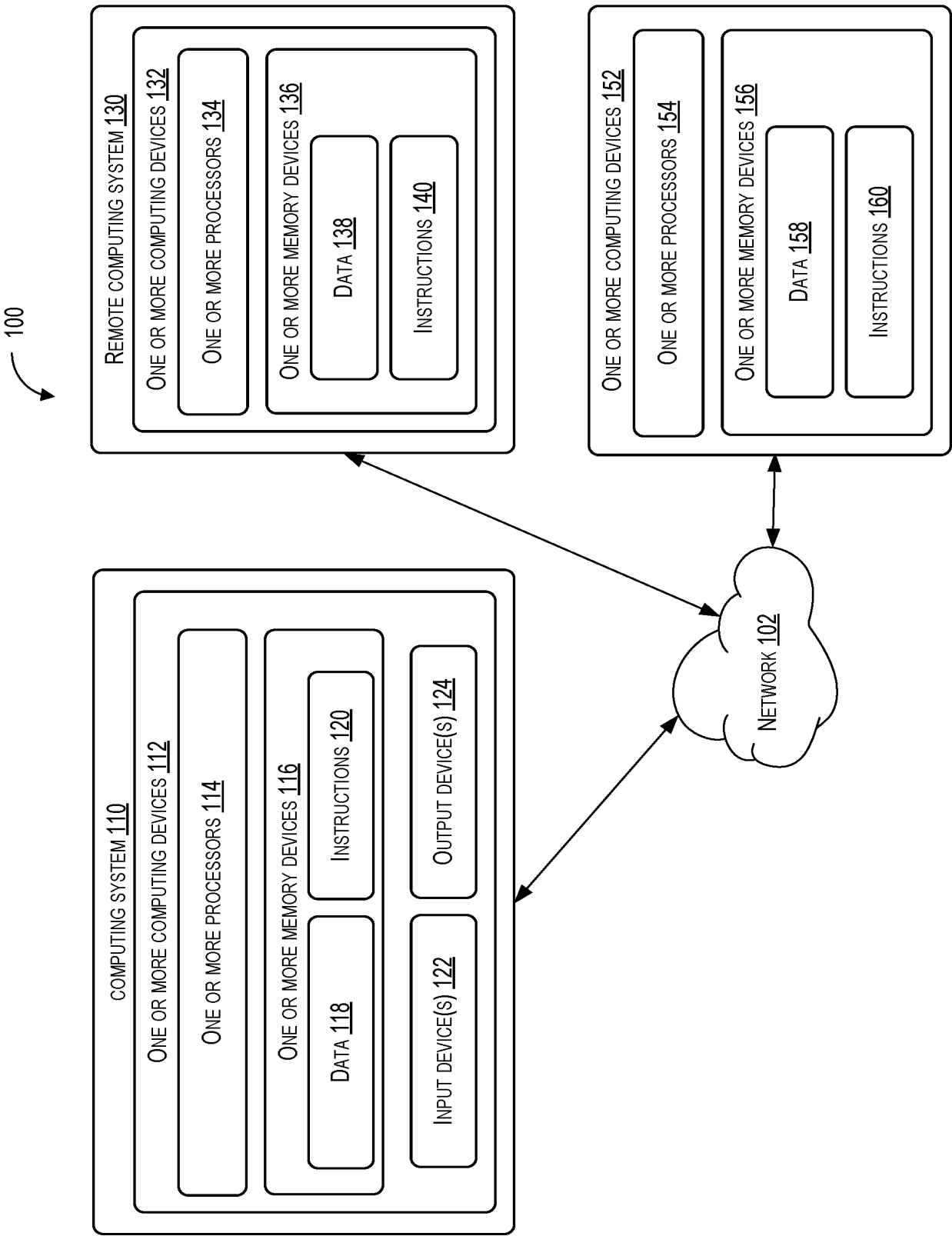
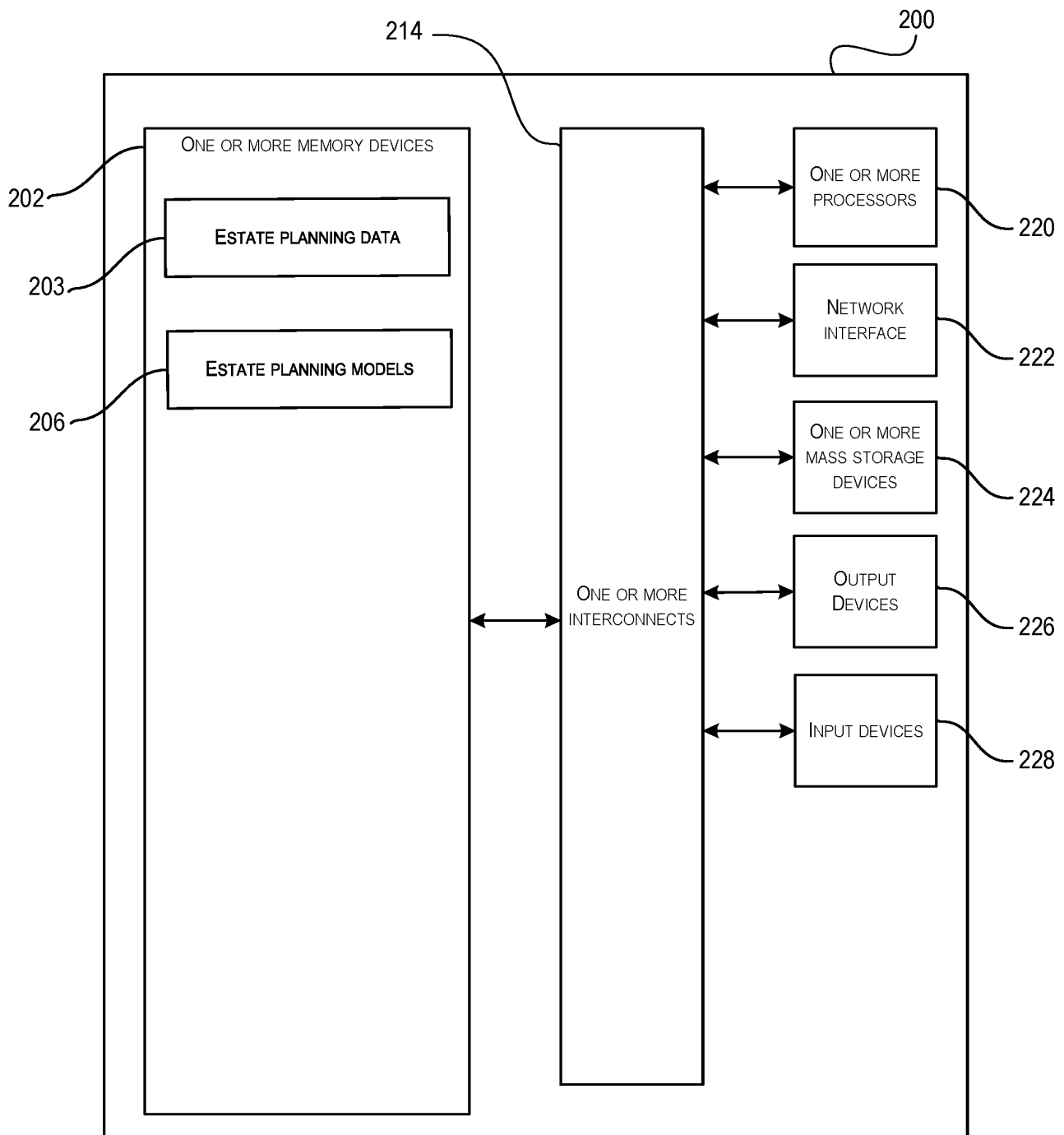


FIG. 1

**FIG. 2**

ESTATE PLANNING SYSTEM

FIELD

[0001] The present disclosure relates generally to estate planning systems. More particularly, the present disclosure relates to managing estate planning.

BACKGROUND

[0002] Estate planning software helps financial advisors, lawyers, and individuals analyze existing estate plans, identify gaps, calculate potential federal and state estate tax liabilities, and create new planning documents such as trust, wills, power of attorney, and healthcare directives. It can automate many of the manual tasks involved in estate planning, such as drafting documents, calculating taxes and waterfalls, and building visualizations to explain how the plan works.

[0003] Advisors need estate planning software because it can help them provide better service to their clients by helping them create comprehensive and effective estate plans, understand their clients balance sheet and total net-worth, create a deeper connection to the client and their goals, and retain assets by creating a connection with the second generation.

[0004] Estate planning software can help advisors educate clients about estate planning and build trust and rapport through using a modern, interactive experience.

SUMMARY

[0005] Aspects and advantages of embodiments of the present disclosure will be set forth in part in the following description, or can be learned from the description, or can be learned through practice of the embodiments.

[0006] One example aspect of the present disclosure is directed to a computer system that implements and includes one or more processors, one or more databases, and one or more memory devices. The one or more databases can store a plurality of estate planning models. The one or more memory devices can store instructions that, when executed by the one or more processors, cause the computer system to perform operations. The operations can include accessing the estate planning data. Additionally, the operations can include selecting an estate planning model from the plurality of estate planning models. Moreover, the operations can include determining

information based on the estate planning model. Subsequently, the operations can include presenting, using a user interface, one or more insights based on the information.

[0007] Other aspects of the present disclosure are directed to various systems, apparatuses, non-transitory computer-readable media, user interfaces, and devices for estate planning. These and other features, aspects, and advantages of various embodiments of the present disclosure will become better understood with reference to the following description and appended claims. The accompanying drawings, which are incorporated in and constitute a part of this specification, illustrate example embodiments of the present disclosure and, together with the description, serve to explain the related principles.

BRIEF DESCRIPTION OF THE DRAWINGS

[0008] Detailed discussion of embodiments directed to one of ordinary skill in the art is set forth in the specification, which makes reference to the appended figures, in which:

[0009] FIG. 1 depicts a block diagram of an example environment including a computing system that performs operations, according to example embodiments of the present disclosure.

[0010] FIG. 2 depicts a block diagram of an example of a computing device, according to example embodiments of the present disclosure.

[0011] Reference numerals that are repeated across plural figures are intended to identify the same features in various implementations.

DETAILED DESCRIPTION

[0012] Generally, the present disclosure is directed to improved computer systems, computer applications, computer-implemented methods, user interfaces, and/or services for estate planning. In some instances, the estate planning systems and methods described herein can organize and visualize an existing estate plan, strategize potential opportunities, offer online document creation, and create a collaborative online space for accessing current estate plans and documents. The systems and methods described herein can account for complex fact patterns, multiple types of trust documents, state and federal tax laws, and have a robust reporting engine.

[0013] As used herein, the terms “user”, “advisor”, “wealth advisor”, “financial planner”, and “estate strategist” can each refer to the corresponding term itself individually, or one or more terms from the list of terms collectively.

[0014] In some instances, an advisor dashboard can serve as the home for any advisor to gain new visibility into all of their clients' estate planning and activity. This gives advisors real-time updates on the status of their clients' documents, reports, and opportunities. In some instances, a client onboarding flow can make it easy for advisors to add all of their clients into the platform and helps perform an initial assessment of a client's existing planning. In some instances, by gathering basic information through this onboarding process, the system is able to identify opportunities tailored specifically to an advisor's client. Advisors receive reminders based on existing planning, changes in law, or changes in life circumstances that prompt them to check-in on clients to provide ongoing value. For managing other functions of a client's estate like inviting them to create documents or just updating information, each client has their own estate profile where advisors can easily make changes accordingly.

[0015] In contrast to conventional estate planning systems, the systems and methods of the present disclosure are easy to use, integrated to other financial technology systems, and secure.

[0016] With reference to the Figures, example embodiments of the present disclosure will be discussed in further detail.

[0017] FIG. 1 depicts a block diagram of an example environment 100 including a computing system 110 that performs operations according to example embodiments of the present disclosure. The environment 100 includes a network 102, a computing system 110, one or more computing devices 112, one or more processors 114, one or more memory devices 116, data 118, instructions 120, a remote computing system 130, one or more computing devices 132, one or more processors 134, one or more memory devices 136, data 138, instructions 140, one or more computing devices 152, one or more processors 154, one or more memory devices 156, data 158, and instructions 160.

[0018] The network 102 can include any type of communications network. For example, the network 102 can include a local area network (LAN), a wide area network (WAN), an intranet, an extranet, and/or the internet. Further, the network 102 can include any number of wired or wireless connections and/or links that can be used to communicate with one or more computing systems (e.g., the computing system 110 and/or the remote computing system 130) and/or one or more devices (e.g., the one or more computing devices 152). Communication over the network 102 can be performed via any type of wired and/or wireless connection and can use a wide variety of

communication protocols (e.g., TCP/IP, HTTP, SMTP, FTP), encodings or formats (e.g., HTML, XML), and/or protection schemes (e.g., VPN, secure HTTP, SSL).

[0019] The computing system 110 can include any combination of systems and/or devices including one or more computing systems (not shown) and/or one or more computing devices 112. Further, the computing system 110 may be connected (e.g., networked) to one or more computing systems (e.g., remote computing system 130) and/or one or more computing devices (e.g., one or more computing devices 132, 152) via the network 102. The computing system 110 may operate in various different configurations including as a server or a client machine in a client-server network environment, or as a peer machine in a peer-to-peer (or distributed) network environment. Though the computing system 110 is depicted in FIG. 1 as a single device, the computing system 110 can include any collection or combination of devices that individually or in combination with other devices, execute a set of one or more instructions to perform any one or more of the operations discussed herein.

[0020] In this example, the computing system 110 includes one or more computing devices 112. The one or more computing devices 112 can include any type of computing device. For example, the one or more computing devices 112 can include a personal computing device (e.g., a desktop computing device), a mobile computing device (e.g., a smartphone or tablet device), a server computing device, a network router, a switch, a bridge, or any device capable of executing a set of instructions (e.g., any combination of instructions which can include sequential instructions and/or parallel instructions) associated with one or more operations and/or one or more actions to be performed by the computing system 110 or any of the constituent components and/or devices of the computing system 110.

[0021] Any of the one or more computing devices 112 can include the one or more processors 114. The one or more processors 114 can include any processing device (e.g., a processor core, a microprocessor, an ASIC, a FPGA, a controller, or a microcontroller) and can include one processor or multiple processors that may be operatively connected. In some embodiments, the one or more processors 114 may include one or more complex instruction set computing (CISC) microprocessors, one or more reduced instruction set computing (RISC) microprocessors, one or more very long instruction word (VLIW) microprocessors, and/or one or more processors that are configured to implement other instruction sets.

[0022] The one or more computing devices 112 can include the one or more memory devices 116. The one or more memory devices 116 can be used to store data and/or information and can include one or more computer-readable media, one or more non-transitory computer-readable storage media, and/or one or more machine-readable media. Though the one or more memory devices 116 are depicted in FIG. 1 as a single unit (e.g., a single medium), the computer-readable storage media can include a single medium or multiple media (e.g., a centralized or distributed database, and/or associated caches and servers) that store one or more sets of instructions. Further, the computer-readable storage media can include any medium that is capable of storing, encoding, and/or carrying a set of instructions for execution by a computing device and which may cause the computing device to perform any of the one or more operations described herein. In some embodiments, the computer-readable storage media can include one or more solid-state memories, one or more optical media, and/or one or more magnetic media. By way of example, the one or more memory devices 116 can include any combination of random-access memory (RAM), read-only memory (ROM), EEPROM, EPROM, one or more flash memory devices, and/or one or more magnetic storage devices (e.g., one or more hard disk drives).

[0023] The one or more processors 114 can be configured to execute one or more instructions to perform the operations described herein. Further, the one or more memory devices 116 can store the data 118 and/or the instructions 120, which can be executed by the one or more processors 114 to cause the one or more computing devices 112 to perform one or more operations. For example, the one or more operations performed by the one or more processors 114 can include accessing estate planning data.

[0024] The data 118 can include estate planning data. Further, the instructions 120 can include one or more instructions to use data including the data 118 to perform any one or more of the various operations described herein. In some embodiments, the one or more memory devices 116 can be used to store one or more applications that can be operated by the one or more processors 114. The data 118, the instructions 120, and/or the one or more applications can be associated with an organization. Further, the computing system 110 may be associated with an organization and may be configured to manage one or more applications.

[0025] Any of the one or more computing devices 112 can include one or more input devices 122 and/or one or more output devices 124. The one or more input devices 122 can be configured to receive input (e.g., user input) and can include one or more touch screens, one or more

keyboards, one or more pointing devices, (e.g., mouse device), one or more buttons, one or more microphones, and/or one or more cameras. The one or more output devices 124 can include one or more display devices, one or more loudspeaker devices, one or more haptic output devices. By way of example, the one or more output devices 124 can be used to display a graphical user interface via a display device that can include a touch screen layer that is configured to detect one or more inputs (e.g., one or more user inputs). The one or more processors 114 may perform one or more operations based at least in part on the one or more inputs.

