

- 23 -

```

00011      83 c4 04      add   esp, 4
00014      8b f0          mov   esi, eax
; Line 25
00016      8b 44 24 0c     mov   eax, DWORD PTR_b$(esp)
5  0001a      50             push  eax
0001b      e8 00 00 00 00 call  _TestSquare
00020      83 c4 04      add   esp, 4
00023      03 c6          add   eax, esi
; Line 28
10 00025      5e            pop   esi
00026      c3            ret   0
_TestSum ENDP
_TEXT      ENDS
;          COMDAT_TestSquare
15 _TEXT      SEGMENT
_x$ = 8
_TestSquare PROC NEAR                                ; COMDAT
; Line 30
00000      56             push  esi
20 ; Line 32
00001      8b 74 24 08     mov   esi, DWORD PTR_x$(esp)
00005      0f af f6        imul  esi, esi
; Line 34
00008      56             push  esi
25 00009      ff 15 00 00 00
          00             call  DWORD PTR_lpCallbackFunc2
0000f 83 c4 04      add   esp, 4
00012      8b c6          mov   eax, esi
; Line 36
30 00014      5e            pop   esi
00015      c3            ret   0
_TestSquare ENDP

```

Such information also is available from .map output files from the linker where the "f" between the address (i.e., 0a406100) and the object file (i.e. Algorithms.obj) means it is a "flat" address (i.e., hard coded by the linker) and the lack of an "f" means that it is an address pointer to be supplied at run time (load time) where the address that is contained in that address location is used and not the actual address location (i.e., the address that is contained at address location 0a406100 and not 0a406100 itself):

```

0001:00000000   _TestSum           0a401000 f Algorithms.obj
0001:00000030   _TestSquare        0a401030 f Algorithms.obj
10
0003:00001100   _lpCallbackFunc2   0a406100 Algorithms.obj
0003:00001104   _lpCallbackFunc1   0a406104 Algorithms.obj

```

When the code inside the .dll makes a "call" to a dereferenced pointer, it would jump to the correct function in the outer code and return the expected return value (if any). For example:

```

void CallbackFunction1(){
    // This is the first function that exists in the Stub executable
    // whose address has been placed at the appropriate location inside the "dll" code
20 // that has now been decrypted in a block of memory. The code inside the "dll"
    // makes a function call to this function. In its encrypted state, the "dll" does not contain
    // this address, but merely has a placeholder for the address. The "dll" has enough space
    // allocated to hold an
    // address of this size. After the "dll" has been decrypted at run time, its address is
25 // placed in that location so the code inside the "dll" that references (or more
    // appropriately dereferences) that address can jump (which is function call) to this
    // address.
    AfxMessageBox(
        _T("This is the FIRST Stub.exe call back function being called from the dll.");
30     return;
}

```

```

void CallBackFunction2(DWORD nNumber){
// See comment for CallBackFunction1 except this function receives a parameter off
// of the stack. It could also return a value as well.
    CString
5    cString(
T("This is the SECOND Stub.exe call back function being called from the dll"));

    har buffer[20];
    ltoa(nNumber, buffer, 10);
10
    cString += _T(" with a parameter of ");
    cString += buffer;
    cString += _T(".");
    AfxMessageBox(cString.GetBuffer(0));
15    return;
}

```

The outer stub.exe would make the same kinds of jumps or function calls into the now protected decrypted code block as follows:

```

20    DWORD c;

// This command declares a function pointer. This command is different for different function
// calls. Here the called function takes two integer parameters and
25 // passes back a DWORD.
    DWORD (*lpFunc)(DWORD,DWORD);

// The function pointer is then pointed to the starting address of the function in the
// block of memory that now holds the decrypted DLL.
30 lpFunc = (DWORD (*)(DWORD,DWORD)) UnwrapFixUpAndRelocateDll();

// Now call that "function" which is really like all function calls, i.e., a jump to

```

```

// the address where that function exists. In this case, two
// variables are passed to that function and returning a value from that function. This function
illustrates that the function call
// can be more complicated than merely a simple jump
5 // to an address. Inline assembler code may be used to push the variables onto
// the stack frame and return the variable from the eax register, but this function enables
// the C++ compiler to do the same function.
c = (DWORD) (*lpFunc)(a, b);

```

- 10 This mechanism requires the unwrap procedure and the now decrypted code to have intimate knowledge about procedural interfaces of each other but no knowledge about each other's implementation. This is the way most executable .exe files and .dll files behave but with the addition of a series of "wrapper" functions on either side for communication. This method works under Windows 95 and Windows NT 4.0 operating systems and should work under Windows NT
- 15 3.51 and other operating systems.

- Another modified version of this mechanism that works under the Windows NT 4.0 operating system because of functions specific to Windows NT 4.0 would be to have another hidden and/or encrypted executable within the digital information product. This executable would be copied to a physical disk in an unencrypted form, launched or loaded with the
- 20 CreateProcess() command in its current form but called with a parameter to load the executable in suspended mode:

```

BOOL success = CreateProcess(cFrontEndExe.GetBuffer(0), 0, 0, 0, TRUE,
CREATE_NEW_CONSOLE | CREATE_SUSPENDED,
25 0, 0, &startUpInfo, &processInfo);

```

Then the first process would copy the encrypted dll into its own process and decrypt it, allocate enough memory using VirtualAllocEx() in its current form in the second process that has just loaded the expendable front end executable in a suspended state as follows:

```

30 LPVOID lpvBlockEx = VirtualAllocEx(processInfo.hProcess,

```

(LPVOID) nPreferredLoadAddress, nPhantomFileSize,  
MEM\_RESERVE | MEM\_COMMIT,  
PAGE\_READWRITE);

- 5 The decrypted code is copied from the first process to the second suspended process using WriteProcessMemory() in its current form:

```

10     BOOL bWriteProcessMemory = WriteProcessMemory((HANDLE) processInfo.hProcess,
        (LPVOID) lpvBlockEx, (LPVOID) nPreferredAddress,
        (DWORD) nPhantomFileSize, (LPDWORD) &nBytesWritten);

```

The primary thread of the previously launched second process is then resumed:

```

15     DWORD nRcsumed = ResumeThread(processInfo.hThread);

```

Any necessary function pointers are then placed in the correct locations by the second process, the area of memory is locked to prevent any writes to a swap file, and the memory protection is changed to execute only as follows:

```

20     WriteAddress((char*) 0x0a406104, (DWORD) &CallbackFunction1);
        WriteAddress((char*) 0x0a406100, (DWORD) &CallbackFunction2);

```

```

        BOOL bVLock = VirtualLock((LPVOID) nPreferredLoadAddress, nPhantomFileSize);
        DWORD lpflOldProtect; // variable to get old protection
25     BOOL bVProtect = VirtualProtect((LPVOID) nPreferredLoadAddress,
        nPhantomFileSize, PAGE_EXECUTE, &lpflOldProtect);

```

- 30 The program can continue running by making and receiving calls to and from the decrypted dynamic link library that now resides in the protected memory of its process using commands such as the following:

```

        DWORD c;

```

```
DWORD (*lpFunc)(DWORD,DWORD);  
lpFunc = (DWORD (*)(DWORD,DWORD)) ExpendableGetEntryAddress();  
c = (DWORD) (*lpFunc)(a, b);
```

5 The first process can either close down or launch another instance of that same process.

In either of these implementations using the same process or launching into a second process, the hidden encrypted code never passes through a file system driver or memory resident program in decrypted form. Code can be split up among different dynamic link libraries so that no two would reside in memory at the same time in order to protect code further. Both of these  
10 systems can be implemented using the Win32 function calls. If additional functions, similar to a CreateProcess() command or a LoadLibrary() command but that take a process identifier and address location in memory to load in an executable instead of a physical file, are provided in an operating system then the entire executable and dynamic link library can be hidden, encrypted, and protected on the physical disk and then decrypted within protected memory and use the  
15 operating system loader to load it directly to the operating system from memory without residing in decrypted form on any physical medium.

Having described the operation and use of the computer program product in accordance with the invention, embodiments of which are described above in connection with Figs. 3-8, and the operation of the unwrap procedure and device driver it contains, the process of constructing  
20 such a computer program product will now be described in more detail. Referring now to Fig. 9, an embodiment of this process for creating a computer program product is shown. This process can be applied to any digital information including an arbitrary executable computer program, dynamic link libraries and related files of data. All digital information is treated as mere data by this process. Each separate data file is combined into a single file by this process, with an  
25 executable program for performing the unwrap procedure, and optionally executable program code for a virtual device driver, into the computer program product. Each file of hidden information has a unique location and is identified by its own begin and end markers as shown in Fig. 3. The first step of this process is opening a new data file for the computer program using a name that will be used to indicate an executable file (step 200). For example, an executable  
30 word processing program may be named "word\_processor.exe" in the Windows95 operating system.

The three portions of the computer program product are then inserted into the open data file. First, the unwrap procedure is inserted at the beginning of the file in an executable format in step 202. The begin tag for the optional device driver is then inserted in step 204. The executable device driver program code is then inserted in step 206, followed by its corresponding end tag in step 208. For each hidden file to be inserted into this computer program product, steps 210 to 216 are performed. First, the begin tag is inserted in step 210. The begin tag also may include an indication of a unique name of the file which will be used as its name in the phantom directory created by the unwrap procedure. The hidden file is then encrypted and/or compressed in step 212 and inserted into the data file in step 214. The end tag for the hidden file is then inserted in step 216. The device driver and all of the tags may be encrypted also if the unwrap procedure has suitable decryption procedures. The computer program file is closed when the last hidden file is processed.

Using the present invention digital information, such as executable program code or various kinds of data, is loaded and unloaded as needed, and thus does not take up any more memory than is necessary. At no time does unencrypted digital information, such as computer program code, exist on disk in accessible and complete decrypted form. Because the original digital information is available as a read only file in one embodiment of the invention accessible only to the device driver, the digital information may be accessed over networks, from a CD-ROM or from a DVD, and can be made to have a limited number of uses. This mechanism is particularly useful for controlling distribution of computer programs, digitized movies or other information while reducing the cost of such distribution and control. For example, software may be distributed over a network on a single use basis, and charges may be levied on a per use basis. The ability to reverse engineer an application program also may be reduced.

One benefit with this system over some other systems for preventing unauthorized access to digital information is that the content provider maintains control of the encryption applied to the information how it may be decrypted. Any need for either a centralized facility or a predetermined decryption program is eliminated. An operating systems manufacturer or other platform vendor merely provides the capability for the information to be accessed and decrypted on the fly. Since the valuable information and any other tables of authorization codes, passwords, or hardware identifiers that the content provider may use to secure the information resides in one large encrypted file, it becomes difficult, if not impossible, for someone to determine just where any of this information exists.

A potential scenario with authorization procedure in which the present invention may be used is the following. A consumer purchases a DVD disk containing a movie. The user puts the disk into the player. This is the first time the disk is installed. The content provider's functions are loaded into the DVD chip, which looks in the encrypted table and sees that this is the first  
5 time this disk is being played. The player then displays on a screen a numeric identifier and toll free phone number. The consumer calls the toll free phone number and inputs the numeric identifier that was displayed on the screen. The content provider provides a numeric password based on the numeric identifier that the user inputs into the DVD. The content provider may develop a database of information about its consumers that also may be used to detect pirating of  
10 the digital information product. Now that this authorization has taken place, the software that the content provider wrote, and is now in the DVD chip, takes a hardware identifier from the DVD and encrypts it and puts it in the encrypted and buried table on the disk. Alternatively, the data may be decrypted in memory and re-encrypted back onto the disk using the hardware identifier as part of a key. Now that disk will run and show the movie and will only run on that DVD and  
15 no other. The content provider could allow for a table of hardware id's so they could limit the number of DVD's that disk would run on or a limited number of times it can be shown. It should be understood that many other authorization procedures may be used.

In the foregoing scenario, the movie is encrypted on the same disk inside of the encrypted file that contains the table and functions the content provider distributed. The movie is decrypted  
20 by the decryption functions contained in the file directly to the DVD chip. At no time does the movie reside anywhere in decrypted form. The content provider can protect the movie with any desired level of security (for both encryption and authorization).

In the present invention, the onus of protection of content does not reside with a hardware manufacturer or platform provider but in the hands of the content provider. The hardware  
25 manufacturer only provides the mechanism to protect the digital information through the operating system. The technique and implementation of protection resides in the hands of the content provider. This mechanism allows the content providers to change the level of security as needed without any modifications to the hardware. The security of the content is provided by the encryption/decryption algorithms, public/private keys, and authorization methods which are  
30 determined by the content provider. Even each individual product can have its own encryption/decryption algorithms and/or public/private keys. All of these can be changed and enhanced as the market demands.



The present invention also could be used for on-line or live use of digital information. For example, a movie could be retrieved on demand and recorded by a consumer. A set top box could receive the digital information, decrypt it, and then re-encrypt and store the information using, for example, a hardware identifier of the set top box. Since home movies digitally recorded would be encrypted using the hardware identifier of the device used in recording, that home movie could not be played on another or only on a limited number of other devices and/or for only a specified number of times depending on the wishes of the content provider. Since the algorithms are downloaded at the time of recording from a service provider, e.g., the cable company, the content provider (movie company) would provide the encrypted data to the service provider to present to their customers. The service provider need not be concerned with the encryption/decryption and authorization functions used by the content provider. Similar uses are possible with other data transmission systems including, but not limited to, telephone, cellular communications, audio transmission including communication and the like.

In another embodiment, the stub executable program is a first process that is implemented similar to a debugging tool such as the SoftIce debugger from NuMega Technologies or the WinDebug debugger from Microsoft Corporation for Ring 0 kernel level debugging for an Intel processor based architecture, or the CodeView debugger for ring 3 application level debugging. Such a debugger controls execution of a program to be debugged as a second process and steps through each program statement or opcode of the debugged program. The debugging tool could be modified to monitor each opcode that indicates a jump to a program fragment, such as each instruction or a block code. If the program fragment to be executed is not decrypted, the modified debugger decrypts the program fragment before the jump command is allowed to execute. Each program fragment may be re-encrypted after execution. Clearly, unnecessary debugging commands may be omitted from the modified debugger.

Having now described a few embodiments of the invention, it should be apparent to those skilled in the art that the foregoing is merely illustrative and not limiting, having been presented by way of example only. Numerous modifications and other embodiments are within the scope of one of ordinary skill in the art and are contemplated as falling within the scope of the invention as defined by the appended claims and equivalent thereto.

CLAIMS

1. A computer-implemented process for executing encrypted computer program logic while maintaining protection against copying of corresponding decrypted executable computer program logic, wherein the encrypted computer program logic is stored in association with first executable computer program logic, the process comprising the steps of:
- 5 through an operating system of a computer, reading, loading and executing the first executable computer program logic as a first process having a protected memory area defined by the operating system;
- the first process decrypting the encrypted computer program logic into second executable computer program logic and storing the second executable computer program logic in the protected memory area; and
- 10 the first process causing loading and execution of the decrypted second computer program logic in the protected memory area.
- 15 2. The process of claim 1, wherein the encrypted computer program logic and the first executable computer program logic are stored in a single data file accessible through the operating system.
3. The process of claim 1, wherein the execution of the decrypted second computer program logic is performed as a second process having a second protected memory area defined by the operating system.
- 20 4. A digital information product including a computer readable medium having digital information stored thereon, the digital information including computer program logic defining first executable computer program logic, wherein the first executable computer program logic when executed performs the following steps:
- storing the encrypted computer program logic in a data file accessible through an operating system of a computer, wherein the data file also includes first executable computer program logic;
- 30 through the operating system, reading, loading and executing the first executable computer program logic from the data file as a first process having a protected memory area;

the first process decrypting the encrypted computer program logic into second executable computer program logic and storing the second executable computer program logic in the protected memory area; and

the first process causing loading and execution of the decrypted second computer  
5 program logic in the protected memory area.

5. A computer system comprising:

a processor for executing computer program logic;

a main memory operatively connected to the processor for storing digital information  
10 including executable computer program logic at memory locations addressed by the processor;  
and

an operating system defined by executable computer program logic stored in the memory  
and executed by the processor and having a command which when executed by the processor  
defines means for creating a process in response to a request specifying a process identifier and a  
15 memory location in the main memory, wherein the process identifier indicates the process  
making the request and the memory location stores executable computer program logic which  
when executed defines the process.

6. A computer system having an operating system, for decrypting digital information,  
20 comprising:

means for storing the encrypted computer program logic in a data file accessible through  
the operating system, wherein the data file also includes first executable computer program logic;

means, invokable through the operating system, for reading, loading and executing the  
first executable computer program logic from the data file as a first process having a protected  
25 memory area;

the first process defining means for decrypting the encrypted computer program logic  
into second executable computer program logic and storing the second executable computer  
program logic in the protected memory area; and

the first process defining means for causing loading and execution of the decrypted  
30 second computer program logic in the protected memory area.

7. The computer system of claim 6, wherein the encrypted computer program logic and the first executable computer program logic are stored in a single data file accessible through the operating system.

5 8. The computer system of claim 6, wherein the execution of the decrypted second computer program logic is performed as a second process having a second protected memory area defined by the operating system.

9. A digital information product, including a computer readable medium with computer readable  
10 information stored thereon, wherein the computer readable information comprises:  
a first portion of executable computer program logic; and  
a second portion of encrypted digital information; and  
wherein the first portion of executable program logic, when executed, defines means,  
operative in response to requests for digital information, for accessing the second portion of  
15 encrypted digital information, for decrypting the encrypted digital information, and for  
outputting the decrypted digital information.

10. The digital information product of claim 9, wherein the encrypted digital information is encrypted executable computer program logic.

20

11. A computer program product including a self-decrypting encrypted executable computer program, comprising:

a computer readable medium having computer program logic stored thereon, wherein the computer program logic defines:

25

a first module,

a second module,

wherein the first module, when executed by a computer, defines means for loading the second module into memory of the computer, and

a third module defining the encrypted executable computer program,

30

wherein the second module, when executed by a computer, defines means for communicating with an operating system of the computer to receive requests for program code from the encrypted executable computer program from the third module, and for processing the

requests to access and decrypt the encrypted executable computer program and for providing the decrypted executable code from the third module to the operating system.

12. A process for executing encrypted executable computer programs on a computer system  
5 having a processor, memory and operating system, comprising the steps of:  
receiving computer program logic having a first module defining a start up routine, a  
second module, and a third module containing the encrypted executable computer program;  
executing the first module of the received computer program logic using the processor,  
wherein the step of executing causes the second module to be loaded into the memory of  
10 the computer system, and  
generating requests from the operating system for data from the encrypted executable  
computer program which are received by the second module, and  
accessing and decrypting the encrypted executable computer program and returning the  
decrypted executable computer program to the operating system.

15

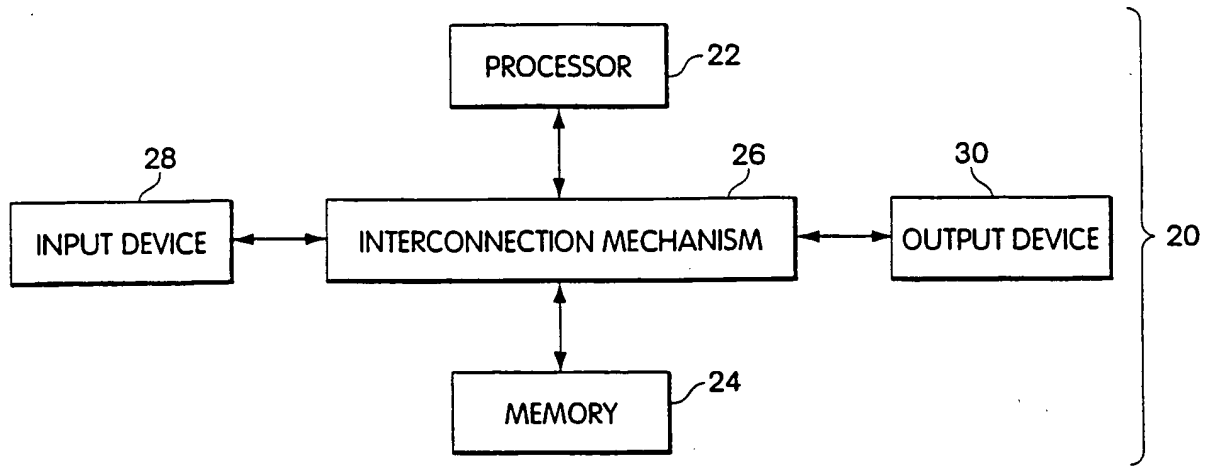


Fig. 1

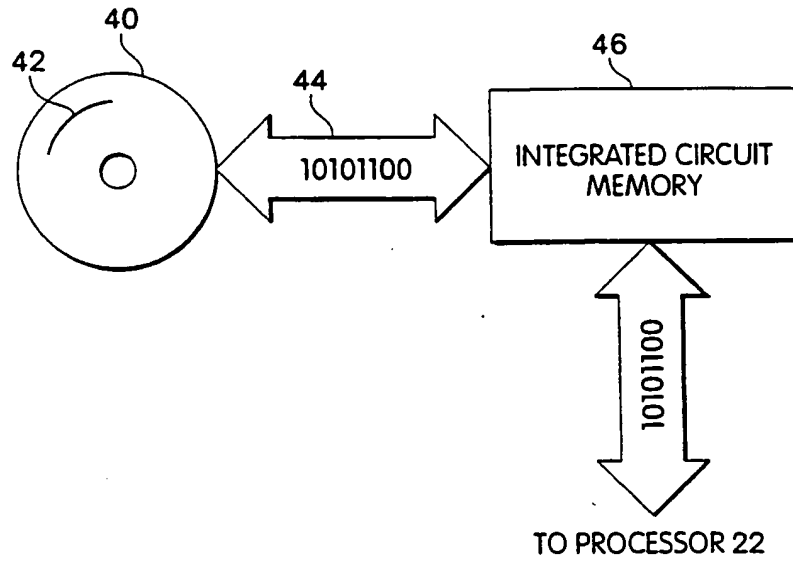


Fig. 2

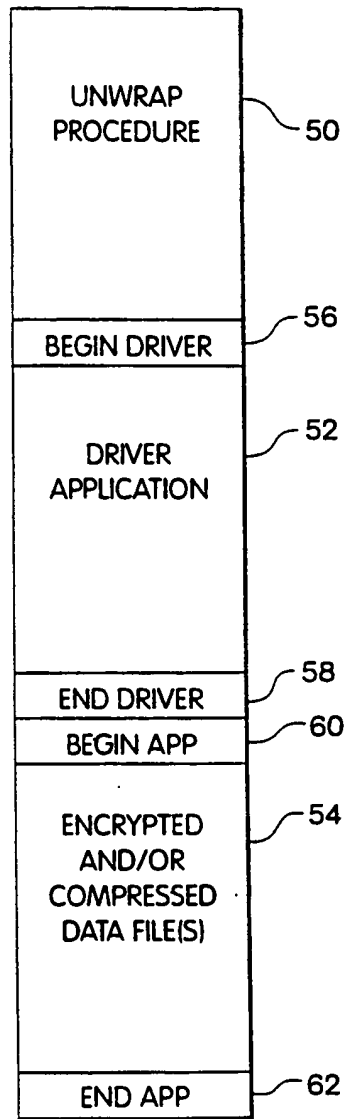


Fig. 3

SUBSTITUTE SHEET (RULE 26)

3/8

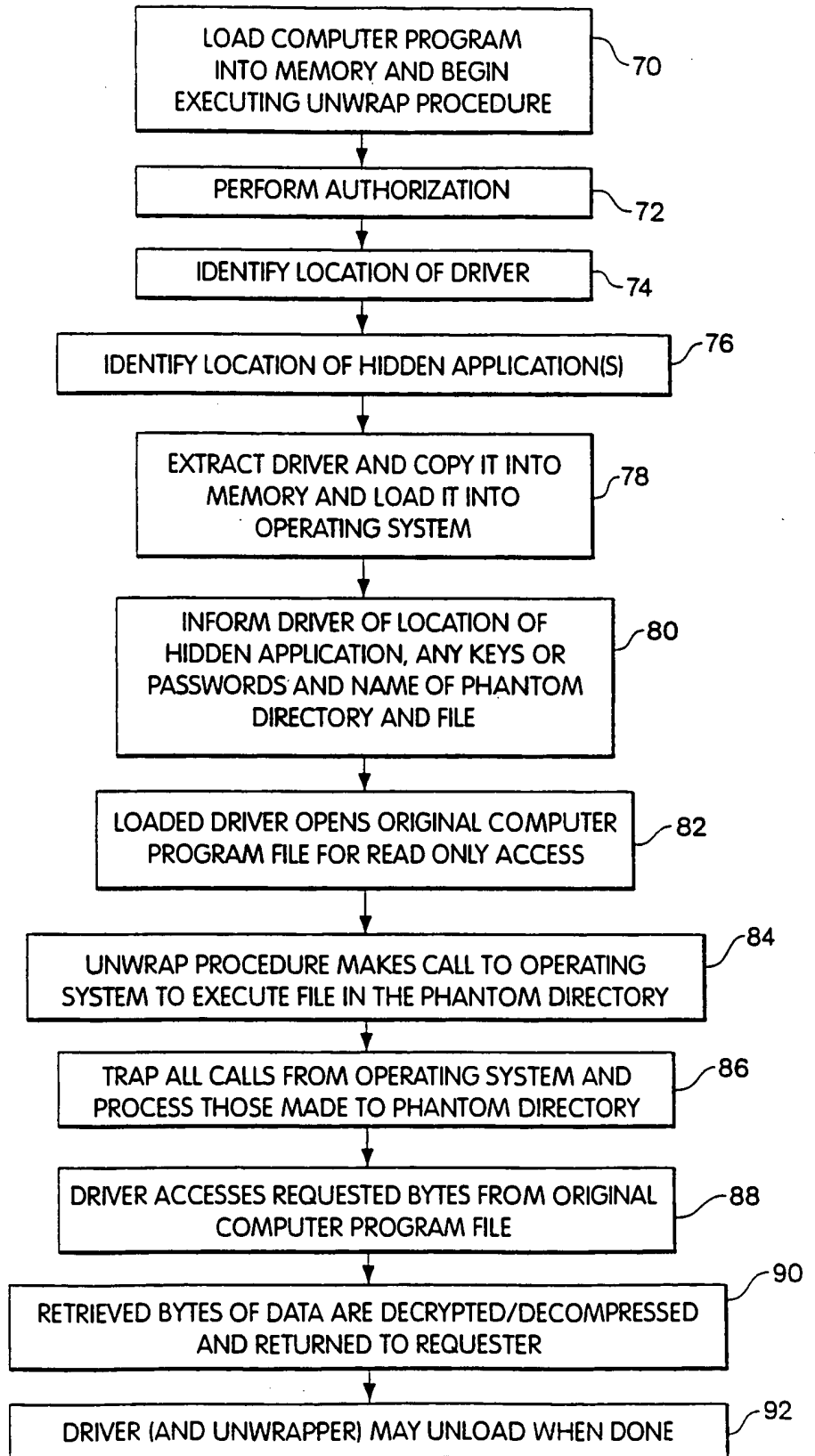


Fig.4

SUBSTITUTE SHEET (RULE 26)



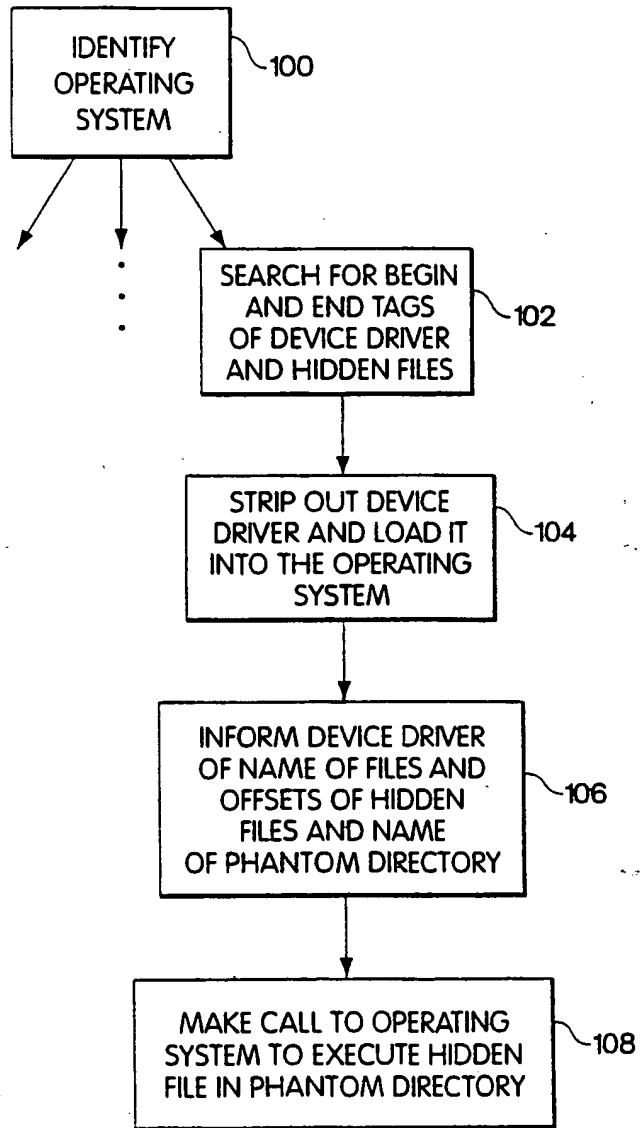


Fig. 5

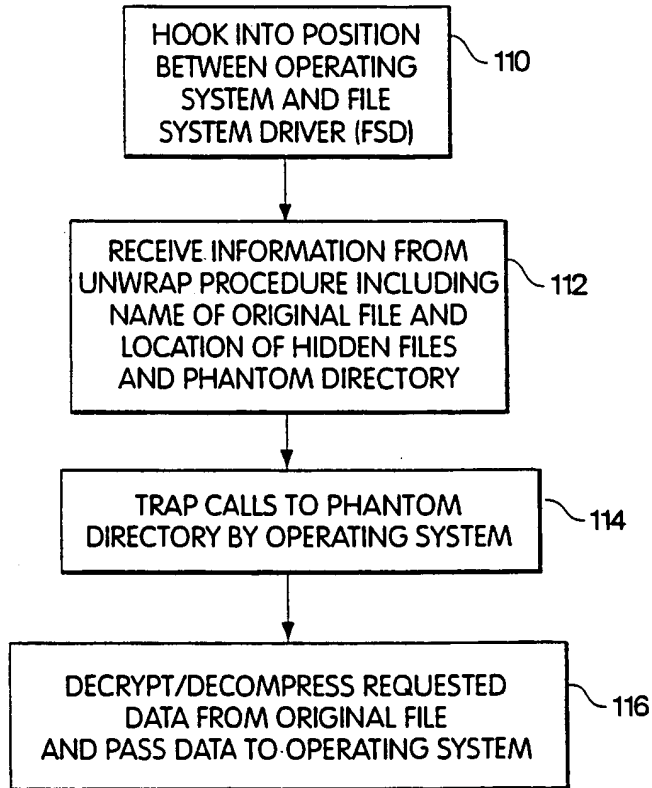


Fig. 6

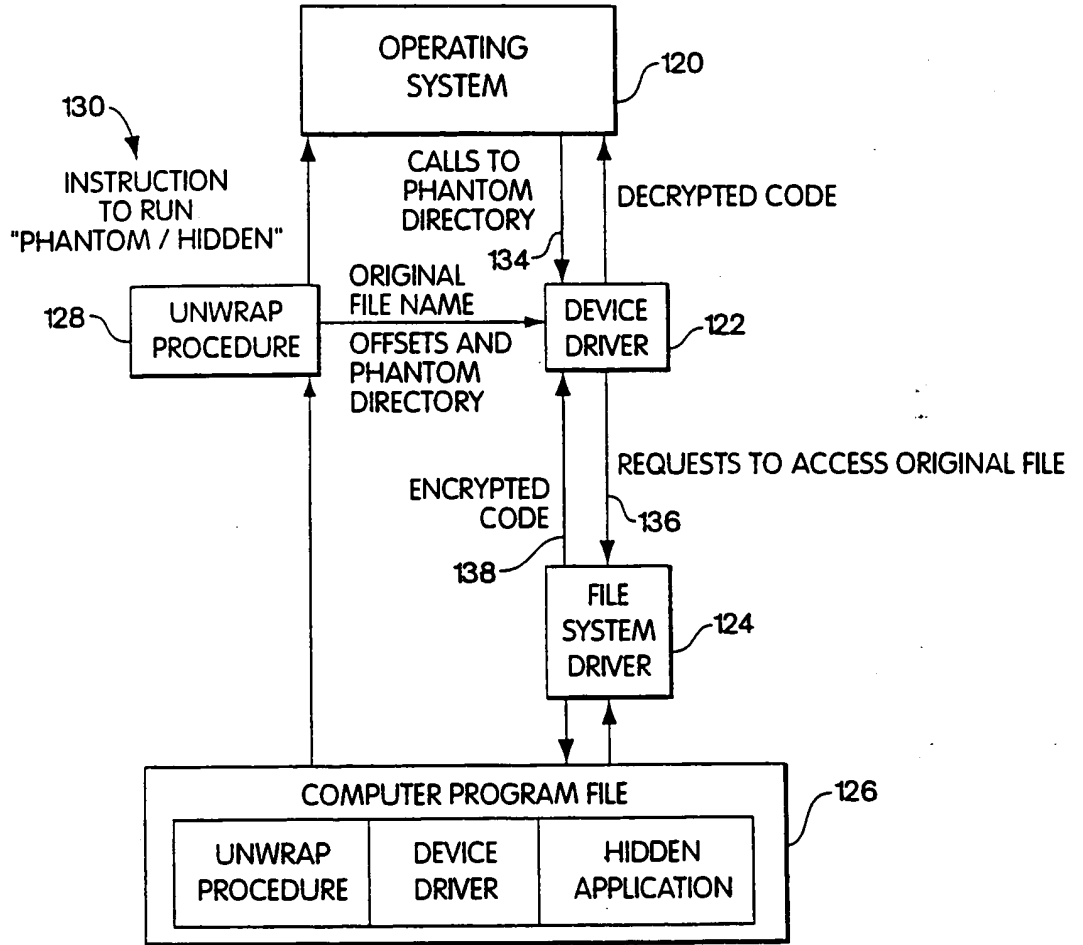


Fig. 7

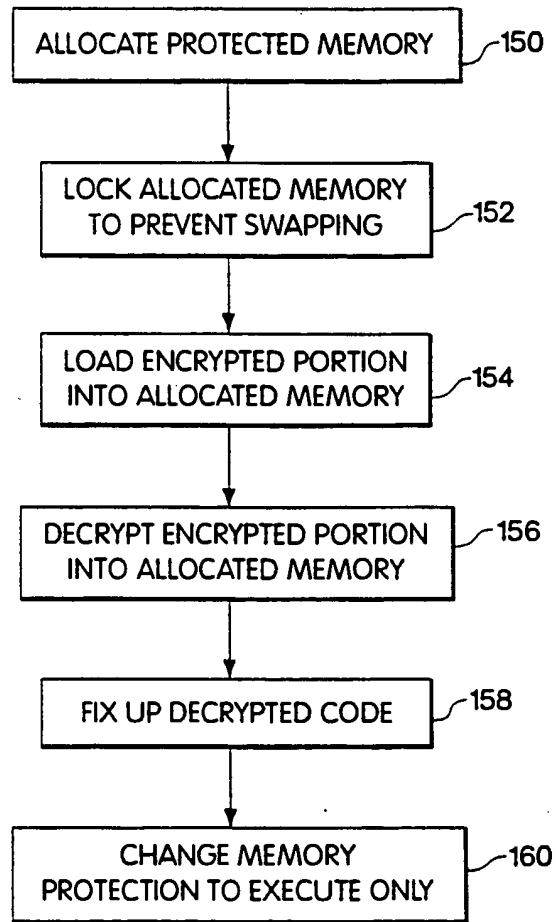


Fig. 8

8/8

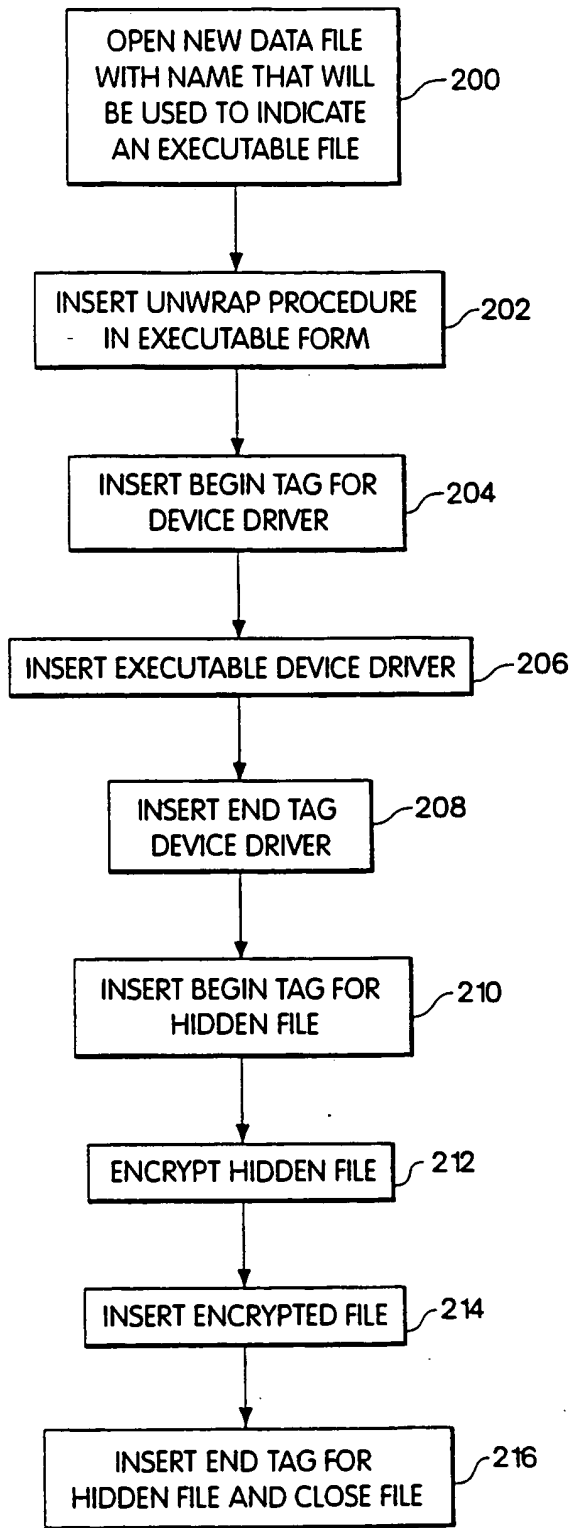


Fig. 9

SUBSTITUTE SHEET (RULE 26)

INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US97/16223

**A. CLASSIFICATION OF SUBJECT MATTER**  
 IPC(6) : H04L 9/00  
 US CL : 380/4  
 According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)  
 U.S. : 380/4,9,23,25,49,50,59

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 4,937,861 A (CUMMINS) 26 June 1990, see Abstract.	1-12
A	US 5,007,082 A (CUMMINS) 09 April 1991, see Abstract.	1-12
A	US 5,144,659 A (JONES) 01 September 1992, see Abstract.	1-12
A	US 5,155,827 A (GHERING) 13 October 1992, see Abstract.	1-12
A	US 5,396,609 A (SCHMIDT et al) 07 March 1995, see Abstract.	1-12

Further documents are listed in the continuation of Box C.  See patent family annex.

* Special categories of cited documents:	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*A* document defining the general state of the art which is not considered to be of particular relevance	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
*E* earlier document published on or after the international filing date	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*A* document member of the same patent family
*O* document referring to an oral disclosure, use, exhibition or other means	
*P* document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search 20 JANUARY 1998	Date of mailing of the international search report 18 FEB 1998
--	---

Name and mailing address of the ISA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231 Facsimile No. (703) 305-3230	Authorized officer <i>Diane Goodenough</i> BERNARR EARL GREGORY Telephone No. (703) 306-4153
---	--



PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

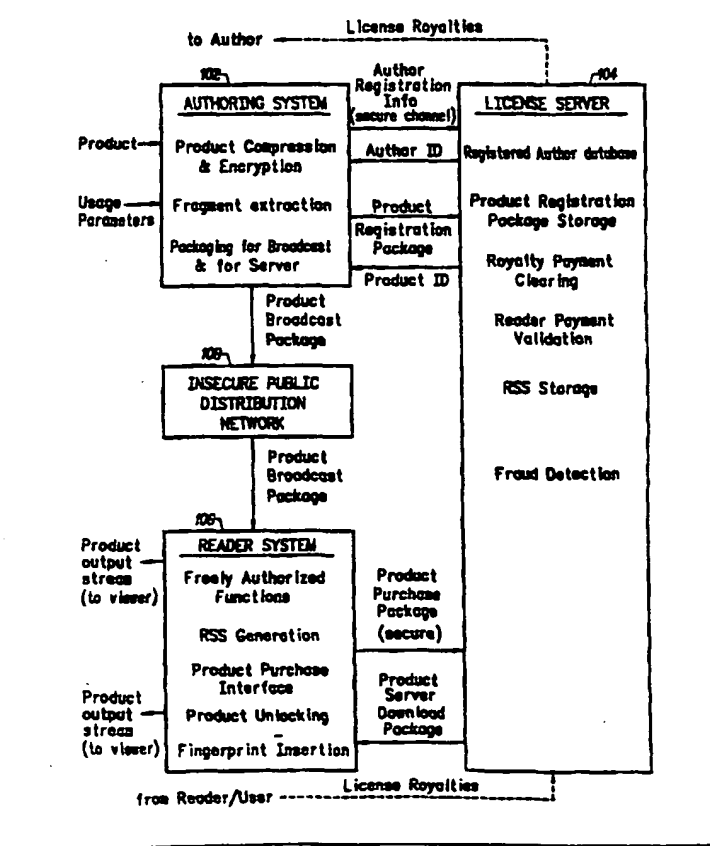
(51) International Patent Classification <sup>6</sup> : <b>H04L 9/00</b>	<b>A1</b>	(11) International Publication Number: <b>WO 98/42098</b>
		(43) International Publication Date: 24 September 1998 (24.09.98)

<p>(21) International Application Number: PCT/US98/04658</p> <p>(22) International Filing Date: 11 March 1998 (11.03.98)</p> <p>(30) Priority Data: 08/818,132 14 March 1997 (14.03.97) US</p> <p>(71) Applicant: CRYPTOWORKS, INC. [US/US]; 2084 Union Street, San Francisco, CA 94123 (US).</p> <p>(72) Inventor: LeBOURGEOIS, John, H.; 193 San Carlos Way, Novato, CA 94945 (US).</p> <p>(74) Agent: WOLFELD, Warren, S.; Fliesler, Dubb, Meyer and Lovejoy LLP, Suite 400, Four Embarcadero Center, San Francisco, CA 94111-4156 (US).</p>	<p>(81) Designated States: AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GE, GH, GM, GW, HU, ID, IL, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b> With international search report.</p>
---	---

(54) Title: DIGITAL PRODUCT RIGHTS MANAGEMENT TECHNIQUE

(57) Abstract

A digital product is freely distributed through uncontrolled channels in encrypted form (108). Security fragment(s) of the encrypted product are withheld (102), and provided only upon communication with license server (104). The customer uses reader software (106) to purchase a license. Such software (106) examines components then present on the reader system to develop a reader system signature, which the license server (106) uses to encrypt the product decryption key and the security fragments before sending them to the reader system. When the customer wishes to use the product, a new reader system signature is generated and used to decrypt the product fragments.



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						



- 1 -

## DIGITAL PRODUCT RIGHTS MANAGEMENT TECHNIQUE

BACKGROUND1. Field of the Invention

5 The invention relates to controlled distribution of digital products in a manner that tends to ensure that authors receive proper royalty payments for their work.

10 2. Description of Related Art

Digitally encoded products, such as software, music, images and video segments are extremely important in today's economy. However, the ease and economy with which perfect copies can be made of  
15 digitally encoded products has promoted the widespread unauthorized copying and distribution of such products through such channels as user-to-user copying and sharing, digital data networks such as the Internet, and CD-ROM publishing. These distribution channels  
20 have made it difficult for the creators and copyright holders of such products to regulate the use of their products or to receive payment and registration information from their users. Consequently, digital product producers often forfeit substantial revenues  
25 and valuable information about their customer base and potential markets, while businesses and universities find themselves subject to legal prosecution and intimidation for copyright infringement.

But the problem of unauthorized distribution of  
30 digital products is not limited to the simple loss of revenues which rightfully belong to the original developer of the product, although that problem can be substantial by itself. There is also the additional problem that developers will be less willing to spend

- 2 -

substantial time and money in developing new digital products if they cannot depend on a market which pays fair value for their products.

In the past, when copying and distribution of products was more expensive, time consuming and imperfect, the creators of digital products could depend in part on economic factors as well as legal protections to minimize unauthorized copying and distribution. Neither is effective today with digital products, easy and inexpensive channels of distribution, and huge numbers of people participating in the illicit trade.

One technique that has been developed to deter unauthorized copying of digital products involves copy protection mechanisms built into hardware or software. However, copy protection mechanisms sometimes can inconvenience users who have a legitimate need for making copies. Copy protection mechanisms also can prevent digital product developers from taking advantage of the new distribution channels, such as the Internet.

Another method for controlling the distribution of digital products is described in Commerce Direct International (CDI), "Electronic Commerce", World Wide Web URL <http://www.cdi.net/electron/commerce.htm> (visited March 23, 1996) and CDI, "CDI In Action", World Wide Web URL <http://www.cdi.net/cdiactio/cdinactn.htm> (visited March 23, 1996), both incorporated herein by reference. The mechanisms described in these documents call for a customer to review an on-line catalog of products and choose one to buy. The customer's software then sends encrypted credit card information to the product distributor, and the product distributor transmits the product to the customer in a strongly

- 3 -

encrypted form. The customer's software then uses a "secret key" to decrypt the product and use it. Secure direct modem connections may be used instead of Internet connections at various parts of the process in order to further ensure that no one else can use the encrypted product.

The CDI technique suffers from at least two problems. First, while the encryption of a data product during transmission may be very strong, it is still theoretically possible for an unauthorized third party to decipher it. Second, even if the product remains secure during transmission, once it is decrypted by the customer, CDI's strong encryption techniques no longer protect the product against further unauthorized distribution. The above-cited documents indicate that content as well as executables can be "locked" to a specific registered machine while still allowing for unrestricted distribution of the software in a crippled or time-dated mode, but the documents do not explain how this is to be accomplished.

In Schull U.S. Patent No. 5,509,070, incorporated by reference herein, Schull describes a technique for distributing digital products (specifically software) by selling a password to the user. The user uses the password to unlock advanced features of the product, but the password is usable only on one machine. Thus, the technique allows users to freely distribute software to other machines and other potential users, but does not allow other users to take advantage of advanced features of the software without obtaining a new password which is specific to the new machine. In the Schull method, the user generates a "passwordable-ID" either from the user's voice, by reading the serial

- 4 -

number of the machine's CPU, or by any of a number of other suggested methods. The passwordable-ID is transmitted to a licensing system which uses the passwordable-ID to generate an encrypting seed for the software advanced features. The encrypted encrypting seed is then transmitted back to the user as a key for unlocking the advanced features of the software.

One drawback of the Schull method is that the password ultimately provided by the licensing system to the user is stored on the user's machine. Without certain extraordinary copy protection mechanisms applied to the password, the password could simply be copied to a new machine, thereby allowing a different user to use the advanced features of a pirated version of the product without paying a fair licensing fee. The extraordinary methods suggested by Schull to protect the password as stored on the user's machine, reimposes many of the same problems that formed the basis for finding non-objectionable copy protection mechanisms in the first place.

Several other technologies for preventing unauthorized distribution of digital products are set forth in the following World Wide Web pages: Northeast Consulting Resources, Inc., "Digital Rights Management Technologies", Web page URL [http://www.ncri.com/articles/rights\\_management/](http://www.ncri.com/articles/rights_management/) (October 1995: visited November 19, 1996); Intertrust Technologies Corporation, Web pages <http://www.intertrust.com/architecture/overview.html>, <http://www.intertrust.com/architecture/flow.html>, <http://www.intertrust.com/architecture/stc.html>, <http://www.intertrust.com/products/applications.html>, <http://www.intertrust.com/products/sdk.html>, <http://www.intertrust.com/about/whoweare.html>, <http://www.intertrust.com/about/vision.html> (all



- 6 -

components then present on the reader system to develop a reader system signature (RSS). The reader system signature is transmitted to a license server which uses it either to encrypt the product decryption key, or to  
5 further encrypt the security fragments, or both, before sending them to the reader system. The reader system signature is not stored on the reader system. Rather, at the time that the customer would like to use the digital product (view an image or movie, listen to a  
10 sound or execute software, for example), a new reader system signature is generated in the same manner as the original reader system signature. The new reader system signature is used to decrypt the product decryption key and/or the double-encrypted security  
15 fragments, only at the time of use. If the user is attempting to use the digital product on a different machine, such as would be the case in the event of unauthorized distribution, then the new reader system signature will not work properly and the unauthorized  
20 user will not be able to use the digital product.

The above second aspect of the invention could be problematical in the event that the user upgrades or modifies the reader system. A mechanism that regenerates the reader system signature each time a  
25 digital product is to be used could prevent a legitimate user from using the product after such an upgrade. Accordingly, in another aspect of the invention, the machine authorization of the reader system allows a certain amount of "upgrade drift" before  
30 it is deemed advisable to check for unauthorized use.

In an embodiment, the reader system signature is determined by examining various components (hardware and/or software) of the reader system, to determine individual signatures for each component. The

- 7 -

individual component signatures are then combined to form the overall reader system signature, for example by a weighted sum of the individual component signatures or by concatenating the individual component signatures together. If the reader system signature is determined on the basis of a weighted sum (or equivalently, a weighted average) of the individual component signatures, then the amount of permissible upgrade drift can be expressed as a percentage; that is, if the reader system signature generated upon usage of the digital product differs from the reader system signature generated at the time the product is purchased by no more than a predetermined percentage or fraction, then the usage is considered authorized. If the reader system signature is generated as a concatenation of the individual component signatures, then the number of components which differ at usage time relative to purchase time can be specified not to exceed a specific count.

In a situation where the reader system signature generated at the time of purchase is not stored on the reader system, it can instead be uploaded to a license server. If the reader system signature generated at usage time is found by the reader system not to properly decrypt either the product decryption key or the product itself, then in an embodiment, the reader system can automatically contact the license server for reauthorization. The reader system uploads the newly generated reader system signature, and the license server performs the upgrade drift test in comparison with the reader system signature that was stored on the license server at the time of purchase. If the license server determines that the newly generated reader system signature is within the permissible upgrade

- 8 -

drift parameter, then it transmits a new product decryption key and/or new product security fragments, back to the reader system, encrypted according to the new reader system signature. The reader system is then  
5 able to decrypt the digital product and play, view or otherwise use it in the desired manner. (In order to assist in evaluating the permissibility of an upgrade drift, one embodiment of the reader system also uploads the raw component signatures of the computer system.  
10 This allows customer support to determine which components have changed.)

In an embodiment of the invention, the reader system signature is generated in dependence upon a component whose individual component signature carries  
15 with it external assurances of substantial uniqueness among all computer systems which could reasonably pose as authorized reader systems. Such a component signature can be used by itself, or in conjunction with other component signatures, in order to generate the  
20 overall reader system signature. If used by itself, then upgrade drift is usually not permissible without manual re-validation.

#### BRIEF DESCRIPTION OF THE DRAWINGS

25 The invention will be described with respect to particular embodiments thereof, and reference will be made to the drawings, in which:

Fig. 1 is an overall symbolic diagram of a system according to the invention.

30 Fig. 2 is a block diagram illustrating the structure of a typical reader system of Fig. 1.

Fig. 3 illustrates the overall system flow for the authoring system of Fig. 1.



- 9 -

Fig. 4 is a flow chart illustrating the flow of a product registration segment of Fig. 3.

Fig. 5 is a flow chart illustrating the general operation of the reader system of Fig. 1.

5 Fig. 6 is a flow chart of the product purchase preparation step of Fig. 5.

Fig. 7 is a flow chart illustrating one technique for generating the reader system signature.

10 Figs. 8 and 9 together constitute a flow chart of steps which takes place in the license server 104 in response to receipt of a product purchase package.

Fig. 10 is a flow chart of the step in Fig. 8 in which the license server processes the customer's payment information.

15 Figs. 11-13 together constitute a flow chart of the step in Fig. 5 in which the reader system plays the digital product.

20 Fig. 14 is a flow chart illustrating the license server's operations in response to receipt of a re-validation package.

Figs. 15 and 16 are alternative details of the step in Fig. 14 in which the license server determines whether the difference between the two RSS's exceeds a threshold.

25

#### DETAILED DESCRIPTION

Fig. 1 is an overall symbolic diagram of a system according to the invention. The system has three primary components: an authoring system 102, a license server 104 and a reader system 106. In addition, the overall system is most useful when used with an uncontrolled distribution channel such as an insecure public distribution network 108 (e.g., the Internet). In general operation, the author or proprietor of one

30

- 10 -

or more digital products first uses the authoring system 102 to register with the license server 104 as an author. Author registration information is transmitted from the authoring system 102 to the  
5 license server 104, and an author ID is returned to the authoring system.

When the author has a digital product to market, the product is provided to the authoring system 102, together with certain usage parameters. The usage  
10 parameters include a set of free usage parameters and one or more sets of paid usage parameters. The authoring system compresses and encrypts the digital product (compression is optional), extracts one or more security fragments from the encrypted product and then  
15 packages the product for broadcast via the uncontrolled distribution network 108 and for upload to the license server 104. The authoring system then transmits the product registration package up to the license server 104 and receives a product ID in return. The authoring  
20 system also makes the product broadcast package available on the uncontrolled distribution network 108. Note that as used herein, a "product" can include one or more sub-products, all of which are considered herein to themselves be "products".

25 When a customer is interested in a particular digital product, he or she can download the product broadcast package from the uncontrolled distribution network 108. The customer utilizes the reading system 106 to perform those functions of the digital product  
30 which are freely authorized according to the free usage parameters that were previously specified by the author. Such functions can include, among other things, a preview of the digital product, and an indication of one or more licensing options which the

- 11 -

customer can purchase. If the customer chooses to purchase one of the license options, the reader system 106 examines certain components of the reader system and, in dependence thereon, generates a reader system signature (RSS). The reader system assembles a product purchase package including the RSS and payment information, and uploads it to the license server 104. The license server 104 processes the payment information and, if successful, transmits a product server download package back to the reader system. The reader system uses the product server download package to unlock the functions of the digital product which are authorized under the license option that the customer has purchased, and allows the user to use the product accordingly. In addition, the reader system 106 performs fingerprint and/or watermark insertion as described hereinafter.

The license server 104 performs a number of functions, including maintaining a database of registered authors and storing all of the product registration packages. The license server 104 also stores reader system signatures from customers, performs customer payment validation, as well as certain fraud detection functions as described below. The license server 104 also performs the functions of royalty payment clearing. Specifically, license royalties received from (or on behalf of) customers are properly accounted for and transferred to the proper authors after deduction of a commission.

In Fig. 1, the authoring system 102, the license server 104 and the reader system 106 are each illustrated as a respective individual block. Depending on the embodiment, each block might contain no more than a single computer, or in different

- 12 -

embodiments, different blocks can contain more than one computer. In one embodiment, one or more of the blocks 102, 104 and 106, for example the license server 104, contains a number of computers spread out over a great  
5 geographical area and interconnected by a network. The illustration of the authoring system 102, the license server 104, and the reader system 106 as single blocks is not intended to indicate that each must constitute only a single computer system or that each must be  
10 located at a respective single location.

Nor is there any requirement that computers used to form the authoring system 102, the license server 104, and the reader system 106 have any particular structure. Fig. 2 is a symbolic block diagram  
15 illustrating the structure of a typical computer system which may be used as an authoring system, a reader system or a license server. It comprises a CPU 202 and cache memory 204, both connected to a CPU bus 206. Interface circuitry 208 is also connected to the CPU  
20 bus 206. The interface circuitry 208 is further connected to a main memory 210, as well as to two I/O buses: PCI-bus 212 and ISA-bus 214. Connected to the PCI-bus 212 are sound and game controllers 216, a network adapter 232 and a display adapter 218, the last  
25 of which is further connected to a monitor 220. Connected to the ISA-bus 214 is a hard disk drive controller 222, a CD-ROM drive controller 224, a floppy disk drive controller 226, various I/O ports 228, and a boot PROM 230. Most of the peripheral components  
30 illustrated in Fig. 2 include on-board configuration data which can be read by the CPU 202. In addition, the boot PROM 230 includes a portion which is writeable by the CPU 202 to store configuration data. In general, the software to operate the authoring system

- 13 -

102, the license server 104 or the reader system 106 is stored on the disk drive controlled by the disk drive controller 222, and brought into main memory 210 as needed for execution. The computer system of Fig. 2  
5 communicates with the other systems of Fig. 1, and with the distribution network 108, if appropriate, via the network adapter 232.

Fig. 3 illustrates the overall system flow for the authoring system 102. The authoring system flow is  
10 generally divided into two segments: an author registration segment 302 followed by one or more product registration segments 304. In the author registration segment 302, the author (or other proprietor) of one or more digital products enters his  
15 or her identification information. Such information can include, for example, the author's name, address, Social Security or other tax ID number, password or other challenge information (for confirmation of identity during customer service calls), e-mail address  
20 and/or telephone number (step 306). In a step 308, the authoring system uses this information to create an author registration package which is transmitted, in step 310, to the license server 104. The license server 104 adds the author and the author's  
25 identification information to its registered author database, and in step 312, the authoring system 102 receives and stores an author ID from the license server 104. The communication between the authoring system 102 and the license server 104 in the author  
30 registration segment 302 should take place via digital certificate and one-time secure channel, or by secure, signed electronic mail.

Fig. 4 is a flow chart illustrating the flow of a product registration segment 304 (Fig. 3). In a step

- 14 -

402, the author identifies one of possibly many digital products to the authoring system 102 and enters usage parameters. The digital product is identified, for example, by identifying a filename within which the digital product is stored. The usage parameters can include such parameters as the number of copies which will be permitted to be made on the reader system, whether the reader system will be authorized to save the digital product to a hard disk, whether printing will be enabled, whether preview is enabled, and the amount of RSS drift which will be permitted on a reader system before manual reauthorization will be required. The usage parameters may be specified as several options, including a set of free usage parameters (for which no payment is required) and one or more options of purchasable usage parameters (functions requiring a purchased license). In an embodiment, the author can also indicate at this point whether the product should be compressed.

In a step 404, if preview is to be enabled, the reader system extracts the appropriate preview material with the assistance of the author. The entire digital product is then encrypted in a step 406. In the product encryption step 406, the product is first compressed (step 408) by any known algorithm. For example, the product can be compressed using a Lempel-Ziv algorithm or by a Huffman encoding algorithm. The compression step 408 is considered part of the product encryption step 406 because compression is, in effect, a form of encryption; it is very difficult to recover the original uncompressed product unless the algorithm used for compression is known. Compression is optional because for certain kinds of products, the benefits to be gained by compression are outweighed by the

- 15 -

performance degradation that compression/decompression often entails.

In a step 410, a product encryption key is generated. The key can be generated in any known  
5 manner; for example, by a pseudo-random number generator using a seed derived from the time period between two successive user key strokes. In step 412, the compressed digital product is encrypted using the encryption key developed in step 410. Again, any known  
10 key-based symmetric encryption algorithm can be used (as long as the correct complementary algorithm is used for decryption on the reader system 106). One such well-known encryption algorithm is DES, described in National Institutes of Standards and Technology, "Data  
15 Encryption Standard," FIPS Publication No. 46-1 (January 1988), incorporated by reference herein. Another is Triple DES (also known as DES-3), and yet another is RC-5. RC-5 is described in R. W. Baldwin and R. Rivest, "The RC5, RC5-CBC, RC5-CBC-Pad, and RC5-CTS  
20 Algorithms", INTERNET-DRAFT (March 1996), available from ftp://ftp.nordu.net/internet-drafts/draft-baldwin-rc5-00.txt, visited March 4, 1997, incorporated herein by reference.

The result of product encryption step 406 is  
25 referred to herein as an encrypted "version" of the digital product. As used herein, a "version" of a digital product is still considered to be the digital product, because it continues to include all the information of the digital product. A native "version"  
30 of a product also is nevertheless "the product". A digital product can exist in several versions, each of which is a reversibly processed version of the native version.

- 16 -

After the product encryption step 406, in step 414, the authoring system 102 generates a digest of the encrypted product. Any suitable digesting algorithm can be used for this purpose including, for example, an error-correcting code (ECC) generator or the well-known SHA-1 algorithm. The SHA-1 digesting algorithm is described National Institute of Standards and Technology (NIST), FIPS Publication 180: Secure Hash Standard (SHS) (May 1993), as amended by National Institute of Standards and Technology (NIST) Announcement of Weakness in the Secure Hash Standard (May 1994), both incorporated herein by reference.

In a step 416, the authoring system 102 separates one or more "security fragments" in the encrypting product. The security fragments preferably constitute only a small portion of the overall digital products; for example, 1-5% of the byte count of the overall product not to exceed, for example, 30K bytes. The number and size of the security fragments can be predetermined and constant for all digital products, or it can be dynamically selected or optimized for different digital products. It is desirable to minimize the size of the security fragments while maximizing the effect that their absence would have in helping to prevent unauthorized usage of the digital products. One way of maximizing such effect is to include the beginning of the digital product in one of the security fragments. For many encryption algorithms, as well as data compression algorithms, it is much more difficult to decrypt (decompress) the portions that remain, if the beginning portion is missing. Also, if the digital product includes a header at the beginning, absence of the beginning portion of the product often makes it difficult to use any of the remaining portion



- 17 -

of the product even if such remaining portion can be decrypted.

In a step 418, the authoring system 102 generates a digest of the encrypted product less the security fragments. Again any digesting algorithm, such as SHA-1, can be used in this step. In step 420, the authoring system 102 creates a product registration package and transmits it to the license server in step 422. The license registration package can form part of a digital certificate in one embodiment. The license server stores the product registration package and returns a product ID to the authoring system 102 (step 424). The reason that the security fragments should be kept as small as possible is to minimize the storage capacity requirements of the license server. In a step 426, the authoring system 102 creates a product broadcast package for the digital product and makes it available (step 428) via any uncontrolled distribution network, such as the Internet.

The product registration package, which can also be digitally certified, includes the following items:

- author ID
- usage parameters (both the free usage parameters and the usage parameters at various purchasable options)
- the encrypted security fragments
- a product decryption key (complementary to the product encryption key of step 410)
- the digest of the encrypted product less security fragments
- digest of the full encrypted product

The product decryption key referred to above is whatever key is required to decrypt the results of the encryption process of step 412. For symmetric

- 18 -

encryption algorithms, such as for DES or RC-5, the product decryption key will be the same as the key used for product encryption in step 410; for asymmetric encryption algorithms (such as for public key encryption), the product decryption key might be different than the product encryption key (such as for RSA encryption). In both cases, the product decryption key is referred to herein as being "complementary" to the key used for product encryption in step 410.

10 The product decryption key is the only segment of the product registration package which should be transmitted to the license server securely. Other segments can be transmitted securely if desired or convenient, but this is not necessary. Security of the product decryption key can be ensured, for example, by public/private key encryption of the product decryption key itself, or by connecting to the license server 104 via a secure network.

20 The product broadcast package contains the following items. If more than one sub-product is included in the product broadcast package, then the package contains a set of these items for each sub-product.

- product ID
- 25 • preview material (unencrypted)
- free usage parameters
- purchasable usage parameter options
- Universal Resource Locator (URL) of license server 104
- 30 • copyright notice
- contact information for assistance or questions
- encrypted product less security fragments

- 19 -

As can be seen, whereas the great bulk of the product is transmitted via the uncontrolled distribution network 108, not only is it encrypted, but it is also incomplete so that even if it could be  
5 decrypted, for example by a powerful computer system, important fragments of the product simply are not there.

Fig. 5 is a flow chart illustrating the general operation of the reader system 106. When a user  
10 installs the reader software on the reader system 106, the reader software automatically generates an installation ID. The installation ID, which is stored on disk in the reader system 106, is a substantially unique identifier of the installation. The installation  
15 ID is stored in such a way that if the particular installation of the reader system software was to be copied to a different system, the installation ID would likely be copied as well.

In a step 502, the customer/user of the reader  
20 system 106 downloads the product broadcast package for a digital product that he or she wishes to examine. In a step 504, the customer performs one or more of the freely authorized functions, including a preview of the material in the digital product (if available). For  
25 example, if the digital product is a sound, the preview material might be a portion of that sound. If a digital product includes a movie, then the preview might be a portion of the movie, or a trailer. If the digital product is an image, then the preview material  
30 might include a thumb nail of the image. If the digital product is text, then the preview material might include an abstract.

In a step 506, the customer chooses to buy a license in accordance with one of the license options

- 20 -

made available in the usage parameters. In step 508, the customer enters his or her identification information, payment and contact information. The identification information can include the customer's name, address and phone, or optionally an arbitrary privacy ID. Such identification is desirable so that the licensing authority can identify the customer if and when the customer calls in for support. The payment information can include a credit card number and authorization and/or digital money information. Various forms of digital money are described in Daniel C. Lynch, "Digital Money" (John Wiley & Sons, 1996), incorporated herein by reference.

In a step 510, the reader system 106 prepares a product purchase package described hereinafter, and in a step 512, the reader system 106 uploads the product purchase package to the license server 104 at the URL identified in the product broadcast package. Note that multiple or bounce URLs may be available for this purpose. The product purchase package may be transmitted by secure channel and/or encrypted in a digital certificate. Assuming the product purchase package is in order, then in a step 514, the reader system receives the product server download package for the desired digital product. The product server download package need not be transmitted by secure channel. In a step 516, the reader system stores the product broadcast package on the reader system (or at least accessibly to the reader system) in conjunction with the product server download package. Either at that time or at a later time, at the customer's request, the reader system plays (or otherwise uses) the product (step 518). All further use of the product

- 21 -

by the customer occurs on the reader system 106 through the reader system software.

Fig. 6 is a flow chart of the step 510 (Fig. 5) in which the reader system 106 prepares the product purchase package. In a step 602, the reader system 106 generates a reader system signature (RSS) for the reading system 106. The manner in which the RSS is generated is described hereinafter. In a step 604, the reader system 106 retrieves the previously generated installation ID, and in a step 606, the reader system generates a digest of the encrypted product less the security fragments (as obtained from the product broadcast package). The digest performed in step 606 should be the same as that performed by the authoring system 102 in step 418 (Fig. 4).

In a step 608, the reader system 106 extracts the product ID from the product broadcast package and in a step 610, the reader system assembles the product purchase package.

The product purchase package includes the following items:

- product ID
- customer's installation ID
- customer's identification information (or privacy ID)
- customer's payment information
- customer's contact information (including information on where to send the product server download package)
- RSS of the reader system 106
- generated digest of the encrypted product less security fragments

- 22 -

The reader system signature can be generated in a number of different ways in different embodiments. In one embodiment, the system takes advantage of serial numbers or other identifying data which may be present  
5 in the reader computer system, and which carry external assurances of substantial uniqueness. That is, many computers when manufactured are assigned a serial number or other indicator which the manufacturer of the computer, or some other authority, guarantees to be  
10 unique. For example, Apple MacIntosh computers, when manufactured, are assigned an Ethernet address which is unique to that specific computer. Alternatively, the identifier can be assigned in software, such as in the operating system of the computer. It is not essential  
15 that whatever authority assigns the serial number guarantee uniqueness; it is sufficient only in that it be extremely unlikely that two computer systems which can act as reader systems 106 carry the same  
20 identifier. This is the case where, for example, the number carries external assurances of substantial uniqueness, such as in the case of Ethernet addresses.

In another embodiment, the reader system signature does not rely on a component having an identifier that carries external assurances of  
25 substantial uniqueness. Instead, a plurality of components (hardware or software) are examined to determine individual component signatures. The individual component signatures are then combined to form the overall reader system signature. In one  
30 embodiment, the individual component signatures are all concatenated together in a predetermined sequence to form the overall reader system signature. The individual component signatures may be digested prior to concatenation in order to limit their size to the

- 23 -

predefined field size. In another embodiment, optionally after digesting, the individual component signatures are averaged or summed together to form the overall reader system signature. The individual  
5 component signatures can be weighted prior to combination, in order to reduce the impact on the reader system signature that would result from changes in components that are more frequently subject to upgrade or replacement.

10 In one embodiment, the reader system 106 generates the reader system signature in dependence upon component signatures from the following components, to the extent present in the system. Except as indicated below, most of the component  
15 signatures set forth in this list are readable either from the CMOS or from a device manager driver. This is only an illustrative list; other embodiments can refer to other components not on this list.

20 Hard Disk Drive

- drive ID
- numbers of cylinders, sectors and heads
- drive defective sector map (obtained from sector 0)
- 25 • drive name
- drive manufacturer

Floppy Disk Controller

- I/O addresses and settings
- 30 • interrupt assignments
- manufacturer name

- 24 -

Monitor

- monitor name
- monitor type

5 Display Adaptor

- device name
- on-board memory

Mother Board

- 10 • CPU type
- CPU speed
- total memory present
- total cache present
- cache timings (measured empirically)

15

Ports

- I/O addresses and settings
- interrupt assignments

20 Sound, Video and Game Controllers

- device name
- driver name
- driver version

25 System Devices

- CMOS profile

In yet another embodiment, a combination of individual component signatures also includes one or  
30 more component signatures that carry external



- 25 -

assurances of substantial uniqueness, to the extent such a component exists in the machine.

Fig. 7 is a flow chart illustrating one technique for generating the reader system signature for reader system 106. In a step 704, it is determined whether the reader system 106 includes a component which has an ID that carries external assurances of substantial uniqueness. If so, then the reader system signature is given by the component ID of that component (step 706). If not, then in step 708, the reader system 106 obtains the data regarding the above-listed components to the extent present in the reader system 106. In a step 710, each of the individual component signatures is digested, and they are combined in step 712 to form the reader system signature.

Returning to Fig. 5, as previously mentioned, after the reader system prepares and uploads a product purchase package to the license server (step 512), the license server 104, if everything is in order, returns a product server download package to the reader system 106 (step 514). Fig. 8 is a flow chart of the steps which takes place in the license server 104 in response to receipt of a product purchase package. As used herein, steps which take place "in response to" a predecessor event, do so if the predecessor event influenced the performance of such steps. If there is an intervening time period, the performance of the steps can still be considered "responsive" to the predecessor event. If the performance of the steps depends on more than one predecessor event, then the steps are considered performed in response to each of the predecessor events.

In a step 802, the license server 104 compares the digest from the product purchase package with the

- 26 -

digest of the encrypted product less security fragments as stored on the server 104 with the product registration package for the product ID referred to in the newly received product purchase package. If the two digests do not match, then it is very likely that either the product broadcast package has been tampered with prior to generation of the digest on the reader system 106, or the customer is attempting to obtain the product server download package fraudulently. In this case, the license server 104 returns a package to the reader system 106 indicating that the attempt to purchase a license was unsuccessful (step 804).

If the two digests do match, then in step 806, the license server 104 processes the customer's payment information. If there is an error in this process, then again the license server returns an indication to the reader system 106 that the customer's attempt to purchase a license has been unsuccessful (step 804).

Assuming the customer's payment information was processed successfully, in step 808, the license server 104 stores the customer's RSS obtained from the product purchase package in conjunction with the customer's installation ID, also obtained from the product purchase package. This information need not be stored "on" the license server 104 itself, as long as it is stored in a manner in which it is "accessible" to the license server 104 at a future time.

In a step 810, the license server 104 performs certain fraud detection checks. This step is optional in different embodiments, as indicated by the dotted line surrounding the box in Fig. 8. If performed, the fraud detection step 810 can include a check of the installation ID from the product purchase package

- 27 -

against the installation IDs that have been stored previously on the license server for other product purchases. If a large number of purchases have been made using product purchase packages specifying the same installation ID, then it is likely that someone has altered an installation of the reader system software and is passing it around to different customers who are using it to purchase licenses. The same is true if the same license has been purchased several times from the same installation ID, or if several significantly varying reader system signatures have been stored in the license server's database in conjunction with the same installation ID. A number of other fraud detection mechanisms can also be employed. In any event, an investigation is warranted if step 810 suggests that an altered version of the reader system software might be being distributed.

The flow chart of Fig. 8 continues after step 810 with step 902 in Fig. 9, as indicated by the symbol "9" in both Figs. 8 and 9.

In Fig. 9, in step 902, the license server further encrypts the already once-encrypted security fragments (from the product registration package) using the customer's RSS as a key. The key used in step 902 need not be the RSS exactly; it can be some other number which depends on the RSS. For example, it can be a digest reduction of the RSS from the customer's product purchase package. In any event, step 902 results in "double-encrypted" security fragments from the digital product.

In step 902, the product decryption key from the product registration package is also encrypted using the customer's RSS (or a number derived therefrom) as a key. Note that in a different embodiment, either

- 28 -

step 902 or step 904 can be omitted, although such an omission would likely reduce the security of the overall system.

In a step 906, the license server 104 assembles  
5 the product server download package, and in a step 908, it transmits the product server download package back to the reader system 106. Processing then resumes in the reader system 106 at step 514 (Fig. 5).

The product server download package includes the  
10 following items:

- product ID
- paid usage parameters
- payment confirmation information (such as a credit card payment confirmation)
- 15 • digest of full encrypted product (from the product registration package stored on the license server 104)
- encrypted product decryption key (product decryption key encrypted with the customer's RSS)
- 20 • double-encrypted security fragments (encrypted security fragments further encrypted with the customer's RSS)

Fig. 10 is a flow chart of the step 806 (Fig. 8),  
25 in which the license server 104 processes the customer's payment information. Fig. 10 illustrates the process where the customer is paying by credit card; a similar process would take place where the customer is paying with digital money or in some other  
30 payment form.

In step 1002, the license server 104 transmits the charge information to a credit card clearing house. The credit card clearing house returns either an approval code or an error. In step 1004, if an error  
35 was received, then the license server 104 returns an

- 29 -

error to step 806 (Fig. 8) (Step 1006). If an approval code was received, then in step 1008, the license server 104 credits the author's account with the amount of the approved purchase price less a commission. In  
5 step 1010, the license server 104 returns successfully to the step 806 (Fig. 8).

Returning to Fig. 5, as previously mentioned, each time the customer desires to use the digital product, he or she does so using the reader system  
10 software on the reader system 106. Fig. 11 is a flow chart of the step 518 in which the reader system plays the digital product. (The terms "play", "view" and "use" are used interchangeably herein as regards a digital product.) Referring to Fig. 11, in a step 1102, the  
15 reader system 106 regenerates the RSS for the reader system. This step takes place using the same algorithm that was used in step 602 (Fig. 6) when the RSS was generated for preparation of the product purchase package. In a step 804, the reader system 106 decrypts  
20 the double-encrypted security fragments using the new RSS as a key. As mentioned with respect to step 904 (Fig. 9), the key used in step 1104 need not be the RSS identically; another number which depends on the RSS can be used instead. However, whatever algorithm is  
25 used to derive the key from the RSS in step 1104 should be the same as that used in step 904.

In step 1106, the reader system 106 merges the encrypted security fragments into the encrypted product less the encrypted security fragments, thereby  
30 assembling a complete, but still encrypted, version of the digital product. In step 1108, the full encrypted digital product is digested using the same algorithm as was used originally by the authoring system 102 in step 414 (Fig. 4). In step 1110, the reader system 106

- 30 -

determines whether the newly calculated digest matches the digest which was provided by the license server 104 in the product server download package. If so, then usage of the product on the reader system 106 is  
5 authorized. Flow continues with the flowchart of Fig. 12 (as indicated by the number "12" in the small circles in both Figs. 11 and 12). If the two digests do not match in step 1110, then usage of the product on the reader system 106 is not immediately authorized. Flow  
10 continues with the flowchart of Fig. 13, as indicated by the number "13" in the small circles in both Figs. 11 and 13.

Referring to Fig. 12, since the two digests match in step 1110, the current reader system signature has  
15 been confirmed to be the same as that which was used when the reader system 106 first uploaded its product purchase package in step 512 (Fig. 5). It is also the same RSS that was used to encrypt the product decryption key as downloaded from the license server  
20 104 to the reader system 106 in steps 908 and 514. Accordingly, in step 1202, the reader system 106 decrypts the product decryption key from the product server download package using the current RSS. Again, the actual key used to decrypt the product decryption  
25 key in step 1202 need not be identical to the current RSS, as long as it is dependent thereon, and as long as the algorithm to generate the key is the same as that which was used to generate the key with which the product decryption key was originally encrypted in step  
30 904 (Fig. 9).

In step 1204, the reader system 106 decrypts the merged encrypted product using the product decryption key that was decrypted in step 1202. In step 1206, if the decrypted product was compressed, it is now

- 31 -

decompressed using an algorithm complementary to that used by the authoring system in step 408 (Fig. 4). The resulting decompressed digital product is transmitted in step 1210 to an appropriate viewer.

5           It will be appreciated that once the digital product is transmitted in step 1210 to a viewer, which may be any standard viewer appropriate to the content of the digital product, the output stream is no longer secured by the mechanisms built into the overall system  
10 as described herein. Accordingly, a step 1208 is optionally inserted between steps 1206 and 1210 of Fig. 12. In an embodiment which includes step 1208, a fingerprint and/or a watermark is (are) inserted into the digital output stream prior to or while it is being  
15 provided to the viewer. Watermarking is a technique using a visible identifier that will let the user know that he or she has been associated with this particular instance of the content. It acts primarily as a deterrent. Fingerprinting embeds and hides codes into  
20 the output stream itself that are retrievable only by the author or by the licensing authority. Such codes uniquely associate the particular copy of the digital product with the individual who purchased it. Fingerprinting is used primarily for criminal  
25 prosecution and court proceedings.

          If fingerprinting is used, preferably the fingerprint is inserted in a manner which does not affect the resulting viewing experience. For example, if the output stream includes CD audio, then the  
30 fingerprint can be spread over a large number of the audio samples, either substituting for the low-order bit or modifying the low-order bit in an exclusive OR manner in each sample. Alternatively, to avoid differential cryptanalysis, the data stream can be

- 32 -

transformed into the frequency domain, modified in the frequency domain to insert the fingerprint codes, and then transformed back to the time domain. Also for images, steganographic techniques can be used to insert the fingerprint into the image. Steganography is described in Neil F. Johnson, "Steganography", available at [http:// adams.patriot.net/ ~johnson/ html/ neil/ stegdoc/ stegdoc.html](http://adams.patriot.net/~johnson/html/neil/stegdoc/stegdoc.html), visited March 4, 1997, incorporated by reference herein. The fingerprint to be inserted in the digital output stream should preferably be either the installation ID of the reader system 106, or the reader system signature that was generated at the time of product usage (step 1102). Optionally, the output stream can also be randomly seeded to further hamper differential cryptanalysis. In this manner, if pirated copies of a digital product do begin to appear, the author of the product or the licensing authority should be able to determine the original source of the pirated copies by examining the fingerprint.

Returning to Fig. 11, if the two digests do not match (step 1110), then the reader system 106 has determined that the newly generated reader system signature is not the same as that which was generated in step 602 (Fig. 6) at the time of product purchase. In an aspect of the invention, this determination does not immediately preclude usage of the product by the customer on the reader system 106. Instead, proceeding in Fig. 13, in a step 1302, the reader system 106 prepares a re-validation package. The re-validation package can be the same as set forth above with respect to the product purchase package, except that the customer's payment information can be omitted. In step 1304, the reader system 106 uploads the re-validation



- 33 -

package to the license server 104 at the URL identified in the product broadcast package. The license server's operations in response to receipt of a re-validation package are set forth in Fig. 14.

5 Referring to Fig. 14, in a step 1402, it is first determined whether the RSS in the re-validation package was based on a component in the reader system 106 having external assurances of substantial uniqueness. If so, then re-validation is considered unsuccessful  
10 (step 1404) and this result is returned to the reader system 106. If the RSS in the re-validation package was not based on a component having external assurances of substantial uniqueness, then in step 1406, the license server 104 compares the new RSS from the re-  
15 validation package to the RSS previously stored accessibly to the server for the same reader system 106 (as identified by the installation ID specified in the re-validation package). If the difference between the two RSS's exceeds the threshold that was specified by  
20 the author in the usage parameters stored on the server 104 for the product ID specified in the re-validation package (step 1408), then, again, re-validation is unsuccessful and such a result is returned to the reader system 106 (step 1404). In different  
25 embodiments, the threshold can be specified as a percentage of one or the other RSS, or as a number of component signatures which differ between the two RSS's, or by a number of other different specifications.

30 If the difference between the two RSS's does not exceed the designated threshold (step 1408), then the re-validation is considered successful. The license server 104 prepares a new product server download package using the same algorithms as set forth above

- 34 -

with respect to Fig. 9, but using the new RSS for encryption instead of the RSS that was used to download the original product server download package upon purchase. The new product server download package is then transmitted back to the reader system 106 with re-validation. Optionally, in order to assist investigation of any potential fraud, in step 1410, the license server 104 also stores the new RSS in conjunction with the installation ID specified in the re-validation package. A history of such ostensible reader system upgrades is maintained on the server 104.

Fig. 15 is a detail of step 1408 (Fig. 14) in which the license server 104 determines whether the difference between the two RSS's exceeds the threshold specified by the author in the usage parameters for the digital product. The flowchart set forth in Fig. 15 represents one embodiment, in which the threshold has been specified as a percentage. In a step 1502, the server 104 calculates the weighted sum of the RSS received in the product re-validation package. In a step 1504, the server 104 makes the same calculation with respect to the RSS previously stored on the server 104. In step 1506, the license server 106 determines whether the difference between the two calculated values exceeds the threshold specified by the author in the usage parameters. If so, then in step 1508, the routine returns to Fig. 14 affirmatively. If not, then in step 1510, the routine returns to Fig. 14 negatively.

Fig. 16 is a detail of step 1408 (Fig. 14) as performed in a second embodiment, in which the upgrade drift percentage is specified as a maximum number of components whose individual component signatures can differ between the two RSS's. In step 1602, the server

- 35 -

104 counts the number of components of the RSS in the re-validation package, which differ from the corresponding components of the RSS previously stored on the server 106 from the original product purchase package. If the count exceeds the predetermined drift threshold, then the routine returns affirmatively (step 1606). If not, then it returns negatively (step 1608).

Returning to the reader system flow as illustrated in Fig. 13, after the reader system 106 uploads the re-validation package to the license server 104, in a step 1306, the reader system 106 receives the re-validation result. If the re-validation was unsuccessful (step 1308), then the reader system displays an error message to the user and requests the customer to call customer service of the licensing authority (step 1310). In this situation, automatic re-validation has failed, and manual re-validation as in step 1310 is necessary. During the call, a customer service representative can determine whether the customer's license should be extended to cover the reader system 106 as it now stands. If automatic re-validation was successful (step 1308), then the reader system returns to step 514 (as indicated by the numeral "5" in the small circle in both Figs. 13 and 5) to store and process the new product server download package in the same manner as it processed the original product server download package received upon purchase.

It can be seen that a secure product distribution mechanism has been described which takes advantage of the benefits of an uncontrolled distribution network, while ensuring that authors and proprietors of digital products are paid an appropriate royalty for their efforts at creativity. In addition, the mechanism ensures that once a customer is licensed to use a

- 36 -

digital product on a particular reader system, that product cannot be used on any other reader system without re-validation. The mechanism allows for a certain amount of upgrade drift within which re-validation can be entirely automated.

The foregoing description of preferred embodiments of the present invention has been provided for the purposes of illustration and description. It is not intended to be exhaustive or to limit the invention to the precise forms disclosed. Obviously, many modifications and variations will be apparent to practitioners skilled in this art. For example, whereas the flowcharts described herein illustrate steps being performed in a particular sequence, it will be appreciated that in many instances the sequence of the steps can be reversed, or the steps can be performed in a pipelined, overlapping manner, or both, without departing from the scope of the invention. The embodiments herein were chosen and described in order to best explain the principles of the invention and its practical application, thereby enabling others skilled in the art to understand the invention for various embodiments and with various modifications as are suited to the particular use contemplated. It is intended that the scope of the invention be defined by the following claims and their equivalents.

- 37 -

CLAIMS

1. A method for preparing a digital product for controlled distribution using a distribution network, comprising the steps of:
- encrypting said product;
  - separating at least one encrypted fragment from said encrypted product;
  - transmitting said encrypted product less said at least one encrypted fragment onto said distribution network; and
  - withholding said at least one encrypted fragment from said distribution network.
2. A method according to claim 1, further comprising the step of transmitting said at least one encrypted fragment to a license server.
3. A method according to claim 2, further comprising the step of transmitting to said license server a decryption key that can be used to decrypt said product.
4. A method according to claim 1, wherein said encrypted product includes a header portion followed by a remainder portion,
- and wherein said step of separating at least one encrypted fragment from said encrypted product comprises a step of separating from said encrypted product an encrypted fragment that includes at least part of said header portion.

- 38 -

5. A method according to claim 1, wherein said encrypted product consists of a starting byte followed at least logically by all remaining bytes,

and wherein said step of separating at least one  
5 encrypted fragment from said encrypted product comprises a step of separating from said encrypted product an encrypted fragment that includes said starting byte.

10 6. A method according to claim 1, wherein said encrypted product consists of a plurality of data bytes,

and wherein said at least one encrypted fragment consists of not more than five percent of said data  
15 bytes.

7. A method for controlling usage of a digital product, comprising the steps of:

storing accessibly to a server at least one  
20 fragment of an encrypted version of said digital product;

receiving product request information for acquisition by a user, of a usage license for said digital product; and

25 transmitting a version of said at least one fragment as stored accessibly to said server to said user in response to receipt of said product request information, transmissions of said at least one fragment to said user in response to receipt of said  
30 product request information being limited to less than all of said digital product.

- 39 -

8. A method according to claim 7, wherein less than all of said digital product is accessible to said server.

5 9. A method according to claim 7, wherein said product request information includes payment information,

further comprising a step of transmitting paid usage parameters to said user in response to said  
10 receipt of said product request information.

10. A method according to claim 7, wherein said product request information further includes a digest of a portion of a version of said digital product, said  
15 portion being non-co-extensive with said at least one fragment, further comprising the steps of:

storing a digest of said portion accessibly to said server prior to said step of receiving product request information; and

20 in response to receipt of said product request information, comparing said digest in said product request information with said digest stored accessibly to said server.

25 11. A method according to claim 7, wherein said product request information further includes a reader system signature of a particular reader system,

further comprising a step of encrypting at least one of said at least one fragment as stored accessibly  
30 to said server, in dependence upon said reader system signature, to form a further encrypted version of said at least one fragment as stored accessibly to said server,

- 40 -

the version transmitted to said user in said step of transmitting including said further encrypted version of said at least one fragment.

