



US007958024B2

(12) **United States Patent**  
**Chao et al.**

(10) **Patent No.:** **US 7,958,024 B2**  
(45) **Date of Patent:** **Jun. 7, 2011**

(54) **METHOD AND APPARATUS FOR PROCESSING SALES TRANSACTION DATA**

(75) Inventors: **David Chao**, Austin, TX (US); **Brian Blount**, Austin, TX (US); **Joshua Toub**, Austin, TX (US); **Shari Gharavy**, Austin, TX (US); **Cheng Zhou**, Austin, TX (US); **Charles Erickson**, Cedar Park, TX (US)

(73) Assignee: **Versata Development Group, Inc.**, Austin, TX (US)

(\* ) Notice: Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 1428 days.

(21) Appl. No.: **09/810,012**

(22) Filed: **Mar. 15, 2001**

(65) **Prior Publication Data**

US 2002/0188535 A1 Dec. 12, 2002

(51) **Int. Cl.**  
**G06Q 40/00** (2006.01)

(52) **U.S. Cl.** ..... **705/35; 705/40**

(58) **Field of Classification Search** ..... **705/35, 705/39, 40, 38**

See application file for complete search history.

(56) **References Cited**

**U.S. PATENT DOCUMENTS**

4,825,360 A	4/1989	Knight, Jr. ....	364/200
5,181,162 A	1/1993	Smith et al. ....	715/530
5,337,263 A	8/1994	Paternaster	
5,369,732 A	11/1994	Lynch et al.	
5,446,653 A	8/1995	Miller et al.	
5,483,444 A	1/1996	Heintzeman et al. ....	364/401
5,515,524 A	5/1996	Lynch et al.	
5,692,206 A	11/1997	Shirley et al.	
5,708,798 A	1/1998	Lynch et al.	

5,732,263 A	3/1998	Havens et al.	
5,790,677 A	8/1998	Fox et al. ....	705/78
5,825,651 A	10/1998	Gupta et al.	
5,832,268 A	11/1998	Anderson et al.	
5,864,620 A	1/1999	Pettit .....	705/54
5,878,400 A	3/1999	Carter, III	

(Continued)

**FOREIGN PATENT DOCUMENTS**

EP 0817017 A2 1/1998

(Continued)

**OTHER PUBLICATIONS**

Sales misconduct may spark 'excessive' new regs Frederick schmitt. National Underwriter. (Life, health/financial services ed.). Erlanger: Mar. 24, 1997. vol. 101, Iss. 12; p. 29, 1 pgs.\*

(Continued)

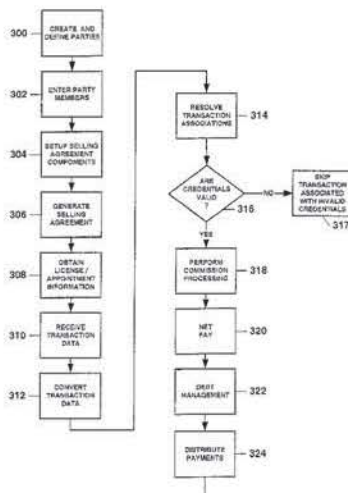
*Primary Examiner* — Lalita M Hamilton

(74) *Attorney, Agent, or Firm* — Hamilton & Terrille, LLP; Kent B. Chambers

(57) **ABSTRACT**

A system provides a way to manage agreements that institutions such as financial services companies have with distributors who sell their products. Each distributor has a plurality of sales representatives that earn commissions for selling such products. The commissions earned and any other constraints imposed on the sales representatives may be defined within a selling agreement. The system can generate each selling agreement utilizing a set of components representative of the type of agreement formed between the institutions and the distributor. The components of each selling agreement contain an associated rule set that enables a configuration engine to generate an appropriate document. The system also contains a set of regulatory conditions for each sale made by the sales representatives. The system may be utilized to process sales transaction data to ensure that selling agreement terms are followed and that regulations for each sale are satisfied.