[0026] The remote computing system 130 includes one or more computing devices 132. Each of the one or more computing devices 132 can include one or more processors 134, one or more memory devices 136, the data 138, and/or the instructions 140. The remote computing system 130 can include any of the attributes and/or capabilities of the computing system 110. Further, the remote computing system 130 can communicate with one or more devices and/or one or more systems via the network 102. In some embodiments, the remote computing system 130 can include one or more applications (e.g., computer software applications comprising computer instructions) that can be stored and/or executed by the remote computing system 130.

[0027] One or more computing devices 152 (e.g., user devices or any other types of devices) can include one or more processors 154, one or more memory devices 156, the data 158, and/or the instructions 160. Such one or more computing devices 152 may include any of the attributes and/or capabilities of the one or more computing devices 112, 132. Further, such one or more computing devices 152 can communicate with one or more devices and/or one or more systems via the network 102. In some embodiments, the one or more computing devices 152 can include one or more applications (e.g., computer software applications comprising computer instructions) that can be stored and/or executed by such one or more computing devices 152.

[0028] FIG. 2 depicts a block diagram of an example computing device 200 according to example embodiments of the present disclosure. The computing device 200 can include one or more attributes and/or capabilities of the computing system 110, the remote computing system 130, the one or more computing devices 152, and/or the computing device 200. Furthermore, the computing device 200 can be configured to perform one or more operations and/or one or more actions that can be performed by the computing system 110, the remote computing system 130, the one or more computing devices 152, and/or the computing device 200.

[0029] As shown in FIG. 2, the computing device 200 can include one or more memory devices 202, including estate planning data 203, one or more interconnects 214, one or more processors 220, a network interface 222, one or more mass storage devices 224, one or more output devices 226, and/or one or more input devices 228.

[0030] The one or more memory devices 202 can store information and/or data (e.g., estate planning data 203, and/or any other types of data). Further, the one or more memory devices 202 can include one or more non-transitory computer-readable storage media, including RAM, ROM, EEPROM, EPROM, flash memory devices, magnetic disks, and any combination thereof. The information and/or data stored by the one or more memory devices 202 can be executed by the one or more processors 220 to cause the computing device 200 to perform one or more operations described herein.

[0031] The estate planning data 203 can include one or more portions of data (e.g., the data 118, the data 138, and/or the data 158, which are depicted in FIG. 1) and/or instructions (e.g., the instructions 120, the instructions 140, and/or the instructions 160, which are depicted in FIG. 1) that are stored respectively in any of the one or more memory devices 116, 136, 156. The estate planning data 203 also can include information associated with one or more organizational records and/or one or more organizational financial data. For example, the organizational data can include estate planning data obtained from one or more clients.

[0032] In some implementations, the computing device 200 can store a plurality of models having one or more estate planning-specific models 206. In some embodiments, an estate planning-specific model can be a model that is specifically associated with estate planning.

[0033] For example, the estate planning-specific models 206 can be or can otherwise include various machine-learned models such as neural networks (e.g., deep neural networks) or other types of machine-learned models, including non-linear models and/or linear models. Neural networks can include feed-forward neural networks, recurrent neural networks (e.g., long short-term memory recurrent neural networks), convolutional neural networks or other forms of neural networks. Some example machine-learned models can leverage an attention mechanism such as self-attention. For example, some example machine-learned models can include multi-headed self-attention models (e.g., transformer models).

[0034] In some implementations, the input to the estate planning-specific models 206 (e.g., machine-learned models) of the present disclosure can be statistical data. Statistical data can be,

represent, or otherwise include data computed and/or calculated from some other data source. The estate planning-specific models 206 can process the statistical data to generate an output. As an example, the estate planning-specific models 206 can process the statistical data to generate a threshold value for a metric. As another example, the estate planning-specific models 206 can process the statistical data to generate a prediction output.

[0035] The one or more interconnects 214 can include one or more interconnects or buses that can be used to send and/or receive one or more signals (e.g., electronic signals) and/or data (e.g., estate planning data 203 and/or any other data) between components of the computing device 200, including the one or more memory devices 202, the one or more processors 220, the network interface 222, the one or more mass storage devices 224, the one or more output devices 226, and/or the one or more input devices 230. The one or more interconnects 214 can be arranged or configured in different ways. For example, the one or more interconnects 214 can be configured as parallel or serial connections. Further the one or more interconnects 214 can include one or more internal buses that are used to connect the internal components of the computing device 200 and one or more external buses used to connect the internal components of the computing device 200 to one or more external devices. By way of example, the one or more interconnects 214 can include different interfaces including Industry Standard Architecture (ISA), Extended ISA, Peripheral Components Interconnect (PCI), PCI Express, Serial AT Attachment (SATA), HyperTransport (HT), USB (Universal Serial Bus), Thunderbolt, IEEE 1394 interface (FireWire), and/or other interfaces that can be used to connect components.

[0036] The one or more processors 220 can include one or more computer processors that are configured to execute the one or more instructions stored in the one or more memory devices 202. For example, the one or more processors 220 can, for example, include one or more general purpose central processing units (CPUs), application specific integrated circuits (ASICs), and/or one or more graphics processing units (GPUs). Further, the one or more processors 220 can perform one or more actions and/or operations including one or more actions and/or operations associated with the estate planning data 203 and/or any other data. The one or more processors 220 can include single or multiple core devices including a microprocessor, microcontroller, integrated circuit, and/or a logic device.

[0037] The network interface 222 can support network communications. The network interface 222 can support communication via networks including a local area network and/or a

wide area network (e.g., the internet). For example, the network interface 222 can allow the computing device 200 to communicate with the computing system 110 via the network 102.

[0038] The one or more mass storage devices 224 (e.g., a hard disk drive and/or a solid-state drive) can be used to store data including the estate planning data 203 and estate planning-specific models 206, and/or any other data. The one or more output devices 226 can include one or more display devices (e.g., liquid crystal display (LCD), OLED display, mini-LED display, micro-LED display, plasma display, and/or cathode ray tube (CRT) display), one or more light sources (e.g., LEDs), one or more loudspeakers, and/or one or more haptic output devices (e.g., one or more devices that are configured to generate vibratory output).

[0039] The one or more input devices 228 can include one or more touch sensitive devices (e.g., a touch screen display), a mouse, a stylus, one or more keyboards, one or more buttons (e.g., ON/OFF buttons and/or YES/NO buttons), one or more microphones, and/or one or more cameras (e.g., cameras that are used to detect gestures that can trigger one or more operations by the computing device 200). Further, the one or more input devices 228 can be used to provide input (e.g., a rule associated with a trigger that is received from a user input of a user) that can be used as part of invoking or performing one or more operations. For example, the one or more input devices 228 can receive a user input from a user (e.g., advisor, wealth advisor, financial planner, and/or estate strategist) associated with an insight (e.g., alert) in order to perform an action based on the user input or insight.

[0040] Although the one or more memory devices 202 and the one or more mass storage devices 224 are depicted separately in FIG. 2, the one or more memory devices 202 and the one or more mass storage devices 224 can be regions within the same memory module. The computing device 200 can include one or more additional processors, memory devices, and/or network interfaces, which may be provided separately or on the same chip or board. The one or more memory devices 202 and the one or more mass storage devices 224 can include one or more computer-readable media, including, but not limited to, non-transitory computer-readable media, RAM, ROM, hard drives, flash drives, and/or other memory devices.

[0041] The one or more memory devices 202 can store sets of instructions for applications including an operating system that can be associated with various software applications or data. For example, the one or more memory devices 202 can store sets of instructions for one or more applications (e.g., one or more organizational applications and/or one or more third-party

applications) that are subject to one or more application policies or utilize third-party integration data that can be configured, generated, and/or implemented by the computing device 200 and/or one or more other computing devices or one or more computing systems. In some embodiments, the one or more memory devices 202 can be used to operate or execute a general-purpose operating system that operates on mobile computing devices and/or stationary devices, including for example, smartphones, laptop computing devices, tablet computing devices, and/or desktop computers.

[0042] The software applications that can be operated or executed by the computing device 200 can include applications associated with the computing system 110, the remote computing system 130, and/or the one or more computing devices 152 that are depicted in FIG. 1. Further, the software applications that can be operated and/or executed by the computing device 200 can include native applications, web services, and/or web-based applications.

[0043] Numerous details are set forth in the foregoing description. However, it will be apparent to one of ordinary skills in the art having the benefit of this disclosure that the present disclosure may be practiced without these specific details. In some instances, structures and devices are shown in block diagram form, rather than in detail, to avoid obscuring the present disclosure.

[0044] Certain examples of the present disclosure can relate to an apparatus for performing the operations described herein. This apparatus may include a computing device that is activated or reconfigured by a computer program comprising electronic instructions stored in the computing device. Such a computer program may be stored in a computer readable storage medium, which can include any type of storage. For example, the storage can include hard disk drives, solid state drives, floppy disks, optical disks, CD-ROMs, and magnetic-optical disks, read-only memories (ROMs), random access memories (RAMs), EPROMs, EEPROMs, magnetic or optical cards, or any type of media suitable for storing electronic instructions.

[0045] The above description is intended to be illustrative, and not restrictive. The scope of the disclosure can therefore be determined with reference to the claims.

[0046] The technology discussed herein makes reference to servers, databases, software applications, and other computer-based systems, as well as actions taken, and information sent to and from such systems. The inherent flexibility of computer-based systems allows for a great variety of possible configurations, combinations, and divisions of tasks and functionality between and among components. For instance, processes discussed herein can be implemented using a

single device or component or multiple devices or components working in combination. Databases and applications can be implemented on a single system or distributed across multiple systems. Distributed components can operate sequentially or in parallel.

[0047] While the present subject matter has been described in detail with respect to various specific example embodiments thereof, each example is provided by way of explanation, not limitation of the disclosure. Those skilled in the art, upon attaining an understanding of the foregoing, can readily produce alterations to, variations of, and equivalents to such embodiments. Accordingly, the subject disclosure does not preclude inclusion of such modifications, variations and/or additions to the present subject matter as would be readily apparent to one of ordinary skill in the art. For instance, features illustrated or described as part of one embodiment can be used with another embodiment to yield a still further embodiment. Thus, it is intended that the present disclosure covers such alterations, variations, and equivalents.

[0048] The attached Appendix, which is fully incorporated into and forms a portion of this disclosure, describes example implementations of the systems and methods described herein. The present disclosure is not limited to the example implementations described in the attached Appendix.

WHAT IS CLAIMED IS:

1. A computing system, comprising:
 - one or more processors;
 - one or more non-transitory computer-readable image that collectively store:
 - one or more databases that store estate planning data;
 - a plurality of estate planning models; and
 - instructions that, when executed by the one or more processors, cause the computing system to perform operations, the operations comprising:
 - accessing the estate planning data;
 - selecting an estate planning model from the plurality of estate planning models;
 - determining information using the estate planning model; and
 - presenting, using a user interface, one or more insights based on the information.
2. A computer-implemented method comprising:
 - accessing, by one or more computing devices, estate planning data;
 - selecting, by the one or more computing devices, an estate planning model from a plurality of estate planning models;
 - determining, by the one or more computing devices, information using the estate planning model; and
 - presenting, using a user interface by the one or more computing devices, one or more insights based on the information.
3. One or more non-transitory computer-readable media that collectively store instructions that, when executed by one or more computing devices, cause the one or more computing devices to perform operations, the operations comprising:
 - accessing estate planning data;
 - selecting an estate planning model from a plurality of estate planning models;
 - determining information using the estate planning model; and

presenting one or more insights based on the information.

ABSTRACT OF THE DISCLOSURE

One example aspect of the present disclosure is directed to a computer system that implements and includes one or more processors, one or more databases, and one or more memory devices. The one or more databases can store a plurality of estate planning models. The one or more memory devices can store instructions that, when executed by the one or more processors, cause the computer system to perform operations. The operations can include accessing the estate planning data. Additionally, the operations can include selecting an estate planning model from the plurality of estate planning models. Moreover, the operations can include determining information based on the estate planning model. Subsequently, the operations can include presenting, using a user interface, one or more insights based on the information.

APPENDIX

Advisor Experience Viewing Client Legacy Profile In-App

Overview:

The Vanilla in-app Client Legacy Profile is an extension of the Advisor Dashboard and primary interface for an advisor to view and interact with a client's estate profile and related data. The purpose of this doc is to detail this Advisor experience.

The *target users* for this experience will be Advisors, Organization Admins, Super Admins.

Glossary

- **Advisor Dashboard:** Interface where the advisor can view all clients and meta data on client estates in table format. From here they can click a client name to navigate to the Client Legacy Profile.
- **Estate Profile:** The in-app visualizations of all client estate data entered manually, through integration and document extraction.
- **WealthCenter:** The WealthCenter is the cornerstone of the Client Legacy Profile where the advisors can view and edit client financial data.
- **Estate Manager:** While some financial data can be added to a client's estate in the Client Legacy Profile (mainly in the WealthCenter), the Client Estate Manager is where an advisor can add and update client data.

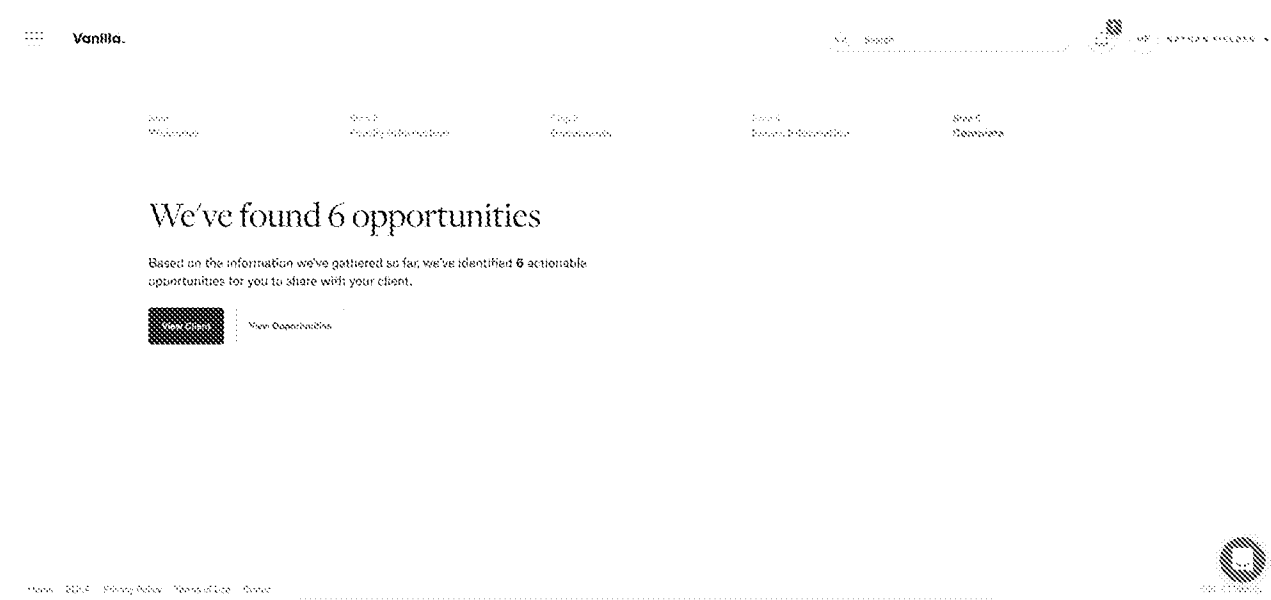
Client Legacy Profile v1

The Client Estate Profile is populated by the advisor as they walk through Client Onboarding and - what we currently refer to as - Review request.

Getting client estate info into the Client Estate Profile (v1)

The v1 of the new flow will take advisors through the same Client Onboarding experience when they click on the Add Client button in the Advisor Dashboard. Once the advisor has completed Client Onboarding (our current version) they will see a View Client Estate button, which will replace the current View Client and View Opportunities buttons below (**Fig. 1**).