5           12. A method according to claim 7, wherein said product request information further includes a reader system signature of a particular reader system, further comprising the steps of:

                  storing a product decryption key accessibly to  
10 said server prior to said step of receiving product request information;

                  encrypting said product decryption key in dependence upon said reader system signature, to form an encrypted product decryption key; and

15           transmitting said encrypted product decryption key to said user in response to receipt of said product request information.

                  13. A method according to claim 7, wherein said  
20 product request information further includes a first reader system signature of a particular reader system, further comprising the step of storing said reader system signature accessibly to said server, in response to receipt of said product request  
25 information;

                  and further comprising the steps of, subsequently to said step of transmitting:

                  receiving a product re-validation request identifying said particular reader system and including  
30 a second reader system signature;

                  determining whether differences between said first and second reader system signatures satisfy predetermined re-validation criteria.



- 41 -

14. A method according to claim 13, wherein said differences between said first and second reader system signatures satisfy said re-validation criteria, further comprising a step of encrypting at least one of said at least one fragment as stored accessibly to said server, in dependence upon said first reader system signature, to form a first further encrypted version of said at least one fragment,

the version transmitted to said user in said step of transmitting including said first further encrypted version of said at least one fragment;

said method further comprising the steps of:

encrypting said at least one of said at least one fragment as stored accessibly to said server, in dependence upon said second reader system signature, to form a second further encrypted version of said at least one fragment; and

transmitting said second further encrypted version of said at least one fragment to said user in response to said step of determining.

15. A method according to claim 13, wherein said differences between said first and second reader system signatures satisfy said re-validation criteria, further comprising the steps of:

storing a product decryption key accessibly to said server prior to said step of receiving product request information;

encrypting said product decryption key in dependence upon said first reader system signature, to form a first encrypted product decryption key; and

transmitting said first encrypted product decryption key to said user in response to receipt of said product request information,

- 42 -

said method further comprising the steps of:  
encrypting said product decryption key in  
dependence upon said second reader system signature, to  
form a second encrypted product decryption key; and  
5 transmitting said second encrypted product  
decryption key to said user in response to said step of  
determining.

16. A method for controlled usage of a digital  
10 product, comprising the steps of:  
developing a first signature of a first reader  
system in dependence upon a first group of at least one  
component as present in said first reader system at a  
first time;  
15 at a second time subsequent to said first time,  
developing a second signature of a second reader system  
in dependence upon a second group of at least one  
component present in said second reader system at said  
second time;  
20 using a digital product at said second time if  
and only if said first and second signatures satisfy  
predetermined reader system drift criteria, said  
predetermined reader system drift criteria not  
requiring identity between said first and second  
25 signatures.

17. A method according to claim 16, wherein said  
digital product comprises a sound, and wherein said  
step of using said digital product comprises a step of  
30 playing said sound.

18. A method according to claim 16, wherein said  
digital product comprises software and wherein said

- 43 -

step of using said digital product comprises a step of executing said software.

19. A method according to claim 16, wherein said  
5 first and second signatures do not satisfy said predetermined reader system drift criteria, further comprising the steps of:

manually communicating with a licensing authority for re-authorization; and  
10 using said digital product at a time subsequent to said second time in response to said re-authorization.

20. A method according to claim 16, wherein said  
15 second reader system is said first reader system.

21. A method according to claim 16, wherein said  
step of using said digital product at said second time if and only if said first and second signatures satisfy  
20 predetermined reader system drift criteria, comprises the steps of:

said second reader system making a determination that said first and second signatures match; and  
using said digital product in response to said  
25 determination.

22. A method according to claim 21, further comprising the steps of:

storing accessibly to said second reader system  
30 a first digest of at least a covered portion of said digital product; and

storing, at said first time and accessibly to said second reader system, at least one fragment of said digital product encrypted in dependence upon said

- 44 -

first signature, said at least one fragment overlapping said covered portion of said digital product,

and wherein said step of said second reader system making a determination that said first and  
5 second signatures match, comprises the steps of:

decrypting said at least one fragment in dependence upon said second signature, to form at least one decrypted fragment;

10 digesting said covered portion of said digital product, using said at least one decrypted fragment, to form a second digest; and

comparing said second digest to said first digest.

15 23. A method according to claim 16, further comprising the step of storing said first signature accessibly to a server different from said second reader system,

20 and wherein said step of using said digital product at said second time if and only if said first and second signatures satisfy predetermined reader system drift criteria, comprises the steps of:

transmitting said second signature to said server; and

25 said server determining whether said first and second signatures satisfy said predetermined reader system drift criteria.

24. A method according to claim 16, wherein said  
30 reader system drift criteria are specified in conjunction with said digital product.

25. A method according to claim 16, wherein said first group includes more than one component, and

- 45 -

wherein said step of developing a first signature comprises the steps of:

developing a first component signature of each respective component in said first group as present in  
5 said first reader system at said first time; and  
combining said first component signatures into a first combined signature.

26. A method according to claim 25, wherein said  
10 second group includes more than one component, and wherein said step of developing a second signature comprises the steps of:

developing a second component signature of each respective component in said second group as present in  
15 said second reader system at said second time; and  
combining said second component signatures into a second combined signature,

wherein said first and second combined signatures constitute numerical combinations,  
20 and wherein said step of using said digital product at said second time if and only if said first and second signatures satisfy predetermined reader system drift criteria, comprises the step of using said digital product at said second time if and only if said  
25 second combined signature differs from said first combined signature by no more than a predetermined maximum drift percentage.

27. A method according to claim 25, wherein said  
30 step of combining comprises a step of concatenating said first component signatures into said first combined signature,

wherein said second group includes more than one component,

- 46 -

and wherein said step of developing a second signature comprises the steps of:

developing a second component signature of each respective component in said second group as present in  
5 said second reader system at said second time; and  
concatenating said second component signature into a second combined signature,

and wherein said step of using said digital product at said second time if and only if said first  
10 and second signatures satisfy predetermined reader system drift criteria, comprises the step of using said digital product at said second time if and only if a count of the number of said second component signatures in said second combined signature which differ from  
15 corresponding first component signatures in said first combined signature is no greater than a predetermined maximum drift number.

28. A method according to claim 16, further  
20 comprising the step of storing a version of said digital product accessibly to said second reader system, at least a portion of said version being encrypted in dependence upon said first signature.

29. A method according to claim 28, wherein said  
25 step of using said digital product at said second time if and only if said first and second signatures satisfy predetermined reader system drift criteria, comprises a step of decrypting said portion of said version in  
30 dependence upon said second signature.

30. A method according to claim 16, wherein said step of using said digital product comprises the steps of:

- 47 -

inserting into said digital product a fingerprint that substantially uniquely identifies said second reader system, said fingerprint being recoverable from said digital product; and

5 using said digital product with said fingerprint inserted.

31. A method according to claim 16, wherein said step of using said digital product comprises the steps  
10 of:

inserting into said digital product a watermark that substantially uniquely identifies said second reader system, said watermark being recoverable from said digital product; and

15 using said digital product with said watermark inserted.

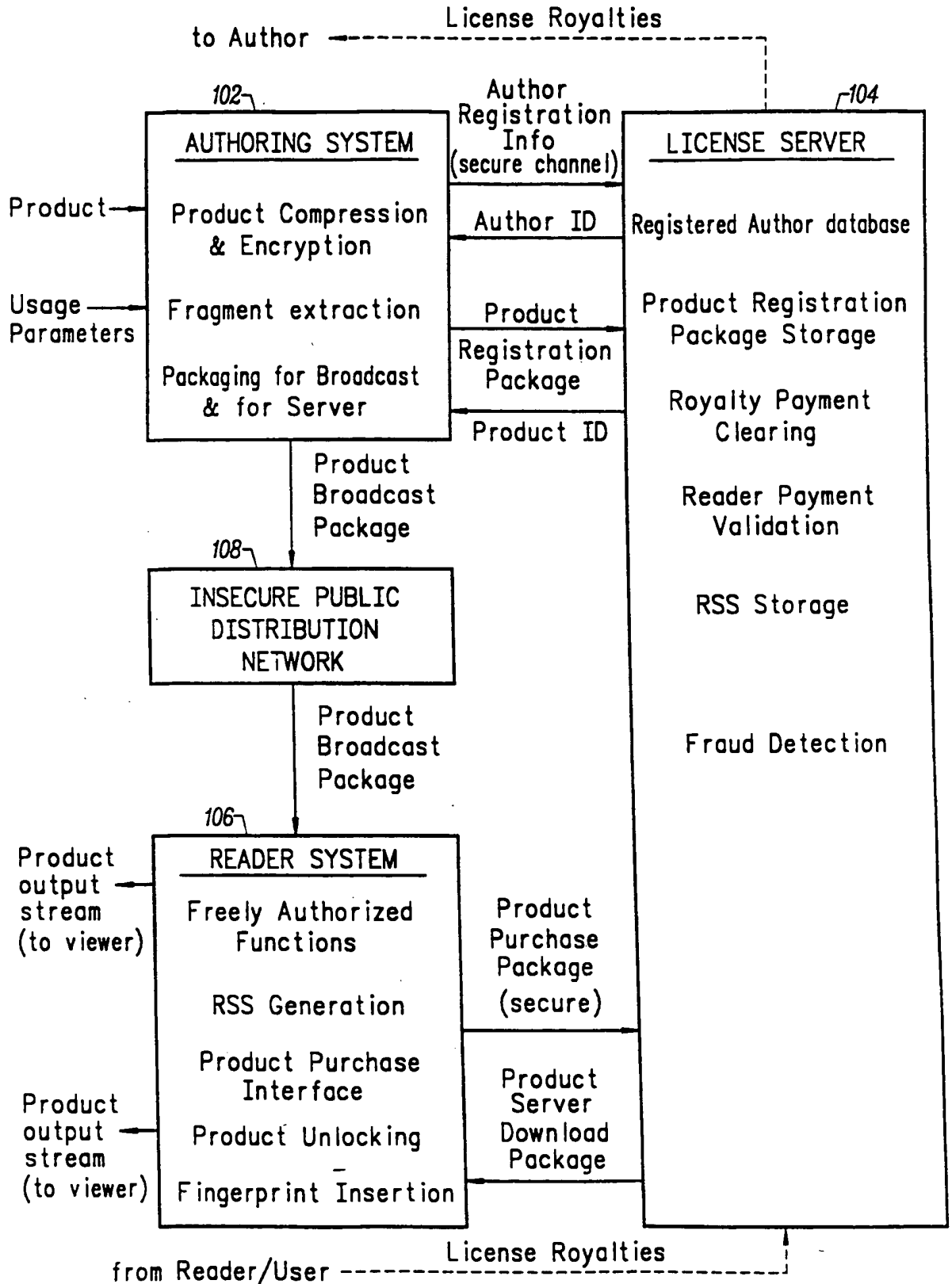


FIG. 1

SUBSTITUTE SHEET (RULE 26)



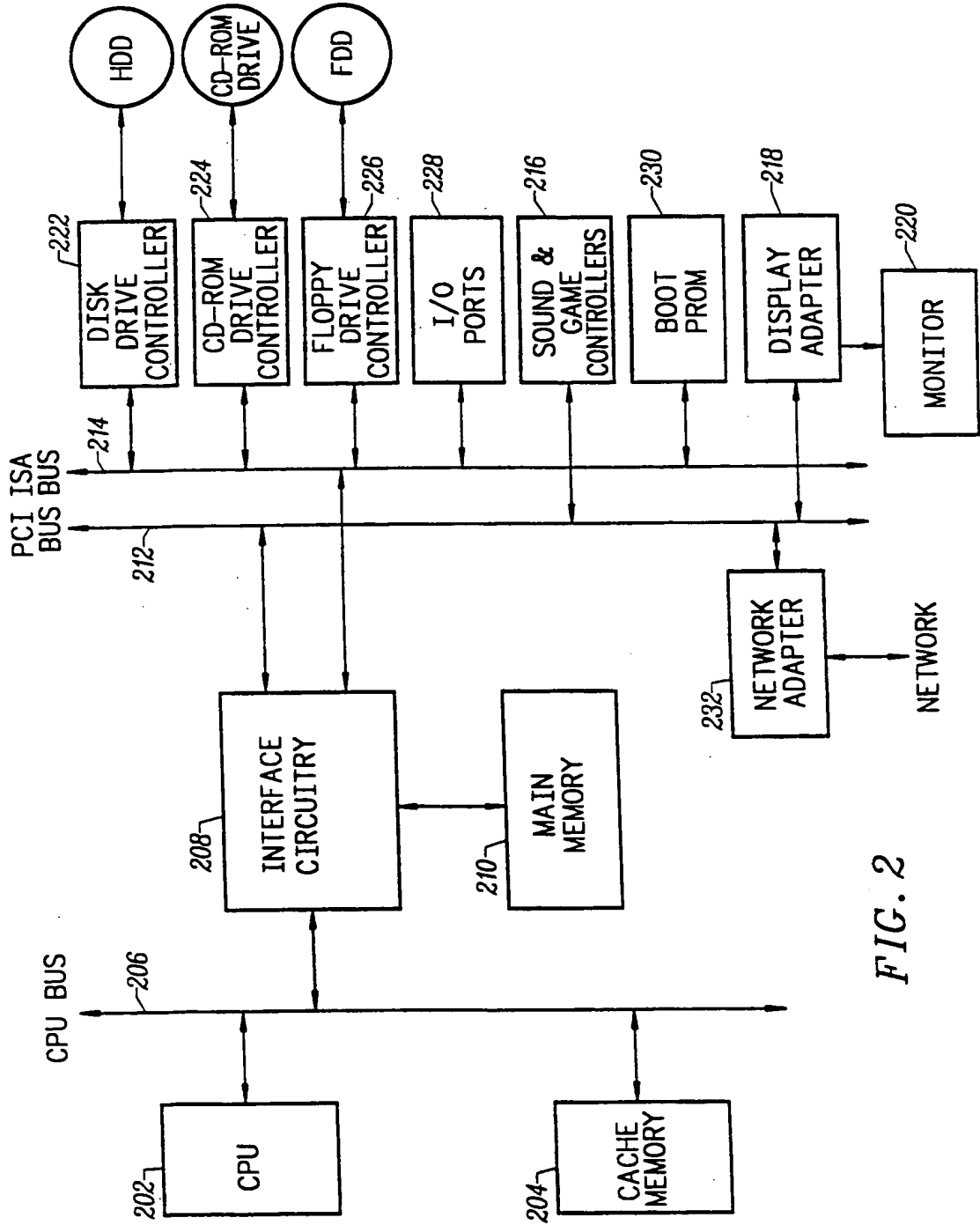


FIG. 2

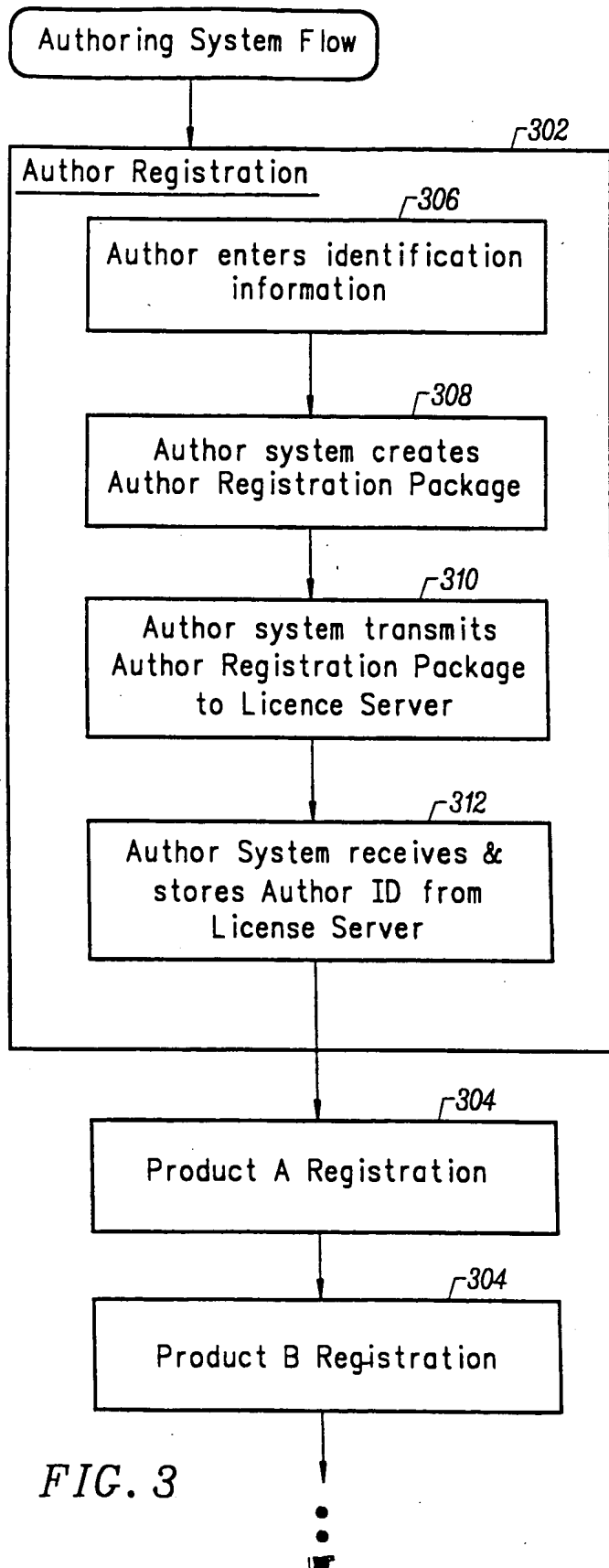


FIG. 3

SUBSTITUTE SHEET (RULE 26)

4/13

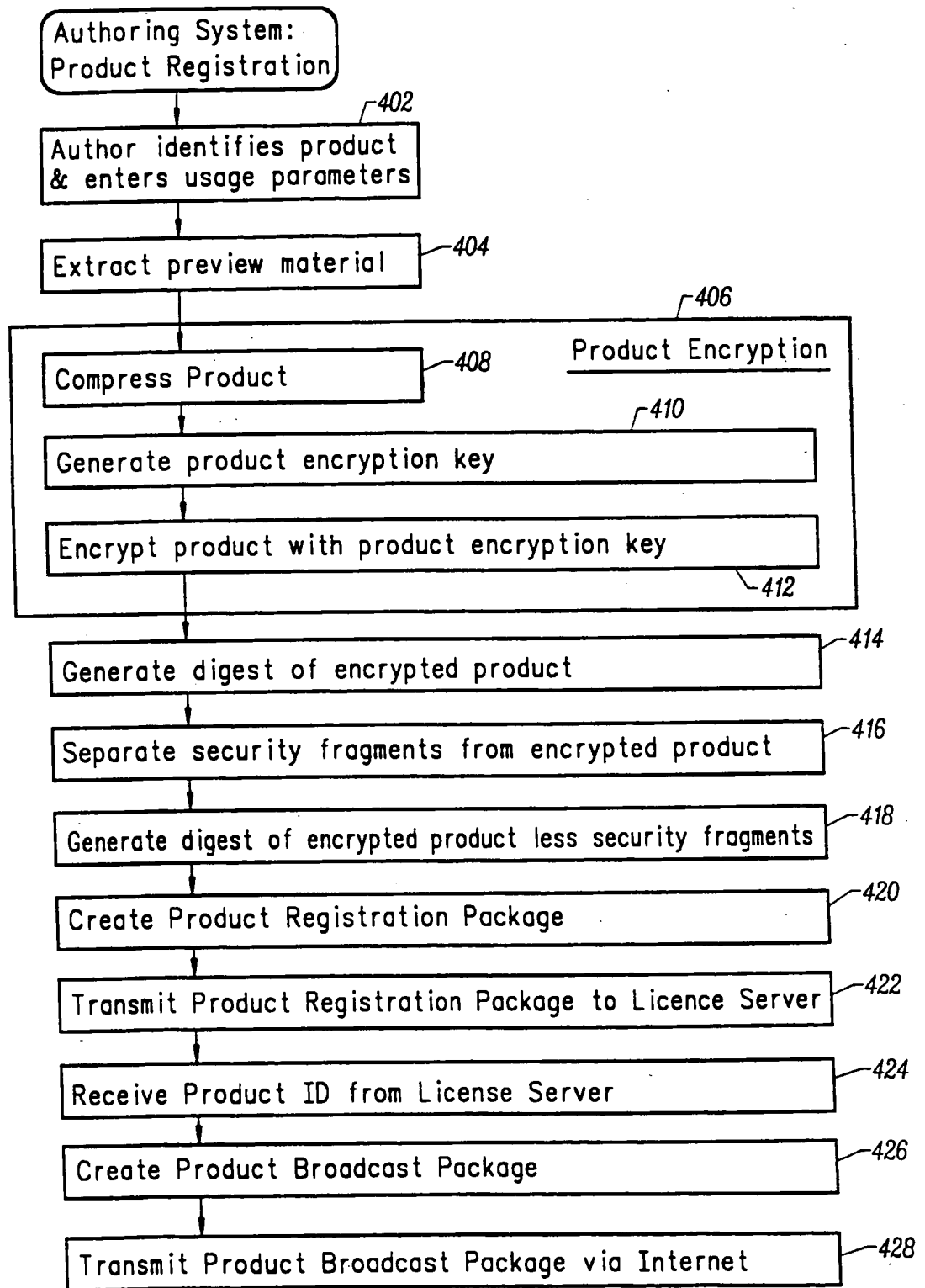


FIG. 4

SUBSTITUTE SHEET (RULE 26)

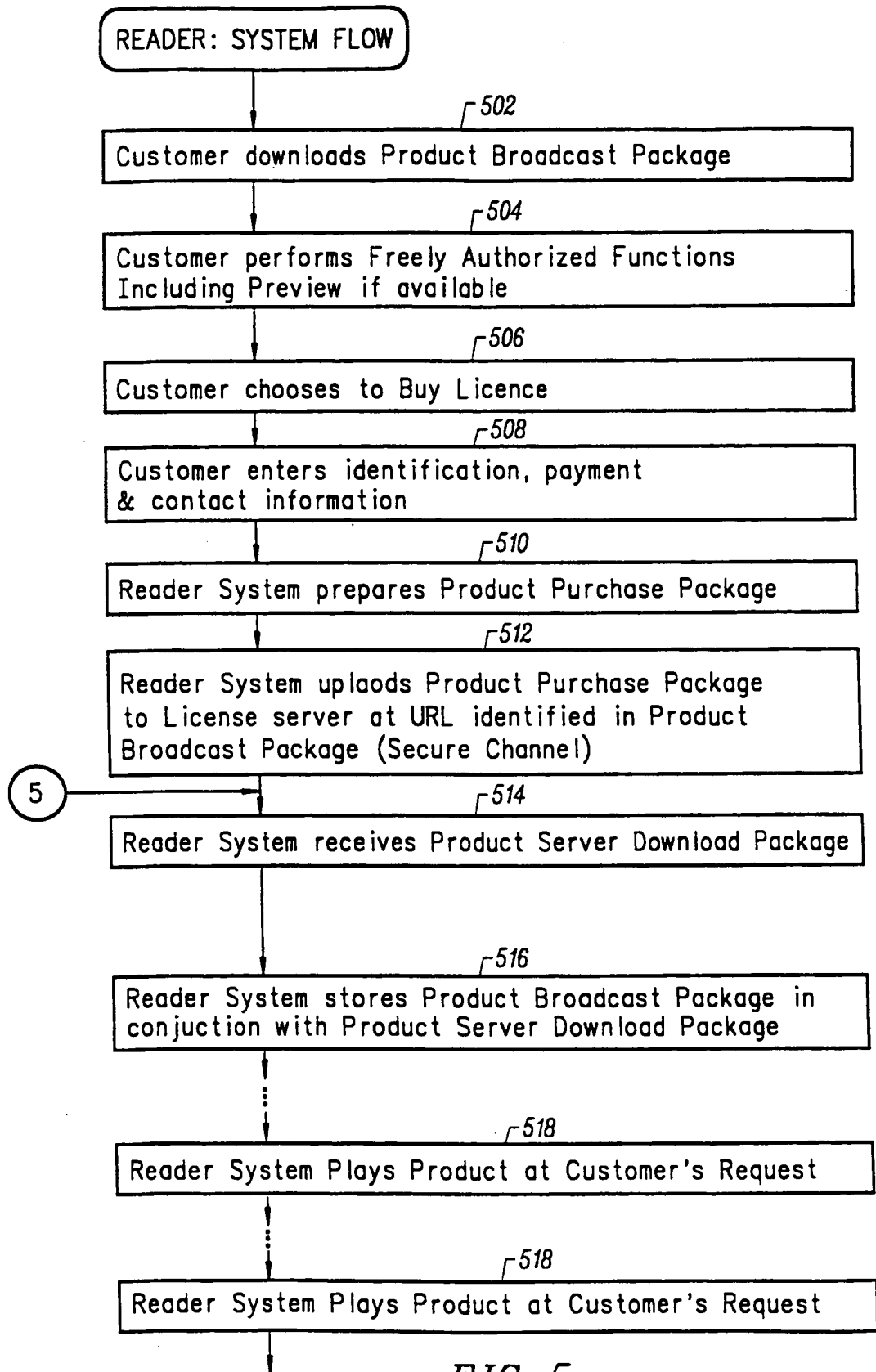


FIG. 5

SUBSTITUTE SHEET (RULE 26)

6/13

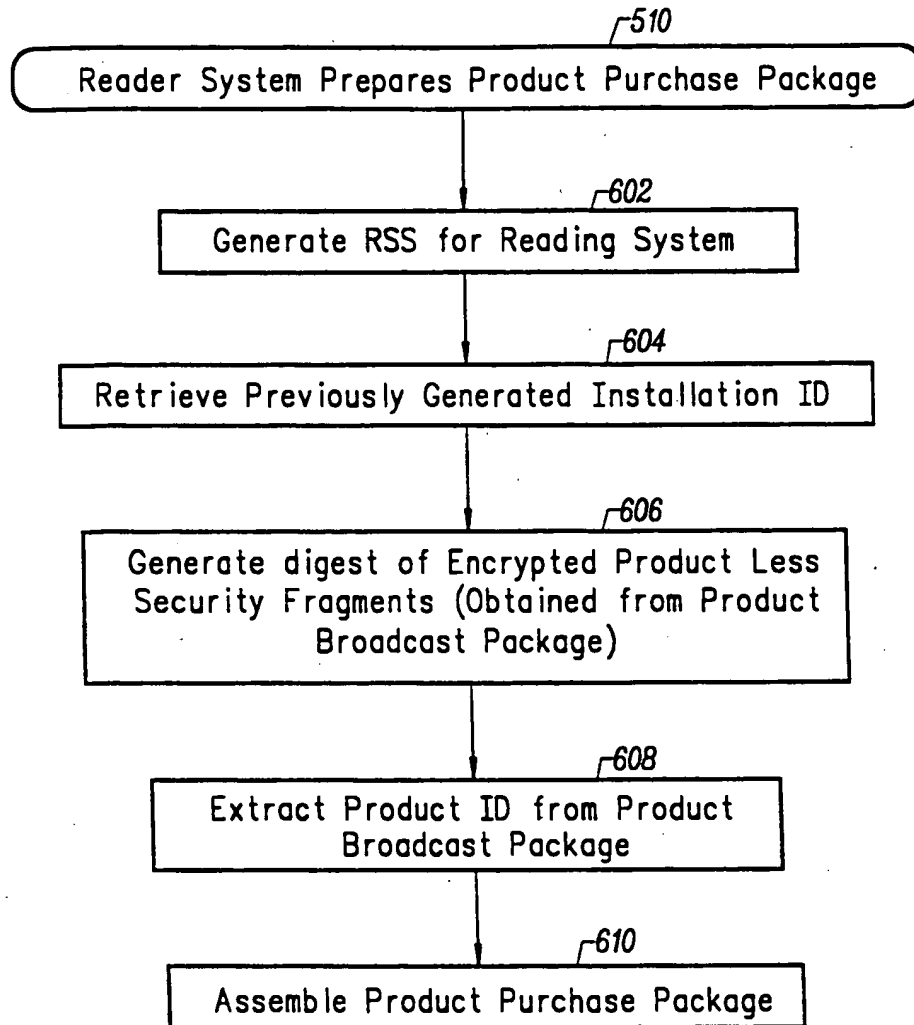


FIG. 6

7/13

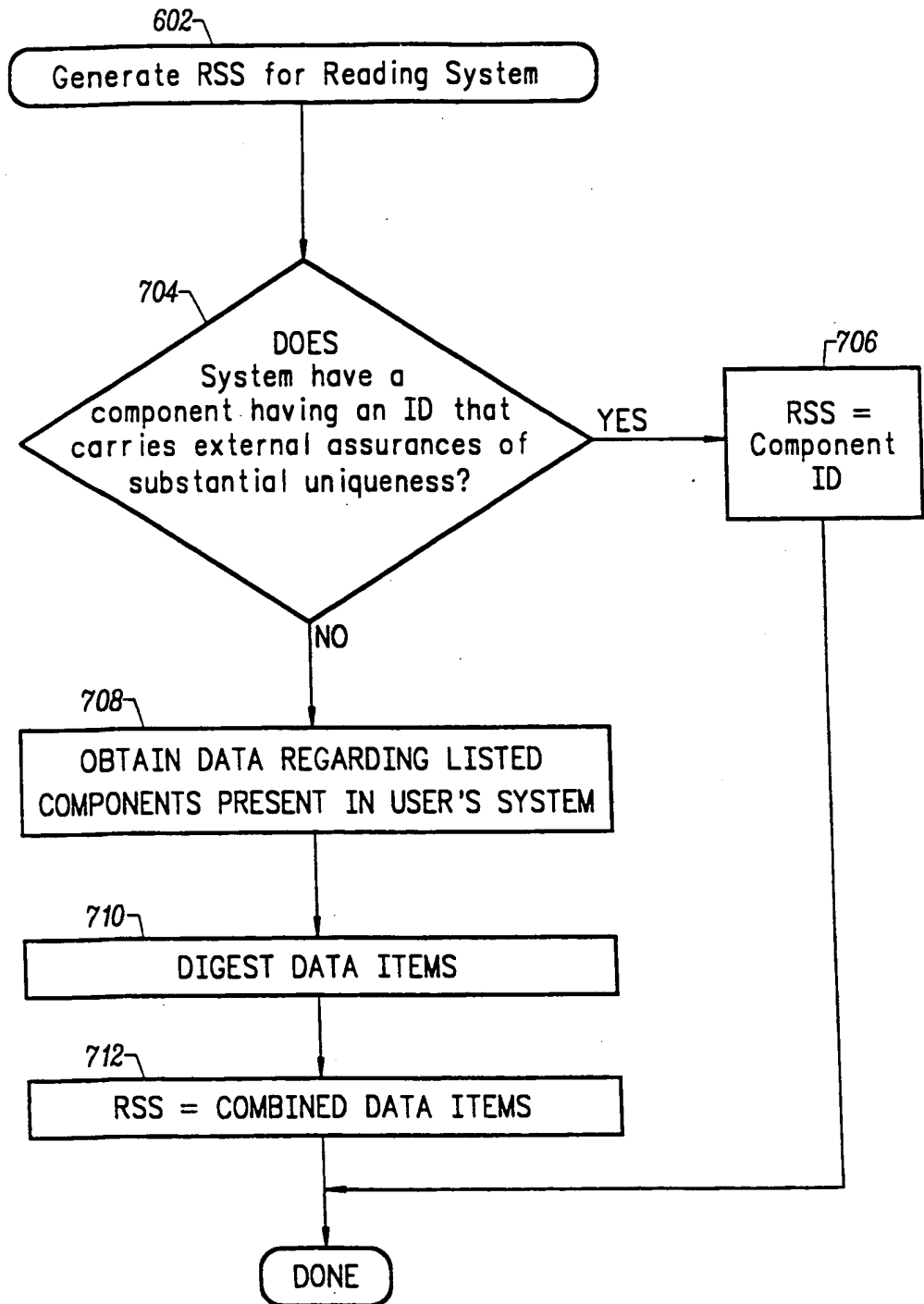


FIG. 7

8/13

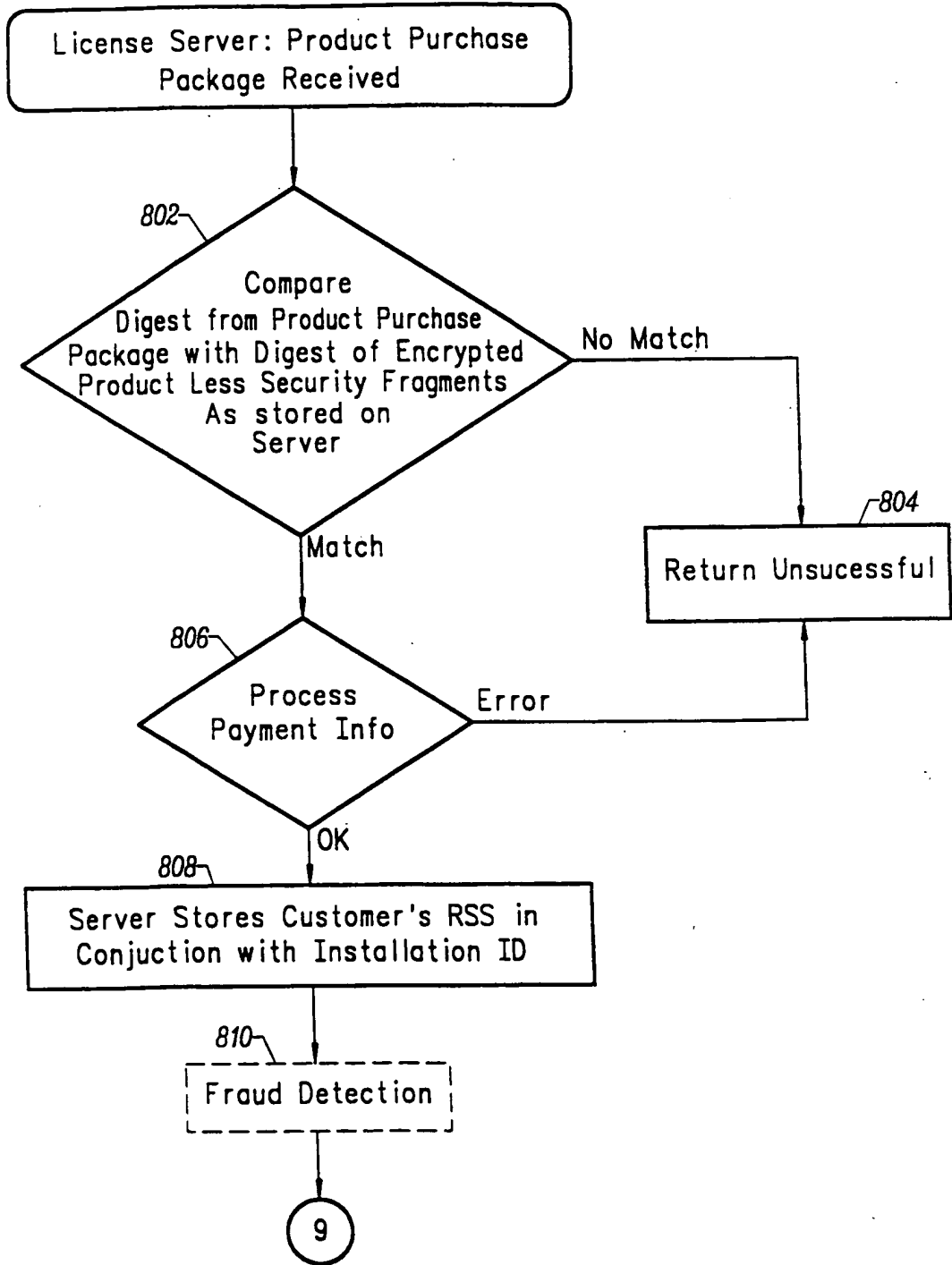


FIG. 8

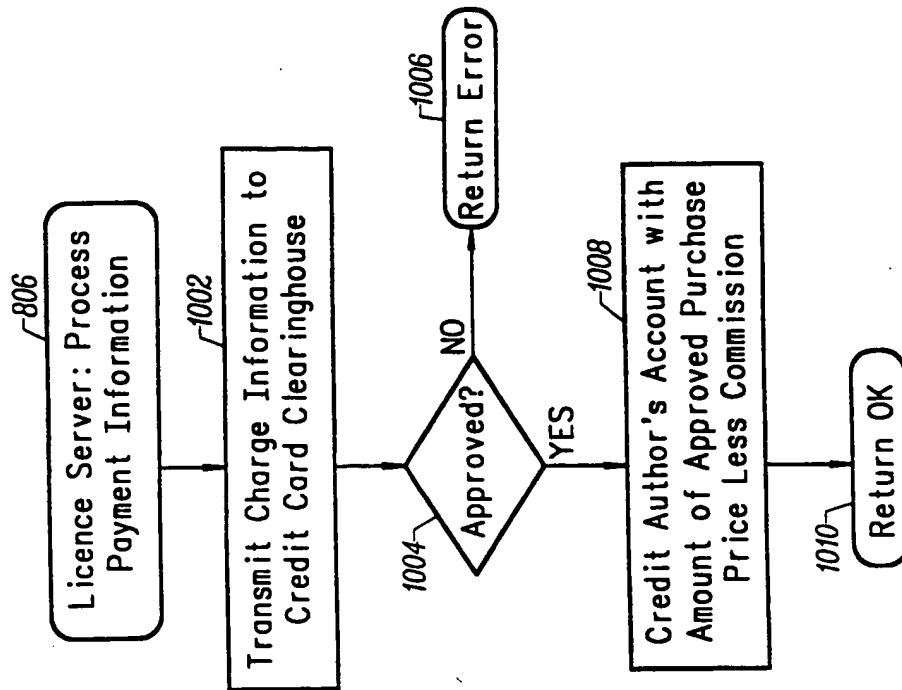


FIG. 10

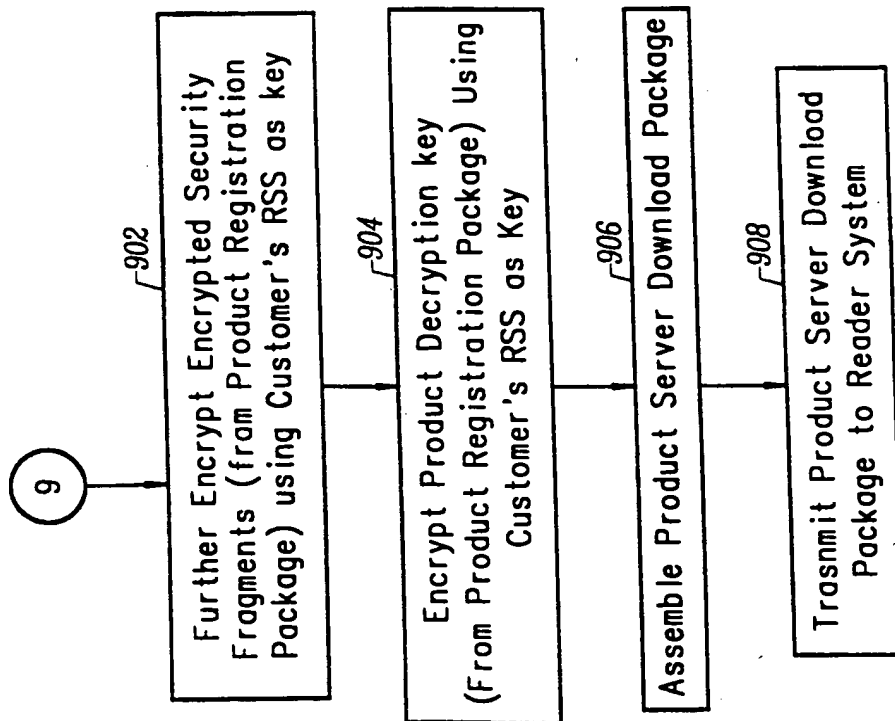


FIG. 9



10/13

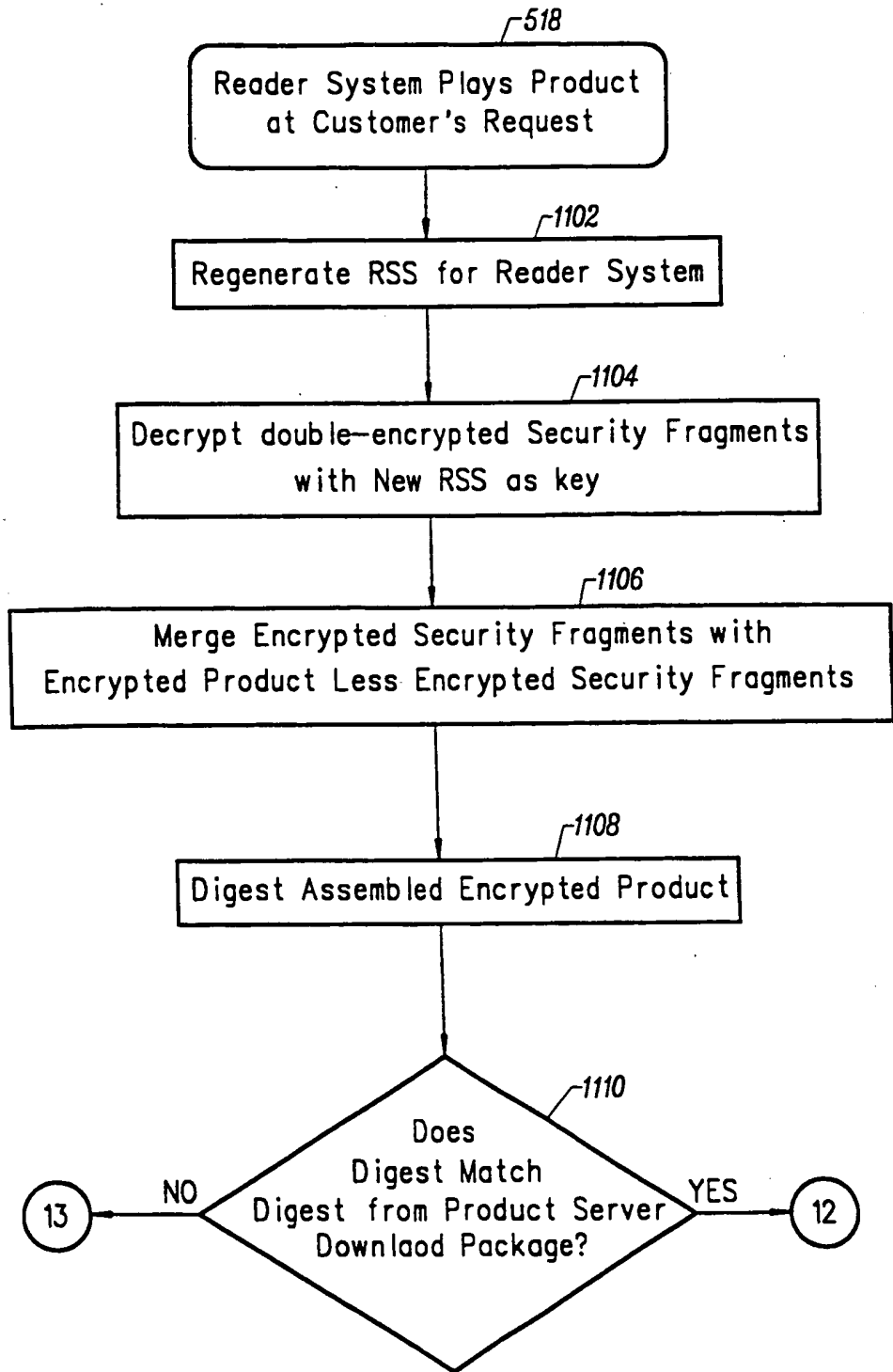


FIG. 11

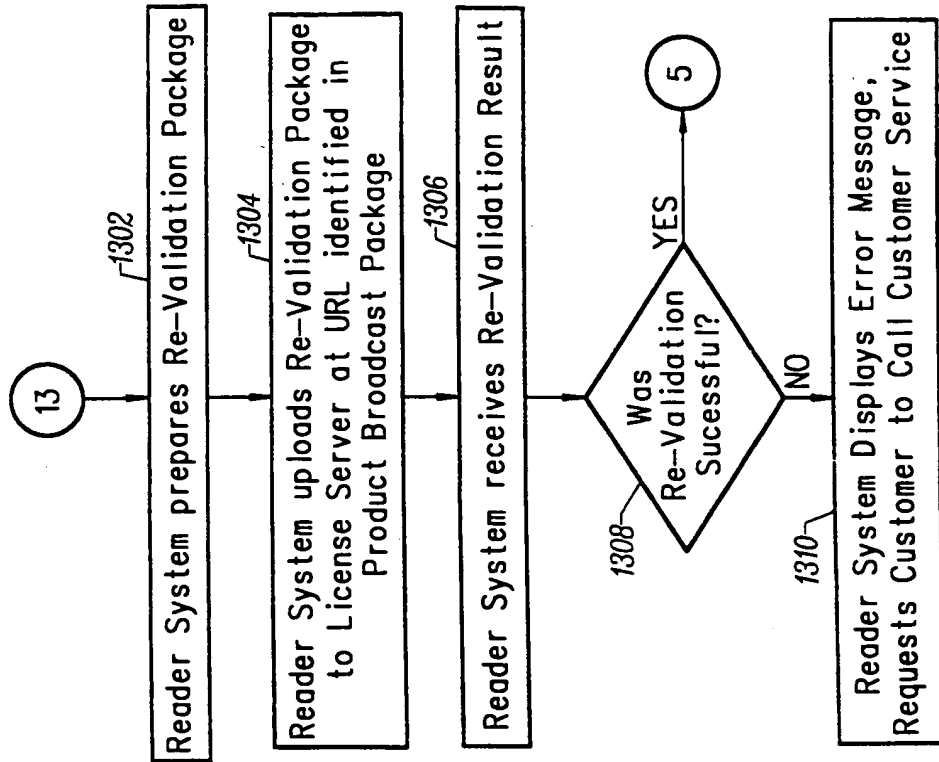


FIG. 13

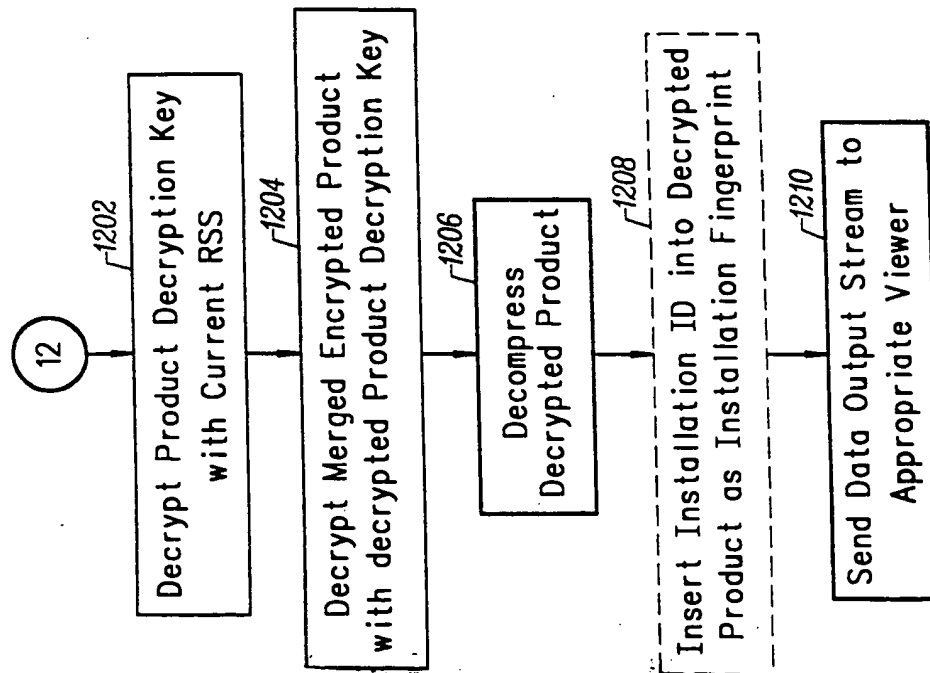


FIG. 12

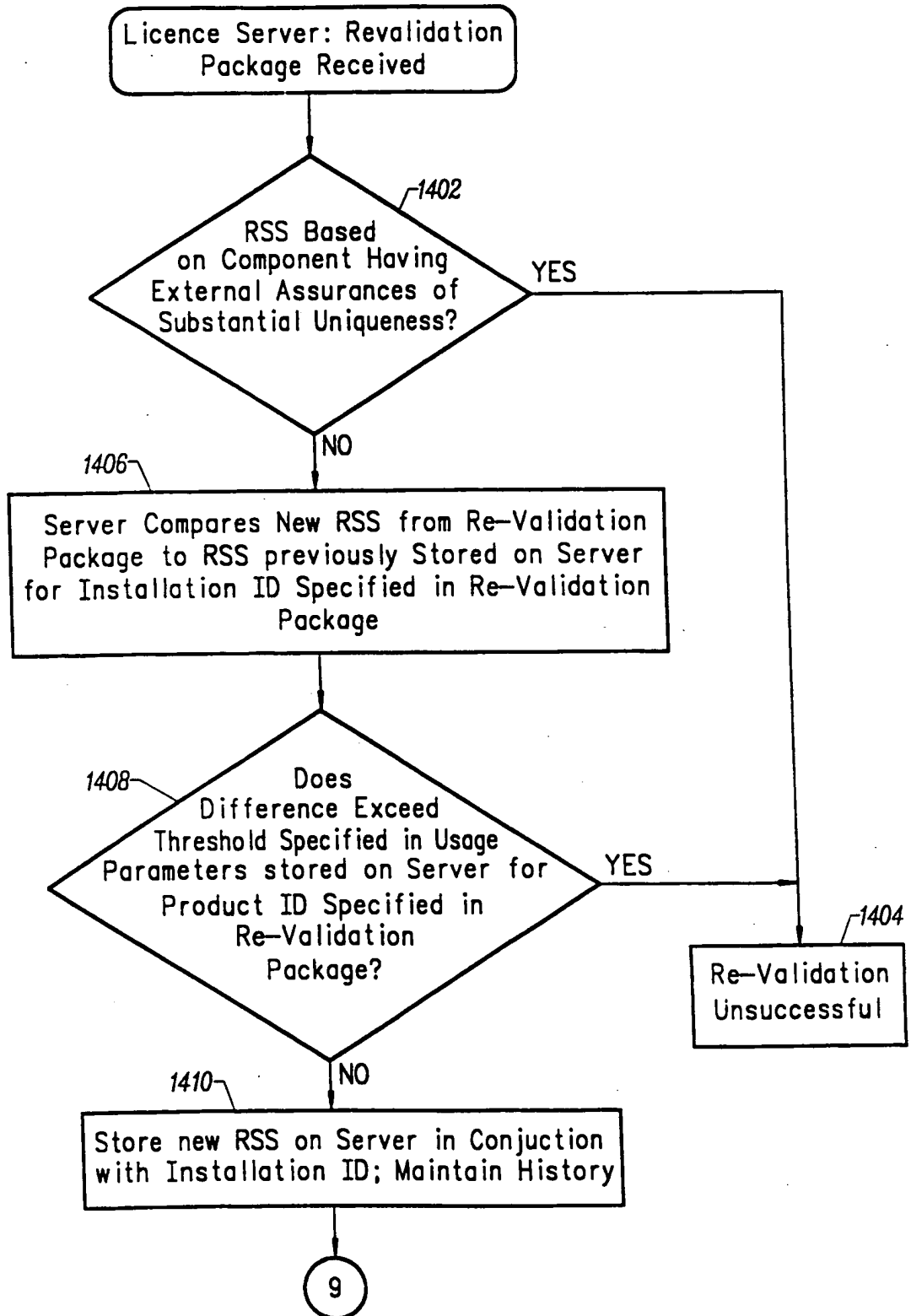


FIG. 14

SUBSTITUTE SHEET (RULE 26)

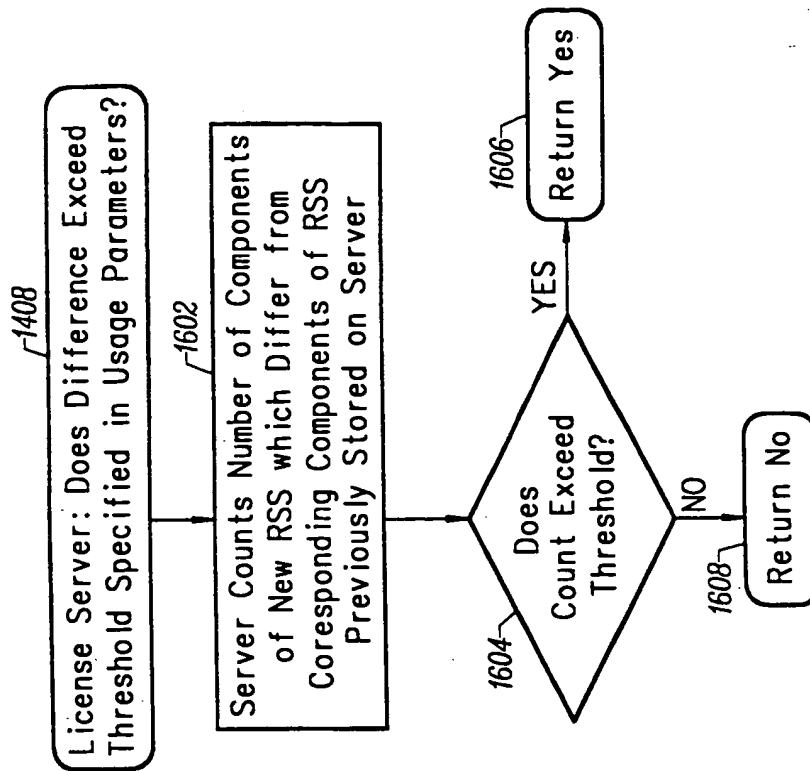


FIG. 16

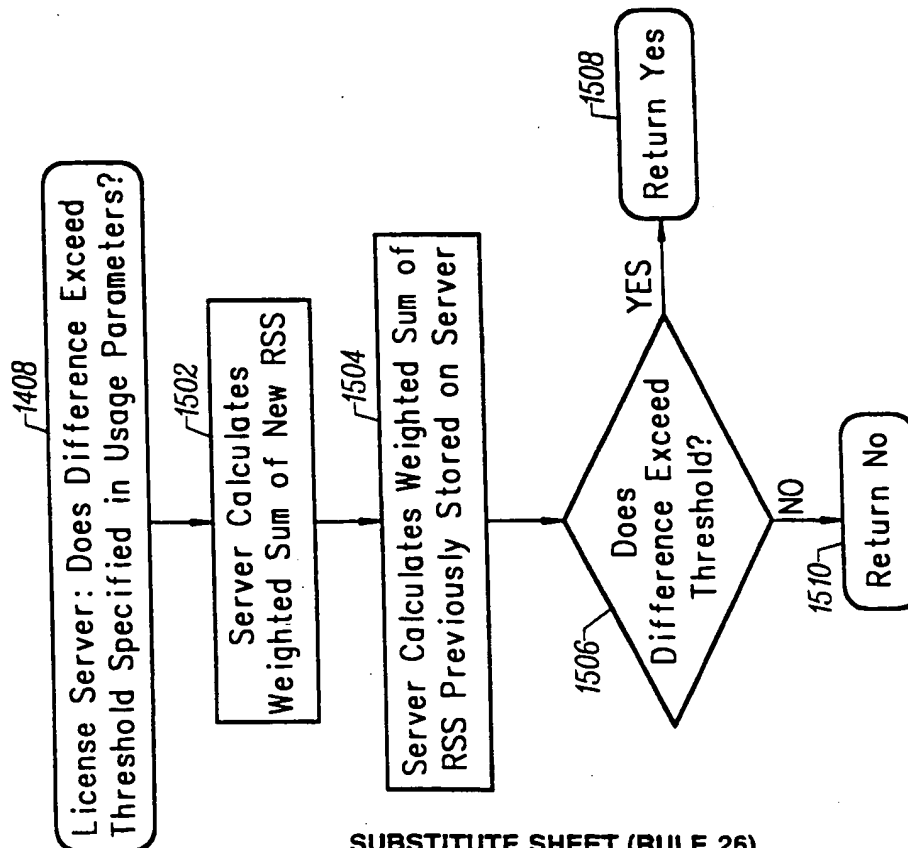


FIG. 15

SUBSTITUTE SHEET (RULE 26)

INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US98/04658

<b>A. CLASSIFICATION OF SUBJECT MATTER</b> IPC(6) :H04L 9/00 US CL :380/49 According to International Patent Classification (IPC) or to both national classification and IPC		
<b>B. FIELDS SEARCHED</b> Minimum documentation searched (classification system followed by classification symbols) U.S. : 380/49, 4, 28, 30 Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)		
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 5,530,757 A (KRAWCZYK) 25 June 1996, See Fig 3.	1-31
Y, P	US 5,613,004 A (COOPERMAN ET AL) 18 March 1997 See entire document.	1-31
Y	LITTMANN, M., Planet Graphics is aiming to orbit the Internet, Crain's chicao business 09 December 1996, page 18.	1-31
Y	FEDER, J., Applying Pay-per-View Idea to the Compact Disk Business, The New York Times, 30 September 1996, article.	1-31
<input type="checkbox"/> Further documents are listed in the continuation of Box C. <input type="checkbox"/> See patent family annex.		
* Special categories of cited documents	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention	
*A* document defining the general state of the art which is not considered to be of particular relevance	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone	
*E* earlier document published on or after the international filing date	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art	
*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*G* document member of the same patent family	
*O* document referring to an oral disclosure, use, exhibition or other means		
*P* document published prior to the international filing date but later than the priority date claimed		
Date of the actual completion of the international search	Date of mailing of the international search report	
05 JUNE 1998	01 JUL 1998	
Name and mailing address of the ISA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231 Facsimile No. (703) 305-3230	Authorized officer <i>Salvatore Cangialosi</i> SALVATORE CANGIALOSI Telephone No. (703) 305-1837	

**THIS PAGE BLANK (USPTO)**

# PATENT APPLICATION FEE DETERMINATION RECORD

Effective January 1, 2003

Application or Docket Number

10162701

## CLAIMS AS FILED - PART I

	(Column 1)	(Column 2)
TOTAL CLAIMS		
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	24 minus 20 =	* 4
INDEPENDENT CLAIMS	3 minus 3 =	*
MULTIPLE DEPENDENT CLAIM PRESENT <input type="checkbox"/>		

\* If the difference in column 1 is less than zero, enter "0" in column 2

## CLAIMS AS AMENDED - PART II

		(Column 1)	(Column 2)	(Column 3)
AMENDMENT A		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	**
	Independent	*	Minus	***
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>				

		(Column 1)	(Column 2)	(Column 3)
AMENDMENT B		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	**
	Independent	*	Minus	***
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>				

		(Column 1)	(Column 2)	(Column 3)
AMENDMENT C		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	*	Minus	**
	Independent	*	Minus	***
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>				

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

### SMALL ENTITY TYPE

RATE	FEE
BASIC FEE	\$375
X\$ 9=	
X42=	
+140=	
TOTAL	

### OR OTHER THAN SMALL ENTITY

RATE	FEE
BASIC FEE	<del>\$750</del>
X\$18=	72
X84=	—
+280=	—
TOTAL	812

### SMALL ENTITY

RATE	ADDITIONAL FEE
X\$ 9=	
X42=	
+140=	
TOTAL ADDIT. FEE	

### OR OTHER THAN SMALL ENTITY

RATE	ADDITIONAL FEE
X\$18=	
X84=	
+280=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$ 9=	
X42=	
+140=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$18=	
X84=	
+280=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$ 9=	
X42=	
+140=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$18=	
X84=	
+280=	
TOTAL ADDIT. FEE	



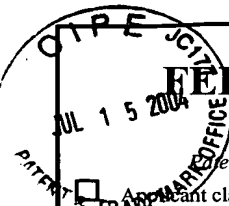
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin WANG, et al.
		Group Art Unit	2122
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	111325-113 (290100)
		Confirmation Number	6475

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input type="checkbox"/> A self-addressed prepaid postcard for acknowledging receipt <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks	<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Carlos R. Villamar Registration No.: 43,224 <b>NIXON PEABODY LLP</b> 401 9 <sup>th</sup> Street, N.W., Suite 900 Washington, D.C. 20004-2128
Signature	
Date	July 15, 2004

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]	
I hereby certify that this correspondence is being:	
<input type="checkbox"/> deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop _____, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450	
<input type="checkbox"/> transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____.	
Date	Signature
	_____ Typed or printed name





# FEE TRANSMITTAL FOR FY 2004

Filing fees are subject to annual revision.  
Applicant claims small entity status. See 37 CFR 1.27

Complete if Known	
Application Number	10/162,701
Filing Date	June 6, 2002
First Named Inventor	Xin WANG, et al.
Examiner Name	Unassigned
Art Unit	2122
Attorney Docket No.	111325-113 (290100)

**TOTAL AMOUNT OF PAYMENT** **\$54.00**

**METHOD OF PAYMENT** (check all that apply)

Check  
  Credit Card  
  Money Order  
  Other  
  None

Deposit Account:

Deposit Account Number: 19-2380

Deposit Account Name: Nixon Peabody LLP

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below  
  Credit any overpayments  
 Charge any additional fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053	130	Non-English specification
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	420	2252	210	Extension for reply within second month
1253	950	2253	475	Extension for reply within third month
1254	1,480	2254	740	Extension for reply within fourth month
1255	2,010	2255	1,005	Extension for reply within fifth month
1401	330	2401	165	Notice of Appeal
1402	330	2402	165	Filing a brief in support of an appeal
1403	290	2403	145	Request for oral hearing
1451	1,510	1451	1,510	Petition to institute a public use proceeding
1452	110	2452	55	Petition to revive - unavoidable
1453	1,330	2453	665	Petition to revive - unintentional
1501	1,330	2501	665	Utility issue fee (or reissue)
1502	480	2502	240	Design issue fee
1503	640	2503	320	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))
1801	770	2801	385	Request for Continued Examination (RCE)
1802	900	1802	900	Request for expedited examination of a design application

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid                      **SUBTOTAL (3)**  

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	<span style="border: 1px solid black; padding: 2px;">27</span>	-24** =	<span style="border: 1px solid black; padding: 2px;">3</span>	X	<span style="border: 1px solid black; padding: 2px;">54.00</span>	=	<span style="border: 1px solid black; padding: 2px;">54.00</span>
Independent Claims	<span style="border: 1px solid black; padding: 2px;">3</span>	-3** =	<span style="border: 1px solid black; padding: 2px;">0</span>	X	<span style="border: 1px solid black; padding: 2px;"> </span>	=	<span style="border: 1px solid black; padding: 2px;">0</span>
Multiple Dependent				X	<span style="border: 1px solid black; padding: 2px;"> </span>	=	<span style="border: 1px solid black; padding: 2px;">0</span>

Large Entity		Small Entity		Fee Description	
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>					<b>\$54.00</b>

\*\*or number previously paid, if greater; For Reissues, see above

**CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]**

I hereby certify that this correspondence is being:

deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop \_\_\_\_\_, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450  
 transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) \_\_\_\_\_.

\_\_\_\_\_ Date    \_\_\_\_\_ Signature  
 \_\_\_\_\_ Typed or printed name

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Carlos R. Villamar	Registration No. (Attorney/Agent)	43,224
Signature		Telephone	(202) 585-8000
		Date	July 15, 2004

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

2122  
JFW

Application No. 10/162,701  
Docket No. 111325-113 (290100)



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of: Xin <b>WANG</b> , <i>et al.</i>	) Examiner: Unassigned
Application No. 10/162,701	)
Filed: June 6, 2002	) Group Art Unit: 2122
For: METHOD AND APPARATUS MANAGING	)
THE TRANSFER OF RIGHTS	) Confirmation No.: 6475
	)

Commissioner of Patents  
U.S. Patent and Trademark Office  
220 20<sup>th</sup> Street S.  
Customer Window, Mail Stop Non-Fee Amendment  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

**PRELIMINARY AMENDMENT**

Sir:

Prior to examination on the merits, please amend the above-identified patent application as follows.

07/16/2004 SSITHIB1 00000135 192380 10162701  
01 FC:1202 54.00 DA

**Amendments to the Claims:**

1. (Currently amended) A method for transferring rights adapted to be associated with items from a rights supplier to a rights consumer, said method comprising:

obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived ~~therefrom~~ from the meta-rights by the rights consumer; and

determining whether the rights consumer is entitled to derive the derivable rights specified by the meta-rights, and at least one of deriving the derivable rights, and generating a license including the derived rights ~~with the rights consumer designated as a principal~~ if the rights consumer is entitled to derive the derivable rights specified by the meta-rights.

2. (Original) A method recited in claim 1, further comprising, transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer.

3. (Original) A method as recited in claim 1, wherein the derived rights are rights disposal rights.

4. (Original) A method as recited in claim 1, wherein the items are content.

5. (Original) A method as recited in claim 1, wherein the derived rights include usage rights.

6. (Original) A method as recited in claim 1, wherein the derived rights include meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

7. (Original) A method as recited in claim 4, wherein the consumer is a content distributor.

8. (Original) A method as recited in claim 4, wherein the consumer is a content retailer.

9. (Original) A method as recited in claim 4, wherein the consumer is a content publisher.

10. (Currently amended) A license associated with an item and adapted to be used within a system for managing the transfer of rights to the item from a rights supplier to a rights consumer, said license comprising:

a set of rights including meta-rights specifying derivable rights that can be derived ~~therefrom~~ from the meta-rights by the rights consumer;

a principal designating at least one rights consumer who is authorized to derive the derivable rights; and

a mechanism for providing access to the item in accordance with the set of rights.

11. (Original) A license as recited in claim 10, wherein the derived rights are rights disposal rights.

12. (Original) A license as recited in claim 10, wherein the items are content.

13. (Original) A license as recited in claim 10, wherein the derived rights include usage rights.

14. (Original) A license as recited in claim 10, wherein the derived rights include meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

15. (Original) A license as recited in claim 12, wherein the consumer is a content distributor.

16. (Original) A license as recited in claim 12, wherein the consumer is a content retailer.

17. (Original) A license as recited in claim 12, wherein the consumer is a content publisher.

18. (Original) A license as recited in claim 10, further comprising a digital signature corresponding to a party issuing the license.

19. (Currently amended) A license as recited in claim 10, further comprising at least one condition that must be satisfied to exercise at least ~~on~~ one of said meta-rights.

20. (Original) A license as recited in claim 19, further comprising at least one state variable related to said at least one condition.

21. (Currently amended) A method for deriving rights adapted to be associated with items from meta-rights, said method comprising:

obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived ~~therefrom~~ from the meta-rights by the rights consumer; and

generating a license associated with said item and including the derived rights.

22. (Original) A method as recited in claim 21, wherein the derived rights are rights disposal rights.

23. (Original) A method as recited in claim 21, wherein the items are content.

24. (Original) A method as recited in claim 21, wherein the derived rights include usage rights.

25. (New) A license as recited in claim 10, wherein said derivable rights comprise at least one condition that is associated with at least one state variable.

26. (New) A method as recited in claim 1, comprising:  
generating said license including the derived rights with the rights consumer designated as a principal.

27. (New) A method as recited in claim 1, comprising:  
generating said license including the derived rights with a party other than the rights consumer designated as a principal.

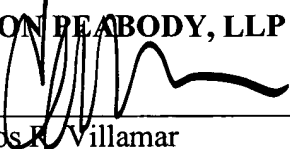
**REMARKS**

The present amendment amends claims 1, 10, and 21 to correct discovered informalities and adds new claims 25-27 directed to further features of Applicant's invention. No new matter is introduced.

In view of the foregoing, examination on the merits of claims 1-27 is respectfully requested. The Examiner is invited to contact the undersigned attorney to expedite the prosecution of the present case.

Respectfully submitted,

**NIXON PEABODY, LLP**



---

Carlos R. Villamar  
Registration No. 43,224

**Date: July 15, 2004**

**NIXON PEABODY LLP**  
CUSTOMER NO.: 22204  
401 9th Street, N.W., Suite 900  
Washington, DC 20004  
Tel: 202-585-8000  
Fax: 202-585-8080

MSK/CRV:kla

**PATENT APPLICATION FEE DETERMINATION RECORD**

Effective January 1, 2003

Application or Docket Number

10162701

**CLAIMS AS FILED - PART I**

	(Column 1)	(Column 2)
TOTAL CLAIMS		
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	24 minus 20 =	* 4
INDEPENDENT CLAIMS	3 minus 3 =	—
MULTIPLE DEPENDENT CLAIM PRESENT <input type="checkbox"/>		

\* If the difference in column 1 is less than zero, enter "0" in column 2

**CLAIMS AS AMENDED - PART II**

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	* 27 Minus ** 24	= 3
	Independent	* 3 Minus *** 3	= 0
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	* Minus **	=
	Independent	* Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

	(Column 1)	(Column 2)	(Column 3)
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total	* Minus **	=
	Independent	* Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

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

**SMALL ENTITY TYPE**  OR **OTHER THAN SMALL ENTITY**

RATE	FEE	OR	RATE	FEE
BASIC FEE	\$375	OR	BASIC FEE	<del>\$750</del> 375
X\$ 9=		OR	X\$18=	72
X42=		OR	X84=	—
+140=		OR	+280=	—
TOTAL		OR	TOTAL	812

**SMALL ENTITY** OR **OTHER THAN SMALL ENTITY**

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	54
X42=		OR	X84=	
+140=		OR	+280=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	54.00

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X42=		OR	X84=	
+140=		OR	+280=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$ 9=		OR	X\$18=	
X42=		OR	X84=	
+140=		OR	+280=	
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	



*PKW*

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin WANG, et al.
		Group Art Unit	2122
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	111325-113 (290100)
		Confirmation Number	6475

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input type="checkbox"/> A self-addressed prepaid postcard for acknowledging receipt <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks	<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Marc S. Kaufman Registration No.: 35,212 <b>NIXON PEABODY LLP</b> 401 9 <sup>th</sup> Street, N.W., Suite 900 Washington, D.C. 20004-2128
Signature	
Date	September 23, 2004

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]	
I hereby certify that this correspondence is being:	
<input type="checkbox"/> deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop _____, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450	
<input type="checkbox"/> transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____.	
Date	Signature
	Typed or printed name





**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:	)	
Xin WANG, <i>et al.</i>	)	Examiner: Not Yet Assigned
	)	
Application No.: 10/162,701	)	Group Art Unit: 2122
	)	
Filed: June 6, 2002	)	
	)	Confirmation No. 6475
For: <b>METHOD AND APPARATUS</b>	)	
<b>MANAGING THE TRANSFER OF RIGHTS</b>	)	

Commissioner of Patents  
U.S. Patent and Trademark Office  
220 20<sup>th</sup> Street S.  
Customer Window  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

Sir:


**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97 (b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached PTO-1449. This Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits for the above-referenced application. The listed documents were cited in a communication from the European Patent Office. The Search Report was mailed on April 14, 2004. Copies of the listed documents are attached.

It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

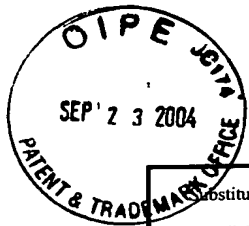
The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380. (111325-113/290100).

Respectfully submitted,  
**NIXON PEABODY, LLP**

By:   
\_\_\_\_\_  
Marc S. Kaufman  
Registration No.: 35,212

Dated: September 23, 2004

**NIXON PEABODY LLP**  
**Customer No.: 22204**  
401 9<sup>th</sup> Street, N.W., Suite 900  
Washington, DC 20004-2128  
Telephone: (202) 585-8000  
FAX: (202) 585-8080



Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>		
				Application Number	10/162,701	
Sheet		1	of	1	Examiner Name	Not Yet Assigned
					Attorney Docket Number	111325-113 (290100)

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>3</sup> (if known)				
		US - 5,917,912		June 29, 1999	Ginter, et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		WO	00/20950	April 13, 2000			

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		European Search Report dated April 14, 2004 (European Patent Application No. 02 739 715.7)	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

EP 25664 (2)



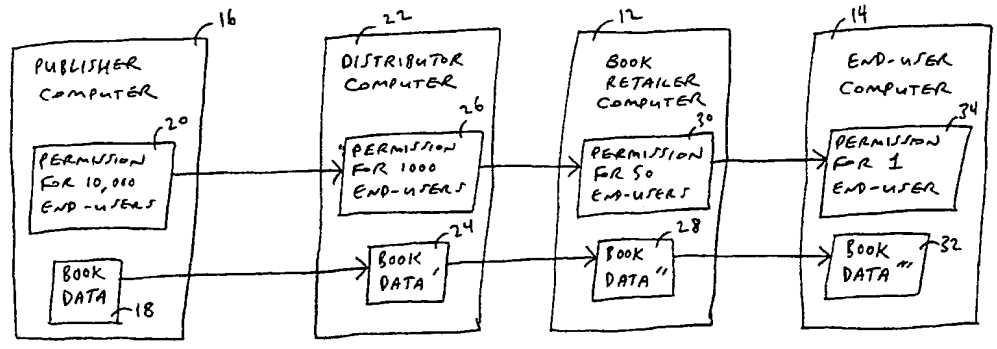
PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau

INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification 7 : <b>G06F 1/00</b>	<b>A1</b>	(11) International Publication Number: <b>WO 00/20950</b>
		(43) International Publication Date: 13 April 2000 (13.04.00)
<p>(21) International Application Number: PCT/US99/23474</p> <p>(22) International Filing Date: 7 October 1999 (07.10.99)</p> <p>(30) Priority Data: 09/167,888 7 October 1998 (07.10.98) US</p> <p>(71) Applicant: GLASSBROOK, INC. [US/US]; Suite 107, 179 Great Road, Acton, MA 01720 (US).</p> <p>(72) Inventors: KAWELL, Leonard, M., Jr.; Concord, MA (US). DIAZ, Thomas, R.; Lexington, MA (US). HEINEN, Mary, Ellen; Concord, MA (US). HEINEN, Rodger, J., Jr.; Islesboro, ME (US).</p> <p>(74) Agents: REYES, Jason, A. et al.; Hale and Dorr LLP, 60 State Street, Boston, MA 02109 (US).</p>	<p>(81) Designated States: AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, UA, UG, UZ, VN, YU, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b> <i>With international search report. Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i></p>	

(54) Title: DISTRIBUTING ACCESS TO A DATA ITEM



(57) Abstract

A method is provided for use in distributing access to a data item. The method includes allowing multiple transfers between computers of a single instance of permission to gain access to the data item, the transfers occurring across data connections and including a first transfer between a first computer and a second computer and a subsequent transfer between the second computer and a third computer, wherein at any one time only one computer retains the instance of permission and is able to use the instance of permission to gain access to the data item.

**BEST AVAILABLE COPY**

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

## DISTRIBUTING ACCESS TO A DATA ITEM

Background of the Invention

A computer data item such as a file that contains the text of a book or  
5 an arrangement of data that represents an audio or video rendering or  
recording may be copied and distributed via removable media such as a floppy  
diskette or a CD-ROM or over a computer network such as the Internet. In  
some cases, a data item is intended to be copied and distributed freely, with  
10 little or no control over access to the data item. In other cases, control over  
access is attempted by physical means, such as by exercising some control over  
the number of pieces of removable media that are produced, or by copy  
protection methods that impede the ability of a computer to produce a copy of  
15 the data item.

As shown in Fig. 1, in existing electronic book distribution systems, a  
data item that represents the contents of a book ("book data") is copied (e.g.,  
20 across a network connection) from a central source to book reading devices  
(i.e., book viewing devices) in a hub-and-spoke arrangement.

Summary of the Invention

In general, in one aspect, the invention features a method for use in  
25 distributing access to a data item. The method includes allowing multiple  
transfers between computers of a single instance of permission to gain access  
to the data item, the transfers occurring across data connections and including  
a first transfer between a first computer and a second computer and a  
30 subsequent transfer between the second computer and a third computer,  
wherein at any one time only one computer retains the instance of permission  
and is able to use the instance of permission to gain access to the data item.

Implementations of this or another aspect of the invention may include one or more of the following features. The method may include using an encryption key to impede unauthorized access to the data item. At least one of

5 the transfers of permission may include the transfer of a first encryption key, and the method may include using a second encryption key to encrypt the first encryption key prior to transfer. The first encryption key may include a secret key and the second encryption key may include one of the keys in a

10 public/private key set. The method may include using highly secure circuitry to help ensure that at any one time only one of the computers retains and is able to use the instance. The highly secure circuitry may include a smartcard computer or a de-encryptor. The method may include storing an encryption

15 key in the highly secure circuitry, and may include using the encryption key only within the highly secure circuitry. The method may include determining whether a computer is authorized to receive the instance of permission to gain

20 access to the data item, or, according to an expiration time, rendering at least one of transfers temporary. The method may include, in the temporary transfer, transmitting a copy of an encryption key from a sender computer to a recipient computer, and, at the expiration time, erasing the copy of the

25 encryption key from the recipient computer. The method may include, in one of the transfers, transmitting a copy of an encryption key from a sender computer to a recipient computer, and erasing the copy of the encryption key from the sender computer. The method may include associating at least one of

30 the transfers with a transfer of funds, or distinguishing between different instances of permission to gain access to the data item. At least one of the computers may include a Web server computer or a book viewing device. The

book viewing device may include a viewing screen and data communications circuitry.

In general, in another aspect, the invention features a method including:  
5 in accordance with access distribution parameters that are specific to a data item and that were established by a first computer, transferring, across a data connection from a second computer to a third computer and independently of the first computer, permission to gain access to the data item.

10 In general, in another aspect, the invention features a method including: impeding a change to the number of computers that are allowed to gain access to a data item, independently of data connection transfers between computers of permission to gain access to the data item.

15 In general, in another aspect, the invention features a method for use in distributing access to a data item. The method includes providing a first computer with permission to gain access to the data item; providing the permission by data connection to a second computer substantially  
20 simultaneously with removing the permission from the first computer; and providing the permission by data connection to a third computer substantially simultaneously with removing the permission from the second computer.

25 In general, in another aspect, the invention features a method including: rendering accountably fungible an instance of permission data that allows a computer to gain access to book data.

In general, in another aspect, the invention features a method for use in  
30 distributing access to a book data item. The method includes associating highly secure circuitry with a device that is able to send and receive access data that is necessary to gain access to the book data item, the highly secure



circuitry including a computer processor and a program memory and being able to substantially prevent an unauthorized transfer of the access data from the device.

5           In general, in another aspect, the invention features a method for use in distributing access to a book data item. The method includes: at a publisher computer, storing publisher permission data that allows a number A of end-user computers to gain access to the book data item; based on the publisher  
10 permission data, providing a distributor computer with distributor permission data that allows a number B of end-user computers to gain access to the book data item; changing the publisher permission data so that the publisher permission data allows only a number A-B of end-user computers to gain  
15 access to the book data item; based on the distributor permission data, providing a retailer computer with retailer permission data that allows a number C of end-user computers to gain access to the book data item; changing the distribution permission data so that the distributor permission  
20 data allows only a number B-C of end-user computers to gain access to the book data item; based on the retailer permission data, providing an end-user computer with end-user permission data that allows 1 end-user computer to  
25 gain access to the book data item; and changing the retailer permission data so that the retailer permission data allows only a number C-1 of end-user computers to gain access to the book data item.

30           Among the advantages of the invention are one or more of the following. Access to a data item (i.e., permission to use the data item) can be controlled without excessively burdening users (e.g., consumers) of the data item or excessively hindering the scalability of distribution by traditional data

copying techniques. In at least some cases, acquiring the data item under authorization can be made easier than acquiring a corresponding physical rendering (e.g., a paper book or a music compact disc), and nearly instant gratification can be achieved for the end-user. Access to the data item can be made fungible and therefore valuable. The distribution of works (e.g., books, audio recordings, pictures) can be limited in number without conventional reliance on physical manufacturing, which limiting can help maintain the value of the works. An accounting can be made of the number of end-users that have access to a data item. An entity can lend a data item to an end-user much as a library lends a book. A data item can be transferred across a data connection but can made fully usable regardless of whether the data connection is available at the time of use. Full or nearly full advantage may be taken of the Internet and the World-Wide Web in the distribution of access to a data item.

Other features and advantages will become apparent from the following description, including the drawings, and from the claims.

#### Brief Description of the Drawings

Fig. 1 is a block diagram of a prior art book data distribution system in which book reading devices receive book data directly from a central source.

Fig. 2 is a block diagram of a book data distribution system in which book data is passed from a publisher computer to distributor computers to retailer computers to end-user computers.

Fig. 3 is a block diagram of transfers of permission among publisher, distributor, retailer, and end-user computers.

Fig. 4 is a block diagram of transfers of permission data among user computers.

Fig. 5 is a flow diagram of a usage permission transfer procedure.

5 Fig. 6 is a block diagram of a smartcard computer.

Fig. 7 is a block diagram of groups and private keys.

Figs. 8-11 are block diagrams of data flows in a usage permission transfer procedure.

10 Figs. 12-14 are flow diagrams of a usage permission transfer procedure.

Fig. 15 is an illustration of a book viewing device.

#### Detailed Description

15

Fig. 2 illustrates a controlled data distribution system 10 in which a data item such as data including the text of a book ("book data") is distributed from a sender computer (e.g., retailer computer 12) to a recipient computer (e.g., end-user computer 14) in accordance with distribution control parameters determined at least in part by an originating computer (e.g., publisher computer 16), regardless of whether the originating computer is available at the time of the distribution from the sender computer to the recipient computer. Thus, distribution is not only convenient but also private, because in at least some cases the only computers that ever have any information about a particular instance of distribution are the sender computer and the recipient computer.

25  
30

Fig. 3 shows a general example in which an original copy 18 of a book data item is held at the publisher computer which has permission data 20 to allow up to 10,000 end-user computers (e.g., book reader computers) to have

access to the book data item. In such a case, the publisher computer provides a distributor computer 22 with a copy 24 of the book data item and permission data 26 to allow access by 1,000 end-user computers, which leaves the publisher computer with permission data to allow access by 9,000 end-user computers. Further, in turn, the distributor computer provides the retailer computer with a copy 28 of the book data item and permission data 30 to allow access by 50 end-user computers, and the retailer computer provides end-user computer 14 with a copy 32 of the book data item and permission data 34 to allow access. Thus, the publisher, distributor, retailer, and end-user computers form a distribution network in which permission is distributed from the publisher computer to end-user computers much as printed books are distributed from a print publisher to consumers in a printed book distribution system: permitted access may be regarded as a fixed resource such that the maximum number of end-user computers that are allowed to gain access to the book data item is not affected by distribution.

As shown in Fig. 4, controlled distribution as described above need not take place in a hierarchy (e.g., from publisher computer down to end-user computers), and may occur between any two computers that execute according to a usage permission transfer procedure 36 illustrated in Fig. 5 (a more detailed example is described below in connection with Figs. 8-14). At the sender computer (e.g., User A's computer 38), it is determined whether the recipient computer (e.g., User B's computer 40) has been certified by an organization that certifies devices intended to make use of data items, and is therefore authorized to be granted access to the data item (e.g., item 42) (step 1010). The purpose of the organization is to help ensure that only devices that

conform to rules of the organization are allowed to gain access to data items associated with the organization. For example, the organization may not certify a device that lacks a highly secure clock or a highly secure program memory, or that has not been demonstrated to use encryption tools reliably.

If the recipient computer has been certified, the sender computer transmits permission data (e.g., usage permission data B based on usage permission data A) in a highly secure way to the recipient computer (step 1020). If a copy of the data item is stored at the sender computer, a copy of the data item (e.g., data item 44) may be transmitted in a highly secure way from the sender computer to the recipient computer (step 1030). The recipient computer gains access to the data item in accordance with the permission data (step 1040).

It is important that formulation and transmission of the permission data be accomplished in a highly secure way, because control over distribution depends on such formulation and transmission being performed only under authorized conditions. While it may be impossible to completely block unauthorized actions by determined actors with significant resources (e.g., professional pirates), high security can be effective to help to discourage others (e.g., student hackers), and to help to make clear that the distribution is intended to be controlled and is not intended to add the data item to the public domain.

To help ensure high security, each of the sender computers and recipient computers may rely on encryption devices known as secret keys and public/private key sets, and may include a highly secure mechanism, which may handle one or more of the keys or key sets, or encrypted or unencrypted

data, or both. A secret key (also known as a symmetric key) is a string of data (e.g., 40 bits) that may be used to encrypt other data in a way that allows the other data to be de-encrypted using the same secret key. A public/private key set includes two strings of data (e.g., 1024 bits each) that cannot be derived from each other and that are matched such that other data that has been encrypted by using either one of the two strings can be de-encrypted only by using the other of the two strings. Typically, one of the two strings ("public key") is not kept confidential and the other of the two strings ("private key") is kept highly confidential. See Public Key Cryptography Standards, RSA Laboratories, Security Dynamics, Inc., Nov. 1993, and RSA Public Key Crypto System, RSA Data Security Division, Security Dynamics, Inc., 1982.

A conventional general-purpose computer can be used to generate the secret key and the public/private key set, which can be stored in conventional computer files, as can data that has been or is intended to be encrypted by using one or more of the keys. In at least some cases, security is enhanced if the highly secure mechanism handles the keys and includes a smartcard computer 46 (Fig. 6) (e.g., a Gemplus GemXpresso), which is physically sealed to impede unauthorized access to internal components, and has connection circuitry 48 that provides the only authorized means for exchanging data with circuitry outside the smartcard computer. The smartcard computer also has a program memory 50, a data memory 52, and a processor 54 that communicates with the connection circuitry and executes according to software stored in the program memory to implement a public/private key encryptor 56, a public/private key de-encryptor 58, a secret key encryptor 60, and a secret key de-encryptor 62. A permission data bank 64, a public key 66, a private key 68,

and a digital signature 70 are stored in the data memory (e.g., when the smartcard computer is manufactured). The digital signature (also referred to as the encrypted digest) is the result produced by generating a digest version of the public key (e.g., by applying a hash function to the public key) and then using a group private key (Fig. 7) to encrypt the digest version.

Each smartcard computer's public/private key set is different (i.e., unique), but the group private key is the same for every smartcard computer in a group. In a specific embodiment, the smartcard computer also stores an identification of the entity with which the smartcard computer is associated, if the entity is a publisher, distributor, or retailer, and stores an anonymous serial number instead if the entity is an end-user (e.g., a consumer), to help protect the privacy of the end-user. In alternative versions of the specific embodiment, the digital signature is supplemented or replaced by a digital certificate, which is the result created by using the group private key to encrypt the identification.

The smartcard computer may be able to execute software programs formatted according to a programming language known as Java.

In a specific embodiment, only the publisher computer is provided with a secret key encryptor (e.g., because the other computers are not originators of encrypted data items) and only the end-user computer is provided with the secret key de-encryptor (e.g., because the other computers do not display or otherwise make significant use of the data items).

Figs. 8-14 illustrate a detailed example 72 of the usage permission transfer procedure. A secret key 74 (e.g., a randomly-generated 40-bit number) is used to encrypt book data 76 to produce secret key encrypted book data 78

(step 2010), which is stored at a sender computer (step 2020). (In a specific embodiment, the secret key is also appended to the secret key encrypted book data.)