**47 Claims, 8 Drawing Sheets**



Callidus Ex. 1001  
CBM2013-00053  
(Callidus v. Versata)

## U.S. PATENT DOCUMENTS

6,002,854	A	12/1999	Lynch et al.	
6,055,637	A	4/2000	Hudson et al.	726/20
6,065,026	A	5/2000	Cornelia et al.	715/531
6,105,001	A	8/2000	Masi et al.	705/14
6,128,603	A	10/2000	Dent et al.	
6,134,533	A	10/2000	Shell	705/26
6,157,922	A	12/2000	Vaughan	
6,182,095	B1	1/2001	Leymaster et al.	
6,275,871	B1	8/2001	Reinfelder et al.	709/328
6,351,738	B1	2/2002	Clark	
6,351,812	B1	2/2002	Datar et al.	713/182
6,377,956	B1	4/2002	Hsu et al.	707/104.1
6,405,308	B1	6/2002	Gupta et al.	
6,415,265	B1	7/2002	Shell et al.	705/26
6,446,057	B1	9/2002	Vaughan	
6,470,318	B1	10/2002	Coakley	
6,473,609	B1	10/2002	Schwartz et al.	455/406
6,477,533	B2	11/2002	Schiff et al.	707/10
6,510,513	B1	1/2003	Danieli	713/156
6,553,350	B2	4/2003	Carter, III	
6,594,633	B1	7/2003	Broerman	705/1
6,606,744	B1	8/2003	Mikurak	717/174
6,618,706	B1	9/2003	Rive et al.	705/30
6,629,153	B1	9/2003	Gupta et al.	
6,636,852	B2	10/2003	Gozdeck et al.	707/9
6,662,164	B1	12/2003	Koppelman et al.	705/14
6,671,818	B1	12/2003	Mikurak	714/4
6,682,571	B2	1/2004	Kunitou et al.	705/4
6,714,914	B1	3/2004	Peters et al.	705/4
6,751,596	B1*	6/2004	Hastings	705/10
6,772,204	B1	8/2004	Hansen	709/220
6,778,880	B2	8/2004	Okamura	700/226
6,782,369	B1*	8/2004	Carrott	705/1
6,847,935	B1	1/2005	Solomon et al.	
6,865,524	B1	3/2005	Shah et al.	
6,889,206	B1	5/2005	Nuttall	705/52
6,938,021	B2	8/2005	Shear et al.	706/67
6,986,038	B1	1/2006	Leah et al.	713/155
6,999,946	B2	2/2006	Nuttall	705/52
7,007,227	B1	2/2006	Constantino et al.	
7,016,859	B2	3/2006	Whitesage	
7,016,871	B1	3/2006	Fisher et al.	705/35
7,043,407	B2	5/2006	Lynch et al.	
7,069,235	B1	6/2006	Postelnik et al.	705/26
7,089,315	B2	8/2006	Nuttall	709/229
7,124,101	B1	10/2006	Mikurak	
7,133,845	B1	11/2006	Ginter et al.	705/51
7,155,409	B1	12/2006	Stroh	
7,200,749	B2	4/2007	Wheeler et al.	
7,225,165	B1	5/2007	Kyojima et al.	
7,269,788	B2	9/2007	Gharavy	
7,272,572	B1	9/2007	Pienkos	
7,359,871	B1	4/2008	Paasche et al.	
7,373,324	B1	5/2008	Engin et al.	
7,389,259	B2	6/2008	Duncan	
7,475,025	B2	1/2009	Wiesehuegel et al.	
7,500,272	B2	3/2009	Wheeler et al.	
2001/0032094	A1*	10/2001	Ghosh et al.	705/1
2001/0034682	A1	10/2001	Knight et al.	
2001/0037265	A1	11/2001	Kleinberg	705/27
2001/0039547	A1	11/2001	Black et al.	707/102
2001/0047299	A1	11/2001	Brewer et al.	
2001/0049622	A1	12/2001	Gozdeck et al.	705/11
2001/0051917	A1	12/2001	Bissonette et al.	
2002/0023055	A1	2/2002	Antognini et al.	
2002/0023109	A1*	2/2002	Lederer et al.	707/511
2002/0055850	A1	5/2002	Powell	
2002/0091614	A1	7/2002	Yehia et al.	
2002/0120476	A1	8/2002	Labelle et al.	705/4
2002/0133383	A1	9/2002	Zhou et al.	
2002/0133458	A1	9/2002	Zhou et al.	
2002/0169678	A1	11/2002	Chao et al.	
2002/0177911	A1	11/2002	Waugh et al.	
2003/0004840	A1	1/2003	Gharavy	
2003/0018481	A1	1/2003	Zhou	