(Figure 1)

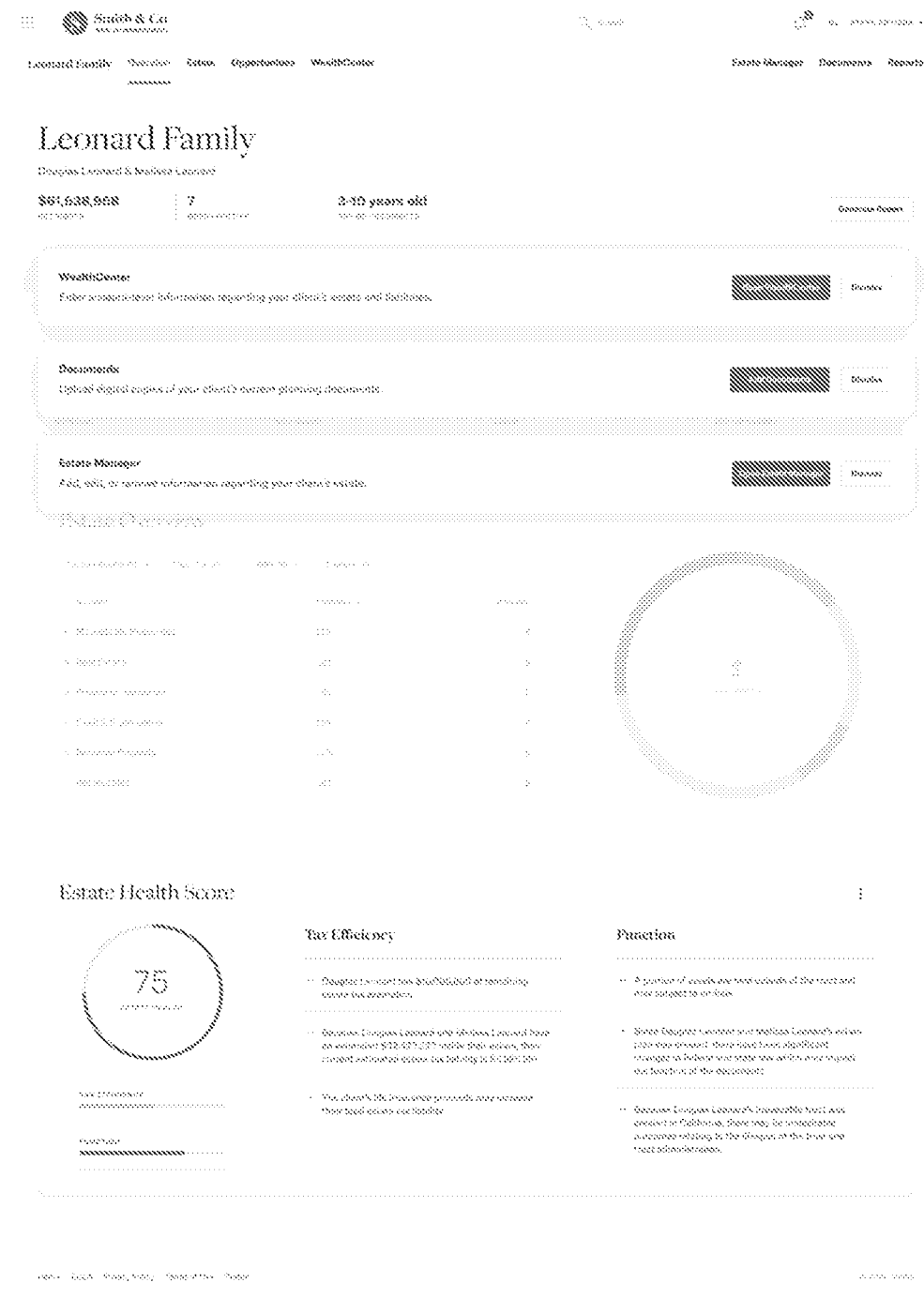


Clicking the View Client Estate button will redirect the user to the client's Estate Overview (**Fig. 2**).

Here advisors will find a near empty state of the Estate Overview section within the Client Estate Profile where they can view Net Worth, Opportunities and Age of Documents (provided during Client Onboarding). The visualization available to a full profile will be grayed out and three prompts to provide more data to the Client Estate Profile will be displayed at the top of the page.

- **Open WealthCenter** (will route advisor to the Owner section of the WealthCenter module where they can add accounts and owners)
- **Open Documents** (will route managers to the Documents module)
- **Open Estate Manager** (will route advisors to the Estate Manager module)

(Figure 2)



Advisors are given the choice to dismiss the prompts but will see an “Are you sure you don’t want to provide xyz information at this time.”

Prompts will also disappear once information is added to the client’s estate. Ex. Once a single account or asset is created and associated with an owner, the prompt to the WealthCenter will disappear from the Overview.

Objective + Goals

- Guide the advisor toward next steps (by priority)
 - Financial Information
 - Document Review
 - Information Request
- Allow the advisor to see a high level overview/output of data that is currently in-application
 - Estate Overview/Financial Information
 - Fiduciaries
 - Beneficiaries
 - Uploaded Documents
 - Estate Health Score
 - Opportunities

User Flows/Prototypes

- Client “Basic” Legacy Profile
- Client “Ultra” Legacy Profile
- Include various states and CTAs
 - Complete Balance Sheet/Financial Information
 - Fill in missing information
 - Request Document Review
 - Create Report/PDF

Overview

The Estate Overview is structured to guide an advisor through the logical steps on how to have a conversation with their client regarding estate planning. It orients the advisor and their client with where they are today in their planning and what the client’s goals are.

Objective + Goal

- Provide a visual overview of the client’s existing plan to help them understand how it works, how it impacts their beneficiaries, and who the key people are in their plan
- Provide educational/learning materials that increases advisors confidence in their estate planning knowledge

Sub navigation included in **Estate Overview**.

Estate Taxes

Estate Plan

Beneficiaries

Fiduciaries

Family Tree

Milestones

Entity Flowchart

Estate Taxes

Estate tax detail breaks down the flow in which taxes are applied to a client's estate and where deductions, etc. come into play.

Smith & Co.
Wealth Management

Search

01 STEVE KENNEDY

Leonard Family Legacy ProfileOverviewEstateOpportunitiesWealthCenter

Estate ManagerDocumentsReports

Estate

Estate TaxesEstate PlanBeneficiariesFiduciariesFamily TreeMilestonesEntity Flowchart

Estate Tax Detail

Current Assets

Sed porta odio ut lorem sollicitudin, et lobortis odio euismod. Pellentesque nibh mauris, hendrerit vitae mi at, euismod blandit nulla.

Continued Family Assets

\$41,851,311

Assets Inside of Taxable Estate

\$41,851,311

Assets Outside of Taxable Estate

\$0,000,000

Taxable Assets

\$5,000,000

State Estate Taxes

Sed porta odio ut lorem sollicitudin, et lobortis odio euismod. Pellentesque nibh mauris, hendrerit vitae mi at, euismod blandit nulla.

State Estate Tax Exemption

\$0

State Estate Tax Rate (TXN)

\$0

State Estate Taxes

\$41,851,311

Taxable Estate after State Estate Taxes

\$41,851,311

Federal Taxes

Your remaining exemption is deducted from the total amount of assets that are subject to the estate tax.

Retaining Federal Lifetime Exemption

\$11,700,000

DSUE: Decedent's unused unified exclusion

\$11,700,000

Taxable Estate after State Estate Taxes and Exemption

\$000,000,000

Federal Estate Tax Rate

40%

Federal Estate Tax

\$41,851,311

Net to Heirs

Sed porta odio ut lorem sollicitudin, et lobortis odio euismod. Pellentesque nibh mauris, hendrerit vitae mi at, euismod blandit nulla.

Net Assets to Charity

\$000,000,000

Net Assets to Heirs

\$000,000,000

Net Assets from Outside Estate

\$11,700,000

Net Assets from Inside Estate

\$11,700,000

Net Available to Heirs

\$11,700,000

HomeEstatePlanning PolicyTerms of UseStatus

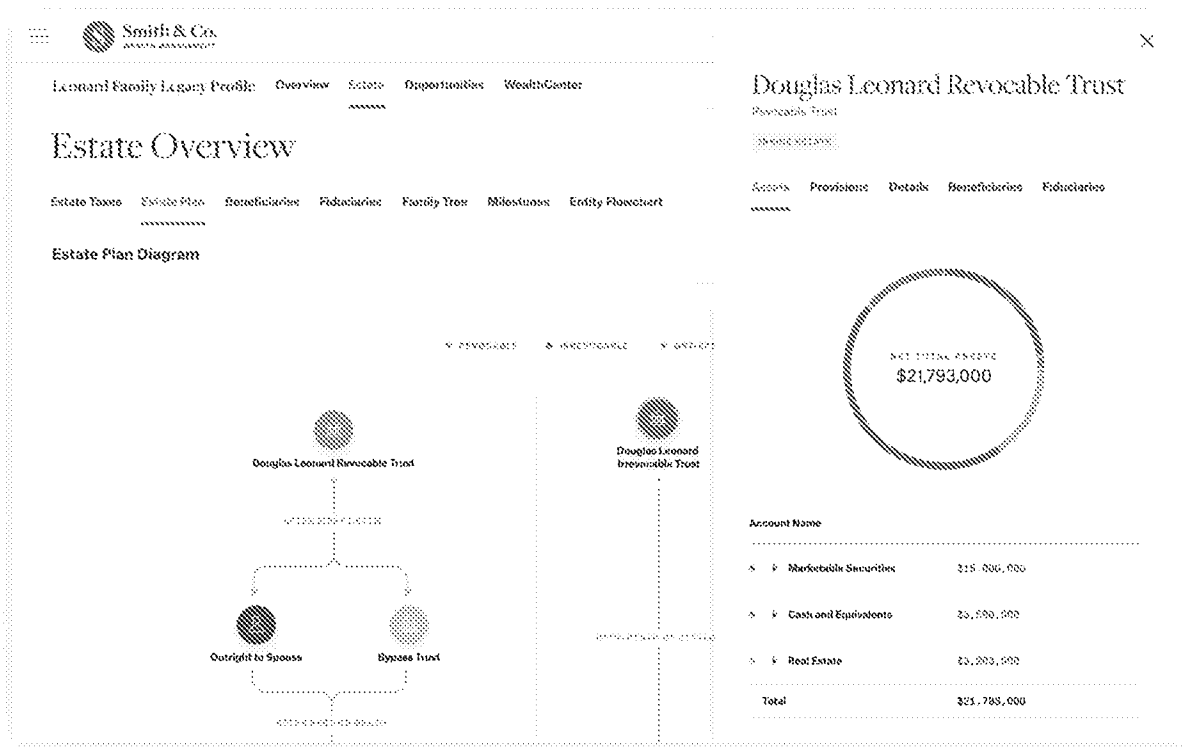
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User Flows/Prototypes

- Estate Tax Detail (No Financial Information w/ Instructions)
- Estate Tax Detail (with Financial Information)

Estate Plan (Diagram)

Enable advisors and their clients to view a diagram of their estate plan, with the ability to view the details for each trust including its trustees, beneficiaries, etc. The dynamic visualization of the estate plan diagram is based on information input by a WEPS specialist.



Minimum data requirement: Document Extraction

Empty state: None. Advisor will see a redirect button to Documents.

Slideouts:

Users can click on a trust icon to view detailed information on each trust in the estate plan diagram, including:

- Assets
- Provisions

- Details (a link to the pdf that contains the document)
- Beneficiaries
- Fiduciaries

User Flows/Prototypes

- Estate Plan Diagram (No Document Extraction w/ Instructions) - Should send to doc review
- Estate Plan Diagram
- Estate Plan Diagram with Tooltips
- Estate Plan Diagram with detailed slideouts
 - Assets
 - Provisions
 - Beneficiaries
 - Fiduciaries

Beneficiaries

Advisors and their clients can view a list of all of their beneficiaries, including how their gifts are funded.



Estate

Beneficiaries



Lorelei Leonard

\$8,050,000



Share of Douglas Leonard Revocable Trust

\$7,267,500



Share of Melissa Leonard Revocable Trust

0%



Share of Melissa's 401k

50%



Share of Douglas' Roth IRA

75%



Douglas Leonard, Jr.

\$8,050,000



Share of Douglas Leonard Revocable Trust

\$8,050,000



Share of Melissa Leonard Revocable Trust

0%



Share of Melissa's 401k

\$5,031,250



Share of Douglas' Roth IRA

10%



Saunders Leonard

\$8,050,000



Share of Douglas Leonard Revocable Trust

\$6,042,500



Share of Melissa Leonard Revocable Trust

10%



Share of Melissa's 401k

\$1,015,625



Share of Douglas' Roth IRA

20%



Neve Leonard

\$8,050,000



Share of Douglas Leonard Revocable Trust

\$1,015,625



Gwyneth Leonard

\$8,050,000

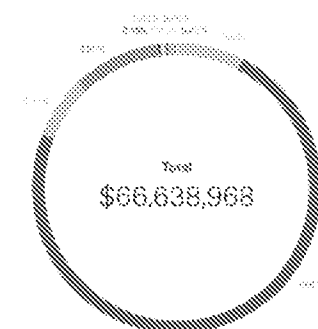


Share of Douglas Leonard Revocable Trust

\$5,031,250

Waterfall

Following death of first spouse



10% Revocable Life Insurance Trust	10% 2010 Trust
10% 2011 Trust	10% 2012 Trust
10% 2013 Trust	10% 2014 Trust
10% 2015 Trust	10% 2016 Trust
10% 2017 Trust	10% 2018 Trust

ACCOUNT	AMOUNT
Revocable Life Insurance Trust	\$6,663,896.80
2010 Revocable Trust	\$6,663,896.80
Marley Trust	\$6,663,896.80
Emily Trust	\$6,663,896.80
2011 Revocable Trust	\$6,663,896.80
LLC	\$6,663,896.80
2012 Trust	\$6,663,896.80
2013 Trust	\$6,663,896.80
2014 Trust	\$6,663,896.80
2015 Trust	\$6,663,896.80
2016 Trust	\$6,663,896.80
2017 Trust	\$6,663,896.80
2018 Trust	\$6,663,896.80
Total	\$66,638,968.00

Required data entry: Financial Information AND Document Extraction

Beneficiaries should

User Flows/Prototypes

- Beneficiaries (No Document Extraction w/ Instructions)
- Beneficiaries
-

Fiduciaries

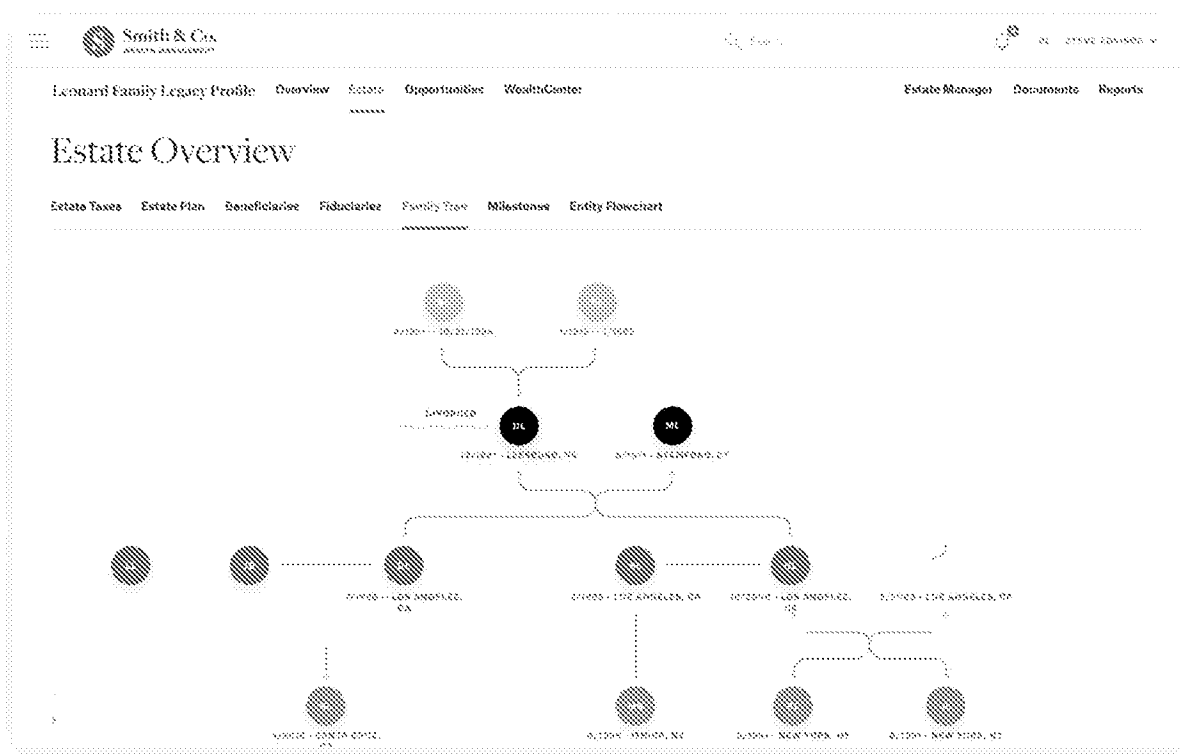
Advisors and their clients can view a list of their fiduciaries by what documents they are attached to.

User Flows/Prototypes

- Fiduciaries (No Document Extraction w/ Instructions)
- Fiduciaries

Family Tree

Advisor and their client can view a visual diagram of the client's family tree



Required data entry: Initial Onboarding OR provide in Client Manager

User Flows/Prototypes

- Family Tree (Empty/Instructions)
- Family Tree

Milestones (Ultra)

Advisor can their client can view a list of milestones provided by the advisor.

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000001

SA

STAFF ACCOUNT

Leonard Family Legacy Profile

Overview

Estate

Opportunities

WealthCenter

Estate Manager

Unmet Needs

Reports

Estate Overview

Estate Taxes

Estate Plan

Beneficiaries

Fiduciaries

Family Tree

Milestones

Entity Flowchart

Milestones

This presentation is intended to be updated as circumstances change. As we continue to work together in understanding your family's goals and objectives, we will continue to document your progress toward these goals.

Year	Milestone	Category	
2020	Opening dialogue in family about wealth	Estate Planning	...
2020	Reviewing insurance policies	Insurance	...
2020	Gifting early	Estate Planning	...
2020	Identifying philanthropic goals	Philanthropy	...
2020	Integrating the family's stated values into its estate planning or wealth	Estate Planning	...
2020	Identifying charitable interest	Philanthropy	...
2020	Choosing a vehicle for charitable giving	Estate Planning	...