5           The encrypted digest and the recipient computer's unique public key are transmitted from the recipient computer to the sender computer (steps 2050, 2060). At the sender computer, a group public key 84 is used to de-encrypt the encrypted digest to produce a de-encryption result 86 (step 2070), and a digest  
10           result 88 is produced from the recipient's unique public key (step 2080). At the sender computer, the digest result is compared to the de-encryption result to determine whether the recipient computer has been certified as described above and is therefore authorized to receive book data (step 2090), and if it is  
15           determined that the recipient computer has not been certified, the recipient computer's requests for book data are refused (step 2100).

          As shown in Fig. 10, a request for book data 90 and the recipient  
20           computer's unique public key are transmitted from the recipient computer to the sender computer (steps 2110, 2120). (In a specific embodiment, the request is associated at the recipient computer with a unique request serial number and with a request expiration time such as 60 seconds so that the request is  
25           cancelled at the request expiration time if a response is not received from the sender computer in time, and any response from the sender computer to the request is associated with the same unique request serial number so that the response can be matched to the request at the recipient computer.) At the  
30           sender computer, secret key encrypted book data and a secret key and voucher corresponding to the request are selected (step 2130), and the recipient's unique public key is used to produce a public key encrypted secret key and voucher



94 (step 2140), which is transmitted along with the secret key encrypted book data to the recipient computer from the sender computer (steps 2150, 2160).

At the recipient computer (Fig. 11), the recipient's unique private key is used to produce a secret key and voucher 98 (step 2180), and the secret key is used to produce unencrypted book data 100 from the secret key encrypted book data (step 2190).

At this point, the unencrypted book data may be displayed or otherwise used at the recipient computer.

In at least some cases, it may be advantageous if the unencrypted book data is in a format (e.g., a version of an Adobe format known as Portable Document Format or "PDF") that allows the data to be displayed in a specified way (e.g., by Adobe display software) but renders printing the data or reformatting the data difficult or impossible. See Portable Document Format Reference Manual, Version 1.2, November 1996, Adobe Systems, Inc. Thus, the originator of the unencrypted book data (e.g., a publisher) can have a high degree of confidence that the integrity of the book data will survive distribution and that the book data will be displayed in accordance with the originator's intent (e.g., in the intended fonts and type sizes and with intended line and page breaks).

The usage permission transfer procedure may be applied when permission to use a data item is lent (e.g., by a library), leased, given (e.g., as a birthday present), or sold (e.g., by a book retailer). If the permission is lent or leased, the procedure also specifies that the secret key is associated with matching expiration times 102S and 102R (e.g., each corresponding to a two-week period) at the sender and recipient computers, respectively, so that the

secret key cannot be used (and therefore the data item cannot be used) at the sender computer until expiration time 102S is reached, and can be used at the recipient computer only until expiration time 102R is reached. In this way, the permission is effectively returned to the sender computer from the recipient computer when the expiration time is reached. If the sender computer or the recipient computer has permission data for multiple end-user computers for the same data item (e.g., in the case of a library that is able to lend to multiple end-user computers), matching serial numbers 104S and 104R are retained in each lend or lease transaction so that different instances of permission may be distinguished from each other. The voucher specifies the expiration times and the serial numbers, and also specifies a quantity 106 if the recipient computer is to be provided with permission data to allow more than one end-user computer to gain access to the data item (e.g., where a publisher computer provides a distributor computer with permission data with respect to 50 end-user computers). The voucher may also specify whether the recipient computer is permitted during the term of the lending or lease to serve as a sender computer for the specified data item in another usage permission transfer procedure with another recipient computer (e.g., to effectively sub-lend or sub-lease the permission).

In a case of giving or selling, the recipient computer is entitled to retain the secret key indefinitely, and to serve as a sender computer in a subsequent transaction. If at the start of the execution of the usage permission transfer procedure in a giving or selling context the sender computer had permission data to allow only one end-user computer (e.g., itself) to gain access to the data

item, the secret key is erased at the sender computer after the recipient computer is provided with the secret key.

In a case of leasing or selling, the permission may be provided in  
5 exchange for funds, the delivery of which may be handled completely  
independently of the usage permission transfer procedure, or may be handled  
by another procedure that is tied to the usage permission transfer procedure to  
help ensure that permission is not provided before the funds are delivered.  
10 The sender computer may also create an audit file to permit revenue  
accounting.

At least because the data item, access to the data item, or both can be  
transferred from computer to computer (e.g., end-user computer to end-user  
15 computer) in accordance with the usage permission transfer procedure, the  
access or the data item or both are fungible and have a resale value, much as  
an automobile is fungible and has a resale value. For example, the usage  
20 permission transfer procedure makes it possible for an end-user to purchase or  
lease an instance of access to a book data item from a retailer for five dollars,  
enjoy the book data item (e.g., by reading the text of the book data item), and  
then sell the instance of access to another end-user (e.g., for more or less than  
25 five dollars, depending on whether the instance has appreciated for a reason  
such as scarcity or has depreciated for a reason such as a lack of a warranty  
against corrupted data).

In at least some cases, it is advantageous if at least the audit file, the  
30 secret key, the public/private key set, the permission data bank, the group  
private key, and the de-encryptors at each sender computer and recipient  
computer are stored and used in a highly secure way, e.g., in a smartcard

computer as described above. If the smartcard computer 46 is used, security is enhanced if the group private key and the smartcard computer's unique private key are never transmitted in any form outside the smartcard computer (i.e., are never presented at the connection circuitry), and if the secret keys are never transmitted in unencrypted form. The encrypted data item may be stored separately from the keys (e.g., in a persistent memory such as a hard disk outside the smartcard computer due to limited data storage space within the smartcard computer). In any case, security is further enhanced if the encrypted data item is de-encrypted in only a piece at a time as necessary (e.g., a page at a time for display purposes).

Security may also be enhanced by the use of a secure network connection between the sender computer and the recipient computer. For example, in a specific embodiment, the sender computer includes a Web server computer to which the recipient computer is connected via a network that conforms at least in part to Internet standards such as HTML, HTTP, and TCP/IP (an "Internet network"). See Hyper Text Transfer Protocol -- HTTP 1.1. RFC2068. In such a case, security is enhanced if the Internet network connection between the sender computer and the recipient computer operates according to a Secure Sockets Layer ("SSL") standard. See Secure Sockets Layer Specifications 3.0, Netscape, Inc. The Web server may serve as a demand-driven distribution center (e.g., for a publisher, a distributor, or a retailer) from which the recipient computer (e.g., for a distributor, a retailer, or an end-user) can download data items, which may be selectable (e.g., via a Web page on the Web server) at the recipient computer (e.g., running a Web browser). The recipient computer may download software (e.g., display software or software

implementing at least a portion of the usage permission transfer procedure) from the sender computer.

The connection between the sender computer and the recipient  
5 computer may be accomplished by one or more wired or wireless data transmission technologies (e.g., modem dialup over telephone lines, cellular telephone, or infrared transmission).

In a specific embodiment, the sender computer or the recipient computer  
10 includes a special purpose book viewing computer 110 (Fig. 15) ("book reader") as now described. The book reader is a hand-held, battery-powered device that can be used to display book data (including textual information) clearly, and includes a 32-bit microcomputer (e.g., a Philips Semiconductor PR37100  
15 MIPS processor or an Intel StrongARM 1100 processor, and UCB1200 peripheral control chips) running an operating system such as Microsoft Windows CE 2.1. A portrait-mode liquid crystal display ("LCD") screen 112  
20 with supporting electronics (e.g., a Sharp HR-TFT LQ084V2DS01 8.4-inch VGA (640 x 480) reflective TFT color LCD, driven by an S-MOS Systems SED1355 video controller chip if the PR37100 processor is used) is also included in the book reader, which lacks a keyboard and a mouse. The book reader also has a  
25 4-wire resistive touch screen with anti-glare coating, 16MB DRAM, 8MB Flash ROM for the operating system and built-in software, a compact Flash memory slot with an 8MB flash memory card for book data storage, and an IrDA infrared interface capable of using built-in capabilities of the microcomputer  
30 for personal computer connectivity. Further, the book reader has an RJ-11 telephone jack, a DAA and modem interface using built-in capabilities of the microcomputer and Softmodem software for a direct Internet connection, "Next

Page", "Prev Page", "Menu", "Enter", and "Reset" pushbuttons, and a sliding mode switch having "Off", "Read", "Books", "Library", and "Bookstore" positions. Also included in the book reader are four AA batteries (if alkaline, good for more than 40 hours of operation) and an AC-adaptor power supply with support for power-conservation modes (e.g., of the microcomputer), a high-quality touch-screen stylus, and a smartcard slot for the smartcard computer.

10           The book reader is packaged to resemble or suggest a leather-bound book, is approximately 8 inches high by 5.25 inches wide, and is as thin and light-weight (e.g., about 1.5 pounds) as is practical in view of the included components. The LCD screen is oriented vertically (i.e., 480 x 640) and an LCD  
15 bezel around the LCD screen is as small as practical without unduly degrading durability. The "Next Page" and "Prev Page" pushbuttons are recessed and substantially centered on the right and left sides of the LCD bezel. The "Menu" and related pushbuttons are disposed on the bottom of the LCD bezel. The  
20 pushbuttons are comfortable and easy to press, and are nearly completely silent but provide significant tactile feed-back when pressed. The sliding mode switch is recessed and is disposed on the right side of the book reader. The  
25 Reset button is deeply recessed so that a ball-point pen or similar device is required to cause activation of the Reset button. An infrared transceiver bezel is disposed on the top edge of the book reader, the RJ-11 and AC power adapter jacks are disposed on the bottom edge of the book reader, and the  
30 compact Flash memory slot is disposed on the back of the book reader. The book reader's exterior is made of magnesium, which enhances the aesthetics

and durability of the book reader, and is covered by an attached folding leather cover 114 to protect the book reader and the book reader's LCD screen.

In at least some cases, it is advantageous if the book reader is visually  
5 elegant, with fine detailing, includes rich-looking materials (e.g., leather, glass, magnesium) and plastic rubber-like hand grips, and is substantially weather-proof (e.g., has gaskets around the display and the buttons) and highly durable.

10 In other specific embodiments, the sender computer or the recipient computer may include a notebook computer or a desktop computer. In either case, the highly secure mechanism may include highly secure data files or  
15 highly secure software or both, or may include a smartcard computer (e.g., attached to a serial, parallel, or USB port, plugged into a PCMCIA smartcard adapter, or integrated in the form of a device embedded on a motherboard).

The technique (i.e., the procedures described above) may be  
20 implemented in hardware or software, or a combination of both. In at least some case, it is advantageous if the technique is implemented in computer programs executing on programmable computers (e.g., a personal computer running or able to run Microsoft Windows 95, 98, or NT, or MacIntosh OS)  
25 that each include a processor, a storage medium readable by the processor (including volatile and non-volatile memory and/or storage elements), at least one input device such as a keyboard, and at least one output device. Program code is applied to data entered using the input device to perform the method  
30 described above and to generate output information. The output information is applied to one or more output devices such as a display screen of the computer.

In at least some cases, it is advantageous if each program is implemented in a high level procedural or object-oriented programming language such as Java or C++ to communicate with a computer system.

5 However, the programs can be implemented in assembly or machine language, if desired. In any case, the language may be a compiled or interpreted language.

10 In at least some cases, it is advantageous if each such computer program is stored on a storage medium or device (e.g., ROM or magnetic diskette) that is readable by a general or special purpose programmable computer for configuring and operating the computer when the storage medium or device is read by the computer to perform the procedures described in this document.

15 The system may also be considered to be implemented as a computer-readable storage medium, configured with a computer program, where the storage medium so configured causes a computer to operate in a specific and

20 predefined manner.

Other embodiments are within the scope of the following claims. For example, the recipient computer may include a desktop or portable computer that includes circuitry (e.g., a dongle that attaches to a port of the computer, or

25 a plug-in or PCMCIA card with memory devices embedded in epoxy) that helps to perform at least some of the functions performed by the smartcard computer as described above. In such a case, the data item may be displayed on the desktop or portable computer's display screen.

30 At least some of the functions performed by the smartcard computer may be performed completely or substantially in software instead, which may not be an arrangement that is as secure as the use of the smartcard computer.



The data item may include any type of data, including the text of a periodical (e.g., a magazine), audio data (e.g., music), or visual data (e.g., still pictures or video).

5 Other techniques may be used to help to prevent unauthorized dissemination of the group private key or the negative consequences of such dissemination. For example, it may be arranged that the group private key is retrievable only by a complex spread-spectrum wireless transfer technique or is  
10 otherwise further protected in hardware, or is effective only temporarily.

For a reason such as a reduction in transaction time between the sender computer and the recipient computer, the encrypted data item may be stored in a publicly accessible location (e.g., on the Internet) so that only the  
15 permission data need be transferred from the sender computer to the recipient computer. In such a case, the encrypted data item may be freely transferred and copied by anyone, but the permission data is transferred only under the  
20 control of the usage permission transfer procedure.

What is claimed is:

1. A method for use in distributing access to a data item,  
25 comprising:

allowing multiple transfers between computers of a single instance of permission to gain access to the data item, the transfers occurring across data connections and including a first transfer between a first computer and a  
30 second computer and a subsequent transfer between the second computer and a third computer, wherein at any one time only one computer retains the

instance of permission and is able to use the instance of permission to gain access to the data item.

2. The method of claim 1, further comprising:  
5 using an encryption key to impede unauthorized access to the data item.
3. The method of claim 1, wherein at least one of the transfers of permission includes the transfer of a first encryption key.
4. The method of claim 3, further comprising:  
10 using a second encryption key to encrypt the first encryption key prior to transfer.
5. The method of claim 4, wherein the first encryption key includes a secret key and the second encryption key includes one of the keys in a  
15 public/private key set.
6. The method of claim 1, further comprising:  
using highly secure circuitry to help ensure that at any one time only  
20 one of the computers retains and is able to use the instance.
7. The method of claim 6, wherein the highly secure circuitry includes a smartcard computer.
8. The method of claim 6, wherein the highly secure circuitry  
25 includes a de-encryptor.
9. The method of claim 6, further comprising:  
storing an encryption key in the highly secure circuitry.
10. The method of claim 9, further comprising:  
30 using the encryption key only within the highly secure circuitry.
11. The method of claim 1, further comprising:

determining whether a computer is authorized to receive the instance of permission to gain access to the data item.

12. The method of claim 1, further comprising:

5 according to an expiration time, rendering at least one of transfers temporary.

13. The method of claim 12, further comprising:

10 in the temporary transfer, transmitting a copy of an encryption key from a sender computer to a recipient computer, and, at the expiration time, erasing the copy of the encryption key from the recipient computer.

14. The method of claim 1, further comprising:

15 in one of the transfers, transmitting a copy of an encryption key from a sender computer to a recipient computer, and erasing the copy of the encryption key from the sender computer.

15. The method of claim 1, further comprising:

20 associating at least one of the transfers with a transfer of funds.

16. The method of claim 1, further comprising:

distinguishing between different instances of permission to gain access to the data item.

25 17. The method of claim 1, wherein at least one of the computers includes a Web server computer.

18. The method of claim 1, wherein at least one of the computers includes a book viewing device.

30 19. The method of claim 18, wherein the book viewing device includes a viewing screen and data communications circuitry.

20. A method comprising:

in accordance with access distribution parameters that are specific to a data item and that were established by a first computer, transferring, across a data connection from a second computer to a third computer and  
5 independently of the first computer, permission to gain access to the data item.

21. A method comprising:

impeding a change to the number of computers that are allowed to gain access to a data item, independently of data connection transfers between  
10 computers of permission to gain access to the data item.

22. A method for use in distributing access to a data item,  
comprising:

15 providing a first computer with permission to gain access to the data item;

providing the permission by data connection to a second computer substantially simultaneously with removing the permission from the first  
20 computer; and

providing the permission by data connection to a third computer substantially simultaneously with removing the permission from the second  
computer.

25 23. A method comprising:

rendering accountably fungible an instance of permission data that allows a computer to gain access to book data.

30 24. A method for use in distributing access to a book data item,  
comprising:

associating highly secure circuitry with a device that is able to send and receive access data that is necessary to gain access to the book data item, the

highly secure circuitry including a computer processor and a program memory and being able to substantially prevent an unauthorized transfer of the access data from the device.

5           25.    A method for use in distributing access to a book data item, comprising:

          at a publisher computer, storing publisher permission data that allows a number A of end-user computers to gain access to the book data item;

10           based on the publisher permission data, providing a distributor computer with distributor permission data that allows a number B of end-user computers to gain access to the book data item;

15           changing the publisher permission data so that the publisher permission data allows only a number A-B of end-user computers to gain access to the book data item;

20           based on the distributor permission data, providing a retailer computer with retailer permission data that allows a number C of end-user computers to gain access to the book data item;

25           changing the distribution permission data so that the distributor permission data allows only a number B-C of end-user computers to gain access to the book data item;

          based on the retailer permission data, providing an end-user computer with end-user permission data that allows 1 end-user computer to gain access to the book data item; and

30           changing the retailer permission data so that the retailer permission data allows only a number C-1 of end-user computers to gain access to the book data item.

26. A system for use in distributing access to a data item, comprising:  
data processing apparatus for allowing multiple transfers between  
computers of a single instance of permission to gain access to the data item,  
5 the transfers occurring across data connections and including a first transfer  
between a first computer and a second computer and a subsequent transfer  
between the second computer and a third computer, wherein at any one time  
only one computer retains the instance of permission and is able to use the  
10 instance of permission to gain access to the data item.

27. A system comprising:  
a transferor, in accordance with access distribution parameters that are  
specific to a data item and that were established by a first computer,  
15 transferring, across a data connection from a second computer to a third  
computer and independently of the first computer, permission to gain access to  
the data item.

28. A system comprising:  
an impedor impeding a change to the number of computers that are  
allowed to gain access to a data item, independently of data connection  
transfers between computers of permission to gain access to the data item.

29. A system for use in distributing access to a data item, comprising:  
a first permission provider providing a first computer with permission  
to gain access to the data item;  
a second permission provider providing the permission by data  
30 connection to a second computer substantially simultaneously with removing  
the permission from the first computer; and

a third permission provider providing the permission by data connection to a third computer substantially simultaneously with removing the permission from the second computer.

5           30.    A system comprising:

a renderor rendering accountably fungible an instance of permission data that allows a computer to gain access to book data.

10           31.    A system for use in distributing access to a book data item, comprising:

a device including highly secure circuitry, the device being able to send and receive access data that is necessary to gain access to the book data item, the highly secure circuitry including a computer processor and a program  
15 memory and being able to substantially prevent an unauthorized transfer of the access data from the device.

20           32.    A system for use in distributing access to a book data item, comprising:

at a publisher computer, a storer for storing publisher permission data that allows a number A of end-user computers to gain access to the book data item;

25           a first permission provider for, based on the publisher permission data, providing a distributor computer with distributor permission data that allows a number B of end-user computers to gain access to the book data item;

30           a first permission changer for changing the publisher permission data so that the publisher permission data allows only a number A-B of end-user computers to gain access to the book data item;

a second permission provider for, based on the distributor permission data, providing a retailer computer with retailer permission data that allows a number C of end-user computers to gain access to the book data item;

5 a second changer for changing the distribution permission data so that the distributor permission data allows only a number B-C of end-user computers to gain access to the book data item;

10 a third permission provider for, based on the retailer permission data, providing an end-user computer with end-user permission data that allows 1 end-user computer to gain access to the book data item; and

15 a third changer for changing the retailer permission data so that the retailer permission data allows only a number C-1 of end-user computers to gain access to the book data item.

20 33. Computer software, residing on a computer-readable medium, comprising instructions for use in distributing access to a data item, the instructions causing a computer to:

allow multiple transfers between computers of a single instance of permission to gain access to the data item, the transfers occurring across data connections and including a first transfer between a first computer and a  
25 second computer and a subsequent transfer between the second computer and a third computer, wherein at any one time only one computer retains the instance of permission and is able to use the instance of permission to gain access to the data item.

30 34. Computer software, residing on a computer-readable medium, comprising instructions for causing a computer to:



in accordance with access distribution parameters that are specific to a data item and that were established by a first computer, transfer, across a data connection from a second computer to a third computer and independently of the first computer, permission to gain access to the data item.

35. Computer software, residing on a computer-readable medium, comprising instructions for causing a computer to:

impede a change to the number of computers that are allowed to gain access to a data item, independently of data connection transfers between computers of permission to gain access to the data item.

36. Computer software, residing on a computer-readable medium, comprising instructions for use in distributing access to a data item, the instructions causing a computer to:

provide a first computer with permission to gain access to the data item;

provide the permission by data connection to a second computer substantially simultaneously with removing the permission from the first computer;

provide the permission by data connection to a third computer substantially simultaneously with removing the permission from the second computer.

37. Computer software, residing on a computer-readable medium, comprising instructions for causing a computer to:

render accountably fungible an instance of permission data that allows a computer to gain access to book data.

38. Computer software, residing on a computer-readable medium, comprising instructions for use in distributing access to a book data item, the instructions causing a computer to:

5       associate highly secure circuitry with a device that is able to send and receive access data that is necessary to gain access to the book data item, the highly secure circuitry including a computer processor and a program memory and being able to substantially prevent an unauthorized transfer of the access  
10       data from the device.

39. Computer software, residing on a computer-readable medium, comprising instructions for use in distributing access to a book data item, the instructions causing a computer to:

15       at a publisher computer, store publisher permission data that allows a number A of end-user computers to gain access to the book data item;

      based on the publisher permission data, provide a distributor computer  
20       with distributor permission data that allows a number B of end-user computers to gain access to the book data item;

      change the publisher permission data so that the publisher permission  
25       data allows only a number A-B of end-user computers to gain access to the book data item;

      based on the distributor permission data, provide a retailer computer  
with retailer permission data that allows a number C of end-user computers to  
gain access to the book data item;

30       change the distribution permission data so that the distributor permission data allows only a number B-C of end-user computers to gain access to the book data item;

based on the retailer permission data, provide an end-user computer with end-user permission data that allows 1 end-user computer to gain access to the book data item; and

5 change the retailer permission data so that the retailer permission data allows only a number C-1 of end-user computers to gain access to the book data item.

10

15

20

25

30

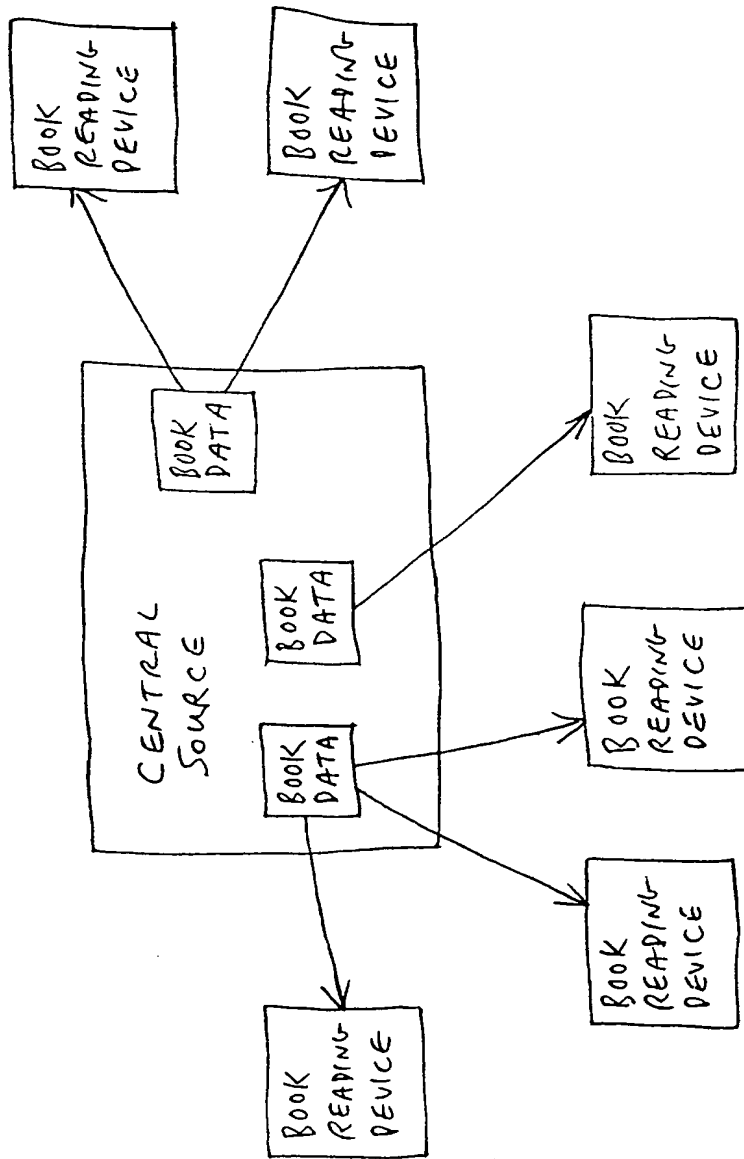


FIG. 1 (PRIOR ART)

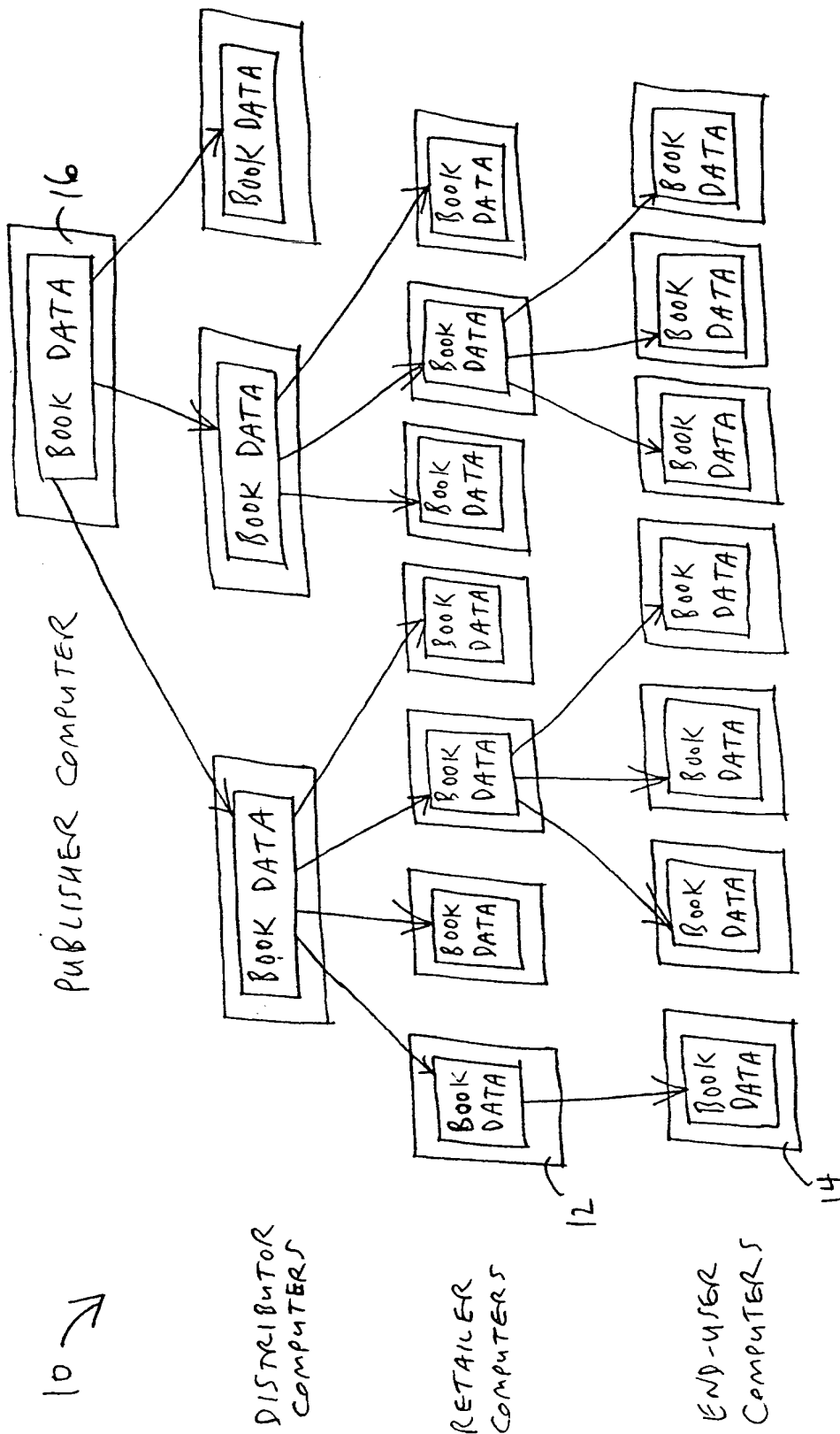


FIG. 2

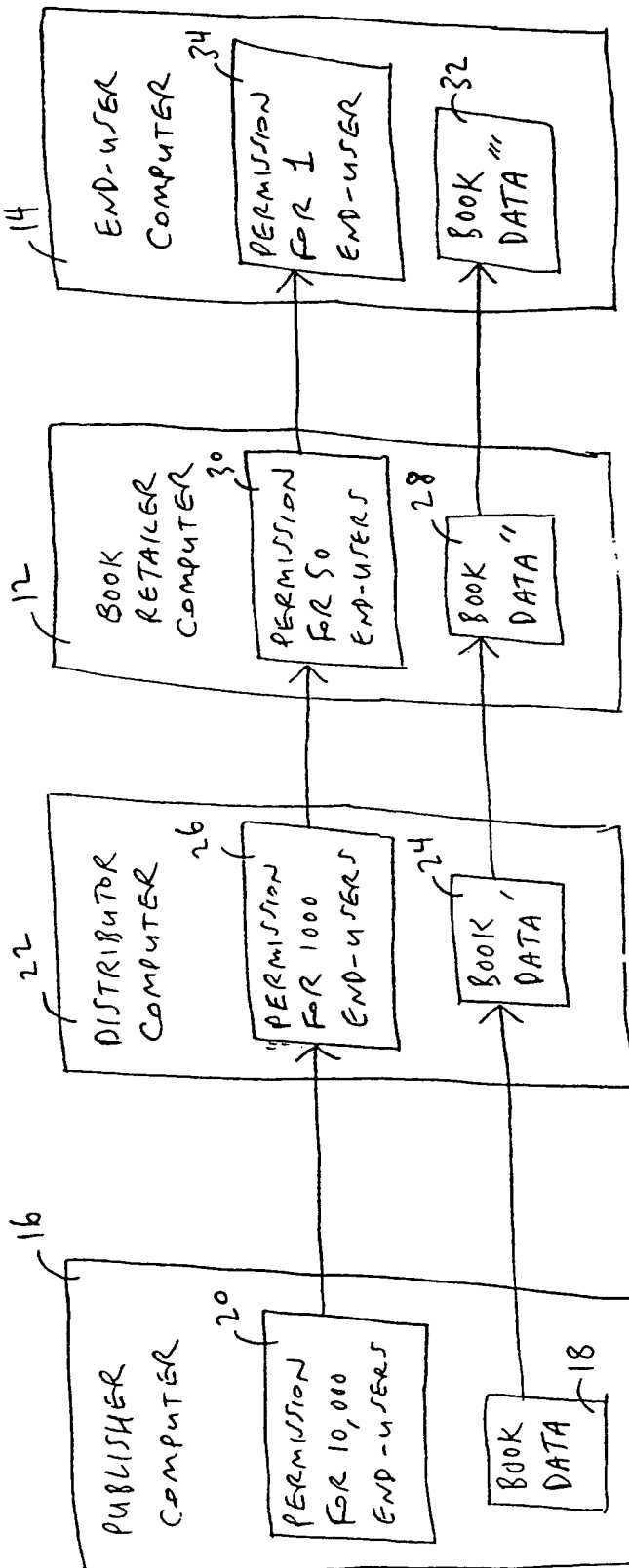


FIG. 3

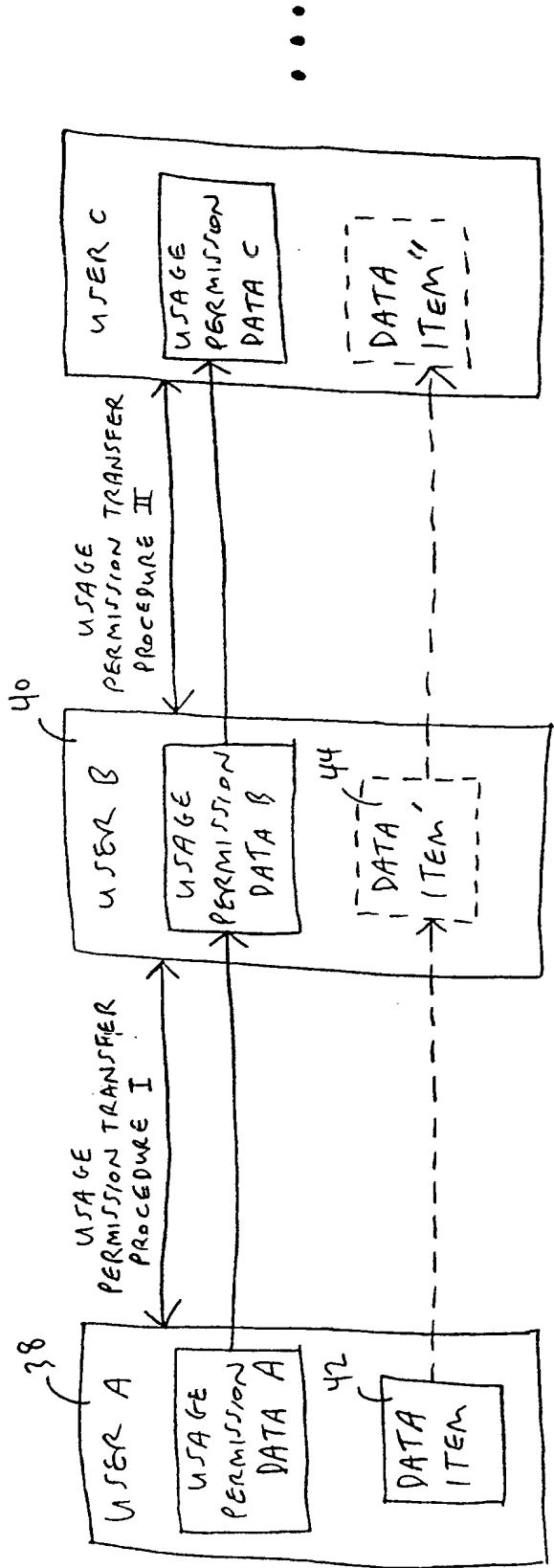


FIG. 4

36 ↙

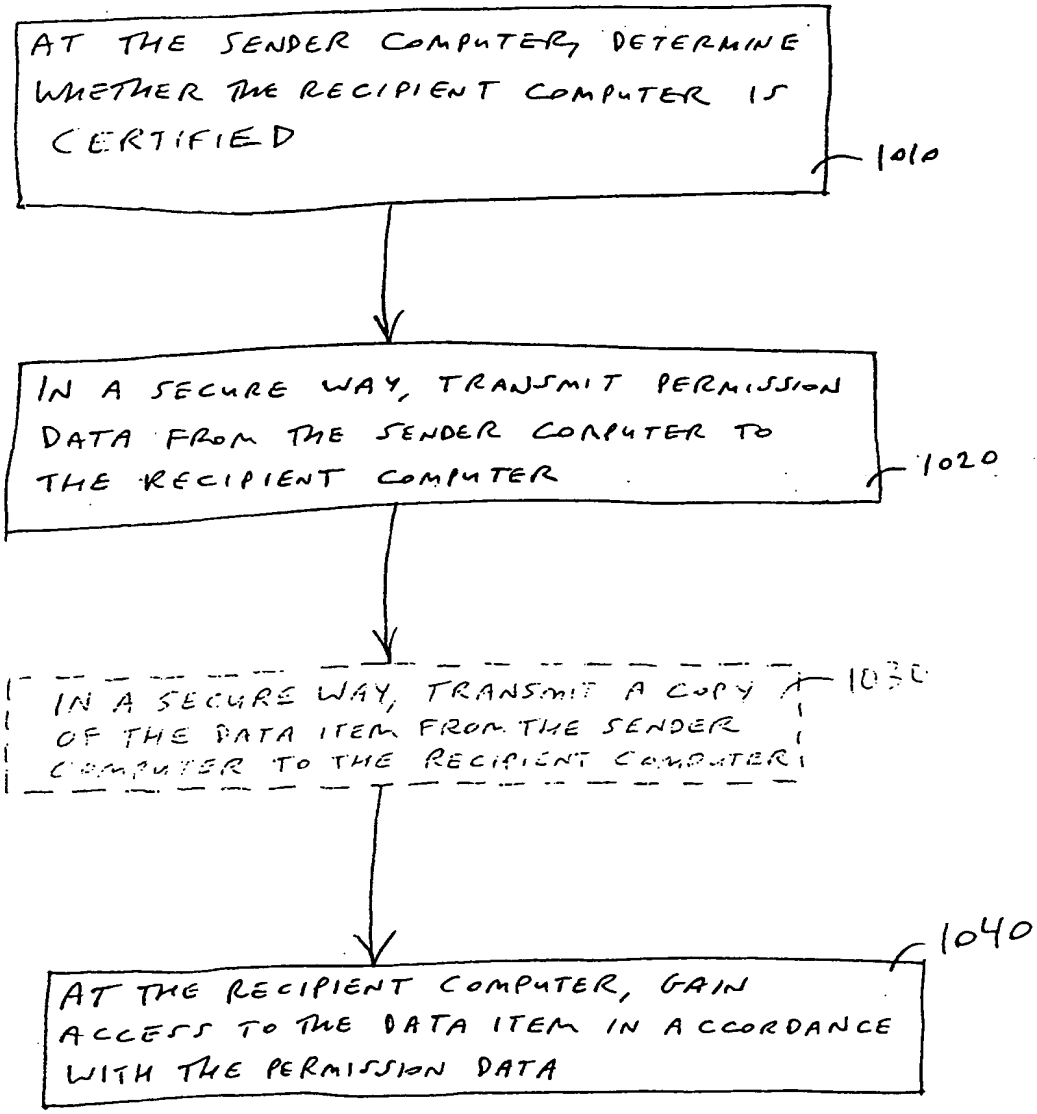


FIG. 5



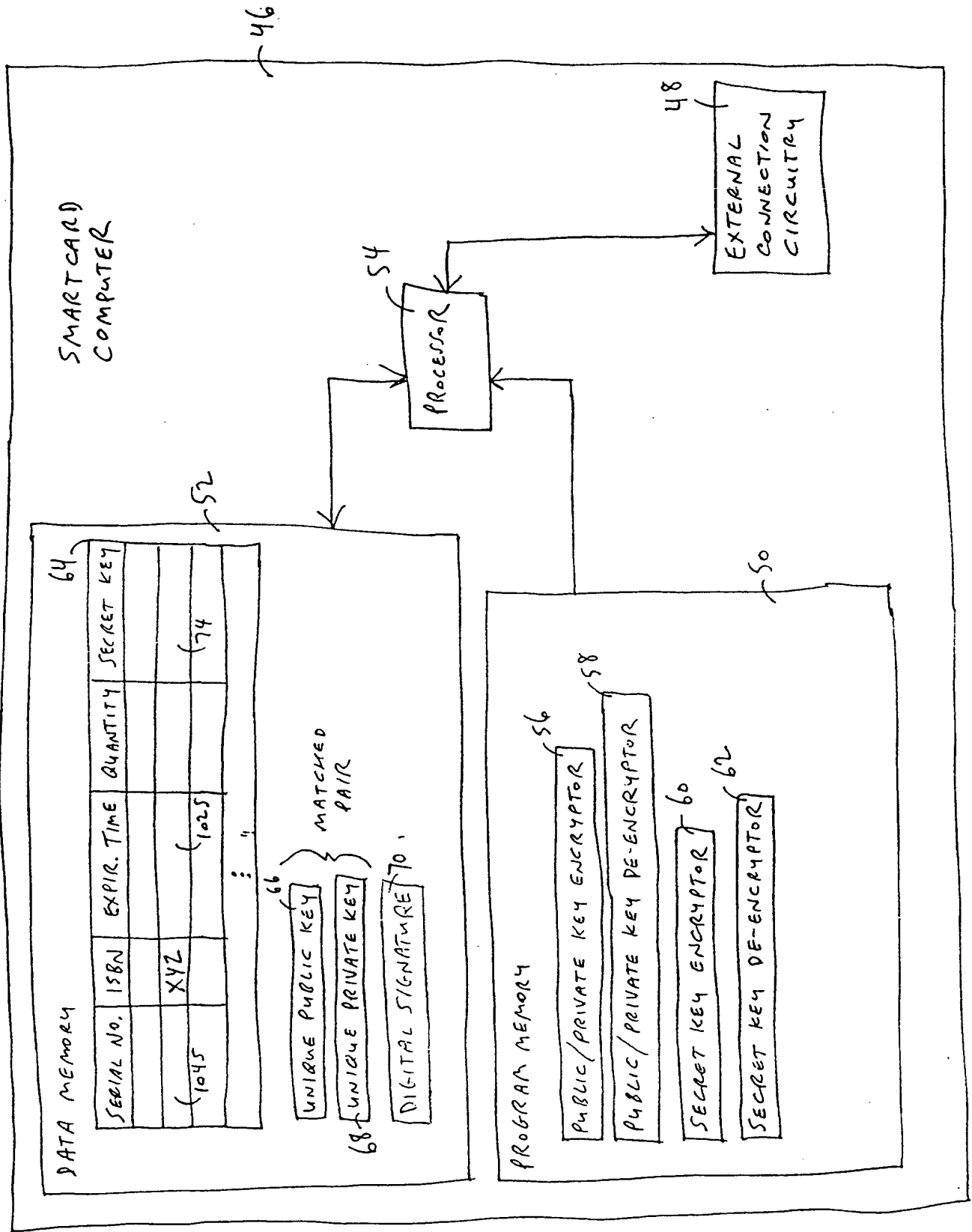


FIG. 6

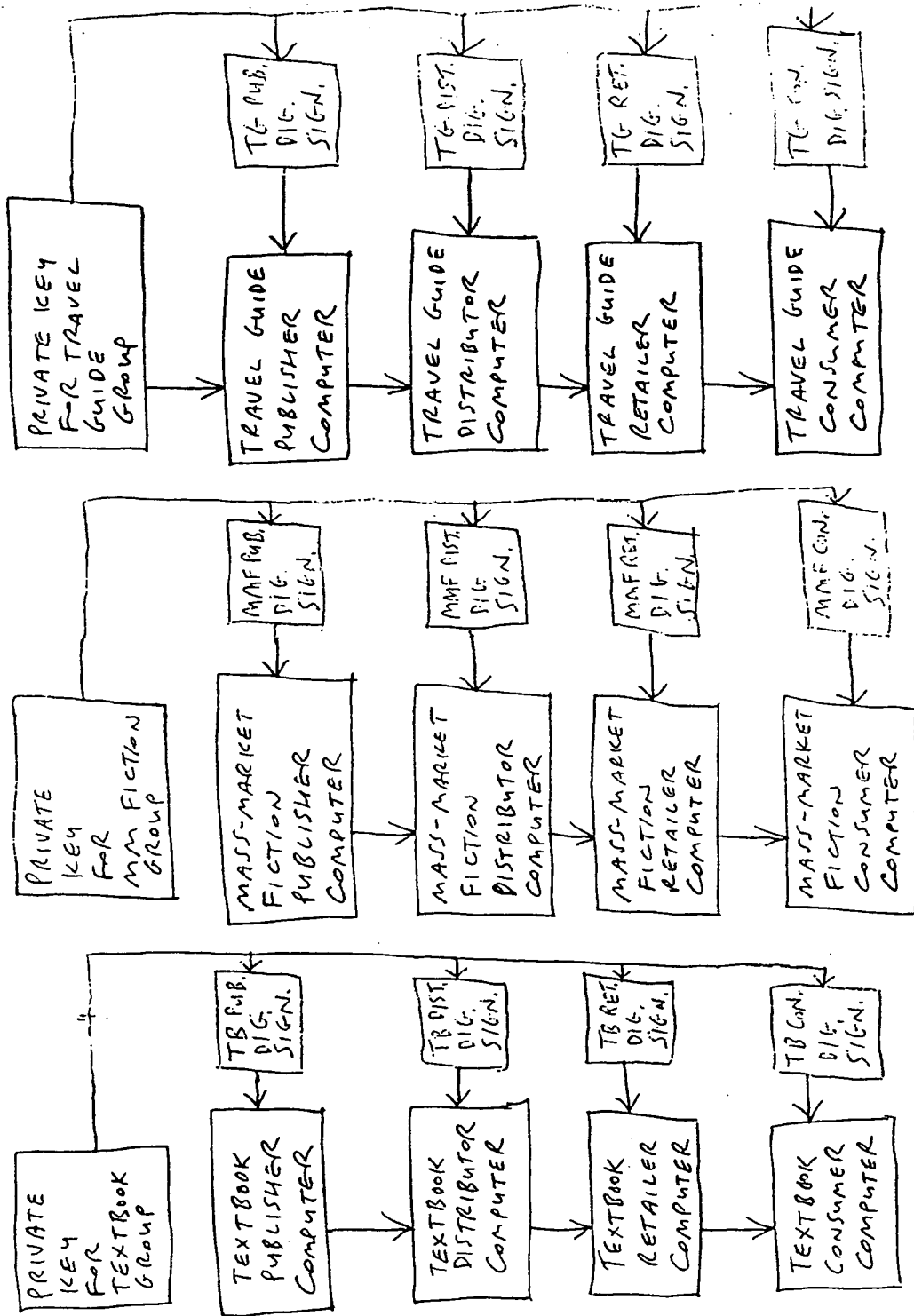
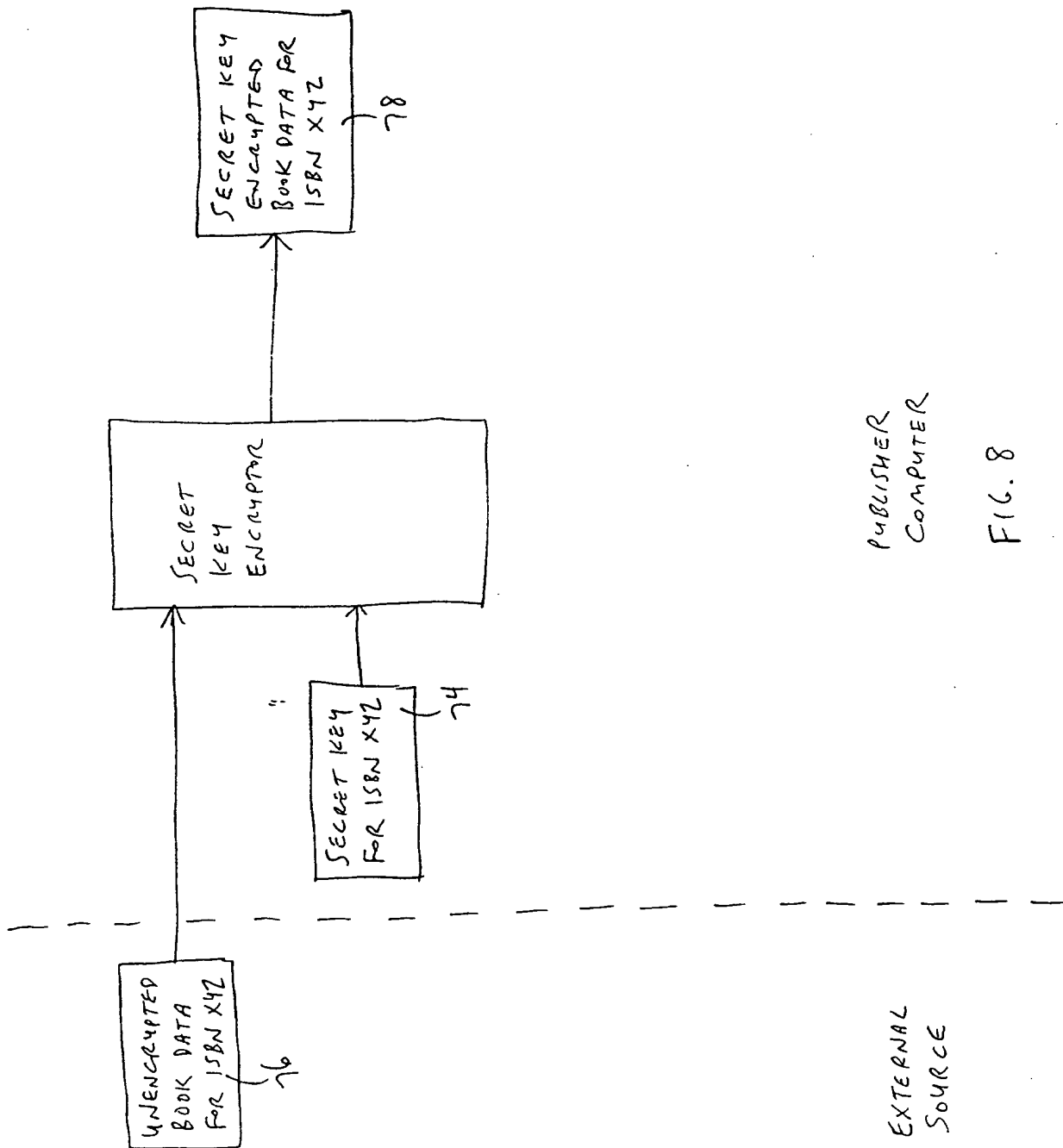


FIG. 7



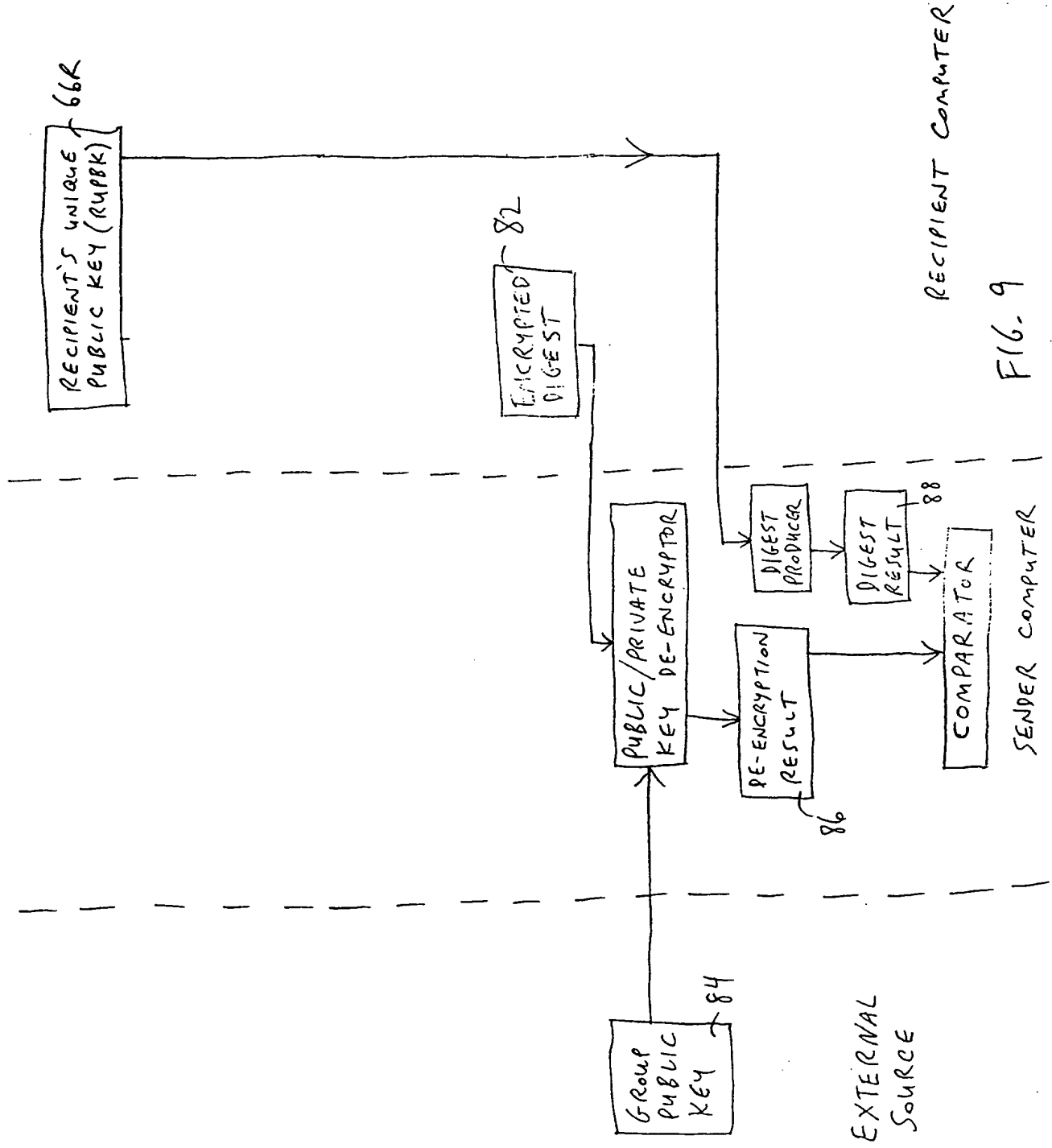


FIG. 9

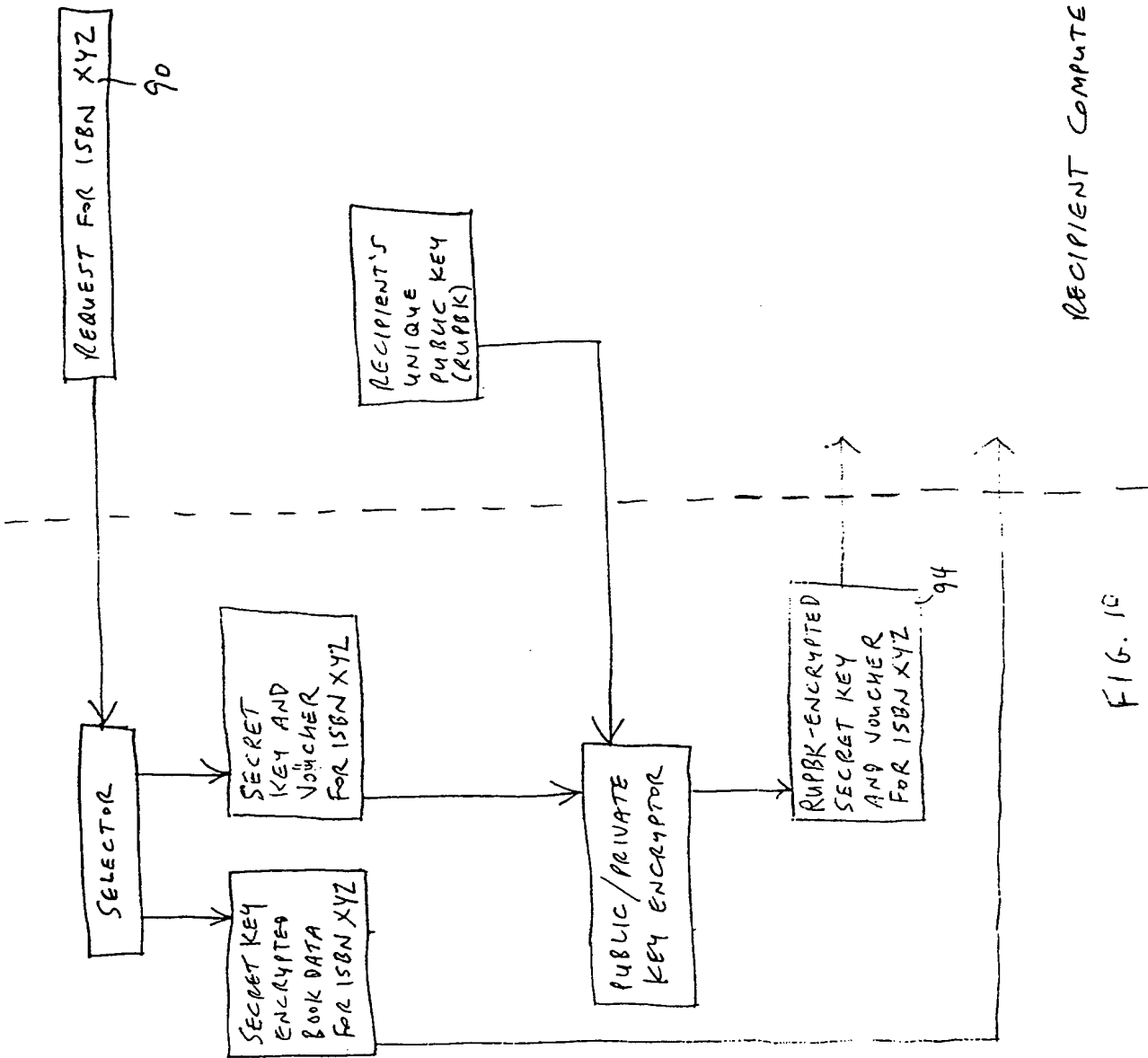


FIG. 10

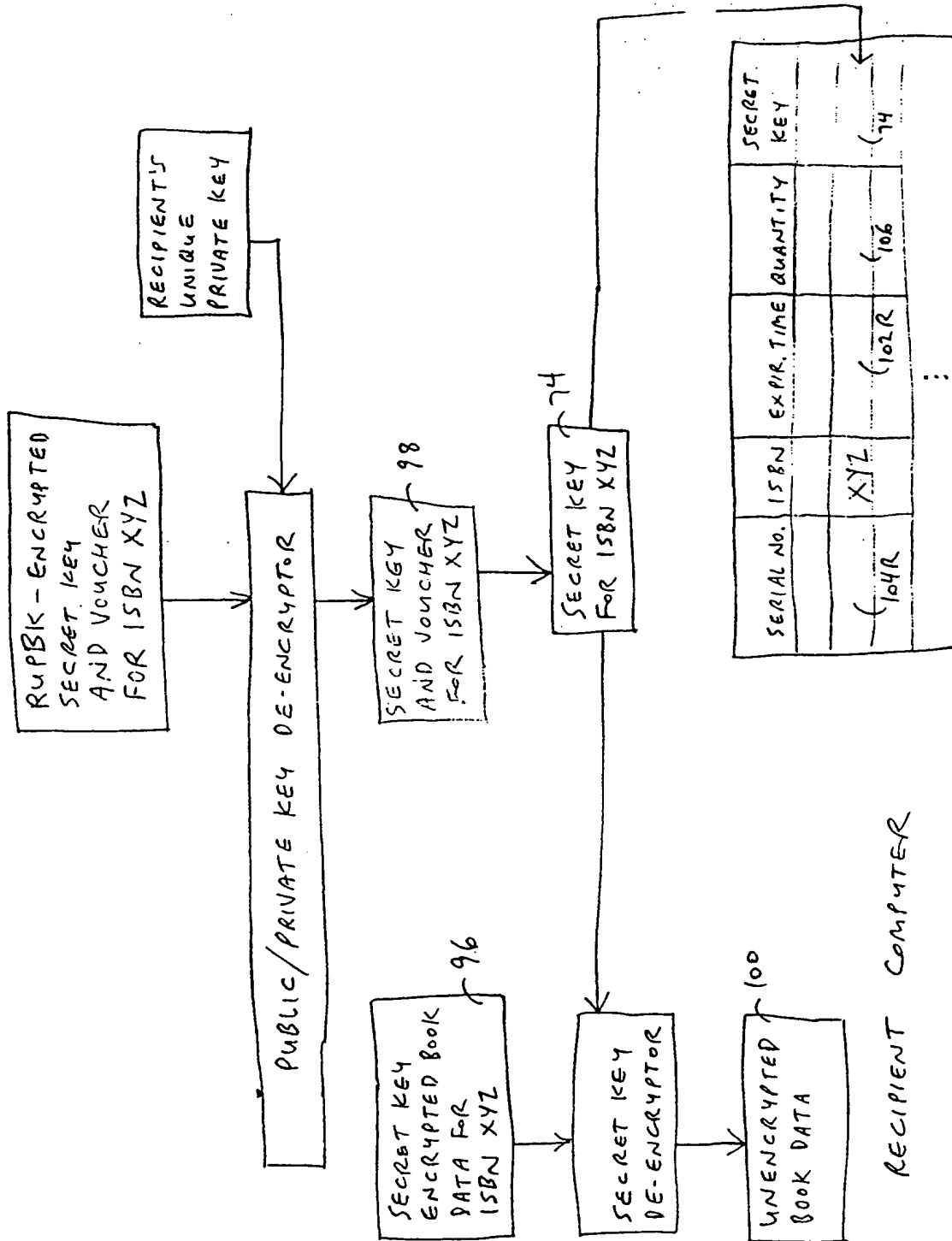


FIG. 11

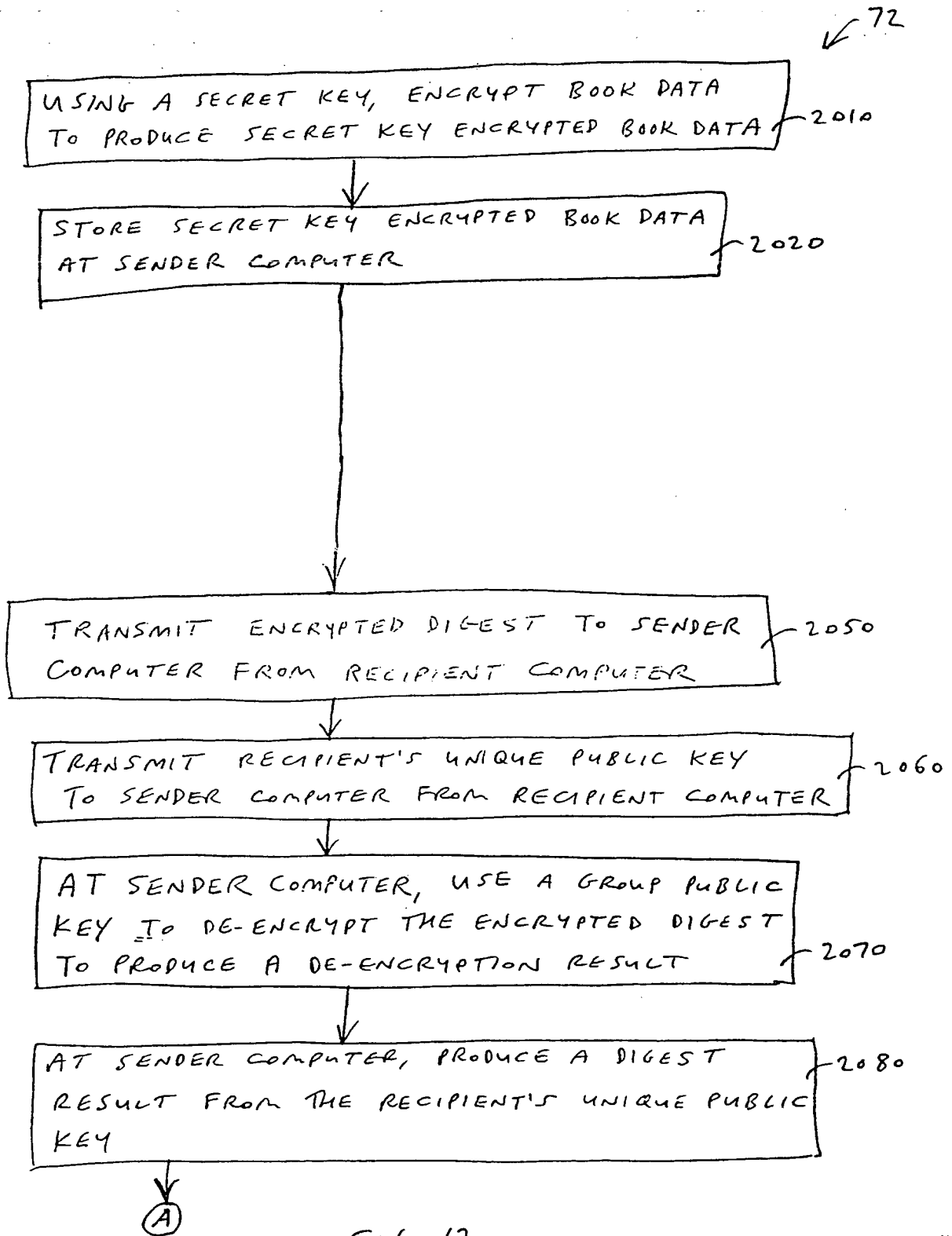


FIG. 12

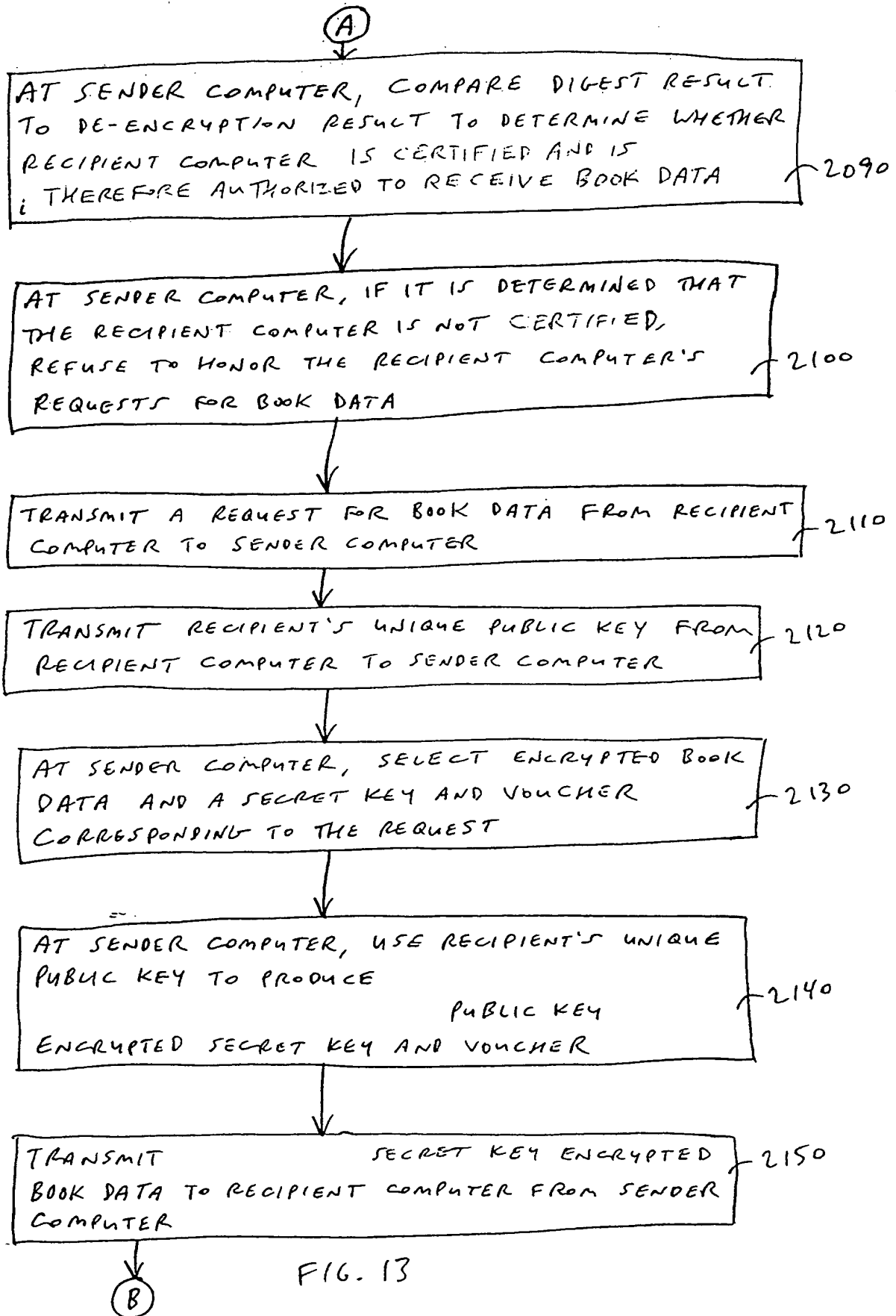


FIG. 13



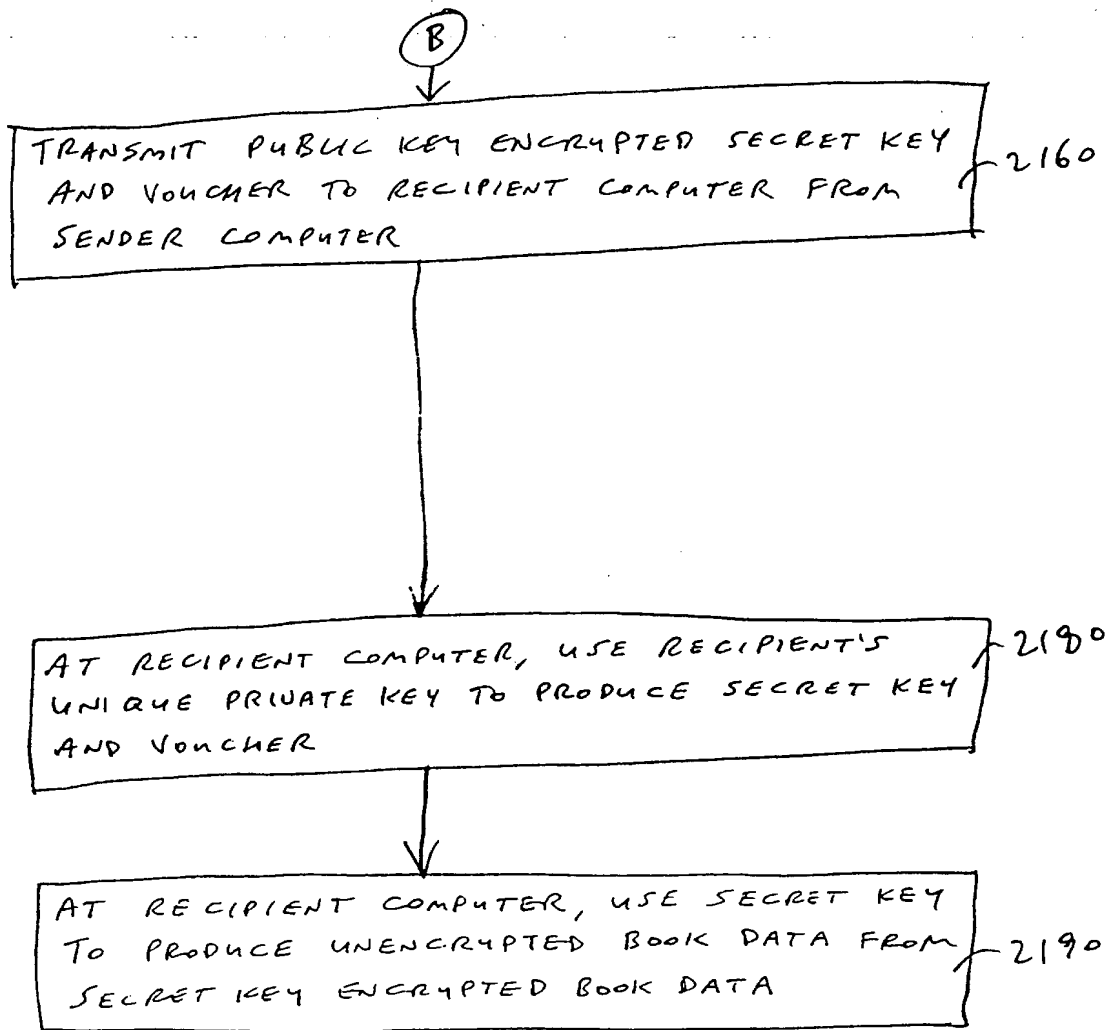


FIG. 14

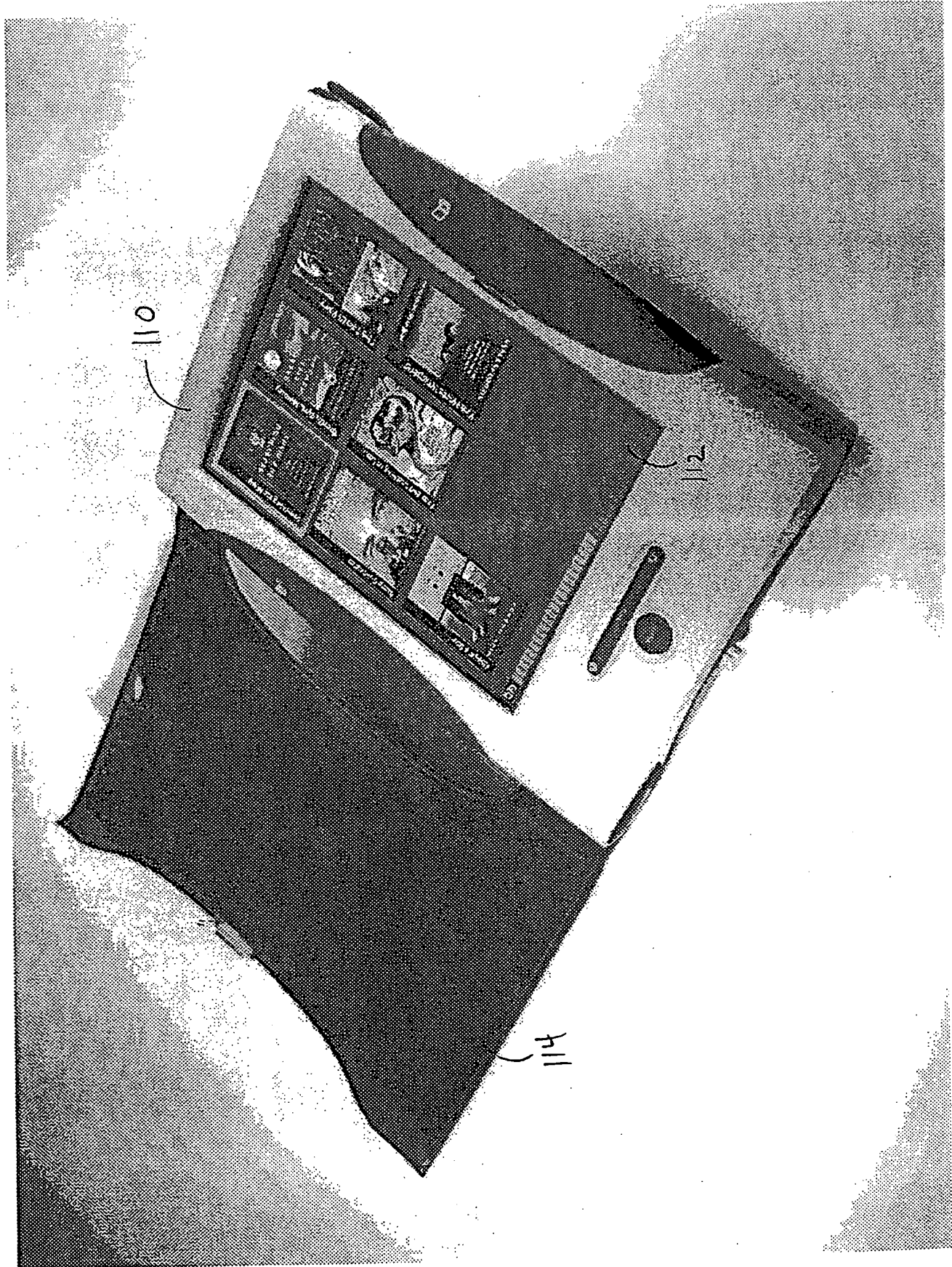


FIG. 15

INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 99/23474

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 G06F1/00

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 G06F H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X A	WO 98 08344 A (THE VIRTUAL PRESS) 26 February 1998 (1998-02-26) page 5, line 1 -page 7, line 27 page 9, line 18 - line 21; figures 1,2A,2B	23,30  1-3,11, 15-19,24
X A	--- EP 0 695 997 A (AT&T CORP.) 7 February 1996 (1996-02-07) page 3, line 25 -page 4, line 44; figures 1,2	23,30  1-5,11, 15,31
X A	--- EP 0 715 245 A (XEROX CORP.) 5 June 1996 (1996-06-05) page 6, line 45 - line 57	23,30  1,2,11, 15,16, 20,24,27
	abstract; figures 1,2,4B,14,16 --- -/--	

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

\* Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*Z\* document member of the same patent family

Date of the actual completion of the international search

7 February 2000

Date of mailing of the international search report

1 0. 02. 00

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Taylor, P

# INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 99/23474

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 5 734 823 A (SAIGH ET AL.) 31 March 1998 (1998-03-31)	23,30
A	column 1, line 53 -column 2, line 55; figures 3,4,9,12	1,15-17, 20,24, 25,31,32
---		
A	WO 96 27155 A (ELECTRONIC PUBLISHING RESOURCES LTD.) 6 September 1996 (1996-09-06)	1-5,11, 12, 15-17, 20,24, 27,31
	page 156, line 10 -page 157, line 14 page 189, line 14 -page 191, line 9; figures 1,6,9,62-64,78-80,86,86A -----	

# INTERNATIONAL SEARCH REPORT

...formation on patent family members

International Application No

PCT/US 99/23474

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9808344 A	26-02-1998	US 5956034 A	21-09-1999
		AU 4148197 A	06-03-1998
EP 695997 A	07-02-1996	US 5719938 A	17-02-1998
		CA 2151851 A	02-02-1996
		JP 8063436 A	08-03-1996
EP 715245 A	05-06-1996	US 5629980 A	13-05-1997
		JP 8263441 A	11-10-1996
US 5734823 A	31-03-1998	US 5734891 A	31-03-1998
		WO 9309490 A	13-05-1993
WO 9627155 A	06-09-1996	AU 711733 B	21-10-1999
		AU 6326696 A	18-09-1996
		CA 2212574 A	06-09-1996
		CN 1183841 A	03-06-1998
		EP 0861461 A	02-09-1998
		JP 10512074 T	17-11-1998
		US 5910987 A	08-06-1999
		US 5949876 A	07-09-1999
		US 5915019 A	22-06-1999
		US 5917912 A	29-06-1999
US 5982891 A	09-11-1999		

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

**BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- BLACK BORDERS
- IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT OR DRAWING
- BLURRED OR ILLEGIBLE TEXT OR DRAWING
- SKEWED/SLANTED IMAGES
- COLOR OR BLACK AND WHITE PHOTOGRAPHS
- GRAY SCALE DOCUMENTS
- LINES OR MARKS ON ORIGINAL DOCUMENT
- REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- OTHER: \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**

**THIS PAGE BLANK (USPTO)**



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/162,701	06/06/2002	Xin Wang	111325-113	6475
22204	7590	10/21/2005	EXAMINER REAGAN, JAMES A	
NIXON PEABODY, LLP 401 9TH STREET, NW SUITE 900 WASHINGTON, DC 20004-2128			ART UNIT	
			PAPER NUMBER 3621	

DATE MAILED: 10/21/2005

Please find below and/or attached an Office communication concerning this application or proceeding.



**Office Action Summary**

Application No. 10/162,701	Applicant(s) WANG ET AL.	
Examiner James A. Reagan	Art Unit 3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 06 June 2002.
- 2a)  This action is FINAL.
- 2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-27 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-27 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.
  - Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
  - Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a)  All b)  Some \* c)  None of:
    - 1.  Certified copies of the priority documents have been received.
    - 2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5)  Notice of Informal Patent Application (PTO-152)
- 6)  Other: \_\_\_\_\_

**DETAILED ACTION**

**Status of Claims**

1. This action is in response to the application filed on 06 June 2002.
2. Claims 1-27 have been examined.

**Information Disclosure Statement**

3. The Information Disclosure Statements have been considered. Initialed copies of the Form 1449 are enclosed herewith.

**Claim Rejections - 35 USC § 101**

4. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

5. Claims 10-19 and 25 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter. In this case, a license is non-statutory because it is not tangibly embodied.

Since the application currently before the Examiner is a utility patent, the claims must be directed to systems, methods, or articles of manufacture that have a clear utility. See MPEP 706.03(a). Over the years, numerous court decisions have analyzed the content of various claim language for meaningful, useful differences in structure or acts performed between the claims and the prior art. Some of these decisions have found that certain language adds little, if

anything, to the claimed structure or acts and therefore do not serve as a limitation on the claims to distinguish over the prior art. Thus, the limitations on the claim can broadly be thought of then as its ability to make a meaningful contribution to the definition of the invention in a claim. In other words, language that is not functionally interrelated with the useful acts, structure, or properties of the claimed invention will not serve as a limitation. See *In re Gulack*, 217 USPQ 401 (CAFC 1983), *Ex parte Carver*, 227 USPQ 465 (bd Pat App & Int 1985) and *In re Lowry*, 32 USPQ2d 1031 (CAFC 1994), where language provided certain limitations because of specific relationships required by the claims. In the computer arts we frequently examine claims that are directed to systems, methods, and articles (computer program products) that process data. In these specific cases, nonfunctional descriptive material is material that cannot exhibit any functional interrelationship with the way in which computing processes are performed.

As a result, when analyzing claim language for its limited effect, the Examiner will perform two basic steps:

- i) Review the claimed as a whole to see whether or not any descriptive material is being recited; and
- ii) If a descriptive material is found, determine how this descriptive material is being used in the claim as a whole.

In this case, the claim language contains nonfunctional data in the form of derived rules from non-statutory subject matter. This nonfunctional data is not processed by the computer, nor does it alter the process steps. It only means something to the human mind.

**Claim Rejections - 35 USC § 102**

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

7. Claims 1-27 are rejected under 35 U.S.C. 102(b) as being clearly anticipated by Ginter et al. (US 5,892,900 A).

**Claims 1, 10, and 21:**

Ginter discloses usage rights associated with digital works evolving as publishers and distributors provide the digital content to consumers. See at least column 47, line 56 to column 48, line 33; column 4, lines 14-27; column 5, lines 29-41, as well as other relevant and related Figures and text. Ginter therefore discloses the following limitations:

- *obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer; and*
- *determining whether the rights consumer is entitled to derive the derivable rights specified by the meta-rights, and at least one of deriving the derivable rights, and generating a license including the derived rights if the rights consumer is entitled to derive the derivable rights specified by the meta-rights.*

Art Unit: 3621

**Claim 2:**

With regard to the limitation of *transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer*, see at least column 4, lines 14-27; column 5, lines 29-41, as well as other relevant and related Figures and text.

**Claims 3, 11, and 22:**

With regard to the limitation of *the derived rights are rights disposal rights*, see at least column 4, lines 14-27, as well as other relevant and related Figures and text.

**Claims 4, 12, and 23:**

With regard to the limitation of *the items are content*, see at least column 5, lines 29-41, as well as other relevant and related Figures and text.

**Claims 5, 13, and 24:**

With regard to the limitation of *the derived rights include usage rights*, see at least column 9, lines 19-32, as well as other relevant and related Figures and text.

**Claims 6 and 14:**

With regard to the limitation of *the derived rights include meta- rights that the rights consumer may transfer to another rights consumer in the form of a license*, see at least column 47, line 56 to column 48, line 33, as well as other relevant and related Figures and text.

**Claims 7-9 and 15-17:**

With regard to the limitations of:

- *the consumer is a content distributor;*
- *the consumer is a content retailer;*
- *the consumer is a content publisher;*

See at least column 5, lines 29-41, as well as other relevant and related Figures and text.

**Claims 25-27:**

With regard to the limitations of:

- *said derivable rights comprise at least one condition that is associated with at least one state variable.*
- *generating said license including the derived rights with the rights consumer designated as a principal.*
- *generating said license including the derived rights with a party other than the rights consumer designated as a principal.*

See at least column 5, lines 29-41, as well as other relevant and related Figures and text.

Art Unit: 3621

Any inquiry of a general nature or relating to the status of this application or concerning this communication or earlier communications from the Examiner should be directed to **James A. Reagan** whose telephone number is **571.272.6710**. The Examiner can normally be reached on Monday-Friday, 9:30am-5:00pm. If attempts to reach the examiner by telephone are unsuccessful, the Examiner's supervisor, **James Trammell** can be reached at **571.272.6712**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://portal.uspto.gov/external/portal/pair>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at **866.217.9197** (toll-free).

Any response to this action should be mailed to:

**Commissioner of Patents and Trademarks**

**Washington, D.C. 20231**

or faxed to:

**571-273-8300** [Official communications, After Final communications labeled "Box AF"]

**571-273-8300** [Informal/Draft communications, labeled "PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to the **United States Patent and Trademark Office Customer Service Window:**

Randolph Building

401 Dulany Street

Alexandria, VA 22314.

JAR

28 September 2005



<b>Notice of References Cited</b>	Application/Control No. 10/162,701	Applicant(s)/Patent Under Reexamination WANG ET AL.	
	Examiner James A. Reagan	Art Unit 3621	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
A	US-5,892,900 A	04-1999	Ginter et al.	726/26
B	US-			
C	US-			
D	US-			
E	US-			
F	US-			
G	US-			
H	US-			
I	US-			
J	US-			
K	US-			
L	US-			
M	US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
N					
O					
P					
Q					
R					
S					
T					

**NON-PATENT DOCUMENTS**

*	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
U	
V	
W	
X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.





Substitute for form 1449A/PTO				<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				Application Number	10/162,701
				Filing Date	June 6, 2002
				First Named Inventor	Xin WANG, et al.
				Art Unit	2122
				Examiner Name	Not Yet Assigned
				Attorney Docket Number	111325-113 (290100)
Sheet	1	of	1		

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)				
JAL		US - 5,917,912		June 29, 1999	Ginter, et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> - Kind Code <sup>2</sup> (if known)					
JAL		WO 00/20950		April 13, 2000			

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
JAL		European Search Report dated April 14, 2004 (European Patent Application No. 02 739 715.7)	

Examiner Signature		Date Considered	28 SEP 05
--------------------	--	-----------------	-----------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



Form PTO-1449  
(Rev. 8-83)

U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-113

Serial No. 10/162,701

INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
QAN	4,796,220	01/03/1989	Wolfe			

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
QAN	0 715 241	06/05/1996	JP			Full Eng	
	04-369068	12/21/1992	JP			Eng Abst	
	05-268415	10/15/1993	JP			Eng Abst	
	06-175794	06/24/1994	JP			Eng Abst	
	06-215010	08/05/1994	JP			Eng Abst	
	07-084852	03/31/1995	JP			Eng Abst	
	07-200317	08/04/1995	JP			Eng Abst	
	07-244639	09/19/1995	JP			Eng Abst	
	62-241061	10/21/1987	JP			Eng Abst	
	64-068835	03/14/1989	JP			Eng Abst	
	WO 94/01821	01/20/1994	PCT			Full Eng	
	WO 96/24092	08/08/1996	PCT			Full Eng	
	WO 97/48203	12/18/1997	PCT			Full Eng	
	WO 98/11690	03/19/1998	PCT			Full Eng	
	WO 98/42098	09/24/1998	PCT			Full Eng	

RECEIVED  
OCT 02 2002  
Technology Center 2100

RECEIVED  
JAN 16 2003  
GROUP 3600

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	Description
QAN	Henry H. Perritt, Jr., "Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment", April 2-3, 1993, Knowbots, Permissions Headers & Contract Law

Examiner: *[Signature]* Date Considered: 28 SEP 05

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

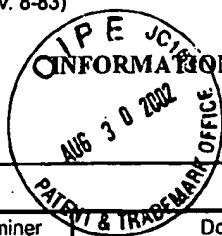
09/25/2002

Form PTO-1449  
(Rev. 8-83)

Department of Commerce  
Patent and Trademark Office

Atty Docket 111323

Serial No. 10/162,701



INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
GM	3,263,158	07/01/1966	Janis			
	3,609,697	09/28/1971	Blevins et al.			
	3,790,700	02/05/1974	Callais et al.			
	3,798,605	03/19/1974	Feistel			
	4,159,468	06/26/1979	Barnes et al.			
	4,220,991	09/02/1980	Hamano et al.			
	4,278,837	07/14/1981	Best			
	4,323,921	04/06/1982	Guillou			
	4,442,486	04/10/1984	Mayer			
	4,529,870	07/16/1985	Chaum			
	4,558,176	12/10/1985	Arnold et al.			
	4,593,376	06/03/1986	Volk			
	4,614,861	09/30/1986	Pavlov et al.			
	4,644,493	02/17/1987	Chandra et al.			
	4,658,093	04/14/1987	Hellman			
	4,817,140	03/28/1989	Chandra et al.			
	4,868,376	09/19/1989	Lessin et al.			
	4,891,838	01/02/1990	Faber			
	4,924,378	05/08/1990	Hershey et al.			
	4,932,054	06/05/1990	Chou et al.			
	4,937,863	06/26/1990	Robert et al.			
	4,949,187	08/14/1990	Cohen			
	4,953,209	08/28/1990	Ryder, Sr. et al.			
	4,961,142	10/02/1990	Elliott et al.			
	4,975,647	12/04/1990	Downer et al.			
	4,999,806	03/12/1991	Chernow et al.			
	5,010,571	04/23/1991	Katznelson			
	5,014,234	05/07/1991	Edwards, Jr.			
	5,023,907	06/11/1991	Johnson et al.			
	5,047,928	09/10/1991	Wiedemer			
	5,058,164	10/15/1991	Elmer et al.			