## FOREIGN PATENT DOCUMENTS

WO WO0205367 1/2002

## OTHER PUBLICATIONS

Marketing and regulatory trends that will affect sales compensation  
John M Wellborn, Paul D LaPorte. Journal of Financial Service Professionals. Bryn Mawr: Nov. 2000. vol. 54, Iss. 6; p. 62 (4 pages).\*

U.S. Appl. No. 08/780,600, Shah et al.  
U.S. Appl. No. 08/931,878, Gupta.  
U.S. Appl. No. 09/081,857, Koppelman et al.  
U.S. Appl. No. 09/163,752, Waugh et al.  
U.S. Appl. No. 09/165,656, Gupta.  
U.S. Appl. No. 09/253,427, Carter, III.  
U.S. Appl. No. 09/413,963, Lynch et al.  
U.S. Appl. No. 09/730,481, Vaughan.  
U.S. Appl. No. 09/809,991, Chao et al.  
U.S. Appl. No. 09/810,514, Chao et al.  
U.S. Appl. No. 09/810,515, Zhou et al.  
U.S. Appl. No. 09/810,519, Zhou et al.  
U.S. Appl. No. 09/896,140, Gharavy.  
U.S. Appl. No. 09/896,144, Gharavy.

Norman Walsh, XSL The Extensible Style Language [online]. Web Techniques, Jan. 1999 [retrieved on Feb. 11, 2001]. Retrieved from the Internet: <URL: <http://www.webtechniques.com/archives/1990/01/walsh/>>.

Selena Sol, What is a Markup Language [online]. Web Developer's Virtual Library, Mar. 8, 1999 [retrieved on Apr. 17, 2001]. Retrieved from the Internet: <URL: [http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/what\\_is\\_markup\\_language](http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/what_is_markup_language)>.

Selena Sol, What is XML [online]. Web Developer's Virtual Library, Mar. 8, 1999 [retrieved on Feb. 11, 2001]. Retrieved from the Internet: <URL: [http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/what\\_is\\_xml.html](http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/what_is_xml.html)>.

Selena Sol, The Well-Formed Document [online]. Web Developer's Virtual Library, Mar. 29, 1999 [retrieved on Feb. 11, 2001]. Retrieved from the Internet: <URL: [http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/well\\_formed\\_doc.html](http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/well_formed_doc.html)>.

Selena Sol, Introducing the Valid XML Document and the DTD [online]. Web Developer's Virtual Library, May 3, 1999 [retrieved on Feb. 11, 2001]. Retrieved from the Internet: <URL: [http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/dtd\\_intro.html](http://wdvl.internet.com/Authoring/Languages/XML/Tutorials/Intro/dtd_intro.html)>.

XSLT Xpath and XSL Formatting Objects [online]. Web Developers Virtual Library [retrieved on Feb. 11, 2001]. Retrieved from the Internet: <URL: <http://wdvl.internet.com/Authoring/Languages/XSL/>>.

Adam Rifkin, A Look at XML [online], [retrieved on Feb. 11, 2001]. Retrieved from the Internet: <URL: [http://www.webdeveloper.com/xml/xml\\_a\\_look\\_at\\_xml.html](http://www.webdeveloper.com/xml/xml_a_look_at_xml.html)>.

A Flexible Commission System to Improve Your Agency Relationships, CSC: Financial Services—S3+ Contracts and Commissions [online], [retrieved on Aug. 15, 2001]. Retrieved from the Internet: <URL: [http://www.csc-fs.com/MARKETS/detail/pe\\_s3contracts.asp](http://www.csc-fs.com/MARKETS/detail/pe_s3contracts.asp)>.

PolicyLink Commission System, CSC: Financial Services [online], [retrieved on Aug. 15, 2001]. Retrieved from the Internet: <URL: [http://www.csc-fs.com/MARKETS/detail/la\\_policylinkcomm.asp](http://www.csc-fs.com/MARKETS/detail/la_policylinkcomm.asp)>.