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2020s

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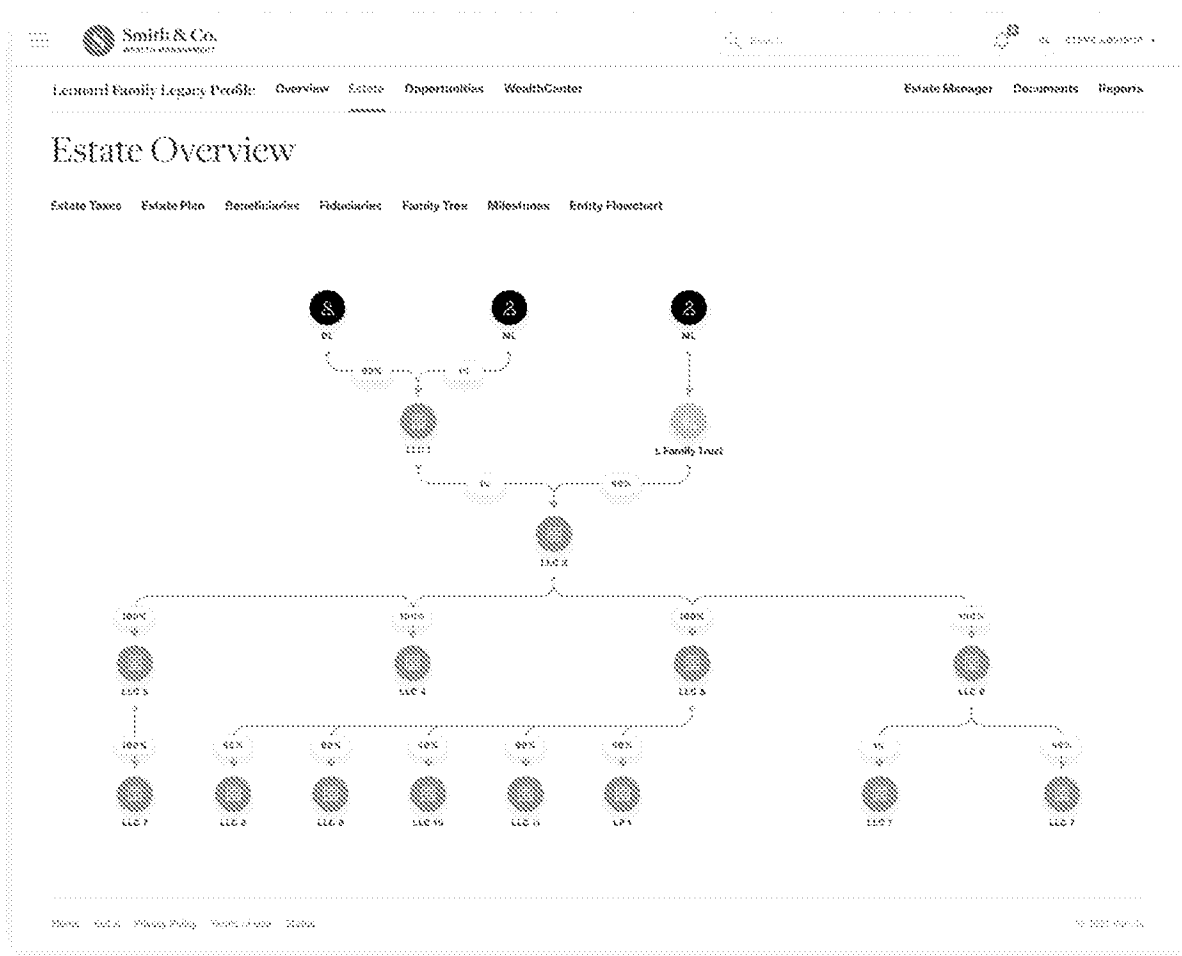
Required data entry: provide in Client Manager

User Flows/Prototypes

- Milestones (Empty/Instructions)
- Milestones

Entity Flow Chart (Ultra)

Advisors and their clients can view a diagram of their client's entity ownership structure.



Required data entry: Financial Information (Owners) to be completed.

User Flows/Prototypes

- Entity Flow Chart (No Financial Information w/ Instructions)
- Entity Flow Chart

Strategies and Opportunities

Once an advisor completes onboarding a client, we generate an estate health score and opportunities based on the client's current planning. This material is surfaced on the legacy overview page and under this section "Strategies and Opportunities."

Objective/Goals

- Display auto-recommended opportunities based on the client/estate onboarding
- Display and highlight custom/WEPS input, opportunities

User Flows/Prototypes

- Strategies & Opportunities Landing Page
 - Overview of Estate Health Score
 - List of recommended opportunities
 - List of custom opportunities input by WEPS (Requires Document Review)

WealthCenter

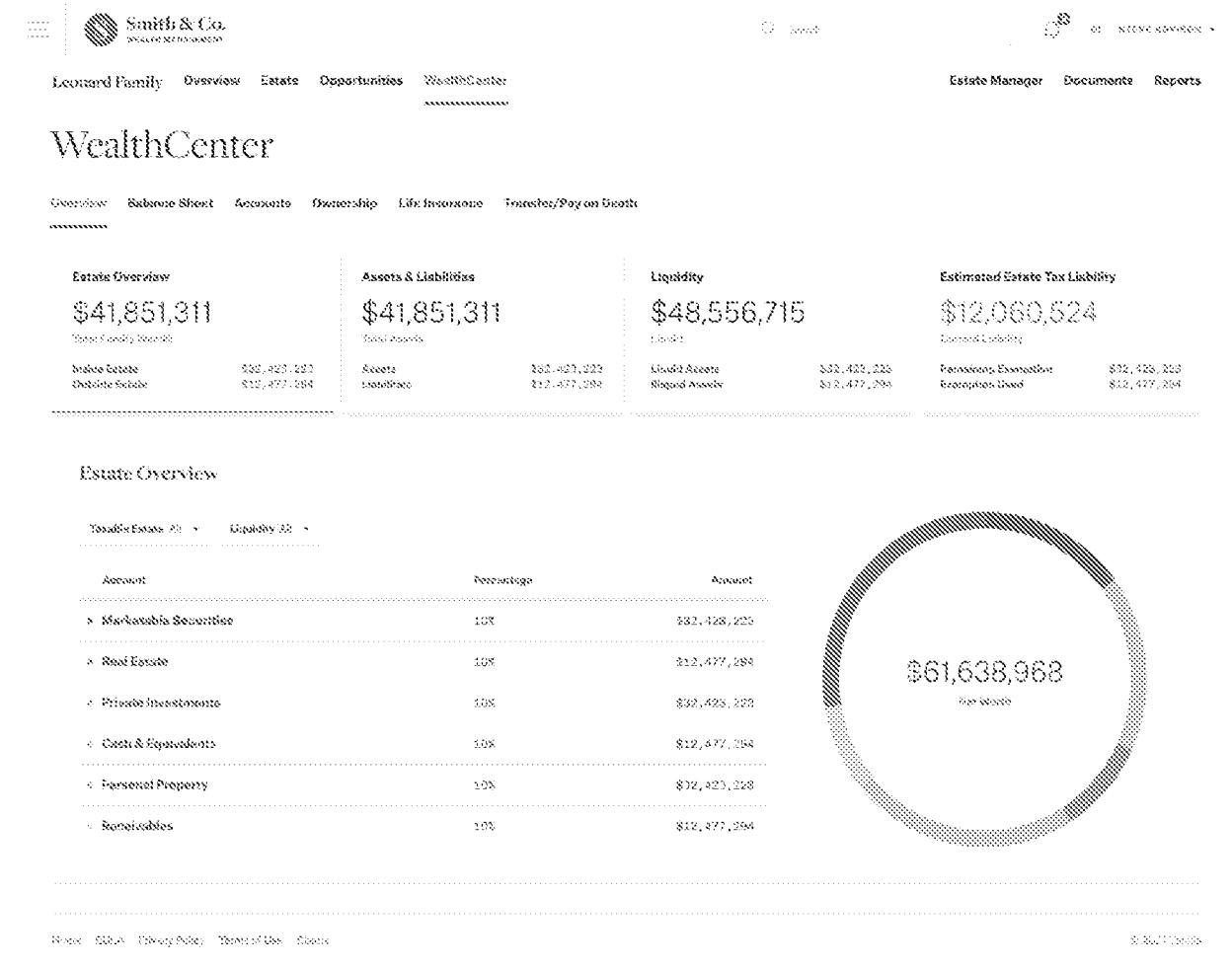
WealthCenter Overview

Advisors can view an overview of their client's financial situation as it relates to estate planning.

There are four views available to advisors when they navigate to the WealthCenter landing page.

Each page contains the same four boxes across the top (under the sub nav) which the user can click to display additional detail below.

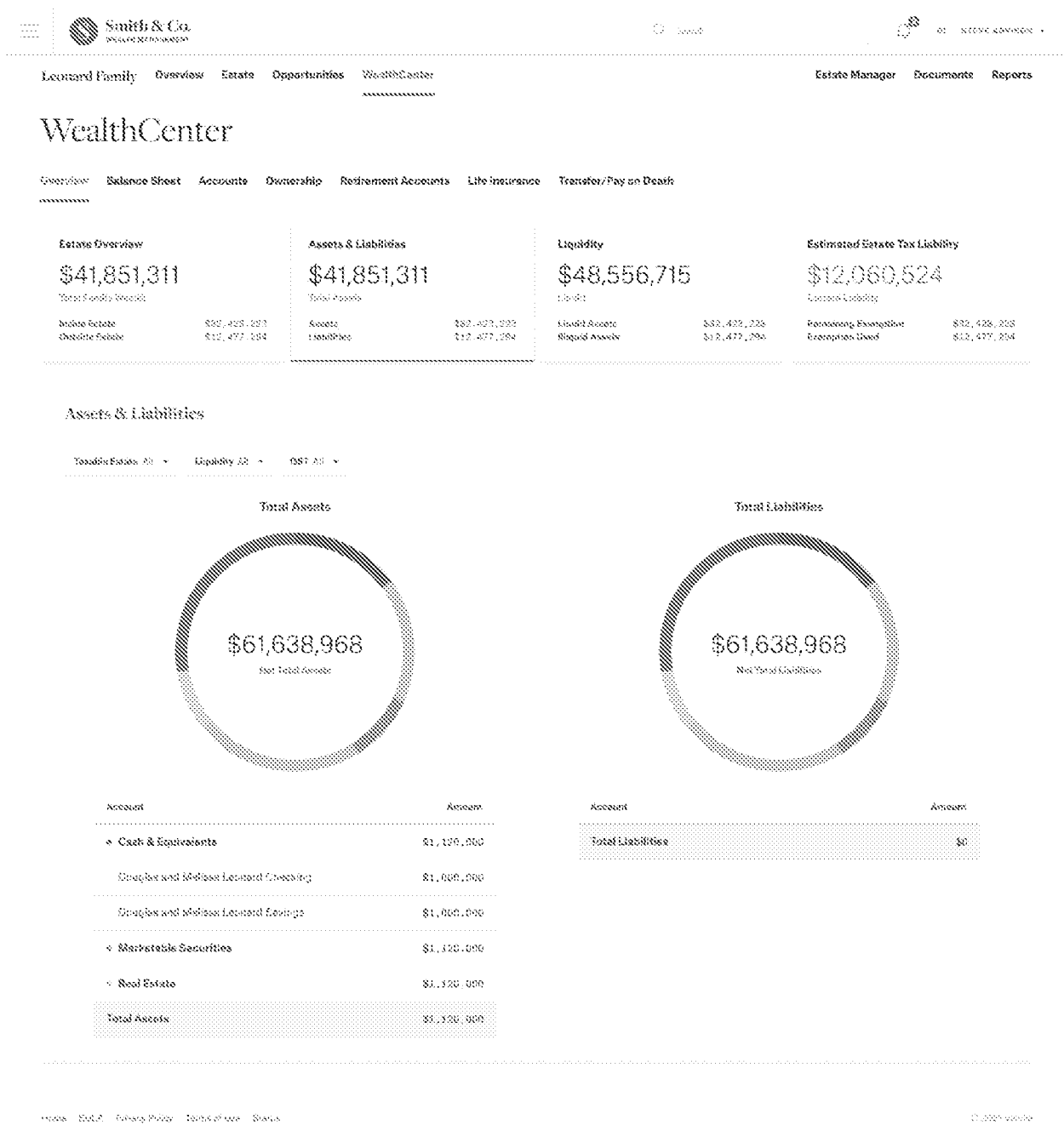
1. WealthCenter Overview



Minimum data requirement: Advisor must have added at least one account to the estate.

Dropdowns: The same dropdowns apply to each of the four WealthCenter Overview pages.

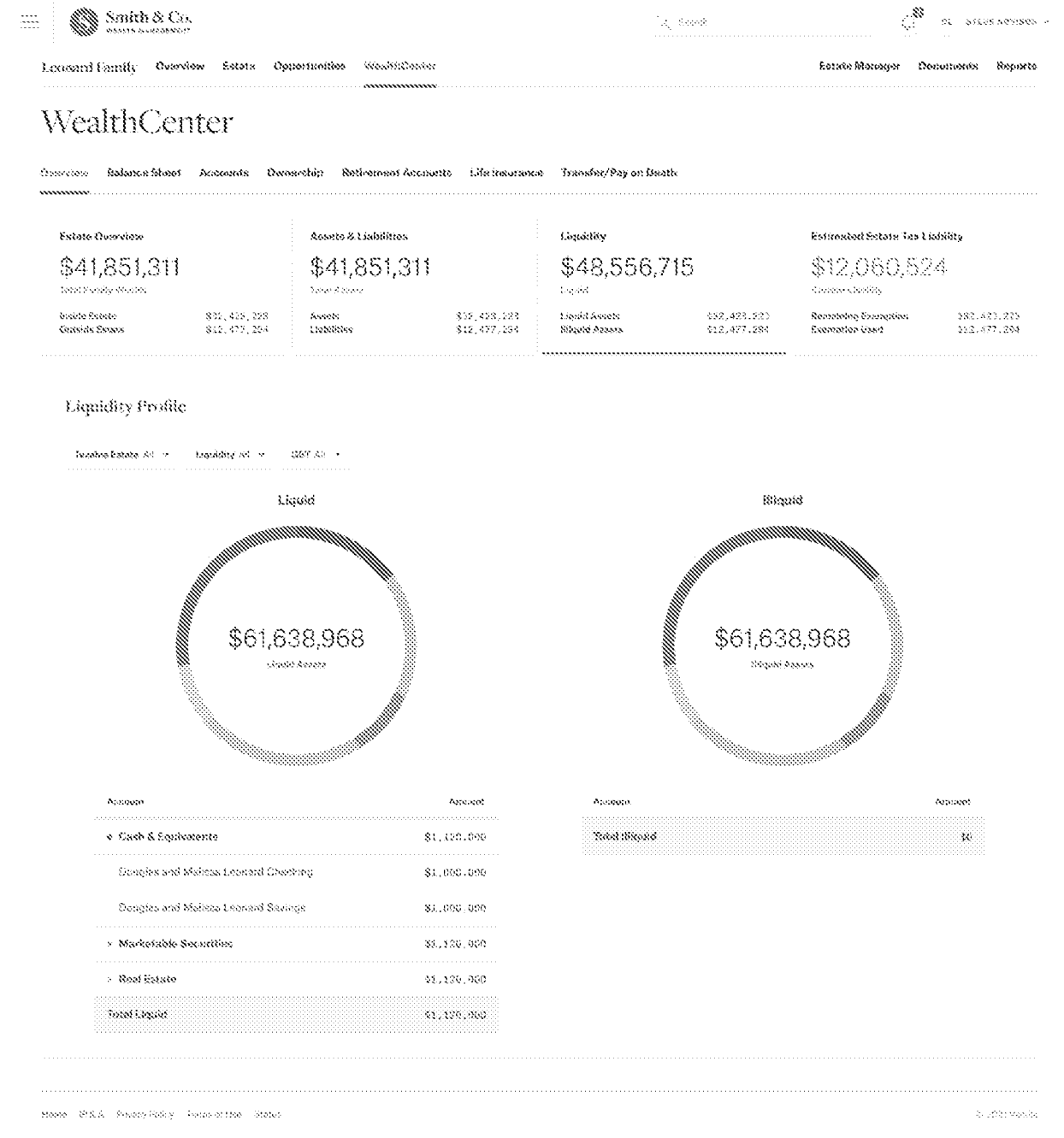
2. WealthCenter Overview (Assets & Liabilities Module)



Minimum data requirement: Advisor must have added one or more assets to the estate.