Examiner

*[Handwritten Signature]*

Date Considered

28 SEP 05

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

Form PTO-1449  
(Rev. 8-83)

Department of Commerce  
Patent and Trademark Office

Atty Docket 111323

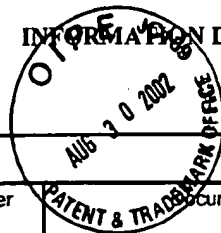
Serial No. 10/162,701

INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:



U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
JMT	5,103,476	04/07/1992	Waite et al.			
	5,113,519	05/12/1992	Johnson et al.			
	5,136,643	08/04/1992	Fischer			
	5,138,712	08/11/1992	Corbin			
	5,146,499	09/08/1992	Geffrotin			
	5,148,481	09/15/1992	Abraham et al.			
	5,159,182	10/27/1992	Eisele			
	5,183,404	02/02/1993	Aldous et al.			
	5,191,193	03/02/1993	Le Roux			
	5,204,897	04/20/1993	Wyman			
	5,222,134	06/22/1993	Waite et al.			
	5,235,642	08/10/1993	Wobber et al.			
	5,247,575	09/21/1993	Sprague et al.			
	5,255,106	10/19/1993	Castro			
	5,260,999	11/09/1993	Wyman			
	5,263,157	11/16/1993	Janis			
	5,263,158	11/16/1993	Janis			
	5,276,444	01/04/1994	McNair			
	5,276,735	01/04/1994	Boebert et al.			
	5,291,596	03/01/1994	Mita			
5,311,591	05/10/1994	Fischer				
5,319,705	06/07/1994	Halter et al.				
5,337,357	08/09/1994	Chou et al.				
5,339,091	08/16/1994	Yamazaki et al.				
5,341,429	08/23/1994	Stringer et al.				
5,347,579	09/13/1994	Blandford				
5,381,526	01/10/1995	Ellson				
5,394,469	02/28/1995	Nagel et al.				
5,412,717	05/02/1995	Fischer				
5,428,606	06/27/1995	Moskowitz				
5,432,849	07/11/1995	Johnson et al.				

Examiner

*JMT*

Date Considered 28 SEP 05

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

08/27/2002

Form PTO-1449  
(Rev. 8-83)

Department of Commerce  
Patent and Trademark Office

Atty Docket 11132.03

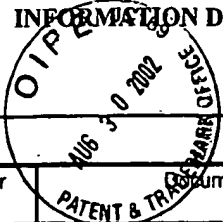
Serial No. 10/162,701

INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:



U.S. PATENT DOCUMENTS

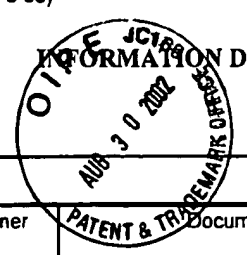
Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
JAW	5,438,508	08/01/1995	Wyman			
	5,444,779	08/22/1995	Daniele			
	5,453,601	09/26/1995	Rosen			
	5,455,953	10/03/1995	Russell			
	5,457,746	10/10/1995	Dolphin			
	5,473,687	12/05/1995	Lipscomb et al.			
	5,473,692	12/05/1995	Davis			
	5,499,298	03/12/1996	Narasimhalu et al.			
	5,504,814	04/02/1996	Miyahara			
	5,504,818	04/02/1996	Okano			
	5,504,837	04/02/1996	Griffeth et al.			
	5,509,070	04/16/1996	Schull			
	5,530,235	06/25/1996	Stefik et al.			
	5,532,920	07/02/1996	Hartrick et al.			
	5,534,975	07/09/1996	Stefik et al.			
	5,539,735	07/23/1996	Moskowitz			
	5,563,946	10/08/1996	Cooper et al.			
	5,568,552	10/22/1996	Davis			
	5,621,797	04/15/1997	Rosen			
	5,629,980	05/13/1997	Stefik et al.			
	5,633,932	05/27/1997	Davis et al.			
	5,634,012	05/27/1997	Stefik et al.			
	5,638,443	06/10/1997	Stefik et al.			
	5,655,077	08/05/1997	Jones et al.			
	5,708,717	01/13/1998	Alasia			
	5,734,823	03/31/1998	Saigh et al.			
	5,734,891	03/31/1998	Saigh			
	5,745,569	04/28/1998	Moskowitz et al.			
5,748,783	05/05/1998	Rhoads				
5,761,686	06/02/1998	Bloomberg				
5,765,152	06/09/1998	Erickson				

Examiner *JAW*

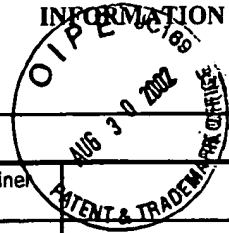

Date Considered 28 SEPOS

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

08/27/2002

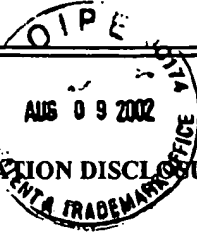
Form PTO-1449 (Rev. 8-83)	Department of Commerce Patent and Trademark Office	Atty Docket 11132003	Serial No. 10/162,701				
 <p><b>INFORMATION DISCLOSURE STATEMENT</b></p>		Applicants: Xin WANG					
		Filing Date: June 06, 2002	Group Art Unit:				
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)	
<i>MA</i>	5,768,426	06/16/1998	Rhoads				
	5,825,892	10/20/1998	Braudaway et al.				
	6,047,067	04/04/2000	Rosen				
	6,115,471	09/05/2000	Oki et al.				
	6,233,684	05/15/2001	Stefik et al.				
	6,266,618	05/01/2001	Downs et al.				
	6,345,256	02/05/2002	Milsted et al.				
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No	
<i>MA</i>	0 084 441	07/27/1983	EP			Full Eng	
	0 180 460	05/07/1986	EP			Full Eng	
	0 332 707	09/01/1989	EP			Full Eng	
	0 651 554	05/03/1995	EP			Full Eng	
	0 668 695	08/23/1995	EP			Full Eng	
	0 725 376	08/07/1996	EP			Full Eng	
	2 136 175	09/12/1984	GB			Full Eng	
	2 236 604	04/10/1991	GB			Full Eng	
	WO 01/63528	08/30/2001	PCT			Full Eng	
	WO 92/20022	11/12/1992	PCT			Full Eng	
	WO 93/01550	01/21/1993	PCT			Full Eng	
	WO 99/49615	09/30/1999	PCT			Full Eng	
	<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)						
Examiner Initial							
	"National Semiconductor and EPR Partner for Information Metering/Data Security Cards" March 4, 1994, Press Release from Electronic Publishing Resources, Inc.						
	Weber, R., "Digital Rights Management Technology" October 1995						
	Flasche, U. et al., "Decentralized Processing of Documents", pp. 119-131, 1986, Comput. & Graphics, Vol. 10, No. 2						
	Mori, R. et al., "Superdistribution: The Concept and the Architecture", pp. 1133-1146, 1990, The Transactions of the IEICE, Vol. E 73, No. 7, Tokyo, JP						
Examiner	<i>[Signature]</i>					Date Considered	28 SEP 05
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

08/27/2002

Form PTO-1449 (Rev. 8-83)		Department of Commerce Patent and Trademark Office		Atty Docket 11132-03	Serial No. 10/162,701
INFORMATION DISCLOSURE STATEMENT 				Applicants: Xin WANG	
				Filing Date: June 06, 2002	
<b>OTHER DOCUMENTS</b> (Including Author, Title, Date, Pertinent Pages, Etc.)					
Examiner Initial					
GAJ	Weber, R., "Metering Technologies for Digital Intellectual Property", pp. 1-29, Oct. 1994, A Report to the International Federation of Reproduction Rights Organizations				
	Clark, P.C. et al., "Bits: A Smartcard protected Operating System", pp. 66-70 and 94, November 1994, Communications of the ACM, Vol. 37, No. 11				
	Ross, P.E., "Data Guard", pp. 101, June 6, 1994, Forbes				
	Saigh, W.K., "Knowledge is Sacred", 1992, Video Pocket/Page Reader Systems, Ltd.				
	Kahn, R.E., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 1-19, August 1992, Corporation for National Research Initiatives, Virginia				
	Hilts, P. et al., "Books While U Wait", pp. 48-50, January 3, 1994, Publishers Weekly				
	Strattner, A, "Cash Register on a Chip may Revolutionize Software Pricing and Distribution; Wave Systems Corp.", pp. 62, April 1994, Computer Shopper, Vol. 14, No. 4, ISSN 0886-0556				
	O'Conner, M., "New Distribution Option for Electronic Publishers; iOpener Data Encryption and Metering System for CD-ROM use; Column", pp. 134, March 1994, CD-ROM Professional, Vol. 7, No. 2, ISSN: 1409-0833				
	Willett, S., "Metered PCs: Is Your System Watching You? Wave System beta tests new technology", pp. 84, May 2, 1994, InfoWorld				
	Linn, R., "Copyright and Information Services in the Context of the National Research and Education Network", pp. 9-20, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Perrit, Jr., H., "Permission Headers and Contract Law", pp. 27-48, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Upthegrove, L., "Intellectual Property Header Descriptors: A Dynamic Approach", pp. 63-66, January 1994, IMA Intellectual Property Proceedings, Vol. 1, Issue 1				
	Sirbu, M., "Internet Billing Service Design and prototype Implementation", pp. 67-80, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Simmel, S. et al., "Metering and Licensing of Resources: Kala's General Purpose Approach", pp. 81-110, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Kahn, R., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 111-120, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Tygar, J. et al., "Dyad: A System for Using Physically Secure Coprocessors", pp. 121-152, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Griswold, G., "A Method for Protecting Copyright on Networks", pp. 169-178, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Nelson, T., "A Publishing and Royalty Model for Networked Documents", pp. 257-259, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1				
	Robinson, E., "Redefining Mobile Computing", pp. 238-240, 247-248 and 252, July 1993, PC Computing				
	Abadi, M. et al., "Authentication and Delegation with Smart-cards", 1990, Research Report DEC Systems Research Center				
	Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 219-253, 1996, Internet Dreams: Archetypes, Myths, and Metaphors, IDSN 0-262-19373-6				
	Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 2-35, February 8, 1995, Internet Dreams: Archetypes, Myths and Metaphors,				
Examiner					Date Considered 28 SEP05
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					

08/27/2002

Form PTO-1449  
(Rev. 8-83)



Department of Commerce  
Patent and Trademark Office

Atty Docket 1113.13

Serial No. 10/162,701

INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
AMY	4,827,508	05/02/1989	Shear			
	4,977,594	12/11/1990	Shear			
	5,050,213	09/17/1991	Shear			
	5,410,598	04/25/1995	Shear			
	5,892,900	04/06/1999	Ginter et al.			
	5,910,987	06/08/1999	Ginter et al.			
	5,915,019	06/22/1999	Ginter et al.			
	5,917,912	06/29/1999	Ginter et al.			
	5,920,861	07/06/1999	Hall et al.			
	5,940,504	08/17/1999	Griswold			
	5,943,422	08/24/1999	Van Wie et al.			
	5,949,876	09/07/1999	Ginter et al.			
	5,982,891	11/09/1999	Ginter et al.			
	5,999,949	12/07/1999	Crandall			
	6,112,181	08/29/2000	Shear et al.			
	6,138,119	10/24/2000	Hall et al.			
	6,157,721	12/05/2000	Shear et al.			
	6,185,683	02/06/2001	Ginter et al.			
	6,237,786	05/29/2001	Ginter et al.			
	6,240,185	05/29/2001	Van Wie et al.			
6,253,193	06/26/2001	Ginter et al.				
6,292,569	09/18/2001	Shear et al.				
6,363,488	05/26/2002	Ginter et al.				
6,389,402	05/14/2002	Ginter et al.				

RECEIVED

AUG 2 2002

Technology Center 2100

Examiner

Date Considered

28 SEP 05

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



Form PTO-1449  
(Rev. 8-83)

Department of Commerce  
Patent and Trademark Office

Atty Docket 111320213

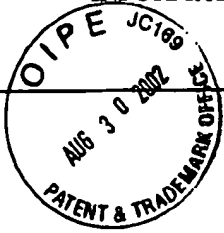
Serial No. 10/162,701

INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:



Examiner *[Signature]*

Date Considered 28 SEP 05

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



Application No. 10/162,701  
Docket No. 111325-113 (290100)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:	)	Group Art Unit: 3621
Xin WANG, et al.	)	Examiner: REAGAN, James A.
Application No. 10/162,701	)	Conf. No.: 6475
Filed: June 6, 2002	)	
For: METHOD AND APPARATUS	)	Date: February 21, 2006
MANAGING THE TRANSFER	)	
OF RIGHTS	)	

**AMENDMENT**

U.S. Patent and Trademark Office  
Customer Service Window, **Mail Stop Amendment**  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

In response to the Office Action of October 21, 2005, please amend the above-identified application as follows:

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

**Remarks** begin on page 6 of this paper.

**Amendments to the Claims:**

This listing of claims will replace all prior versions, and listings, of claims in the application:

1. (Currently Amended) A method for transferring rights adapted to be associated with one or more items from a rights supplier to a rights consumer, said method comprising:

obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer; and

determining whether the rights consumer is entitled to derive the derivable rights specified by the meta-rights;[[,]] and

if the rights consumer is entitled to derive the derivable rights specified by the meta-rights, at least one of deriving one or more of the derivable rights[[,]] and generating a license including the derived rights~~if the rights consumer is entitled to derive the derivable rights specified by the meta-rights.~~

2. (Original) A method recited in claim 1, further comprising, transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer.

3. (Original) A method as recited in claim 1, wherein the derived rights are rights disposal rights.

4. (Original) A method as recited in claim 1, wherein the items are content.

5. (Original) A method as recited in claim 1, wherein the derived rights include usage rights.

6. (Original) A method as recited in claim 1, wherein the derived rights include meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

7. (Original) A method as recited in claim 4, wherein the consumer is a content distributor.
8. (Original) A method as recited in claim 4, wherein the consumer is a content retailer.
9. (Original) A method as recited in claim 4, wherein the consumer is a content publisher.
10. (Currently Amended) A license associated with an item and adapted to be used within a system for managing the transfer of rights to the item from a rights supplier to a rights consumer, said license being adapted to be stored on a computing device, said license comprising:
  - a set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer;
  - a principal designating at least one rights consumer who is authorized to derive the derivable rights; and
  - a mechanism for providing access to the item in accordance with the set of rights.
11. (Original) A license as recited in claim 10, wherein the derived rights are rights disposal rights.
12. (Original) A license as recited in claim 10, wherein the items are content.
13. (Original) A license as recited in claim 10, wherein the derived rights include usage rights.
14. (Original) A license as recited in claim 10, wherein the derived rights include meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

15. (Original) A license as recited in claim 12, wherein the consumer is a content distributor.
16. (Original) A license as recited in claim 12, wherein the consumer is a content retailer.
17. (Original) A license as recited in claim 12, wherein the consumer is a content publisher.
18. (Original) A license as recited in claim 10, further comprising a digital signature corresponding to a party issuing the license.
19. (Previously Presented) A license as recited in claim 10, further comprising at least one condition that must be satisfied to exercise at least one of said meta-rights.
20. (Original) A license as recited in claim 19, further comprising at least one state variable related to said at least one condition.
21. (Currently Amended) A method for deriving rights adapted to be associated with one or more items from meta-rights, said method comprising:
  - obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by ~~the~~a rights consumer; and
  - generating a license associated with said item and including one or more ~~the~~ derived rights.
22. (Original) A method as recited in claim 21, wherein the derived rights are rights disposal rights.
23. (Original) A method as recited in claim 21, wherein the items are content.

24. (Original) A method as recited in claim 21, wherein the derived rights include usage rights.

25. (Previously Presented) A license as recited in claim 10, wherein said derivable rights comprise at least one condition that is associated with at least one state variable.

26. (Previously Presented) A method as recited in claim 1, comprising:  
generating said license including the derived rights with the rights consumer designated as a principal.

27. (Previously Presented) A method as recited in claim 1, comprising:  
generating said license including the derived rights with a party other than the rights consumer designated as a principal.

**REMARKS**

The Office Action of October 21, 2005 has been received and its contents reviewed. Claims 1-27 are pending in this application, and claim 10 is amended. Thus, claims 1-27 remain pending. In view of the above amendments and the following remarks, reconsideration and allowance of the application is respectfully requested.

Claims 10-19 and 25 stand rejected under 35 U.S.C. § 101 as being directed to non-statutory subject matter. In particular, the Office asserts that a license is non-statutory because it is not tangibly embodied. However, claim 10 as amended herein recites a license that is “adapted to be stored on a computing device,” which Applicants submit is clearly statutory subject matter. Accordingly, Applicants respectfully request that this rejection be reconsidered and withdrawn.

In addition, claims 1-27 stand rejected under 35 U.S.C. § 102(b) as being clearly anticipated by U.S. Patent 5,892,900 to Ginter et al. In particular, the Office asserts that Ginter discloses usage rights associated with digital works evolving as publishers and distributors provide the digital content to consumers. (Col. 47, line 56, to Col. 48, line 33, Col. 4, lines 14-27; Col. 5, lines 29-41, as well as “other relevant and related Figures and text”).

However, Ginter fails to teach, disclose, or suggest each and every feature of the claims. For example, Ginter fails to teach, disclose, or suggest that rights associated with an item can include “meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer”, that a determination is made regarding whether the rights consumer “is entitled to derive the derivable rights specified by the meta-rights”, or that, “if the rights consumer is entitled to derive the derivable rights specified by the meta-rights, deriving one or more of the derivable rights and generating a license including the derived rights” as is recited in claim 1. Similarly, Ginter fails to teach, disclose, or suggest a license that comprises “a set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer” or “a principal designating at least one rights consumer who is authorized to derive the derivable rights” as is recited in claim 10. Moreover, Ginter fails to teach, disclose, or suggest a method for deriving rights adapted to

be associated with one or more items from meta-rights comprising “obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by a rights consumer” or “generating a license associated with said item and including one or more derived rights” as is recited in claim 21.

Instead, the cited portions of Ginter merely relate to a VDE, or a Virtual Distribution Environment, capable of protecting the electronic rights of distributors, including licenses, and suggest that VDE agreements may be modified such that a given piece of content may be subject to different control information at different times or places of handling, depending on the evolution of its content control information. In addition, Ginter discloses that a certain party or group of parties may be subject to content control information that differs from another party or group of parties. In this regard, Ginter appears to disclose that distributors and consumers can be subject to different content control information for the same piece of content.

However, there is no apparent suggestion or disclosure in Ginter whatsoever that usage rights associated with a piece of content can include meta-rights that specify derivable rights that can be derived from the meta-rights by a rights consumer, as is recited in the claims. In addition, there is no suggestion or disclosure in Ginter whatsoever that a determination may be made whether the rights consumer is entitled to derive derivable rights specified by meta-rights, as is recited in the claims. Accordingly, Applicants respectfully request that the rejection of claim 1-27 under 35 U.S.C. § 102(b) in view of Ginter be reconsidered and withdrawn.

Moreover, the Examiner broadly asserts other relevant and related Figures and text of Ginter disclose the invention. As is evidenced by the arguments presented above, Applicants have clearly distinguished Ginter from the claimed invention. However, given the extreme size of the Ginter patent (i.e., 163 drawing sheet and 380 columns of text), if the Examiner disagrees with Applicants arguments for any reason and decides to issue any further rejections in view of Ginter, Applicants respectfully request the Examiner provide a more detailed explanation of the factual basis of this rejection and more clearly point out the specific portions of Ginter which the Examiner believes teach the claimed features. *See* M.P.E.P. § 707.07(f); (“Where the applicant traverses any rejection, the examiner should, if




he or she repeats the rejection, take note of the applicant's argument and answer the substance of it.”).

In view of the foregoing, Applicants submit that the present application is in condition for allowance and a notice to that effect is respectfully requested. If, however, the Examiner deems that any issue remains after considering this response, the Examiner is invited to contact the undersigned attorney to expedite the prosecution and engage in a joint effort to work out a mutually satisfactory solution.

Respectfully submitted,

Date: February 21, 2006

  
\_\_\_\_\_  
Stephen M. Hertzler  
Registration No. 58,247

NIXON PEABODY LLP  
Suite 900, 401 9<sup>th</sup> Street, N.W.  
Washington, D.C. 20004-2128  
(202) 585-8000



PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)		Docket Number (Optional) 111325-113 (290100)
<p>CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]</p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to Mail Stop __, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on 5.</p> <p>Signature: _____</p> <p>Name: _____</p>	In re Application of: Xin WANG, et al.	
	Application Number : 10/162,701	Filed: 06/02
	For: METHOD AND APPARATUS MANAGING THE TRANSFER OF RIGHTS	
	Group Art Unit : 3621	Examiner: James A. Reagan
<p>This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.</p> <p>The requested extension and appropriate entity fee are as follows (check time period desired):</p> <p><input checked="" type="checkbox"/> One month (37 CFR 1.17(a)(1)) - (\$60/\$120) \$ <u>120.00</u></p> <p><input type="checkbox"/> Two months (37 CFR 1.17(a)(2)) - (\$225/\$450) \$ _____</p> <p><input type="checkbox"/> Three months (37 CFR 1.17(a)(3)) - (\$510/\$1,020.00) \$ _____</p> <p><input type="checkbox"/> Four months (37 CFR 1.17(a)(4)) - (\$795/\$1,590) \$ _____</p> <p><input type="checkbox"/> Five months (37 CFR 1.17(a)(5)) - (\$1,080/\$2,160) \$ _____</p> <p><input type="checkbox"/> Applicant claims small entity status.</p> <p><input type="checkbox"/> A check to cover the fee is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The Commissioner has already been authorized to charge fees in this application to a Deposit Account.</p> <p><input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>19-2380</u></p> <p>I am the <input type="checkbox"/> applicant/inventor</p> <p><input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).</p> <p><input checked="" type="checkbox"/> attorney or agent of record.</p> <p><input type="checkbox"/> attorney or agent under 37 CFR 1.34(a). Registration number if acting under 37 CFR 1.34(a) _____.</p> <p><b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b></p> <p><u>February 21, 2006</u> Date</p> <p style="text-align: right;">Signature  Stephen M. Hertzler, Reg. No. 58,247</p> <p>NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.</p>		
<input checked="" type="checkbox"/> Total of <u>1</u> form is submitted.		

03/02/2006 JBALIMAN 00000101 192360 10162701

01 FC:1251 120.00 DA

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

W705556.1



3621  
J

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/162,701	
	Filing Date	June 6, 2002	
	First Named Inventor	Xin WANG, et al.	
	Group Art Unit	3621	
	Examiner Name	James A. Reagan	
	10	Confirmation Number	6475

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request for <u>1</u> month <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input type="checkbox"/> A self-addressed prepaid postcard for acknowledging receipt <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks	<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Stephen M. Hertzler Registration No.: 58,247 Nixon Peabody, LLP 401 9 <sup>th</sup> Street, N.W., Suite 900 Washington, D.C. 20004-2128
Signature	
Date	February 21, 2006

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]	
I hereby certify that this correspondence is being:	
<input type="checkbox"/> deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop _____, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450	
<input type="checkbox"/> transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____.	
_____ Date	_____ Signature
	_____ Typed or printed name

**PATENT APPLICATION FEE DETERMINATION RECORD**  
Effective January 1, 2003

Application of Docket Number

10102701

**CLAIMS AS FILED - PART I**

	(Column 1)	(Column 2)
TOTAL CLAIMS		
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	24 minus 20 =	4
INDEPENDENT CLAIMS	3 minus 3 =	—
MULTIPLE DEPENDENT CLAIM PRESENT <input type="checkbox"/>		

\* If the difference in column 1 is less than zero, enter "0" in column 2

**CLAIMS AS AMENDED - PART II**

AMENDMENT A	(Column 1)	(Column 2)	(Column 3)
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	27	24	3
Independent	3	3	0
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

2/21/06

AMENDMENT B	(Column 1)	(Column 2)	(Column 3)
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	27	27	—
Independent	3	3	—
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

AMENDMENT C	(Column 1)	(Column 2)	(Column 3)
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total			
Independent			
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

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

SMALL ENTITY TYPE  OR

OTHER THAN SMALL ENTITY

RATE	FEE	OR	RATE	FEE
BASIC FEE	\$375	OR	BASIC FEE	\$750
X\$9=		OR	X\$18=	72
X42=		OR	X84=	—
+140=		OR	+280=	—
TOTAL		OR	TOTAL	812

SMALL ENTITY TYPE  OR

OTHER THAN SMALL ENTITY

RATE	ADDITIONAL FEE	OR	RATE	ADDITIONAL FEE
X\$9=		OR	X\$18=	54
X42=		OR	X84=	—
+140=		OR	+280=	—
TOTAL ADDIT. FEE		OR	TOTAL ADDIT. FEE	54.00

RATE	ADDITIONAL FEE
X\$9=	
X42=	
+140=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$18=	
X84=	
+280=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$9=	
X42=	
+140=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$18=	
X84=	
+280=	
TOTAL ADDIT. FEE	



UNITED STATES PATENT AND TRADEMARK OFFICE

MS

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

10/162,701	06/06/2002	Xin Wang	111325-113	6475
------------	------------	----------	------------	------

22204	7590	05/24/2006		
-------	------	------------	--	--

NIXON PEABODY, LLP  
401 9TH STREET, NW  
SUITE 900  
WASHINGTON, DC 20004-2128

EXAMINER
----------

REAGAN, JAMES A

ART UNIT	PAPER NUMBER
----------	--------------

3621

DATE MAILED: 05/24/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

<b>Application No.</b> 10/162,701	<b>Applicant(s)</b> WANG ET AL.	
<b>Examiner</b> James A. Reagan	<b>Art Unit</b> 3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 21 February 2006.
- 2a)  This action is **FINAL**.
- 2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-27 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-27 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a)  All b)  Some \* c)  None of:  
1.  Certified copies of the priority documents have been received.  
2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5)  Notice of Informal Patent Application (PTO-152)
- 6)  Other: \_\_\_\_\_

## DETAILED ACTION

### Status of Claims

1. This action is in response to the amendment filed on 21 February 2006.
2. Claim 10 has been amended.
3. Claims 1-27 have been examined.

### RESPONSE TO ARGUMENTS

4. Applicant's arguments received on 21 February 2006 have been fully considered but they are not persuasive. Referring to the previous Office action, Examiner has cited relevant portions of the references as a means to illustrate the systems as taught by the prior art. As a means of providing further clarification as to what is taught by the references used in the first Office action, Examiner has expanded the teachings for comprehensibility while maintaining the same grounds of rejection of the claims, except as noted above in the section labeled "Status of Claims." This information is intended to assist in illuminating the teachings of the references while providing evidence that establishes further support for the rejections of the claims.

With regard to the limitations of claims 1, 10, and 21, Applicant argues, "Ginter fails to teach, disclose, or suggest that rights associated with an item can include meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer, that a determination is made regarding whether the rights consumer is entitled to derive the derivable rights specified by the meta-rights, or that, if the rights consumer is entitled to derive the derivable rights specified by the meta-rights, deriving one or more of the derivable rights and generating a license including the derived rights as is recited in claim 1." The Examiner respectfully disagrees and points to Ginter, column 31, line 26 to column 32, line 60 wherein Ginter discloses deriving

Art Unit: 3621

content control information by following different branches of controls to modify and evolve the control information for a digital file i.e. meta-rights.

It should be noted that the Examiner is not required to map each limitation to a cited passage within the prior art of reference, as is suggested by the Applicant, nor is it the Examiner's responsibility to translate the technology, techniques, and/or methods of the prior art of record, since it is the assumption of the Examiner that the Applicant and the Applicant's representatives are those of at least ordinary skill in the art. Since the Examiner assumes that the Patents used in making the rejections with regard to and in light of the instant claims have complied with the enablement standards set for the by the United States Patent and Trademark Office, the Examiner correctly deduces that one of common skill would be able to read, understand, and manufacture the innovation as disclosed by the inventors. Subsequently, since the Applicants and their representatives are considered to be at least fundamentally schooled in the arts of the instant invention, it is also correct for the Examiner to infer that the same are capable of comprehending and appreciating the prior art as disclosed by the inventors and accredited by the USPTO. Ergo, the passages cited by the Examiner are a courtesy meant not only to lay a foundation of rejection of the claim limitations, but also to introduce the prior art of record as a benchmark of knowledge currently employed by artisans of the past and present, and also for establishing a pathway for continued prosecution. It is incumbent upon the Applicant and the Applicant's representative, then, to evaluate the prior art of record, point out misconceptions or other inaccuracies made by the Examiner, assert limitations that have not been properly addressed or that are novel, and, if deemed necessary, amend the claims to overcome the prior art of record, each and all in pursuit of an allowance.



**Claim Rejections - 35 USC § 102**

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 1-27 are rejected under 35 U.S.C. 102(b) as being clearly anticipated by Ginter et al. (US 5,892,900 A).

**Examiner's Note:** The Examiner has pointed out particular references contained in the prior art of record within the body of this action for the convenience of the Applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply. Applicant, in preparing the response, should consider fully the entire reference as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the Examiner.

**Claims 1, 10, and 21:**

Ginter discloses usage rights associated with digital works evolving as publishers and distributors provide the digital content to consumers. See at least column 47, line 56 to column 48, line 33; column 4, lines 14-27; column 5, lines 29-41, as well as other relevant and related Figures and text. Ginter therefore discloses the following limitations:

- *obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer; and*
- *determining whether the rights consumer is entitled to derive the derivable rights specified by the meta-rights, and at least one of deriving the derivable rights, and generating a license including the derived rights if the rights consumer is entitled to derive the derivable rights specified by the meta-rights.*

**Claim 2:**

With regard to the limitation of *transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer*, see at least column 4, lines 14-27; column 5, lines 29-41, as well as other relevant and related Figures and text.

**Claims 3, 11, and 22:**

With regard to the limitation of *the derived rights are rights disposal rights*, see at least column 4, lines 14-27, as well as other relevant and related Figures and text.

**Claims 4, 12, and 23:**

With regard to the limitation of *the items are content*, see at least column 5, lines 29-41, as well as other relevant and related Figures and text.

**Claims 5, 13, and 24:**

With regard to the limitation of *the derived rights include usage rights*, see at least column 9, lines 19-32, as well as other relevant and related Figures and text.

**Claims 6 and 14:**

With regard to the limitation of *the derived rights include meta- rights that the rights consumer may transfer to another rights consumer in the form of a license*, see at least column 47, line 56 to column 48, line 33, as well as other relevant and related Figures and text.

**Claims 7-9 and 15-17:**

With regard to the limitations of:

- *the consumer is a content distributor;*
- *the consumer is a content retailer;*
- *the consumer is a content publisher;*

See at least column 5, lines 29-41, as well as other relevant and related Figures and text.

**Claims 25-27:**

With regard to the limitations of:

- *said derivable rights comprise at least one condition that is associated with at least one state variable.*
- *generating said license including the derived rights with the rights consumer designated as a principal.*
- *generating said license including the derived rights with a party other than the rights consumer designated as a principal.*

See at least column 5, lines 29-41, as well as other relevant and related Figures and text.

**Conclusion**

7. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).
  
8. A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry of a general nature or relating to the status of this application or concerning this communication or earlier communications from the Examiner should be directed to **James A. Reagan** whose telephone number is **571.272.6710**. The Examiner can normally be reached on Monday-Friday, 9:30am-5:00pm. If attempts to reach the examiner by telephone are unsuccessful, the Examiner's supervisor, **James Trammell** can be reached at **571.272.6712**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://portal.uspto.gov/external/portal/pair> . Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at **866.217.9197** (toll-free).

Any response to this action should be mailed to:

**Commissioner of Patents and Trademarks**

**Washington, D.C. 20231**

or faxed to:

**571-273-8300** [Official communications, After Final communications labeled "Box AF"]

**571-273-8300** [Informal/Draft communications, labeled "PROPOSED" or "DRAFT"]

Hand delivered responses should be brought to the **United States Patent and Trademark Office Customer Service Window:**


Randolph Building  
401 Dulany Street  
Alexandria, VA 22314.

JAMES A. REAGAN

Primary Examiner

Art Unit 3621

22 May 2006



**JAMES A. REAGAN  
PRIMARY EXAMINER**

**TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING  
REJECTION OVER A PENDING SECOND APPLICATION**

Docket Number (Optional)

111325-290100

In re Application of: **Xin WANG, et al.**

Application No.: **10/162,701**

Filed: **June 6, 2002**

For: **METHOD AND APPARATUS MANAGING THE TRANSFER OF RIGHTS**

The owner\*, **CONTENTGUARD HOLDING, INC.**, of 100 percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number **10/162,211**, filed on **June 5, 2002**, of a patent on the pending second application. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

Check either box 1 or 2, if appropriate.

1.  For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2.  The undersigned is an attorney or agent of record.

/Carlos R. Villamar, Reg. # 43,224/

Signature

11/09/06

Date

Carlos R. Villamar, Reg. 43,224

Typed or printed name

- Terminal disclaimer fee under 37 CFR 1.20(d) is included.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

\*Statement under 37 CF 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
Form PTO/SB/96 may be used for making this statement. See MPEP § 324.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10162701
<b>Filing Date:</b>	06-Jun-2002
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
First Named Inventor/Applicant Name:	Xin Wang
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Attorney Docket Number:</b>	111325-113

Filed as Large Entity

### Utility Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
Statutory disclaimer	1814	1	130	130

**Extension-of-Time:**

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>130</b>



## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1304745
<b>Application Number:</b>	10162701
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6475
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
<b>First Named Inventor/Applicant Name:</b>	Xin Wang
<b>Customer Number:</b>	22204
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Filer Authorized By:</b>	Carlos Rafael Villamar
<b>Attorney Docket Number:</b>	111325-113
<b>Receipt Date:</b>	09-NOV-2006
<b>Filing Date:</b>	06-JUN-2002
<b>Time Stamp:</b>	19:14:55
<b>Application Type:</b>	Utility

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 130
RAM confirmation Number	818
Deposit Account	192380

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer Filed	111325_290100_Terminal_Disclaimer_Over_US_Application_No__10_162_211.pdf	29261	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Fee Worksheet (PTO-875)	fee-info.pdf	8147	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			37408		
<p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>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.</b></p>					

**TERMINAL DISCLAIMER TO OBVIATE A PROVISIONAL DOUBLE PATENTING  
REJECTION OVER A PENDING SECOND APPLICATION**

Docket Number (Optional)

111325-290100

In re Application of: **Xin WANG, et al.**

Application No.: **10/162,701**

Filed: **June 6, 2002**

For: **METHOD AND APPARATUS MANAGING THE TRANSFER OF RIGHTS**

The owner\*, **CONTENTGUARD HOLDING, INC.**, of 100 percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 to 156 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Number **10/162,212**, filed on **June 5, 2002**, of a patent on the pending second application. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 to 156 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

Check either box 1 or 2, if appropriate.

1.  For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2.  The undersigned is an attorney or agent of record.

/Carlos R. Villamar, Reg. # 43,224/

Signature

11/13/06

Date

Carlos R. Villamar, Reg. 43,224

Typed or printed name

- Terminal disclaimer fee under 37 CFR 1.20(d) is included.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

\*Statement under 37 CF 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
Form PTO/SB/96 may be used for making this statement. See MPEP § 324.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10162701
<b>Filing Date:</b>	06-Jun-2002
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
First Named Inventor/Applicant Name:	Xin Wang
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Attorney Docket Number:</b>	111325-113

Filed as Large Entity

### Utility Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
Statutory disclaimer	1814	1	130	130

**Extension-of-Time:**

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>130</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1309146
<b>Application Number:</b>	10162701
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6475
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
<b>First Named Inventor/Applicant Name:</b>	Xin Wang
<b>Customer Number:</b>	22204
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Filer Authorized By:</b>	Carlos Rafael Villamar
<b>Attorney Docket Number:</b>	111325-113
<b>Receipt Date:</b>	13-NOV-2006
<b>Filing Date:</b>	06-JUN-2002
<b>Time Stamp:</b>	15:08:28
<b>Application Type:</b>	Utility


### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 130
RAM confirmation Number	72
Deposit Account	192380

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer Filed	111325_290100_Terminal_Disclaimer_Over_US_Application_No__10_162_212.pdf	29266	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Fee Worksheet (PTO-875)	fee-info.pdf	8147	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			37413		
<p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>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.</b></p>					

<b>Application Number</b> 	<b>Application/Control No.</b> 10/162,701	<b>Applicant(s)/Patent under Reexamination</b> WANG ET AL.	

<b>Document Code - DISQ</b>	<b>Internal Document – DO NOT MAIL</b>
-----------------------------	--

<b>TERMINAL DISCLAIMER</b>	<input type="checkbox"/> APPROVED	<input checked="" type="checkbox"/> DISAPPROVED
Date Filed : 11/9/06	<b>This patent is subject to a Terminal Disclaimer</b>	

<b>Approved/Disapproved by:</b>
DGOODWYN

U.S. Patent and Trademark Office



**NOTICE OF APPEAL FROM THE EXAMINER TO THE BOARD OF PATENT APPEALS AND INTERFERENCES**

Docket Number (Optional)  
111325-290100

**CERTIFICATE OF MAILING OR TRANSMISSION**  
[37 CFR 1.89(a)]

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, or being facsimile transmitted to the USPTO at \_\_\_\_\_, on \_\_\_\_\_.

Signature: \_\_\_\_\_  
Name: \_\_\_\_\_

In re Application of

Xin WANG, *et al.*

Application Number 10/162,701

Filed June 6, 2002

For **METHOD AND APPARATUS MANAGING THE TRANSFER OF RIGHTS**

Group Art Unit: 3621

Examiner: James A. Reagan

Applicant hereby **appeals** to the Board of Patent Appeals and Interferences from the decision of the examiner.

The fee for this Notice of Appeal is (37 CFR 1.17(b))

\$ **500.00**

- Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by half, and the resulting fee is: \$ \_\_\_\_\_
- A check in the amount of the fee is enclosed.
- Payment by credit card. Form PTO-2038 is attached.
- The Commissioner has already been authorized to charge fees in this application to a Deposit Account. I have enclosed a duplicate copy of this sheet.
- The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 19-2380.
- A petition for an extension of time under 37 CFR 1.136(a) (PTO/SB/22) is enclosed.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

I am the

- applicant/inventor. /Carlos R. Villamar, Reg. # 43,224/  
Signature
- assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)
- attorney or agent of record Carlos R. Villamar  
Typed or printed name
- attorney or agent acting under 37 CFR 1.34(a).  
Registration number if acting under 37 CFR 1.34(a) **43,224**. November 22, 2006  
Date

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\*Total of \_\_\_\_\_ forms are submitted.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10162701			
<b>Filing Date:</b>	06-Jun-2002			
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights			
First Named Inventor/Applicant Name:	Xin Wang			
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery			
<b>Attorney Docket Number:</b>	111325-113			
Filed as Large Entity				
<b>Utility Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Notice of appeal	1401	1	500	500
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension - 3 months with \$0 paid	1253	1	1020	1020
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1520</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1332296
<b>Application Number:</b>	10162701
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6475
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
<b>First Named Inventor/Applicant Name:</b>	Xin Wang
<b>Customer Number:</b>	22204
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Filer Authorized By:</b>	Carlos Rafael Villamar
<b>Attorney Docket Number:</b>	111325-113
<b>Receipt Date:</b>	22-NOV-2006
<b>Filing Date:</b>	06-JUN-2002
<b>Time Stamp:</b>	18:40:50
<b>Application Type:</b>	Utility

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 1520
RAM confirmation Number	1017
Deposit Account	192380

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Notice of Appeal Filed	11325_290100_Notice_of_Appeal.pdf	28853	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Fee Worksheet (PTO-875)	fee-info.pdf	8305	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			37158		
<p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>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.</b></p>					



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

10/162,701	06/06/2002	Xin Wang	111325-113	6475
------------	------------	----------	------------	------

22204	7590	12/01/2006		
-------	------	------------	--	--

NIXON PEABODY, LLP  
401 9TH STREET, NW  
SUITE 900  
WASHINGTON, DC 20004-2128

EXAMINER
----------

REAGAN, JAMES A

ART UNIT	PAPER NUMBER
----------	--------------

3621

DATE MAILED: 12/01/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 10/162,701	<b>Applicant(s)</b> WANG ET AL.	
	<b>Examiner</b> James A. Reagan	<b>Art Unit</b> 3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 13 November 2006.
- 2a)  This action is **FINAL**.
- 2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-18 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-18 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.
  - Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
  - Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a)  All    b)  Some \*    c)  None of:
    - 1.  Certified copies of the priority documents have been received.
    - 2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5)  Notice of Informal Patent Application (PTO-152)
- 6)  Other: Examiner's Amendment.

Art Unit: 3621

## DETAILED ACTION

### Status of Claims

1. This action is in response to the terminal disclaimer filed on 13 November 2006.
2. Claims 1, 3, 5, 6, 10, 11, 13, and 14 have been amended by Examiner's amendment below.
3. Claims 19-27 have been canceled by Examiner's amendment below.
4. Claims 1-18 are currently pending and have been examined.

### EXAMINER'S AMENDMENT

5. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.
6. Authorization for this examiner's amendment was given in a telephone interview with Carlos Villamar on 09 November 2006.

The application has been amended as follows:

1. (Currently amended) A method for transferring rights adapted to be associated with ~~one or more~~ items from a rights supplier to a rights consumer, said method comprising:

obtaining a set of rights associated with an item, said set of rights including ~~meta-rights~~ at least one meta-right that is enforceable by a repository and specifies at least one specifying derivable rights right that can be derived from ~~exercising the meta-rights~~ meta-right by the rights



Art Unit: 3621

consumer, said derivable right being another meta-right or a usage right, whereby the meta-right is distinct from any usage rights specifying how the item can be used and distributed;

determining by a repository whether the rights consumer is entitled to exercise the meta-right to derive the derivable rights right specified by the ~~meta-rights~~ meta-right; ~~[[and]]~~

if the rights consumer is entitled to exercise the meta-right to derive the derivable rights right specified by the ~~meta-rights~~ meta-right, deriving ~~one or more of the derivable rights right~~ and generating a license including the derived ~~rights right~~, said license being enforceable by a repository;

at least one condition that must be satisfied to exercise said meta-right; and

at least one state variable related to said at least one condition.

2. (Original) A method recited in claim 1, further comprising, transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer.

3. (Currently amended) A method as recited in claim 1, wherein the derived ~~rights right~~ are is a rights disposal rights right.

4. (Original) A method as recited in claim 1, wherein the items are content.

5. (Currently amended) A method as recited in claim 1, wherein the derived ~~rights right~~ include includes usage rights.

6. (Currently amended) A method as recited in claim 1, wherein the derived ~~rights right~~ include includes meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

Art Unit: 3621

7. (Original) A method as recited in claim 4, wherein the consumer is a content distributor.

8. (Original) A method as recited in claim 4, wherein the consumer is a content retailer.

9. (Original) A method as recited in claim 4, wherein the consumer is a content publisher.

10. (Currently amended) A license associated with an item and adapted to be used within a system for managing the transfer of rights to the item from a rights supplier to a rights consumer, said license being adapted to be stored on a computing device, said license comprising:

a set of rights associated with an item, said set of rights including meta-rights at least one meta-right that is enforceable by a repository and specifies at least one specifying derivable rights right that can be derived from exercising the meta-rights meta-right by the rights consumer, said derivable right being another meta-right or a usage right, whereby the meta-right is distinct from any usage rights specifying how the item can be used and distributed;

a principal designating at least one rights consumer who is authorized to exercise the meta-right to derive the derivable rights right specified by the meta-right; and

a mechanism for providing access to the item in accordance with the set of rights.

11. (Currently amended) A license as recited in claim 10, wherein the derived ~~rights right~~ are is a rights disposal rights right.

12. (Original) A license as recited in claim 10, wherein the items are content.

13. (Currently amended) A license as recited in claim 10, wherein the derived ~~rights right~~ include includes usage rights.

Art Unit: 3621

14. (Currently amended) A license as recited in claim 10, wherein the derived ~~rights~~ right ~~include~~ includes meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

15. (Original) A license as recited in claim 12, wherein the consumer is a content distributor.

16. (Original) A license as recited in claim 12, wherein the consumer is a content retailer.

17. (Original) A license as recited in claim 12, wherein the consumer is a content publisher.

18. (Original) A license as recited in claim 10, further comprising a digital signature corresponding to a party issuing the license.

#### **Double Patenting**

7. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re*

Art Unit: 3621

*Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

8. A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.
9. Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).
10. Claims 1-18 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-49 of U.S. Patent No. 6,954,738 B2. Although the conflicting claims are not identical, they are not patentably distinct from each other because the limitations of the present invention claim:
  - *at least one condition that must be satisfied to exercise said meta-right; and*
  - *at least one state variable related to said at least one condition; and*
  - *the derived right includes meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.*

Art Unit: 3621

Any inquiry of a general nature or relating to the status of this application or concerning this communication or earlier communications from the Examiner should be directed to **James A. Reagan** whose telephone number is **571.272.6710**. The Examiner can normally be reached on Monday-Friday, 9:30am-5:00pm. If attempts to reach the examiner by telephone are unsuccessful, the Examiner's supervisor, **ANDREW J. FISCHER** can be reached at **571.272.6779**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://portal.uspto.gov/external/portal/pair> . Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at **866.217.9197** (toll-free).

Any response to this action should be mailed to:

**Commissioner of Patents and Trademarks**

**Washington, D.C. 20231**

or faxed to **571-273-8300**.

Hand delivered responses should be brought to the **United States Patent and Trademark Office Customer Service Window:**

Randolph Building  
401 Dulany Street  
Alexandria, VA 22314.

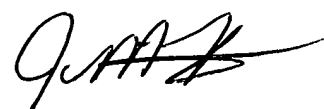
JAMES A. REAGAN

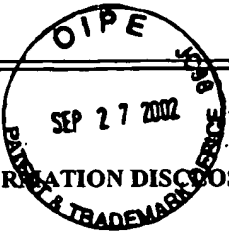
Primary Examiner

Art Unit 3621

15 November 2006

JAMES A. REAGAN  
PRIMARY EXAMINER





Form PTO-1449  
(Rev. 8-83)

U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-113

Serial No. 10/162,701

INFORMATION DISCLOSURE STATEMENT

Applicants: Xin WANG

Filing Date: June 06, 2002

Group Art Unit:

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
JAR	4,796,220	01/03/1989	Wolfe			

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation	
						Yes	No
	0 715 241	06/05/1996	JP			Full Eng	
	04-369068	12/21/1992	JP			Eng Abst	
	05-268415	10/15/1993	JP			Eng Abst	
	06-175794	06/24/1994	JP			Eng Abst	
	06-215010	08/05/1994	JP			Eng Abst	
	07-084852	03/31/1995	JP			Eng Abst	
	07-200317	08/04/1995	JP			Eng Abst	
	07-244639	09/19/1995	JP			Eng Abst	
	62-241061	10/21/1987	JP			Eng Abst	
	64-068835	03/14/1989	JP			Eng Abst	
	WO 94/01821	01/20/1994	PCT			Full Eng	
	WO 96/24092	08/08/1996	PCT			Full Eng	
	WO 97/48203	12/18/1997	PCT			Full Eng	
	WO 98/11690	03/19/1998	PCT			Full Eng	
	WO 98/42098	09/24/1998	PCT			Full Eng	

RECEIVED  
OCT 02 2002  
Technology Center 2100

RECEIVED  
JAN 16 2003  
GROUP 3600

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	Description
✓	Henry H. Perritt, Jr., "Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment", April 2-3, 1993, Knowbots, Permissions Headers & Contract Law

Examiner /James Reagan/ (11/15/2006) Date Considered

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

09/25/2002



Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>		
				Application Number	10/162,701	
Sheet		1	of	1	Filing Date	June 6, 2002
					First Named Inventor	Xin WANG, et al.
					Art Unit	2122
					Examiner Name	Not Yet Assigned
					Attorney Docket Number	111325-113 (290100)

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)				
JAR		US - 5,917,912		June 29, 1999	Ginter, et al.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>4</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> (if known)	Kind Code <sup>2</sup>				
JAR		WO 00/20950		April 13, 2000			

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>3</sup>
JAR		European Search Report dated April 14, 2004 (European Patent Application No. 02 739 715.7)	

Examiner Signature	/James Reagan/ (11/15/2006)	Date Considered	
--------------------	-----------------------------	-----------------	--

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

<b>Notice of References Cited</b>	Application/Control No. 10/162,701	Applicant(s)/Patent Under Reexamination WANG ET AL.	
	Examiner James A. Reagan	Art Unit 3621	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-6,954,738 B2	10-2005	Wang et al.	726/26
	B US-			
	C US-			
	D US-			
	E US-			
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
	K US-			
	L US-			
	M US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

**NON-PATENT DOCUMENTS**

*	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U
	V
	W
	X

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.





## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10162701
<b>Filing Date:</b>	06-Jun-2002
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
First Named Inventor/Applicant Name:	Xin Wang
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Attorney Docket Number:</b>	111325-113

Filed as Large Entity

### Utility Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
Statutory disclaimer	1814	1	130	130

**Extension-of-Time:**

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>130</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1437099
<b>Application Number:</b>	10162701
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6475
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
<b>First Named Inventor/Applicant Name:</b>	Xin Wang
<b>Customer Number:</b>	22204
<b>Filer:</b>	Carlos Rafael Villamar/Kisha Avery
<b>Filer Authorized By:</b>	Carlos Rafael Villamar
<b>Attorney Docket Number:</b>	111325-113
<b>Receipt Date:</b>	12-JAN-2007
<b>Filing Date:</b>	06-JUN-2002
<b>Time Stamp:</b>	17:42:20
<b>Application Type:</b>	Utility


### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 130
RAM confirmation Number	734
Deposit Account	192380

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer Filed	111325_290100_Terminal_Disclaimer_Over_USP_6_954_738.pdf	29037	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Fee Worksheet (PTO-06)	fee-info.pdf	8147	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			37184		
<p><b>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.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>  <b>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.</b></p>					

<b>Application Number</b> 	<b>Application/Control No.</b> 10/162,701	<b>Applicant(s)/Patent under Reexamination</b> WANG ET AL.

<b>Document Code - DISQ</b>	<b>Internal Document – DO NOT MAIL</b>
-----------------------------	--

<b>TERMINAL DISCLAIMER</b>	<input type="checkbox"/> APPROVED	<input checked="" type="checkbox"/> DISAPPROVED
Date Filed : 1/12/07	<b>This patent is subject to a Terminal Disclaimer</b>	

<b>Approved/Disapproved by:</b>
DGoodwyn

U.S. Patent and Trademark Office



## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10162701
<b>Filing Date:</b>	06-Jun-2002
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
First Named Inventor/Applicant Name:	Xin Wang
<b>Filer:</b>	Marc S. Kaufman
<b>Attorney Docket Number:</b>	111325-113

Filed as Large Entity

### Utility Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
Statutory disclaimer	1814	1	130	130

**Extension-of-Time:**



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>130</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1507861
<b>Application Number:</b>	10162701
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6475
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
<b>First Named Inventor/Applicant Name:</b>	Xin Wang
<b>Customer Number:</b>	22204
<b>Filer:</b>	Marc S. Kaufman
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	111325-113
<b>Receipt Date:</b>	12-FEB-2007
<b>Filing Date:</b>	06-JUN-2002
<b>Time Stamp:</b>	12:29:31
<b>Application Type:</b>	Utility

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 130
RAM confirmation Number	1617
Deposit Account	192380

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:  
Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Terminal Disclaimer Filed	111325-290100_-_Terminal_Disclaimer_Over_USP_6_95_4_738_msk.pdf	29065	no	1

**Warnings:**

**Information:**

2	Fee Worksheet (PTO-06)	fee-info.pdf	8132	no	2
---	------------------------	--------------	------	----	---

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>			37197		
-------------------------------------	--	--	-------	--	--

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

**New Applications Under 35 U.S.C. 111**


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

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

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

**New International Application Filed with the USPTO as a Receiving Office**

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

<b>Application Number</b> 	<b>Application/Control No.</b> 10/162,701	<b>Applicant(s)/Patent under Reexamination</b> WANG ET AL.	
<b>Document Code - DISQ</b>		<b>Internal Document – DO NOT MAIL</b>	

<b>TERMINAL DISCLAIMER</b>	<input checked="" type="checkbox"/> <b>APPROVED</b>	<input type="checkbox"/> <b>DISAPPROVED</b>
Date Filed : 12 FEB 2007	<b>This patent is subject to a Terminal Disclaimer</b>	

<b>Approved/Disapproved by:</b>
SHANETTE BROWN RECONSIDERED APPROVED

U.S. Patent and Trademark Office



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/162,701	06/06/2002	Xin Wang	111325-290100	6475
22204	7590	08/10/2007	EXAMINER	
NIXON PEABODY, LLP 401 9TH STREET, NW SUITE 900 WASHINGTON, DC 20004-2128			AUGUSTIN, EVENS J	
			ART UNIT	PAPER NUMBER
			3621	
			MAIL DATE	DELIVERY MODE
			08/10/2007	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/162,701	<b>Applicant(s)</b> WANG ET AL.	
	<b>Examiner</b> Evens Augustin	<b>Art Unit</b> 3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1)  Responsive to communication(s) filed on 12 February 2007.
- 2a)  This action is **FINAL**.
- 2b)  This action is non-final.
- 3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4)  Claim(s) 1-18 is/are pending in the application.
  - 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5)  Claim(s) \_\_\_\_\_ is/are allowed.
- 6)  Claim(s) 1-18 is/are rejected.
- 7)  Claim(s) \_\_\_\_\_ is/are objected to.
- 8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9)  The specification is objected to by the Examiner.
- 10)  The drawing(s) filed on \_\_\_\_\_ is/are: a)  accepted or b)  objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a)  All    b)  Some \*    c)  None of:
    - 1.  Certified copies of the priority documents have been received.
    - 2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    - 3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1)  Notice of References Cited (PTO-892)
- 2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3)  Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5)  Notice of Informal Patent Application
- 6)  Other: \_\_\_\_\_.

### DETAILED ACTION

1. Examiner James Reagan was previously handling this application. Evens Augustin is currently examining this application, and all subsequent correspondence must be addressed to him. Claims 1-18 are pending. Claims 1-18 have been examined.

#### *Claim Interpretation*

2. In determining patentability of an invention over the prior art, the USPTO has considered all claimed limitations, and interpreted as broadly as their terms reasonably allow (In re Zletz 13 USPQ2d 1320 (Fed. Cir. 1989)). Additionally, all words in the claims have been considered in judging the patentability of the claims against the prior art.
3. It should also be noted that, in the office action that:
  - A. Items in the rejection that are in quotation marks are claimed language/limitations.
  - B. Passages in prior art references may be mere rephrasing/rewording of claimed limitations, but the implicit/explicit meaning of the references vis-à-vis the claimed limitation remains intact.
  - C. Functional recitation(s) using the word “for” or other functional terms (*e.g.* "a mechanism for providing access to the item in accordance with the set of rights" as recited in claim 10) have been considered but given less patentable weight<sup>1</sup> because they fail to add any steps and are thereby regarded as intended use language. To be

---

<sup>1</sup> See *e.g. In re Gulack*, 703 F.2d 1381, 217 USPQ 401, 404 (Fed. Cir. 1983)(stating that although all limitations must be considered, not all limitations are entitled to patentable weight).

especially clear, the Examiner has considered all claim limitations. However the A recitation of the intended use of the claimed invention must result in additional steps. See *Bristol-Myers Squibb Co. v. Ben Venue Laboratories, Inc.*, 246 F.3d 1368, 1375-76, 58 USPQ2d 1508, 1513 (Fed. Cir. 2001) (Where the language in a method claim states only a purpose and intended result, the expression does not result in a manipulative difference in the steps of the claim.).

- D. Word(s) that are separated by “/” are being examined as being synonymous or equivalent.
- E. Since these terms are not lexicographically defined, they will interpreted as being equivalent to:
- Usage Rights = Usage conditions such as copy protection
  - Meta-rights = Sub-rights, or additional usage conditions derived from the usage rights
  - Consumer = digital content store or distributor
  - License = Digital certificate given to distributor
  - Supplier = Content provider
- F. The claims are being analyzed as steps for collecting, analyzing business data and providing decisions based on the data collected and analyzed.
- G. The USPTO interprets claim limitations that contain statement(s) such as “*if, may, might, can, could, when, potentially, possibly*”, as optional language (this list of examples is not intended to be exhaustive). As matter of linguistic precision, optional claim elements do not narrow claim limitations, since they can always be omitted (*In*



*re Johnston*, 77 USPQ2d 1788 (Fed. Circ. 2006)). They will be given less patentable weight, because language that suggests or makes optional but does not require steps to be performed or does not limit a claim to a particular structure does not limit the scope of a claim or claim limitation.

- H. Independent claims are examined together, since they are not patentable distinct. If applicant expressly states on the record that two or more independent and distinct inventions are claimed in a single application, the Examiner may require the applicant to elect an invention to which the claims will be restricted.
- I. Any official notices taken by the USPTO that are not adequately traversed by applicant will be taken to be admitted prior art.
- J. The USPTO interprets common computer related words that are not lexicographically defined the word in accordance to Computer Dictionary, 3<sup>rd</sup> Edition, Microsoft Press, Redmond, WA, 1997<sup>2</sup>. The USPTO also uses published patent applications and issued patents for meanings of common computer related words that are not lexicographically defined.
- K. Since the word “disposal” is not lexicographically defined the USPTO will interpret the word in accordance to Merriam Webster’s dictionary. According disposal is

---

<sup>2</sup> Based upon Applicants’ disclosure, the art of record, and the knowledge of one of ordinary skill in this art as determined by the factors discussed in MPEP §2141.03 (where practical), the Examiner finds that the *Microsoft Press Computer Dictionary* is an appropriate technical dictionary known to be used by one of ordinary skill in this art. See *e.g. Altiris Inc. v. Symantec Corp.*, 318 F.3d 1363, 1373, 65 USPQ2d 1865, 1872 (Fed. Cir. 2003) where the Federal Circuit used the *Microsoft Press Computer Dictionary* (3d ed.) as “a technical dictionary” to define the term “flag.” See also *In re Barr*, 444 F.2d 588, 170 USPQ 330 (CCPA 1971)(noting that its appropriate to use technical dictionaries in order to ascertain the meaning of a term of art) and MPEP §2173.05(a) titled ‘New Terminology.’

defined as: 1: the power or authority to dispose or make use of as one chooses <the car was at my disposal> 2: the act or process of disposing: as a: orderly placement or distribution b: regulation, administration c: the act or action of presenting or bestowing something <disposal of favors> d: systematic destruction; especially : destruction or transformation of garbage 3[garbage disposal unit] : a device used to reduce waste matter (as by grinding). Therefore, Usage conditions which include copy authorization and target device types, or timed-availability restrictions (col. 10, ll.15-18) is classified as regulation, administration.

***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States. . . .

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 1-18 are rejected under 35 U.S.C. 102(b) as being anticipated by Downs et al. (U.S. 6226618).
6. As per claims 1-18, Downs et al. discloses an invention comprising of the following:
  - A. Content stores or distributors can add or narrow the original usage rights (sub-rights) (column 21, lines 30-36)
  - B. Content providers set and transmit (equivalent to presenting) the usage conditions to the content stores (column 21, 30-32), which are the first customers or distributors of the content providers.
  - C. Distributors (first customer) making a request to digital content owners to sale digital content (column 42, lines 65-67, column 43, lines 1-2). The two parties then come to an agreement (column 43, lines 4-5). Inherently, the content provider receives the request - Content providers (entity that supplies the content), providing (equivalent to generating) usage conditions (equivalent to usage rights) - The content providers also stipulate that the content stores or distributors can add or narrow the original usage rights - ("**obtaining a set of rights associated with an item, said set of rights including meta-rights specifying derivable rights that can be derived from the meta-rights by the rights consumer** ")
  - D. The Content Provider(s) 101 sets the allowable Usage Conditions 517 and transmits them to the Electronic Digital Content Store(s) 103 in a SC (see the License Control Layer 501 section). The Electronic Digital Content Store(s) 103 can add to or narrow the Usage Conditions 517 as long as it doesn't invalidate the original conditions set by the Content Provider(s) (Col. 21, ll.30-36). Each Content Provider(s) 101 specifies

the Usage Conditions 517 for each of its Content 113 items. Electronic Digital Content Store(s) 103 interpret the Usage Conditions 517 in Metadata SC(s) 620 and use the information to provide different options or Store Usage Conditions 519 to the End-User(s) for purchase of Content 113 (col. 26, ll. 10-16) -- ("**determining whether the rights consumer is entitled to derive the derivable rights specified by the meta-rights**")

- E. Distributors (first customer) making a request to digital content owners to sale digital content (column 42, lines 65-67, column 43, lines 1-2). The two parties then come to an agreement (column 43, lines 4-5). Inherently, the content provider receives the request - After the agreement between the content provider and the distributor (first customer), a digital certificate is created and sent to the distributor (column 43, lines 14-18). Inherently the agreement and certificate is for the content/usage rights request -- ("**if the rights consumer is entitled to derive the derivable rights specified by the mete-rights, at least one of deriving one or more of the derivable rights and generating a license including the derived rights** ") - ("**transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer** ")
- F. Usage conditions include copy authorization and target device types, or timed-availability restrictions (col. 10, ll.15-18, Col. 60, ll.15-30) - ("**the derived rights are rights disposal rights.** "); ("**rights include usage rights** ")

- G. Content, refers to information and data stored in a digital format including: pictures, movies, videos, music, programs, multimedia and games (col. 6, ll. 45-48) --(**"the items are content "**)
- H. Content store distributes to the end user information relative to the Content 113 and its use (col. 43, ll. 62-67) - The Electronic Digital Content Store(s) 103 also attaches its own Usage Conditions called Store Usage Conditions 519 or purchase options to the Offer SC(s) 641 (Col. 74, ll.37-40) - (**"derived rights include meta-rights that the rights consumer may transfer to another rights consumer in the form of a license "**)
- I. Electronic Digital Content Store(s) 103 are the entities who market the Content 113 through a wide variety of services or applications, such as Content 113 theme programming or electronic merchandising of Content 113. Electronic Digital Content Store(s) 103 manage the design, development, business operations, settlements, merchandising, marketing, and sales of their services. Example online Electronic Digital Content Store(s) 103 are Web sites that provide electronic downloads of software (retailer and publisher) --(col. 9, ll. 61-67, col. 10, ll.1-3) - Content stores being licensed distributors of content (col. 19, 56-58) -- (**"the consumer is a content retailer, distributor and publisher "**)

### ***Conclusion***

7. *Examiner has pointed out particular references contained in the prior arts of record in the body of this action for the convenience of the applicant. Although the specified citations are*

*representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested that if the applicant is preparing to respond, to consider fully the entire references as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior arts or disclosed by the examiner.*

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Evens Augustin whose telephone number is 571-272-6860. The examiner can normally be reached on Monday thru Friday 8 to 5 pm.
9. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew Fischer can be reached on 571-272-6779.

/Evens J. Augustin/  
Evens J. Augustin  
August 5, 2007  
Art Unit 3621

<b>Notice of References Cited</b>	Application/Control No. 10/162,701	Applicant(s)/Patent Under Reexamination WANG ET AL.	
	Examiner Evens Augustin	Art Unit 3621	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-5,109,413 A	04-1992	Comerford et al.	705/54
*	B US-5,765,152 A	06-1998	Erickson, John S.	707/9
*	C US-5,922,074 A	07-1999	Richard et al.	726/21
*	D US-6,098,056 A	08-2000	Rusnak et al.	705/75
*	E US-6,125,349 A	09-2000	Maher, David P.	705/1
*	F US-6,226,618 B1	05-2001	Downs et al.	705/1
*	G US-6,385,596 B1	05-2002	Wiser et al.	705/51
	H US-			
	I US-			
	J US-			
	K US-			
	L US-			
	M US-			

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

**NON-PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)				
	U				
	V				
	W				
	X				

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

**Index of Claims**



Application/Control No.

10/162,701

Examiner

Evens Augustin

Applicant(s)/Patent under Reexamination

WANG ET AL.

Art Unit

3621

√	Rejected
=	Allowed

-	(Through numeral) Cancelled
+	Restricted

N	Non-Elected
I	Interference

A	Appeal
O	Objected

Claim		Date					
Final	Original	8/4/07					
1	√						
2	√						
3	√						
4	√						
5	√						
6	√						
7	√						
8	√						
9	√						
10	√						
11	√						
12	√						
13	√						
14	√						
15	√						
16	√						
17	√						
18	√						
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30							
31							
32							
33							
34							
35							
36							
37							
38							
39							
40							
41							
42							
43							
44							
45							
46							
47							
48							
49							
50							

Claim		Date					
Final	Original						
51							
52							
53							
54							
55							
56							
57							
58							
59							
60							
61							
62							
63							
64							
65							
66							
67							
68							
69							
70							
71							
72							
73							
74							
75							
76							
77							
78							
79							
80							
81							
82							
83							
84							
85							
86							
87							
88							
89							
90							
91							
92							
93							
94							
95							
96							
97							
98							
99							
100							

Claim		Date					
Final	Original						
101							
102							
103							
104							
105							
106							
107							
108							
109							
110							
111							
112							
113							
114							
115							
116							
117							
118							
119							
120							
121							
122							
123							
124							
125							
126							
127							
128							
129							
130							
131							
132							
133							
134							
135							
136							
137							
138							
139							
140							
141							
142							
143							
144							
145							
146							
147							
148							
149							
150							





**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:	)	Group Art Unit: 3621
Xin WANG, et al.	)	Examiner: Augustin, Evens J.
Application No. 10/162,701	)	Conf. No.: 6475
Filed: June 6, 2002	)	
For: METHOD AND APPARATUS	)	Date: January 10, 2008
MANAGING THE TRANSFER	)	
OF RIGHTS	)	

**AMENDMENT**

**MAIL STOP AMENDMENT**

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

Sir:

In response to the Office Action of August 10, 2007, please amend the above-identified application as follows:

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

**Remarks** begin on page 5 of this paper.

**Amendments to the Claims:**

This listing of claims will replace all prior versions, and listings, of claims in the application:

1. (Currently Amended) A method for transferring rights adapted to be associated with items from a rights supplier to a rights consumer, said method comprising:  
obtaining a set of rights associated with an item, said set of rights including a ~~at least one~~ meta-right, wherein the meta-right is provided in digital form, is that is enforceable by a repository, and specifies a ~~at least one~~ derivable right that can be derived from exercising the meta-right by the rights consumer, a condition that must be satisfied to exercise the meta-right, and a state variable related to the condition, said derivable right being another meta-right or a usage right, whereby the meta-right is distinct from any usage rights specifying how the item can be used and distributed;  
determining by a repository whether the rights consumer is entitled to exercise the meta-right to derive the derivable right specified by the meta-right; and  
if the rights consumer is entitled to exercise the meta-right to derive the derivable right specified by the meta-right, deriving the derivable right and generating a license including the derived right, said license being enforceable by a repository, [[;]]  
~~at least one condition that must be satisfied to exercise said meta right; and~~  
~~at least one state variable related to said at least one condition.~~
2. (Original) A method recited in claim 1, further comprising, transmitting the set of rights, in the form of a license to the item, from the rights supplier to the rights consumer.
3. (Currently Amended) A method as recited in claim 1, wherein the ~~derived~~ derivable right is a rights disposal right.
4. (Original) A method as recited in claim 1, wherein the items are content.
5. (Currently Amended) A method as recited in claim 1, wherein the ~~derived~~ derivable right includes usage rights.

6. (Currently Amended) A method as recited in claim 1, wherein the ~~derived~~ derivable right includes meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.

7. (Original) A method as recited in claim 4, wherein the consumer is a content distributor.

8. (Original) A method as recited in claim 4, wherein the consumer is a content retailer.

9. (Original) A method as recited in claim 4, wherein the consumer is a content publisher.

10. (Currently Amended) A license associated with an item and adapted to be used within a system for managing the transfer of rights to the item from a rights supplier to a rights consumer, said license being adapted to be stored on a computing device, said license comprising:

a set of rights associated with an item, said set of rights including a at least one meta-right, wherein the meta-right is provided in digital form, is that is enforceable by a repository, and specifies a at least one derivable right that can be derived from exercising the meta-right by the rights consumer, a condition that must be satisfied to exercise the meta-right, and a state variable related to the condition, said derivable right being another meta-right or a usage right, whereby the meta-right is distinct from any usage rights specifying how the item can be used and distributed;

a principal designating at least one rights consumer who is authorized to exercise the meta-right to derive the derivable right specified by the meta-right; and

a mechanism for providing access to the item in accordance with the set of rights.

11. (Currently Amended) A license as recited in claim 10, wherein the ~~derived~~ derivable right is a rights disposal right.

12. (Original) A license as recited in claim 10, wherein the items are content.

13. (Currently Amended) A license as recited in claim 10, wherein the ~~derived~~ derivable right includes usage rights.
14. (Currently Amended) A license as recited in claim 10, wherein the ~~derived~~ derivable right includes meta-rights that the rights consumer may transfer to another rights consumer in the form of a license.
15. (Original) A license as recited in claim 12, wherein the consumer is a content distributor.
16. (Original) A license as recited in claim 12, wherein the consumer is a content retailer.
17. (Original) A license as recited in claim 12, wherein the consumer is a content publisher.
18. (Original) A license as recited in claim 10, further comprising a digital signature corresponding to a party issuing the license.
- 19-27. (Canceled)
28. (New) A method of claim 1, further comprising:
  - receiving a request from the rights consumer to exercise a right; and
  - determining whether the rights consumer is authorized to exercise the requested right according to the set of rights.
29. (New) A method of claim 28, further comprising:
  - receiving a request from the rights consumer to modify a right included in the set of rights; and
  - determining whether the rights consumer is authorized to modify the requested right based on the meta-right.

## **REMARKS**

Claims 1-18 were pending in this application prior to the office action. By this amendment, claims 1, 3, 5-6, 10-11, and 13-14 are amended, and new claims 28-29 are added. Thus, claims 1-18 and 28-29 are now pending. In view of the above amendments and the following remarks, reconsideration and allowance of the application is respectfully requested.

### **Claim Interpretation**

On pages 2-5 of the office action, the Examiner attempts to define many of the terms recited in the claims by asserting that these claims are not lexicographically defined. These terms include usage rights, meta-rights, consumer, license, and supplier. Applicants object to the definitions arbitrarily assigned by the Examiner, and provide herein the portions of the specification that clearly define these terms for the purposes of this application. If a further office action is deemed to be necessary by the Examiner, these terms should be interpreted based on the definitions provided in the specification.

Usage Rights: The term “Usage Rights” is defined at least in paragraph [0021] of the published application, which provides that “rights 44a can include usage rights, which specify a manner of use”. For example, usage rights can include usage conditions, but are more than usage conditions; they must indicate what kind of usages (e.g., play, print, edit) those usage rights refer to. Thus, usage rights are rights that specify a manner of use, and they are not, in any way, restricted to “usage conditions such as copy protection” as asserted by the Examiner. If the Examiner is still confused about what is meant by the term “usage rights,” Applicants invite the Examiner to review U.S. Patent No. 5,634,012, which provides, in the Abstract, that “usage rights define how the digital work may be used or further distributed” and further provides, in its Glossary, that usage rights include “a language for defining the manner in which a digital work may be used or distributed, as well as any conditions on which use or distribution is premised.”

Meta-rights: The term “meta-rights” is first defined at least in paragraph [0021] of the published application, which provides that meta-rights “permit other rights to be derived.” Paragraphs [0028]-[0029] of the published application further provide that “meta-rights are the rights that one has to generate, manipulate, modify, dispose of or otherwise derive other

rights”, and that “meta-rights can be thought of as usage rights to usage rights (or other meta-rights).” In addition, “meta-rights can include derivable rights to offer rights, grant rights, negotiate rights, obtain rights, transfer rights, delegate rights, expose rights, archive rights, compile rights, track rights, surrender rights, exchange rights, and revoke rights to/from others. Meta-rights can include the rights to modify any of the conditions associated with other rights. For example, a meta-right may be the right to extend or reduce the scope of a particular right. A meta-right may also be the right to extend or reduce the validation period of a right. Meta-rights can be hierarchical and can be structured as objects within objects. For example, a distributor may have a meta-right permitting the distributor to grant a meta-right to a retailer which permits the retailer to grant users rights to view content. Just as rights can have conditions, meta-rights can also have conditions. Meta-rights can also be associated with other meta-rights.” Thus, the definition of meta-rights asserted by the Examiner is incorrect, as this term is clearly defined in the specification.

Consumer: According to paragraph [0009] of the published application, for example, a “consumer” is a “rights consumer who is authorized to derive the derivable rights,” not necessarily a “digital content store or distributor” as the Examiner asserts. It is clear that the consumer is a user of the rights and is not necessarily a content store or distributor. Such a definition would be contrary to the customary meaning of the term consumer. Thus, the definition of consumer asserted by the Examiner is incorrect, as this term is clearly defined in the specification.

License: According to paragraph [0020] of the published application, for example, licenses are issued by a license server, and “embody the actual granting of usage rights to an end user.” More generally, a license is a digital work that grants usage rights. A license is in no way limited to a “digital certificate given to distributor” as asserted by the Examiner. Thus, the definition of license asserted by the Examiner is incorrect, as this term is clearly defined in the specification.

Supplier: According to paragraph [0028] of the published application, for example, a “supplier” grants “rights to a consumer downstream in the distribution channel.” For example, suitable suppliers found in typical business models for distributing digital content include “owners, publishers, distributors, and users.” A supplier is not limited to a “content

provider” as asserted by the Examiner. Thus, the definition of supplier asserted by the Examiner is incorrect, as this term is clearly defined in the specification.

In addition, in sub-section “K” of the Claim Interpretations section of the office action (i.e. on page 4-5), the Examiner asserts that the term “disposal” is not defined. However, as was discussed at the Interview with the Examiner on October 17, 2007, there is no such term in the claims.

### **Rejections under 35 U.S.C. § 102**

Claims 1-18 stand rejected under 35 U.S.C. § 102(b) as being anticipated by U.S. Patent No. 6,226,618 to Downs et al. However, as was discussed with the Examiner during the Interview, Downs fails to disclose, suggest, or render obvious each and every feature recited in the claims.

For example, claim 1, as amended, recites a method for transferring rights adapted to be associated with items from a rights supplier to a rights consumer, said method comprising obtaining a set of rights associated with an item, said set of rights including a meta-right, *wherein the meta-right is provided in digital form, is enforceable by a repository, and specifies a derivable right that can be derived from exercising the meta-right by the rights consumer, a condition that must be satisfied to exercise the meta-right, and a state variable related to the condition*, said derivable right being another meta-right or a usage right, whereby the meta-right is distinct from any usage rights specifying how the item can be used and distributed; determining by a repository whether the rights consumer is entitled to exercise the meta-right to derive the derivable right specified by the meta-right; and if the rights consumer is entitled to exercise the meta-right to derive the derivable right specified by the meta-right, deriving the derivable right and generating a license including the derived right, said license being enforceable by a repository.

In addition, claim 10, as amended herein, recites a license associated with an item and adapted to be used within a system for managing the transfer of rights to the item from a rights supplier to a rights consumer, said license being adapted to be stored on a computing device, said license comprising a set of rights associated with an item, said set of rights including a meta-right, *wherein the meta-right is provided in digital form, is enforceable by a repository, and specifies a derivable right that can be derived from exercising the meta-right*



by the rights consumer, a condition that must be satisfied to exercise the meta-right, and a state variable related to the condition, said derivable right being another meta-right or a usage right, whereby the meta-right is distinct from any usage rights specifying how the item can be used and distributed; a principal designating at least one rights consumer who is authorized to exercise the meta-right to derive the derivable right specified by the meta-right; and a mechanism for providing access to the item in accordance with the set of rights.

Downs fails to disclose, suggest, or render obvious each and every feature recited above. Instead, Downs discloses, at Col. 21, lines 30-42:

The Content Provider(s) 101 sets the allowable Usage Conditions 517 and transmits them to the Electronic Digital Content Store(s) 103 in a SC (see the License Control Layer 501 section). The Electronic Digital Content Store(s) 103 can add to or narrow the Usage Conditions 517 as long as it doesn't invalidate the original conditions set by the Content Provider(s) 101. The Electronic Digital Content Store(s) 103 then transmits all Store Usage Conditions 519 (in a SC) to the End-User Device(s) 109 and the Clearinghouse(s) 105. The Clearinghouse(s) 105 perform Usage Conditions Validation 521 before authorizing the Content 113 release to an End-User Device(s) 109.

While this portions of Downs discloses that the Electronic Digital Content Store may add to or narrow the Usage Conditions as long as it doesn't invalidate the original conditions set by the Content Provider, there is no suggestion whatsoever in Downs to utilize meta-rights as set forth in the claims and described in the specification.

For example, there is no suggestion whatsoever in Downs that a set of rights is obtained which includes a *meta-right* which is provided *in digital form*. In addition, according to the claims, the meta-rights specify (1) *a derivable right that can be derived from exercising the meta-right by the rights consumer*, (2) *a condition that must be satisfied to exercise the meta-right*, and (2) *a state variable related to the condition*. Downs fails to disclose any of these features.

First and foremost, Downs fails to disclose meta-rights generally. *The usage conditions disclosed by Downs are usage rights for consumers. They are not meta-rights for the content store or distributor to exercise for issuing rights to consumers.* The store or distributor simply passes the usage conditions on to the consumers. The concepts of usage conditions and meta-rights are distinctly different. One of the most practical differences

between meta-rights and usage conditions for consumers is the utility meta-rights provide by enabling the rights to distribute content and issue rights to consumers to be specified and governed via technology means.

As was discussed with the Examiner during the interview, simply adding to or narrowing usage conditions “as long as it doesn’t invalidate the original conditions” is different from specifying and exercising meta-rights to derive the derivable rights specified by the meta-rights. For example, Downs has no teaching on how to specify and control what usage rights and conditions can be added or narrowed. Simply disclosing that the content store may “add to or narrow the Usage Conditions” provided “it doesn't invalidate the original conditions set by the Content Provider” does not anticipate or render obvious at least these features recited in the claims.

Furthermore, there is no disclosure whatsoever in Downs providing that a meta-right is obtained by the content store in the system of Downs. Instead, according to Downs, content distributors make requests to digital content owners to sell digital content. Downs fails to disclose obtaining a meta-right, deriving a derivable right, and generating a license, as is recited in the claims.

It should also be pointed out that a *meta-right* is distinguishable from a *derivable right*. The later is what the meta-right, when exercised, is able to derive. For example, the meta-right of issuing a play right to a song is different from the play right, and when exercising the meta-right, the play right is derived or issued to its existence.

Accordingly, for at least the above reasons, Downs fails to disclose, suggest, or render obvious the features recited in the claims. Therefore, Applicants respectfully request that the rejection of claim 1-18 under 35 U.S.C. § 102(b) in view of Downs be reconsidered and withdrawn.

#### **Withdrawal of Terminal Disclaimers**

In view of the amendments to the claims set forth herein, Applicants respectfully request that the Terminal Disclaimers previously filed in this case over U.S. Patent Application No. 10/162, 211, U.S. Patent Application No. 10/162,212, and U.S. Patent No. 6,954,738, be immediately withdrawn.

The Terminal Disclaimers filed over the '211 and '212 applications were filed to overcome provisional obviousness-type double patenting rejections, which are moot in view of the amendments made herein. None of the claims of the '211 application or the '212 application render the claims of the present application as presented herein obvious.

The Terminal Disclaimer filed over the '738 patent was filed to overcome an obviousness-type double patenting rejection, which is moot in view of the amendments made herein. None of the claims of the '738 patent render the claims of the present application as presented herein obvious.

If the Examiner disagrees with this request to withdraw the Terminal Disclaimers for any reason, Applicants respectfully request that the Examiner make his objections of record in the next office action.

**Conclusion**

In view of the foregoing, Applicants submit that the present application is in condition for allowance and a notice to that effect is respectfully requested. If, however, the Examiner deems that any issue remains after considering this response, the Examiner is invited to contact the undersigned attorney to expedite the prosecution and engage in a joint effort to work out a mutually satisfactory solution.

Respectfully submitted,

Date: January 10, 2008

/Stephen M. Hertzler, Reg. No. 58,247/  
Stephen M. Hertzler  
Registration No. 58,247

NIXON PEABODY LLP  
Suite 900, 401 9<sup>th</sup> Street, N.W.  
Washington, D.C. 20004-2128  
(202) 585-8000

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10162701			
<b>Filing Date:</b>	06-Jun-2002			
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights			
First Named Inventor/Applicant Name:	Xin Wang			
<b>Filer:</b>	Stephen M. Hertzler			
<b>Attorney Docket Number:</b>	111325-290100			
Filed as Large Entity				
<b>Utility Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
Post-Allowance-and-Post-Issuance:				
<b>Extension-of-Time:</b>				
Extension - 2 months with \$0 paid	1252	1	460	460

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>460</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2695666
<b>Application Number:</b>	10162701
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6475
<b>Title of Invention:</b>	Method and apparatus managing the transfer of rights
<b>First Named Inventor/Applicant Name:</b>	Xin Wang
<b>Customer Number:</b>	22204
<b>Filer:</b>	Stephen M. Hertzler
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	111325-290100
<b>Receipt Date:</b>	10-JAN-2008
<b>Filing Date:</b>	06-JUN-2002
<b>Time Stamp:</b>	08:31:30
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$460
RAM confirmation Number	6028
Deposit Account	192380
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1		290100_ - 2008-01-10_ - Response_to_Office_Action.pdf	52899 e57e7dc8e882c1216a4c461723a3cefcc64373b9	yes	10

**Multipart Description/PDF files in .zip description**

Document Description	Start	End
Amendment - After Non-Final Rejection	1	1
Claims	2	4
Applicant Arguments/Remarks Made in an Amendment	5	10

**Warnings:**

**Information:**

2	Fee Worksheet (PTO-06)	fee-info.pdf	8141 33b9075e553c00b4a54bf71192864693a717e741	no	2
---	------------------------	--------------	--	----	---

**Warnings:**

**Information:**

**Total Files Size (in bytes):** 61040

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

**New Applications Under 35 U.S.C. 111**

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

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

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

**New International Application Filed with the USPTO as a Receiving Office**

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

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

<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>10/162,701</b>	Filing Date <b>06/06/2002</b>	<input type="checkbox"/> To be Mailed
---	---	----------------------------------	---------------------------------------

APPLICATION AS FILED – PART I			OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	SMALL ENTITY <input type="checkbox"/>	OR			
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)		RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		OR	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		OR	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		OR	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).				OR		
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>					OR		
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		OR	TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	DATE	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
	<b>01/10/2008</b>						OR		
	Total (37 CFR 1.16(i))	* 20	Minus	** 27	=	0	OR	X \$50=	0
	Independent (37 CFR 1.16(h))	* 2	Minus	***3	=	0	OR	X \$210=	0
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))								
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	<b>0</b>

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	DATE	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
							OR		
	Total (37 CFR 1.16(i))	*	Minus	**	=		OR	X \$ =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=		OR	X \$ =	
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))								
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	

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

Legal Instrument Examiner:  
 /SUSAN K. FORD/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**  
 If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.





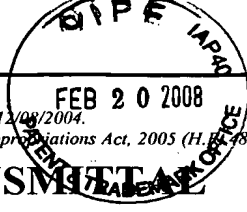
*JW*  
3621  
\$

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	10/162,701
	<b>Filing Date</b>	June 6, 2002
	<b>First Named Inventor</b>	Xin WANG, <i>et al.</i>
	<b>Group Art Unit</b>	3621
	<b>Examiner Name</b>	Evens J. Augustin
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b> 111325-290100

ENCLOSURES <i>(check all that apply)</i>		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> ) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below)</i> : 1. PTO Form 1449 2. One Box including 112 cited references
Remarks		<input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Marc S. Kaufman Registration No. 35,212 <b>Nixon Peabody LLP</b> 401 9th Street, N.W., Suite 900 Washington, D.C. 20004-2128
Signature	/Marc S. Kaufman, Reg. # 35,212/
Date	February 20, 2008

CERTIFICATE OF MAILING OR TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, or facsimile transmitted to the U.S. Patent and Trademark Office (Fax No. (571) 273-8300) on the date shown below.			
Name <i>(Print/Type)</i>			
Signature		Date	



Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 2818).