Pictorial, Inc.—Insurance and Financial Services Training [online], Dec. 2, 2000 [retrieved Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://pictorial.com/>>.

What is AppointPAK? [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.bisys-licensing.com/aptpak/whatis.htm>>.

AppointPAK Features & Benefits [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.bisys-licensing.com/aptpak/features.htm#buried>>.

What is e-Pal? [online], [retrieved on Aug. 16, 2001]. Retrieved from

- e-PAL Features & Benefits [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.bisys-licensing.com/palvt/features.htm#source>>.
- Nine e-PAL Services, Features and Benefits [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.bisys-licensing.com/palvt/serv.html#adjust>>.
- HRMS Enterprise Applications, Human Resources Management, PeopleSoft, Inc. [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.peoplesoft.com/en/us/products/applications/hrm/HRMS/hrmse/index.html>>.
- HRMS Collaborative Applications, Human Resources Management, PeopleSoft, Inc. [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.peoplesoft.com/en/us/products/applications/hrm/HRMS/hrmsca/index.html>>.
- Financial Planning Made Easy, American Express, Financial Services [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://finance.americanexpress.com/sif/cda/page/0,1641,4588,00.asp>>.
- Advice and Planning, American Express, Financial Services [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://finance.americanexpress.com/sif/cda/page/0,1641,7569,00.asp>>.
- Why ContractMaker, And How Does It Work?, Legal Contracts, Digital Contracts, Inc., [online], [retrieved on Aug. 8, 2001]. Retrieved from the Internet: <URL: <http://www.digicontracts.com/info/whyhow.html>>.
- Frequently Asked Questions, Digital Contracts, Inc., [online], [retrieved on Aug. 16, 2001]. Retrieved from the Internet: <URL: <http://www.digicontracts.com/kits/faqs.html>>.
- Information on ZipForm, 1998-2000, printed through [www.archive.org](http://www.archive.org).
- Hansen, Hans Robert, "Wirtschaftsinformatik I," Lucius & Lucius. Trilogy-Volvo Master License Agreement, Apr. 29, 1997.
- U.S. Patent & Trademark Office, PALM Sample Printouts, published Oct. 31, 1989.
- U.S. Patent & Trademark Office, Examiner's Bi-Weekly Time Worksheet (FORM PTO 690E), 1995.
- Martin James, Principles of Object-Oriented Analysis and Design, Prentice Hall, 1993.
- Patent Office Professional Association, Agreement between U.S. Department of Commerce/Patent and Trademark Office and the Patent Office Professional Association, pp. 39, 93, 94, 97-100, 1986.
- U.S. Patent and Trademark Office, Manual of Patent Program Procedure, published Oct. 31, 1989.
- U.S. Patent and Trademark Office, PALM 3 User's Guide, published Oct. 31, 1989.
- Protect your Family From Lead in Your Home, May 1995, United States EPA.
- Documents for U.S. Appl. No. 09/896,144, as of Oct. 15, 2010.
- Documents for U.S. Appl. No. 09/810,514, as of Oct. 15, 2010.
- Documents for U.S. Appl. No. 09/809,991, as of Oct. 13, 2010.
- Documents for U.S. Appl. No. 09/810,515, as of Oct. 15, 2010.
- U.S. Appl. No. 60/223,076, filed Aug. 4, 2000 in the U.S. Patent & Trademark Office by Wheeler et al.
- Powell et al., U.S. Appl. No. 60/216,913, filed Jul. 6, 2000, entitled Transactional Processing Exchange System and Methods.
- Miriam Webster's Dictionary, definition of relationship, Tenth edition.
- SC Commission [retrieved from the Internet, <http://web.archive.org/web/1997062419305...www.trilogy.com/modules/sccommission> on Feb. 4, 2002]. The snapshot of the web page was downloaded to [web.archive.org](http://web.archive.org) on Jun. 24, 1997; however, the page information states that the SC Commission web page was last modified on Mar. 12, 1997.].
- Selling Chain [retrieved from the Internet, <http://webarchive.org/web/19970624190842/www.trilogy.com/products1> on Feb. 4, 2002]. The snapshot of this web page was downloaded to [web.archive.org](http://web.archive.org) on Jun. 24, 1997; however, the page information states that the Selling Chain web page was last modified on Mar. 6, 1997.].
- Contractmaker, <http://web.archive.org/web/20010204115100/http://www.digicontracts.com>, dated Feb. 4, 2001.
- Contractmaker, <http://web.archive.org/web/20010303160139/www.digicontracts.com/lits/libdocumenu.html>, dated Mar. 3, 2001.
- Powell et al., U.S. Appl. No. 60/216,913, filed Jul. 6, 2000, entitled "Transactional Processing Exchange System and Methods".