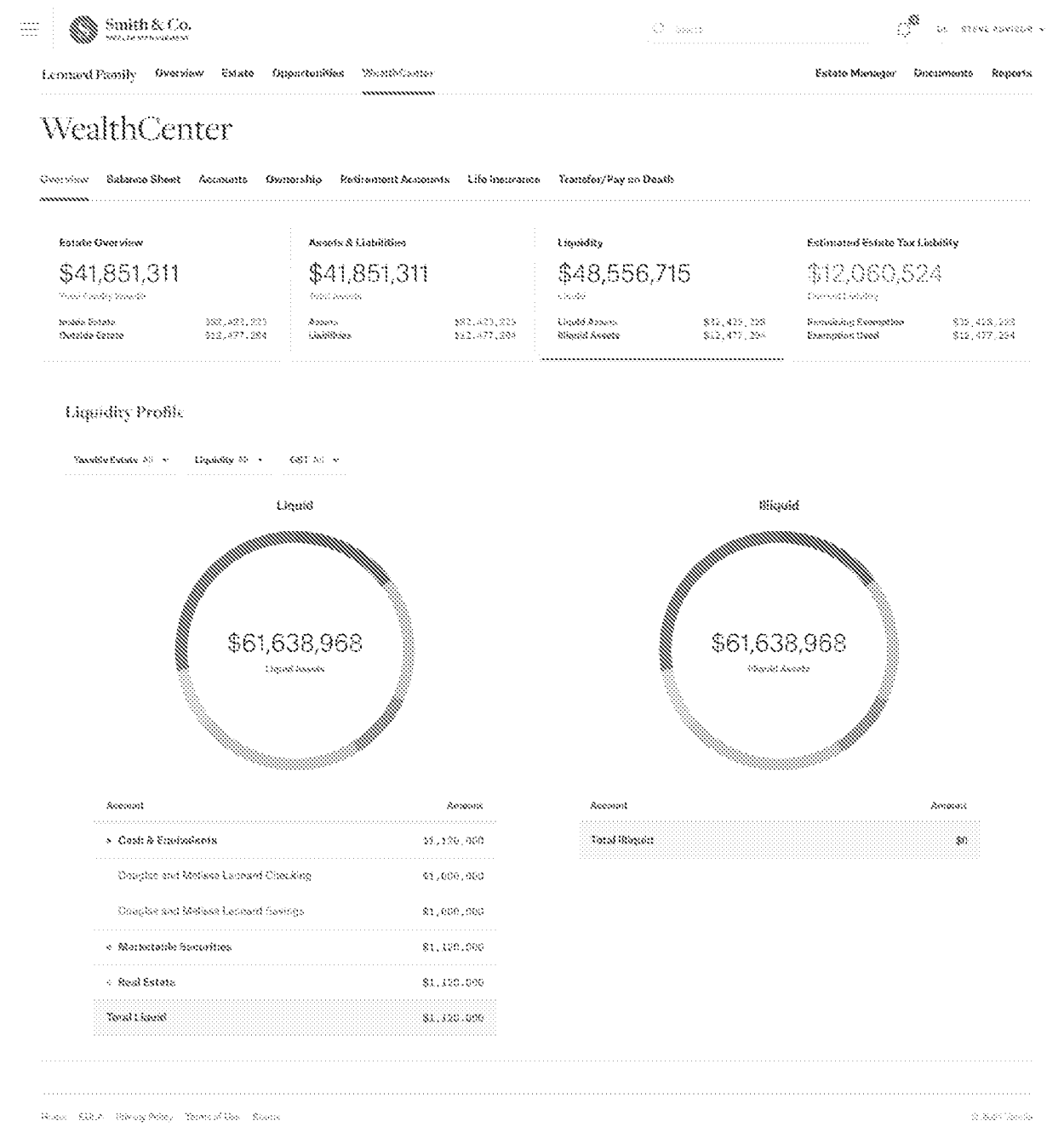
Liabilities will also display if a single asset is added to the estate, but will display as \$0 (as in the example above) until a liability is added.

3. WealthCenter Overview (Liquidity Module)



Minimum data requirement: Advisor must add at least one asset to the balance sheet that is labeled as a liquid or illiquid asset.

4. WealthCenter Overview (Estimated Tax Liabilities Module)



Minimum date required: Advisor must have entered either remaining exemption OR exemption used.

User Flows/Prototypes

- WealthCenter Overview (No financial information)

Empty state: Advisors shown grayed out sample balance sheet and prompted to navigate to Accounts & Ownership to add financial data (account ownership data).

User Flows/Prototypes

- Balance Sheet (Empty State)
- Balance Sheet

Sort feature detail:

Dropdowns

Account: All supported account types

Liquidity: Liquid and Illiquid (based on advisor inputs)

Taxability:

GST:

Owner: All owners created by advisor or imported through integration

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WealthCenter

Overview Balance Sheet Accounts Investments Retirement Accounts Life Insurance

Estate Manager Documents Reports

Owners (1)

Name	Balance	Actions
Douglas Leonard	\$2,700,000	Edit
Melissa Leonard	\$2,700,000	Delete
Joint Ownership (Douglas Leonard & Melissa Leonard)	\$0	
Doug + Melissa Joint Checking	\$2,700,000	
Doug + Melissa Joint Savings	\$2,700,000	
Leonard Family Gift Trust	\$2,700,000	
Leonard RST Trust	\$2,700,000	
Leonard DAF	\$2,700,000	

+ Add New Owner

Financial Accounts (1)

Account Name	Balance
Leonard Family Gift Trust	\$2,700,000
Leonard Capital Partners LLC	\$2,700,000
Breath Mouse	\$2,700,000
Leonard Primary House	\$2,700,000

+ Add Account

Minimum data required: The client name is the only required data to display Ownership. Since the client name will be added to the table automatically as part of client onboarding (be it through out current flow, a wizard or integration), no additional info is needed to display the Ownership tool.

- Owners (No financial information w/ Instructions)
- Owners

Retirement Accounts

Account Name	Owner	Net Assets	Primary Beneficiary	Contingent Beneficiary
Douglas Leeward 401K	Douglas Leeward	\$100,000	2 Beneficiaries	2 Beneficiaries

+ ADD ACCOUNT

Advisors can view, add or edit retirement accounts and annuities in Retirement Accounts.

Minimum data required: The advisor will be able to see the structure of the table with zero data entry but no accounts will be displayed until entered.

Empty state: Exactly what we currently display in-app when the advisor has not entered any accounts.

User Flows/Prototypes

- Retirement Accounts (No financial information w/ Instructions)
- Retirement Accounts

Life Insurance

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WEALTH MANAGEMENT

Search

01

ACCOUNTS

LEARNER FAMILY

Overview

Estate

Opportunities

WealthCenter

Estate Manager

Documents

Reports

WealthCenter

Overview

Balance Sheet

Accounts

Ownership

Retirement Accounts

Life Insurance

Transfer/Pay on Death

Life Insurance

Account Name	Owner	Net Assets	Primary Beneficiary	Contingent Beneficiary
Douglas Leonard 45%	Douglas Leonard	\$100,000	2 Beneficiaries	2 Beneficiaries

ADD ACCOUNT

Label	Policy Type	Term Length	Issue Date	Net Death Benefit	Insured	Primary Beneficiary	Contingent Beneficiary
Douglas Leonard	Whole	—	2/4/2006	\$100,000	Douglas Leonard	2 Beneficiaries	2 Beneficiaries
Douglas Leonard	Term	10 years	2/4/2006	\$100,000	Douglas Leonard	2 Beneficiaries	2 Beneficiaries

Estate Manager

Advisors can edit, manage, and update their client's information from the Estate Manager.

Objective/Goals

- Allow advisors to add, edit, remove, information regarding the client's estate

01
INTAKE SESSION

Leonard Family
Overview
Estate
Opportunities
WealthCenter
Estate Manager
Documents
Reports

Estate Manager

Client Information
Family
Milestones
Financial Team

Family

Parents & Siblings

Primary Client
Douglas Leonard (61)

Client's Spouse
Anne Leonard
Josephine Leonard

Client's Parents
Bob Leonard, Lucy Leonard

Client's Former Spouse(s)
Suzanne Woodward

Spouse/Partner
Melissa Leonard (51)

Spouse/Partner's Spouse(s)
Edith Davis

Spouse/Partner's Parents
Christopher Davis, Catherine Davis

Children

All Family Members

Children of Douglas Leonard & Melissa Leonard

Douglas Leonard, Jr (26)
Jennifer Leonard (26)
Alice Leonard (22)
Gregory Leonard (19)

Children of Douglas Leonard & Anne Doe

Evelyn Leonard (24)

+ ADD FAMILY MEMBER

Friends & Other Relatives

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01 INTAKE SESSION

As an Advisor, I can add, edit or delete the following information on my client's estate in the Estate Manager.

- Family

- Address
- Email
- Phone
- State of residence
- Milestones (Ultra)
- Financial team (Ultra)

Once an Advisor has saved the changes they wish to make, those changes will automatically be reflected in the relevant visualizations of the legacy profile.

Documents

As an Advisor in the Documents tab I can...

- View all documents currently governing my client's estate plan in the document vault.
- Add documents to an estate
- Upload documents to Vanilla.
- Add notes for each document or set of documents uploaded (note on a full upload).
- Request a document review (extraction).

Reports

Advisors can navigate to the reports tab to view and download previous reports and generate new PDF reports.

As an Advisor I can...

- View a list of the most current and all previous reports.
- Download PDFs of the most current reports and all previous reports.
- Generate a new PDF report
 - Full report - Vanilla will automatically generate a report including all the elements of the estate for which the advisor has provided complete information.
 - Custom report - Advisors can choose which information they want to include from a list of estate elements they have provided complete information on (waterfall, balance sheet, team, family tree, fiduciaries, etc.)

The landing page of Reports displays all previous reports generated by the advisor. Within this page, an advisor can download one of the previous reports they generated by selecting Download Report.

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WEALTH MANAGEMENT

Search

01 STEVE KENNEDY

Leonard Family

Overview

Estate

Opportunities

WealthCenter

Estate Manager

Documents

Reports

Reports

Create New Report

Report Name	Status	Date Created	Date Delivered	
Leonard Family Quarterly Report	Complete	June 5, 2022	June 7, 2022	Download Report
Leonard Family Quarterly Report	Complete	March 2, 2022	March 5, 2022	Download Report
Leonard Family Quarterly Report	Complete	December 8, 2021	December 9, 2021	Download Report
Leonard Family Quarterly Report	Complete	September 8, 2021	September 9, 2021	Download Report

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[Status](#)

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Selecting the Create PDF button (upper righthand corner) will take advisors to the Create PDF page where they will see a complete list of all estate data Vanilla supports and can include in a report. Items that the advisor has provided the relevant information to view in the in-app experience will be selected by default, but the advisor can unselect items they do not wish to incorporate in the PDF report.

Home
 Logout
 Account
 Settings
 Help
 Feedback
 Legal
 Privacy
 Terms
 Contact
 Support
 Feedback
 Legal
 Privacy
 Terms
 Contact
 Support

Generate Report

1 Generate
2 Download

LIFE CIRCUMSTANCES

Before generating a new report, make sure your client's information is up-to-date and reflects their current life circumstances.

Review your Client's Estate Information now.

WHAT TO INCLUDE

What information would you like included in this report?

Basic Information
☒ Family Information
 ☒ Documents
 ☒ Accounts

☒ Emergency Contacts
 ☒ Life Insurance
 ☒ Digital Assets

☐ Personal Financial Planning
 ☐ Regular Assets
 ☐ Personal Tax

What opportunities would you like included in this report?

☐ **Private Foundation** NEW

A private foundation may be established to meet the family's philanthropic goals if the family wishes to be involved in managing the foundation.

☐ **Private Foundation** NEW

A private foundation may be established to meet the family's philanthropic goals if the family wishes to be involved in managing the foundation.

☐ **Changes in Life Circumstances** NEW

Some or all of the documents in this estate plan appear to have been drafted prior to a significant change in the Testator's life circumstances (such as a marriage, divorce, the birth of a child, or a significant increase in net worth).

Generate Report PDF

Back

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Once the advisor has selected the items they want to include in their client's estate report (or unselected items they wish to leave out) they will confirm their decision to generate a report and be redirected to the Reports landing page where they will see the new report at the top of the reports list. From here, the advisor can click Download Report to view.

Information in a report (listed in Create PDF view):

1. Family Information
2. Documents
3. Retirement Accounts and Annuities
4. Life Insurance
5. TOD/POD Accounts
6. Accounts and Ownership
7. Balance Sheet
8. Fiduciaries
9. Beneficiaries
10. Estate Overview
11. Estate Tax Overview
12. Estate Plan Diagram
13. Strategies
14. Milestones
15. Team
16. Assumptions
17. Estate Health Score
18. Opportunities

FAQs:

1. Who else will have access to this experience? Why? And what will they see?

Vanilla can configure the Estate Profile so Org Admins can access client data (this will be the most common config).

Vanilla Super Admins will also have the ability to view the the Estate Profile. And edits Vanilla makes to the client's in-app data will require approval by the advisor or the client. An example of approval is if the advisor requests a document extraction, a Vanilla WEPS would have access to Documentation, Document Extraction and Report Generation. Updates to all other client data (family info, financial, etc.) would require further approval from the advisor or client.

2. What data will Advisors see in the Client Legacy Profile?

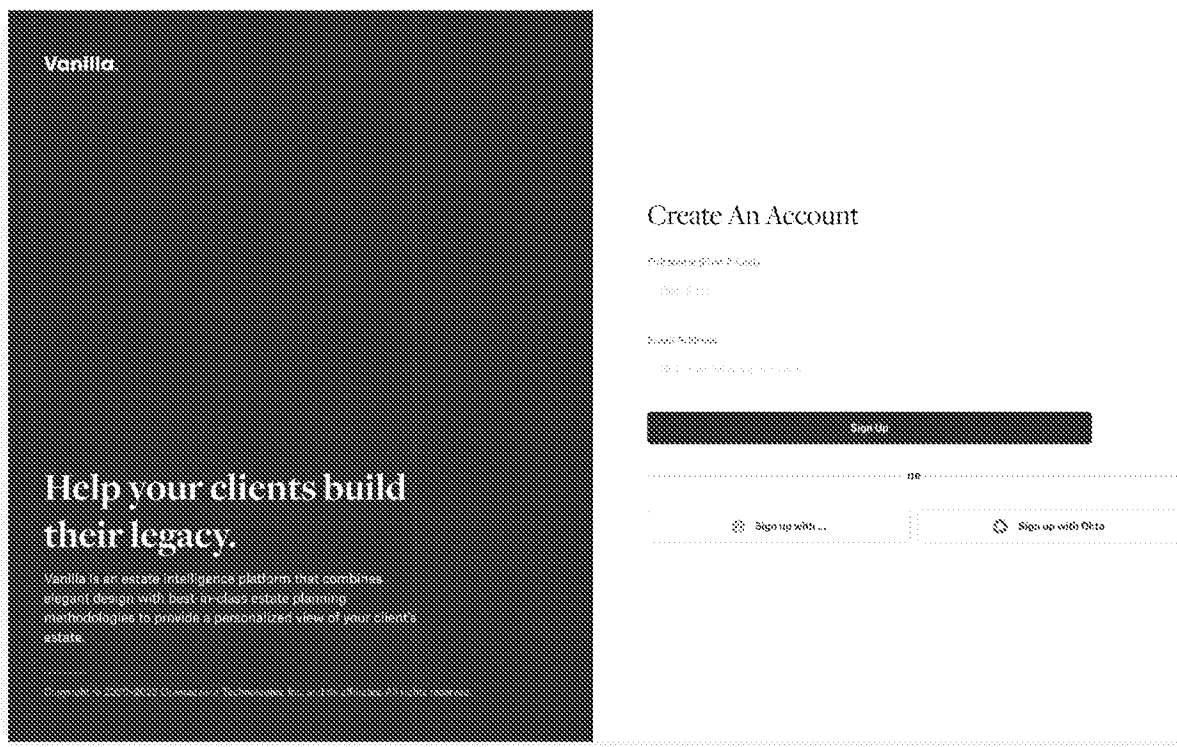
All data currently collected in client onboarding, review request and document extraction (WEPS flow) could be displayed in the client estate profile.

Family Information: first names, last names, birth dates, familial relationships, state of residence, marriage status

Document Information: document type, document execution date, state of situs,

Financial Information:

3. What's the Advisor experience before they can view the in app Client Legacy Profile?



Objective + Goals

- Advisor sets up MFA/2FA

- Advisor adds Name, Photo, Biography
- *Enable advisors to quickly add clients and learn how to use Vanilla*

User Flows/Prototypes

- First-run Experience
-

Advisor Dashboard

Once an advisor has onboarded, they are taken to their dashboard where they are encouraged to begin add clients, import clients, or view a client with sample information. The dashboard should push advisors to complete estate onboarding and see opportunities for clients. Advisor can navigate to the Client Legacy Profile from the Advisor Dashboard by clicking on the client name (estate name).