**FEE TRANSMITTAL FOR FY 2008**

<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number: 10/162,701	
TOTAL AMOUNT OF PAYMENT: \$180.00		Filing Date: June 6, 2002	
		First Named Inventor: Xin WANG, et al.	
		Examiner Name: Evens J. Augustin	
		Art Unit: 3621	
		Attorney Docket No.: 111325-290100	

**METHOD OF PAYMENT (check all that apply)**

Check    Credit Card    Money Order    None    Other (please identify): \_\_\_\_\_

Deposit Account   Deposit Account Number: 19-2380   Deposit Account Name: Nixon Peabody LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below    Charge fee(s) indicated below, except for the filing fee

Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17    Credit any overpayments

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-20238.**

**FEE CALCULATION**

**1. BASIC FILING, SEARCH AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	310	155	510	255	210	105	_____
Design	210	105	100	50	130	65	_____
Plant	210	105	310	155	160	80	_____
Reissue	310	155	510	255	620	310	_____
Provisional	210	105	N/A	N/A	N/A	N/A	_____

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	210	105
Multiple dependent claims	370	185

**Total Claims** - 20 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_      **Fee Paid (\$)** \_\_\_\_\_

HP -- highest number of total claims paid for, if greater than 20

**Indep. Claims** - 3 or HP = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_      **Fee Paid (\$)** \_\_\_\_\_

HP -- highest number of independent claims paid for, if greater than 3

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$260 (\$130 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____ - 100 = _____	_____ / 50 = _____	_____ (round up to a whole number)	_____ x _____ = _____	_____

**4. OTHER FEE(S)**

Description	Fee (\$)	Fee Paid (\$)
Non-English Specification, \$130 fee (no small entity discount)	_____	_____
Other: Information Disclosure Filing Fee	_____	\$180.00

**SUBMITTED BY**

Signature	/Marc S. Kaufman, Reg. # 35,212/	Registration No.	35,212	Telephone	(202) 585-8000
Name (Print/Type)	Marc S. Kaufman	(Attorney/Agent)		Date	February 20, 2008

**CERTIFICATE OF MAILING OR TRANSMISSION [35 CFR 1.8(a)]**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on \_\_\_\_\_.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:	)	Confirmation No.: 6475
Xin WANG et al.	)	Group Art Unit: 3621
Application No.: 10/162,701	)	Examiner: Augustin, Evens J.
Filed: June 6, 2002	)	
For: <b>METHOD AND APPARATUS</b>	)	Date: February <u>20</u> , 2008
<b>MANAGING THE TRANSFER OF</b>	)	
<b>RIGHTS</b>	)	

**INFORMATION DISCLOSURE STATEMENT**

United States Patent and Trademark Office  
Customer Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Dear Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98(a)(2)(ii), copies of the cited U.S. patents (*i.e.*, Reference Cite Nos. 1–101) are not enclosed. Copies of the cited Foreign patents (*i.e.*, Reference Cite Nos. 102–173) are enclosed. Copies of the cited non-patent references (*i.e.*, Reference Cite Nos. 174–213) are enclosed. The references have been cited in recent oppositions in the European Patent Office relating to cases owned by assignee.

The Commissioner is hereby authorized to charge the **Deposit Account No. 19-2380** in the amount of **\$180.00** representing filing fees.

It is requested that the accompanying PTO/SB/08A be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO/SB/08A. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required, or credit any overpayment to Deposit Account No. 19-2380.

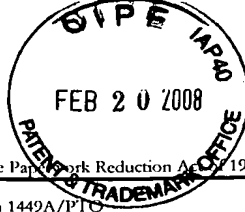
02/21/2008 HBELETE1 00000029 192380 10162701  
01 FC:1806 180.00 DA

Respectfully submitted,  
**NIXON PEABODY LLP**

Date: February 20, 2008

By: /Marc S. Kaufman, Reg. # 35,212/  
Marc S. Kaufman  
Registration No. 35,212

**NIXON PEABODY LLP**  
CUSTOMER NO.: 22204  
401 9th Street, N.W., Suite 900  
Washington, DC 20004  
Tel: 202-585-8000  
Fax: 202-585-8080



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.

Substitute for form 1449A/P10 <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin Wang et al.
		Art Unit	3621
		Examiner Name	Augustin, Evens J.
		Attorney Docket Number	111325/290100
Sheet	1	of	9

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)				
	1	US 20010009026	A1	07-19-2001	Terao et al.	
	2	US 20010011276	A1	08-02-2001	Durst Jr. et al.	
	3	US 20010014206	A1	08-16-2001	Artigalas et al.	
	4	US 20010037467	A1	11-01-2001	O'Toole Jr. et al.	
	5	US 20010039659	A1	11-08-2001	Simmons et al.	
	6	US 20020001387	A1	01-03-2002	Dillon	
	7	US 20020035618	A1	03-21-2002	Mendez et al.	
	8	US 20020044658	A1	04-18-2002	Wasilewski et al.	
	9	US 20020056118	A1	05-09-2002	Hunter et al.	
	10	US 20020069282	A1	06-06-2002	Reisman	
	11	US 20020099948	A1	07-25-2002	Kocher et al.	
	12	US 20020127423	A1	09-12-2002	Kayanakis	
	13	US 20030097567	A1	05-22-2003	Terao et al.	
	14	US 20040052370	A1	03-18-2004	Katznelson	
	15	US 20040172552	A1	09-02-2004	Boyles et al.	
	16	US 4,159,468		06-26-1979	Barnes et al.	
	17	US 4,200,700		04-29-1980	Mäder	
	18	US 4,361,851		11-30-1982	Asip et al.	
	19	US 4,423,287		12-27-1983	Zeidler	
	20	US 4,429,385		01-31-1984	Cichelli et al.	
	21	US 4,621,321		11-04-1986	Boebert et al.	
	22	US 4,736,422		04-05-1988	Mason	
	23	US 4,740,890		04-26-1988	William	
	24	US 4,796,220		01-03-1989	Wolfe	
	25	US 4,816,655		03-28-1989	Musyck et al.	
	26	US 4,888,638		12-19-1989	Bohn	
	27	US 4,937,863		06-26-1990	Robert et al.	
	28	US 4,953,209		08-28-1990	Ryder et al.	
	29	US 4,977,594		12-11-1990	Shear	
	30	US 5,014,234		05-07-1991	Edwards	
	31	US 5,129,083		07-07-1992	Cutler et al.	
	32	US 5,138,712		08-11-1992	Corbin	
	33	US 5,174,641		12-29-1992	Lim	
	34	US 5,204,897		04-20-1993	Wyman	
	35	US 5,247,575		09-21-1993	Sprague et al.	
	36	US 5,260,999		11-09-1993	Wyman	
	37	US 5,276,444		01-04-1994	McNair	
	38	US 5,291,596		03-01-1994	Mita	
	39	US 5,293,422		03-08-1994	Loiacono	

Examiner Signature	Date Considered
--------------------	-----------------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



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.

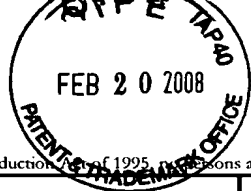
Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE          STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin Wang et al.
		Art Unit	3621
		Examiner Name	Augustin, Evens J.
Sheet	2	of	9
		Attorney Docket Number	111325/290100

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY		
	40	US 5,335,275	08-02-1994	Millar et al.	
	41	US 5,337,357	08-09-1994	Chou et al.	
	42	US 5,386,369	01-31-1995	Christiano	
	43	US 5,453,601	09-26-1995	Rosen	
	44	US 5,485,577	01-16-1996	Eyer et al.	
	45	US 5,504,816	04-02-1996	Hamilton et al.	
	46	US 5,530,235	06-25-1996	Stefik et al.	
	47	US 5,535,276	07-09-1996	Ganesan	
	48	US 5,557,678	09-17-1996	Ganesan	
	49	US 5,629,980	05-13-1997	Stefik et al.	
	50	US 5,636,346	06-03-1997	Saxe	
	51	US 5,638,443	06-10-1997	Stefik et al.	
	52	US 5,708,709	01-13-1998	Rose	
	53	US 5,715,403	02-03-1998	Stefik	
	54	US 5,745,879	04-28-1998	Wyman	
	55	US 5,764,807	06-09-1998	Pearlman et al.	
	56	US 5,765,152	06-09-1998	Erickson	
	57	US 5,787,172	07-28-1998	Arnold	
	58	US 5,790,677	08-04-1998	Fox et al.	
	59	US 5,812,664	09-22-1998	Bernobich et al.	
	60	US 5,825,876	10-20-1998	Peterson	
	61	US 5,825,879	10-20-1998	Davis	
	62	US 5,838,792	11-17-1998	Ganesan	
	63	US 5,848,154	12-08-1998	Nishio et al.	
	64	US 5,848,378	12-08-1998	Shelton et al.	
	65	US 5,850,433	12-15-1998	Van Oorschot et al.	
	66	US 5,915,019	06-22-1999	Ginter et al.	
	67	US 5,917,912	06-29-1999	Ginter et al.	
	68	US 5,933,498	08-03-1999	Schneck et al.	
	69	US 5,940,504	08-17-1999	Griswold	
	70	US 5,982,891	11-09-1999	Ginter et al.	
	71	US 5,987,134	11-16-1999	Shin et al.	
	72	US 5,999,624	12-07-1999	Hopkins	
	73	US 6,006,332	12-21-1999	Rabne et al.	
	74	US 6,020,882	02-01-2000	Kinghorn et al.	
	75	US 6,047,067	04-04-2000	Rosen	
	76	US 6,073,234	06-06-2000	Kigo et al.	
	77	US 6,091,777	07-18-2000	Guetz et al.	
	78	US 6,112,239	08-29-2000	Kenner et al.	

Examiner Signature	Date Considered
-----------------------	--------------------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



Under the Paperwork Reduction Project of 1995, Sections are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin Wang et al.
		Art Unit	3621
		Examiner Name	Augustin, Evens J.
Sheet	3	of	9
		Attorney Docket Number	111325/290100

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY		
	79	US 6,135,646	10-24-2000	Kahn et al.	
	80	US 6,141,754	10-31-2000	Choy	
	81	US 6,157,719	12-05-2000	Wasilewski et al.	
	82	US 6,169,976 B1	01-02-2001	Colosso	
	83	US 6,185,683 B1	02-06-2001	Ginter et al.	
	84	US 6,189,037 B1	02-13-2001	Adams et al.	
	85	US 6,189,146 B1	02-13-2001	Misra et al.	
	86	US 6,209,092 B1	03-27-2001	Linnartz	
	87	US 6,216,112 B1	04-10-2001	Fuller et al.	
	88	US 6,219,652 B1	04-17-2001	Carter et al.	
	89	US 6,236,971 B1	05-22-2001	Stefik et al.	
	90	US 6,307,939 B1	10-23-2001	Vigarie	
	91	US 6,353,888 B1	03-05-2002	Kakehi et al.	
	92	US 6,397,333 B1	05-28-2002	Söhne et al.	
	93	US 6,401,211 B1	06-04-2002	Brezak Jr. et al.	
	94	US 6,405,369 B1	06-11-2002	Tsuria	
	95	US 6,424,717 B1	07-23-2002	Pinder et al.	
	96	US 6,424,947 B1	07-23-2002	Tsuria et al.	
	97	US 6,487,659 B1	11-26-2002	Kigo et al.	
	98	US 6,516,052 B2	02-04-2003	Voudouris	
	99	US 6,516,413 B1	02-04-2003	Aratani et al.	
	100	US 6,523,745 B1	02-25-2003	Tamori	
	101	US 6,796,555 B1	09-28-2004	Blahut	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



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

Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE          STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>			Application Number	10/162,701	
			Filing Date	June 6, 2002	
			First Named Inventor	Xin Wang et al.	
			Art Unit	3621	
			Examiner Name	Augustin, Evens J.	
Sheet	4	of	9	Attorney Docket Number	111325/290100

**FOREIGN PATENT DOCUMENTS**

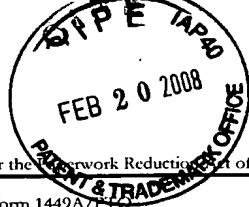
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>				
	102	WO	83/04461 A1	12-22-1983	Western Electric Company, Inc.		
	103	WO	92/20022 A1	11-12-1992	Digital Equipment Corporation		
	104	WO	93/01550 A1	01-21-1993	Infologic Software, Inc.		
	105	WO	93/11480 A1	06-10-1993	Intergraph Corporation		
	106	WO	94/03003 A1	02-03-1994	Crest Industries, Inc.		
	107	WO	96/24092 A2	08-08-1996	Benson		
	108	WO	96/27155 A2	09-06-1996	Electronic Publishing Resources, Inc.		
	109	WO	97/25800 A1	07-17-1997	Mytec Technologies Inc.		
	110	WO	97/37492 A1	10-09-1997	Macrovision Corporation		
	111	WO	97/41661 A2	11-06-1997	Motorola Inc.		
	112	WO	97/43761 A2	11-20-1997	Intertrust Technologies Corp.		
	113	WO	98/09209 A1	03-05-1998	Intertrust Technologies Corp.		
	114	WO	98/10561 A1	03-12-1998	Telefonaktiebolaget LM Ericsson		
	115	WO	98/11690 A1	03-19-1998	Glover		
	116	WO	98/19431 A1	05-07-1998	Qualcomm Incorporated		
	117	WO	98/43426 A1	10-01-1998	Canal+Societe Anonyme		
	118	WO	98/45768 A1	10-15-1998	Northern Telecom Limited		
	119	WO	99/24928 A2	05-20-1999	Intertrust Technologies Corp.		
	120	WO	99/34553 A1	07-08-1999	V-One Corporation		
	121	WO	99/35782 A1	07-15-1999	Cryptography Research, Inc.		
	122	WO	99/48296 A1	09-23-1999	Intertrust Technologies Corporation		
	123	WO	99/60461 A1	11-25-1999	International Business Machines Corporation		
	124	WO	99/60750 A2	11-25-1999	Nokia Networks Oy		
	125	WO	00/04727 A2	01-27-2000	Koninklijke Philips Electronics N.V.		
	126	WO	00/05898 A2	02-03-2000	Optivision, Inc.		
	127	WO	00/59152 A2	10-05-2000	Microsoft Corporation		
	128	WO	00/72118 A1	11-30-2000	Compaq Computers Inc.		
	129	WO	00/73922 A2	12-07-2000	Entera, Inc.		
	130	WO	01/37209 A1	05-25-2001	Teralogic, Inc.		
	131	EP	0 067 556 B1	12-22-1982	Data General Corporation		
	132	EP	0 257 585 A2	03-02-1988	NEC Corporation		

Examiner Signature	Date Considered
--------------------	-----------------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.





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

Substitute for form 1449A/P <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>		
				Application Number	10/162,701	
Sheet		5	of	9	Examiner Name	Augustin, Evens J.
					Attorney Docket Number	111325/290100

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>				
	133	EP	0 332 304 A2	09-13-1989	Digital Equipment Corporation		
	134	EP	0 393 806 A2	10-24-1990	TRW Inc.		
	135	EP	0 450 841 A2	10-09-1991	GTE Laboratories Incorporated		
	136	EP	0 529 261 A2	03-03-1993	International Business Machines Corporation		
	137	EP	0 613 073 A1	08-31-1994	International Computers Limited		
	138	EP	0 678 836 A1	10-25-1995	Tandem Computers Incorporated		
	139	EP	0 679 977 A1	11-02-1995	International Business Machines Incorporated		
	140	EP	0 715 243 A1	06-05-1996	Xerox Corporation		
	141	EP	0 715 244 A1	06-05-1996	Xerox Corporation		
	142	EP	0 715 245 A1	06-05-1996	Xerox Corporation		
	143	EP	0 731 404 A1	09-11-1996	International Business Machines Corporation		
	144	EP	0 763 936 A2	03-19-1997	LG Electronics Inc.		
	145	EP	0 818 748 A2	01-14-1998	Murakoshi, Hiromasa		
	146	EP	0 840 194 A2	05-06-1998	Matsushita Electric Industrial Co., Ltd.		
	147	EP	0 892 521 A2	01-20-1999	Hewlett-Packard Company		
	148	GB	1483282	08-17-1977	Compagnie Internationale Pour L'Informatique C11-Honeywell-Bull		
	149	GB	2236604 A	04-10-1991	Sun Microsystems Inc.		
	150	GB	2309364 A	07-23-1997	Northern Telecom Limited		
	151	GB	2316503 A	02-25-1998	ICL Personal Systems Oy		
	152	BR	9810967 A (Abstract only)	10-30-2001	Scientific Atlanta Inc.		
	153	EP	0 934 765 A1	08-11-1999	Canal+Societe Anonyme		
	154	EP	0 946 022 A2	09-29-1999	Nippon Telegraph and Telephone Corporation		
	155	EP	0 964 572 A1	12-15-1999	Canal+Societe Anonyme		
	156	EP	1 103 922 A2 (Abstract only)	05-30-2001	CIT Alcatel		
	157	GB	2022969 A	12-19-1979	Data Recall Limited		
	158	GB	2354102 A	03-14-2001	Barron McCann Limited		
	159	JP	11031130 A2 (Abstract only)	02-02-1999	Fuji Xerox Co. Ltd.		

Examiner Signature	Date Considered
--------------------	-----------------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



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

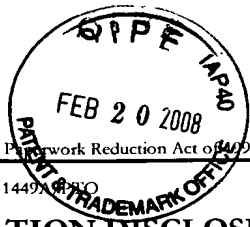
Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>		
				Application Number	10/162,701	
Sheet		6	of	9	Examiner Name	Augustin, Evens J.
					Attorney Docket Number	111325/290100

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>				
	160	JP	11032037 A2	02-02-1999	Fuji Xerox Co. Ltd.		
			(Abstract only)				
	161	JP	11205306 A2	07-30-1999	Fuji Xerox Co. Ltd.		
			(Abstract only)				
	162	JP	11215121 A2	08-06-1999	Fuji Xerox Co. Ltd.		
			(Abstract only)				
	163	JP	2000215165 A2	08-04-2000	Nippon Telegraph and Telephone		
			(Abstract only)				
	164	JP	2005218143 A2	08-11-2005	Scientific Atlanta Inc.		
			(Abstract only)				
	165	JP	2005253109 A2	09-15-2005	Scientific Atlanta Inc.		
			(Abstract only)				
	166	JP	2006180562 A2	07-06-2006	Intarsia Software LLC; Mitsubishi Corp.		
			(Abstract only)				
	167	JP	5168039 A2	07-02-1993	Sony Corp.		
			(Abstract only)				
	168	WO	96/13814 A1	05-09-1996	Vazvan		
	169	WO	00/46994 A1	08-10-2000	Canal+Societe Anonyme		
	170	WO	00/62260 A1	10-19-2000	Swisscom Mobile AG		
			(Abstract only)				
	171	WO	01/03044 A1	01-11-2001	Transcast International, Inc.		
	172	WO	04/103843	12/02/2004	S2F Flexico		
			(Abstract only)				
	173	WO	04/34223 A2	04-22-2004	Legal IGaming, Inc.		

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



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.

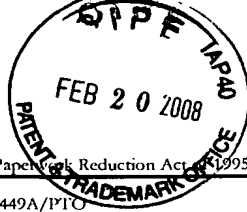
Substitute for form 1449X-PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>		
				Application Number	10/162,701	
Sheet		7	of	9	Examiner Name	Augustin, Evens J.
					Attorney Docket Number	111325/290100

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	174	BLAZE et al, "Divertible Protocols and Atomic Proxy Cryptography" 1998 Advances in Cryptography – Euro Crypt International Conference on the Theory and Application of Crypto Techniques, Springer Verlag, DE	
	175	BLAZE et al, "Atomic Proxy Cryptography" DRAFT (Online) (November 2, 1997) XP002239619 Retrieved from the Internet	
	176	NO AUTHOR, "Capability- and Object-Based Systems Concepts," Capability-Based Computer Systems, pp. 1-19 (no date)	
	177	COX, "Superdistribution" Wired Magazine (September 1994) XP002233405 URL: <a href="http://www.wired.com/wired/archive/2.09/superdis_pr.html&amp;gt">http://www.wired.com/wired/archive/2.09/superdis_pr.html&amp;gt</a>	
	178	DUNLOP et al, Telecommunications Engineering, pp. 346-352 (1984)	
	179	ELGAMAL, "A Public Key Cryptosystem and a Signature Scheme Based on Discrete Logarithms," IEEE Transactions on Information Theory IT-31(4):469-472 (July 1985)	
	180	GHEORGHIU et al., "Authorization for Metacomputing Applications" (no date)	
	181	IANNELLA, ed., Open Digital Rights Language (ODRL), pp. 1-31 (November 21, 2000)	
	182	KAHLE, wais.concepts.txt, Wide Area Information Server Concepts, Thinking Machines Version 4, Draft, pp. 1-18 (November 3, 1989)	
	183	KAHN, "Deposit, Registration and Recordation in an Electronic Copyright Management System," Technical Report, Corporation for National Research Initiatives, Reston, Virginia (August 1992) URL: <a href="http://www.cni.org/docs/ima_ip_workshop/kahn.html">http://www.cni.org/docs/ima_ip_workshop/kahn.html</a>	
	184	KAHN et al, "The Digital Library Project, Volume 1: The World of Knowbots (DRAFT), An Open Architecture for a Digital Library System and a Plan for its Development," Corporation for National Research Initiatives, pp. 1-48 (March 1988)	
	185	KOHL et al, Network Working Group Request for Comments: 1510, pp. 1-112 (September 1993)	
	186	LEE et al, CDMA Systems Engineering Handbook (1998) [excerpts but not all pages numbered]	
	187	MAMBO et al, "Protection of Data and Delegated Keys in Digital Distribution," Information Security and Privacy. Second Australian Conference, ACISP '97 Proceedings, pp. 271-282 (Sydney, NSW, Australia, 7-9 July 1997, 1997 Berlin, Germany, Springer-Verlag, Germany), XP008016393 ISBN: 3-540-63232-8	
	188	MAMBO et al, "Proxy Cryptosystems: Delegation of the Power to Decrypt Ciphertexts," IEICE Trans. Fundamentals VOL. E80-A, NO. 1:54-63 (January 1997) XP00742245 ISSN: 0916-8508	
	189	Microsoft Word, Users Guide, Version 6.0, pp. 487-89, 549-55, 560-64, 572-75, 599-613, 616-31 (1993)	
	190	OJANPERÄ and PRASAD, eds., Wideband CDMA for Third Generation Mobile Communications (1998) [excerpts but not all pages numbered]	
	191	PERRITT, "Knowbots, Permissions Headers and Contract Law," Paper for the Conference on Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment, pp. 1-22 (April 2-3, 1993 with revisions of April 30, 1993)	

Examiner Signature	Date Considered
--------------------	-----------------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



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.

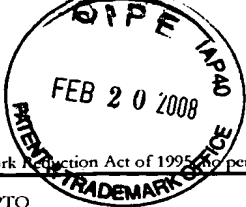
Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin Wang et al.
		Art Unit	3621
		Examiner Name	Augustin, Evens J.
Sheet	8	of	9
		Attorney Docket Number	111325/290100

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	192	RAGGETT, (Hewlett Packard), "HTML+(Hypertext markup language)," pp. 1-31 (12 July 1993) <a href="http://citeseer.ist.psu.edu/correct/340709">URL:http://citeseer.ist.psu.edu/correct/340709</a>	
	193	SAMUELSON et al, "Intellectual Property Rights for Digital Library and Hypertext Publishing Systems: An Analysis of Xanadu," Hypertext '91 Proceedings, pp. 39-50 (December 1991)	
	194	NO AUTHOR, "Softlock Services Introduces... Softlock Services" Press Release (January 28, 1994)	
	195	NO AUTHOR, "Appendix III - Compatibility with HTML," NO TITLE, pp. 30-31 (no date)	
	196	NO EDITOR, NO TITLE, Dictionary pages, pp. 469-72, 593-94 (no date)	
	197	BENOIT, Digital Television MPEG-1, MPEG-2 and Principles of the DVB System, pp. 75-80, 116-121 (no date)	
	198	BENOIT, Digital Television MPEG-1, MPEG-2 and Principles of the DVB System, 2 <sup>nd</sup> edition, pp. 74-80 (no date)	
	199	AH Digital Audio and Video Series, "DTV Receivers and Measurements," Understanding Digital Terrestrial Broadcasting, pp. 159-64 (no date)	
	200	O'DRISCOLL, The Essential Guide to Digital Set-Top Boxes and Interactive TV, pp. 6-24 (no date)	
	201	IUS MENTIS, "The ElGamal Public Key System," pp. 1-2 (October 1, 2005) online at <a href="http://www.iusmentis.com/technology/encryption/elgamal/">http://www.iusmentis.com/technology/encryption/elgamal/</a>	
	202	SCHNEIER, "Crypto Bibliography," Index of Crypto Papers Available Online, pp. 1-2 (online) (no date)	
	203	NO AUTHOR, NO TITLE, pp. 344-55 (no date)	
	204	NO AUTHOR, "Part Four Networks," NO TITLE, pp. 639-714 (no date)	
	205	Microsoft Word User's Guide, pp. 773-74, 315-16, 487-89, 561-64, 744, 624-33 (1993)	
	206	NO AUTHOR, "What is the ElGamal Cryptosystem," p. 1 (November 27, 2006) online at <a href="http://www.x5.net/faqs/crypto/q29.html">http://www.x5.net/faqs/crypto/q29.html</a>	
	207	JOHNSON et al., "A Secure Distributed Capability Based System," ACM, pp. 392-402 (1985)	
	208	Wikipedia, "El Gamal Encryption," pp.1-3 (last modified November 2, 2006) online at <a href="http://en.wikipedia.org/wiki/ElGamal_encryption">http://en.wikipedia.org/wiki/ElGamal_encryption</a>	
	209	BLAZE, "Atomic Proxy Cryptography," p. 1 Abstract (October 20, 1998)	
	210	BLAZE, "Matt Blaze's Technical Papers," pp. 1-6 (last updated August 6, 2006)]	
	211	Online Search Results for "inverted file", "inverted index" from <a href="http://www.techweb.com">www.techweb.com</a> , <a href="http://www.cryer.co.uk">www.cryer.co.uk</a> , <a href="http://computing-dictionary.thefreedictionary.com">computing-dictionary.thefreedictionary.com</a> , <a href="http://www.nist.gov">www.nist.gov</a> , <a href="http://en.wikipedia.org">en.wikipedia.org</a> , <a href="http://www.cni.org">www.cni.org</a> , <a href="http://www.tiscali.co.uk">www.tiscali.co.uk</a> (July 15-16, 2006)	
	212	Corporation for National Research Initiatives, "Digital Object Architecture Project", <a href="http://www.nnri.reston.va.us/doa.html">http://www.nnri.reston.va.us/doa.html</a> (updated 28 Nov 2006)	

Examiner Signature	Date Considered
--------------------	-----------------

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



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.

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		<i>Complete if Known</i>	
		Application Number	10/162,701
		Filing Date	June 6, 2002
		First Named Inventor	Xin Wang et al.
		Art Unit	3621
		Examiner Name	Augustin, Evens J.
		Attorney Docket Number	111325/290100
Sheet	9	of	9

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	213	STEFIK, Summary and Analysis of A13 (Kahn, Robert E and Vinton G Cerf, "The Digital Library Project, Volume 1: The World of Knowbots (DRAFT), An Open Architecture for a Digital Library System and a Plan for its Development," Corporation for National Research Initiatives (March 1988)), pp. 1-25 (May 30, 2007)	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

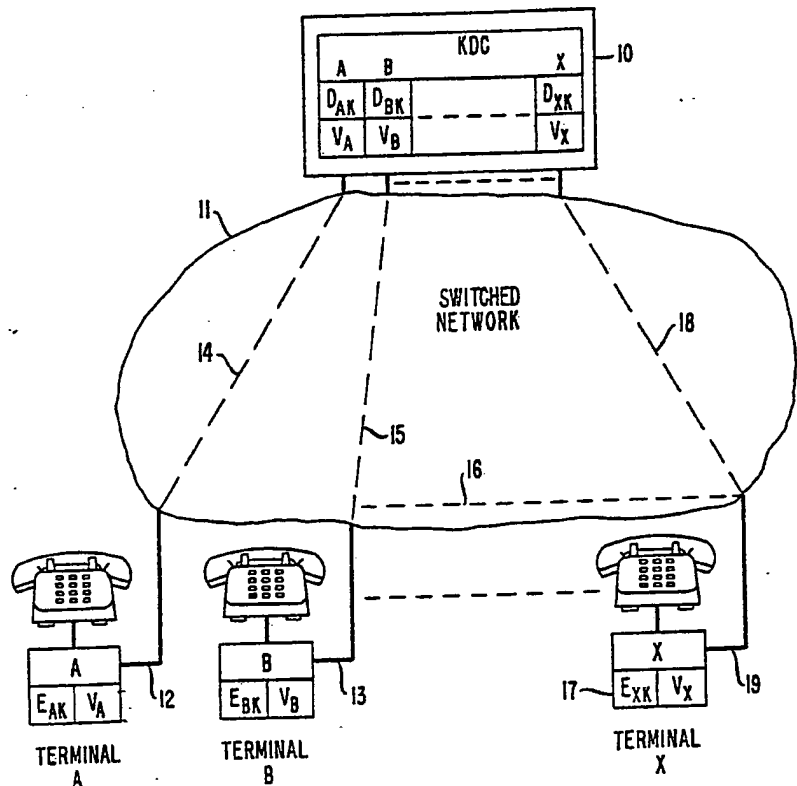
<p>(51) International Patent Classification<sup>3</sup> : <b>H04L 9/00</b></p>	<p><b>A1</b></p>	<p>(11) International Publication Number: <b>WO 83/ 04461</b> (43) International Publication Date: <b>22 December 1983 (22.12.83)</b></p>
<p>(21) International Application Number: <b>PCT/US83/00030</b> (22) International Filing Date: <b>11 January 1983 (11.01.83)</b> (31) Priority Application Number: <b>386,805</b> (32) Priority Date: <b>9 June 1982 (09.06.82)</b> (33) Priority Country: <b>US</b>  (71) Applicant: <b>WESTERN ELECTRIC COMPANY, INC.</b> [US/US]; 222 Broadway, New York, NY 10038 (US). (72) Inventors: <b>EVERHART, Joseph, Robert ; P.O. Box 228,</b> 3 Old Mill Road, Holmdel, NJ 07733 (US). <b>OSBORN,</b> <b>Jeffrey, George ; 242 Madison Gardens, Old Bridge,</b> NJ 08857 (US). (74) Agents: <b>HIRSCH, A., E., Jr. et al. ; Post Office Box 901,</b> Princeton, NJ 08540 (US).</p>		<p>(81) Designated States: <b>AT (European patent), AU, BE (European patent), CH (European patent), DE (European patent), FR (European patent), GB (European patent), JP, LU (European patent), NL (European patent), SE (European patent).</b>  <b>Published</b> <i>With international search report.</i></p>

(54) Title: ENCRYPTION SYSTEM KEY DISTRIBUTION METHOD AND APPARATUS

(57) Abstract

Encryption systems typically rely on the distribution of cipher keys between terminals for scrambling and unscrambling transmitted messages. Elaborate security precautions are necessary to protect the cipher keys since a compromise of the key could result in a compromise of the transmission. There is disclosed a key distribution method and apparatus which uses a channel (14, 15, 18) from identified terminals (A, B, X) to a central key distribution center (KDC) for the establishment, on a one-session basis, of the key which is to be used for the next session between those terminals. The key establishing link (16) is itself encoded using a cipher key which changes after each usage. Provision is made to verify, for each new connection, that a compromise has not priorly occurred.

KDC CONFIGURATION



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AT	Austria	LI	Liechtenstein
AU	Australia	LK	Sri Lanka
BE	Belgium	LU	Luxembourg
BR	Brazil	MC	Monaco
CF	Central African Republic	MG	Madagascar
CG	Congo	MR	Mauritania
CH	Switzerland	MW	Malawi
CM	Cameroon	NL	Netherlands
DE	Germany, Federal Republic of	NO	Norway
DK	Denmark	RO	Romania
FI	Finland	SE	Sweden
FR	France	SN	Senegal
GA	Gabon	SU	Soviet Union
GB	United Kingdom	TD	Chad
HU	Hungary	TG	Togo
JP	Japan	US	United States of America
KP	Democratic People's Republic of Korea		

- 1 -

ENCRYPTION SYSTEM KEY DISTRIBUTION  
METHOD AND APPARATUS

Background of the Invention

5 This invention relates to the establishment and distribution of cipher keys in a cryptographic system.

Cryptographic systems are now gaining favor, both for voice as well as data transmission. In such systems it is typically necessary that the parties to a particular transmission each have cryptographic keys to encrypt and decrypt the cipher transmissions. It follows that a compromise to a cryptographic key will in turn reduce the security of subsequent transmissions involving that key. Thus, great precautions must be taken to distribute the cryptographic keys among the system users. Such distribution, for example, using secure couriers to manually update the keys may be possible when the community of users is priorly known but becomes increasingly more difficult when either the number of parties is large or parties who seldom communicate with each other wish to do so. The responsibility for keeping the cryptographic key secure after distribution rests with each user and the longer the key remains effective the greater the risk of it becoming compromised.

25 Thus, from a practical point of view it is desirable to have the cryptographic key effective for a single session, requiring a new key for each new session. When couriers are used, however, this becomes costly and time consuming, especially when a party wishes to place many secure calls or have many secure sessions.

Attempts have been made to electronically distribute cryptographic keys between users from a key distribution center. One such example is shown in Rosenblum Patent No. 4,182,933, issued January 8, 1980. While such attempts have found some degree of success they all suffer from the problem that they are subject to



- 2 -

compromise because they usually rely on the security of the transmission media between the key distribution center and the terminal for the distribution of session key information. Thus, an intruder need only compromise the key distribution channel to obtain subsequent session keys. Elaborate systems have sometimes been established to detect such a compromise, all of which are either costly or minimally effective.

Another problem with key distribution centers is that the center can derive the information used to decrypt the secure data exchange between users and thus could theoretically monitor the secure session transmission.

#### Summary of the Invention

We have solved the above-identified problems by arranging a key distribution center (KDC) which communicates over a channel with the individual terminals. The channel, or data link, can be a dial-up telephone line, a packet-switched data network, dedicated lines, or other communications channel types, over which secure communication is possible. The terminals operate in conjunction with the KDC to establish a session key for secure transmission between two or more terminals. The session key at a terminal is constructed from information generated at that terminal in conjunction with information communicated from the KDC and is known fully only to the terminals involved in the session and not to the KDC. Thus, when two terminals have established a session key, they may securely communicate with each other for the duration of that session.

At the conclusions of the secure data exchange, the session keys should be destroyed, and when either station wishes to establish additional secure communication either between themselves or to other stations, a new session key will be established in cooperation with the KDC.

Both the terminal-KDC channel and the KDC-terminal channel, as mentioned above, are secure links in

**SUBSTITUTE SHEET**

- 3 -

that they are protected by cryptographic key information which is unique to each terminal and to the KDC on a one-call-only basis. Accordingly, whenever a connection is established between a terminal and the KDC, each has

5 information previously stored, referred to as terminal-unique key information, and this priorly stored information is used to establish both new KDC-terminal link keys, referred to as call-setup key information, and new session

10 keys, the terminal and the KDC each modify their respective terminal-unique key information so that on a next call between the KDC and the same terminal, this new key information must be used in order to establish a secure communication path. The precise manner in which this

15 happens will be discussed hereinafter. In this manner, an intruder on the key distribution between a terminal and the KDC must be adding and substituting information on the channel from the beginning and must stay on the channel throughout several calls, since once the intruder leaves it

20 is possible to detect, at least by hindsight, that a compromise has occurred. This is a result of the fact that the intruder is substituting random information that may be monitored.

One aspect of our system is that an intruder, in

25 order to obtain useful information exchanged between two valid users of the system, must gain the terminal-unique information that is stored at the terminal, and he must also gain the terminal-unique information that is stored in the key distribution center for that specific terminal.

30 The intruder then, on the very next key exchange involving that terminal and the key distributing center, must actively participate, i.e., substitute his own generated key information on that channel. Then the intruder must also substitute information on the channel between the two

35 communicating terminals, and also must continue the above substitutions on the channels for an indefinite period of time or risk detection.

**SUBSTITUTE SHEET**

Petitioner Apple Inc. - Exhibit 1024, p. 1274



- 4 -

Brief Description of the Drawing

These attributes of our invention, together with the operation and utilization of the invention in a specific embodiment, will be more fully apparent from the illustrative embodiment shown in conjunction with the drawing which:

FIG. 1 shows an overall system using a KDC and several terminals;

FIG. 2 shows an implementation of the initial establishment of information in both the KDC and the terminal within a secure area;

FIGS. 3 and 4 show a flow chart detailing what occurs within each terminal;

FIG. 5 shows a flow chart detailing what occurs within the KDC;

FIGS. 6-19 show, in sequence, an implementation of the establishment of key information and control data within each terminal; and

FIGS. 21-28 show, in sequence, an implementation of the establishment of key information and control data within the KDC. In this system we have a variety of terminals.

General Description

FIG. 1 shows a number of terminals, A, B and X, connectable to each other and to KDC 10 via some transport network (e.g., public switched network). These terminals should be able to set up a secure channel between themselves in order to exchange secure information. In this process they must both communicate with the KDC. The transmission line 12 from terminal A is connected through link 16 to transmission line 13 to initiate a secure call to terminal B. Once the users decide to initiate a secure data exchange, each terminal sets up a transmission line, such as link 14 for terminal A, to the KDC.

An exchange of information will then occur from terminal A to the KDC and from terminal B to the KDC. Once the KDC has received both of these messages, it will

**SUBSTITUTE SHEET**

Petitioner Apple Inc. - Exhibit 1024, p. 1275



- 5 -

formulate two distinct messages that will be sent respectively to terminal A via link 14 and to terminal B via link 15. These individual messages will contain session key information, as well as other pertinent information described below. This session key information has originated at terminal A and at terminal B and is exchanged through the KDC. Once the exchange has taken place between the two terminals and the KDC, link 14, which is the key distribution link between terminal A and the KDC, is then taken down, and key distribution link 15 between the KDC and terminal B is taken down. Link 16, which is the session link between terminals A and B, is re-established. Further key information is exchanged based on the prior partial exchanges so as to derive independently at both terminals the session key, and finally using that session key information, data (i.e., digital data or digital voice) can be transmitted in secure fashion on data link 16.

Since further session information was derived between terminals A and B independent of the KDC, a malicious operator of the KDC cannot derive the key information need to decrypt the secure messages sent between terminals A and B without actively substituting information on the session channel.

Also, at this point, as will be seen, contained within the messages that were sent between the KDC and the terminals was new terminal-unique key information to secure the next key distribution between the terminals and the KDC. This new information is independent of the previous information and therefore is unique to it.

#### Detailed Description

Turning now to FIG. 2 the initial setup between the terminal and the KDC must be made in an authentic manner such that the information transported to the terminals from the KDC is not modified. One implementation is where the transport is made within a secured area, such as secured area 23. Since subsequent communications

**SUBSTITUTE SHEET**



- 6 -

between the KDC and each terminal depend upon the prior communication, it is important that at some period in time they both contain the proper information for start-up, and ideally this is done in the secured area so that there can  
5 be no breach of security.

On the initial system setup (based on the secured area implementation shown in FIG. 2) the terminals are brought within the secured area 23, and the KDC can generate terminal-unique key pairs for each terminal. The  
10 exact function of these key pairs will be described later. The KDC will generate a terminal-unique decryption key for each terminal and the corresponding encryption key. This encryption key must be placed in the terminal-unique key storage for each terminal with the corresponding decryption  
15 key stored in the terminal-unique key storage at the KDC under the address of that terminal. In addition, a random number,  $U_a$  for terminal A, unique to each terminal is stored in the verification information storage at the KDC also at the address of this terminal. This same random  
20 number must be loaded and stored in the verification information storage in the terminals and will be used for a verification check on the first call setup to the KDC.

FIGS. 3 and 4 are flow charts representing the action that occurs within a terminal, for example,  
25 terminal A.

FIG. 5 is a flow chart representing what actions occur within the key distribution center.

The discussion which will follow is a discussion with respect to a time sequence between the terminal and  
30 the KDC to illustrate both how terminal-unique keys are updated, and how call-setup and session keys are distributed. This discussion will occur with respect to FIGS. 6 through 28. FIGS. 6 through 19 show the apparatus within the terminal and show on a step-by-step basis how  
35 the call-setup keys and the session keys are established. FIGS. 20 through 28 show the apparatus within the KDC, each figure showing a specific operational aspect of the

**SUBSTITUTE SHEET**

- 7 -

establishment of the keys.

Turning now to FIG. 6, we will discuss the specific apparatus used in the terminals. The actual generation of the numbers will be discussed hereinafter.

5 Apparatus 72 is a random number generator which is a device or algorithm that produces bits (zeros and ones) that are equally likely to occur. This generation may be based upon a noisy diode and any number of algorithms can be used to attain statistically independent output of 0's and 1's.  
10 The more equally likely these random number generators are, i.e., the more random this function is, the higher the security level will be. The output of the random number generator is a serial stream of zeroes and ones where the correlation between one or a group of bits is zero. The  
15 bidirectional asymmetric key generator, apparatus 73, takes as input a random number from random number generator 72 and will compute an encryption key and the matching decryption key such that the encryption key cannot be derived from the decryption key and vice versa. The  
20 generation of these keys as an example could be done in accordance with the RSA algorithm, as described by Rivest, Shamir, and Adleman in a paper entitled, "A Method for Obtaining Digital Signatures and Public Key Crypto Systems," which publication is hereby incorporated by  
25 reference, which appeared in CACM, Vol. 21, No. 2, February, 1978, on pages 120-126.

Apparatus 74 implements a bidirectional asymmetric cryptographic algorithm (e.g., the RSA algorithm) that is, a cryptographic algorithm based on two  
30 distinct keys where the encryption key cannot be derived from the decryption key and vice versa. Apparatus 74 has two inputs (I and K) and one output (O). The input I is the bits to be encrypted or decrypted. The input K is the key, either encryption or decryption (the RSA algorithm  
35 performs the same function regardless of encryption or decryption). The output will be the inputted bits encrypted or decrypted with the supplied key. This

**SUBSTITUTE SHEET**



- 8 -

algorithm is also described in the aforementioned paper. Functionally, apparatus 75 is the embodiment of two functions  $f$  and  $g$  such that: given  $f(R, P)$  and  $P$ , one cannot determine  $R$ ;  $g(R1, f(R2, P), P) = g(R2, f(R1, P), P)$ ; and given  $f(R1, P)$ ,  $f(R2, P)$ , and  $P$  one cannot determine  $R1$ ,  $R2$ , or  $g(R1, f(R2, P), P)$ .

Apparatus 75 performs the above functions via, for example, the Diffie-Hellman algorithm, which is described in a paper by Diffie and Hellman entitled "New Directions in Cryptography," published by the IEEE Transactions on Information Theory, Vol. IP-22, November, 1976, on pages 644-655, which is hereby incorporated by reference. The input to this algorithm is a base  $Y$ , a modulus  $Q$  and an exponent  $EXP$ . The output is  $Y$  raised to the  $EXP$  power modulus the  $Q$ . The functions  $f$  and  $g$  are the same as discussed above in this example.

The storage requirements are depicted by registers 71, 70 and 76. These are the semi-permanent register 71 which contains both the verification information  $Va$  and the terminal-unique key information  $Eak$  used to encrypt messages to the KDC. Temporary register 70 can be in any state initially and is used during the interaction with the KDC on a secure call setup. The address register permanently contains the address (i.e., a public piece of information that uniquely identifies  $A$  to the KDC) of the terminal (terminal  $A$  in this case) where it is located. During a secure session (or call) setup, the address register will also contain the address of the terminal which is being called. The registers containing verification information and encryption and decryption information may vary in size depending upon the specific algorithm used but in this example should be on the order of 1,000 bits each. Information pertaining to the symmetric session key and the random number should be on the order of 100 bits, and the address information will be dependent upon a terminal numbering plan both unique and known to the KDC. For example, it could be the telephone

**SUBSTITUTE SHEET**

- 9 -

number of the specific terminal or it could be the serial number of the terminal.

Turning to FIG. 20, we will now discuss the working of the modules within the key distribution unit.

5 The address register at the KDC, register 200, performs the same function as the address register at the terminal. The RSA function at the KDC, apparatus 210, performs the same function as the RSA function at the terminal, as previously described. The random number generator, apparatus 211, 10 performs the same function as the random number generator at the terminal previously mentioned. The generator of the encryption and decryption keys apparatus 212 has the same function as described previously in the terminal. Apparatus 213 is a generator of the parameters used as 15 inputs to the apparatus 75 described previously. For this particular example these parameters are the base and modulus for the Diffie-Hellman algorithm. It requires as input the output of the random number generator, apparatus 211. The method of generation is described in 20 the aforementioned paper by Diffie.

There is a semi-permanent storage at the KDC, registers 214 and 216, which stores verification information  $V_a$  and terminal-unique decryption key information  $D_{ak}$  between calls. Semi-permanent 25 registers 215 and 217 are used to store information during the call setup progress. These registers have the same functions as described previously for the terminal.

#### System Operation

The operation of the system will now be explained 30 beginning with FIG. 3. Initially the key management equipment in the terminal will be in the wait state until a request is received from the terminal controller processor to initiate a secure call. At this point, as discussed, there is stored in the terminal the terminal-unique 35 encryption key that will be used to encrypt information that is sent to the KDC. Also stored is the verification information. These two pieces of information were stored

**SUBSTITUTE SHEET**





- 10 -

from the last call (or from the initial setup) that was made by this terminal. This is shown in FIG. 6 as Va and Eak.

Once a request is received to initiate a secure call, the address of the called party must be given to the key management equipment via the controller processor. This is seen in FIG. 3, box 31. At this point, there are generated new call-setup keys. This is shown in box 32 and in FIG. 7 as Eka and Dka. In box 33 there is shown the generation of partial session keys that will be used to encrypt data on the link from terminal B to terminal A. This is shown in FIG. 8 as Eba and Dba.

At this point, the verification information is updated using the keys that were just generated. The update function is specified as follows:

$$Val' = f (Val, E1) \text{ and } Va2' = f (Va2, E2)$$

where ' denotes updated and  $ValVa2 = Va$ . Va is the stored verification information and the E's are the just-generated encryption keys. The properties of f are as follows:

- (1) for every V, E1, E2:  $f(V, E1) \neq f(V, E2)$  where  $E1 \neq E2$ ;
- (2) for every V1, V2, E:  $f(V1, E) \neq f(V2, E)$  where  $V1 \neq V2$ ;
- (3) given V and  $V' \neq f(V, E)$  it is difficult to determine E; and
- (4) in the case where E is an asymmetric encryption key, D cannot be determined from E.

For this example,  $Va' = Val'|Va2'$  where  $Va = Val|Va2$ , Val' is equal to Val encrypted with Eka, and Va2' is equal to Va2 encrypted with Eba. This update process is depicted in FIG. 9. The first half of the verification information Val is read from storage and provided as an input to the RSA algorithm. The key that is used to encrypt this information is the call-setup key, Eka, that was just generated. This becomes Val' and overwrites Val as seen in

**SUBSTITUTE SHEET**

- 11 -

FIG. 10. Next, the second half of the verification information Va2 is encrypted using Eba just generated. The result Va2' overwrites Va2 in the storage register. This is shown in FIG. 3, box 34, and in summary, the updated verification information Va" is the verification information stored from the previous call, or given to the terminal on the initial setup from the KDC, where half is encrypted using the encryption part of the partial session key generated on this call and the other half is encrypted using the call-setup key for that call.

At this point, as shown in box 36, FIG. 3, and in FIG. 11, the message can be formatted to the KDC. The contents of this message are the encryption parts of the two keys that were just generated. Both the partial session key to be established between terminal A and B, Eba, and the new call-setup key Eka are encrypted using the terminal-unique encryption key Eak stored from the previous call from the KDC to the terminal or given to the terminal on the initial setup. At this point, the information that can be destroyed from the terminal is the terminal-unique encryption key, Eak, stored at the terminal from the previous call, and both the call-setup encryption key, Eka, and the partial session encryption key, Eba, that were generated by the terminal. The encrypted message is then appended to the address, A, of the originating terminal followed by the address, B, of the called terminal. This message is now sent to the KDC.

The terminal now will enter a wait state waiting for the information to be received from the KDC. This is depicted in box 37 of FIG. 3.

As shown in FIG. 5, the KDC will be in a wait state until a message is received from terminal A. This is shown in FIG. 5, box 50. Once the message is received, the KDC reads the address information within the message into the address register which gives it the index of the decryption key that must be used to decrypt the message. The KDC has in its storage from the previous call the

**SUBSTITUTE SHEET**

- 12 -

matching verification information for each terminal and the terminal-unique decryption key for each terminal. This is depicted in FIG. 20, boxes 214 and 216.

5 The message from terminal A is decrypted using the terminal-unique decryption key corresponding to that terminal, Dak. The keys, both the new call setup key Eka and the partial session key Eba (to be distributed to terminal B) is temporarily stored in the KDC memory as depicted in FIG. 21.

10 At this point, as shown in FIG. 22, the KDC can update its verification information in the exact same manner as the terminal. This is done by encrypting each half of the stored verification information Va with the received session key information Eba and the received call-setup key information Eka, shown in FIG. 23. This produces the update verification information Va".

The key distribution center, as shown in FIG. 24, will now generate a bidirectional asymmetric encryption/decryption key pair, Eak', Dak'. The primes denote updated information. Eak' will be distributed to terminal A to be used on the next call setup to the key distribution center. The decryption key Dak' overwrites the decryption key Dak that was stored from the previous call.

25 Two other pieces of information are also generated at this time. These are the parameters that will be used by the terminals to create symmetric session keys; in this case they are the parameters of the Diffie-Hellman algorithm. One is the base Y and the other is the modulus Q as previously described. Functionally, the amount of information that is generated at the KDC and sent to each terminal may vary depending upon the precise algorithm. This information is stored in temporary storage and will be used as part of the message sent back to both terminal A and terminal B. This generation process is depicted in FIG. 25 and refers to the flow chart box 55, FIG. 5. By this point, as shown in FIG. 26, the KDC must

**SUBSTITUTE SHEET**

Petitioner Apple Inc. - Exhibit 1024, WIP283.

BUREAU  
OMPI

- 13 -

have received a message from terminal B in order to complete the call to terminal A. If not, the KDC process for terminal A must wait until the process for terminal B has reached this point. This is so it can give terminal A  
5 the partial session key information Eab generated at terminal B and also to be able to give terminal B the partial session key Eba generated at terminal A. Coordination between the processes must take place so that the same parameters generated by one process overwrites the  
10 parameters generated by the other process. This insures that the parameters sent to the terminals for the purpose of generating symmetric session keys are the same.

Once the internal exchange is made between the A registers and the B registers to coordinate the information  
15 inside the key distribution center, the messages can now be formatted for the terminals. This is shown in FIG. 27. The message to terminal A will consist of the new terminal-unique key information Eak' that will be used on a subsequent call to the KDC. It will also consist of the  
20 partial session key information Eab which it received from terminal B. It will also consist of the verification information Va" or a known reduction of Va" in terms of the number of bits. It will also consist of the base Y and the modulus Q of the Diffie-Hellman algorithm. These five  
25 pieces of information will be encrypted using the call-setup key Eka received in the message from terminal A. The KDC destroys Eka, Eba, Eak', Y, and Q corresponding to terminal A and destroys Ekb, Eab, Ebk', Y, and Q corresponding to terminal B. The KDC will then send this  
30 output message back to terminal A. An analogous encrypted message is sent from the KDC to terminal B. At this point the KDC is finished with its processing.

FIG. 28 shows the configuration of the KDC after the call to terminal A has been dropped. The KDC has  
35 updated verification information Va" and updated terminal-unique decrypt key information Dak' which will be used on a subsequent call between terminal A and the KDC.

**SUBSTITUTE SHEET**

- 14 -

Referring back to the flow chart, FIG. 3, for terminal A, the key management equipment at the terminal has been in a wait state while the KDC has been functioning. FIG. 12 shows the key information stored at the terminal during this wait state. It is the updated verification  $V_a$  information and both decrypt keys  $D_{ka}$  and  $D_{ba}$  corresponding to the previously generated encryption keys.

FIG. 13 shows how the information received from the KDC is used in accordance with the box 38, FIG. 3. The call-setup decryption key  $D_{ka}$  is used to decrypt the message received from the KDC. The five values (previously discussed) sent from the KDC are now used in the following way. The first piece of information is the new distribution key  $E_{ak}$  that is stored in the semi-permanent register 71 and will be used on a following call made from this terminal to the KDC. It is the updated terminal-unique encryption key. The second piece of information is the partial session key  $E_{ab}$  which was generated at B and sent through the KDC to terminal A. The third piece of information is the updated verification information  $V_a$ , which can now be compared with the verification information stored at terminal A. The fourth and fifth pieces of information are the parameters to the Diffie-Hellman algorithm, the base  $Y$  and the modulus  $Q$ , which terminal A stores in temporary storage.

Referring to FIG. 4, box 40, at this point the terminal will compare the verification information it received from the KDC and either the verification information which is presently stored or some known reduction of that verification information - FIG. 14. If this matches, then the process will continue as normal. If this does not match, an alarm could be given to the terminal controller processor of a potential intruder threat on a previous call.

Assuming a success of the compared verification, the terminal can now take down the channel to the KDC and

**SUBSTITUTE SHEET**

- 15 -

establish a channel to terminal B, if not already established. At this point, terminal A and terminal B can communicate data securely using the asymmetric session keys Eab and Eba. If a symmetric session key is needed, the following steps can be taken. The calculation of the message to be sent to terminal B is shown in FIG. 15. First, the base Y and modulus Q of the Diffie-Hellman algorithm are used along with a random number Ra generated by the random number generator 72. These inputs are given to the Diffie-Hellman algorithm 75 and the output is then an input to the RSA function 73. The random number Ra is also stored in temporary storage. Eab is used as the key to the RSA function 73. At this point the session key information Eab received from terminal B and the base number Y may be destroyed. The output of the RSA algorithm is sent to terminal B.

Terminal A' key management equipment will now enter a wait state shown in FIG. 4, box 44, waiting for a message to be returned from terminal B. The idle state is depicted in FIG. 16 and in storage is the decrypt session key Dab which terminal A generated, the modulus Q of the Diffie-Hellman algorithm generated by the KDC and the random Ra number that was generated by terminal A.

As shown in FIG. 17, upon receipt of the message from terminal B, terminal A will decrypt the message using its decryption key Dba stored from the initial generation of the partial session key. Dba can now be destroyed. The output of this will be fed into the Diffie-Hellman algorithm as the base. The exponent will be the random number Ra which was priorly generated and the modulus Q is also input into the algorithm. The output of the Diffie-Hellman algorithm will be symmetric session key information which will equal the session key information that terminal B has calculated. Q and Ra can now be destroyed.

At this point, terminals A and B have established symmetric session key information between themselves that is not derivable by the KDC. This key information may be

**SUBSTITUTE SHEET**

- 16 -

used in a symmetric key algorithm like the Data Encryption Standard (DES) to encrypt data. What is stored now in the terminal until the next request for a secure session (or call), as shown in FIG. 18, is the updated verification information Va" and the terminal-unique key Eak' which it received from the KDC to be used to encrypt the next message to the KDC.

It should be noted that the actual generation of the desired data at the terminal and at the KDC is operative under control of a computer processor and is programmed in accordance with the flow charts shown in FIGS. 3-5 to perform the sequence of data transfers detailed herein. Such a processor, while not shown, can be any one of several well-known microprocessors, such as for example, the Intel 8086 microprocessor, working in conjunction with the terminal and KDC apparatus shown and detailed herein above.

It should also be noted that one skilled in the art could use different encryption algorithms and different equipments to achieve the same results disclosed herein without departing from the spirit and scope of our invention.

**SUBSTITUTE SHEET**

- 17 -

Claims

1. A key distribution method for communicating cipher keys between two terminals via a key distribution center, KDC, said method comprising
- 5            establishing between any one terminal and said key distribution center a terminal-unique cipher key, cooperating between said KDC and said one terminal on a subsequent connection between said KDC and said one terminal to establish a session key for use by said one
- 10          terminal in a subsequent secure transmission between said one terminal and a second terminal, and changing in response to said subsequent connection between said one terminal and said KDC said priorly established terminal-unique cipher key.
- 15          2. The invention set forth in claim 1 wherein said session key is generated from the asymmetric exchange of information between said one terminal and said KDC plus the subsequent exchange of information between said first and second terminals.
- 20          3. The invention set forth in claim 2 wherein said session key at said one terminal is random with respect to information at said KDC.
4. The invention set forth in claim 2 wherein said session key at said one terminal is underivable with
- 25          respect to any information at said KDC.
5. A key distribution center for controlling the dissemination of session cipher keys between remotely located terminals, said center arranged for switched access to a plurality of said terminals, said center comprising
- 30            means for establishing communication cipher keys between said center and each said terminal having access thereto, each cipher key unique to each said terminal, means operative when one of said terminals
- accesses said center for bidirectional asymmetrically
- 35          exchanging information with said accessed terminal using, as a foundation for said exchange, said priorly established communication cipher keys, and

**SUBSTITUTE SHEET**

BUREAU  
OMPI  
WIPO  
Petitioner Apple Inc. - Exhibit 1024, p. 1288



- 18 -

means responsive to said exchanged information for communicating to said terminal information allowing said terminal to establish a session cipher key for use with an identified other terminal also having access to said center.

6. The invention set forth in claim 5 wherein said key distribution center further comprising means for changing said established communication cipher keys as a result of said exchanged information.

7. The invention set forth in claim 5 wherein said cipher key establishing means uses information from a prior transmission from a particular terminal for establishing said cipher keys to said particular terminal.

8. The invention set forth in claim 5 wherein said exchanged information includes information generated in part at said center for the random generation of said session key allowing said session key to be underivable with respect to any information at said center.

9. A key distribution center for controlling the distribution of cipher control information among a number of terminals, said center comprising

means for individually exchanging encoded information between any of said terminals, said exchange for any particular terminal based partially upon a last information exchange between said particular terminal and said center,

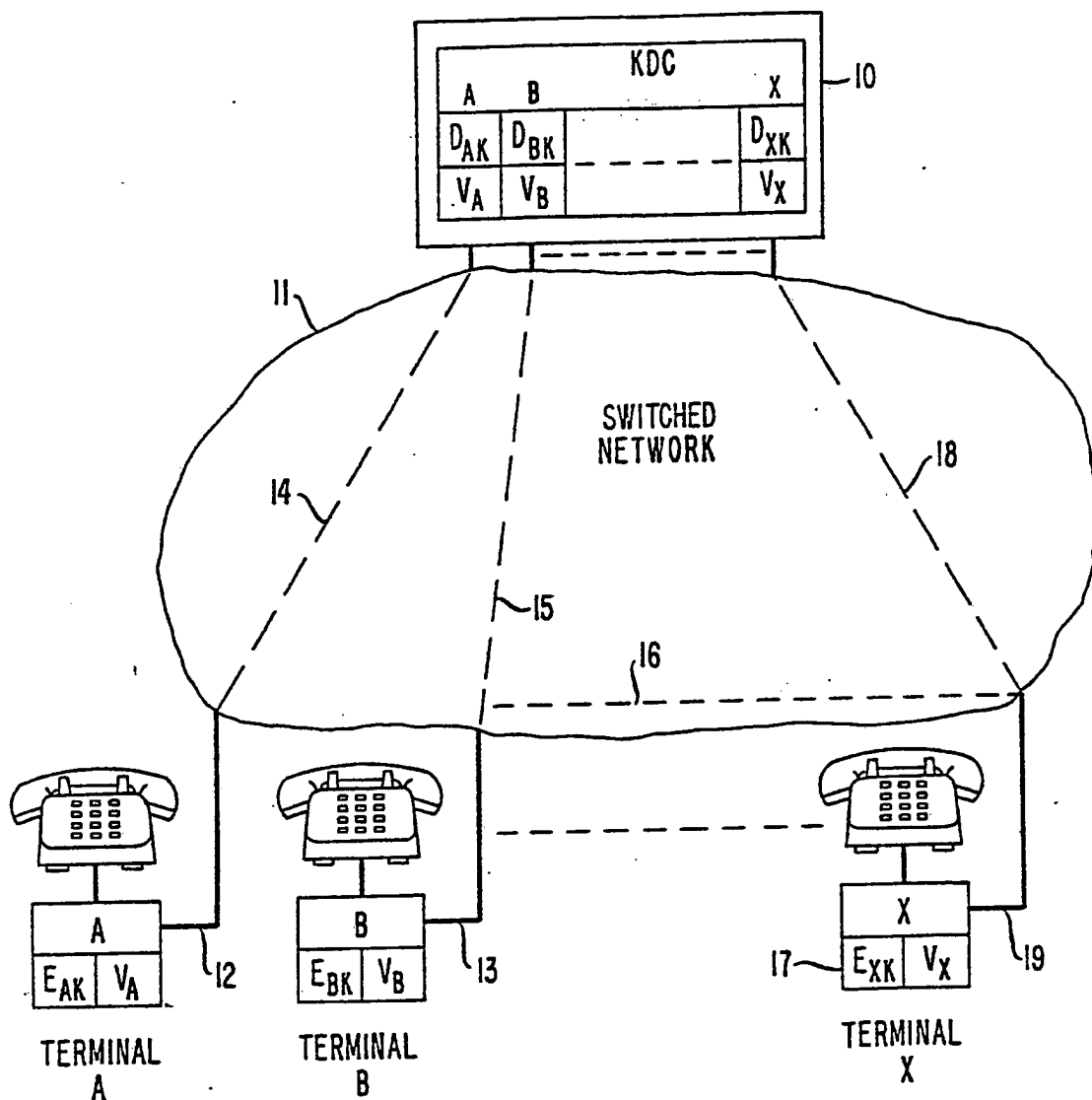
means for identifying at least two terminals where encrypted session information is to be exchanged and for accepting from said identified terminals certain encryption control information, and

means for modifying, according to a pre-established pattern, accepted information from said identified terminals and for communicating said modified information to the other of said terminals so as to allow each of said terminals to thereafter establish, independent of any information available at said center, a cipher key allowing said session information to be encrypted.

**SUBSTITUTE SHEET**



FIG. 1  
KDC CONFIGURATION



**FIG. 2**  
INITIAL SYSTEM SETUP

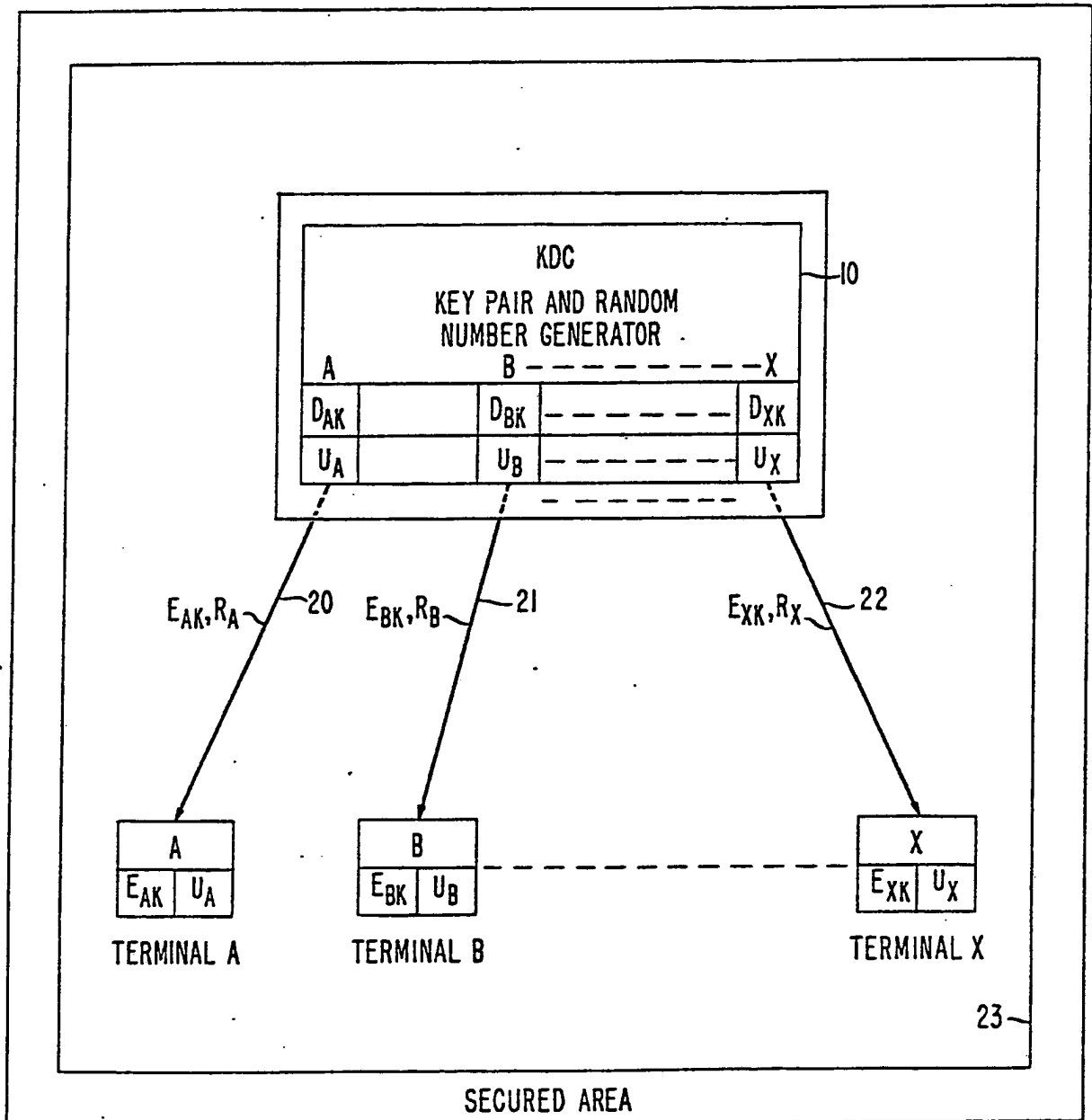
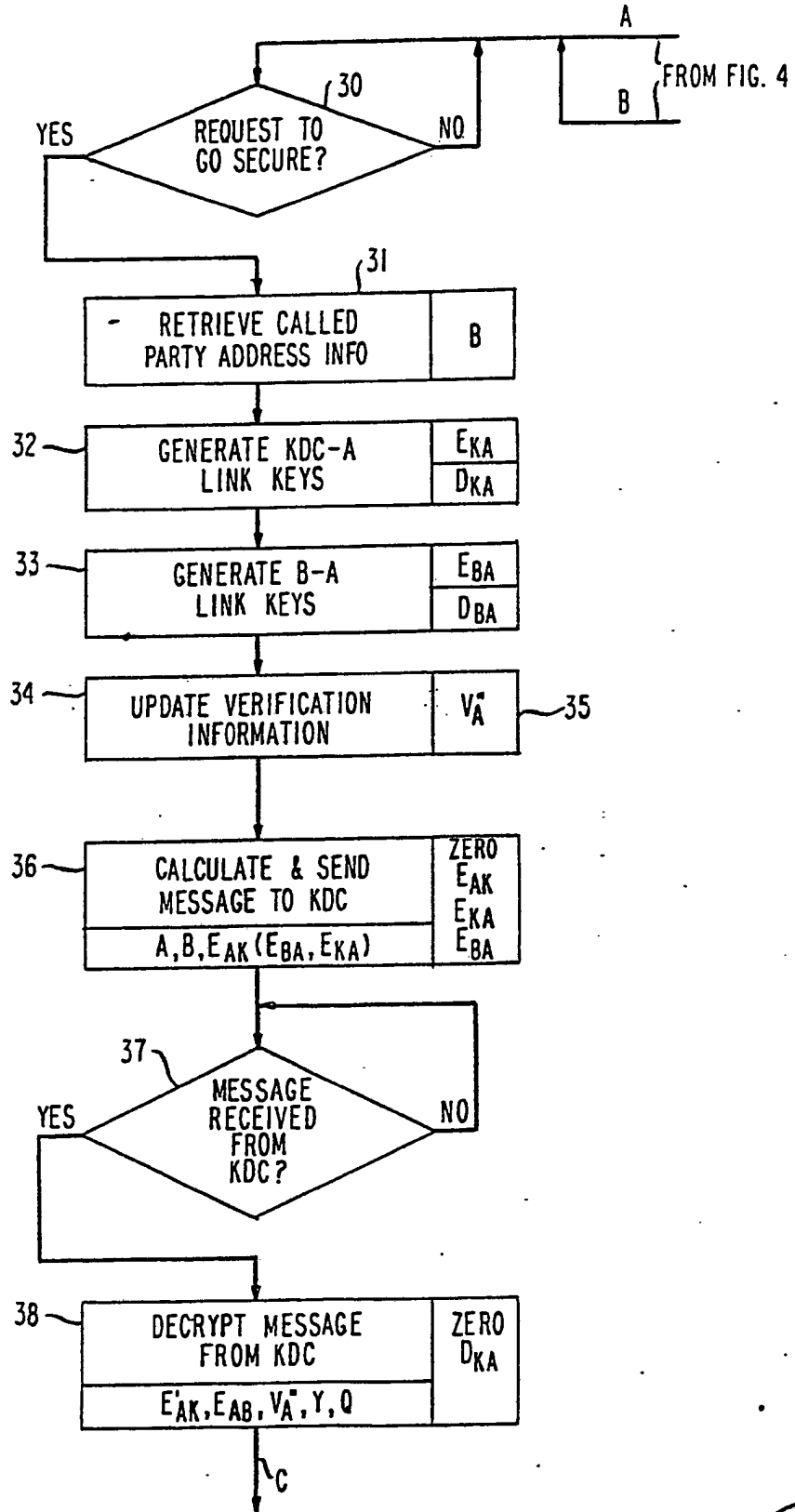


FIG. 3  
TERMINAL A



TO FIG. 4



4/17

FIG. 4  
TERMINAL A

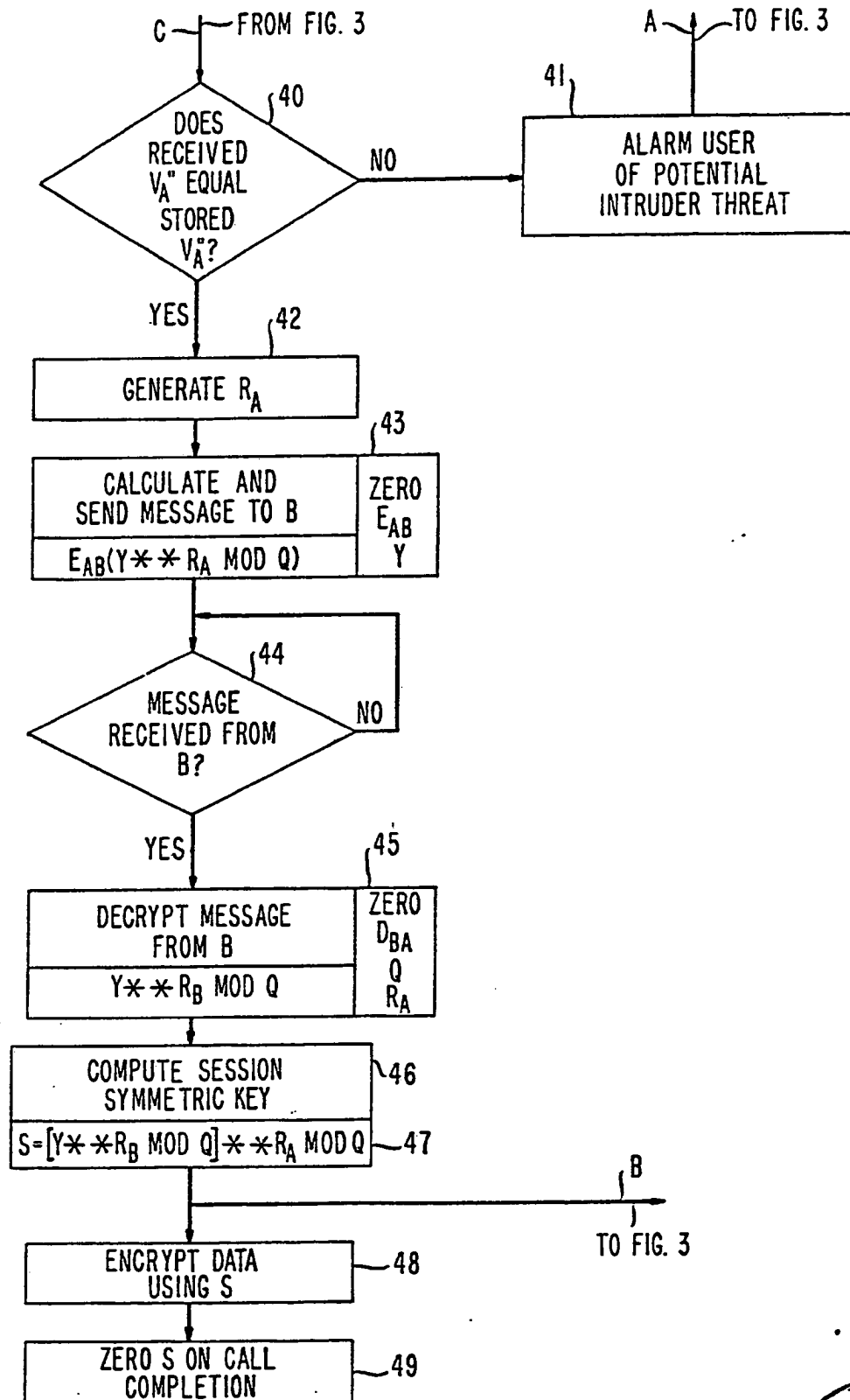
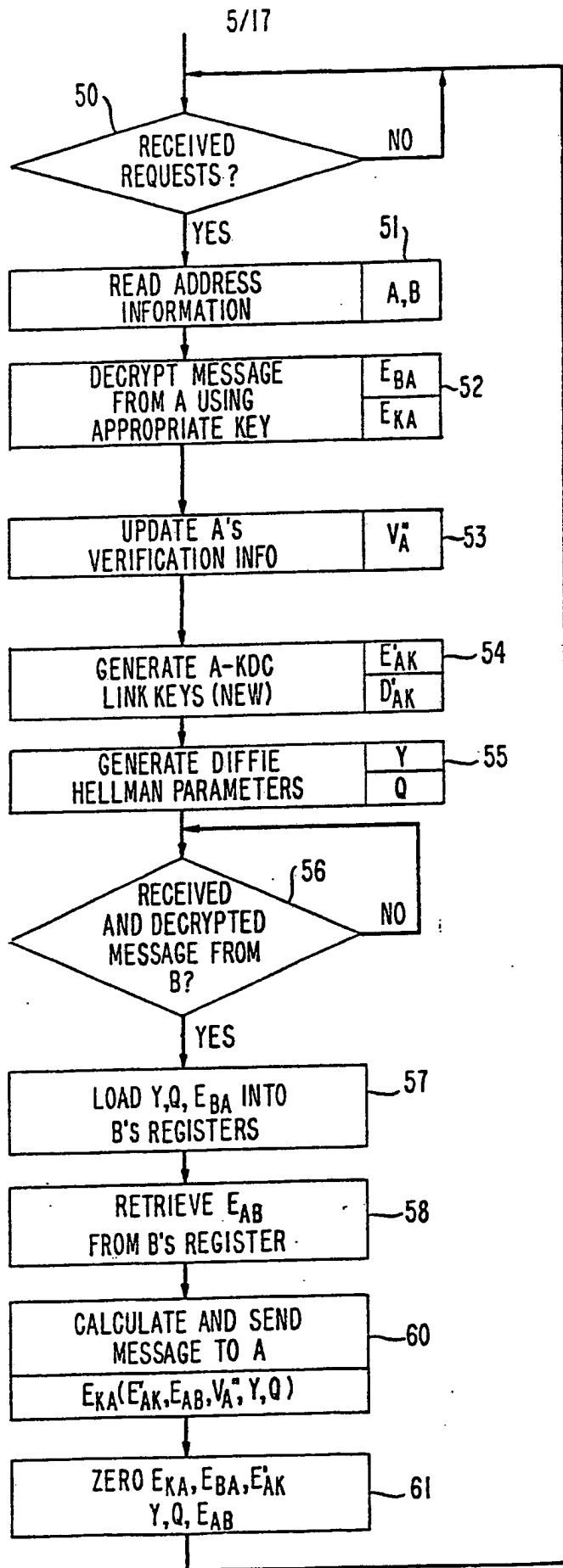


FIG. 5  
KDC



6/17

FIG. 6 BETWEEN CALLS IDLE STATE (FOR TERMINAL A)

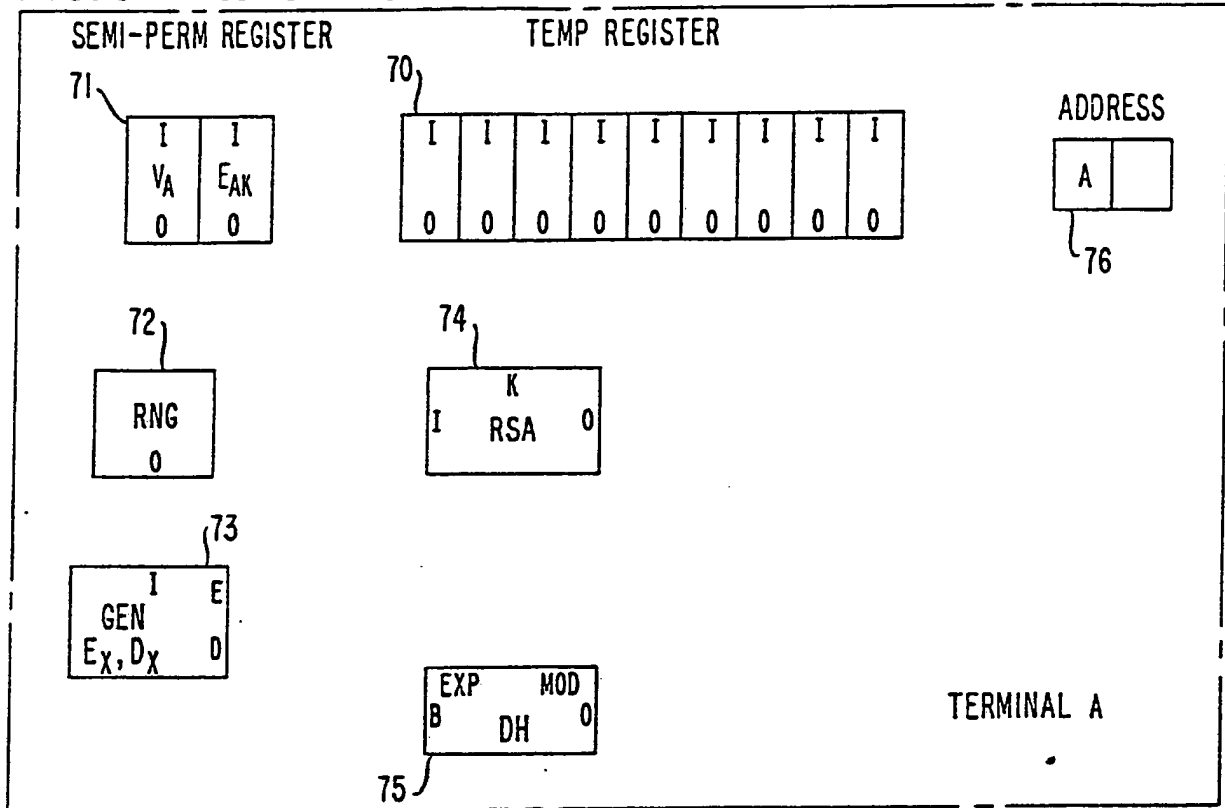
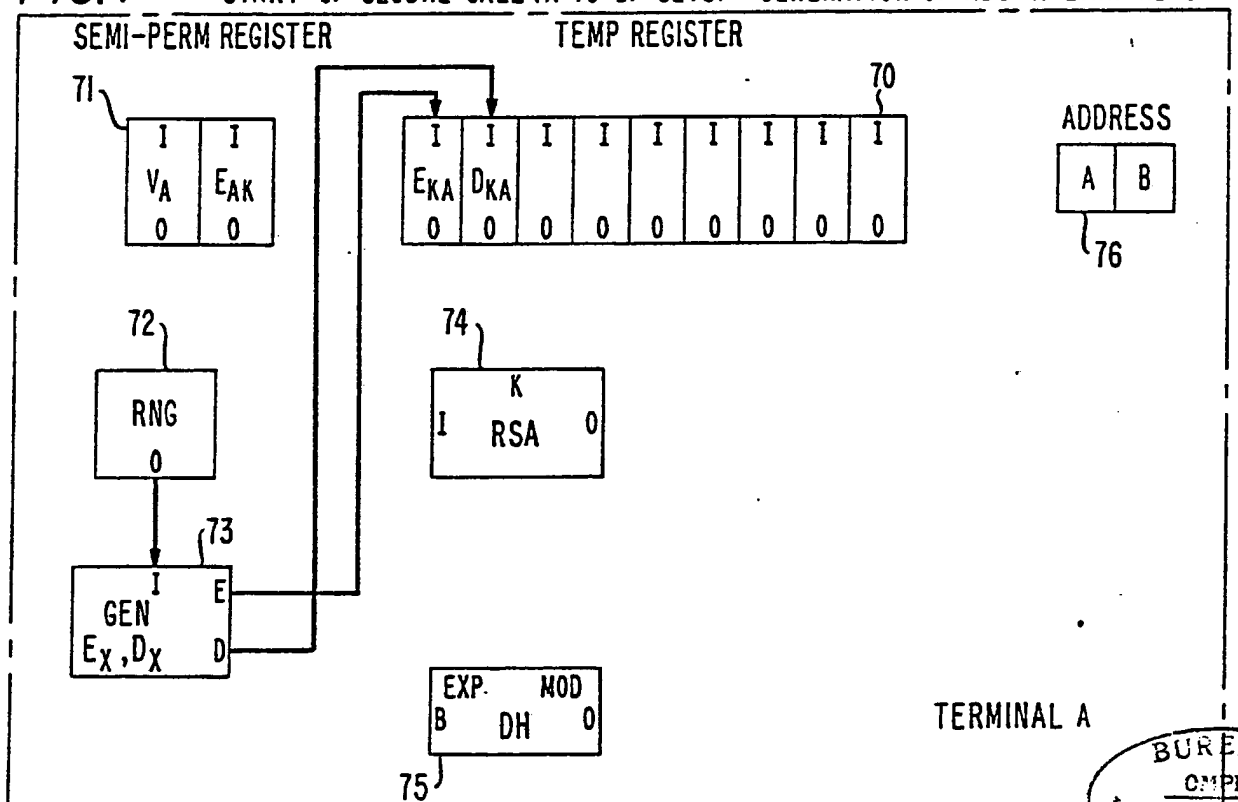


FIG. 7 START OF SECURE CALL (A TO B) SETUP - GENERATION OF KDC-A LINK KEYS



BUREAU  
OMPI

FIG. 8 GENERATION OF B-A LINK KEYS

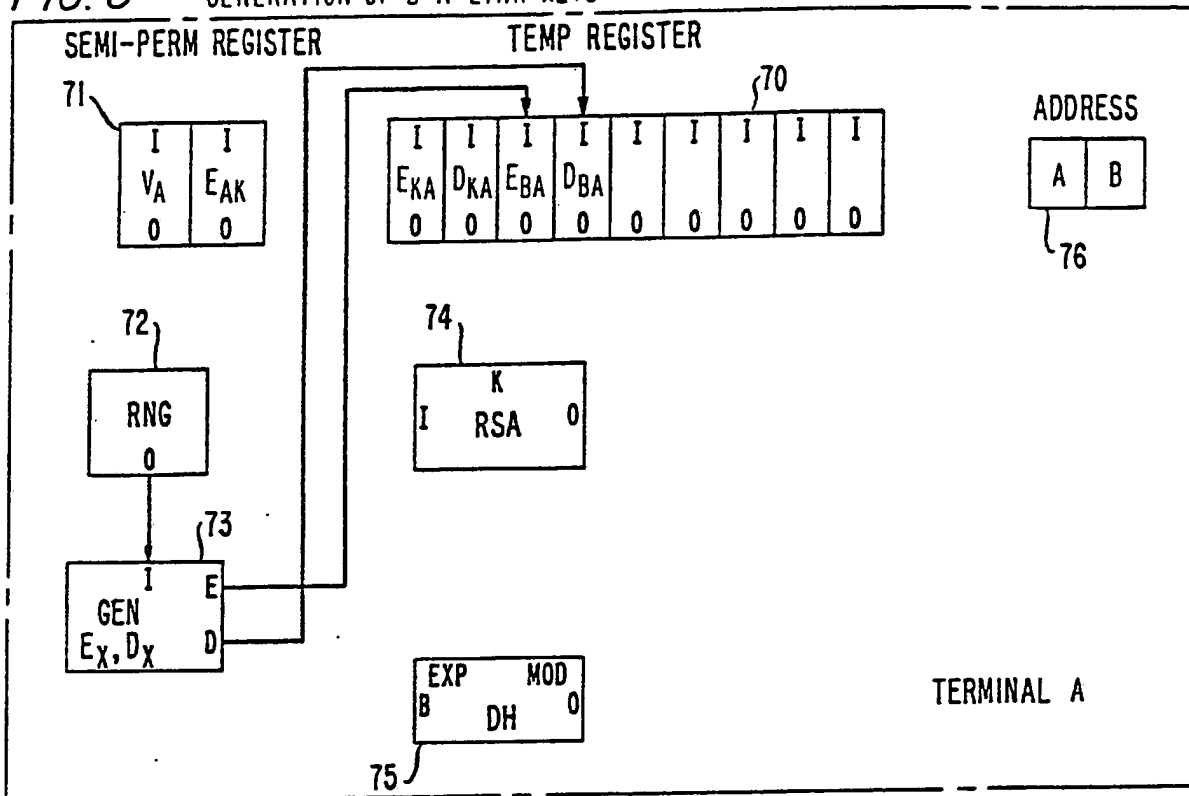
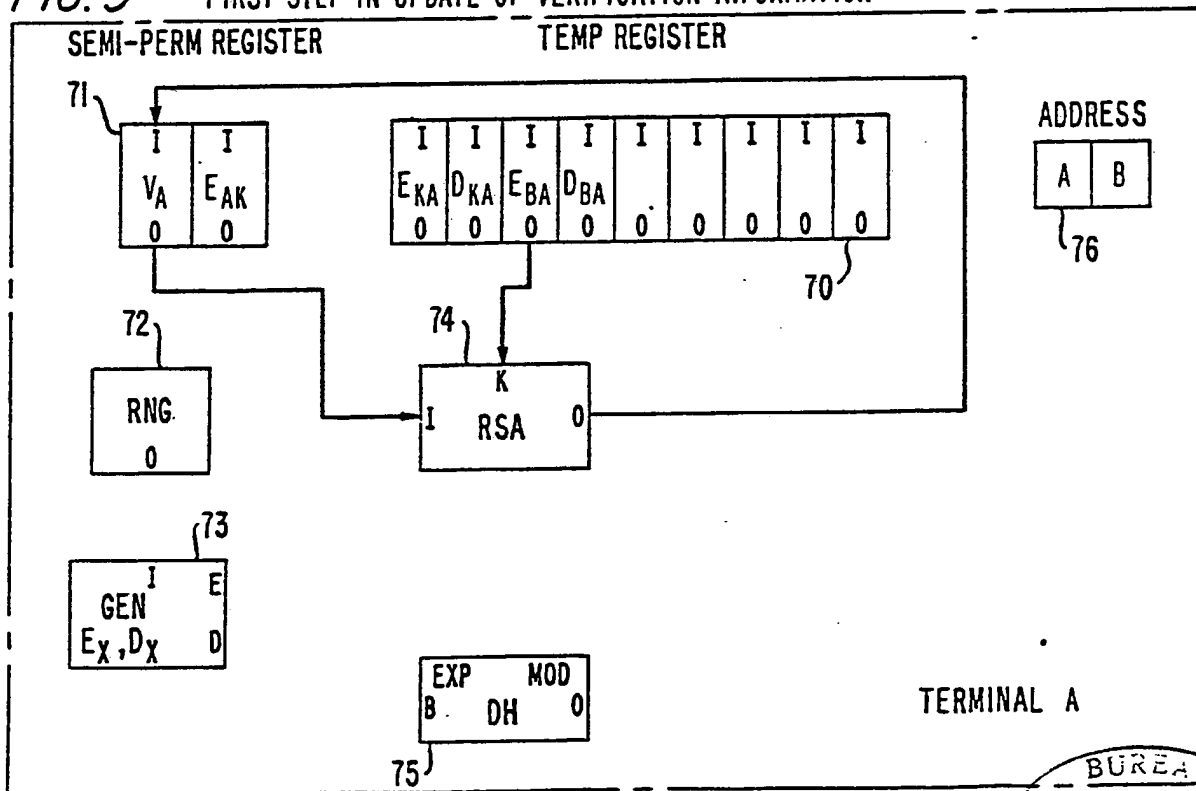