\* cited by examiner

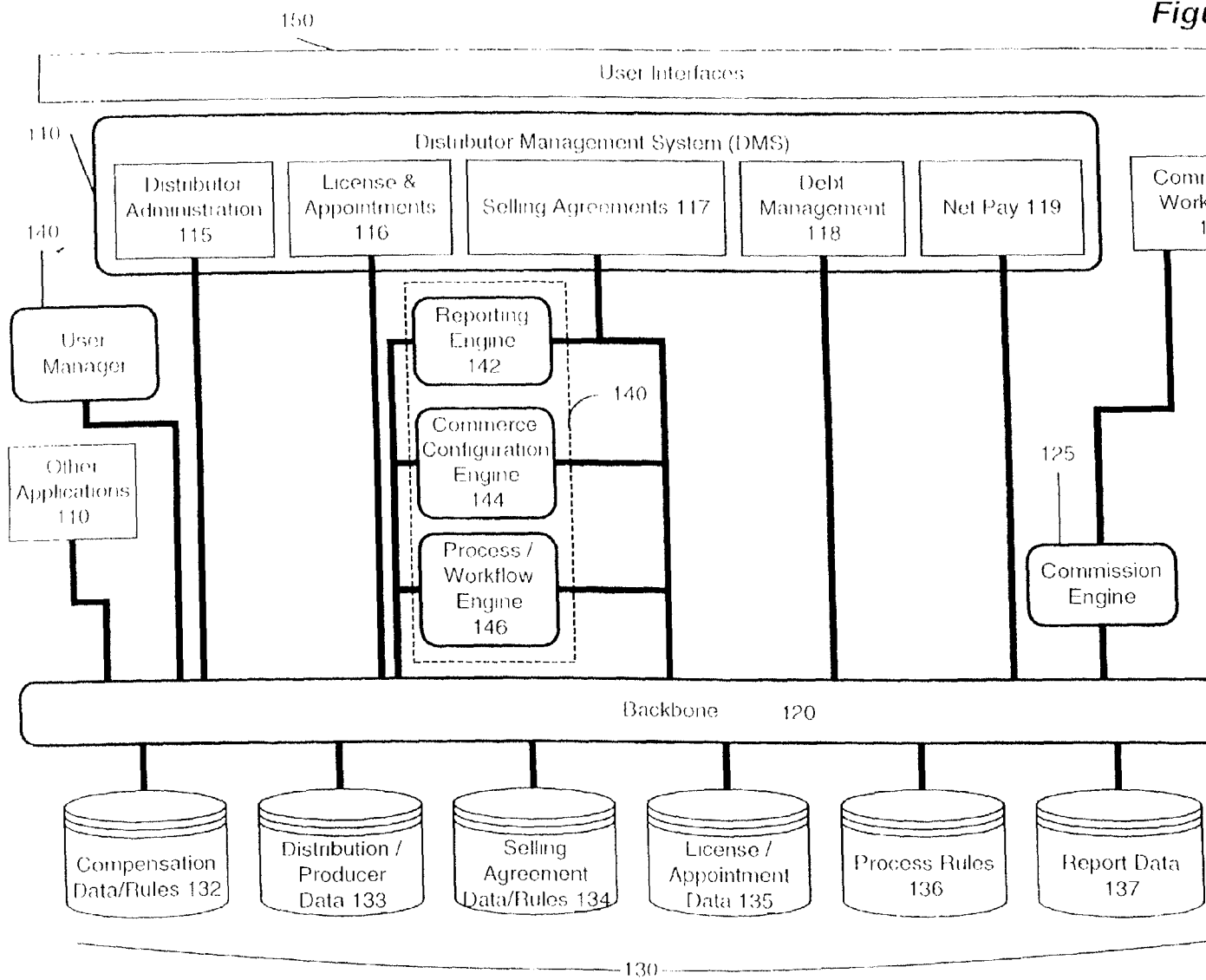
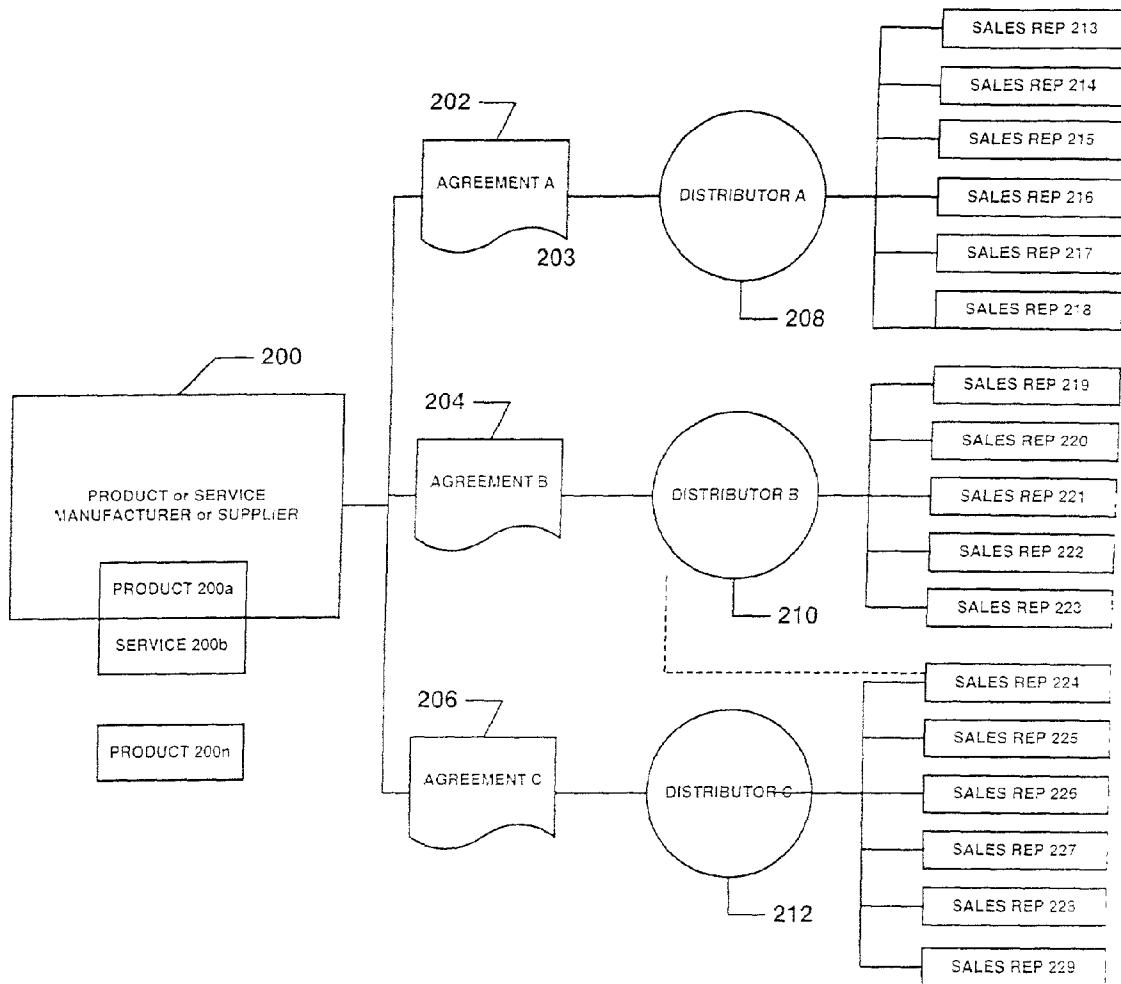


Figure 2



# Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

## Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time alerts** and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

## Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

## Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

## API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

## LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

## FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

## E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.