Objective + Goals

- See a list of clients and their next steps/opportunities
- Manage clients

Primary Client	Family Name	Email Address	Phone Number	Actions	Net Worth
Kiera Fleming				Onboard Client	\$--
Kuan-Yin Tan				Onboard Client	\$--
Douglas Lomard				Onboard Client	\$--
Eleanor Petus	The Petus Family	eleanorpetus77@gmail.com	(878) 515-0119	Onboard Client	\$5,847,528
Guilherme Gomes	The Howling Family	guilhermegomes@yahoo.com	(202) 575-0119	Onboard Client	\$6,343,013
Kristin Watson	The Watson Family	kristin.watson@gmail.com	(856) 580-0121	Onboard Client	\$1,025,061
Esther Howard	The Howard Family	estherhward@gmail.com	(208) 865-0194	Onboard Client	\$475,422
Keywon Simonsen	The Simonsen Family	ksimonsen@earthlink.net	(800) 636-0111	Onboard Client	\$5,446,081
Arlene McCoy	The McCoy Family	arlenemccoy@gmail.com	(858) 585-0121	Onboard Client	\$10,129,858

User Flows/Prototypes

- [Advisor Dashboard](#)
- [Add/Import Client\(s\)](#)

Client/Estate Onboarding (Data Submission)

When accessing the client's legacy profile for the first time, as a first step the advisor is prompted to complete a guided submission form to capture the minimum amount of information (**below**) necessary to populate their legacy profile, request a document review and generate a report.

Objective + Goals

- Gather Family Information, Legacy Goals, Financial Information, and Document Checklist from advisors to return an estate health score

- Enable the advisor the ability to choose between treating the user as a BASIC or ULTRA client
- Reduce user input error on adding information

NOTES

1. Need to choose basic vs ultra before entering financial information because BASIC will NOT have integrations and there are certain account types that are ULTRA only.

The screenshot shows a web application for 'Leon'. The top navigation bar includes the company logo and name, a user profile icon, and a 'Logout' button. Below the navigation bar is a breadcrumb trail. The main content area is titled 'Client Onboarding' and contains a paragraph of placeholder text. A sidebar on the left lists various navigation items. The form is divided into five steps, with the current step being 'Family Information'. The 'Family Information' section includes a title, a paragraph of placeholder text, and a section titled 'INFORMATION YOU WILL NEED' with links for 'Family Information', 'Logging guide', and 'Have information about estate planning documents?'. At the bottom, there are 'Previous' and 'Cancel' buttons.

4. What's the minimum data threshold for core experiences of doc extraction, report generation and in app client legacy profile?

Legacy Profile (in-app) The minimum threshold of data required to access a client's legacy profile is:	Generate Report The minimum threshold of data required to generate a report is:	Document Review The minimum threshold of data required to request a document review is:
Self-Serve/Advisor Input ● Family Information ● Legacy Goals ● Document Checklist ❖ Financials/Balance Sheet*** On a basic level, this will enable us to return an estate health score. Without the financial information, we return a limited amount of insight. The primary next action for an advisor in this state is to add financial information. *** Advisor has the option to skip adding financial information. If skipped, the primary next step/CTA/persistent messaging in application is to add financial information for this client.	Self-Serve/Advisor Input ● Family Information ● Legacy Goals ● Document Checklist ● Financials/Balance Sheet*** With the information above, we can generate a report that includes the following content: ● Family Information ● Estate Health Score/Overview ● Opportunities ● Document Checklist ● Advanced Strategies Additional content an advisor can include manually via the Estate Manager and WealthCenter: ● Financial Team ● T/POD ● Life Insurance ● Retirement Accounts/Annuities ● Milestones	Self-Serve/Advisor Input ● Family Information ● Legacy Goals ● Document Checklist ● Financials/Balance Sheet ● T/POD ● Retirement Accounts/Annuities ● Life Insurance ● Uploaded Documents With a document review, we can include the following information: ● Estate Plan ● Fiduciaries ● Beneficiaries/Waterfall

In the future, the minimum threshold of information required to access a client's legacy profile may change based on information provided about the client.

5. What's the minimum data requirement to generate an Estate Overview?

Minimum data required: Requires Financial Information to be completed.

Calculations:

Current Assets

Combined Family Assets = Everything owned by the clients and trusts + death benefits of life insurance

Assets Inside Taxable Estate = Combined Family Assets - Irrevocable Trusts

Assets Outside Taxable Estate = Irrevocable Trusts + 529s

Taxable Assets = Assets Inside Taxable Estate

State Estate/Inheritance Taxes

State Estate Tax

State Inheritance Tax

Federal Estate Taxes

Remaining Federal Lifetime Exemption =

DSUE =

Taxable Estate After State Estate Taxes and Exemptions =

Net to Heirs

Net Assets to Charity =

Net Assets to Heirs =

Net Assets from Outside Estate =

Net Assets from Inside Estate =

Document Extraction 2.0

Overview

We are reinventing the document extraction. When customers add Trust or Estate Document for an estate plan, they will be able to pick a disposition template from a predefined disposition template library, which will automatically provide them with distribution rules and a real-time visualization of the plan.

Terminologies

Disposition Template - A combination of distribution rules

Document - We consider trust and estate document as document in our codebase.

Requirements

1. Split screen layout and navigation with custom experiences
2. Template select state and components
3. Template data API that powers and interacts with viz and notes section (template option centralization)
4. Real time updating d3 visualization
5. Notes management
6. Dynamic forms
7. Fiduciaries

8. New trust types to data model and waterfall
9. Support division event more than just first spouse death and second spouse death
10. A structure before displaying possible disposition templates.

What exists

Frontend

1. To start document extraction flow, customers click on the **Add Document** button to create a new Trust or Estate Document.
2. Customers open the added document to fill in the detailed configurations. For the distribution after the first spouse dies and second spouse dies, customers need to pick the settings specific for different Trust or Estate Document types. Customers are able to add **Diagram Notes** from the predefined provision templates.

Backend

1. Trust, EstateDocument and DistributionRule mutation APIs.
2. GetWaterfall.
3. Functionality to add diagram note, trustee.
4. Currently we destroy the spousal pool when there is no spousal pool candidate in trust.rb callback functions.
5. GetWaterfall API that returns waterfall nodes and edges for the visualization at review level.
6. NoteAttributes already exist in the Trust and EstateDocument model, which could be used for custom notes. DiagramNote is currently the Provision field of Trust and EstateDocument.
7. BulkUpdate to handle separate trust shares update, we want to represent multiple separate trust shares in a single entity on the frontend, so updating this entity is actually bulk updating multiple distribution rules.

Proposed changes

Frontend

In-depth breakdown

Overlay

1. View a LayeredDiagram preview in a split view with our document extraction form for all Trust types and Wills
 - a. EstateDocuments (e.g. Trust Certification) will look the same
2. A util function that gives us which steps should be available based on the trust/doc kind and some estate information (married, and death assumption)
3. DocExtractForm page that uses above wrapper
 - a. Much of our state will live here
 - i. Currently-selected DispositionTemplate option lives here. It will be used to get the vizData with useDispositionTemplateVizData
 - ii. Current step also lives here. It's used to decide which of the "steps" (set of inputs) to render
 - b. Wizard component we can pass our list of steps and current step into

Form

1. Split up each "step" into their own components (set of inputs in a fragment)
 - a. "Document Details" is used for every trust/doc kind
 - b. "Fiduciaries" is only used for rev trusts
2. "First Death", "Second Death", and "Disposition" are all the same component
3. DispositionTemplateOptions (for DispositionInputs component)
 - a. Just take in a list of options and currently selected option as props
 - b. Render corresponding icon based on dispositionTemplateKind enum
 - c. Needs a CardButton component
4. DispositionDetails component allows us to add provisions specific to trusts or notes for the whole diagram
 - a. Display icon and badge (badge might be nixed)

Modals

5. AddDiagramNote (from DispositionDetails)
6. EditNote (from DispositionDetails)
7. AddCustomDistribution
8. AddSpecificBequest
9. QuickAdd(Person/Trust/Charity)

Visualization

10. Support for stacked nodes like in GST data viz
11. Support for custom division events
12. Should center visualization based on parent container width

Backend

1. New ***DispositionTemplate*** model and disposition template type enums.
2. New API that can return available disposition templates for a given Trust or Estate Document. For different documents, different contexts are required to get the disposition templates for different document types, e.g., **Structure** and **Division Event** are provided for *irrevocable trust*, **After First Death** or **After Second Death** is provided for *revocable trust*, **Disposition Of Remainder** is provided for *GRATs*.
3. A Trust or EstateDocument can have one disposition template.
4. A Trust or DistributionRule can belong to one disposition template.
5. DispositionTemplates will utilize ActiveRecord Single Table Inheritance for different disposition template types.
6. Creating a disposition template will create different sub-Trusts or DistributionRules in the ActiveRecord callback functions of each disposition template sub class.
7. Deleting a disposition template will delete all the sub-Trusts and DistributionRules created by this disposition in the ActiveRecord callback functions.
8. Customers can add custom distributions after selecting a disposition template from the template library, e.g., click on ***Add Specific Bequest*** button. And the custom distributions will be linked with the selected disposition template, so that they can be deleted when customers delete the disposition template.
9. Creating a Custom type disposition template doesn't create any sub-Trusts or DistributionRules automatically, then all the custom distributions created by the customer will be linked with this custom disposition template, so that all the custom sub trusts distribution rules could be deleted when customers delete this custom disposition template.
10. (***Optional***) For diagram visualization, currently we leverage the result from GetWaterfall, which is based on a review. To visualize a diagram for a Trust or EstateDocument, we need to return the diagram nodes or edges. GetWaterfall contains the logic to process a trust or estate document.
 - a. We could refactor waterfall logic so that the logic for trusts and estate documents can be exposed in API. We don't need to implement it for now, but might be better to consider other node types, e.g., financial accounts and life insurance.
 - b. A possible solution to avoid refactoring GetWaterfall and adding a new API is to still use GetWaterfall API, we need to get current document node from

GetWaterfall node list and then generate the whole diagram tree by traversing along the edges from the document node.

11. Add support for new trust types (Disclaimer Trust).
12. For existing trusts and estate documents with distribution rules and sub-trusts, we could backfill a custom type disposition template for them and the disposition template id for the distribution rules and sub-trusts. This would require change to existing logic to create a custom disposition template when the first sub-trust or distribution rule is created for a document in the current frontend, so that we don't need a second backfill migration when the new UI is turned on.

New Models

DispositionTemplate

Review_id

Estate_id

Document_id

Document_type - trust or estate document

Kind - OutrightToSpouse / MaritalTrust / ... or just int

Context - Json context for different document types (first spouse or second spouse for revocable trust, structure and division event for irrevocable trust, disposition of remainder for GRATs, etc.)

Change on Existing Models

DistributionRule

Disposition_template_id

Death - we will have more than just first death and second death, so we need to abstract the current death field to cover more scenarios. This new abstract field should be queryable.

Division_event -

```
{
  eventType: age_of_oldest_child,
  eventCondition: {
```

```

        type: "IS",
        value: "20"
    }
}

{
    eventType: specific_event,
    eventCondition: {
        type: "UPON",
        value: "Death of Dog"
    }
}

```

Trust

Disposition_template_id
 Display_gst_shares: boolean

DispositionTemplate CRUDL

GetWaterfall

1. Update Waterfall logic for new trust types.
2. Update Waterfall logic for Division Event.
3. Refactor GetWaterfall() to have type + id, and flag to process number or diagram or both.

Currently, we have three places that use Waterfall results.

1. EstateOverview and EstateTaxDetails in WEPS review page extract tax information from Waterfall result
2. Waterfall accordion extracts waterfall table from Waterfall result.
3. EstatePlanVisualization accordion render plan visualization from Waterfall result.

So we could split the current Waterfall API into at least two APIs, one for Waterfall number calculation and the other one for Waterfall visualization, which will be able to move the complex logic to extract information from Waterfall API from frontend into backend.

Isolate waterfall diagram logic from number calculation

1. Waterfall API to return number calculation could return waterfall data results directly as ImpactOfPlanning in GetStrategy API.
2. Waterfall API to return visualization diagrams could return nodes and edges directly.

Isolate waterfall logic for document level

Currently, we build a waterfall result by adding nodes to a queue and then traverse the estate plan tree in BFS. By refactoring how initial nodes are added to the processing queue, we should be able to get Waterfall results from any meaningful node (e.g., trust, estate document, financial account, life insurance).

Waterfall Refactor

Overview

Our current Waterfall service taxes distributions and nodes as it's being run based on document order and taxability. Moving forward we need to support the concept of "apportionment" which allows us to specify where tax comes from rather than taxing as we go.

Terminology

1. Waterfall -
2. Waterfall Node - a waterfall node represents where the money is from and to
3. Waterfall Edge - a waterfall edge connects two waterfall nodes.

Assumptions

Requirements

1. Customers are able to have control on how tax exemptions are used and how taxes are paid. Tax can be paid by using money from different accounts or different portions in the same account. Current waterfall logic is using tax exemption for waterfall nodes that come first, so although the final total amount is correct, the final leaf node amount might not be what customers wanted.
2. Customers are able to choose to not specify any tax pay, which will fall back to utilize the tax exemption in current waterfall logic.
3. Waterfall calculation is expensive and should be done in asynchronous worker components.
4. Currently the frontend code generates unique Ids for waterfall nodes and edges, such logic should be done in the backend.

Tenets

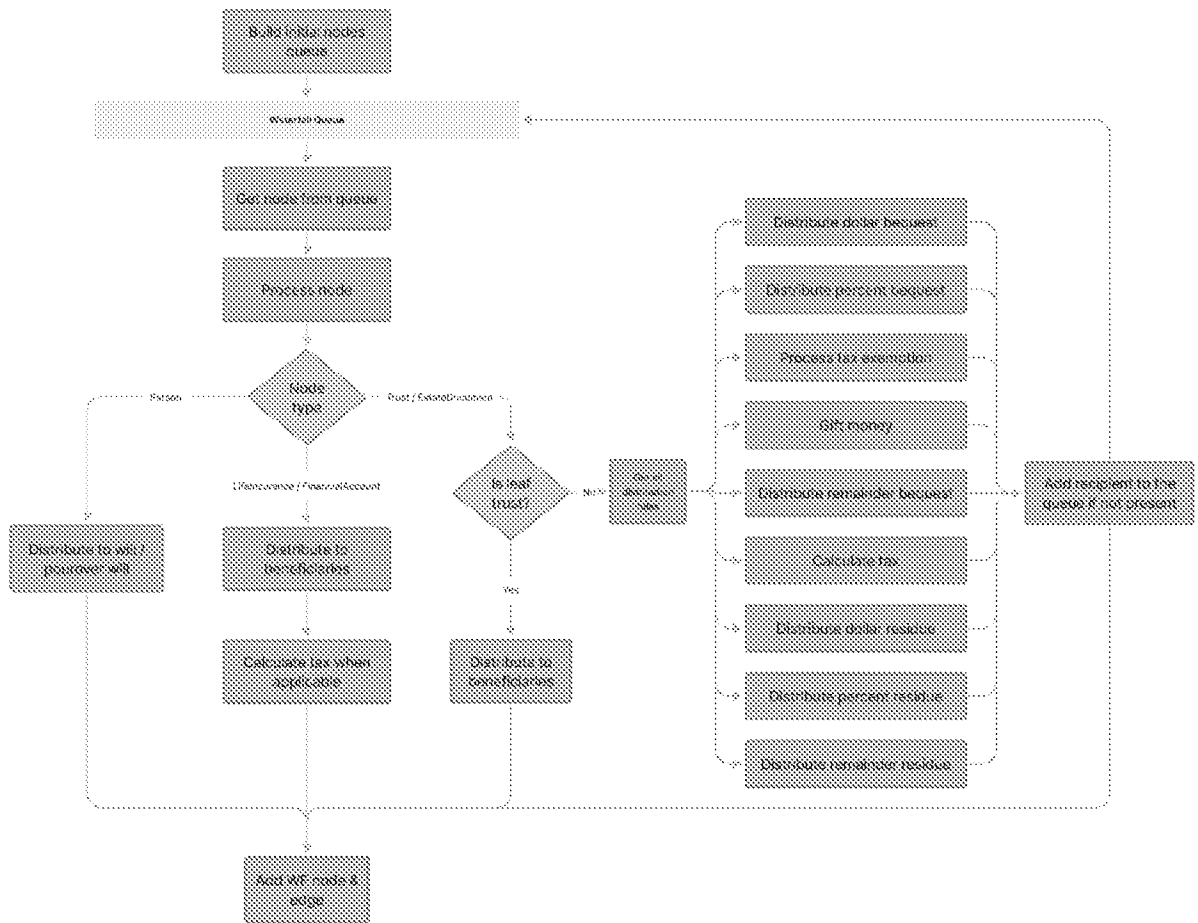
1. Code implementation should be object oriented if possible.