FIG. 9 FIRST STEP IN UPDATE OF VERIFICATION INFORMATION



BUREAU



FIG. 10 SECOND STEP IN UPDATE OF VERIFICATION INFORMATION

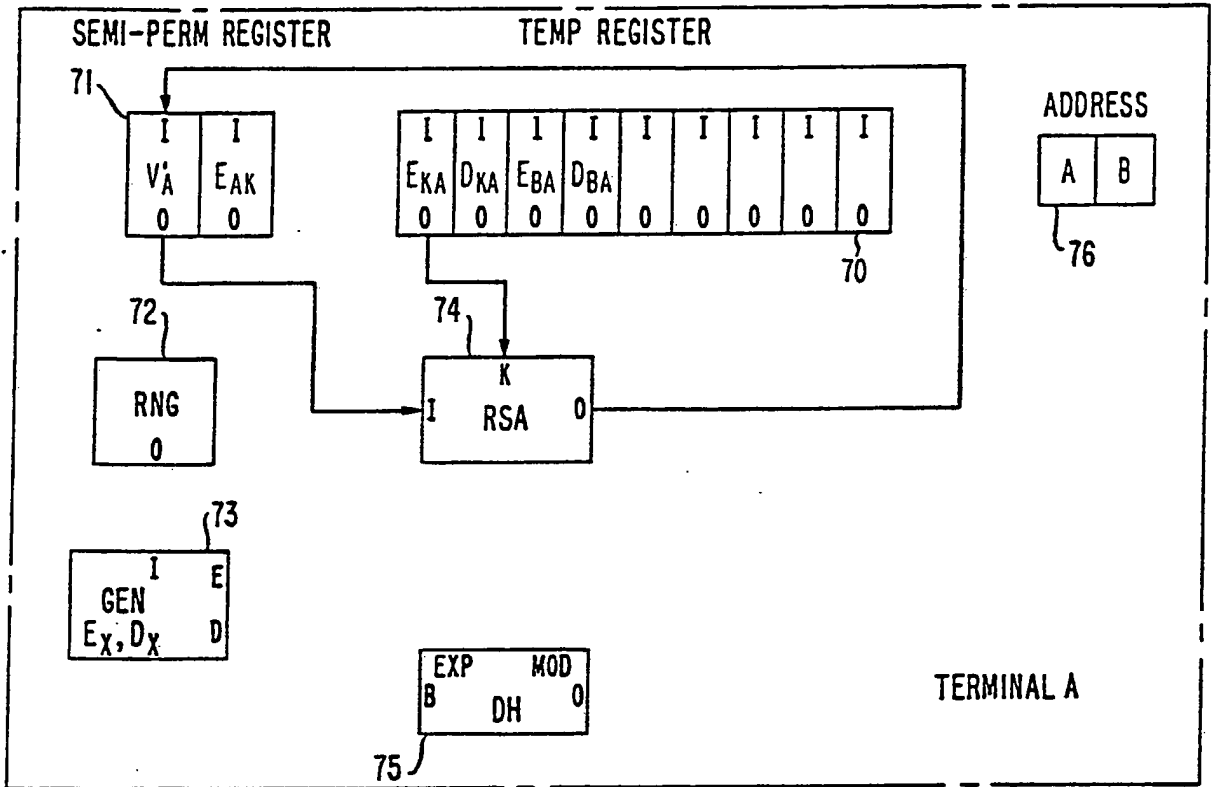
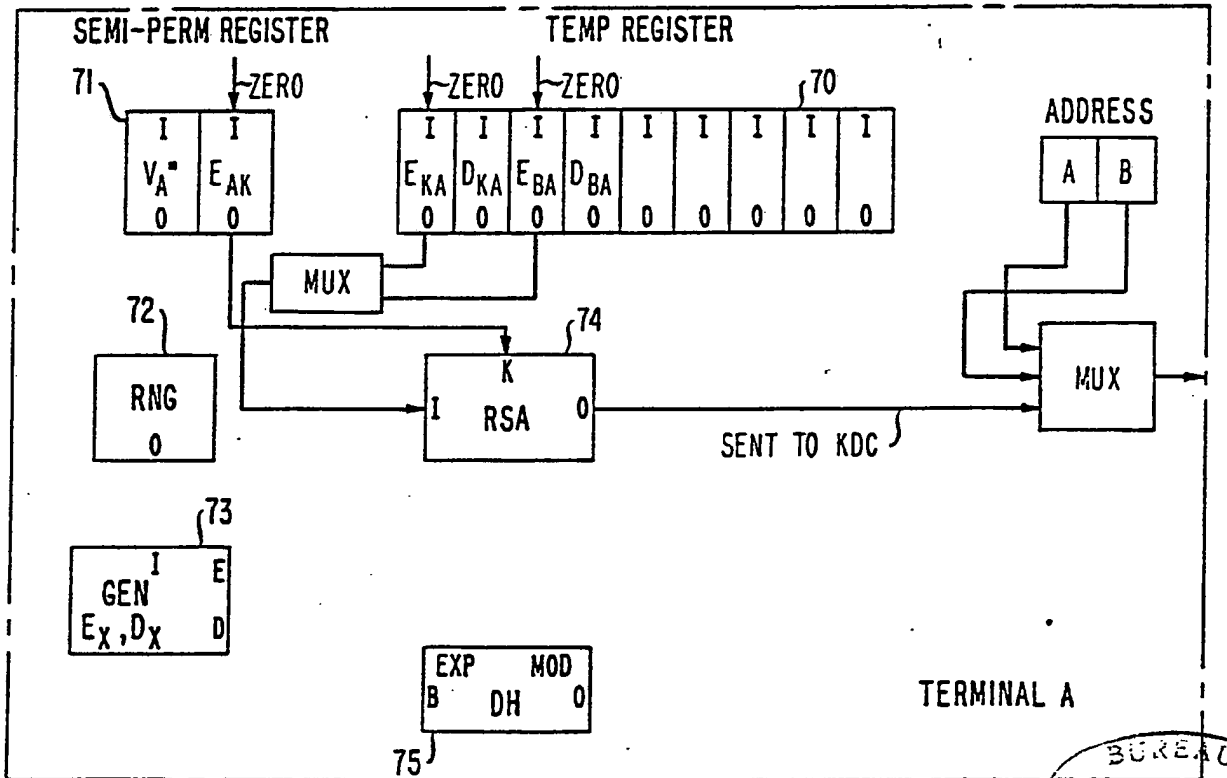


FIG. 11 COMPUTATION OF A-KDC MESSAGE



9/17

FIG. 12 IDLE STATE WHILE WAITING FOR RETURN MESSAGE FROM KDC

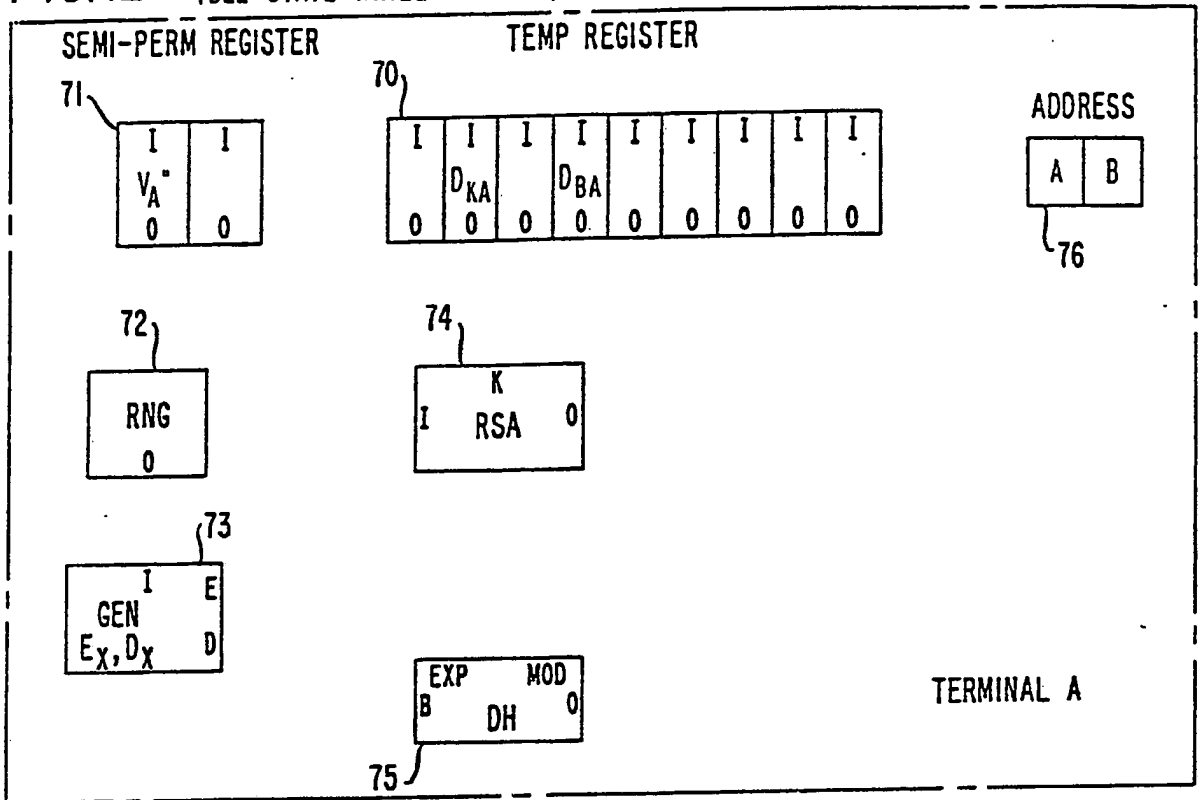
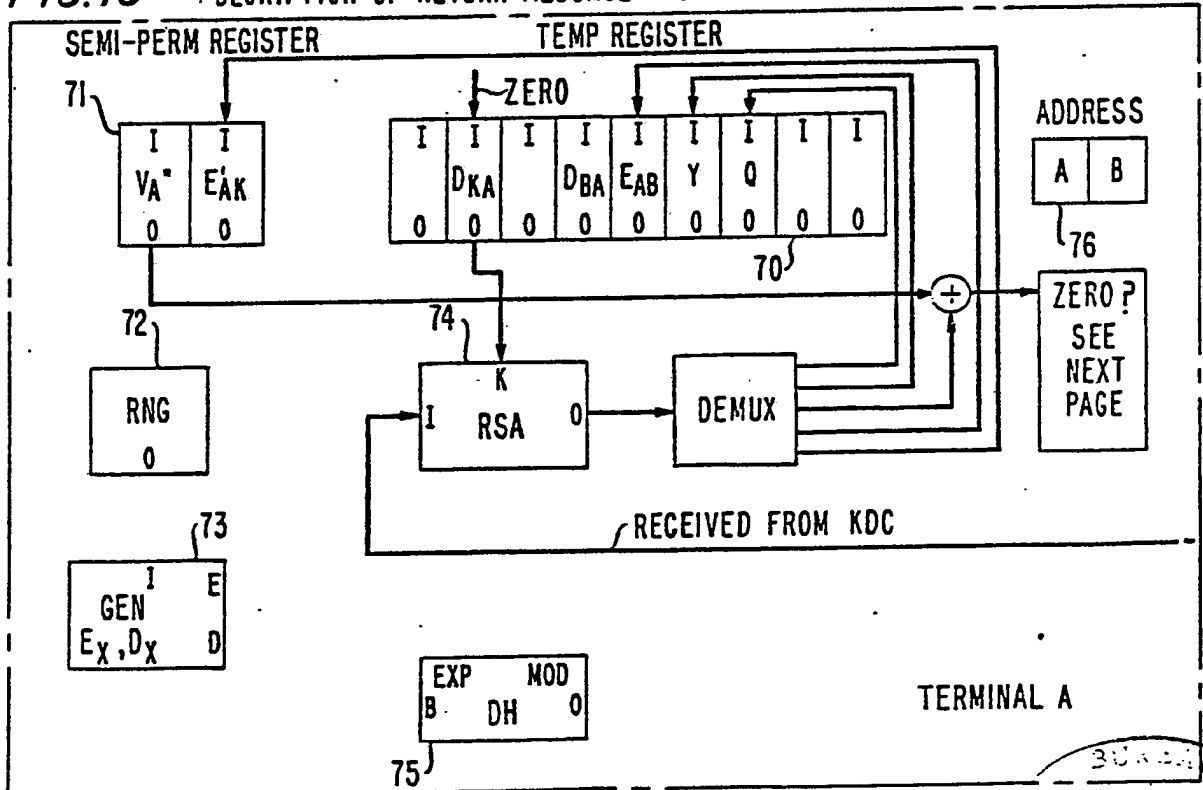


FIG. 13 DECRYPTION OF RETURN MESSAGE FROM KDC



10/17

FIG. 14 VERIFICATION CHECK

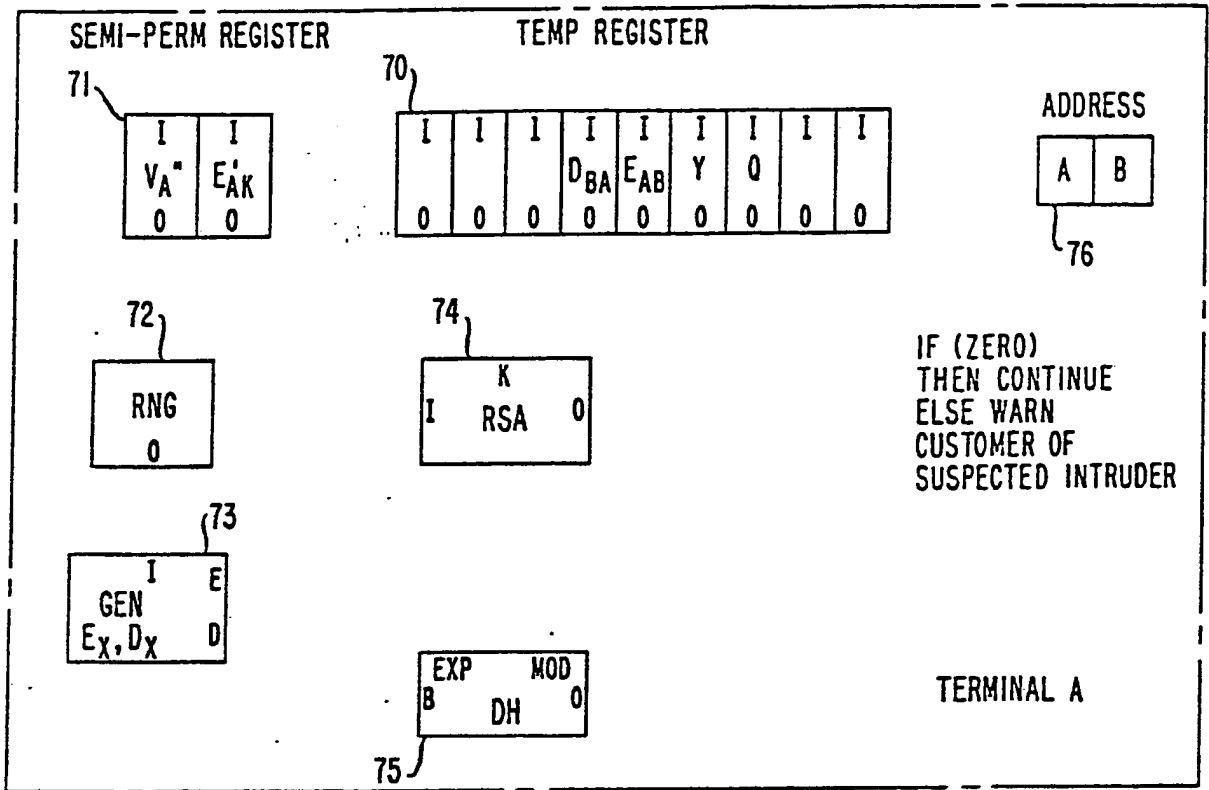
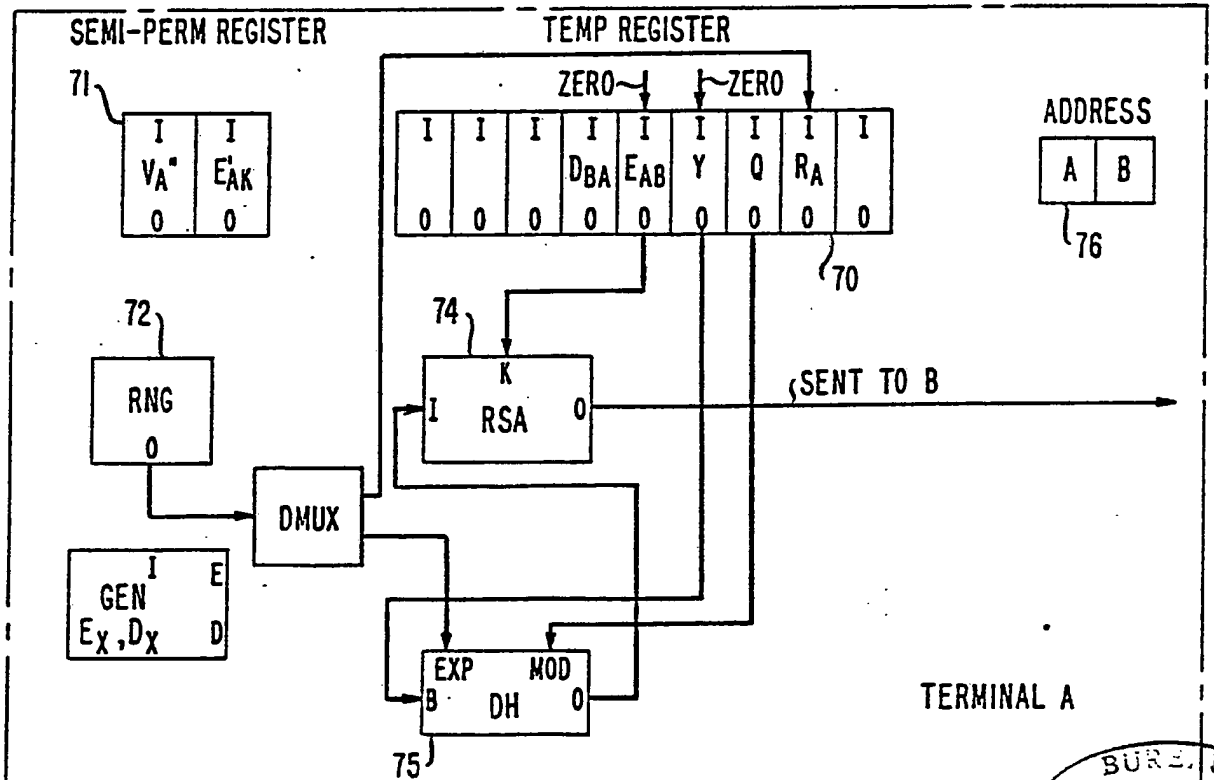


FIG. 15 START OF KEY EXCHANGE WITH B CALCULATION OF DIFFIE-HELLMAN KEYS



11/17

FIG. 16 IDLE WAIT STATE FOR RETURN MESSAGE FROM B

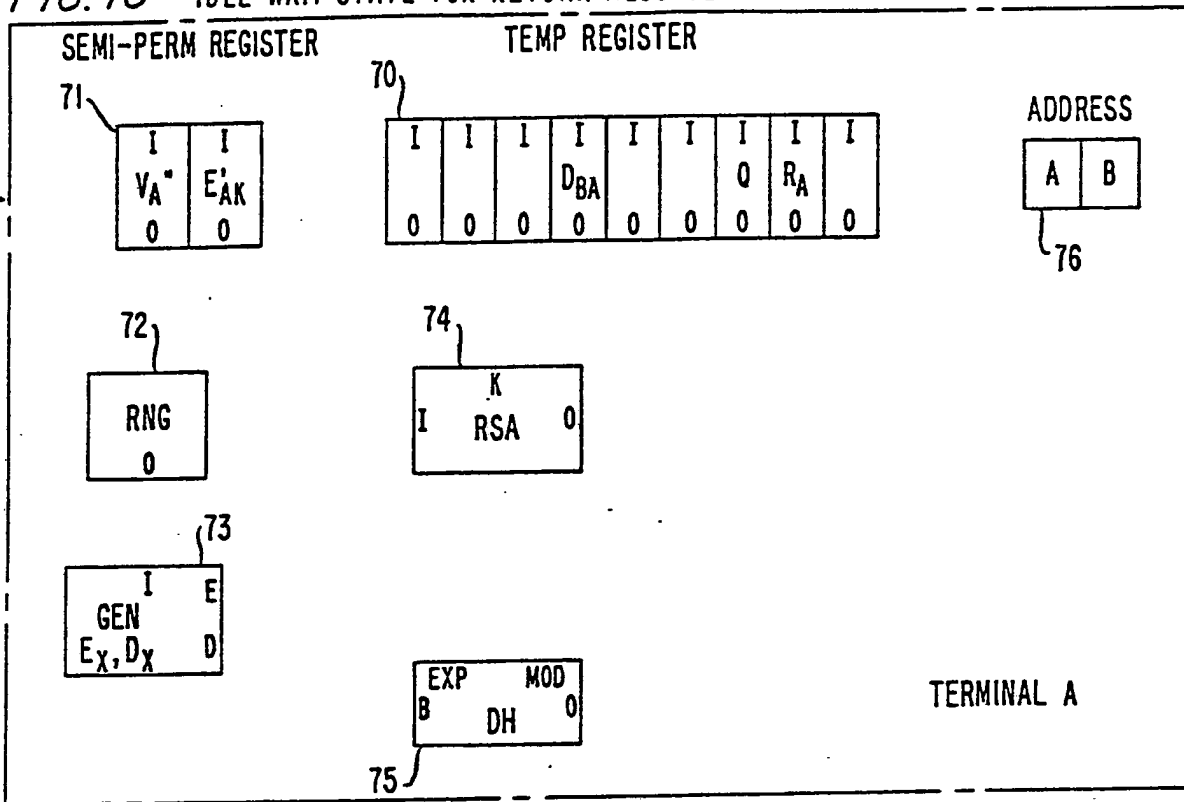
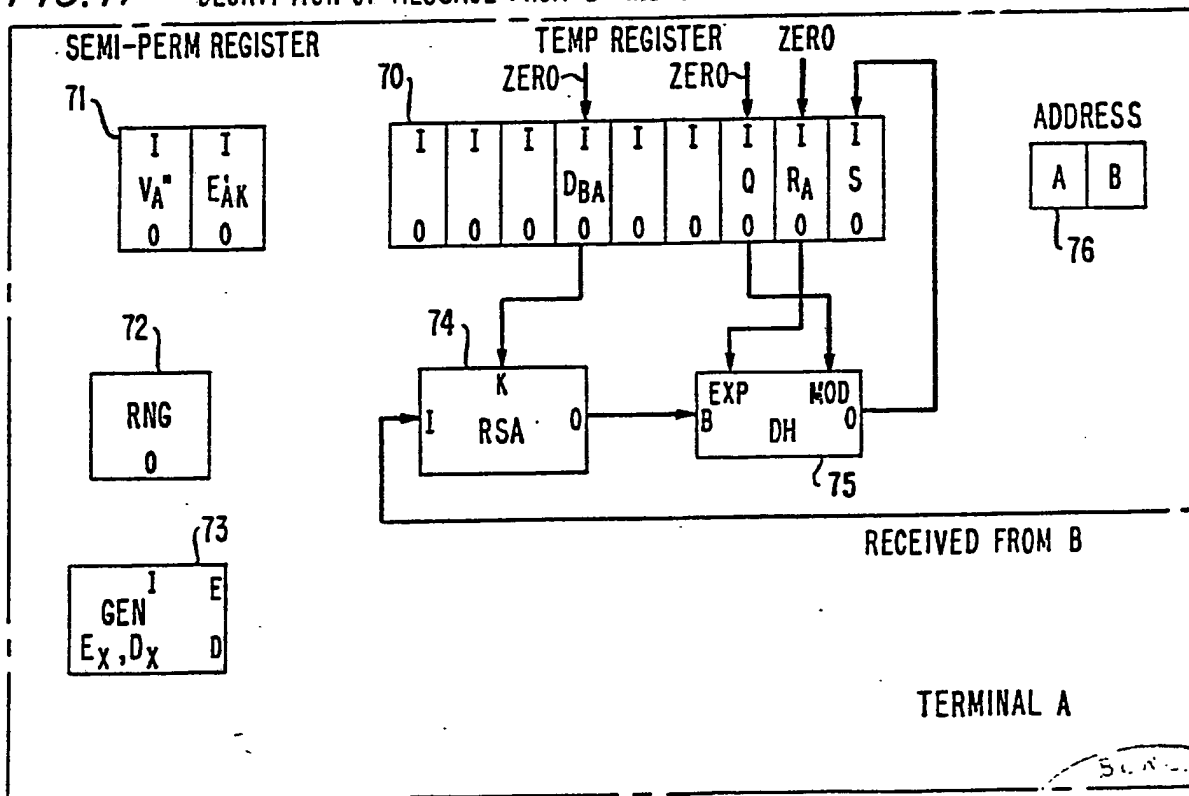


FIG. 17 DECRYPTION OF MESSAGE FROM B AND CALCULATION OF SESSION KEY-S



12/17

FIG. 18 KEY STORAGE DURING CALL

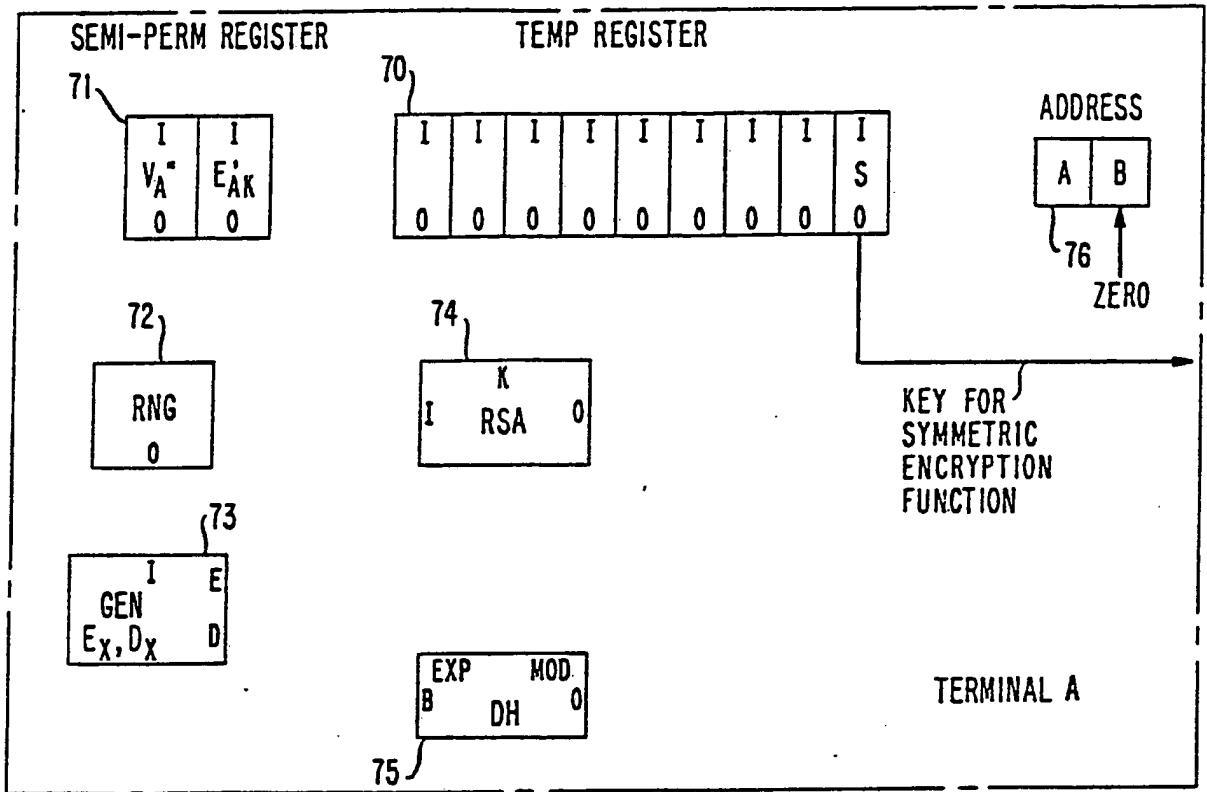


FIG. 19 IDLE STATE FOLLOWING CALL COMPLETION

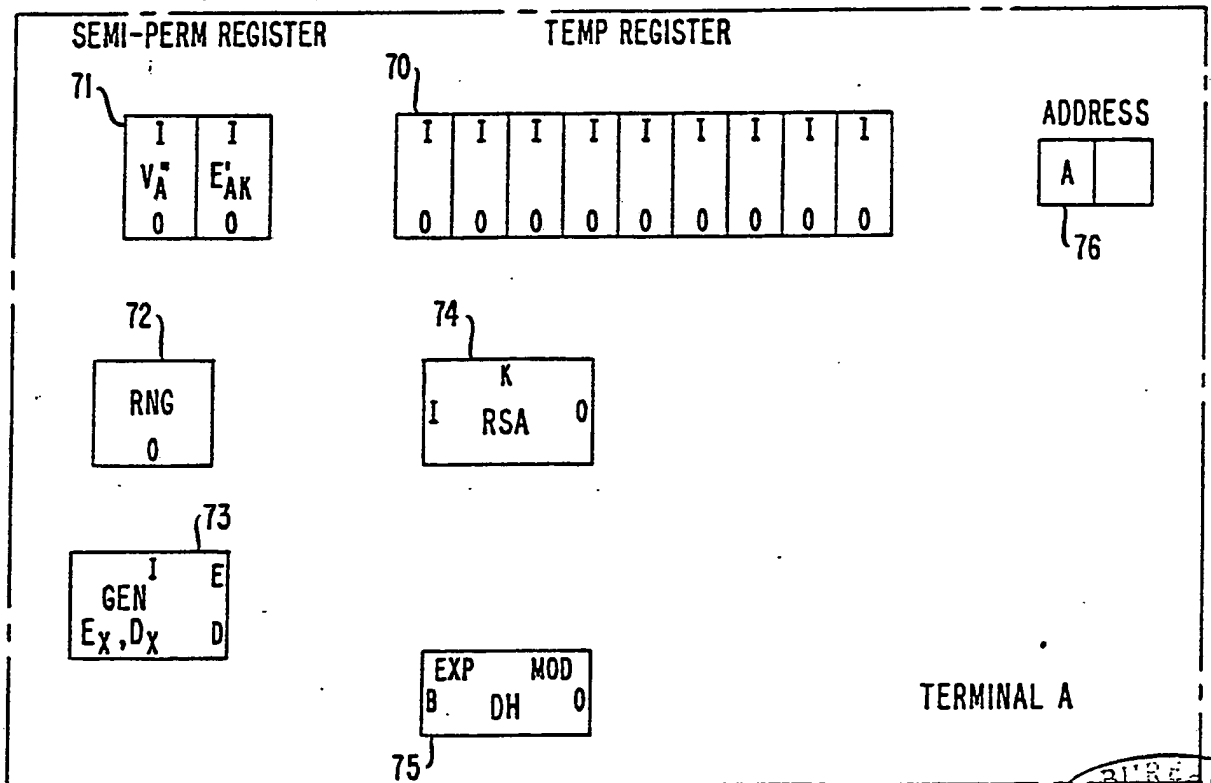


FIG. 20 IDLE STATE BETWEEN CALLS

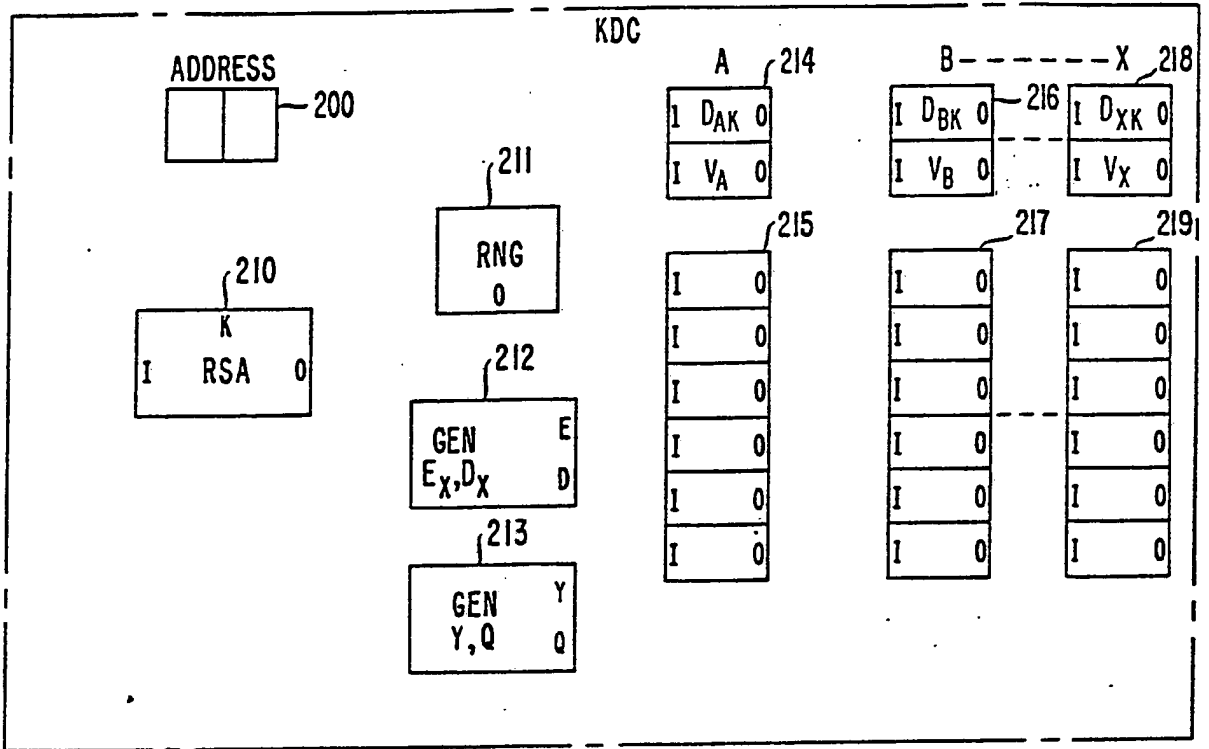


FIG. 21 DECRYPTION OF MESSAGE FROM A

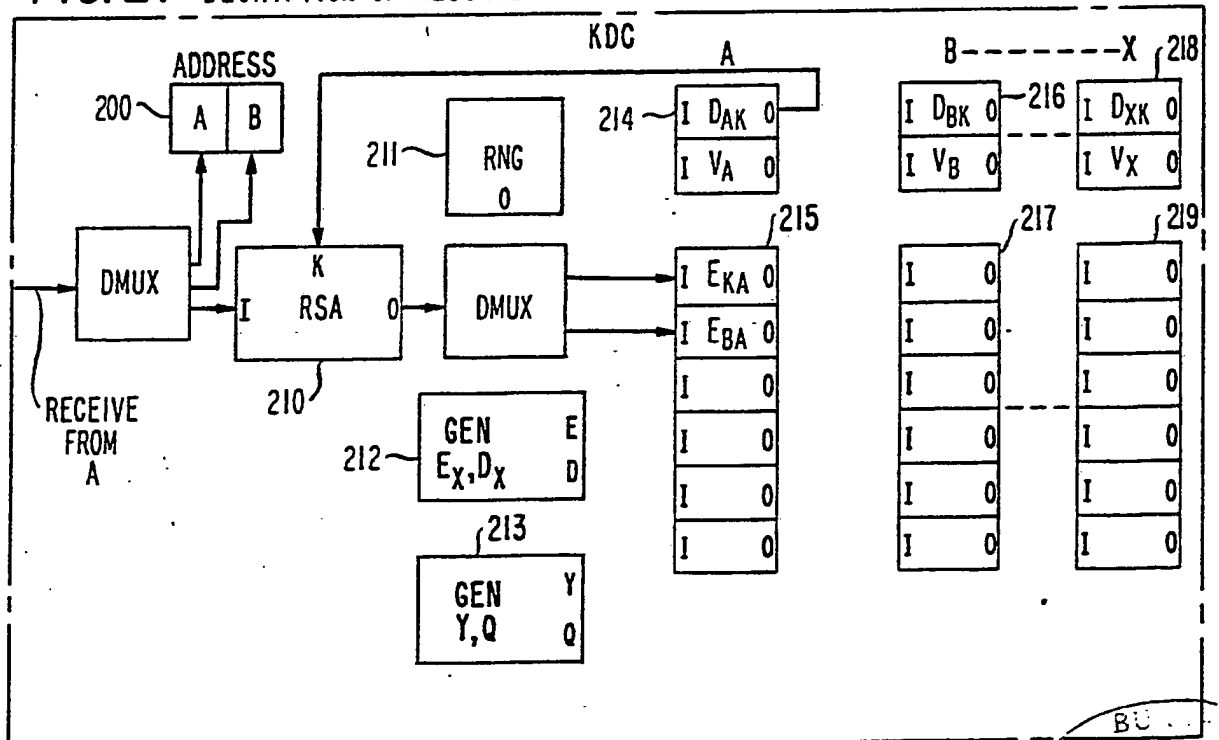


FIG. 22 FIRST STEP IN THE UPDATE OF VERIFICATION INFORMATION

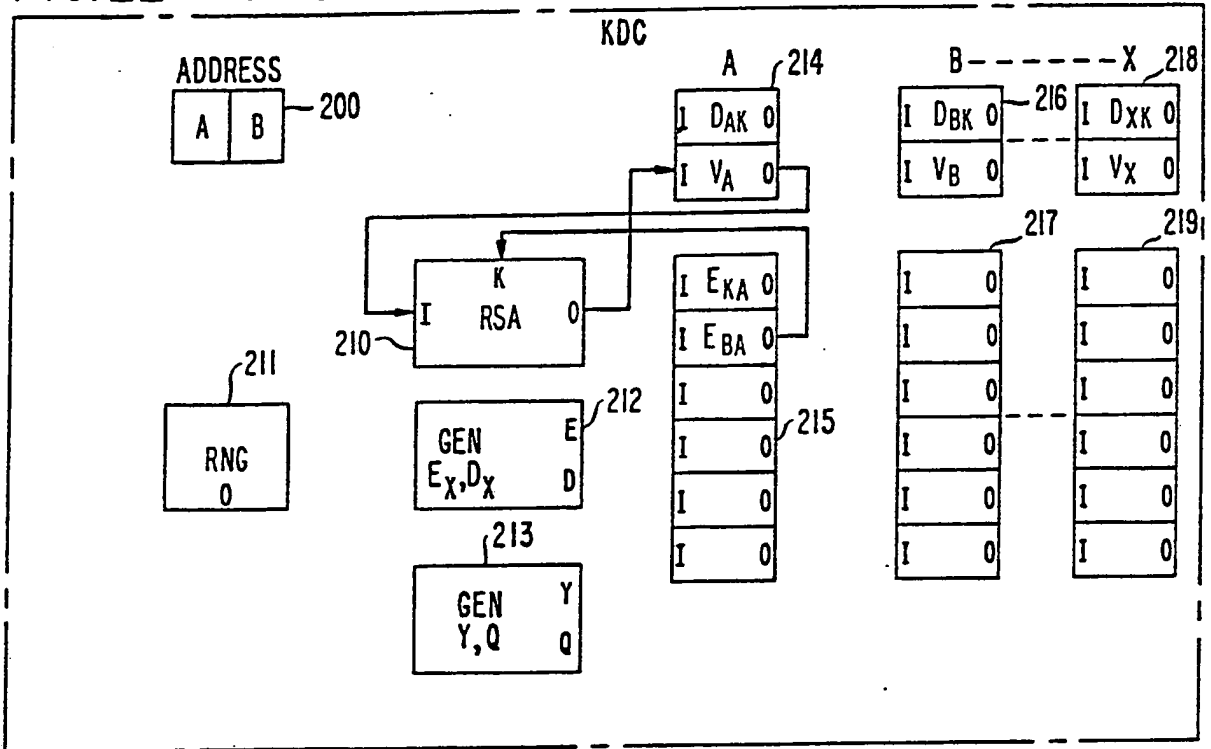


FIG. 23 SECOND STEP IN THE UPDATE OF VERIFICATION INFORMATION

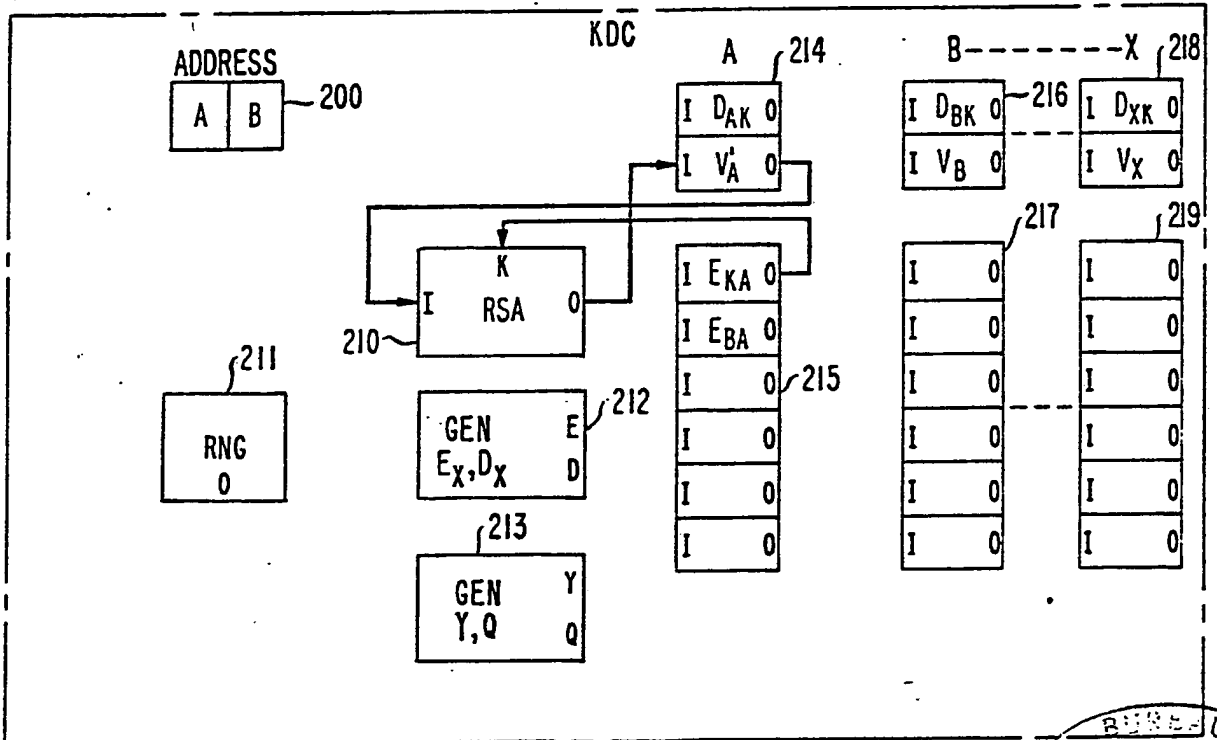


FIG. 24 GENERATION OF NEW KDC-A LINK KEYS

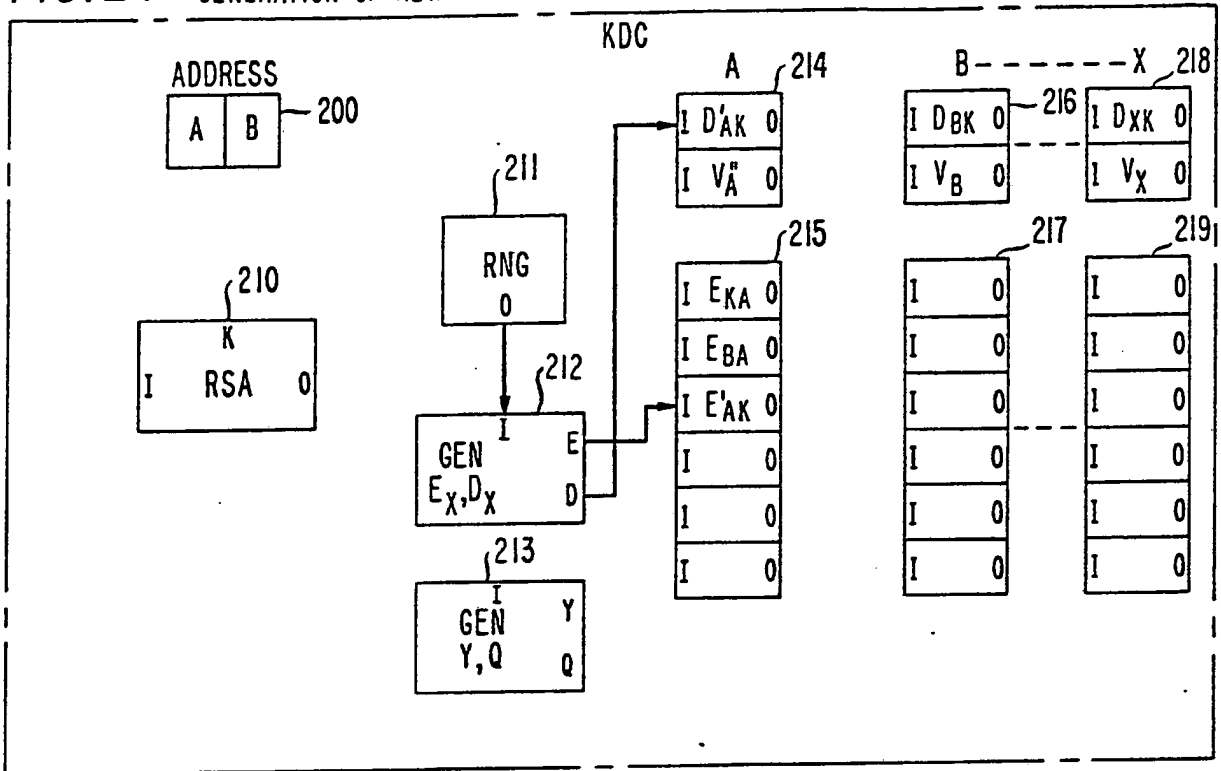


FIG. 25 GENERATION OF DIFFIE-HELLMAN ALGORITHM PARAMETERS

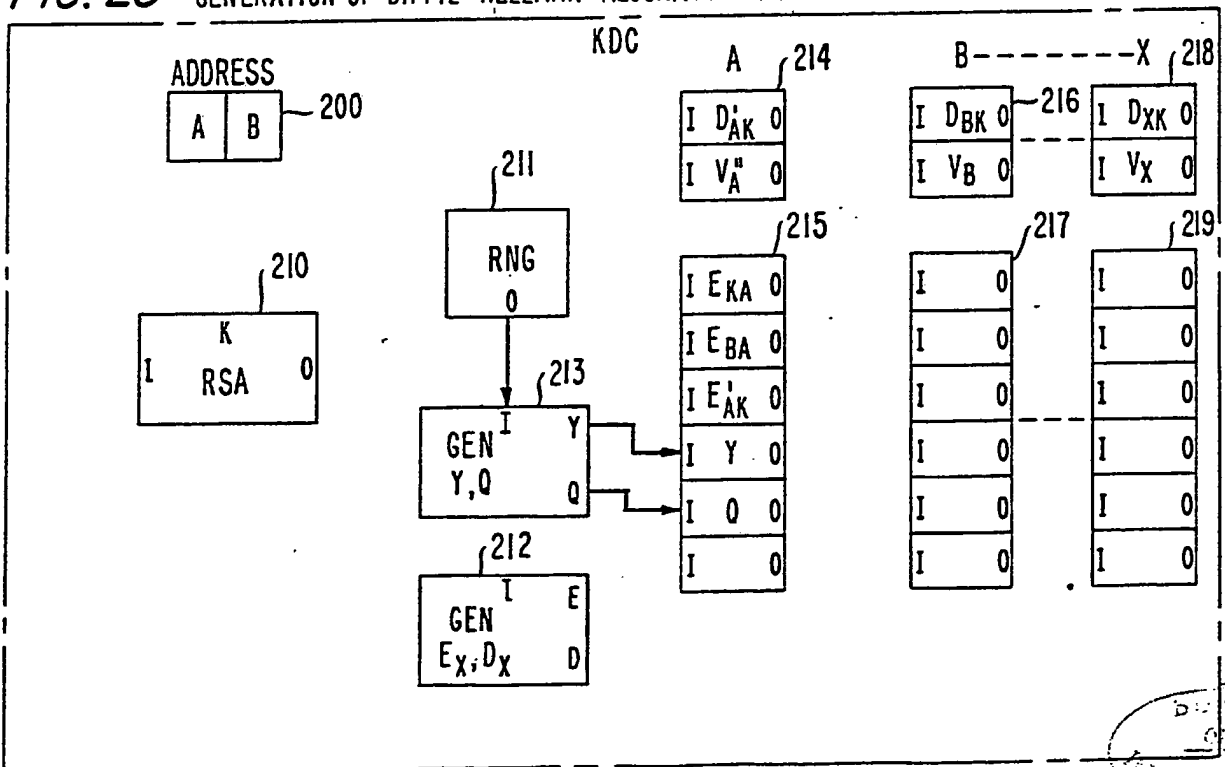
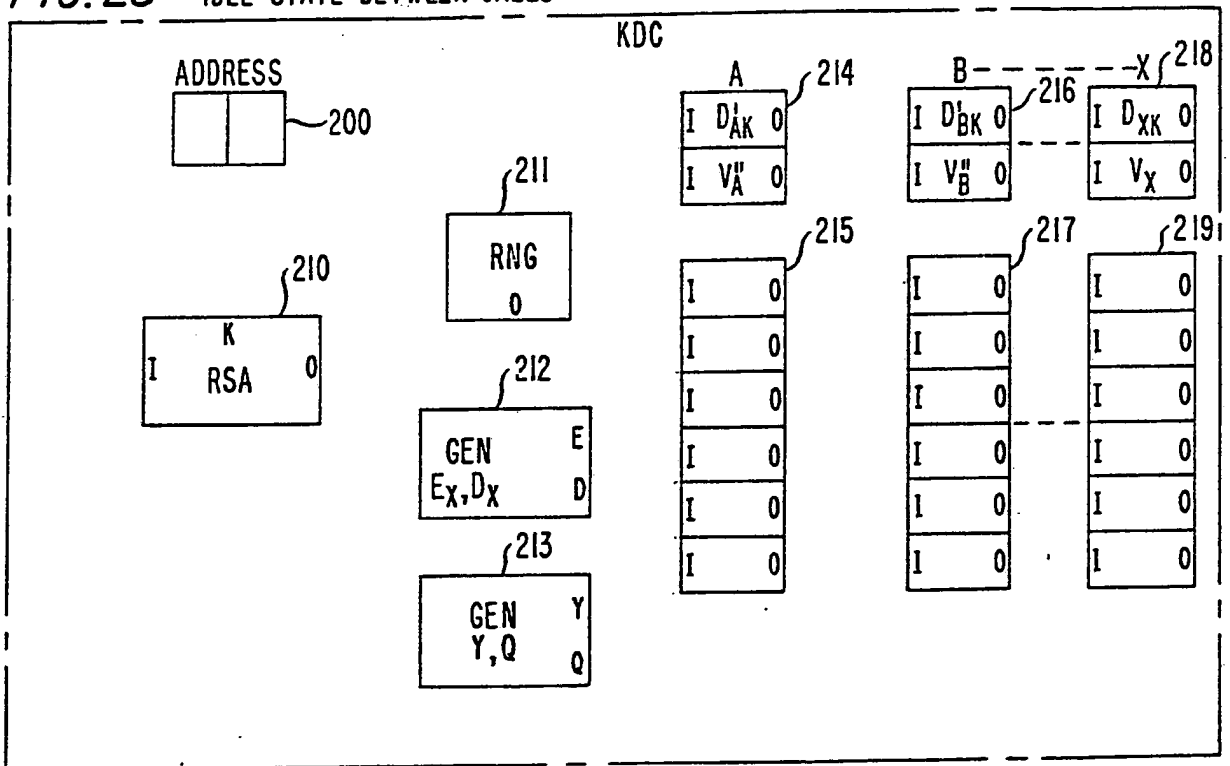




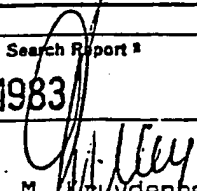


FIG. 28 IDLE STATE BETWEEN CALLS



# INTERNATIONAL SEARCH REPORT

International Application No **PCT/US 83/00030**

<b>I. CLASSIFICATION OF SUBJECT MATTER</b> (If several classification symbols apply, indicate all) <sup>2</sup>		
According to International Patent Classification (IPC) or to both National Classification and IPC		
IPC <sup>3</sup> :        H 04 L 9/00		
<b>II. FIELDS SEARCHED</b>		
Minimum Documentation Searched <sup>4</sup>		
Classification System	Classification Symbols	
IPC <sup>3</sup>	H 04 L 9/00; H 04 L 9/02; H 04 K 1/00; H 04 L 9/04	
Documentation Searched other than Minimum Documentation to the Extent that such Documents are Included in the Fields Searched <sup>4</sup>		
<b>III. DOCUMENTS CONSIDERED TO BE RELEVANT</b> <sup>14</sup>		
Category <sup>6</sup>	Citation of Document, <sup>16</sup> with Indication, where appropriate, of the relevant passages <sup>17</sup>	Relevant to Claim No. <sup>18</sup>
A	EP, A1, 0048903 (LICENTIA) 7 April 1982 see page 2, line 23 - page 4, line 22 --	1, 2
A	US, A, 4182933 (ROSENBLUM) 8 January 1980 see column 7, lines 1-21; column 8, lines 37-50; column 11, lines 17-41 cited in the application --	1
A	DATAMATION, vol. 22, no. 8, August 1976 (Barrington, US) Sykes: "Protecting data by encryption", pages 81-85, see page 84, left-hand column, lines 23-42 --	1
A	IBM-Technical Disclosure Bulletin, vol. 22, no. 2, July 1979 (New York, US) Lennon et al.: "Composite cryptographic session keys for enhanced communication security", pages 643-646, see page 643, first line to page 644, line 8 --	1, 2
A	Fifth International Conference on Digital Satellite Communications, 23-26 March 1981 (New York, US) Bic et al.: --	./.
<p><sup>15</sup> Special categories of cited documents:</p> <p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier document but published on or after the international filing date</p> <p>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p> <p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step</p> <p>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.</p> <p>"Δ" document member of the same patent family</p>		
<b>IV. CERTIFICATION</b>		
Date of the Actual Completion of the International Search <sup>3</sup>	Date of Mailing of this International Search Report <sup>3</sup>	
20th April 1983	03 MAI 1983	
International Searching Authority <sup>1</sup>	Signature of Authorized Officer <sup>20</sup>	
EUROPEAN PATENT OFFICE	 G.L.M. Kruidenberg	

**FURTHER INFORMATION CONTINUED FROM THE SECOND SHEET**

"Privacy over digital satellite links", pages 243-249, see page 246, right-hand column, lines 32-43; page 247, left-hand column, lines 6-11; figure 3

-----

1

**V.  OBSERVATIONS WHERE CERTAIN CLAIMS WERE FOUND UNSEARCHABLE <sup>10</sup>**

This international search report has not been established in respect of certain claims under Article 17(2) (a) for the following reasons:

1.  Claim numbers \_\_\_\_\_, because they relate to subject matter <sup>12</sup> not required to be searched by this Authority, namely:

2.  Claim numbers \_\_\_\_\_, because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out <sup>13</sup>, specifically:

**VI.  OBSERVATIONS WHERE UNITY OF INVENTION IS LACKING <sup>11</sup>**

This International Searching Authority found multiple inventions in this international application as follows:

1.  As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims of the international application.

2.  As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims of the international application for which fees were paid, specifically claims:

3.  No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claim numbers:

4.  As all searchable claims could be searched without effort justifying an additional fee, the International Searching Authority did not invite payment of any additional fee.

**Remark on Protest**

The additional search fees were accompanied by applicant's protest.

No protest accompanied the payment of additional search fees.



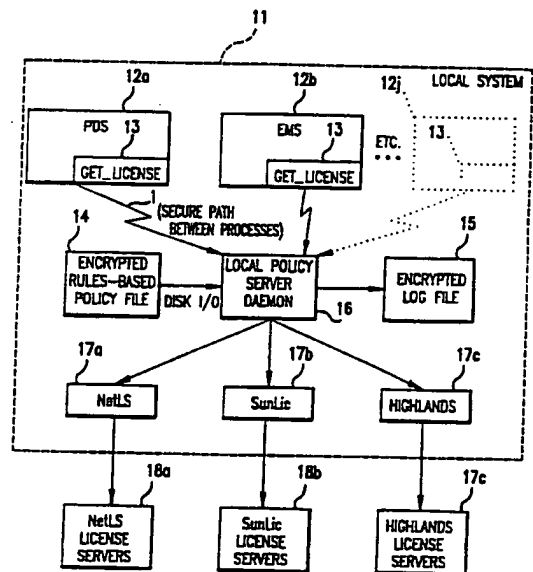
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification 5 : <b>G06F 1/00, 11/34</b></p>	<p><b>A1</b></p>	<p>(11) International Publication Number: <b>WO 93/11480</b> (43) International Publication Date: <b>10 June 1993 (10.06.93)</b></p>
<p>(21) International Application Number: <b>PCT/US92/10215</b> (22) International Filing Date: <b>24 November 1992 (24.11.92)</b> (30) Priority data: <b>07/798,934</b>                      <b>27 November 1991 (27.11.91) US</b> (71) Applicant: <b>INTERGRAPH CORPORATION [US/US];</b> <b>One Madison Industrial Park, Huntsville, AL 35894 (US).</b> (72) Inventors: <b>BAINS, Jeffrey, E. ; 134 Michli Road, Madison, AL 35758 (US). CASE, Willard, W. ; 104 Arden Avenue, Madison, AL 35758 (US).</b> (74) Agents: <b>SUNSTEIN, Bruce, D. et al.; Bromberg &amp; Sunstein, 10 West Street, Boston, MA 02111 (US).</b></p>		<p>(81) Designated States: <b>CA, JP, European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE).</b>  <b>Published</b> <i>With international search report.</i></p>

(54) Title: **SYSTEM AND METHOD FOR NETWORK LICENSE ADMINISTRATION**

(57) Abstract

Disclosed is a system for administration, on a computer network, of license terms (a so-called license server) for a software product (12a, 12b... 12j) provided to said network. Said license server (17c, 18a, 18b) being realized by one of the network computers and which tasks comprise e.g. tracking of a software product (12a, 12b... 12j) usage in the system, issuing usage permits (licenses) to the different network users in accordance with predefined conditions, monitoring expirations and violations (e.g. the maximum number of users simultaneously using a software product) of issued licenses and when necessary, withdrawing issued software product licenses. In one embodiment, the system includes a policy server database (14) maintained on each node (11) of the system, where said predefined conditions are specified under which usage of a software product (12a, 12b... 12j) is permitted at the respective system nodes (11). Each node also has a policy server "daemon" (16) in association with said policy server database (14) for interaction with the license server (17c, 18a, 18b) in order to enforce license terms for a software product.



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AT	Austria	FR	France	MR	Mauritania
AU	Australia	GA	Gabon	MW	Malawi
BB	Barbados	GB	United Kingdom	NL	Netherlands
BE	Belgium	GN	Guinea	NO	Norway
BF	Burkina Faso	GR	Greece	NZ	New Zealand
BG	Bulgaria	HU	Hungary	PL	Poland
BJ	Benin	IE	Ireland	PT	Portugal
BR	Brazil	IT	Italy	RO	Romania
CA	Canada	JP	Japan	RU	Russian Federation
CF	Central African Republic	KP	Democratic People's Republic of Korea	SD	Sudan
CG	Congo	KR	Republic of Korea	SE	Sweden
CH	Switzerland	KZ	Kazakhstan	SK	Slovak Republic
CI	Côte d'Ivoire	LJ	Liechtenstein	SN	Senegal
CM	Cameroon	LK	Sri Lanka	SU	Soviet Union
CS	Czechoslovakia	IU	Luxembourg	TD	Chad
CZ	Czech Republic	MC	Monaco	TG	Togo
DE	Germany	MG	Madagascar	UA	Ukraine
DK	Denmark	ML	Mali	US	United States of America
ES	Spain	MN	Mongolia	VN	Viet Nam
FI	Finland				



- 2 -

software that is licensed for concurrent or simultaneous use. Some licensors use hardware locks that attach to a parallel printer port or a serial port on a machine; each time the software is activated, it looks for a specified code, in the hardware lock, as a condition for operation of the software. Using hardware locks resolves the problem of unauthorized moving of software among machines; however, hardware locks do not handle multiple software products on a single machine, and they require time and expense to deliver to the end user.

When computer software products are used in a network environment (which may include computers running in various roles as workstations and servers of various types linked together over a data path), additional licensing challenges are present. For example, a network may permit a user at one node (which may be a terminal or workstation, for instance) to utilize a software product running at another node (which may be the network server or even another workstation). Consequently, the terms of the single-computer type of software license might not cover the usage of the software product on the network, or worse still (from the point of view of the licensor) might actually permit such a usage without additional compensation to the licensor. One approach to network licensing is to grant permission to use the program based on all of the nodes on the network, and to require a license for each node. Then typically the license fee may be increased as the number of nodes on the network increases. Another approach bases the license fee for a software product running on a network on the total number of individual users who might actually run the software, regardless of the number of nodes either on the network or running the software product at a given time. These approaches, however, have usually required the cooperation of the licensee, because additional nodes may be added to the network, or additional users may utilize the software, without the knowledge of the licensor, who is typically not present on the premises of the licensee. The licensor may



- 3 -

reserve the right to audit the licensee's site, but such an audit is intrusive, expensive, and may alienate potential or actual customers for licenses. Although other approaches exist under which one might charge a single fee per server  
5 or per site or per entity, often on an individually negotiated basis, these approaches are often impractical or inflexible, in that they also typically do not take into account the possible wide variation over time in the number of nodes or users and also require reliance on licensee  
10 cooperation.

The same circumstances that make license enforcement difficult for the licensors of software products for a network environment also make license compliance difficult for the conscientious administrator, for example, of a  
15 Management Information System (MIS) or Computer Aided Design (CAD) department of a company using software products. The administrator may be called upon to ensure that the number of workstations using a variety of software products in a network environment complies with the terms of a variety of  
20 license agreements. Such an administrator may have to develop and promulgate a series of directives about the terms of permitted workstation usage and must depend primarily upon the goodwill and voluntary compliance of unit personnel with such directives.

25 Recently it has become practical in some network environments to determine and limit the number of nodes that may access a software product at a given time, and to charge a license fee based on the maximum number of nodes that are permitted to use the software product concurrently. This is  
30 called "concurrent licensing". In these environments, a computer program, acting as "librarian" and running on a computer node designated as a license server, is typically used to distribute license keys (sometimes called "tokens") over the network to nodes requesting access to run a  
35 software product; the number of keys is tracked by the librarian; and if at a given time, the permitted maximum number of keys would be exceeded by usage of the software

product on a requesting node, the node can be denied, at such time, access to invoke the software product.

Examples of software-based concurrent licensing arrangements may be found in Unix applications running in connection with software products sold under the trademarks NetLS (available from Gradient Technologies, Inc., 577 Main Street, Suite 4, Hudson, Massachusetts 01749), and SunLic (available from Sun Microsystems, Inc., Mountain View, California), and Flexible License Manager (available from Highland Software, Inc., 1001 Elwell Court, Palo Alto, California 94303 ). However these arrangements suffer from a number of disadvantages. NetLS, for example, includes mechanisms for tracking which nodes have been given keys to run a given software product and the number of keys available for running such software product. However, it is up to the designers of each software product to program such product to implement the terms of any license agreement, and, in particular, to program into the product calls to the NetLS software to provide information to the computer running the software product and to write code in the applicable product to prevent use of the product when the license terms have not been obeyed. Thus a computer system utilizing ten different software products that rely on NetLS for license enforcement will generally have ten different substantial software portions (one in each computer product) to achieve license enforcement. In addition to this complexity, if the license server running NetLS fails, or if the network itself fails, then a workstation loaded with the software product cannot run the software product, since the product requires NetLS interaction to be activated.

The foregoing difficulties are applicable generally not just to NetLS but to "metering software" generally. The Microcomputer Managers Association has issued a White Paper (October 2, 1991), reprinted in Infoworld, pages 46-42 (October 14, 1991) on the problems of network licensing, Commenting on the problem that each software product requires its own interface to the metering software (as well

- 5 -

as possible input of administrative information), the White Paper suggests that "[i]t makes much more sense to have a single package provide the metering for all application software on the network." Infoworld (October 14, 1991), 5 supra, at page 51, column 4. Such an approach has its own difficulty, however. Each application would still have to interface with the single metering package, and the interface to such a package must somehow deal with the varying licensing terms of each software product. Moreover, 10 with the metering package running on the license server, a failure of the server or the network would prevent all software applications from running anywhere on the network.

#### Summary of the Invention

In a preferred embodiment, the present invention 15 provides an improved system for administration, on a computer network, of license terms for a software product on the network. The improved system is of the type having an arrangement, such as NetLS, for tracking software product usage, associated with one of the computers acting as a 20 license server. This arrangement permits the license server (i) to identify the current set of nodes that are using the software product at a given time, (ii) to handle license data concerning conditions under which usage of the software product is permitted at any given node, and (iii) to 25 determine whether at any given time the conditions would still be satisfied if a given node is then added to this set of nodes. The software product may thus include instructions to interface with the license server to cause enforcement of the license terms. The improvement, in one 30 embodiment, to the system includes a policy server database maintained on each node, containing data specifying conditions under which usage of the software product is permitted on such node. Each node also has a policy server "daemon" (which may be implemented in software) in 35 association with the corresponding policy server database, for (i) communicating with the license server, (ii) interfacing with both the software product and the

corresponding policy server database, (iii) making a permission-to-run availability determination, with respect to local usage of the software product, on the basis of applicable data from the license server and the

5 corresponding policy server database, so that enforcement of license terms applicable to the software product at a given local node is achieved on the basis of both license policy maintained at such local node as well as applicable data from the license server.

10 In a further embodiment, each policy server database contains data specifying conditions under which usage of each of a plurality of software products is permitted on the node on which the database is maintained. Additionally, each policy server daemon interfaces with each software

15 product. In this manner, enforcement of license terms applicable to each software product at a given node is achieved on the basis of both locally maintained license policy and applicable data from the license server.

In a further embodiment, each node has a log file

20 maintained, in association with each policy server daemon, to record recent software product usage on that node. The policy server daemon is accordingly configured to handle instances when data from the license server is

25 unavailable -- for example, when the computer acting as the license server is non-operational or when the network is non-operational. In particular, the policy server daemon may permit a node to run a software product, in the absence of license server data, if the node's log file indicates a sufficient level of recent usage of the software product on

30 the node. The circumstances under which such a permission-to-run availability determination is favorable may be established by the node's policy server database.

In yet further embodiments, the policy server database and the log file may be encrypted. Furthermore the

35 interface between the policy server daemon and each software product may be made secure. When one or more of the software products are subject to concurrent licensing

- 7 -

restrictions specified in the policy server databases, the policy server daemon may be permitted to reserve a predetermined time interval over which the applicable node has a guaranteed opportunity to utilize a given software  
5 product. The reservation is accomplished by having the node's policy server daemon communicate to the license server over the predetermined time interval that the node is using the given software product, regardless whether the software product is actually being used.

10 It can be seen that the present invention permits a single database at each node to specify all of the conditions under which the node may access any of the software products on the network. Furthermore, as described in further detail below, in order to invoke the licensing  
15 administration function carried out in accordance with the present invention, each software product need contain only a simple and short segment including the instruction:

ILic-get\_license

20 followed by parameters identifying license details for the particular software product. A branching routine (which may be made available to all the software products, and called by the particular software product after this instruction) then  
25 specifies program flow depending on whether a license is available (the remainder of the program can be run) or not (the program operation is terminated and a message is displayed to the user).

Brief Description of the Drawings

30 The foregoing features of the invention will be more readily understood by reference to the following description taken with the accompanying drawings in which:

Fig. 1 is a block diagram showing operation of a preferred embodiment of the invention in a network;

35 Fig. 2 is a block diagram illustrating the interrelation of important modules of the embodiment;

Fig. 3 is a block diagram of the main logical flow of

the computer program used in the embodiment;

Fig. 4 is a block diagram of the main processing of a validated "get license" message;

Fig. 5 is a block diagram of the manner in which the policy server database is structured;

Fig. 6 is a block diagram providing more detail than Fig. 4 of the logical flow of the processing of a "get license" message;

Fig. 7 is a block diagram of license acquisition processing referred to as item 623 in Fig. 6;

Fig. 8 is a block diagram of clock message processing for licenses on the main list of licenses that have been established; and

Fig. 9 is a block diagram of clock message processing for licenses moved to the recovery list by item 88 of Fig. 8.

#### Detailed Description of Specific Embodiments

The invention is applicable to computer networks of the type having an arrangement, such as NetLS, for tracking software product usage, associated with one of the computers on the network acting as a license server. The present embodiment is described with respect to a Unix network; however, the software used by the license server in implementing such an arrangement, and the particular network type, are a matter of design choice.

Fig. 1 shows the manner in which a preferred embodiment of the invention may be implemented on a Unix network. Each computer node 11 of the network may be running a variety of software products, such as PDS (item 12a), EMS (item 12b), and so forth (shown through item 12j). Each of these products includes a call "get\_license" to the local policy server daemon 16 for a determination whether a license is available to run the product in question. As used in this detailed description, the term "license" refers not to a written document between the licensor and the licensee, but rather to the availability of permission to run the software product. The local policy server daemon 16 operates at the

computer node 11 and makes the permission-to-run availability determination by reference to its associated policy server database 14, also located at the node, to identify the rules specifying the circumstances under which a license would be granted. The daemon 16 also communicates over the network with the applicable license server. In this figure, three separate license servers are shown: one (item 18a) running NetLS; another (item 18b), SunLic; and another (item 18c), Highlands. The license server communicates with the daemon 16 using the applicable license software NetLS (item 17a), SunLic (item 17b), or Highlands (item 17c), and informs the daemon whether usage of the software product on the network is such that a license may be granted in accordance with the policy established by the database 14. If so, the daemon 16 reports the license to the applicable software product 12, and to the applicable license server 18. If there is no successful communication with the applicable license server 18, if the database 14 so permits, the daemon 16 will consult a log file 15 recording instances of recent software product usage, and if there has been a sufficient level of recent software product usage that has been licensed, the daemon will grant a temporary user license (TUL) to run the software product.

The communication between the applicable software product 12 and the local policy server daemon 16 is handled as an interprocess communication in Unix. Here the Unix "message" is used as the means of communication, but this is a matter of choice, and other means of communication, such as pipes or shared memories, may be used. In order to reduce to risk of tampering by the licensee with the license availability determination made by the policy server daemon 16, the rules database 14 and the log file 15 may be encrypted using techniques known in the art. Similarly, the message communication from the application to the policy server daemon 16 can be subject to validation using techniques known in the art to assure that the message is indeed from the pertinent software product.

The embodiment described herein has been implemented for use with a variety of types of licenses. (Numerous license types may be created and enforced by the invention, but the following types are illustrative.) One type is the concurrent use license. A concurrent use license is issued, from the server running the Licensing System (sometimes called the "license server" in this description and the claims following), with respect to a software product being used on a node in a network. The license server controls the levels of concurrent usage of the software product. Concurrent use licenses are returned to the license server when they are no longer needed. For example, if the Licensing System on the server permits five concurrent licenses for a given software product, then five users on the network can run the software product concurrently.

The concurrent use license is actually implemented as part of a two-tier structure. The first tier is a "base license," and the second tier is a "version-specific" license. The base license controls the number of simultaneous users of a software product. The version license controls the version of the software product that may be utilized by the user. The base license typically expires at the end of each year, and may be renewed. The version license typically never expires. The version license provides a mechanism for controlling how many base licenses are for a software product that is under a maintenance agreement. As an example, a user may have purchased a license to five copies of version A of a software product, but kept maintenance on only three copies. In such a case the user would receive five base licenses (which expire each year and were replenished unless the applicable computers were sold), plus five version A licenses that never expire. This user would subsequently receive only three version B licenses for the three copies under maintenance. Under such an arrangement, the user could still run five copies of version A of the software product, or a mix of version A and version B software as



- 11 -

long as the mix does not exceed five copies in total and does not exceed three copies of version B.

The policy server database file 14 of a computer node stores the license requirements for each software product to be run at that node. For each software product, the database may identify the number of base license "tokens" and version license "tokens", obtained from the server running the Licensing System, that are necessary for operation of that software product on the particular computer constituting the node. (The particular computer, for example, may be particularly fast in processing, and therefore a higher license fee may be required for running the software product on such computer, resulting here in a larger number of tokens required for the base and version licenses.)

Another type of license is a node-locked license, which is tied to a particular computer node and cannot be used by other nodes. The node-locked license token is designated for a particular node when created. In a further variation of the node-locked license, a "reserved" license may be established, that is, the policy server daemon may be permitted to reserve a predetermined time interval over which the applicable node has a guaranteed opportunity to utilize a given software product. (The reservation is accomplished by having the node's policy server daemon communicate to the license server over the predetermined time interval that the node is using the given software product, regardless whether the software product is actually being used.)

A single use license can be used only for one invocation of the software product. Single use licenses are useful for emergency situations, peaks in usage, or demonstrations. A day use license is similar to a single use license, except that a day use license remains available on the computer node that acquired it for 24 hours after the time of acquisition.

A temporary user license (TUL), described above, is

- 12 -

issued on a temporary basis when the server running the Licensing System becomes unavailable. A TUL is designed for emergency situations and is granted on a per user, per node, per software product, per usage history basis.

5        Fig. 2 illustrates the structure of a program implementing the embodiment of Fig. 1 for a single license server running one or more Licensing Systems, such as NetLS. The program is written in standard C. A communication module 21 handles communication with the various software  
10 products, one of which is here shown as item 26. If the software product includes the "get\_license" instruction, the communication module 21 refers to the licensing dispatch module 22. The licensing dispatch module 22, by reference to the policy server database 14 and the applicable  
15 Licensing System, makes the license availability determination. The Licensing System shown here is No. 1, and client portion 25 is accessed by licensing dispatch 22, which may access other Licensing Systems depending on the software product 26 and information in the policy server  
20 database file 14. The client portion of the Licensing System 25 communicates over the network with the server portion 251. In the event that there is no successful communication with the server portion 26, the communication module may trigger the temporary user license (TUL) module  
25 27 to consult with the history log file 15 to determine if there is a sufficient level of recent licensed usage of the software product at this node to permit the grant of a temporary user license (TUL). In any event, the communication module 21 reports the license availability  
30 determination by directing a message to the software product's process. The communication module is also responsible for sending a periodic signal (a "ping") to the license server to indicate continued use of a license. Another module 28 causes recordation of license usage in  
35 license usage file 281 for reporting purposes. A file 252 of node-locked licenses is maintained locally. The communication module 21 is controlled by timer interval

- 13 -

handler 29, which in turn receives periodic signals from PS driver 291 that has been incorporated into the operating system.

Fig. 3 illustrates the main logical flow of the program carried out by the communication module 21. After initialization 31, the program gets the next message from any processes, and, in particular, from any software products that may be invoked from the node on which the program is running. Next the message is validated (item 10 33), and then the message is processed (item 34). After processing of the current message, the program loops to seek the next message again.

The most important message is "get\_license", and this message is processed as shown in Fig. 4. The first step 15 41 is to determine the availability of a license. The license availability determination is made in the licensing dispatch module 22.

After the license availability determination is made as shown in step 41 of Fig. 4, if a license is granted, that 20 fact is reported to the software product in step 43. If the license is not granted because of a lost connection to the server running the Licensing System (determination in step 44), there is a check to see if usage of the software product is possible "under grace", that is, whether there 25 has been sufficient recent licensed usage of the software product at the node to permit granting of a TUL. If so, a TUL is granted (step 47). If not, or if the license was denied for reasons other than a lost connection, the program communicates (step 46) the fact of no license availability 30 to the software product.

Additionally, the communication module of the policy server daemon may reserve a predetermined time interval over which the applicable node has a guaranteed opportunity to utilize a given software product. The reservation is 35 accomplished by having the module communicate to the license server over the predetermined time interval that the node is using the given software product, regardless whether the

software product is actually being used.

The construction of the policy server database is shown in Fig. 5. License prices are initially established by management decision in price book 51, which forms the basis for assigning token values (step 52) required for license grant. The license cost to use a software product can also vary as a function of the hardware platform (i.e., the model of the computer) on which the product is running. Accordingly, the platform indicator data 54 and the rules defining the different types of licenses 53 all form a part of the structure of the policy server database 55. In order to assure integrity of the database, it is encrypted.

Fig. 6 is a block diagram providing more detail than Fig. 4 of the logical flow of the processing of a "get license" message. Initially (step 61), memory is allocated for the structure of the applicable license to be added to the list of license structures in memory. Unless the structure shows a reserved license (tested in block 62), the policy server database file 14 of Figs. 1 and 2 is accessed (step 621) to determine the applicable license terms. If access is successful (tested in block 622), then license acquisition processing (described in connection with Fig. 7) follows (step 623).

If, as a result of license acquisition processing, a license is granted (tested in block 625), the history log file 15 of Figs. 1 and 2 is then updated (step 631) to reflect this event. Thereafter, the policy server driver 291 of Fig. 2 is informed (step 63), the license usage file 281 of Fig. 2 is updated for use in generating later reports (step 64), the return status the operation is checked (step 641), and a status message is built and sent (step 65) to the software product that had included the "get license" call. If the return status is a failure (tested in step 641), the license structure is removed from memory (step 642) before sending the the status message to the software product.

If, as a result of the license acquisition processing

- 15 -

of step 623, a license has not been granted, the error messages produced by the Licensing System are analyzed to a single reason (step 626), and the return status for the software product is determined. If the embodiment described  
5 herein is not in the enforcement mode (determined in step 627), then the return status is simply a warning (generated in step 643). If the embodiment is in the enforcement mode, there is a check (step 647) to determine if the connection with the license server is lost. If there is no lost  
10 connection, the policy server database file 14 is checked (step 646) for the appropriate license failure conditions, and then the return status is determined (step 644). If there is a lost connection, processing follows (step 645), to determine on the basis of the history log file 15 and  
15 data in the policy server database file 14 whether a TUL is available. If a TUL is available, the return status is a warning (step 643), as in the case when the system is not in the enforcement mode. Once the return status has been determined, processing is the same as if a license has been  
20 granted; that is, the driver is informed, the license usage file is updated, the return status is checked and if necessary the license structure is removed from memory, and the appropriate status message is built and sent to the software product (steps 63, 64, 641, 642, and 65).

25 If after the determination (step 647) that there is a lost connection, and a TUL is not available (step 645), processing loops back to license acquisition processing (step 623) to attempt again to get a license from the license server. If the policy server database file 14 cannot be  
30 successfully accessed in step 621 to determine the relevant license rules (a matter checked in step 622), the processing goes to determine (in step 627) whether the system is in the enforcement mode and to generate an appropriate return status. If in step 62, the license structure shows a  
35 reserved license, access to the policy server database file 14 is skipped altogether, and the driver is informed (step 63) directly.

- 16 -

Fig. 7 is a block diagram of the license acquisition processing referred to as item 623 in Fig. 6. In accordance with this processing, there is first sought a "base" license token and then a "version" license token, where "base" and "version" have the meanings described above following the description of Fig. 1. Initially, the policy server database file 14 is cycled through to determine the enabled base token type (step 71)--for example node-locked, or concurrent access, or use once. The Licensing System on the server is then called (step 711) to seek the designated enabled token. If the base token is granted (checked at step 712), the policy server database file 14 is then cycled through to determine the enabled version token type (step 72). If the version token is granted (checked at step 722), the return is "license granted" (step 73). In each case if processing through the policy server database is not complete (checked for, in the case of the base token at step 713 and in the case of the version token at step 723), the database is cycled through again, the Licensing System is called to seek an enabled token, and there is a test to see if the token is granted. If the end of the list has been reached (tested at step 713 for the base token and 723 for the version token) and the applicable token has not been obtained, a failure is returned (step 725). If the base token has been granted, but the version token denied, then the base token is first freed (step 724) before the failure is returned in step 725.

Fig. 8 is a block diagram of clock message processing for licenses on the main list of licenses that have been established. First, a license is picked as part of a cycle through the main list of licenses in memory (step 81). Next there is a check whether a process exists for this license (step 82). If there is no process, the license is returned to the Licensing System, and associated housekeeping is done (step 821), and the program then picks the next license (step 81) to begin processing again. If it is determined that there is a process, then it is determined whether the

- 17 -

license needs to be "pinged" to satisfy requirements of the Licensing System to keep the license (step 83). The implementation here generates a ping every 10 minutes. If no ping is currently necessary, the program again picks the  
5 next license (step 81) to begin processing again. If a ping is necessary, it is sent (step 84), and if successful (i.e., the Licensing System reports that the license is still valid (tested in step 85), the program again picks the next license (step 81) to begin processing again.

10 If the ping is unsuccessful, a failure counter is incremented (step 86), and there is a test (step 87) to determine if the failure counter is above an established threshold. If it is, then the failure counter is cleared (step 88) and the license in question is moved to the  
15 recovery list (step 89). If it is not, then the program again picks the next license (step 81) to begin processing again.

Fig. 9 is a block diagram of clock message processing for licenses moved to the recovery list in step 89 of Fig.  
20 8. First, a license is picked as part of a cycle through the recovery list of licenses in memory (step 91). Next there is a check whether a process exists for this license (step 911). If there is no process, any remaining part of the license is returned to the Licensing System, and  
25 associated housekeeping is done (step 94), and the program then picks the next license (step 91) to begin processing again. A check (in step 912) is made to determine whether the exit flag had been set in step 935, and if so, the process of the software product (application) is signalled  
30 to exit (step 913), the exit counter is decremented (step 914), and a test (step 915) is made to determine if the exit counter has reached zero. If so, the application process is killed (step 916). In either event, the next license is picked from the recovery list (91), and processing for the  
35 next license resumes as before.

If the exit flag had not been set, then a replacement license is sought (step 921), and a test (922) is made to

determine whether a license has been granted. If a replacement license has been granted, then

If a replacement license has not been granted, the replacement failure counter is incremented (step 93) and  
5 then tested (step 931) to determine if it is above a threshold (here typically 3). If it is not above the threshold, then the next license is picked from the recovery list (91), and processing for the next license resumes as before. If it is above the threshold, the  
10 polciy server database file 14 is consulted (step 932) to determine whether running of the software product is permitted (step 933). If not, then the exit counter and exit flag are set up; if running is permitted, the replacement failure counter is decremented (step 934). In  
15 either case, the next license is picked from the recovery list (91), and processing for the next license resumes as before.

Many other implementations of the invention described herein are possible. For example, the particular types of  
20 licenses described here are merely examples. The use of base and version licenses are thus a matter of design choice. The manner in which the failure to obtain a license is handled can also be tailored to suit the policies of the licensor of the software products in question.



- 19 -

What is claimed is:

1. An improved system for administration, on a computer network, of license terms for use of a software product on the network, the system being of the type wherein the  
5 network has a plurality of digital computers, each computer at a node, in communication with each other over a data path, and the system has usage tracking means, associated with one of the computers acting as a license server, for  
10 (i) causing the storage of the number of licenses available for running the software product on nodes of the network,  
(ii) identifying the current set of nodes with respect to which a license has been granted to run the software product at a given time, and (iii) determining whether at any given  
15 time any licenses remain to be granted for permitting an additional node to run the software product, so that the software product may include instructions to cause enforcement of the license terms;

wherein the improvement comprises:

(a) a policy server database containing data  
20 specifying conditions under which usage of the software product is permitted on any given node; and  
(b) policy server means, maintained and operating locally as an independent process, on each computer, with respect to which the license terms are to be enforced, in  
25 association with the policy server database, for (i) communicating with the license server, (ii) interfacing with both the software product and the policy server database, and (iii) making a permission-to-run availability  
30 determination, with respect to local usage of the software product, on the basis of applicable data from the license server and the policy server database, so that enforcement of license terms applicable to the software product at a given local node is achieved on the basis of both license  
35 policy maintained in the policy server database as well as applicable data from the license server.

2. A system according to claim 1, wherein each computer at a node with respect to which license terms are to be

enforced includes means for maintaining locally a policy server database, containing data specifying conditions under which usage of the software product is permitted on such node.

5 3. A system according to claim 1, further comprising:

(c) log means for recording and maintaining a log file of recent software product usage on each computer at a node with respect to which license terms are to be enforced, such log file being accessible to such policy server means, and  
10 wherein such policy server means includes means for making a permission-to-run availability determination in the absence of data from the license server on the basis of data from the policy server database and the log file, so that a favorable determination is possible if the log file  
15 indicates a sufficient level of recent usage of the pertinent software product on the computer on which such policy server means is operating.

4. A system according to claim 2, wherein

(i) each policy server database contains data  
20 specifying conditions under which usage of each of plurality of software products is permitted on the computer on which the database is maintained, and

(ii) each policy server means includes means for interfacing with each of the software products,

25 so that enforcement of license terms applicable to each software product at a given local node may be achieved on the basis of both license policy maintained at such local node as well as applicable data from the license server.

5. A system according to claim 4, further comprising:

30 (c) log means, maintained locally in association with each policy server means, for recording and maintaining a log file of recent software product usage on the computer on which such log means is maintained, such log file being accessible to such policy server means, and wherein such  
35 policy server means includes means for making a permission-to-run availability determination in the absence of data from the license server on the basis of data from the policy

server database and the log file, so that a favorable determination is possible if the log file indicates a sufficient level of recent usage of the pertinent software product on the computer on which such policy server means is  
5 operating.

6. A system according to claim 1, wherein the policy server database is encrypted.

7. A system according to claim 5, wherein the policy server database and the log file are encrypted.

10 8. A system according to claim 4, wherein the policy server means include means for maintaining a secure interface with each of the software products.

9. A system according to claim 7, wherein the policy server means includes means for maintaining a secure  
15 interface with each of the software products.

10. A system according to claim 4, wherein one of the policy server databases includes a limit on the number of nodes that may simultaneously use a given software product and wherein the corresponding policy server means associated  
20 with such policy server database includes reservation means for informing the license server, over a predetermined time interval, that the node associated with such policy server means is using the given software product, regardless  
25 that such node will always be available to use such software product, despite attempts to use the software product at other nodes which if successful would otherwise foreclose use at such node of such software product, with the effect that the reservation means reserves use of such software  
30 product at such node over the predetermined time interval.

11. A system according to claim 5, wherein one of the policy server databases includes a limit on the number of nodes that may simultaneously use a given software product and wherein the corresponding policy server means associated  
35 with such policy server database includes reservation means for informing the license server, over a predetermined time interval, that the node associated with such policy server

means is using the given software product regardless of whether such software product is actually being used, so that such node will always be available to use such software product despite attempts to use the software product at other nodes which if successful would otherwise foreclose use at such node of such software product, with the effect that the reservation means reserve use of such software product at such node over the predetermined time interval.

12. A system according to claim 9, wherein one of the policy server databases includes a limit on the number of nodes that may simultaneously use a given software product and wherein the corresponding policy server means associated with such policy server database includes reservation means for informing the license server, over a predetermined time interval, that the node associated with such policy server means is using the given software product, regardless whether such software product is actually being used, so that such node will always be available to use such software product, despite attempts to use the software product at other nodes which if successful would otherwise foreclose use at such node of such software product, with the effect that the reservation means reserves use of such software product at such node over the predetermined time interval.

13. A computer network comprising:

(a) a plurality of digital computers, each computer at a node, in communication with each other over a data path;

(b) usage tracking means, associated with one of the computers acting as a license server, for (i) causing the storage of the number of licenses available for running the software product on nodes of the data path, (ii) identifying the current set of nodes with respect to which a license has been granted to run the software product at a given time, and (iii) determining whether at any given time any licenses remain to be granted for permitting an additional node to run the software product;

(c) a policy server database, maintained locally on such computer with respect to which it is desired to enforce

- 23 -

license terms applicable to usage of the software products, containing data specifying conditions under which usage of any given one of the software products is permitted on the computer on which the database is maintained; and

5 (d) policy server means, maintained and operating locally, on each computer with respect to which it is desired to enforce license terms applicable to usage of the software products, and in association with the corresponding policy server database, for (i) communicating with the  
10 license server, (ii) interfacing with both (aa) each of the software products and (bb) the corresponding policy server database, and (iii) making a permission-to-run availability determination, with respect to local usage of any given software product, on the basis of applicable data from the  
15 license server and the corresponding policy server database, so that enforcement of license terms applicable to the given software product at a given node is achieved on the basis of the license policy maintained at such local node as well as applicable data from the license server.

20 14. A computer network according to claim 13, further comprising:

(e) log means, maintained locally in association with each policy server means, for recording and maintaining a log file of recent software product usage on the computer on  
25 which such log means is maintained, such log file being accessible to such policy server means, and wherein such policy server includes means for making a permission-to-run availability determination in the absence of data from the license server on the basis of data from the policy server  
30 database and the log file, so that a favorable determination is possible if the log file indicates a sufficient level of recent usage of the pertinent software product on the computer on which such policy server is operating.

15. A computer network according to claim 14, wherein the  
35 policy server database and the log file are encrypted.

16. A computer network according to claim 12, wherein the policy server means includes means for maintaining a secure

interface with each of the software products.

17. A computer network according to claim 15, wherein the policy server means includes means for maintaining a secure interface with each of the software products.

5 18. A digital storage medium encoded with instructions for a given computer in a computer network of the type having:

(i) a plurality of digital computers, each computer at a node, in communication with each other over a data path;

(ii) usage tracking means, associated with one of the  
10 computers acting as a license server, for (i) causing the storage of the number of licenses available for running the software product on nodes of the network, (ii) identifying the current set of nodes with respect to which a license has been granted to run the software product at a given time,  
15 and (iii) determining whether at any given time any licenses remain to be granted for permitting an additional node to run the software product,

the instructions when loaded into the given computer establishing:

20 (a) data structure for a policy server database, maintained locally on the given computer, containing data specifying conditions under which usage of any given one of the software products is permitted on the given computer; and

25 (b) policy server means, maintained and operating locally, on the given computer, and in association with the policy server database, for (i) communicating with the license server, (ii) interfacing with both (aa) each of the software products and (bb) the policy server database, and  
30 (iii) making a permission-to-run availability determination, with respect to local usage of any given software product, on the basis of applicable data from the license server and the policy server database, so that enforcement of license terms applicable to the given software product at the given  
35 computer is achieved on the basis of the license policy maintained at the given computer as well as applicable data from the license server.

- 25 -

19. A system, for administration of license terms for use of a software product on a computer, comprising:

(a) a policy server database containing data specifying conditions under which usage of the software product is permitted on the computer;

(b) policy server means, operating on the computer, in association with the policy server database, for (i) interfacing with the software product and the policy server database and (ii) making a permission-to-run availability determination, with respect to usage of the software product, on the basis of data from the policy server database.

15

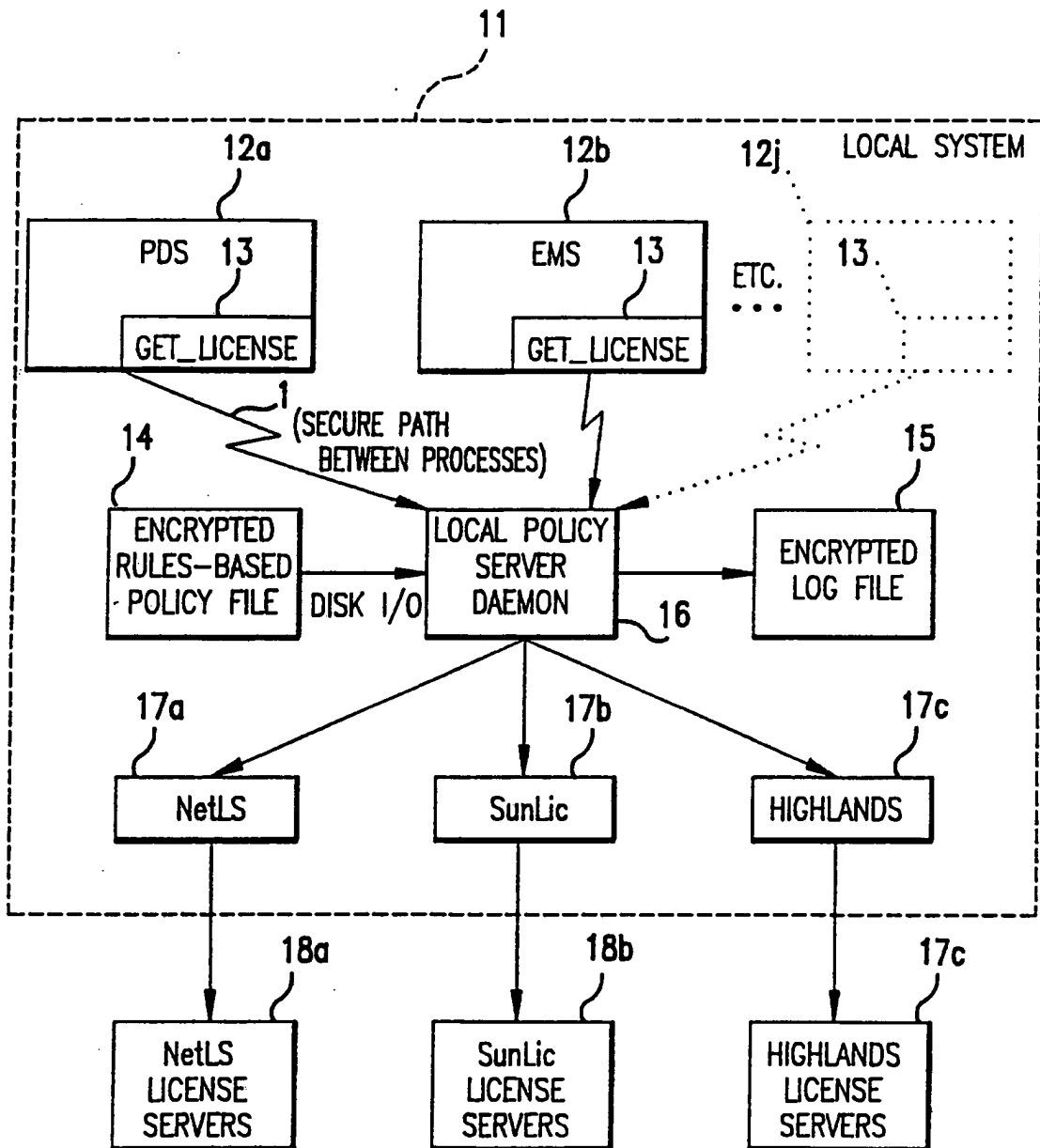
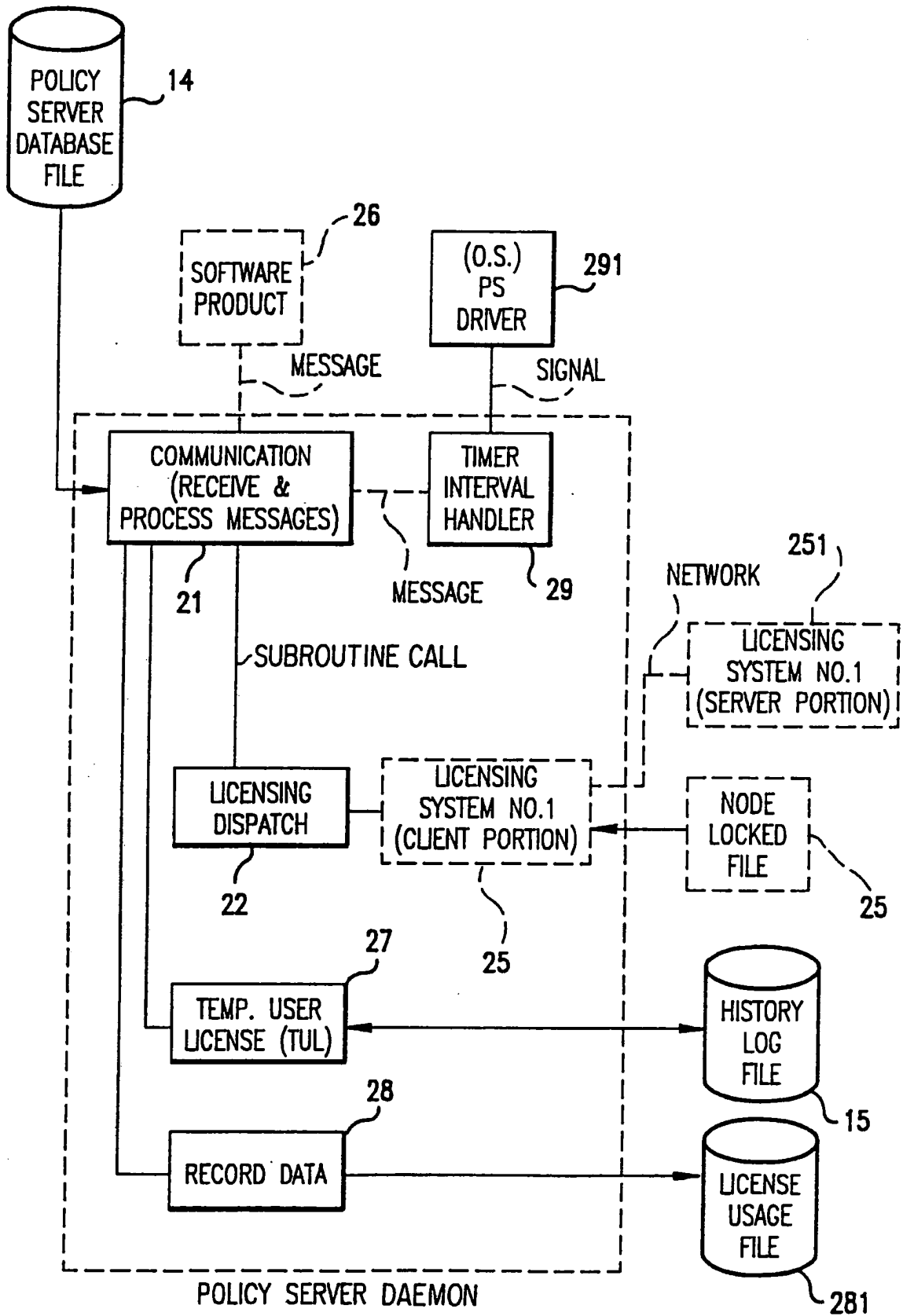


FIG. 1





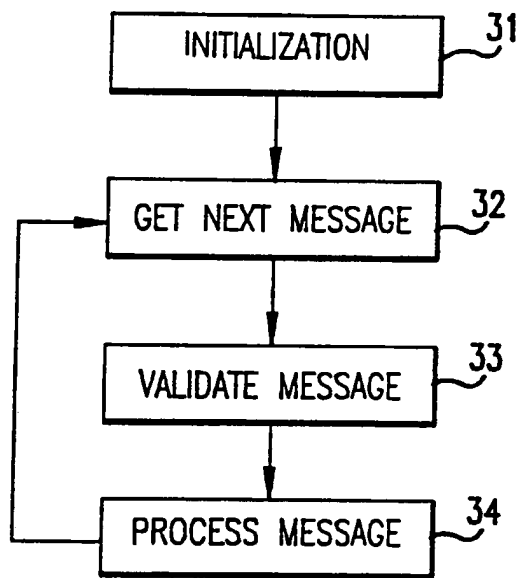


FIG.3

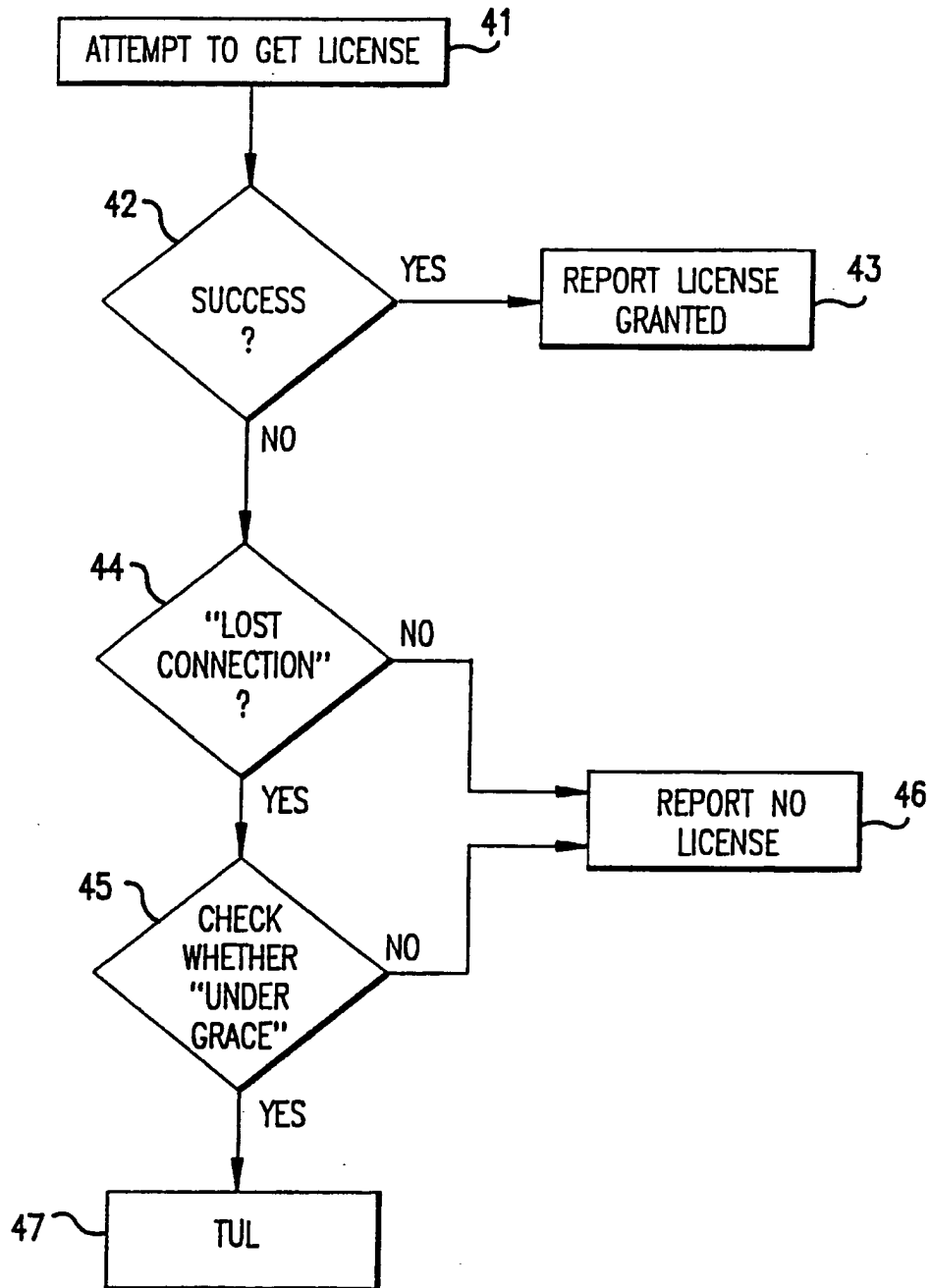


FIG.4

SUBSTITUTE SHEET

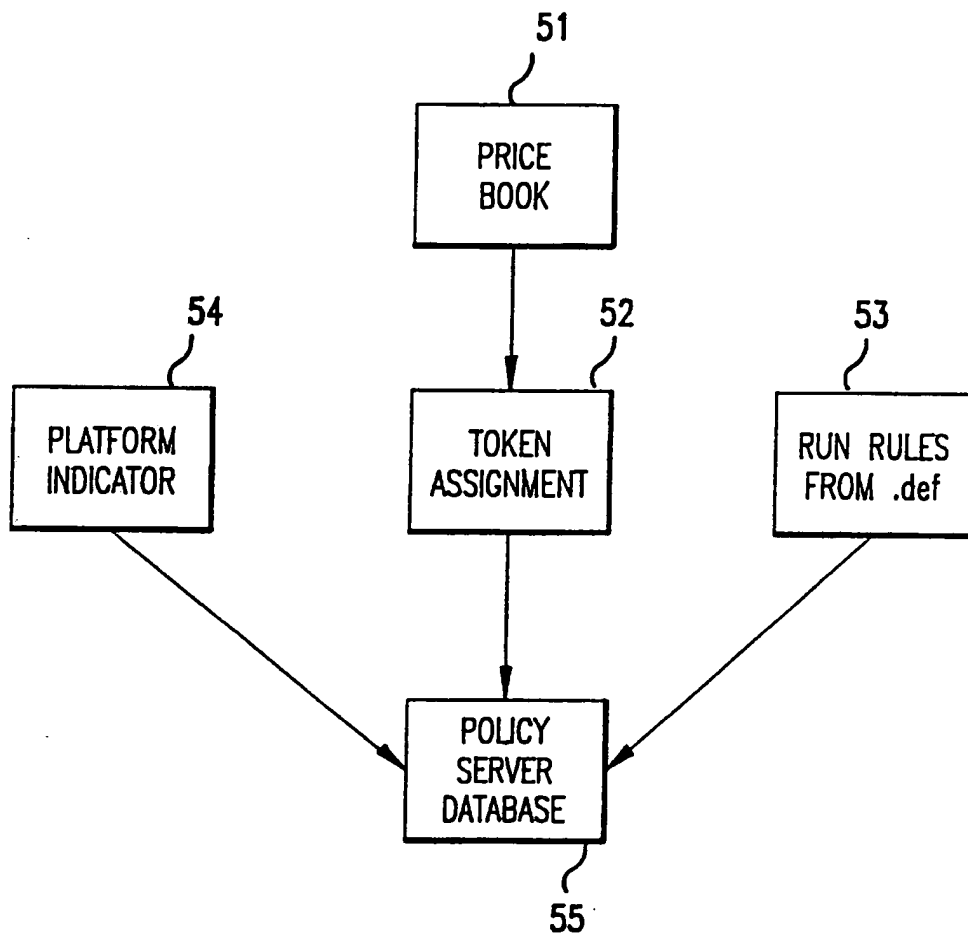


FIG.5

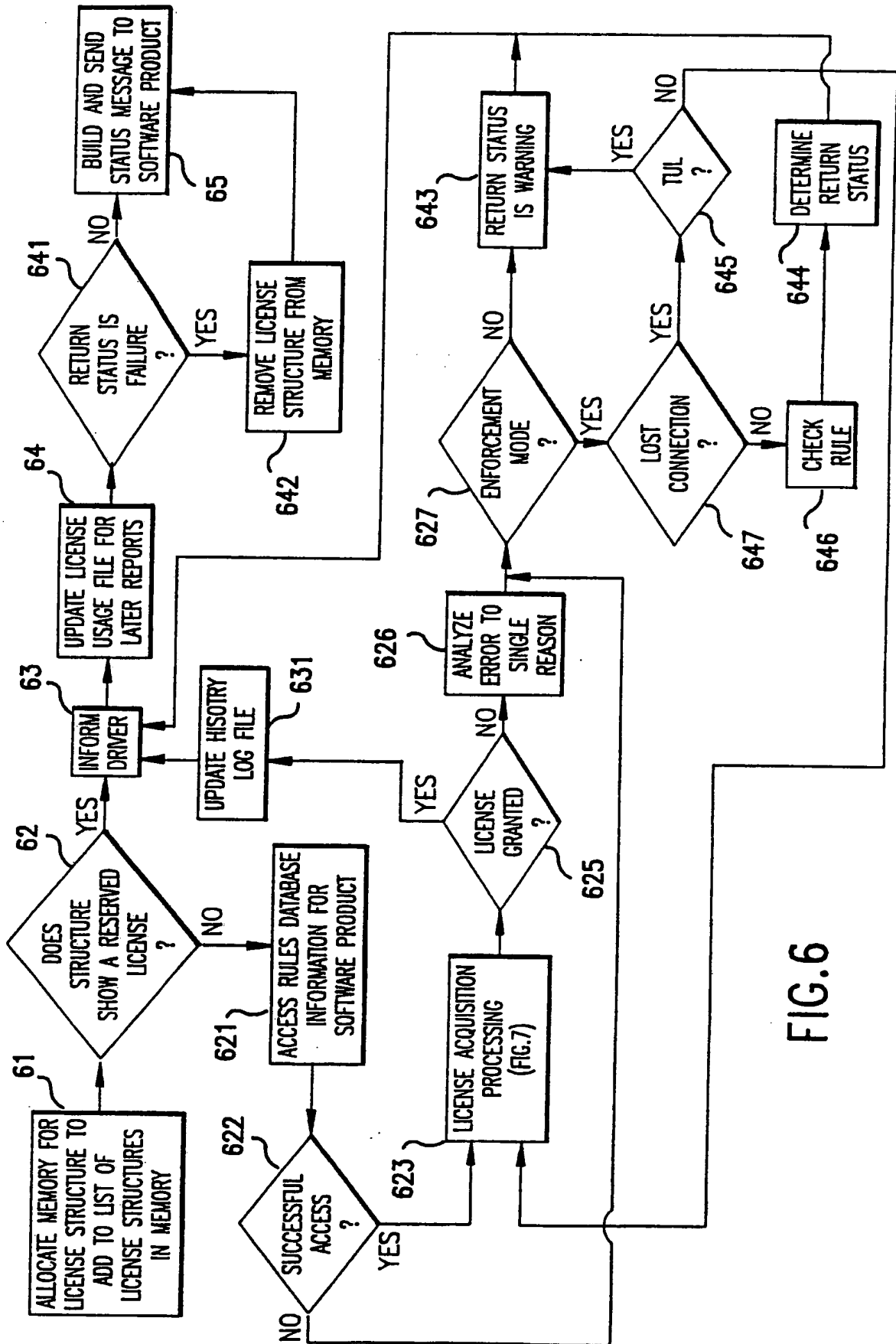


FIG. 6

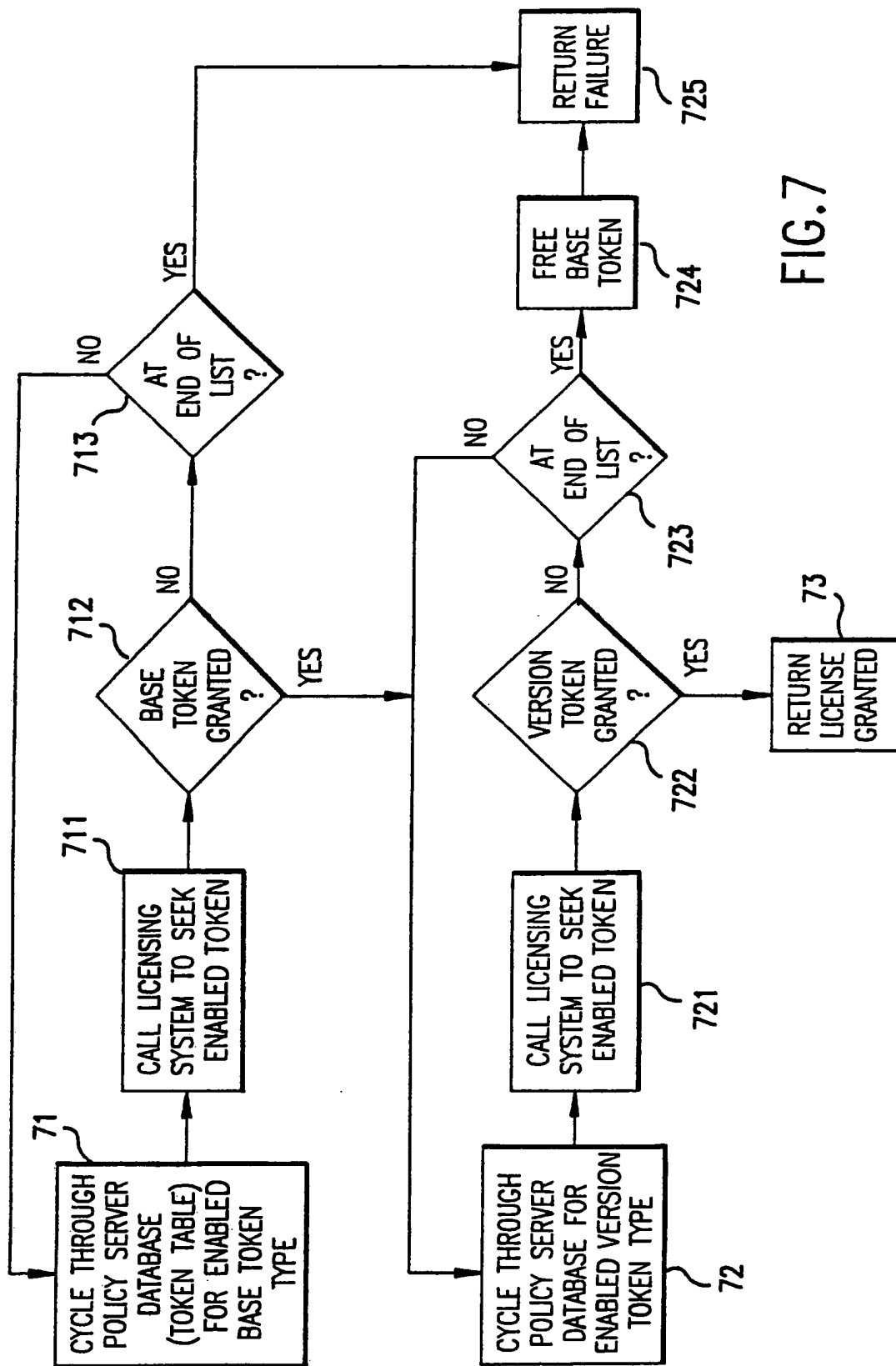


FIG. 7

Ⓢ SUBSTITUTE SHEET

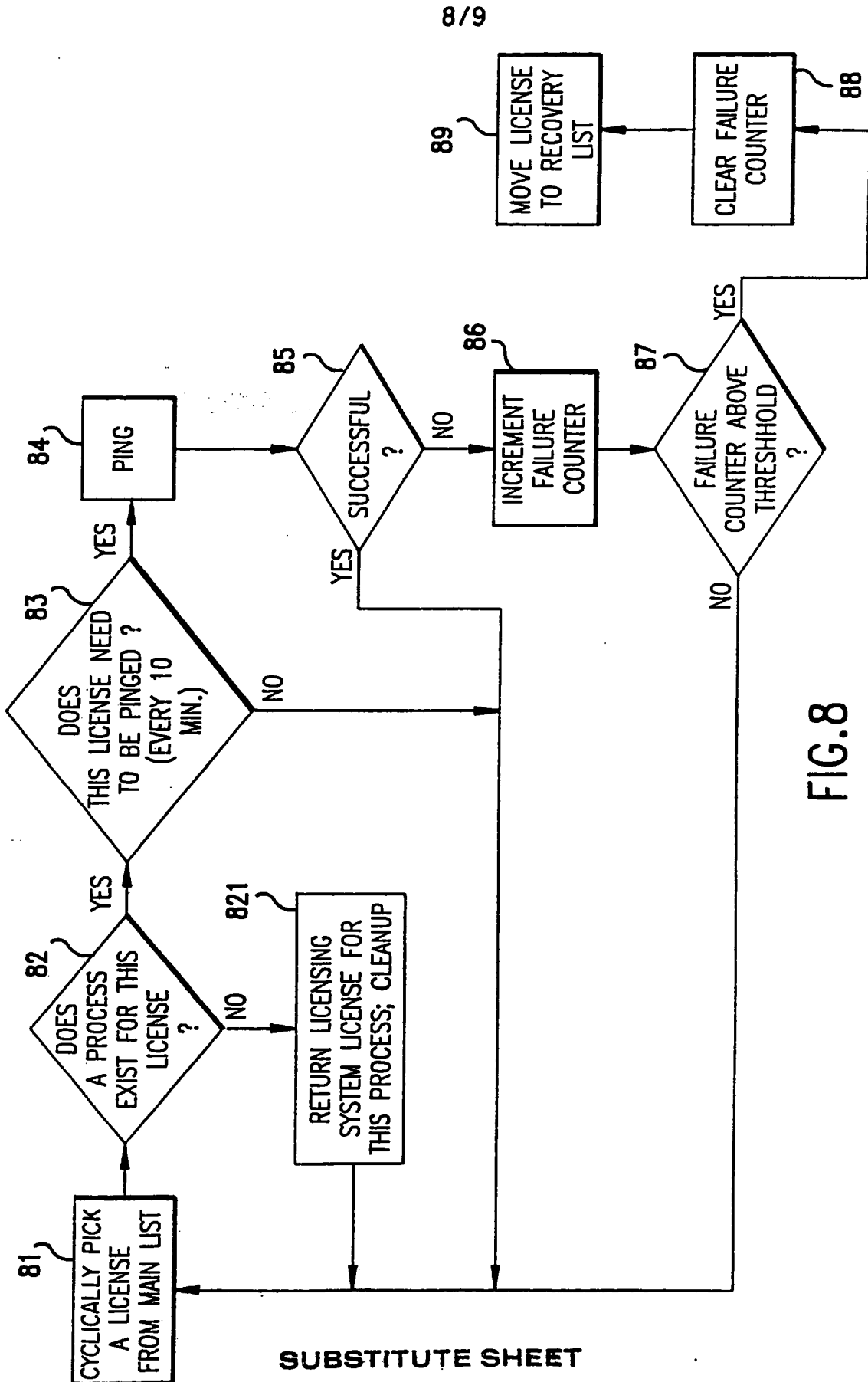


FIG.8

SUBSTITUTE SHEET

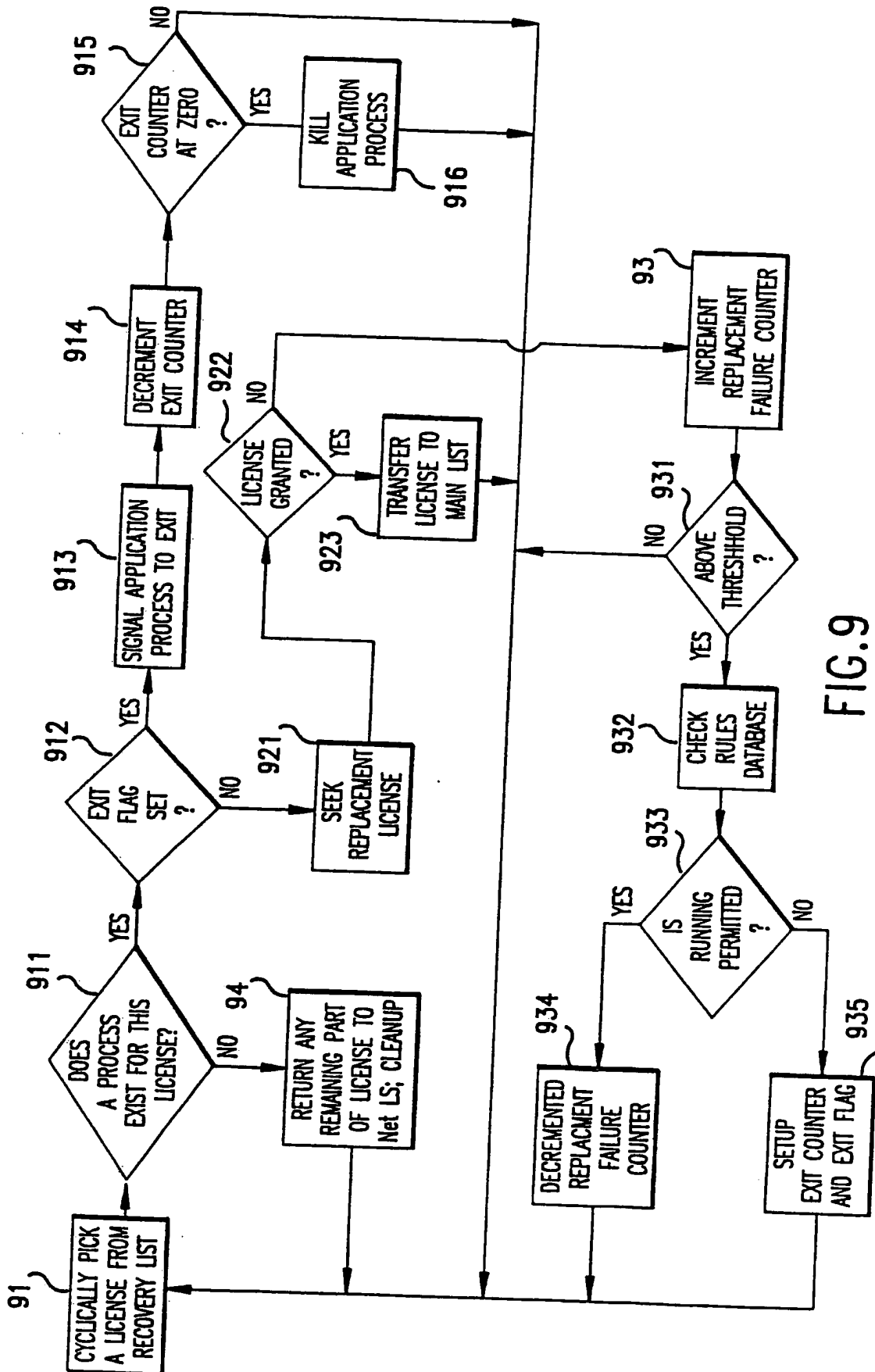


FIG. 9



**INTERNATIONAL SEARCH REPORT**

PCT/US 92/10215

International Application No

<b>I. CLASSIFICATION OF SUBJECT MATTER</b> (if several classification symbols apply, indicate all) <sup>6</sup>		
According to International Patent Classification (IPC) or to both National Classification and IPC Int.Cl. 5 G06F1/00;                      G06F11/34		
<b>II. FIELDS SEARCHED</b>		
Minimum Documentation Searched <sup>7</sup>		
Classification System	Classification Symbols	
Int.Cl. 5	G06F	
Documentation Searched other than Minimum Documentation to the Extent that such Documents are Included in the Fields Searched <sup>8</sup>		
<b>III. DOCUMENTS CONSIDERED TO BE RELEVANT<sup>9</sup></b>		
Category <sup>10</sup>	Citation of Document, <sup>11</sup> with indication, where appropriate, of the relevant passages <sup>12</sup>	Relevant to Claim No. <sup>13</sup>
A	GB,A,2 236 604 (SUN MICROSYSTEMS, INC.) 10 April 1991  see page 9, line 11 - page 10, line 28 see page 12, line 16 - page 13, line 13 see page 14, line 20 - page 16, line 27 see figures 1-3  ---	1-7, 13-15, 18-19
A	US,A,5 023 907 (APOLLO COMPUTER) 11 June 1991  see column 2, line 49 - column 5, line 42 see figures 1,2  ---  -/--	1-5, 13-14, 18-19
<p><sup>10</sup> Special categories of cited documents:</p> <p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier document but published on or after the international filing date</p> <p>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p> <p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step</p> <p>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.</p> <p>"&amp;" document member of the same patent family</p>		
<b>IV. CERTIFICATION</b>		
Date of the Actual Completion of the International Search	26 FEBRUARY 1993	Date of Mailing of this International Search Report  23.09.93
International Searching Authority  EUROPEAN PATENT OFFICE	Signature of Authorized Officer  JOHANSSON U.C.	

III. DOCUMENTS CONSIDERED TO BE RELEVANT (CONTINUED FROM THE SECOND SHEET)		Relevant to Claim No.
Category °	Citation of Document, with indication, where appropriate, of the relevant passages	
A	EP,A,0 332 304 (DIGITAL EQUIPMENT CORP.) 13 September 1989 see column 3, line 31 - column 6, line 8 see column 6, line 42 - column 7, line 23 see column 8, line 33 - column 9, line 44 see figure 1 -----	1,2, 10-13,18

**ANNEX TO THE INTERNATIONAL SEARCH REPORT  
ON INTERNATIONAL PATENT APPLICATION NO.**

US 9210215  
SA 67461

This annex lists the patent family members relating to the patent documents cited in the above-mentioned international search report. The members are as contained in the European Patent Office EDP file on The European Patent Office is in no way liable for these particulars which are merely given for the purpose of information. 26/02/93

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
GB-A-2236604	10-04-91	US-A- 5138712	11-08-92
		CA-A- 2025434	03-04-91
		JP-A- 4100148	02-04-92
US-A-5023907	11-06-91	None	
EP-A-0332304	13-09-89	US-A- 4937863	26-06-90
		JP-A- 2014321	18-01-90

EPO FORM P0077

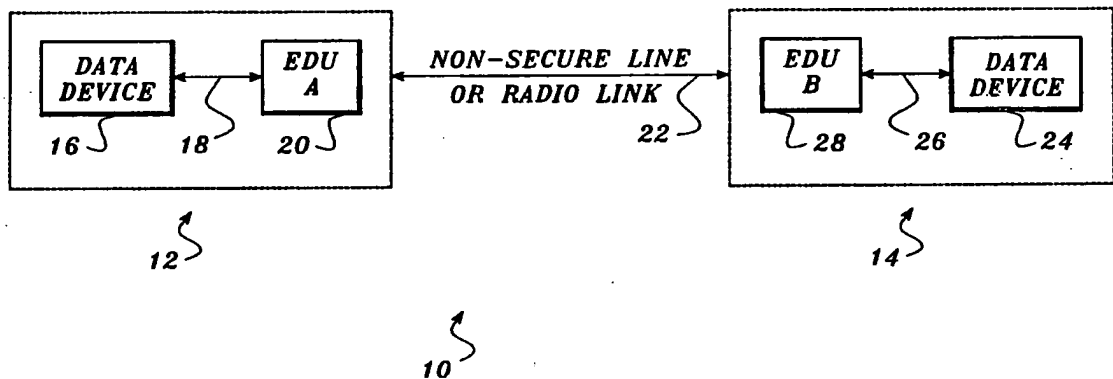
For more details about this annex : see Official Journal of the European Patent Office, No. 12/82



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>5</sup> : <b>H04L 9/00</b></p>	<p><b>A1</b></p>	<p>(11) International Publication Number: <b>WO 94/03003</b> (43) International Publication Date: 3 February 1994 (03.02.94)</p>
<p>(21) International Application Number: PCT/US93/04340 (22) International Filing Date: 4 May 1993 (04.05.93) (30) Priority data: 07/917,598 23 July 1992 (23.07.92) US (71) Applicant: CREST INDUSTRIES, INC. [US/US]; 201 Frontage Road North, Suite B, Pacific, WA 98047 (US). (72) Inventors: RASMUSSEN, Harry, Ronald ; 6105-4th Street Court Northeast, Tacoma, WA 98422 (US). LaBOUNTY, Jack, Daley ; 16931 Southeast 32nd Place, Bellevue, WA 98008 (US). ROSENOW, Michael, James ; 1420 Northwest Gillman, Suite 2305, Issaquah, WA 98027 (US).</p>	<p>(74) Agent: ANDERSON, Ronald, M.; Christensen, O'Connor, Johnson &amp; Kindness, 2800 Pacific First Centre, 1420 Fifth Avenue, Seattle, WA 98101-2347 (US). (81) Designated States: AT, AU, BB, BG, BR, CA, CH, CZ, DE, DK, ES, FI, GB, HU, JP, KP, KR, KZ, LK, LU, MG, MN, MW, NL, NO, NZ, PL, PT, RO, RU, SD, SE, SK, UA, VN, European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).  Published With international search report.</p>	

(54) Title: ENCRYPTION/DECRYPTION APPARATUS WITH NON-ACCESSIBLE TABLE OF KEYS



(57) Abstract

An encryption/decryption unit (EDU) that handles management of encryption keys used in the secure exchange of data over non-secure communication links. Each EDU includes a central processing unit (CPU) that controls its operation, random access memory (RAM) in which tables of key exchange keys (KEKs) are stored, and a data encryption standard (DES) coprocessor that implements a data encryption algorithm developed by the U.S. National Bureau of Standards - all comprising a module that is embedded in a potting material. Attempts to remove the potting material either by mechanical or solvent means are likely to result in loss of the data and program code stored in the module. The CPU includes special circuitry enabling it to operate in an encrypted mode so that it can not be interrogated to discover the program or data stored therein. This program enables the EDU (20) to establish secure communications with another similar EDU (28) over a non-secure link. Each EDU establishing a secure communications session randomly generates a portion of a session data encryption key (DEK) that is encoded by using a KEK from either a public or private table of keys stored in the embedded RAM. The two EDUs exchange the encrypted portions of the DEK, decrypt the portions, and then logically combine them to determine the current session DEK. Use of a stored EDU ID in each EDU comprising the link prevents a third EDU from bridging the link to tap into the communications between two stations.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AT	Austria	FR	France	MR	Mauritania
AU	Australia	GA	Gabon	MW	Malawi
BB	Barbados	GB	United Kingdom	NE	Niger
BE	Belgium	GN	Guinea	NL	Netherlands
BF	Burkina Faso	GR	Greece	NO	Norway
BG	Bulgaria	HU	Hungary	NZ	New Zealand
BJ	Benin	IE	Ireland	PL	Poland
BR	Brazil	IT	Italy	PT	Portugal
BY	Belarus	JP	Japan	RO	Romania
CA	Canada	KP	Democratic People's Republic of Korea	RU	Russian Federation
CF	Central African Republic	KR	Republic of Korea	SD	Sudan
CG	Congo	KZ	Kazakhstan	SE	Sweden
CH	Switzerland	LJ	Liechtenstein	SI	Slovenia
CI	Côte d'Ivoire	LK	Sri Lanka	SK	Slovak Republic
CM	Cameroon	LU	Luxembourg	SN	Senegal
CN	China	LV	Latvia	TD	Chad
CS	Czechoslovakia	MC	Monaco	TG	Togo
CZ	Czech Republic	MG	Madagascar	UA	Ukraine
DE	Germany	ML	Mali	US	United States of America
DK	Denmark	MN	Mongolia	UZ	Uzbekistan
ES	Spain			VN	Viet Nam
FI	Finland				

**ENCRYPTION/DECRYPTION APPARATUS WITH NON-ACCESSIBLE  
TABLE OF KEYS**

Field of the Invention

5 The present invention generally pertains to apparatus for encrypting and  
decrypting data, and more specifically, to apparatus for implementing the encryption  
and decryption process with secret encryption keys.

Background of the Invention

10 Procedures for encrypting and decrypting data for transmission over non-  
secure radio or telephone links have been highly refined to meet the needs of the  
military and industry. An encryption algorithm that is virtually unbreakable in any  
reasonable time frame, by even the most powerful of high-speed computers, has been  
developed and published by U.S. National Bureau of Standards and sanctioned for use  
by industry in this country as an acceptable method for protecting computerized data  
conveyed over non-secure channels. In fact, integrated circuits designed specifically  
15 for encryption and decryption of data in accordance with this Data Encryption  
Algorithm (DEA) are readily available from several vendors, such as Western  
Digital™. The algorithm, like most encryption schemes, uses an encryption key to  
encrypt data. Successful use of the DEA, and almost any other encryption/decryption  
algorithm commonly employed, requires that the station receiving the encrypted  
20 transmission have the same key used to encrypt the data in order to decrypt it.  
Accordingly, no unauthorized party should know or have access to the encryption key  
that is being used.

Unfortunately, for any prior art encryption/decryption system using the DEA  
or similar algorithms, extensive security measures are required for managing and

periodically changing the encryption keys that are used. Any third party that gains access to the encryption key being used to encrypt data can tap into a non-secure line over which encrypted messages are transmitted and then use the key to decrypt messages that are intercepted. Even if knowledge of the encryption key used is limited to those operating the encryption/decryption equipment, there can be no assurance that others outside an organization will not breach security and learn the encryption key due to failure of someone in the organization to follow security procedures. As the size of a network over which secure communications must be maintained expands, the difficulty in managing the encryption keys used on the network grows exponentially.

Since any person with access to the encryption keys can breach the security of encrypted communications between members of the network, encryption keys must be changed on a regular basis. Frequent changes in the encryption keys in use minimizes the risk of disclosure by individuals that previously had access to the keys. However, any such change requires that the new encryption keys be distributed to all stations in the network. Typically, the new encryption keys are hand carried to each station site by bonded couriers; nevertheless, it is possible that a courier may compromise security. Even if a security breach does not occur, the cost of regularly distributing encryption keys to each station of a large network in this manner may be prohibitive.

For these reasons, it is preferable to use encryption keys at each station in a network that are not known to anyone, even those operating the encryption/decryption apparatus. Various techniques have been developed to access encryption keys stored in an electronic memory for this purpose. For example, a new encryption key can be selected for subsequent encryption of communications between stations based on the last encryption key that was used, by applying a secret formula to generate the new key. However, if the formula is discovered or otherwise becomes known by someone who is outside the organizational network, security of the encryption system is breached, since that person can generate the encryption keys that will subsequently be used, simply by applying the formula to any previously discovered key.

Clearly, it would be preferable to randomly generate the encryption key that is used to encrypt data transmitted to another station each time that communications are initiated. Yet, random generation of an encryption key at one station inherently renders the receiving station unable to decrypt the message, because it does not have the encryption key used. What is therefore required are means for transmitting the encryption key from one station to another in an encrypted form, with some provision

that enables the receiving station to decrypt the encryption key. Prior art encryption/decryption apparatus do not provide means to accomplish this task in an efficient manner that is not easily circumvented. Any key exchange key (KEK) that is used in the process of transferring an encryption key for encrypting and decrypting the message to the other station must be available to both stations, but can not be available to anyone outside the secure network of stations. Even if the encryption apparatus is available to someone outside the organization, it should be virtually impossible to discover the KEKs used by stations comprising the network, if secure communications are to be maintained.

10 The foregoing aspects and many of the attendant advantages of this invention over the prior art will become more readily appreciated as the same becomes better understood by reference to the following detailed description, when taken in conjunction with the accompanying drawings.

#### Summary of the Invention

15 In accordance with the present invention, encryption/decryption apparatus for ensuring secure communications between two stations include encryption processor means for encrypting and decrypting data using a session data encryption key (DEK) that is input thereto. Control means coupled to the encryption processor means are provided for controlling the operation of the encryption processor means. The control means supply the encryption processor means with the data for encryption and decryption and with an encryption key for use in encrypting and decrypting the data to produce an output signal in response to programmed instructions. These programmed instructions cause the control means to automatically randomly select a part of a session DEK and to combine it with another part of the session DEK received from the other station to determine the session DEK that will be used by the encryption processor means to encrypt data. Non-volatile memory means that are coupled to the control means store a plurality of key encryption keys that are used by the encryption processor means in encrypting a part of the session DEK for transmission to the other station. The control means select the key encryption key from the plurality of key encryption keys as a function of a check value determined with the part of the session key.

30 Within the non-volatile memory means is disposed an internal power source that provides electrical power to maintain storage of the plurality of key encryption keys. Potting means encapsulate the encryption processor means, the control means, and the non-volatile memory means in a radio and light wave opaque material that is sufficiently hard and resistant to dissolution by solvents to prevent its removal without



damage to interconnections coupling the non-volatile memory means to the control means and damage to interconnections supplying electrical power to the non-volatile memory means from the internal power source. Such damage causes erasure of the plurality of key encryption keys stored in the non-volatile memory means. In addition, the control means respond to any attempt to externally interrogate the non-volatile memory means by causing erasure of the key encryption keys stored therein.

Multiplexer means are coupled to the control means to receive a data signal and a select signal therefrom, and are also coupled to the encryption processor means, an output port, and the memory means; the multiplexer means selectively convey the data signal to one of the encryption processor means, the output port, and the memory means, in response to the select signal. The control means include a non-volatile memory for retaining program steps and a unique identification code that identifies a specific encryption/decryption apparatus. In addition, the control means include means for locking the control means and its non-volatile memory to prevent data and program steps from being read externally after storage of the program steps in the non-volatile memory is complete. The means for locking include means for encrypting data and memory addresses defining memory storage locations within the non-volatile memory of the control means and within the non-volatile memory means.

#### Brief Description of the Drawings

FIGURE 1 is a block diagram of a communications network comprising two stations, each provided with an encryption/decryption unit (EDU) in accordance with the present invention, thereby enabling the stations to establish secure communications over a non-secure line or radio link;

FIGURE 2 is a schematic block diagram of one of the EDUs shown in FIGURE 1;

FIGURE 3 is a flow chart illustrating the logical steps implemented at one station by the EDU in selecting and encrypting a first portion of a session encryption key for transmittal to another station;

FIGURE 4 is a flow chart illustrating the logical steps implemented by the EDU at the other station in decrypting the first portion of the session encryption key, and in selecting and encrypting a second portion of the session encryption key for transmittal to the one station; and

FIGURE 5 is a flow chart illustrating the logical steps implemented by the EDU at the one station to decrypt the second portion of the session encryption key.

Detailed Description of the Preferred Embodiment

As noted above, one of the more difficult problems in establishing and maintaining an encrypted communication network is distributing secure DEKs to each station in the network on a regular basis. In FIGURE 1, a simple network for carrying out encrypted communications is shown generally at reference numeral 10. Network 10 is shown simply as two stations, including a station 12 and a station 14, but it will be appreciated that the network can comprise many other such stations.

Both stations 12 and 14 use similar components for encrypting and decrypting communications. For example, station 12 includes a data device 16, which may, for example, comprise a facsimile machine or personal computer (neither shown separately). Data device 16 is connected through lines 18 to an EDU A 20. Station 12 uses EDU A 20 to establish secure communications over a non-secure line (or radio link) 22 with station 14, which includes an EDU B 28. EDU B 28 is connected to a data device 24 over lines 26. Data device 24 is the same type of device as data device 16. Thus, if data devices 16 and 24 are facsimile machines, communications network 10 permits secure communication of facsimile information in an encrypted form between stations 12 and 14 over non-secure line 22.

Because of the manner in which secure communications are established between EDU A 20 and EDU B 28, tapping into non-secure line 22 using a similar EDU (not shown) would NOT enable a third party to breach secure communications between stations 12 and 14. In the preferred form of the present invention, communications between EDU A 20 and EDU B 28 are carried out using a session encryption key that is changed with each session and comprises two parts, one part randomly selected by EDU A 20, and the other part randomly selected by EDU B 28. Thus, the present invention comprises the EDU at each of the communicating stations 12 and 14. In establishing secure communications between two stations 12 and 14, the EDU at each station randomly select its respective portion of the session encryption key, encrypts that portion of the session encryption key, and transmits the encrypted respective portion of the session encryption key to the other station. Once both station 12 and station 14 have decrypted the portion of the session encryption key developed by the other station, the two portions are logically combined at each station to produce the complete or final session encryption key used for encrypting data transmitted between stations 12 and 14 during the current session. In addition, the EDUs are preprogrammed to ensure that the intended station in a two-way communication link is actually receiving or transmitting the encrypted data, to guard against a third party tapping into non-secure line 22 with another EDU. The EDUs

also ensure that the two portions of the session encryption key that are exchanged between stations 12 and 14 are correctly received and decrypted, thereby protecting against data errors that might have arisen in the transmission of the encrypted portions of the session encryption key between the two stations or in their decryption.

5           A block diagram of EDU 20 is shown in FIGURE 2; EDU 28 is exactly the same, except for having a different EDU identification number stored within it. EDU 20 includes a potted module 30 and an external input/output (I/O) bus 32 for providing interconnections between the EDU and the data device (or to other components, if the EDU is used as an element of a more extensive data encryption apparatus) that will provide the data to be encrypted or will receive the data that is  
10           decrypted by the EDU. Module 30, which comprises virtually the entire EDU, is encapsulated within a radio opaque and light opaque potting compound 34 to prevent discovery of the internal circuitry and to prevent forced electromagnetic or visual tapping, monitoring, or other forms of penetration that might be attempted to uncover  
15           encryption keys and other information included therein. The potting compound is sufficiently hard and resistant to abrasion to prevent its removal without damaging the components comprising the EDU or at least causing loss of important data stored therein. Of greatest sensitivity to maintaining the security of communications between  
20           EDUs comprising a network is the need to protect against discovery of KEKs that are encrypted using a key that is unique to each EDU and is assigned to it when it is initialized. The encrypted KEKs are stored as tables within each EDU and are utilized for encrypting portions of the session encryption key that are exchanged between two stations and subsequently logically combined at each EDU to produce a session DEK that is used for encryption of data exchanged over non-secure line 22. To avoid  
25           breaching the security of communications on network 10, it is absolutely imperative that these KEKs not become publicly known.

          In the preferred form of module 30, two sets or tables of KEKs are stored in encrypted form in a random access memory (RAM) 42. One set is called a "public" set, since each EDU that will be sold will include this set. The other set is a "private"  
30           set of KEKs, which optionally may be randomly generated by a user for distribution to and storage in those EDUs comprising a private network of stations. The significance of the KEKs will be apparent from the description that follows. Any attempt to expose the internal circuitry of module 30 by use of a chemical, solvent, or mechanical means in order to access RAM 42 electronically or physically so as to access these  
35           data will cause loss of the KEKs that are stored therein. RAM 42 preferably comprises a Dallas Semiconductor™ type DS 1213 smart socket in which is installed

a memory integrated circuit (not separately shown) comprising 128K x 8 bits of storage, i.e., yielding 1,048,576 bits of non-volatile static RAM organized as 131,072 words by 8 bits. This memory integrated circuit is a dual in-line package (DIP) package configuration of generally conventional design, but the smart socket contains  
5 an internal battery supply (not separately shown) sufficient to maintain data integrity in the absence of externally applied power for a period in excess of 10 years. Dallas Semiconductor also supplies an integrated circuit non-volatile memory device that includes an integral internal battery supply, and this type of device can be used in place of the smart socket and more conventional memory device combinations. In the  
10 event a chemical solution is used to dissolve potting compound 34 in an attempt to discover the KEKs stored in RAM 142, the material comprising RAM 142 (smart socket or memory device that includes the integral internal battery supply) will also be dissolved, thereby disconnecting the internal battery supply and erasing the KEKs stored therein.

15 Operation of module 30 to establish and conduct secure communications is controlled by a CPU 36, which includes 32K of embedded RAM (not separately shown). In the preferred embodiment, a Dallas Semiconductor™ type DS 5000 microchip integrated circuit is used for CPU 36. The DS 5000 integrated circuit includes non-volatile embedded RAM (not separately shown) and all information and  
20 programming stored therein are preserved in the absence of an externally applied voltage for up to 10 years. In addition, the internal data registers and key configuration registers of the DS 5000 integrated circuit are non-volatile. Data stored within the embedded RAM that comprise program steps carried out by CPU 36 in establishing secure communications can be modified after encapsulation of module 30  
25 has been accomplished with potting material 34; however, initial loading of the embedded RAM within the DS 5000 microchip comprising CPU 36 is accomplished with a conventional universal asynchronous receiver/transmitter (UART) interface (not shown) that is connected through external I/O bus 32 by lines 76. In addition, control lines 50 connect CPU 36 to external I/O bus 32 and convey write, read,  
30 interrupt, and signals for ports 0-3 (P1.0-P1.3) of the CPU.

Data lines (D0-D7) 54 interconnect CPU 36 with RAM 42 and with a buffer 46. Buffer 46 comprises an SN 74HCT245 octal bus transceiver with a three-state output that is used to block external access to internal data transfers occurring  
35 within module 30, thereby preventing an external device from accessing KEKs stored in RAM 42 and other data transferred between components of the module. Buffer 46 is enabled via control signals supplied over a line 74 by CPU 36 when it is appropriate

to allow bi-directional data transfer to and from external I/O bus 32 through lines 52, and therefore to and from an external device.

To provide additional security, CPU 36 operates in an encrypted mode. The encrypted mode is deactivated prior to the initial loading of program steps and data into the embedded RAM of CPU 36. Before the initial loading of program code and data begins during manufacture of the EDU, a 40-bit encryption mode key is selected for use by CPU 36 in the encrypted mode. A data encryptor circuit and an address encryptor circuit (neither separately shown) within CPU 36 respectively control the form in which the program code is stored in the embedded RAM of the CPU and the addresses at which it is stored. As the initial loading of program steps is performed, the data encryptor circuit uses the 40-bit encryption mode key to transform or encrypt opcodes, operands, and data bytes at each memory location defined by the software. Similarly, the address encryptor circuit uses the encryption mode key in a different encryption algorithm to translate or encrypt a logical address of each data byte location into an encrypted address at which the data are actually stored. The contents of the embedded RAM are then verified, and the encrypted mode is enabled by setting a security lock bit. After the security lock bit is set to enable operation in the encrypted mode, the contents of the CPU's embedded RAM is unintelligible to an observer that might attempt to tap into its circuitry to discover the program code and other data stored therein. The address and data encryptor circuitry provides real time translation or decryption of program code and address locations to CPU 36 during subsequent operation of the EDU. Only program code and data stored in the CPU's embedded RAM that does NOT affect secure operation of the EDU can be changed after the security lock bit is set. Any attempt to externally interrogate the CPU to discover the 40-bit encryption key causes its erasure, rendering the contents of the embedded RAM useless. Even if the encrypted program code and data are thereafter read back from the embedded RAM in CPU 36, they can not be decrypted without the 40-bit encryption mode key, which is lost.

CPU 36 selects a specific storage location for a KEK within RAM 42 by setting 16 address bits. Lines 58 connect CPU 36 to a latch 44, and lines 60 connect latch 44 to RAM 42. To minimize the total number of pins required on CPU 36, the first eight address bits (A0-A7) and eight bits of data (D0-D7) use the same pins on CPU 36. These address bits and data are alternatively passed between CPU 36, latch 44, and RAM 42 over lines 58 and 60, respectively. The eight most significant bits of the address are conveyed on lines 56b directly from CPU 36 to RAM 42 and to external I/O bus 32. The least significant eight address bits (A0-A7) are carried on

lines 56a. In the preferred embodiment, the 16 address bits are available on lines 56 at external I/O bus 32 to address the embedded RAM in CPU 36 when it is initially loaded or subsequently modified.

Although CPU 36 controls the operation of module 30, the actual encryption  
5 and decryption of data is implemented by a data encryption standard (DES)  
coprocessor 38. DES coprocessor 38 is designed to encrypt and decrypt 64-bit  
blocks of data using the algorithm specified in the Federal Information Processing  
Data Encryption Standard (No. 46). A transfer rate of 807 kilobytes per second is  
10 implemented by DES coprocessor 38 under the control of a 10 megahertz clock  
circuit 48, to which the DES coprocessor is connected through lines 70. Data are  
transferred between CPU 36 and DES coprocessor 38 over lines 72. In the preferred  
embodiment, a Western Digital™ type DES WD20C03A integrated circuit is used  
for DES coprocessor 38, although other such devices are available from other  
suppliers. A decoder/multiplexer (MUX) 40 is connected through lines 68 to DES  
15 coprocessor 38 and through lines 66 to CPU 36. Decoder/MUX 40 is a three-line to  
eight-line circuit that decodes one of eight lines, dependent upon three binary select  
inputs and three enable inputs. Lines 66 carry the three binary select signals and the  
output signal from decoder/MUX 40 and line 68 carries selectable input 7. In  
addition, lines 62 carry selectable inputs 5 and 6 from RAM 42, while lines 64, which  
20 extend between decoder/MUX 40 and external I/O bus 32 convey selectable  
inputs 0-4.

The embedded non-volatile RAM in CPU 36 is loaded with the appropriate  
program steps for controlling the operation of EDU 20 at the time module 30 is  
manufactured. In addition, RAM 42 is loaded with a set of 65,535 public KEKs that  
25 are randomly generated from over 72 quadrillion possibilities. Each EDU that is thus  
produced stores the same table of 65,535 randomly generated public encryption keys.  
Any EDU can establish secure encrypted communications with any other EDU using  
the public KEKs. Also stored in RAM 42 is a user-generated table of over 65,535  
randomly generated private encryption keys. These private KEKs are used for  
30 initiating secure communications with another EDU in the private network that has  
the same table of private KEKs stored within its RAM 42.

The steps involved in establishing secure communications between two EDUs  
are shown in FIGURES 3, 4, and 5. Not shown are any handshaking steps necessary  
to connect two EDUs in communication with each other so that data for a specific  
35 device can be transmitted between them. Preferably, such handshaking steps are

implemented by transmitting predefined data blocks between the two devices, but do not necessarily require action by either EDU.

In FIGURE 3, a flow chart 100 identifies the steps taken by EDU B 28, acting as the intended recipient, to establish secure communications. It will be apparent the steps in flow chart 100 could also be carried out by EDU A 20; however, the choice was made in the preferred embodiment to have the receiving station start the process of determining a session data encryption key, thereby avoiding the possibility that a third party posing as another station might tap into the unsecured line with an EDU to initiate the secure communications link. The method begins with a start block 102. In a block 104, EDU B 28 generates a 64-bit random data encryption key 1 (DEK1), which is one of over 72 quadrillion possible data encryption keys (i.e., all possible combinations of 56 bits).

The DEK1 is the first portion of a session data encryption key that will be subsequently used for transmitting encrypted data between the two EDUs. In a block 106, EDU B 28 then uses the DEK1 as the encryption key in implementing the DEA to encrypt one block of data. The use of the DEA to encrypt a single block of data is referred to as an electronic code book (ECB) method and is carried out by DES coprocessor 38 under the control of CPU 36. The ECB method employs the key (DEK1) to encrypt a 64-bit zero function, i.e., a function comprising 64 logical zeros, the result being used to determine a check value.

In a block 108, a KEK table entry value KEK1 comprising the 16 least significant bits (LSBs) of the 64-bit check value from block 106 is determined. The EDU uses the public or private table for KEKs, as specified by EDU A 20 during the handshaking that preceded establishing the secure communications link. The public table and private table of KEKs each represent a linear array of data, that can be taken in groups of four 16-bit words or 64-bits at a time, to define a KEK. The 16 LSBs of the check value determine the starting point or table entry value in the selected table to determine the 64 bits used as a KEK, as indicated in a block 110. Using the 64-bit KEK selected from the table as the encryption key, the EDU encrypts the value DEK1 using the ECB method in a block 112. A cyclic redundancy check (CRC) value for the KEK table that was selected is then determined in the conventional manner.

In a block 114, the EDU encrypts the KEK table CRC, its own EDU ID number (which is stored in within module 30 and is not user modifiable), and the KEK1 entry value using a predefined header encryption key and the ECB method to produce an encrypted key header. The header encryption key is stored in the embedded RAM within CPU 36 at the time that its programming is initially loaded

and is the same for each EDU. In a block 116, the EDU transmits the encrypted key header and encrypted DEK1 to EDU A 20, which initiated the communication. Although both parts of this transmission are encrypted, they are encrypted at different levels of security, since the encrypted key header is always sent encrypted with the same predefined (although inaccessible) key and the encrypted DEK1 uses a different key with virtually every communication session between two EDUs. The method for establishing secure communications continues with the other EDU, at a block B1 118.

In FIGURE 4, a flow chart 120 shows the steps carried out by EDU A 20 (the EDU that initiated the communication). Flow chart 120 begins at block B1 118 and proceeds to a block 122 wherein the encrypted key header and encrypted DEK1 received from EDU B 28 are parsed. In a block 124, the encrypted key header is decrypted using the predefined header encryption key with the ECB method, enabling the EDU to determine the KEK table CRC, the encoded EDU ID number of the EDU that transmitted the encrypted header, and KEK1.

A decision block 126 causes the CPU to determine if the KEK table CRC is correct, thereby ensuring that the KEK table used to encrypted the header is the same as the KEK table that will be used by EDU A 20. This step prevents two EDUs from attempting to communicate if they are using different private KEK tables or if the public table in used by one has become corrupted or is different than the normal public table of KEKs for some other reason. If the CRC value does not match the expected value, a block 128 stops communication between the EDUs. Under most circumstances, however, the KEK table CRC is correct and the logic proceeds to a block 130.

In block 130, EDU A 20 determines the 64-bit KEK that was previously selected from the public or private table by EDU B 28, using the KEK1 value that it just received as an offset to enter the table. The 64-bit KEK is then used with the ECB method to decrypt the value DEK1, as shown in a block 132.

In a block 134, a validity check is made to ensure that the decryption process was carried out correctly and that the encrypted data were not affected by noise or other problems during transmission. The validity check is carried out by using the decrypted DEK1 value and the ECB method to encrypt the 64-bit zero function. The result provides a check value, the 16 LSBs of which are a value KEK1'. The accuracy of the encryption/decryption process and transmission is confirmed in a decision block 136 if the EDU determines that KEK 1 equals KEK 1'. If not, a block 138 provides for indicating that an error has occurred in establishing secure communications, which leads to a stop block 140.



On the other hand, assuming that KEK 1 equals KEK 1', a block 142 directs the EDU to generate a 64-bit random value, DEK2, which is the second portion of the session data encryption key that will be used to encrypt data transmissions between the two EDUs. In a block 144, EDU A 20 performs a logical XOR to combine the first portion of the session key, DEK1, and the second portion, DEK2, to determine the final session data encryption key DEK.

In a block 146, DEK2 is used with the ECB method to encrypt the 64-bit zero function in order to determine a second check value. Using the 16 LSBs of the check value in a block 148, the EDU determines a table entry value KEK2. By entering the specified public or private table at the address offset determined by KEK2, four consecutive 16-bit words comprising a 64-bit KEK are determined in a block 150. The EDU uses the value of KEK from the table and the ECB method to encrypt DEK2 in a block 152.

With the predefined header encryption key, the EDU A 20 encrypts the KEK table CRC, its own EDU ID, and the table entry value KEK2, producing an encrypted key header in a block 154. The encrypted key header just produced and the encrypted DEK2 will be transmitted to EDU B 28 only if the next test is passed in a decision block 155.

Decision block 155 now determines whether the EDU ID that was decrypted from the header received from EDU B 28 in block 124 matches that of the EDU that was initially called, i.e., confirms that the intended recipient has responded. Since the encryption of the EDU ID is carried out automatically by EDU B 28, and can not be modified or affected by external signals, it is virtually impossible for a third party to use another EDU to break into a communications link and take part in establishing secure communications, since the encrypted EDU ID that is returned to the station that initiated the communication would then not match the expected EDU ID. A negative response to decision block 155 causes the process for establishing secure communications to be halted at a stop block 157. Otherwise, the process for establishing a secure communications link proceeds to a block 156. Block 156 provides for transmitting the encrypted key header and encrypted DEK2 to the other EDU, i.e., to EDU B 28, which is the intended recipient for subsequent encrypted communications. Thereafter, the logic proceeds to a block A2 158 in FIGURE 5.

FIGURE 5 illustrates a flow chart 160 defining the steps next implemented by EDU B 28. Following block 158, a block 162 provides for parsing the encrypted key header and encrypted DEK2. The encrypted key header is then decrypted in a block 164 using the ECB method in connection with the predefined header encryption

key, enabling EDU B 28 to determine the KEK table CRC, the EDU ID of the transmitting station, and the KEK2 table entry value. In a decision block 166, EDU B 28 determines if the KEK table CRC value is correct, i.e., confirms that the public or private table of KEKs used by EDU A 20 is the same as that being used by EDU B 28. If not, the communication process is halted at a block 168. Otherwise, the process continues with a block 170.

Block 170 provides for selecting a 64-bit KEK from the designated table of KEKs using the entry value KEK2 as an offset. In a block 172, the EDU uses the selected KEK value in connection with the ECB method to decrypt the encrypted DEK2. It then performs a validity check in a block 174, by using the DEK2 value in connection with the ECB method to encrypt the 64-bit zero function, thereby determining a check value and a table entry value KEK 2' that is based upon the 16 LSBs of the check value. A decision block 176 causes CPU 36 to determine if the decrypted KEK2 equals KEK2' that was just determined in block 174. If not, a block 178 provides for indicating that an error has occurred, leading to a stop block 180.

However, assuming that the validity check has a positive response, in a block 182, the EDU logically XORs DEK1 and DEK2 to determine the value of DEK for this session. At this point, both the receiving and transmitting station EDUs have established the current session data encryption key DEK. Before the communication session can proceed, one final check is made in a decision block 183.

Decision block 183 determines if the EDU ID sent by EDU A 20 in the key header that was decrypted in block 164 by EDU B 28 matches an expected EDU ID. If not, block 180 stops the process of establishing secure communications between the two EDUs. Decision block 183 thus determines if a third EDU has been used to intercept communications between EDU A 20 and EDU B 28; if not, the communication of encrypted data proceeds at a block 184.

The session DEK is used in a block 184 by EDU A 20 to encrypt data (such as facsimile or computer data) for transmission to EDU B 28, which then decrypts it using the same DEK. When EDU B 28 determines that the last of the data to be transmitted has been received and decrypted, a block 186 provides for resetting both EDUs to await the next communication. Thereafter, a stop block 188 terminates further communication between the two stations.

During the process of establishing secure communications, neither of the EDUs linking together transmits DEK1 or DEK2 in the clear. Either the public or private table of KEKs is used for encrypting the first and second portions of the

current session DEK. Consequently, only another EDU provided with the same control program and the same table of KEKs (producing the same CRC value) would be able to decrypt either the encrypted first or second portions of the DEK. Since the software program controlling the operation of the EDUs requires that the EDU ID number of the stations be encrypted as part of the key header information that is exchanged, a third EDU cannot be used to surreptitiously substitute for the intended receiving station or transmitting station during the establishment of the secure communication link. Consequently, only the two EDUs at the receiving and transmitting stations comprising a link are able to communicate to establish a session DEK and thereafter carry on secure communications.

Only an EDU having the same session DEK used to encrypt data can decrypt the data. Furthermore, although any EDU can establish secure communications with any other EDU using the public table of KEKs, only EDUs having the same private table of KEKs (determined from the KEK table CRC value) can establish a session DEK to communicate with each other. As a result, a corporation that generates its own table of private KEKs can ensure that secure communications are initiated only with other stations comprising its private network that include the same table of private KEKs.

While the DES algorithm is used in the preferred form of the present invention, it will be appreciated that other encryption algorithms that use an encryption key can also be employed. Further, when determining a check value, a predefined function other than the zero function can be used. It should also be apparent that the encrypted key header need not include the EDU ID, if a lower level of security is acceptable, for example, in a local network of EDUs exclusively using private KEKs. These and other modifications to the present invention will be apparent to those of ordinary skill in the art. Accordingly, it is not intended that the invention be in any way limited by the description of the preferred embodiment and modifications thereto, but instead that the scope of the invention be determined entirely by reference to the claims that follow.

The embodiments of the invention in which an exclusive property or privilege is claimed are defined as follows:

1. Encryption/decryption apparatus for ensuring secure communications between two stations, said encryption/decryption apparatus disposed at each station comprising:

(a) encryption processor means for encrypting and decrypting data using an encryption key that is input thereto;

(b) control means, coupled to the encryption processor means, for controlling the operation of the encryption processor means, said control means supplying the encryption processor means with data for encryption and decryption and with the encryption key for use in encrypting and decrypting the data to produce an output signal in response to programmed instructions that cause it to automatically randomly select a part of a session data encryption key for use by the encryption processor means to encrypt data when combined with another part of the session data encryption key received from the other station; and

(c) non-volatile memory means, coupled to the control means, for storing a plurality of key encryption keys used by the encryption processor means in encrypting the part of the session data encryption key for transmission to the other station, said control means selecting the key encryption key from said plurality of key encryption keys as a function of a check value determined by the control means with the part of the session key.

2. The encryption/decryption apparatus of Claim 1, wherein said non-volatile memory means include an internal power source that supplies electrical power to maintain storage of the plurality of key encryption keys.

3. The encryption/decryption apparatus of Claim 1, further comprising potting means for encapsulating the encryption processor means, the control means, and the non-volatile memory means in a radio and light wave opaque material, said potting means being sufficiently hard and resistant to dissolution by solvents to prevent its removal without causing damage to interconnections coupling the non-volatile memory means to the control means and damage to interconnections supplying electrical power to the non-volatile memory means from the internal power source, such damage causing erasure of the plurality of key encryption keys stored in

the non-volatile memory means, said control means also responding to any attempt to externally interrogate the non-volatile memory means by causing erasure of the key encryption keys stored therein.

4. The encryption/decryption apparatus of Claim 1, further comprising multiplexer means, coupled to the control means to receive a select signal therefrom, and coupled to the encryption processor means, an output port, and the memory means, for selectively conveying a data signal thereto in response to the select signal.

5. The encryption/decryption apparatus of Claim 1, wherein the control means include a non-volatile memory for storing the programmed instructions and for storing a unique identification code that identifies a specific encryption/decryption apparatus.

6. The encryption/decryption apparatus of Claim 5, wherein the control means include means for locking the control means and its non-volatile memory to prevent data and program steps from being read externally or changed after storage of the programmed instructions in said non-volatile memory is complete.

7. The encryption/decryption apparatus of Claim 6, wherein the means for locking include means for encrypting data and memory addresses defining memory storage locations within the non-volatile memory of the control means and within the non-volatile memory means.

8. Encryption/decryption apparatus for ensuring secure communications, comprising:

(a) processor means for randomly selecting a partial session data encryption key;

(b) encryption means for encrypting the partial session data encryption key, producing an encrypted part key and decrypting another partial session data encryption key selected at another location; and

(c) means for conveying the encrypted part key to an output port so that it can be transmitted to the other location and for conveying an encrypted signal from an input port, said encryption means decrypting the other partial session data encryption key received from the other location as the encrypted signal, said

processor means combining the partial session data encryption key to determine the current session data encryption key that is subsequently used by it to encrypt data transmitted to the other location and to decrypt encrypted signals received from the other location.

9. The encryption/decryption apparatus of Claim 8, further comprising memory means for storing a plurality of key encryption keys, wherein the encryption means select a specific key encryption key from the plurality of key encryption keys as a function of a check value, said encryption means encrypting a predefined set of characters with said part of the encryption key to determine the check value.

10. The encryption/decryption apparatus of Claim 9, wherein the means for transmitting also transmit the check value determined by the encryption means.

11. The encryption/decryption apparatus of Claim 10, wherein the decryption means use a check value received from said other location to determine a specific key encryption key that was used to encrypt the other partial session data encryption key.

12. The encryption/decryption apparatus of Claim 11, wherein:

(a) the encryption means use the other partial session data encryption key decrypted by the decryption means to encrypt the predefined set of characters, producing a test value;

(b) said processor means compare the test value with a check value received from the other location and detect an error if the test value differs from said check value received from the other location; and

(c) if an error is detected in (b), said processor means halt communications with said other location.

13. The encryption/decryption apparatus of Claim 9, wherein said memory means store a unique identification code for that apparatus.

14. The encryption/decryption apparatus of Claim 9, wherein the memory means comprise a non-volatile memory circuit including an internal power source, said internal power source supplying electrical current to the non-volatile memory circuit to retain data stored therein, said memory means being encapsulated in a material that precludes physical inspection of the memory circuit, preventing discovery of the data stored therein, further comprising means for interrupting electrical current supplied from the internal power source to the memory circuit so that the data stored therein are erased if the material encapsulating the memory means is removed therefrom.

15. The encryption/decryption apparatus of Claim 8, wherein the processor means comprise a central processing unit that is programmed to control the encryption means and the decryption means according to a predefined set of instructions.

16. The encryption/decryption apparatus of Claim 8, wherein the encryption means comprise an integrated circuit that implements encryption and decryption of data from a plurality of sources in response to signals from the processor means, using the current session data encryption key, in accordance with a predefined encryption algorithm and a corresponding predefined decryption algorithm.

17. The encryption/decryption apparatus of Claim 9, wherein the memory means store a plurality of sets of key exchange keys, further comprising means for selecting one of the sets of key exchange keys from which the specific key exchange key is determined.

18. Encryption/decryption apparatus for ensuring secure communications, comprising:

(a) a sealed circuit encapsulated in a material opaque to radio and light waves, said sealed circuit comprising:

(i) a central processing unit that receives and transmits data in both an encrypted and decrypted form;

(ii) a memory circuit coupled to the central processing unit, at least one predefined set of key exchange keys being stored in the memory circuit,

said key exchange keys stored in the memory circuit being externally inaccessible, both physically by inspection and by downloading through the central processing unit;

(iii) an encryption/decryption coprocessor coupled to the central processing unit to receive data therefrom, said encryption/decryption coprocessor encrypting and decrypting the data under control of the central processing unit based upon a specified encryption key, the encryption/decryption coprocessor selectively generating a second set of key exchange keys that are also stored in the memory circuit;

(b) connector means for interconnecting the sealed circuit with external data input and output lines, the encryption/decryption coprocessor selectively encrypting the second set of key exchange keys and the connector means conveying the second set of key exchange keys in an encrypted form to an external device for distribution to other encryption/decryption apparatus comprising a limited network, whereby only encryption/decryption apparatus comprising the limited network can securely communicate with each other using the second set of key exchange keys, but can securely communicate with other like encryption/decryption apparatus that do not comprise the limited network using the predefined set of key exchange keys.

19. The encryption/decryption apparatus of Claim 18, further comprising memory means coupled to the central processing unit, for storing program steps controlling automatic determination of a session data encryption key for use in encrypting and decrypting data, said session data encryption key being determined in part by the central processing unit logically combining a first randomly selected portion of the session data encryption key that is received in an encrypted form from another location with a second randomly selected portion of the session data encryption key that the central processing unit transmits to the other location in an encrypted form.

20. The encryption/decryption apparatus of Claim 19, wherein one of the predefined set and the second set of key exchange keys is selectively used for encrypting said other portion of the session data encryption key.

21. The encryption/decryption apparatus of Claim 18, wherein the memory circuit stores a unique identification code for the sealed circuit that can not be changed, said central processing unit halting operation of the sealed circuit if data are received from the other location that specify a different identification code, thereby



preventing secure communications with an unintended encryption/decryption apparatus.

22. Encryption/decryption apparatus for ensuring secure communications between two stations, comprising:

(a) first processor means at one of the stations for randomly selecting a first part encryption key and second processor means at the other of the two stations for randomly selecting a second part encryption key;

(b) encryption means at said one station for encrypting the first part encryption key, producing an encrypted first part key;

(c) means for transmitting the encrypted first part key to said other station;

(d) decryption means at said other station for decrypting the encrypted first part key to determine the first part encryption key;

(e) encryption means at said other station for encrypting the second part encryption key, producing an encrypted second part key;

(f) means for transmitting the encrypted second part key to said one station; and

(g) decryption means at said one station for decrypting the encrypted second part key to determine the second part encryption key, said first processor means at said one station and said second processor means at said other station then combining the first part encryption key and the second part encryption key to determine an encryption key that is used to encrypt and decrypt subsequent communications between the two stations.

23. The encryption/decryption apparatus of Claim 21, further comprising memory means for storing a plurality of key encryption keys at each of the two stations, wherein the encryption means at each station select a specific key encryption key from the plurality of key encryption keys as a function of a first check value and a second check value, respectively, said encryption means at said one station encrypting a predefined set of characters with said first part encryption key to determine the first check value, and said encryption means at said other station encrypting the predefined set of characters with said second part encryption key to determine said second check value.

24. The encryption/decryption apparatus of Claim 22, wherein the means for transmitting from each station also transmit the respective first or second check value determined by the encryption means at each station.

25. The encryption/decryption apparatus of Claim 23, wherein the decryption means at said other station use the first check value received from said one station to determine the specific key encryption key that was used by the encryption means at said one station to encrypt the first part encryption key, and wherein the decryption means at said one station use the second check value received from said other station to determine the specific key encryption key that was used by the encryption means at said other station to encrypt the second part encryption key.

26. The encryption/decryption apparatus of Claim 24, wherein:

(a) the encryption means at said other station uses the first encryption key decrypted by the decryption means to encrypt the predefined set of characters, producing a test check value;

(b) said second processor means compares the test check value with the first check value and detects an error if the test check value differs from the first check value;

(c) the encryption means at said one station uses the second encryption key decrypted by the decryption means to encrypt the predefined set of characters, producing a test check value;

(d) said first processor means at said one station compares the test check value with the second check value and detects an error if the test check value differs from the second check value; and

(e) if an error is detected in (b), said second processor means halt communications with said one station, and if an error is detected in (d), said first processor means halt communications with said other station.

27. The encryption/decryption apparatus of Claim 22, wherein said memory means at each station store a unique identification code for that station.

28. The encryption/decryption apparatus of Claim 26, wherein the encryption means at said one station encrypt the unique identification code of said other station, the means for transmitting then transmitting an encrypted identification code to said other station, said decryption means at said other station decrypting the unique identification code.

29. The encryption/decryption apparatus of Claim 27, wherein said second processor means compare the decrypted unique identification code with the unique identification code stored in the memory means and if not identical, halt communications with said one station.

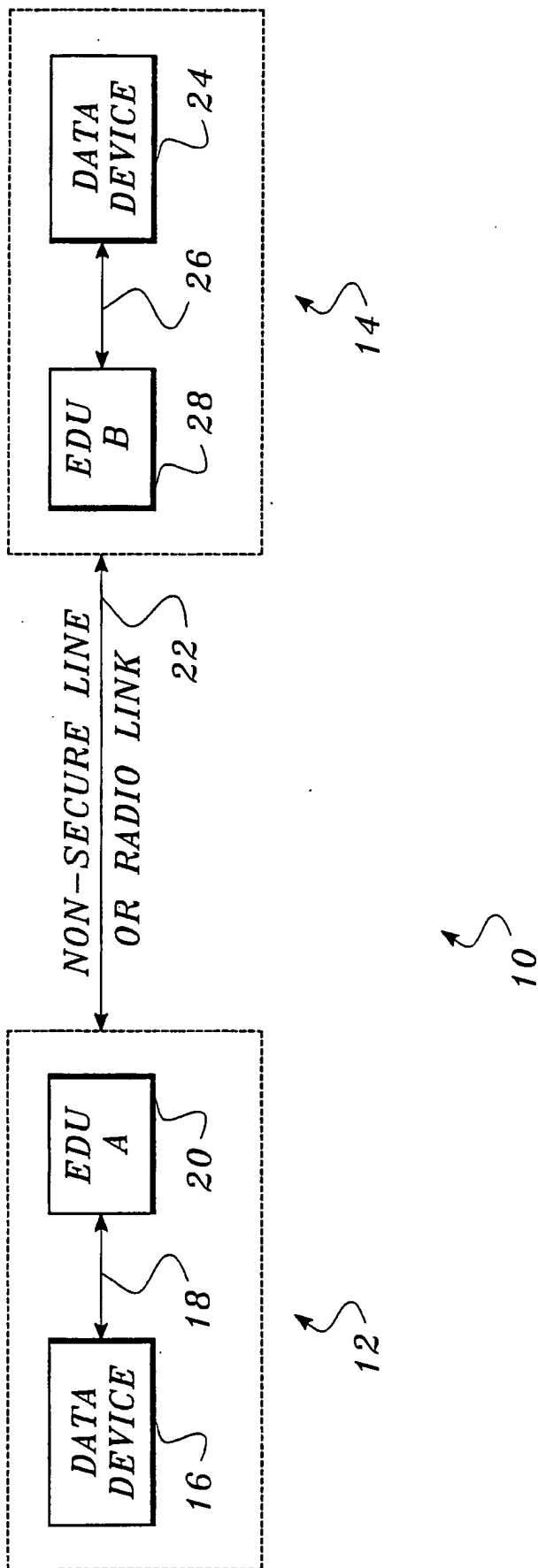


FIG. 1.

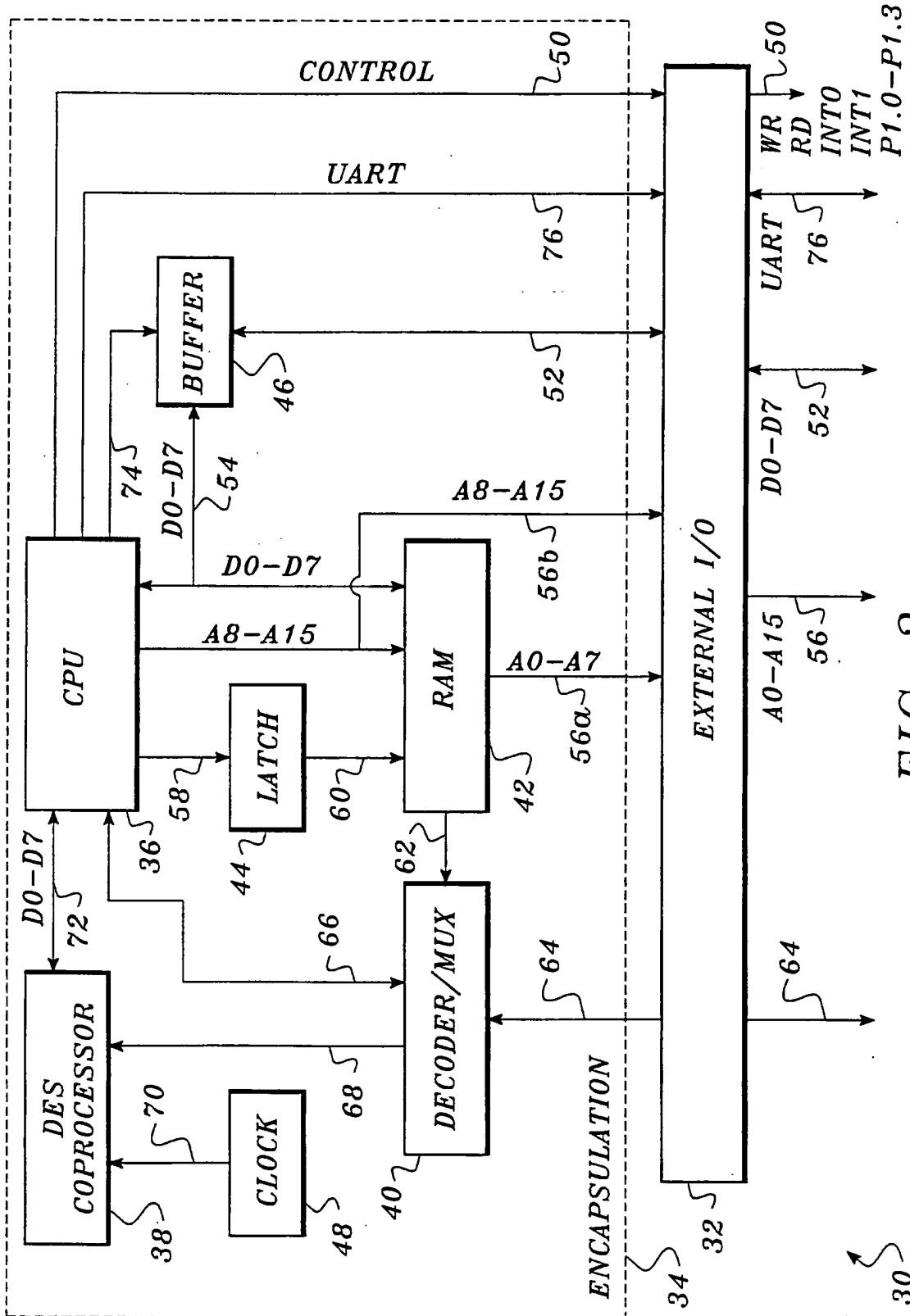


FIG. 2.