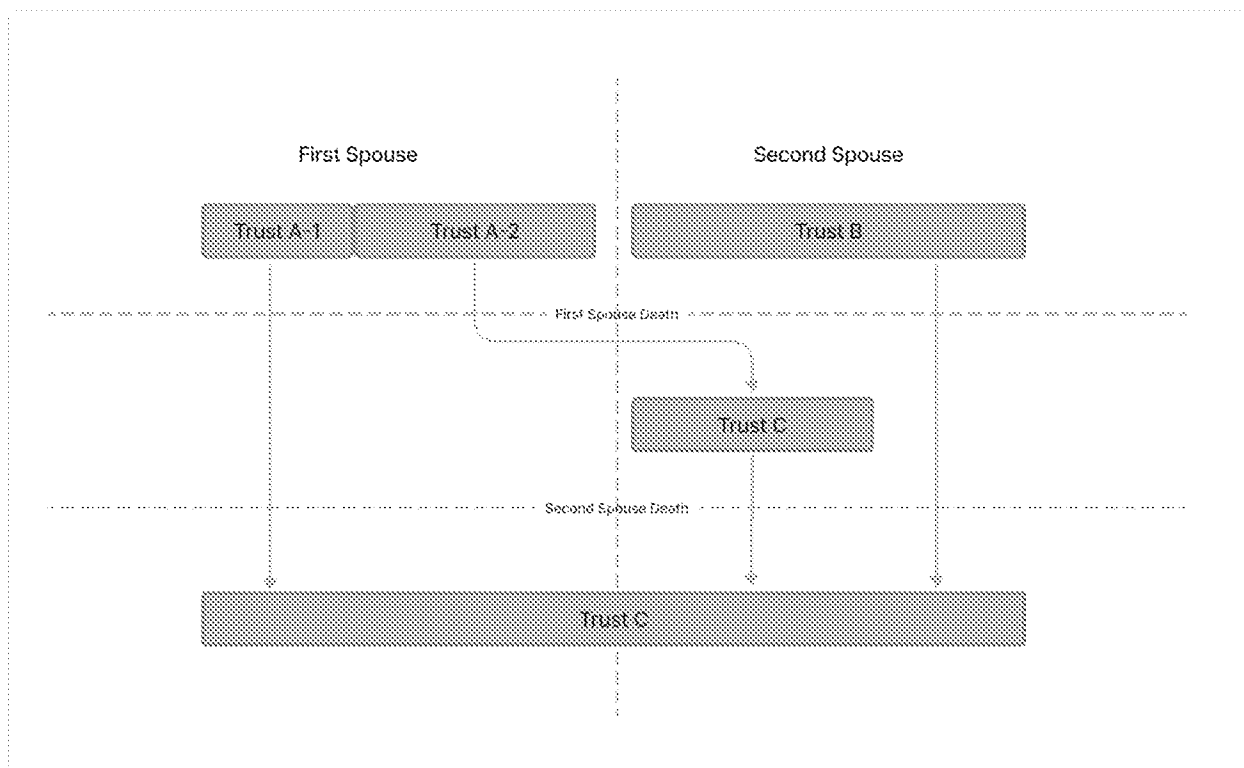
Milestones

1. Waterfall 2.0 supports all the functionalities in waterfall 1.0 in the backend.
2. Frontend UI switch to waterfall 2.0 endpoint.
3. Waterfall backend supports setting tax apportionment.
4. Waterfall frontend UI supports setting tax apportionment.
5. Waterfall 2.0 worker is up and running, the waterfall result gets auto updated when there is change in the review.

What exists

Current Flow





Frontend

Backend

Models

Currently we calculate waterfall nodes and edges on the fly, there is no DB table for waterfall.
 getWaterfall(review:) returns

```
review(id: $reviewId) {
  waterfall {
    nodes {
      death
      amount
      model {
```

```

        ...nodeModelFragment
    }
}
edges {
    death
    amount
    model {
        ...edgeModelFragment
    }
}
taxes {
    combinedNetWorth
    combinedRemainingExemption
    fedTaxableEstate
    insideAssets
    outsideAssets
    netAssetsToCharity
    federalTaxRate
    stateEstateTax
}
firstDeathSnapshot {
    nodes {
        amount
        currentAmount
        death
        model {
            ...nodeModelFragment
        }
    }
    edges {
        amount
        death
        model {
            ...edgeModelFragment
        }
    }
}
}
}

```

Proposed changes

Frontend

1. Customers are able to see the taxability and apportionment of each waterfall node and edge.
2. Customers are able to specify where the tax gets paid from (a waterfall node or tax exemption)
3. Since we are unique Ids for everything in the waterfall visualization UI including waterfall_node, waterfall_edge, waterfall_tax_apportionment, we could make the graph editable and customers can update the tax apportionment in the graph directly. They can also just click on the node, edge and tax to view the details.

Backend

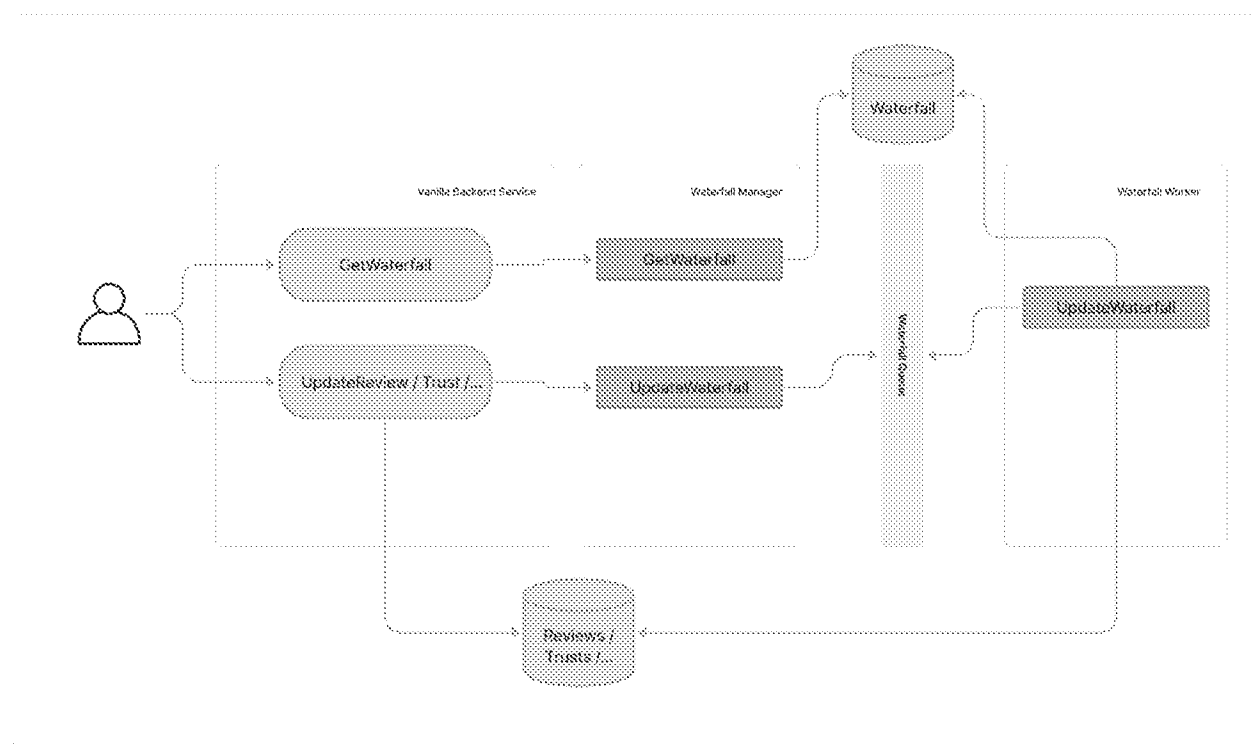


Table Schemas

Waterfall

review_id
Estate_id
waterfall_result

Waterfall_node

Waterfall_id
kind
waterfall_node_ref_id
Waterfall_node_ref_type (Person / LifeInsurance / FinancialAccount / Trust / TrustDoc)
amount
StateTaxability
FederalTaxability
death

Waterfall_edge

Waterfall_id
kind
waterfall_edge_ref_id
Waterfall_edge_ref_type (DistributionRule / Beneficiary)
from_node_id
To_node_id
amount
StateTaxability
FederalTaxability
death

Waterfall_tax_apportionment

waterfall_id
waterfall_taxable_id
waterfall_taxable_type (:waterfall_node / :waterfall_edge)
Source (:waterfall_node)

Amount

Kind: :state/:federal

Update: Tax_apportionment can be combined with waterfall_edge, they are two types.

Models

WaterfallNode

Boolean: isTaxable?

Decimal: getAmount()

Decimal: getTaxability()

Hash(Node => Decimal): getTaxApportionment()

WaterfallEdge[]: getOutEdges(death:)

WaterfallEdge[]: getInEdges()

Json: render()

PersonWaterfallNode < WaterfallNode

LifeInsuranceWaterfallNode < WaterfallNode

FinancialAccountWaterfallNode < WaterfallNode

TrustWaterfallNode < WaterfallNode

TrustDocumentWaterfallNode < WaterfallNode

TaxExemptionWaterfallNode < WaterfallNode

WaterfallEdge

Boolean: isTaxable?

Decimal: getAmount()

Decimal: getTaxability()

Hash(Node => Decimal): getTaxApportionment()

Json: render()

DistributionRuleWaterfallEdge < WaterfallEdge

BeneficiaryWaterfallEdge < WaterfallEdge

API

GetWaterfall(review_id)

This API returns the waterfall result for a given review.

WaterfallResult

```
{
  nodes: [
    {
      death:,
      amount:,
      name:,
      kind:,
      state_taxability:,
      federal_taxability:,
      context: Json
    }
  ],
  edges: [
    {
      death:,
      amount:,
      name:,
      kind:,
      from:,
      to:,
      state_taxability:,
      federal_taxability:,
      context: Json
    }
  ],
  tax_apportionments: [
    {
      to: node.name or edge.name,
      from: node.name,
      amount:,
      kind:
    }
  ],
  taxes: {
```

```

combined_remaining_exemption:,
federal_tax_rate:,
state_estate_tax:,
net_assets_to_charity:,
inside_assets:,
outside_assets:,
combined_net_worth:,
fed_taxable_estate:
}
}

```

RefreshWaterfall(review_id)

This API will rebuild the waterfall tree.

SetWaterfallTaxApportionment(target: {type, id}, amount, source: {type, id})

This API allows customers to set the tax apportionment from a source to a target waterfall node or edge. It will reduce the amount of money from the source node to pay the tax of the target.

DeleteWaterfallTaxApportionment(id:)

This API allows customers to delete a waterfall tax apportionment.

Background jobs

1. Waterfall should be refreshed when a review or its related documents are changed.
2. Scheduled anti-entropy task for each waterfall.

Flows

Building Waterfall

1. *WaterfallManager* has one queue for waterfall_nodes to process and one queue for waterfall_edges to process.
2. *WaterfallManager* queries all the initial documents, trusts or accounts that are valid waterfall_node, then *WaterfallNodeFactory* creates waterfall_node records based on their type. Initial waterfall_nodes are put into the waterfall_node queue.
3. For each waterfall node in the queue, get their out edges, which are like distribution rules and beneficiaries, and create waterfall_edge records based on their type. Those waterfall_edges are put into the waterfall_edge queue.

4. While the waterfall_node and waterfall_edge queues are not empty, we keep iterating items in the queues to build the waterfall tree in a BFS way.
5. Next is the tax apportionment. Tax exemption is also waterfall_node. When there is no tax apportionment customer override specified, we will be using the default tax apportionment, which is utilizing tax exemption as early and as much as possible, tax of the node will be paid with the money in the same node. During tax apportionment update, the actual money amount left in each node will also be updated.

Updating Waterfall

To avoid reading the waterfall result when the waterfall tree is still building or updating, we should store the waterfall result as Json in the waterfall table.

Since the waterfall node and edge have reference to other tables, when those table records get updated or deleted, Active Record callback functions will also update the waterfall node, edge and tax table accordingly. After we have the waterfall asynchronous worker working, waterfall tables update can be done in the worker.

There will also be an endpoint to completely rebuild the waterfall tree.

We could add an anti-entropy worker task for each waterfall.

PDF Generation

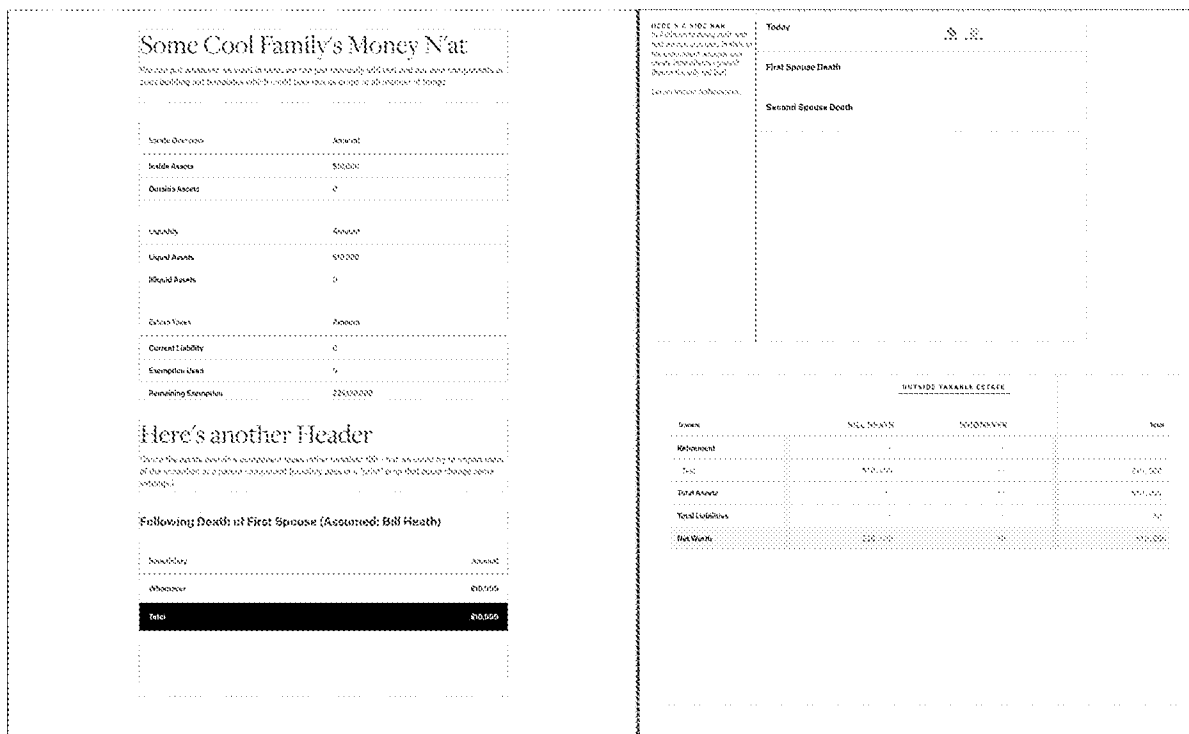
Investigation:

Overview:

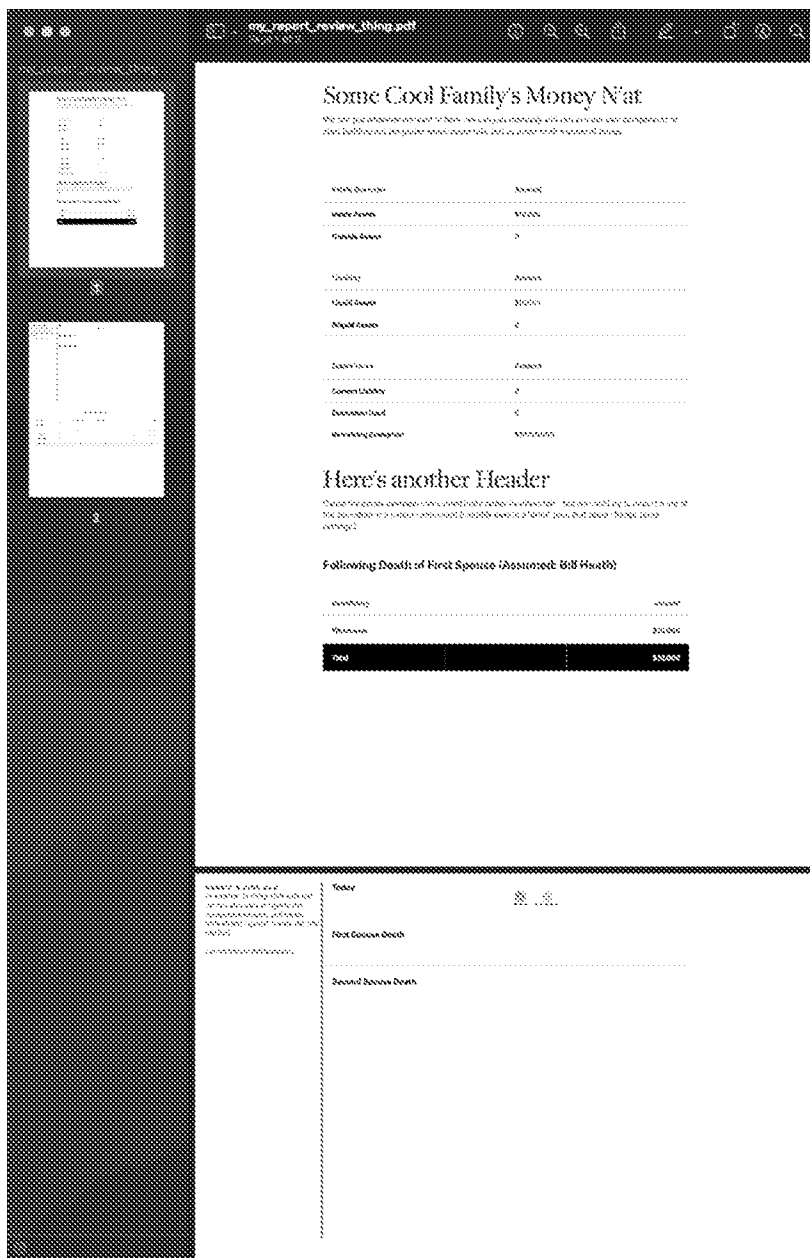
We would like to export various parts of the contents of our in-app experience to PDFs and ultimately be able to generate reports for customers automatically.

Initial Experiment:

Using a combination of tools I was able to generate an endpoint in the app locally with some predefined content that looked like this:



Afterward, I built a tiny nodeJS app that could launch puppeteer travel to the endpoint in headless chrome and take a snapshot and save it as a PDF which resulted in the following:



How it Works:

- 1.) To accomplish this I introduced a number of styled components including a “page” component which maintains a 8.5/11 ratio as the window is resized and a “page-object” which is a component wrapper which positions the component on x/y coordinates (we represent the page as a grid of 34/44) and a height and width using the same scale representing the space to fit the content inside of. The page is listening for resize changes and as the width of the page adjusts we map through and clone the pages children passing in new adjusted size props (think $\text{windowWidth} / 34 * \text{coordinateValue}$) into the

components style. This gives us a responsive paper-like layout that translates easily into standard pdf/printing conventions.

- 2.) To actually render content we pass a layout or JS object into the page component (see example). Each page is an object within an array which has a collection of other page objects - each of which has a layout property (where coordinates and sizes are passed in) as well as component (where we can pass in our various in-app content components or simply divs/typography/aether components to render text or eventually even additional templates we might allow a user to customize.) We pass this through to a build pages/build page objects functions and render the results as our page components.
- 3.) Lastly we can convert the results into a pdf with an incredibly simple node js application which runs puppeteer:

```
const puppeteer = require("puppeteer");

(async () => {
  const browser = await puppeteer.launch({
    defaultViewport: {
      width: 1133,
      height: 1467
    }
  }); // launch a browser (chromium by default but you can choose another one)
  const page = await browser.newPage(); // open a page in the browser
  await page.goto("http://localhost:3000/", {
    waitUntil: "networkidle2",
  }); // hit initial page and wait till page is loaded

  // navigates through login
  await page.type('.cy--login-email', 'foo@bar.com');
  await page.type('.cy--login-password', 'passw0rd');
  await page.click('.cy--login-submit');
  await page.waitForNavigation();

  await page.goto("http://localhost:3000/2/cumb-test", {
    waitUntil: "networkidle0",
  }); // visit the printable version of your page and wait till page is loaded
  (stricter check)

  await page.pdf({ width: 1133, height: 1467, path:
    './my_report_review_thing.pdf', scale: 1, printBackground: true }); // generate
  the PDF 📄
  await browser.close(); // don't forget to close the browser. Otherwise, it may
```

```
cause performance issues or the server may even crash...
})();
```

And then you get pages with our components on them as a printable PDF!

How It Could Work:

- 1.) A user who is however authorized to make these pdf-reports can either select the various items they want from the estate review or from modal. They can also select a sort of “template” pre-defined by our designers which would likely be determined by components they selected or we can simply offer them different templates that utilize various components they have and skip the initial step entirely. (We could also genuinely give them the ability to position and size these items ourselves - as I’ve mocked things like this before, but it’s been suggested that we want to keep design in house and prevent users from creating ugly documents.) We’d programmatically based on the templates and components build out the object described above and render it within our page components.
- 2.) At this point we need to host the item somewhere - it could be a specific user/estate/org based end point - or we might want to render these reports statically and host them somewhere else - both come with their own set of concerns.
- 3.) We might give a user the option to look at their report in a web view (or not - but it’s worth noting that this approach does actually give us the option to create interactive web documents that are clickable (think sorting columns or selecting/highlighting/focusing parts of a d3 image) but still have an initial view that converts to pdf elegantly.) They can then approve the design and click a “confirm” button which would launch a background process that generates the pdf from our lambda app and then emails the results to them (or whomever.)

There are a few things we could attempt to do:

- 1.) As we moved towards having a library of styled components we could make use of print media queries and give our various designs and typographies window based sizing (using em/rem/vw rather than traditional px based) style properties. This would certainly handle anything that is basically just text. (Note I’m currently using print media queries to remove the dotted guidelines when creating the pdf)
- 2.) Components that we want to support in these pdfs probably should also have a boolean print property which we can activate when passing them into our final configuration object. This would allow us to conditionally add/change/remove a number of things (I did

this on the “Outside Taxable Estate” table to remove various buttons that didn’t belong in a report.

PDF Generation & Hosting:

- 1.) Sizing will need some tweaking - currently I’m passing in a window size for both the headless chrome and the pdf generation (for whatever reason using letter formatting on the pdf end doesn’t seem to work quite right.) We will probably need to test (and actually print) some things to make sure that our documents are actually sized/printed correctly.
- 2.) We need an approach for actually hosting the lambda function, running it asynchronously, and distributing the results.
- 3.) A lot of these components rely on async api calls and can only be done whilst an authorized user is logged in. Currently to make our lambda work and get access to the data headless chrome has to navigate through the initial login page enter an admin email/password and then navigate to the actual page end point. It then uses some of the library’s pre-built functionality to wait until the page has fully “finished” loading. Currently this seems like it is working pretty well and something we expand on the functionality of, but it’s still a potential concern we should consider moving forward.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1 st Named Inventor:	Amjad Hussain	)	Examiner:	Not Yet Assigned
		)		
Serial Number:	63/603,895	)	Group Art Unit:	Not Yet Assigned
		)		
Filed:	November 29, 2023	)	Customer Number:	22827
		)		
Confirmation No.:	8047	)	Deposit Account:	04-1403
		)		
Title:	Estate Planning System	)	Docket Number:	VANL-100-P
		)		

REQUEST FOR CORRECTED FILING RECEIPT

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

Dear Sir:

Applicant respectfully requests to update the second inventor's last name from "Yadui" to "Yagui". A Corrected Application Data Sheet showing the correction has been included.

Please correct corresponding Office records and issue a corrected Filing Receipt.

The Commissioner is encouraged to contact the undersigned at his/her convenience should he/she have any questions regarding this application and to resolve any issues.

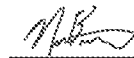
Please charge any additional fees required by this Request to Deposit Account No. 04-1403.

Respectfully submitted,

DORITY & MANNING, P.A.

December 4, 2023

Date



Neil M. Batavia

Registration Number: 54,599

I hereby certify that this paper and all attachments and any fee are being transmitted via the internet to the U.S. Patent and Trademark Office via the Electronic Filing System on:

DATE: December 4, 2023

NAME: Mary B. Miller

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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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	63/603895
Title of Invention	Estate Planning System		
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		
	Amjad		Hussain			
Residence Information (Select One) ☒ US Residency ☐ Non US Residency ☐ Active US Military Service						
City	Newcastle	State/Province	WA	Country of Residence	US	
Mailing Address of Inventor:						
Address 1	c/o Vanilla Technologies Inc.					
Address 2	310 South Main St., 10th Floor					
City	Salt Lake City		State/Province	UT		
Postal Code	84101		Country	US		
Inventor 2					Remove	
Legal Name						
Prefix	Given Name	Middle Name	Family Name	Suffix		
	Kei	Daniel	Yadui Yasui			
Residence Information (Select One) ☒ US Residency ☐ Non US Residency ☐ Active US Military Service						
City	Los Angeles	State/Province	CA	Country of Residence	US	
Mailing Address of Inventor:						
Address 1	c/o Vanilla Technologies Inc.					
Address 2	310 South Main St., 10th Floor					
City	Salt Lake City		State/Province	UT		
Postal Code	84101		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).

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

☐ An Address is being provided for the correspondence information of this application.

Customer Number	22827		
Email Address	usdocketing@dority-manning.com	Add Email	Remove Email

Application Information:

Title of the Invention	Estate Planning System		
Attorney Docket Number	VANL-100-P	Small Entity Status Claimed	☒
Application Type	Provisional		
Subject Matter	Utility		
Total Number of Drawing Sheets (if any)	2	Suggested Figure for Publication (if any)	

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	22827		

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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			Remove
Application Number	Continuity Type	Prior Application Number	Filing or 371(c) Date (YYYY-MM-DD)

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

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)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).

Application Number	Country ⁱ	Filing Date (YYYY-MM-DD)	Remove
			Access Code ⁱ (if applicable)

Additional Foreign Priority Data may be generated within this form by selecting the **Add** button.

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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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			
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	
☐ Person to whom the inventor is obligated to assign.		☐ Joint Inventor	
☐ 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	Vanilla Technologies Inc.		
Mailing Address Information For Applicant:			
Address 1	310 South Main St.		
Address 2	10th Floor		
City	Salt Lake City	State/Province	UT
Country	US	Postal Code	84101
Phone Number		Fax Number	
Email Address			
Additional Applicant Data may be generated within this form by selecting the Add button.			

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.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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.

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

Prefix	Given Name	Middle Name	Family Name	Suffix

Mailing Address Information For Assignee including Non-Applicant Assignee:

Address 1			
Address 2			
City		State/Province	
Country		Postal Code	
Phone Number		Fax Number	
Email Address			

Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button.

Signature:

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			Date (YYYY-MM-DD)	2023-12-04	
First Name	Neil M.	Last Name	Batavia	Registration Number	54,599

Additional Signature may be generated within this form by selecting the Add button.

Application Data Sheet 37 CFR 1.76		Attorney Docket Number	VANL-100-P
		Application Number	
Title of Invention	Estate Planning System		

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.**

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.



UNITED STATES
PATENT AND TRADEMARK OFFICE

P.O. Box 1450
Alexandria, VA 22313 - 1450
www.uspto.gov

ELECTRONIC PAYMENT RECEIPT

APPLICATION #
63/603,895

RECEIPT DATE / TIME
12/04/2023 09:06:10 AM Z ET

ATTORNEY DOCKET #
VANL-100-P

Title of Invention

Estate Planning System

Application Information

APPLICATION TYPE Utility - Provisional Application under
35 USC 111(b)

PATENT # -

CONFIRMATION # 8047

FILED BY Mary Miller

PATENT CENTER # 63469873

AUTHORIZED BY Neil Batavia

CUSTOMER # 22827

FILING DATE -

CORRESPONDENCE
ADDRESS -

FIRST NAMED
INVENTOR Amjad Hussain

Payment Information

PAYMENT METHOD
CARD / 8583

PAYMENT TRANSACTION ID
E2023B4007038808

PAYMENT AUTHORIZED BY
Mary Miller

FEE CODE	DESCRIPTION	ITEM PRICE(\$)	QUANTITY	ITEM TOTAL(\$)
2607	PROCESSING FEE FOR PROVISIONAL APPLICATIONS	50.00	1	50.00
TOTAL AMOUNT:				\$50.00

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 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.

TRANSMITTAL FOR POWER OF ATTORNEY TO ONE OR MORE REGISTERED PRACTITIONERS

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	63/603895
Filing Date	November 29, 2023
First Named Inventor	Amjad Hussain
Title	Estate Planning System
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	VANL-100-P

SIGNATURE of Applicant or Patent Practitioner

Signature		Date (Optional)	December 4, 2023
Name	Neil M. Batavia	Registration Number	54,599
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.**

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

(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:

22827

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.)

Please recognize or change the correspondence address for the application identified in the attached transmittal letter or the boxes above to:



The address associated with the above-mentioned Customer Number

OR



The address associated with Customer Number:

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):

Vanilla Technologies Inc.



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 name is supplied below) is authorized to act on behalf of the applicant (e.g., where the applicant is a juristic entity).

Signature

Karen Nachbar

Date (Optional)

11/30/2023

Name

Karen Nachbar

Title

General Counsel

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 1 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.**

Exhibit 1002 Page 198
If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



ELECTRONIC ACKNOWLEDGEMENT RECEIPT

APPLICATION #
63/603,895

RECEIPT DATE / TIME
12/04/2023 09:06:10 AM Z ET

ATTORNEY DOCKET #
VANL-100-P

Title of Invention

Estate Planning System

Application Information

APPLICATION TYPE Utility - Provisional Application under
35 USC 111(b)

PATENT # -

CONFIRMATION # 8047

FILED BY Mary Miller

PATENT CENTER # 63469873

FILING DATE -

CUSTOMER # 22827

FIRST NAMED
INVENTOR Amjad Hussain

CORRESPONDENCE
ADDRESS -

AUTHORIZED BY Neil Batavia

Documents

TOTAL DOCUMENTS: 3

DOCUMENT	PAGES	DESCRIPTION	SIZE (KB)
VANL-100- P_POA_04DEC2023.pdf	2	Power of Attorney	1039 KB
VANL-100- P_RequestforCFR_04DEC20 23.pdf	9	-	6507 KB
VANL-100- P_RequestforCFR_04DEC2 023-CFILE.pdf	(1-1) 1	Request for Corrected Filing Receipt	142 KB
VANL-100- P_RequestforCFR_04DEC2 023-ADS.pdf	(2-9) 8	Application Data Sheet	6363 KB

Digest

DOCUMENT	MESSAGE DIGEST(SHA-512)
VANL-100- P_POA_04DEC2023.pdf	A35BEE84AD4B391358B4C8843403F0363BA02FD403C557588F A51095349ECC1FCC001FD15CE6B4664ADCEC7CCBBCDC839 53AFBA28689513FB4BE110A43A69B8F
VANL-100- P_RequestforCFR_04DEC2023 .pdf	C3C60B7778EED68653AD1CB67E52CE1883C12C01C0E9CC8B 6919014B0EF81DEDA647A341CDD8E9174062E3C48D8BDFF10 75790165A8101616B475D4E3F755135
VANL-100- P_RequestforCFR_04DEC2023 -CFILE.pdf	DB12B1B36036F5532E09C01D1D5BC24DE1FB2F9862287EFE4 B5CFD32C98C13732CD1BC5C9FA63372FC9B4CA75C3548563 67B1F6BCD3D2CF11A8473F93D050F69
VANL-100- P_RequestforCFR_04DEC2023 -ADS.pdf	DB93790182FA1A35925865CEEE08E21F8F6092E1EAE8147863 33A79B071AEDFF7C34DFE0680ACD8193A8DD6B86A511BBB8 AECF3C20488E0DFC81618A91F5628E

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 filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

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

New International Application Filed with the USPTO as a Receiving Office

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



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
63/603,895	11/29/2023		120	VANL-100-P		

22827
DORITY & MANNING, P.A.
POST OFFICE BOX 1449
GREENVILLE, SC 29602-1449

CONFIRMATION NO. 8047

FILING RECEIPT



0000000066823582

Date Mailed: 01/11/2024

Receipt is acknowledged of this provisional patent application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF FIRST INVENTOR, 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 corrected Filing Receipt identifying the requested changes, preferably by including a properly marked-up ADS showing the changes with strike-through for deletions and underlining for additions. If you received a "Notice to File Missing Parts" or other Notice requiring a response for this application, please submit any request for correction 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 provided that the request is grantable.

Inventor(s)

Amjad Hussain, Newcastle, WA;
Kei Daniel Yasui, Los Angeles, CA;

Applicant(s)

Vanilla Technologies Inc., Salt Lake City, UT;

Power of Attorney: The patent practitioners associated with Customer Number 22827

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: 01/10/2024

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 63/603,895**

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

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Estate Planning System

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 Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

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Derrick Brent

Deputy Under Secretary of Commerce for Intellectual Property and
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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
63/603,895	11/29/2023		120	VANL-100-P		

22827
DORITY & MANNING, P.A.
POST OFFICE BOX 1449
GREENVILLE, SC 29602-1449

CONFIRMATION NO. 8047
UPDATED FILING RECEIPT



0000000066823655

Date Mailed: 01/11/2024

Receipt is acknowledged of this provisional patent application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF FIRST INVENTOR, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection.

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Inventor(s)

Amjad Hussain, Newcastle, WA;
Kei Daniel Yasui, Los Angeles, CA;

Applicant(s)

Vanilla Technologies Inc., Salt Lake City, UT;

Power of Attorney: The patent practitioners associated with Customer Number 22827

Permission to Access Application via Priority Document Exchange: Yes

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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: 01/10/2024

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 63/603,895**

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

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Estate Planning System

Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications: No

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Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
63/603,895	11/29/2023	Amjad Hussain	VANL-100-P

CONFIRMATION NO. 8047

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37 CFR 1.48(d)
ACKNOWLEDGEMENT LETTER



OC000000066823652

Date Mailed: 01/11/2024

NOTICE OF ACCEPTANCE OF REQUEST UNDER 37 CFR 1.48(d)

This is in response to the applicant's request under 37 CFR 1.48(d) submitted on 12/04/2023.

">The request under 37 CFR 1.48(d) to correct the inventorship, to correct or update the name of an inventor, or to correct the order of names of joint inventors is accepted.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at (571) 272-4000 or (571) 272-4200 or 1-888-786-0101.

/amanalac/