3/5

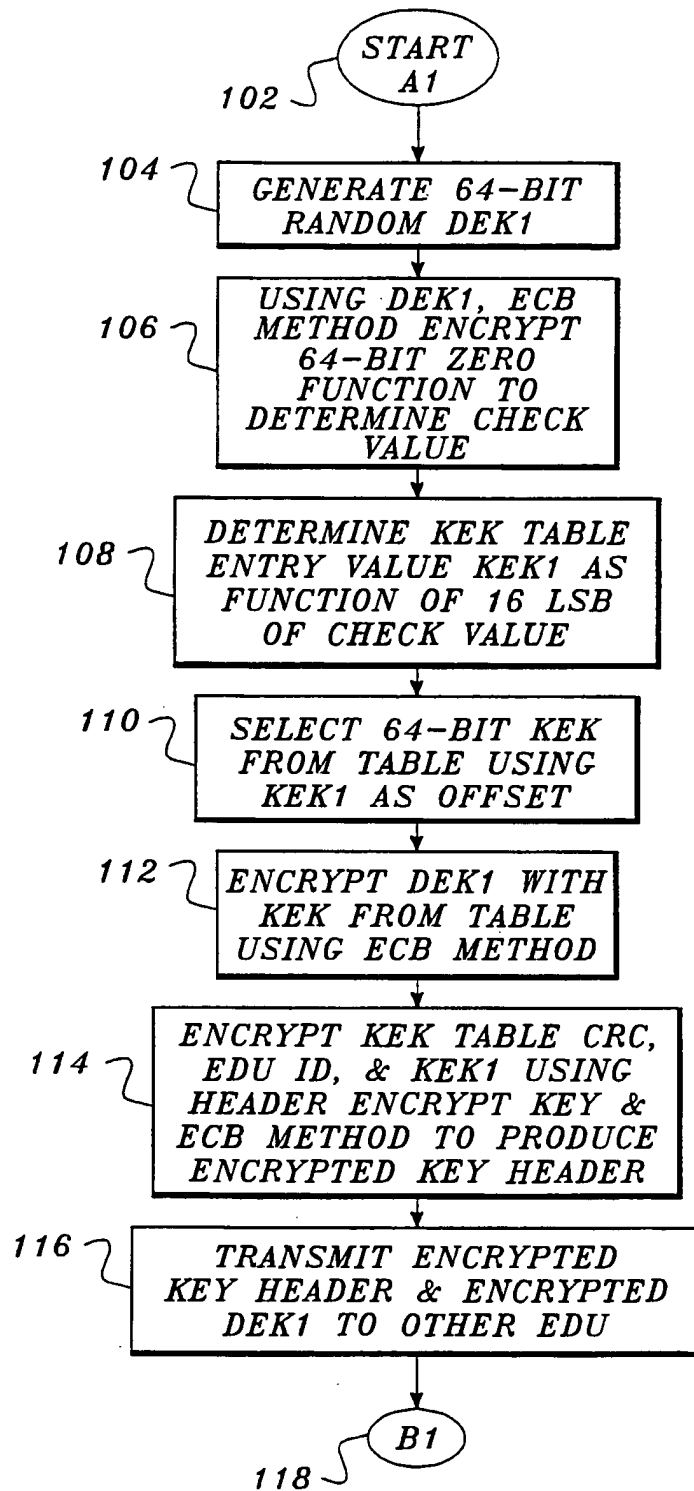


FIG. 3.

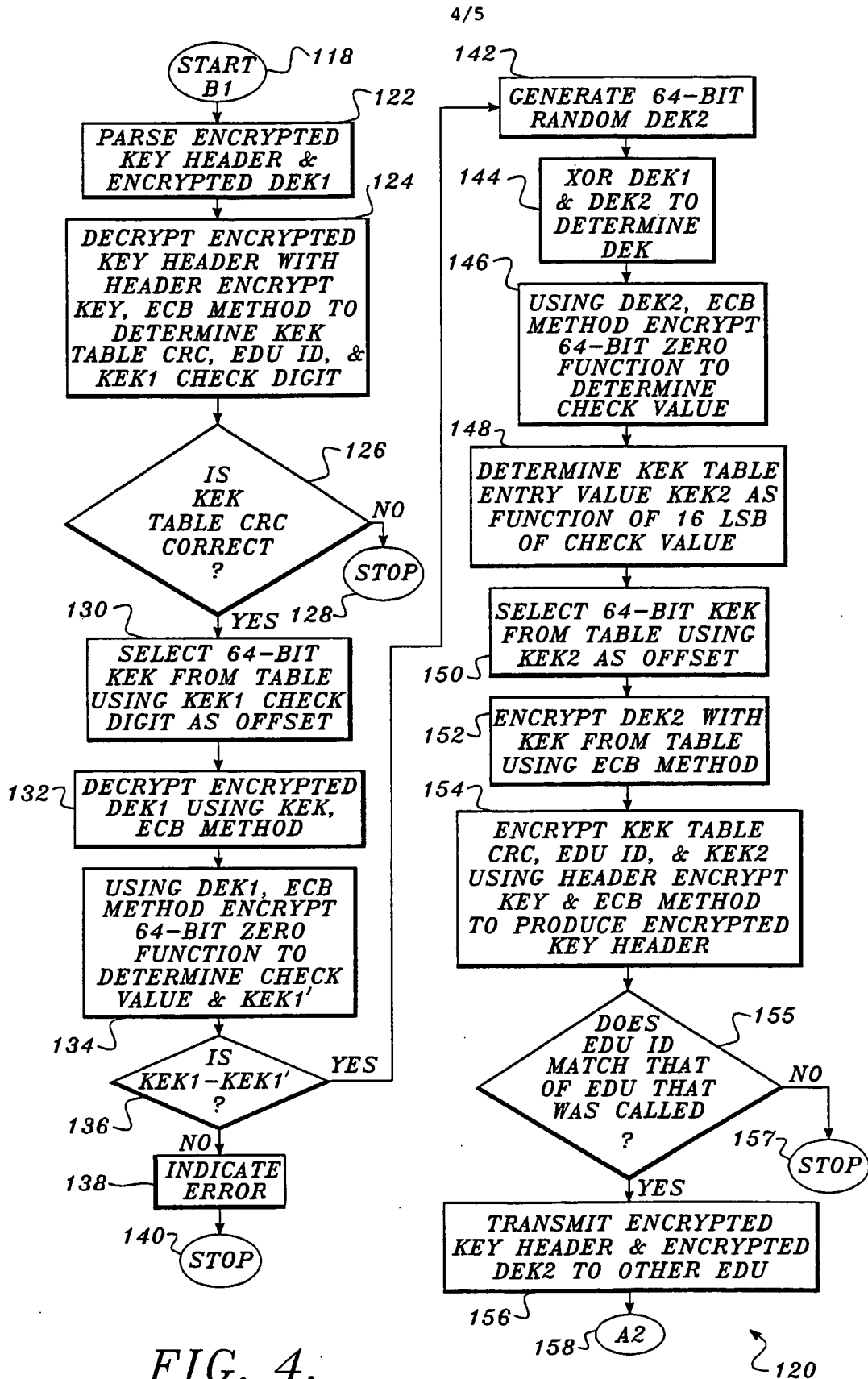


FIG. 4.

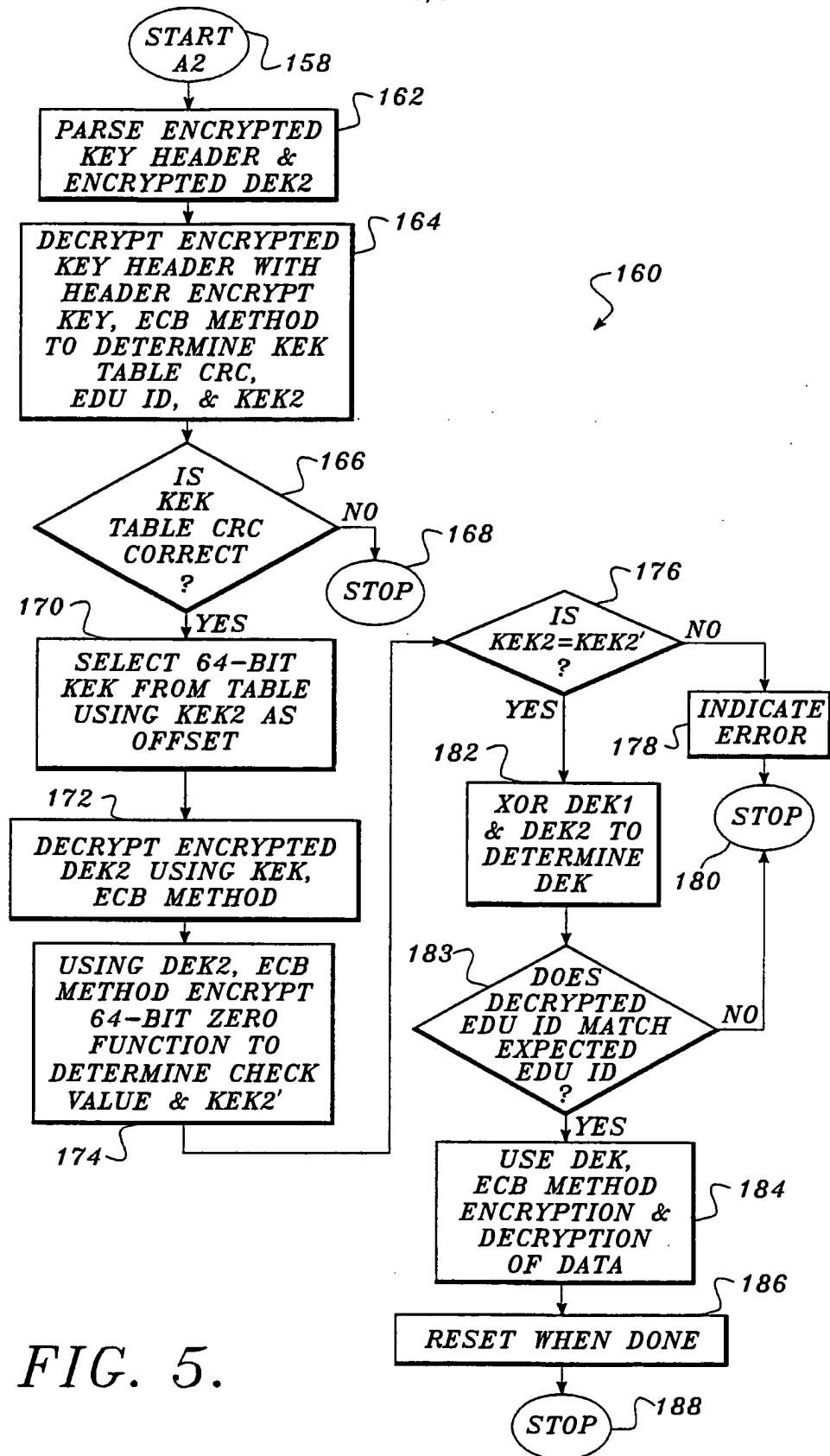
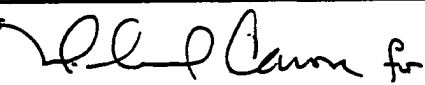


FIG. 5.



INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US93/04340

<b>A. CLASSIFICATION OF SUBJECT MATTER</b>		
IPC(5) :HO4L 9/00 US CL :380/21, 49, 28 According to International Patent Classification (IPC) or to both national classification and IPC		
<b>B. FIELDS SEARCHED</b>		
Minimum documentation searched (classification system followed by classification symbols) U.S. : 380/21, 49, 28		
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched 380/52, 46		
Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)		
<b>C. DOCUMENTS CONSIDERED TO BE RELEVANT</b>		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US, A 5,029,208 (Tanaka) 02 July 1991	1-29
A	US, A 5,124,117 (Tatebayashi, et al.) 23 June 1992	1-29
A, P	US, A 5,144,665 (Takaragi, et al.) 01 September 1992	1-29
A	US, A 4,607,137 (Jansen, et al.) 19 August 1986	1-29
A	US, A RE33189 (Lee, et al.) 27 March 1990	1-29
A	US, A 4,578,531 (Everhart, et al.) 25 March 1986	1-29
A	US, A 4,876,716 (Okamoto) 24 October 1989	1-29
<input type="checkbox"/> Further documents are listed in the continuation of Box C. <input type="checkbox"/> See patent family annex.		
* Special categories of cited documents: *A* document defining the general state of the art which is not considered to be part of particular relevance *E* earlier document published on or after the international filing date *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) *O* document referring to an oral disclosure, use, exhibition or other means *P* document published prior to the international filing date but later than the priority date claimed		*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention *X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone *Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art *Z* document member of the same patent family
Date of the actual completion of the international search 10 August 1993		Date of mailing of the international search report 26 AUG 1993
Name and mailing address of the ISA/US Commissioner of Patents and Trademarks Box PCT Washington, D.C. 20231 Facsimile No. NOT APPLICABLE		Authorized officer David Cain  Telephone No. 308-0463



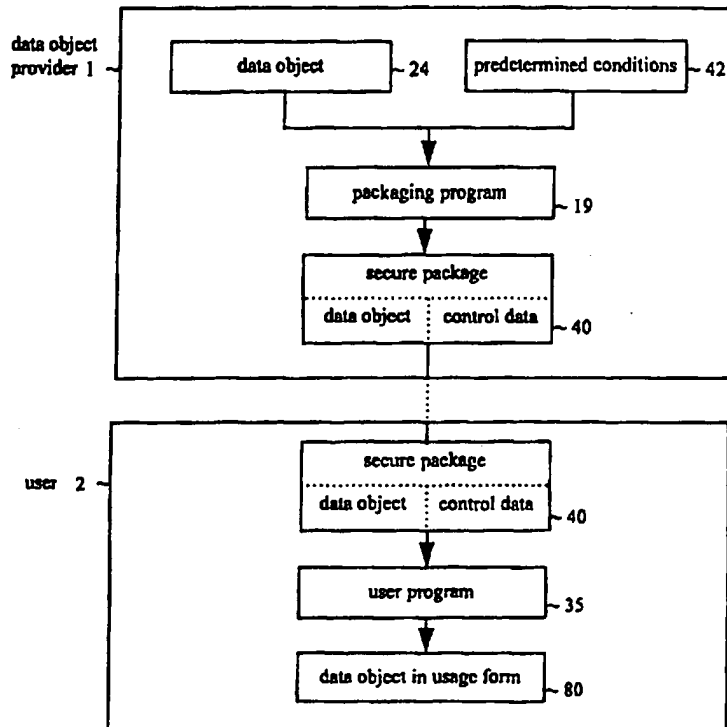
INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>6</sup> : G06F 1/00, 12/14</p>	<p>A2</p>	<p>(11) International Publication Number: <b>WO 96/24092</b>  (43) International Publication Date: 8 August 1996 (08.08.96)</p>
<p>(21) International Application Number: PCT/SE96/00115 (22) International Filing Date: 1 February 1996 (01.02.96)  (30) Priority Data: 9500355-4 1 February 1995 (01.02.95) SE  (71)(72) Applicant and Inventor: BENSON, Greg [US/SE]; Dalbackavägen 3, S-240 10 Dalby (SE).  (72) Inventor; and (75) Inventor/Applicant (for US only): URICH, Gregory, H. [US/SE]; Warholmsvägen 8 B, S-224 65 Lund (SE).  (74) Agent: AWAPATENT AB; P.O. Box 5117, S-200 71 Malmö (SE).</p>	<p>(81) Designated States: AL, AM, AT, AT (Utility model), AU, AZ, BB, BG, BR, BY, CA, CH, CN, CZ, CZ (Utility model), DE, DE (Utility model), DK, DK (Utility model), EE, EE (Utility model), ES, FI, FI (Utility model), GB, GE, HU, IS, JP, KE, KG, KP, KR, KZ, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SK (Utility model), TJ, TM, TR, TT, UA, UG, US, UZ, VN, ARIPO patent (KE, LS, MW, SD, SZ, UG), Eurasian patent (AZ, BY, KG, KZ, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b> Without international search report and to be republished upon receipt of that report.</p>	

(54) Title: A METHOD AND SYSTEM FOR MANAGING A DATA OBJECT SO AS TO COMPLY WITH PREDETERMINED CONDITIONS FOR USAGE

(57) Abstract

The present invention relates to a method and a system for managing a data object so as to comply with predetermined conditions for usage of the data object. To control the usage of the data object, a set of control data, defining usages of the data object which comply with the predetermined conditions, is created for the data object. The data object is concatenated with the user set of control data, encrypted and transferred to the user. When the user wants to use the data object, a special user program checks whether the usage complies with the control data. If so, the usage is enabled. Otherwise it is disabled.



**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AM	Armenia	GB	United Kingdom	MW	Malawi
AT	Austria	GE	Georgia	MX	Mexico
AU	Australia	GN	Guinea	NE	Niger
BB	Barbados	GR	Greece	NL	Netherlands
BE	Belgium	HU	Hungary	NO	Norway
BF	Burkina Faso	IE	Ireland	NZ	New Zealand
BG	Bulgaria	IT	Italy	PL	Poland
BJ	Benin	JP	Japan	PT	Portugal
BR	Brazil	KE	Kenya	RO	Romania
BY	Belarus	KG	Kyrgystan	RU	Russian Federation
CA	Canada	KP	Democratic People's Republic of Korea	SD	Sudan
CF	Central African Republic	KR	Republic of Korea	SE	Sweden
CG	Congo	KZ	Kazakhstan	SG	Singapore
CH	Switzerland	LJ	Liechtenstein	SI	Slovenia
CI	Côte d'Ivoire	LK	Sri Lanka	SK	Slovakia
CM	Cameroon	LR	Liberia	SN	Senegal
CN	China	LT	Lithuania	SZ	Swaziland
CS	Czechoslovakia	LU	Luxembourg	TD	Chad
CZ	Czech Republic	LV	Latvia	TG	Togo
DE	Germany	MC	Monaco	TJ	Tajikistan
DK	Denmark	MD	Republic of Moldova	TT	Trinidad and Tobago
EE	Estonia	MG	Madagascar	UA	Ukraine
ES	Spain	ML	Mali	UG	Uganda
FI	Finland	MN	Mongolia	US	United States of America
FR	France	MR	Mauritania	UZ	Uzbekistan
GA	Gabon			VN	Viet Nam

A METHOD AND SYSTEM FOR MANAGING A DATA OBJECT SO AS TO  
COMPLY WITH PREDETERMINED CONDITIONS FOR USAGE

Technical Field

The present invention relates to data processing and more particularly to a method and a system for managing data objects so as to comply with predetermined conditions for usage.

Background

Much has been written recently regarding the puzzle of universal connectivity. A typical vision of the data highway has long distance high speed data carriers interconnecting regional networks which provide telecommunications services and a wide range of interactive on-line services to consumers. Many of the pieces are already in place, others are in development or testing. In fact, even though the data highway is under construction it is currently open to limited traffic. On-line services are springing up daily and video on demand services are currently being tested.

The potential to benefit society is immense. The scope of information available to consumers will become truly global as the traditional barriers to entry for distribution of, and access to, information are lowered dramatically. This means that more diverse and specialized information will be made available just as conveniently as generic sources from major vendors used to be. The end result is that organizations and individuals will be empowered in ways heretofore only imagined.

However, a fully functioning data highway will only be as valuable as the actual services which it provides. Services envisioned for the data highway that involve the delivery of data objects (e.g. books, films, video, news, music, software, games, etc.) will be and are currently limited by the availability of such objects. Library and educational services are similarly affected. Before owners will allow their data objects to be offered they

must be assured of royalty payments and protection from piracy.

Encryption is a key component of any solution to provide copy protection. But encryption alone is not  
5 enough. During transmission and storage the data objects will be protected by encryption, but as soon as anyone is given the key to decipher the content he will have unlimited control over it. Since the digital domain permits data objects to be reproduced in unlimited quantities  
10 with no loss of quality, each object will need to be protected from unlimited use and unauthorized reproduction and resale.

The protection problem must not be solved by a separate solution for each particular data format, because  
15 then the progress will indeed be slow. It is important to consider the effect of standardization on an industry. Consider how the VHS, the CD and the DAT formats, and the IBM PC compatibility standards have encouraged growth in their respective industries. However, if there is to be  
20 any type of standardization, the standard must provide universal adaptability to the needs of both data providers and data users.

The data object owner may want to have permanent secure control over how, when, where, and by whom his  
25 property is used. Furthermore, he may want to define different rules of engagement for different types of users and different types of security depending on the value of particular objects. The rules defined by him shall govern the automated operations enabled by data  
30 services and networking. The owner may also want to sell composite objects with different rules governing each constituent object. Thus, it is necessary to be able to implement variable and extensible control.

The user on his part wants to be able to search for  
35 and purchase data objects in a convenient manner. If desired, the user should be able to combine or edit purchased objects (i.e. for creating a presentation).

Furthermore, the user may want to protect his children from inappropriate material. A complete solution must enable these needs as well.

What is needed is a universally adaptable system and  
5 method for managing the exchange and usage of data objects while protecting the interests of data object owners and users.

#### Prior Art

A method for enforcing payment of royalties when  
10 copying softcopy books is described in the European patent application EP 0 567 800. This method protects a formatted text stream of a structured document which includes a royalty payment element having a special tag. When the formatted text stream is inputted in the user's  
15 data processor, the text stream is searched to identify the royalty payment element and a flag is stored in the memory of the data processor. When the user for instance requests to print the document, the data processor requests authorization for this operation from a second  
20 data processor. The second data processor charges the user the amount indicated in the royalty payment element and then transmits the authorization to the first data processor.

One serious limitation of this method is that it can  
25 only be applied to structured documents. The description of the above-mentioned European patent application defines a structured document as: a document prepared in accordance with an SGML-compliant type definition. In other words it can not be applied to documents which are  
30 not SGML compliant and it cannot be applied to any other types of data objects.

Furthermore, this method does not provide for variable and extensible control. Anyone can purchase a softcopy book on a CD, a floppy disc or the like, and the  
35 same royalty amount is indicated in the royalty payment element of all softcopy books of the same title.

Thus, the method described in EP 0 567 800 does not satisfy the above-mentioned requirements for universally adaptable protection of data objects.

Summary of the Invention

5           Accordingly, it is a first object of the invention to provide a method and a data processing system for managing a data object in a manner that is independent of the format and the structure thereof, so as to comply with predetermined conditions for usage control and  
10           royalty payment.

          It is a further object of the invention to provide such a method and system which is universally adaptable to the needs of both the owner and the user of the data object.

15           A further object of the invention is to provide such a method and system which enables a data object provider to distribute his data object while maintaining control of the usage thereof.

          Yet another object of the invention is to provide a  
20           method and system which allows a data object provider to select the level of security for his data object in a flexible way.

          Yet another object of the invention is to provide such a method and system which makes it possible to  
25           establish an audit trail for the data object.

          Yet another object is to provide such a method and system which makes it possible to sell and buy data objects in a secure way.

          The above-mentioned objects are achieved by a method  
30           and a system having the features of claims 1, 16, 21, 24 and 27.

          Particular embodiments of the inventions are recited in the subclaims.

          More particularly, a data object provider, e.g. the  
35           owner of a data object or his agent (broker), stores the data object in a memory device, e.g. a bulk storage device, where it is accessible by means of the data

provider's data processor. The data object can consist of digital data, analog data or a combination or hybrid of analog and digital data.

5 A general set of control data, which is based on the predetermined conditions for usage of the data object, is created and stored in the same memory device as the data object or another memory device where it is accessible by the data provider's data processor. The predetermined conditions for usage may be defined by the data object  
10 owner, by the broker or by anyone else. They may differ between different data objects.

The general set of control data comprises at least one or more usage control elements, which define usages of the data object which comply with the predetermined  
15 conditions. These usages may encompass for instance the kind of user, a time limit for usage, a geographical area for usage, allowed operations, such as making a hard copy of the data object or viewing it, and/or claim to royalty payment. The general set of control data may comprise  
20 other kinds of control elements besides the usage control element. In a preferred embodiment, the general set of control data comprises a security control element which defines a security procedure which has to be carried out before usage of the data object. It also comprises an  
25 identifier, which uniquely identifies the general set of control data.

The general set of control data is concatenated with a copy of the data object. Thus, the control data does not reside in the data object, but outside it, which  
30 makes the control data independent of the format of and the kind of data object and which allows for usage control independently of the data object format.

At least the usage control element(s) and the data object are encrypted, so that the user is unable to use  
35 the data object without a user program which performs the usage control and which decrypts the data object. Alter-



natively, the whole set of control data and the copy of the data object may be encrypted.

5 A user may request authorization for usage of a data object residing at a data provider's processor via a data network or in any other appropriate way. The authorization may or may not require payment. When a request for authorization for usage is received, a user set of control data is created by the data provider's processor. The user set of control data comprises the general set of control data or a subset thereof including at least one of said usage control elements which is relevant for the actual user. It typically also includes a new identifier which uniquely identifies this set of control data. If relevant, the user set of control data also comprises an indication of the number of usages authorized. If more than one kind of usage is authorized, the number of each kind of usage may be specified. Finally, the user set of control data is concatenated with a copy of the data object, and at least the usage control elements and the copy of the data object are encrypted to create a secure data package ready for transfer to the user.

15 Before the data package is transferred to the user, it should be confirmed that the request for authorization for usage has been granted. The check is preferably carried out before the user set of control data is created. However, it can also be carried out in parallel with or after the creation of the user control data. In the latter case, the number of usages requested by the user is tentatively authorized and included in the user set, but if the request is refused the user set is cancelled or changed.

25 The data package may be transferred to the user by electronic means or stored on bulk storage media and transferred to the user by mail or by any suitable transportation means.

35 Once the data object has been packaged in the above-described manner, it can only be accessed by a user

program which has built-in usage control and means for  
decrypting the data package. The user program will only  
permit usages defined as acceptable in the control data.  
Moreover, if the control data comprises a security con-  
5 trol element, the security procedure prescribed therein  
has to be complied with. In one embodiment, the usage  
control may be performed as follows. If the user decides  
to use a data object, the user program checks the control  
data to see if this action is authorized. More particu-  
10 larly, it checks that the number of authorized usages of  
this kind is one or more. If so, the action is enabled  
and the number of authorized usages decremented by one.  
Otherwise, the action is interrupted by the user program  
and the user may or may not be given the opportunity to  
15 purchase the right to complete the action.

After the usage, the user program repackages the  
data object in the same manner as it was packaged before.

When a data object is redistributed by a user or a  
broker, new control elements are added in the control  
20 data to reflect the relation between the old user/broker  
and the new user/broker. In this way, an audit trail for  
the data object may be created.

According to another aspect of the invention at  
least two data packages are stored on a user's data  
25 processor, which examines the usage control elements of  
the data packages in order to find a match. If a match is  
found, the user's data processor carries out an action  
which is specified in the user set of control data. This  
method can be used for selling and buying data objects.

### 30 Brief Description of Drawings

Fig. 1 is a flow diagram showing the general data  
flow according to the invention.

Fig. 2 is a system block diagram of a data object  
provider's data processor.

35 Fig. 3 is a block diagram showing the different  
modules of a data packaging program according to the  
invention.

Fig. 4 is a data flow diagram of a data packaging process.

Fig. 5 is an example of a header file.

Fig. 6 is an example of a usage data file.

5 Fig. 7 is a data flow diagram of loading an object to the data object provider's data processor.

10 Figs 8a and 8b are examples of control data for a data object on the data object provider's data processor and for an object ready to be transferred to a user, respectively.

Fig. 9 is a data flow diagram of data packaging on the data object provider's data processor.

Fig. 10 is a flow diagram of a data packaging procedure.

15 Fig. 11 is a memory image of a data object and its control data.

Fig. 12a is a memory image of the concatenated control data and data object.

20 Fig. 12b is a memory image of the concatenated and encrypted control data and data object.

Fig. 13 is a system block diagram of a user's data processor.

Fig. 14 is a block diagram showing the different modules of a user program according to the invention.

25 Fig. 15 is a flow diagram of using a data object on the user's data processor.

Fig. 16 is a flow diagram of how the user program operates in a specific application example.

30 Fig. 17 is an example of various data package structures for composite objects.

### Description of the Best Mode for Carrying Out the Invention

#### General Overview

35 Fig. 1 is a flow diagram showing the general data flow according to the invention. The flow diagram is divided into a data object provider part 1 and a user part 2.

In the data object provider part 1, a data object 24 is created by an author. The data object can consist of digital data, analog data or a combination or hybrid of analog and digital data. The primary difference between analog data objects and digital data objects is the means for storage, transfer and usage.

The author also determines the conditions 42 for the usage of the data object 24 by a user. The data object 24 and the usage conditions 42 are input to a data packaging program 19, which creates a secure data package 40 of the data object and of control data which are based on the input usage conditions 42. Once packaged in this way, the data object can only be accessed by a user program 35.

The data object may be packaged together with a general set of control data, which is the same for all users of the data object. This may be the case when the data object is sent to a retailer or a bulletin board, wherefrom a user may obtain it. The data object may also be packaged as a consequence of a request from a user for usage of the data object. In that case, the package may include control data which is specifically adapted to that user. This control data is called a user set of control data. It may for example comprise the number of usages purchased by the user. Typically, the user set of control data will be created on the basis of the general set of control data and include at least a subset thereof. A user set of control data need not always be adapted for a specific user. All sets of control data which are created on the basis of a general set of control data will be called a user set of control data. Thus, a set of control data can be a general set in one phase and a user set in another phase.

The above-mentioned data packaging can be carried out by the author himself by means of the data packaging program 19. As an alternative, the author may send his data object to a broker, who inputs the data object and the usage conditions determined by the author to the data

packaging program 19 in order to create a secure package 3. The author may also sell his data object to the broker. In that case, the broker probably wants to apply his own usage conditions to the data packaging program.

5 The author may also provide the data object in a secure package to the broker, who repackages the data object and adds further control data which is relevant to his business activities. Various combinations of the above alternatives are also conceivable.

10 In the user part 2 of the flow diagram, the secure package 40 is received by a user, who must use the user program 35 in order to unpackage the secure package 40 and obtain the data object in a final form 80 for usage. After usage, the data object is repackaged into the  
15 secure package 40.

The different parts of the system and the different steps of the method according to the invention will now be described in more detail.

The data provider's data processor:

20 Fig. 2 is a system block diagram of a data object provider's data processor. As mentioned above, the data object provider may be an author of a data object, an owner of a data object, a broker of a data object or anyone else who wants to distribute a data object, while  
25 retaining the control of its usage. The data processor is a general or special purpose processor, preferably with network capabilities. It comprises a CPU 10, a memory 11 and a network adapter 12, which are interconnected by a bus 13. As shown in Fig. 2, other conventional means,  
30 such as a display 14, a keyboard 15, a printer 16, a bulk storage device 17, and a ROM 18, may also be connected to the bus 13. The memory 11 stores network and telecommunications programs 21 and an operating system (OS) 23. All the above-mentioned elements are well-known to the  
35 skilled person and commercially available. For the purpose of the present invention, the memory 11 also stores a data packaging program 19 and, preferably, a database

20 intended for control data. Depending upon the current operation, one or more data objects 24 can be stored in the memory 11 as shown or in the bulk storage 17. The data provider's data processor is considered secure.

5 The Data Packaging Program:

The data packaging program 19 is used for creating control data for controlling the usage of a data object and for packaging the data object and the control data into a secure package.

10 As shown in Fig. 3, it comprises a program control module 301, a user interface module 302, a packaging module 303, a control data creation module 304, an encryption module 305, one or more format modules 306, and one or more security modules 307.

15 The control module 301 controls the execution of the other modules. The user interface module 302 handles interaction with the data object provider. The packaging module 303 packages the control data and the data object. It uses the control data creation module 304, the format  
20 modules 306, the security modules 307 and the encryption module 305 as will be described more in detail below.

The format modules 306 comprise program code, which is required to handle the data objects in their native format. They can fulfill functions such as data compression and data conversion. They can be implemented by any  
25 appropriate, commercially available program, such as by means of a routine from the PKWARE Inc. Data Compression Library for Windows and the Image Alchemy package from Handmade Software Incorporated, respectively. They can  
30 also be implemented by custom designed programs.

The security modules 307 comprise program code required to implement security, such as more sophisticated encryption than what is provided by the encryption module 305, authorization algorithms, access control and usage  
35 control, above and beyond the basic security inherent in the data package.

The data packaging program 19 can contain many different types of both format and security modules. The program control module 301 applies the format and security modules which are requested by the data provider.

5       The encryption module 305 may be any appropriate, commercially available module, such as "FileCrypt" Visual Basic subprogram found in Crescent Software's QuickPak Professional for Windows - FILECRPT.BAS, or a custom designed encryption program.

10       The control data creation module 304 creates the control data for controlling the usage of the data object. An example of a control data structure will be described more in detail below.

The Control Data:

15       The control data can be stored in a header file and a usage data file. In a preferred embodiment, the header file comprises fields to store an object identifier, which uniquely identifies the control data and/or its associated data object, a title, a format code, and a  
20       security code. The format code may represent the format or position of fields in the usage data file. Alternatively, the format code may designate one or more format modules to be used by the data packaging program or the user program. The security code may represent the en-  
25       ryption method used by the encryption module 305 or any security module to be used by the data packaging program and the user program. The header file fields will be referred to as header elements.

30       The usage data file comprises at least one field for storing data which controls usage of the data object. One or more usage data fields which represent one condition for the usage of the data object will be referred to as a usage element. In a preferred embodiment, each usage element is defined by an identifier field, e.g. a serial  
35       number, a size field, which specifies the size of the usage element in bytes or in any other appropriate way, and a data field.

The header elements and the usage elements are control elements which control all operations relating to the usage of the object. The number of control elements is unlimited. The data provider may define any number of  
5 control elements to represent his predetermined conditions of usage of the data object. The only restriction is that the data packaging program 19 and the user program 35 must have compatible program code to handle all the control elements. This program code resides in the  
10 packaging module and the usage manager module, to be described below.

Control elements can contain data, script or program code which is executed by the user program 35 to control usage of the related data object. Script and program code  
15 can contain conditional statements and the like which are processed with the relevant object and system parameters on the user's data processor. It would also be possible to use a control element to specify a specific proprietary user program which can only be obtained from a particular broker.  
20

It is evident that the control data structure described above is but one example. The control data structure may be defined in many different ways with different control elements. For example, the partitioning of the  
25 control data in header data and usage data is not mandatory. Furthermore, the control elements mentioned above are but examples. The control data format may be unique, e.g. different for different data providers, or defined according to a standard.

### 30 The operation of the data packaging program

The operation of a first embodiment of the data packaging program will now be described with reference to the block diagram of Fig. 3 and the flow diagram of Fig. 4.

35 First a data provider creates a data object and saves it to a file, step 401. When the data packaging program is started, step 402, the user interface module



302 prompts the data object provider to input, step 403, the header information consisting of e.g. an object identifier, a title of the data object, a format code specifying any format module to be used for converting the  
5 format of the data object, and a security code specifying any security module to be used for adding further security to the data object. Furthermore, the user interface module 302 prompts the data object provider to input usage information, e.g. his conditions for the usage of  
10 the data object. The usage information may comprise the kind of user who is authorized to use the data object, the price for different usages of the object etc. The header information and the usage information, which may be entered in the form of predetermined codes, is then  
15 passed to the control module 301, which calls the packaging module 303 and passes the information to it.

The packaging module 303 calls the control data creation module 304, which first creates a header file, then creates header data on the basis of the header  
20 information entered by the data object provider and finally stores the header data, step 404-405. Then a usage data file is created, usage data created on the basis of the usage information entered by the data provider, and finally the usage data is stored in the usage  
25 data file, step 406-407.

The packaging module 303 then applies any format and security modules 306, 307 specified in the header file, steps 408-413, to the data object.

Next, the packaging module 303 concatenates the  
30 usage data file and the data object and stores the result as a temporary file, step 414. The packaging module 303 calls the encryption module 305, which encrypts the temporary file, step 415. The level of security will depend somewhat on the quality of the encryption and key methods  
35 used.

Finally, the packaging module 303 concatenates the header file and the encrypted temporary file and saves

the result as a single file, step 416. This final file is the data package which may now be distributed by file transfer over a network, or on storage media such as CD-ROM or diskette, or by some other means.

5 Example 1

An example of how the data packaging program 19 can be used will now be described with reference to Figs 5 and 6. In this example the data object provider is a computer graphics artist, who wants to distribute an image  
10 that can be used as clip art, but only in a document or file which is packaged according to the method of the invention and which has usage conditions which do not permit further cutting or pasting. The artist wants to provide a free preview of the image, but also wants to be  
15 paid on a per use basis unless the user is willing to pay a rather substantial fee for unlimited use. The artist will handle payment and usage authorization on a dial-up line to his data processor.

The artist uses some image creation application,  
20 such as Adobe's Photoshop to create his image. The artist then saves the image to file in an appropriate format for distribution, such as the Graphical Interchange Format (GIF). The artist then starts his data packaging program and enters an object identifier, a title, a format code  
25 and a security code, which in this example are "123456789", "image", "a", and "b", respectively. In this example, the format code "a" indicates that no format code need be applied, and this code is selected since the GIF format is appropriate and already compressed.  
30 Furthermore, the security code "b" indicates that no security module need be applied and this code is selected since the security achieved by the encryption performed by means of the encryption module 305 is considered appropriate by the artist.

35 Then the artist enters his dial-up phone number, his price for a single use of the image and for unlimited use of the data object, a code for usage types approved, and

for number of usages approved. For this purpose, the user interface module 302 may display a data entry form.

5 The data packaging program 19 creates control data on the basis of the information entered by the artist and stores the data in the header file and in the usage data file as shown in Figs 5 and 6, respectively. This data constitutes a general set of control data which is not specifically adapted to a single user, but which indicates the conditions of usage determined by the artist  
10 for all future users.

Then the package program 19 concatenates the data object and the control data in accordance with steps 414-416 of Fig. 4 to achieve the secure package. No format module or security module is applied to the data  
15 object, since they are not needed according to the data in the header file.

When the secure package has been obtained, the artist sends it to a bulletin board, from where it can be retrieved by a user.

20 Example 2

Below, another embodiment of the data packaging program 19 will be described with reference to Figs 7-12b. In this example, the data object consists of a video film, which is created by a film company and sent to a  
25 broker together with the predetermined conditions 42 for usage of the video. The broker loads the video 24 to the bulk storage 17 of his data processor. Then, he uses his data packaging program 19 to create a general set of control data 50 based on the predetermined conditions 42  
30 for usage indicated by the film company. Furthermore, the address to the video in the bulk storage 17 is stored in an address table in the control database 20 or somewhere else in the memory 11. It could also be stored in the general set of control data 50. Finally, the general set  
35 of control data 50 is stored in the control database 20. It could also be stored somewhere else in the memory 11.

After these operations, which correspond to steps 401-407 of Fig. 4, the data packaging program is exited.

Fig. 8a shows the general set of control data for the video according to this example. Here the control data includes an identifier, a format code, a security code, the number of usage elements, the size of the data object, the size of the usage elements and two usage elements, each comprising an identifier field, a size field and a data field. The identifier may be a unique number in a series registered for the particular broker. In this example, the identifier is "123456789", the format code "0010", which, in this example, indicates the format of a AVI video and the security code is "0010". Furthermore, the first usage element defines the acceptable users for the video and the second usage element data defines the number of viewings of the video purchased by a user. The first usage element data is 1 which, for the purposes of this example will signify that only education oriented users are acceptable to the film company. The data field of the second usage element data is empty, since at this stage no viewings of the video has been purchased.

Managing Object Transfer:

The broker wants to transfer data objects to users and enable controlled usage in return for payment of usage fees or royalties. Managing the broker-user business relationship and negotiating the transaction between the broker and the user can both be automated, and the control data structure can provide unlimited support to these operations. The payment can be handled by transmitting credit card information, or the user can have a debit or credit account with the broker which is password activated. Preferably, payment should be confirmed before the data object is transferred to the user.

Data packaging:

When a user wants to use a data object, he contacts the broker and requests authorization for usage of the data object. When the request for authorization is recei-

ved in the broker's data processor, a data program compares the usage for which authorization is requested with the usage control elements of the control data of the data object to see if it complies with the predetermined  
5 conditions for usage indicated therein. The comparison may include comparing the user type, the usage type, the number of usages, the price etc. If the requested usage complies with the predetermined conditions the authorization is granted, otherwise it is rejected.

10 Fig. 9 is a data flow diagram of the data packaging on the broker's data processor, which occurs in response to a granted request from a user for authorization for usage of the video, e.g. a granted request for the purchase of two viewings.

15 In response to a granted request, the broker again applies the data packaging program 19. The general set of control data 50 and the data object 24 are input to the program from the control database 20 and the bulk storage 17, respectively. The program creates a user set of control  
20 data 60 on the basis of the general set of control data 50 and concatenates the user set 60 and the data object 24 to create a secure data package 40, which may then be transferred to the user by any suitable means. A copy of the user set of control data is preferably stored  
25 in the broker's control database. This gives the broker a record with which to compare subsequent use, e.g. when a dial-up is required for usage.

Fig. 10 is a flow diagram of an exemplary procedure used for creating a user set of control data and for  
30 packaging the user set of control data and the video into a secure package. Here, the procedure will be described with reference to the general set of control data shown in Fig. 8a.

The user set of control data 60, i.e. a set of control  
35 data which is adapted to the specific user of this example, is created in steps 1001-1003 of Fig. 11. First, the general set of control data 50 stored in the control

database is copied to create new control data, step 1001. Second, a new identifier, here "123456790", which uniquely identifies the user set of control data, is stored in the identifier field of the new control data 60, step 5 1002. Third, the data field of the second usage element is updated with the usage purchased, i.e. in this example with two, since two viewings of the video were purchased, step 1003.

The thus-created user set of control data, which 10 corresponds to the general set of control data of Fig. 8a is shown in Fig. 8b.

The user set of control data is stored in the control database 20, step 1004. Then, the video, which is stored in the bulk storage 17, is copied, step 1005. The 15 copy of the video is concatenated with the user set of control data, step 1006. The security code 0010 specifies that the entire data package 40 is to be encrypted and that the user program 35 must contain a key which can be applied. Accordingly, the whole data package is encrypted, 20 step 1007. Finally, the encrypted data package is stored on a storage media or passed to a network program, step 1008, for further transfer to the user.

Fig. 11 is a memory image of the video 24 and the user control data 60. The user control data and a copy of 25 the video 24 are concatenated as shown in Fig. 12a. The encrypted data package 40 is shown in Fig. 12b.

The procedure of Fig. 10 can be implemented by the data packaging program of Fig. 3. As an alternative to the procedure of Fig. 10, the user set of control data 30 can be created as in steps 1001-1003 and saved in a header file and in a usage data file, whereafter steps 408-416 of the data packaging program of Fig. 4 can be performed to create the secure package.

The above-described process for creating a user- 35 adapted set of control data may also be used by a user who wants to redistribute a data object or by a broker who wants to distribute the data object to other brokers.

Obviously, redistribution of the data object requires that redistribution is a usage approved of in the control data of the data object. If so, the user or the broker creates a user set of control data by adding new control elements and possibly changing the data fields of old control element to reflect the relation between the author and the current user/broker and between the current user/broker and the future user/broker. In this way, an audit trail is created.

10 The user's data processor:

The user's data processor, which is shown in Fig. 13, is a general or special purpose processor, preferably with network capabilities. It comprises a CPU 25, a memory 26, and a network adapter 27, which are interconnected by a bus 28. As shown in Fig. 13, other conventional means, such as a display 29, a keyboard 30, a printer 31, a sound system 32, a ROM 33, and a bulk storage device 34, may also be connected to the bus 28. The memory 26 stores network and telecommunications programs 37 and an operating system (OS) 39. All the above-mentioned elements are well-known to the skilled person and commercially available. For the purpose of the present invention, the memory 26 also stores a user program 35 and, preferably, a database 36 intended for the control data. Depending upon the current operation, a data package 40 can be stored in the memory 26, as shown, or in the bulk storage 34.

25 The user program:

The user program 35 controls the usage of a data object in accordance with the control data, which is included in the data package together with the data object.

As shown in Fig. 14, the user program 35 comprises a program control module 1401 a user interface module 1402, a usage manager module 1403, a control data parser module 1404, a decryption module 1405, one or more format modules 1406, one or more security modules 1407, and a file transfer program 1409.

The control module 1401 controls the execution of the other modules. The user interface module 1402 handles interactions with the user. The usage manager module 1403 unpackages the secure package 40. It uses the control  
5 data parser module 1404, the decryption module 1405, the format modules 1406, and the security modules 1407.

The format modules 1406 comprise program code, which is necessary to handle the data objects in their native format, such as decompression and data format procedures.  
10 The security modules 1407 comprises program code required to implement security above the lowest level, such as access control, usage control and more sophisticated decryption than what is provided by the basic decryption module 1405.

15 The user program 35 can contain many different types of both format and security modules. However, they should be complementary with the format and security modules used in the corresponding data packaging program. The usage manager module 1401 applies the format and security  
20 modules which are necessary to use a data object and which are specified in its control data. If the proper format and security modules are not available for a particular data object, the usage manager module 1401 will not permit any usage.

25 The decryption module 1405 can be the above-mentioned FileCrypt Visual Basic subprogram or some other commercially available decryption program. It can also be a custom designed decryption module. The only restriction is that the decryption module used in the user program is  
30 complementary with the encryption module of the data packaging program.

The control data parser module 1403 performs the reverse process of the control data creation module 304 in Fig. 3.

35 The user program 35 can have code which controls use of the program by password or by any other suitable method. A password may be added in a password control



element during packaging of the data object. The password is transferred to the user by registered mail or in any other appropriate way. In response to the presence of the password control element in the control data structure, the user program prompts the user to input the password. The input password is compared with the password in the control data, and if they match, the user program continues, otherwise it is disabled.

The user program 35 can also have procedures which alter the behavior of the program (e.g. provide filters for children) according to the control data of the user object 41. It is important to mention that the user program 35 never stores the object in native format in user accessible storage and that during display of the data object the print screen key is trapped.

The file transfer program 1409 can transfer and receive files via network to and from other data processor.

Since the data object is repackaged into the secure package after the usage, the user program should also include program code for repackaging the data object. The program code could be the same as that used in the corresponding data packaging program 19. It could also be a separate program which is called from the user program.

Operation of the user program:

The operation of an embodiment of the user program 35 will now be described with reference to the block diagram of Fig. 14 and the flow diagram of Fig. 15.

First the user receives a data package 40 via file transfer over a network, or on a storage media such as CD-ROM or diskette, or by any other appropriate means, step 1501. He then stores the data package as a file on his data processor, step 1502.

When the user wants to use the data object, he starts the user program 35, step 1503. Then he requests usage of the data object, step 1504. The request is received by the user interface module 1402, which noti-

fies the control module 1401 of the usage request. The control module 1401 calls the usage manager module 1403 and passes the usage request.

The usage manager module 1403 reads the format code  
5 from the data package to determine the control data format. Then it calls the decryption module 1405 to decrypt and extract the control data from the data package. The usage manager module 1403 applies the decryption module 1405 incrementally to decrypt only the control data.  
10 Finally, it stores the control data in memory, step 1505.

The usage manager module 1403 then calls the control data parser module 1404 to extract the data fields from the usage elements.

The usage manager module 1403 then compares the user  
15 request for usage with the corresponding control data, steps 1506-1507. If the requested usage is not permitted in the control data, the requested usage is disabled, step 1508. However, if the requested usage is approved of in the control data, the usage manager module 1403 app-  
20 lies any format and security modules 1406, 1407 specified in the header data or usage data, steps 1509-1514, to the data package.

Then the usage manager module 1403 calls the decryption module 1405, which decrypts the object data, step  
25 1515, whereafter the requested usage is enabled, step 1516. In connection with the enabling of the usage, the control data may need to be updated, step 1517. The control data may for instance comprise a data field indicating a limited number of usages. If so, this data field  
30 is decremented by one in response to the enabling of the usage. When the user has finished usage of the data object, the user program 35 restores the data package in the secure form by repackaging it, step 1518. More particularly, the data object and the usage elements are  
35 reconcatenated and reencrypted. Then the header elements are added and the thus-created package is stored in the user's data processor.

Example 1 contd.

A specific example of how the user program operates will now be described with reference to Figs 6 and 15. The example is a continuation of Example 1 above, where  
5 an artist created an image and sent it to a bulletin board.

Assume that a user has found the image at an electronic bulletin board (BBS) and is interested in using it. He then loads the data package 40 containing the image to  
10 his data processor and stores it as a file in the bulk storage. The user then executes the user program 35 and requests to preview the image. The user program then performs steps 1505-1507 of the flow diagram in Fig. 15. The request for a preview of the image is compared with the  
15 data field of the usage element "code for usage type approved". In this example, the code "9" designates that previews are permitted. Thus, the requested preview is OK. Then, the user program 35 performs step 1509-1515 of  
20 Fig. 15. Since the format code "a" and the security code "b" of the header data indicate that neither conversion, nor decompression, nor security treatment is required, the user program only decrypts the object data. The usage manager module 1403 then displays the preview on the  
25 user's data processor and passes control back to the user interface 1402.

When the user is finished previewing the image, the user interface module 1402 displays the costs for usage of the image in accordance with the price usage data of the control data ("price for single use" and "price for  
30 unlimited use" in Fig. 6) and prompts the user to enter a purchase request. The user decides to buy unlimited use of the image, and the user interface module 1402 inputs purchase information, such as an identification, billing, and address for that request and passes the request to  
35 the control module 1401. The control module calls the file transfer program 1409, which dials the artist's dial-up number as indicated in the usage data ("control

element for artist's phone number" in Fig. 6) and transfers the request and purchase information to a broker program on the artist's data processor. Upon approval of the purchase, the broker program returns a file containing an update for "usage type approved" control elements. The update is "10" for the usage type approved, which in this example indicates that unlimited use by that user is permitted. The file transfer program 1409 passes this update to the usage manager module 1403 which updates the control data with the "usage type approved" code. The user interface module 1402 then displays a confirmation message to the user.

Subsequently, the user interface module inputs a request to copy the image to a file packaged according to this invention, on the user's machine. The usage manager module then compares the user request control data. The usage manager module examines the data filed for "usage type approved", which now is "10". The usage manager module copies the image to the file.

When the user is finished with the image, the usage manager module 1403 repackages the image as before except with updated control data. This repackaging process is exactly like that shown in Fig. 4, except that the header and usage data already exist, so the process starts after step 406 where control data is created.

#### Improved security

If the data object provider wants to improve the security of a data package containing a data object, a security module 307 containing a sophisticated encryption algorithm, such as RSA, could be used. In that case the packaging module 303 calls the security module 307 in step 412 of the flow diagram of Fig. 4. The security module encrypts the image and passes a security algorithm code to the control data creation module 302, which adds a control element for the security module code, which will be detected by the user program 35. Then the data packaging continues with step 414. When the data package

is sent to the user, the public key is mailed to the user by registered mail. When the user program is executed in response to a request for usage of this data object, the usage manager module will detect the security module code  
5 in the control data and call the security module. This module passes control to the user interface module 1402, which requests the user to input the public key. If the key is correct, the user security module applies complementary decryption using that key and passes a usage  
10 approved message to the usage manager module, which enables the usage.

As another example of improved security, a security module may implement an authorization process, according to which each usage of the data object requires a dial-up  
15 to the data processor of the data object provider. When the corresponding security module code is detected by the user program 35, the relevant security module is called. This module passes a request for authorization to the control module 1401, which calls the file transfer pro-  
20 gram 1409, which dial the data object provider's dial-up number, which is indicated in a usage element and transfers the request for authorization of usage. Upon a granted authorization, the data provider's data processor returns a usage approved message to the user security  
25 module, which forwards the approval to the usage control module, which enables one usage. If the user requests further usages of the data object, the authorization process is repeated. This procedure results in a permanent data object security.

30 Example 2 contd.

A further specific example of how the user program 35 operates will now be described with reference to Fig. 16. The example is a continuation of Example 2 above, where a user purchased two viewings of a video film from  
35 a broker.

The user wants to play the video which was purchased and transferred from the broker. The user applies the

user program 35, step 1601, and requests to play the video, step 1602. The user program 35 first examines the user set of control data 60, step 1603. In this example, the user program 35 contains only those format and security modules for objects with format code of 0010 and  
5 with a security code of 0010. Consequently, only those types of data objects may be used. If the program encounters other codes it will not enable the usage action, step 1604-1605.

10 Next, the user program 35 compares the first control element data which is 1, for educational users only, to user information entered by the user on request of the user program. Since the user type entered by the user is the same as that indicated in the first usage element the  
15 process continues, steps 1606-1607. Then the user program checks the second control element data which specifies that the number of plays purchased is 2. Consequently, the usage is enabled, step 1609. The user program applies the decryption module with the universal key and the AVI  
20 format video is displayed on the display unit 29. Then, the second control element data is decremented by one, step 1610. Finally, the video is repackaged, step 1611  
Implementation of Variable and Extensible Object Control:

25 Object control is achieved through the interaction of the data packaging program 19 and the usage program 35 with the control data. Variation of object control can be applied to a particular object by creating a control data format with control elements defining the control variation and the circumstances in which the variation is applied.  
30 Program procedures should then be added to program modules to process the control elements. For example, suppose a broker wants to allow students to print a particular article for free but require business users to pay for it. He defines control elements to represent the  
35 user types student and business and the associated costs for each. He then adds program logic to examine the user type and calculate costs accordingly. Object control is

extensible in the sense that the control data format can have as many elements as there are parameters defining the rules for object control.

Implementation of Variable and Extensible Object

5 Security:

Object security is also achieved through the interaction of the data packaging program 19 and the user program 35 with the control data. Security process and encryption/decryption algorithms can be added as program modules. Variation of object security can be applied to a particular object by creating a control data format with control elements defining the security variation and the circumstances in which the variation is applied. Program procedures should be added to program modules to process the control elements. For example, suppose a broker wants to apply minimal security to his collection of current news articles but to apply tight security to his encyclopedia and text books. He defines a control element for security type. He then adds program logic to apply the security algorithms accordingly. Object security is extensible in the sense that multiple levels of security can be applied. The level of security will of course be dependent on the encryption/key method which is implemented in the security modules. One level of security may be to require online confirmation when loading a data object to the user's data processor. This can be implemented in program code in a security module. This permits the broker to check that the object has not already been loaded as well as double check all other parameters.

30 It is also important to have version control with time stamping between the usage program and the user's control database. Otherwise the database can be duplicated and reapplied to the user program. The user program can place a time stamp in the control database and in a hidden system file each time the control database is accessed. If the time stamps are not identical, the control database has been tampered with and all usage is

disabled. Program code for handling time stamps can reside in a security module.

Handling Composite Objects:

A composite object can be handled by defining a control data format with control elements defining relationships between constituent objects and by defining a parent/child element and a related object id element. For example, suppose a broker wants to include a video and a text book in an educational package. He creates a parent object with control elements referring to the video and textbook objects. He also includes control elements in the control data for the video object and the textbook object referring to the parent object. Finally, he adds program procedures to program modules to process the control elements.

In other words, when the data object is a composite data object including at least two constituent data objects, a respective general set of control data is created for each of the constituent data object and the composite data object. In response to a request from a user, a respective user set of control data is created for each of the constituent data objects as well as for the composite data object.

Examples of various data package structures for composite objects are given in Fig. 17.

Another side of composite objects is when the user wants to combine data objects for some particular use. Combination is a usage action that must be permitted in each constituent data object. A new data object is created with control data linking the constituent data objects. Each constituent data object retains its original control data which continues to control its subsequent usage.

When a user requests authorization for usage of one constituent data object in a composite data object, a user set of control data is created only for that consti-



tuent data object and concatenated only with a copy of that constituent data object.

Scaleable Implementation:

5 The flexible control data structure and modular program structure permit almost boundless extensibility with regard to implementation of the owner's requirements for usage control and royalty payment. The control data structure can include control elements for complex user types, usage types, multiple billing schemes, artistic or  
10 ownership credit requirements and others. Security modules can be included which interact with any variation of the control data structure and the control data. Security modules could require a dial up to the brokers data processor to approve loading or usage actions and to imple-  
15 ment approval authentication mechanisms.

User acting as a broker:

A limited or full implementation of the broker's data packaging program can be implemented on the user's machine to permit further distribution or reselling. How-  
20 ever, only those data objects with control data permitting further distribution or reselling are enabled in that way.

Rebrokering

An author of a data object may want to allow his  
25 original broker to distribute his data object to other brokers whom will also distribute his image. He then includes a control element which enables rebrokering in the control data before distributing the data object with its associated control data to the original broker. Upon  
30 request for rebrokering, the original broker copies the general set of control data and updates the copy to create a user set of control data which will function as the general set of control data on the subsequent brokers data processor. The original broker packages the data  
35 object with the user set of control data and transfers the package to the subsequent broker. The subsequent broker then proceeds as if he were an original broker.

Automated transaction negotiation

This is an example of how the predetermined conditions for usage included in the control data can be used for achieving automated transaction negotiation.

5           Suppose some company wants to provide a computer automated stock trading. Buy and sell orders could be implemented in the form of data packages and a user program could process the data packages and execute transactions. Data packages could carry digital cash and  
10 manage payment based on conditions defined in the control data.

In this example, the buy order is created using a data packaging program according to the invention on the buyer's data processor. The sell order is created using  
15 the data packaging program on the seller's data processor. Both orders are used by the the user program on the stock trader's data processor. The usages would take the form of using a sell order data package to sell stock and a buy order data package to buy stock. The rules or conditions for buying and selling stocks could be indicated  
20 in the control data of the packages. The data object consists of digital money. In this context it is important to remember that digital money is merely data which references real money or virtual money that is issued and  
25 maintained for the purpose of digital transactions.

In this example the buyer starts with a digital money data file. He uses the data packaging program to create control data, e.g. kind of stock, price, quantity, for the purchase, and he then packages the digital money  
30 data file and the control data into a secure package as described above.

The seller starts with an empty data file. This empty file is analogous to the digital money data file except it is empty. The seller creates control data, e.g.  
35 kind of stock, price, quantity, and packages the empty file and the control data into a secure package.

Both the sell order package and the buy order package are transferred to the data processor of the stock trading company, where they are received and stored in the memory. The user program of the stock trading company  
5 examines the control data of the buy and sell order packages in the same way as has been described above and looks for a match. Upon identifying matched buy and sell orders the user program executes a transaction, whereby the digital money is extracted from the buy order data  
10 package and transferred to the sell order package. Then the control data of the data packages is updated to provide an audit trail. Both packages are repackaged in the same manner as they were previously packaged and then transferred back to their authors.

15 The above described technique could be used for selling and buying any object as well as for automated negotiations. Payment may be carried out in other ways than by digital money.

In the general case, the data processor of the user  
20 decrypts the usage control elements of the user sets of control data and examines the usage control elements to find a match. In response to the finding of a match, the user's data processor carries out an action which is specified in the user set of control data.

25

## CLAIMS

1. A method for managing a data object so as to comply with predetermined conditions for usage of the data object, comprising the steps of:
- 5       - storing the data object in a memory device, where it is accessible by means of a data object provider's data processor;
- creating, by said data processor, a general set of control data for the data object based on said predetermined conditions for usage, said general set of control data comprising at least one or more usage control elements defining usages of the data object which comply with said predetermined conditions;
- 10       - storing said general set of control data in a memory device, where it is accessible by said data processor;
- concatenating the general set of control data with a copy of the data object; and
- 20       - encrypting at least the copy of the data object and said one or more usage control elements to create a secure data package which is ready for transfer to a user.
2. A method as set forth in claim 1, wherein the step of encrypting comprises encrypting the data object and the general set of control data.
- 25       3. A method as set forth in claims 1 or 2, wherein the step of creating control data comprises creating an identifier which uniquely identifies the general set of control data.
- 30       4. A method as set forth in claims 1, 2 or 3, wherein the step of creating a general set of control data comprises creating a security control element which identifies a security process to be applied before usage of the data object is allowed.
- 35       5. A method as set forth in any of the preceding claims, wherein the step of creating a general set of

control data comprises creating a format control element which identifies the format of the control data.

6. A method as set forth in any of the preceding claims, comprising the further steps of:

- 5           - creating, in response to a request for authorization for usage of the data object by a user, a user set of control data, which comprises at least a subset of the general set of control data, including at least one of said usage control elements;
- 10           - using the user set of control data instead of the general set of control data in said concatenating step;
- using the at least one usage control element of the user set of control data instead of the one or more usage control elements of the general set of control data
- 15 in the encrypting step;
- checking, before allowing transfer of the data package to the user, that said request for authorization for usage of the data object has been granted.

7. A method as set forth in any of the preceding

20 claims, further comprising the steps of receiving in said data processor the request for authorization for usage by a user; comparing the usage for which authorization is requested with said one or more usage control elements of the general set of control data and granting the authori-

25 zation if the usage for which authorization is requested complies with the usages defined by said one or more usage control elements.

8. A method as set forth in claim 7, further comprising the step of securing payment for the requested

30 authorization for usage before granting the authorization.

9. A method as set forth in any one of claims 6-8, wherein the data object is composed of at least two constituent data objects and wherein the user set of control

35 data, in response to a request for authorization for usage of one of said constituent data objects by a user, is created only for that constituent data object and

concatenated only with a copy of that constituent data object.

10. A method as set forth in any one of claims 6-9, wherein the data provider's data processor is connected  
5 to a data network and the request for authorization is received from a data processor of the user, which is also connected to the data network, further comprising the step of transferring the data package through the data network to the user's data processor.

10 11. A method as set forth in any one of claims 6-8 or 10, wherein the data object is a composite data object including at least two constituent data objects and wherein the step of creating a general set of control data comprises the step of creating a respective general  
15 set of control data for each of the constituent data objects and the composite data object and wherein the step of creating a user set of control data comprises the step of creating a respective user set of control data for each of the constituent data objects and the compo-  
20 site data object.

12. A method as set forth in any one of claims 6-11, comprising the further step of storing a copy of the user set of control data in the data object provider's processor.

25 13. A method as set forth in any of the preceding claims, comprising the further steps of:

- receiving the data package in a user's data processor;
- storing the data package in a memory device where  
30 it is accessible by means of the user's data processor;
- decrypting said one or more usage control elements;
- checking, in response to a request by the user for usage of the data object, whether the requested usage  
35 complies with the usage defined by the at least one usage control element of the general set of control data;

- decrypting, in response to the requested usage complying with the usage defined by the at least one usage control element of the general set of control data, the data object and enabling the requested usage, otherwise disabling it.

14. A method as set forth in any one of claims 6-12, comprising the further steps of:

- receiving the data package in a user's data processor;

10 - storing the data package in a memory device where it is accessible by means of the user's data processor;  
- decrypting the at least one usage control element of the user set of control data;

15 - checking, in response to a request by the user for usage of the data object, whether the requested usage complies with the usage defined by the at least one usage control element of the user set of control data;

20 - decrypting, in response to the requested usage complying with the usage defined by the at least one usage control element of the user set of control data, the data object and enabling the requested usage, otherwise disabling it.

15. A method as set forth in claims 13 or 14, comprising the further steps of reconcatenating, after the usage of the data object, the data object and the one or more usage control elements, reencrypting at least the data object and the one or more usage control elements, and storing the thus-repackaged data package in the memory of the user's data processor.

30 16. A method for controlling the usage by a user of a data object so as to comply with predetermined conditions for usage of the data object, comprising the steps of:

35 - storing a data package in a memory device, where it is accessible by means of a data processor of the user, said data package comprising the data object and control data, which comprises at least one usage control

element defining a usage of the data object which complies with the predetermined conditions, the data object and said at least one usage control element being encrypted;

- 5           - receiving a request by the user for usage of the data object;
- decrypting the control data;
- checking, in response to the request by the user for usage of the data object, whether the requested usage
- 10 complies with the usage defined by the at least one usage control element of the control data;
- decrypting, in response to the requested usage complying with the usage defined by the at least one usage control element of the control data, the data
- 15 object and enabling the requested usage, otherwise disabling it.

17. A method as set forth in claim 16, wherein the usage control element is updated after the usage of the data object.

- 20           18. A method as set forth in claims 16 or 17, wherein said control data comprises an indication of the number of times the user is authorized to use the data object in accordance with said at least one user control element; wherein the requested usage of the data object
- 25 is only enabled when said number of times is one or more; and wherein said number of times is decremented by one when the requested usage is enabled.

19. A method as set forth in any one of claims 16-18, wherein the control data comprise a security control element, and further comprising the step of carrying out, before each usage of the data object, a security
- 30 procedure defined in the security control element.

20. A method as set forth in any one of claims 16-19, wherein the step of checking whether the requested
- 35 usage complies with the usage defined by the at least one usage control element comprises the step of checking that the user's data processor is capable of carrying out the



security procedure specified in the security control element of the user set of control data, and if not, disabling the usage.

21. A method as set forth in any one of claims  
5 16-20, comprising the further steps of reconcatenating, after the usage of the data object, the data object and the one or more usage control elements, reencrypting at least the data object and the one or more usage control elements, and storing the thus-repackaged data package in  
10 the memory of the user's data processor.

22. A system for managing a data object so as to comply with predetermined conditions for usage of the data object, comprising

- first means in the data object provider's data  
15 processor for creating a general set of control data for the data object based on the predetermined conditions for usage, said general set of control data comprising at least one or more usage control elements defining usages of the data object which comply with the predetermined  
20 conditions;

- storing means, which are accessible by means of said data processor, for storing the data object and the general set of control data;

- concatenating means for concatenating the general  
25 set of control data with a copy of the data object; and

- encrypting means for encrypting the copy of the data object and at least said one or more usage control elements to create a secure data package, which is ready for transfer to a user.

23. A system as set forth in claim 22, further comprising

- second means in said data processor for creating, in response to a request for authorization for usage of the data object by a user, a user set of control data, which comprises at least a subset of the general set of  
35 control data, which subset comprises at least one of said usage control elements; and

- checking means in said data processor for checking that said request for authorization for usage of the data object has been granted before allowing transfer of the data package to the user.

5           24. A system as set forth in claims 22 or 23, wherein the general set of control data comprises a control data element which defines the right to further distribution of the data object by the user.

10           25. A system for controlling the usage by a user of a data object so as to comply with predetermined conditions for usage of the data object, comprising

15           - storing means for storing a data package which comprises a data object and a control data comprising at least one usage control element defining a usage of the data object which complies with the predetermined conditions;

          - means for decrypting the at least one usage control element and the data object;

20           - checking means for checking whether a usage requested by the user complies with the usage defined by said at least one usage control element;

          - enabling means for enabling the usage requested by the user when the usage complies with the usage defined by said at least one usage control element; and

25           - disabling means for disabling the usage requested by the user when the usage does not comply with the usage defined by said at least one usage control element.

30           26. A system as set forth in claim 25, further comprising means for repackaging the data object after usage thereof.

          27. A method for controlling the usage by a user of data objects so as to comply with predetermined conditions for usage of the data objects, comprising the steps of:

35           - storing at least two data packages in a memory device, where they are accessible by a data processor of the user, each said data package comprising a data object

and a user set of control data, which comprises at least one usage control element defining a usage of the data object which complies with the predetermined conditions, the data object and said at least one usage control  
5 elements being encrypted;

- decrypting the usage control elements of the user sets of control data;

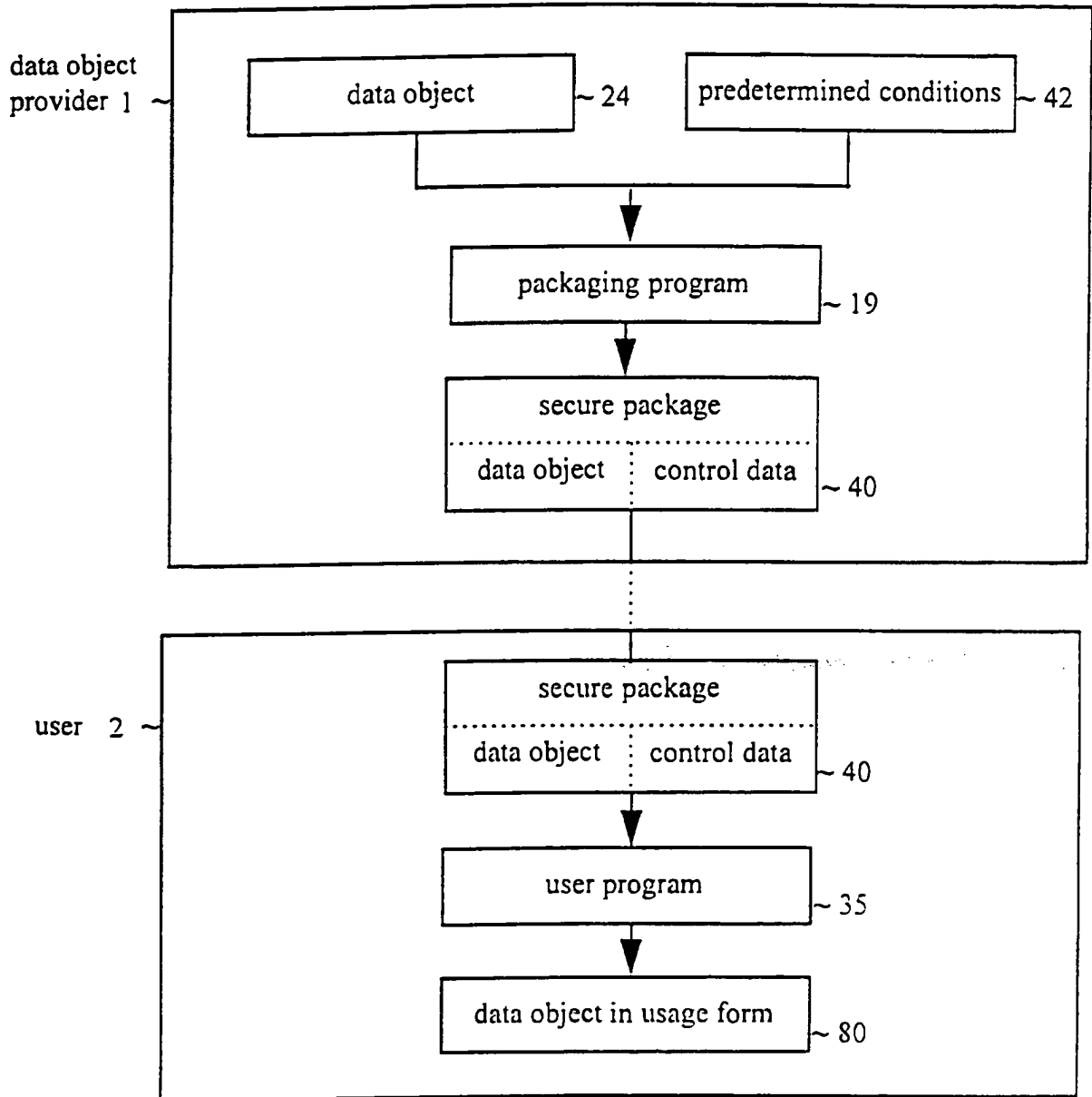
- examining the usage control elements of said at least two data packages to find a match;

10 - using, in response to the finding of a match, the data processor to carry out an action, which is specified in the user sets of control data.

28. A method as set forth in claim 27, comprising the further steps of updating the usage control element  
15 of each data package, reconcatenating after the usage of the data objects, each of the data object and its usage control element, reencrypting each of the concatenated data objects and its usage control element and transferring the repackaged data objects to their creators.

20

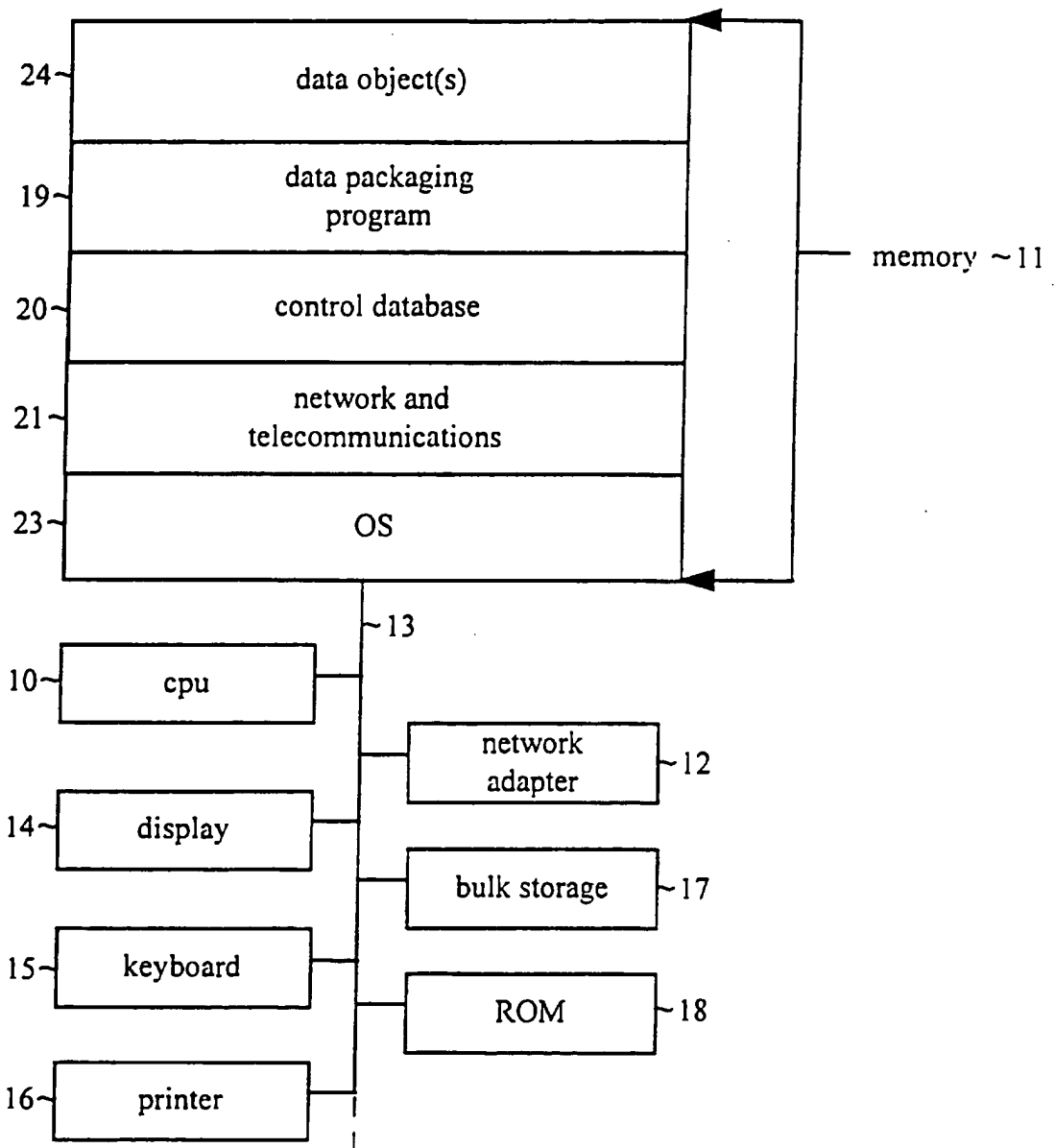
Fig 1



**SUBSTITUTE SHEET**

2/15

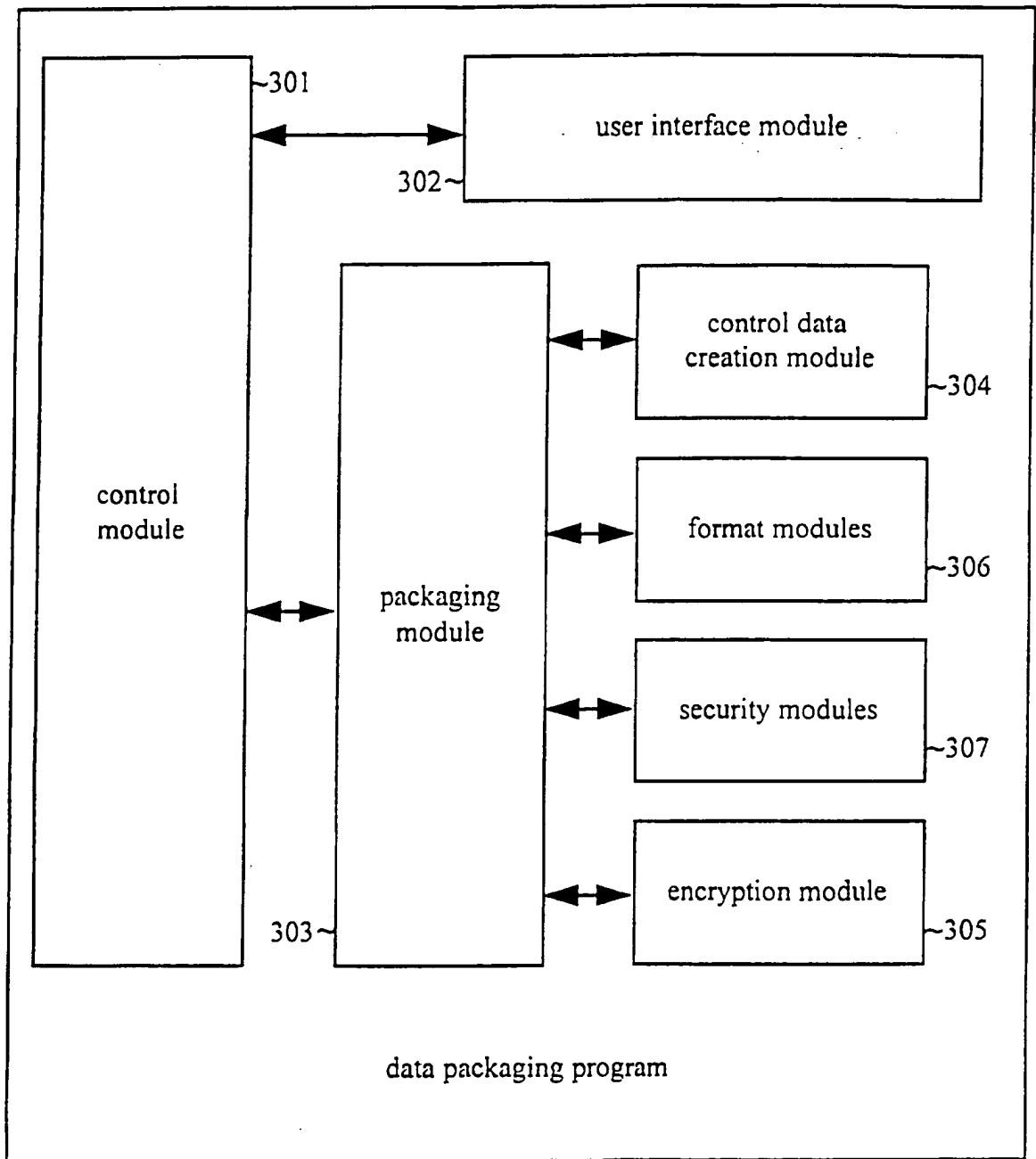
Fig 2



**SUBSTITUTE SHEET**

3/15

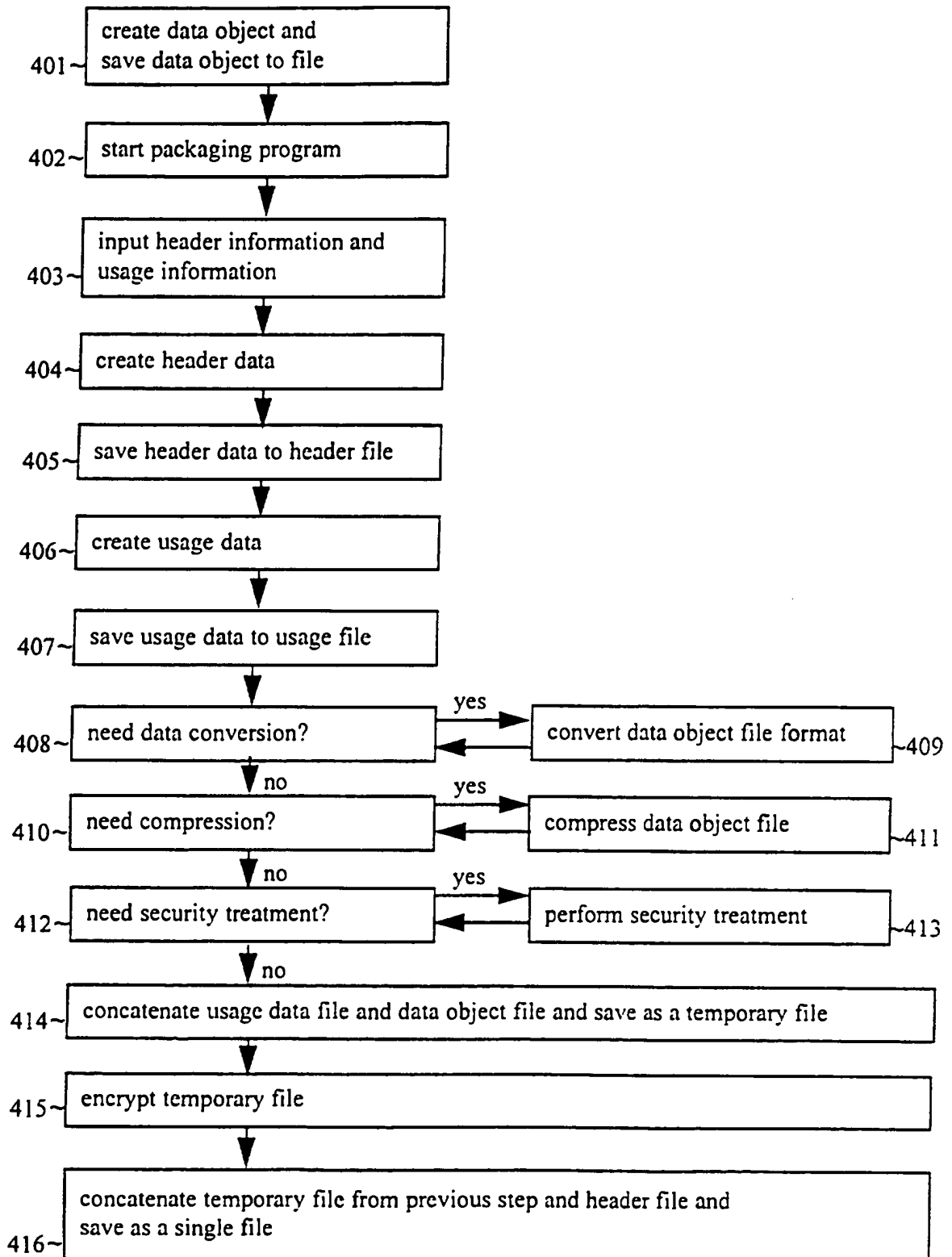
Fig 3



19

4/15

Fig 4



5/15

Fig 5

file identifier	123456789
title	image
format code	a
security code	b

Fig 6

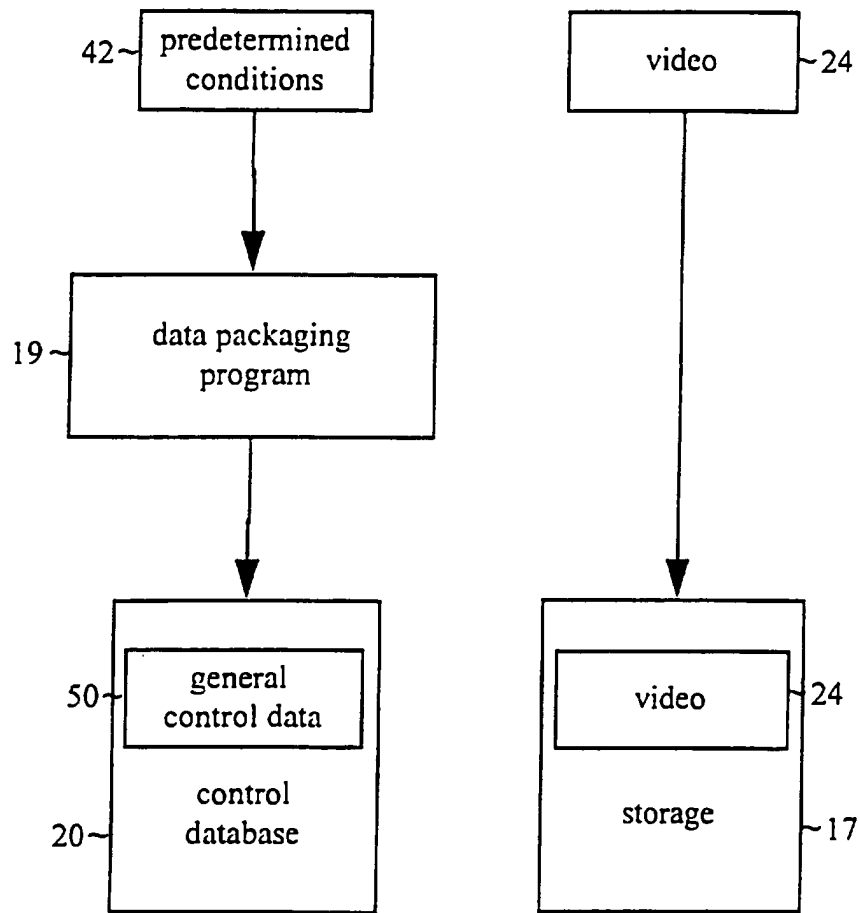
usage element for author's phone number	identifer	1
	size	13
	data	716 381 5356
...price for single use	identifer	2
	size	4
	data	.50
...price for unlimited use	identifer	3
	size	4
	data	50.00
...code for usage type approved	identifer	4
	size	2
	data	9
...code for number of usages approved	identifer	5
	size	2
	data	1

**SUBSTITUTE SHEET**



6/15

Fig 7



**SUBSTITUTE SHEET**

7/15  
Fig 8a

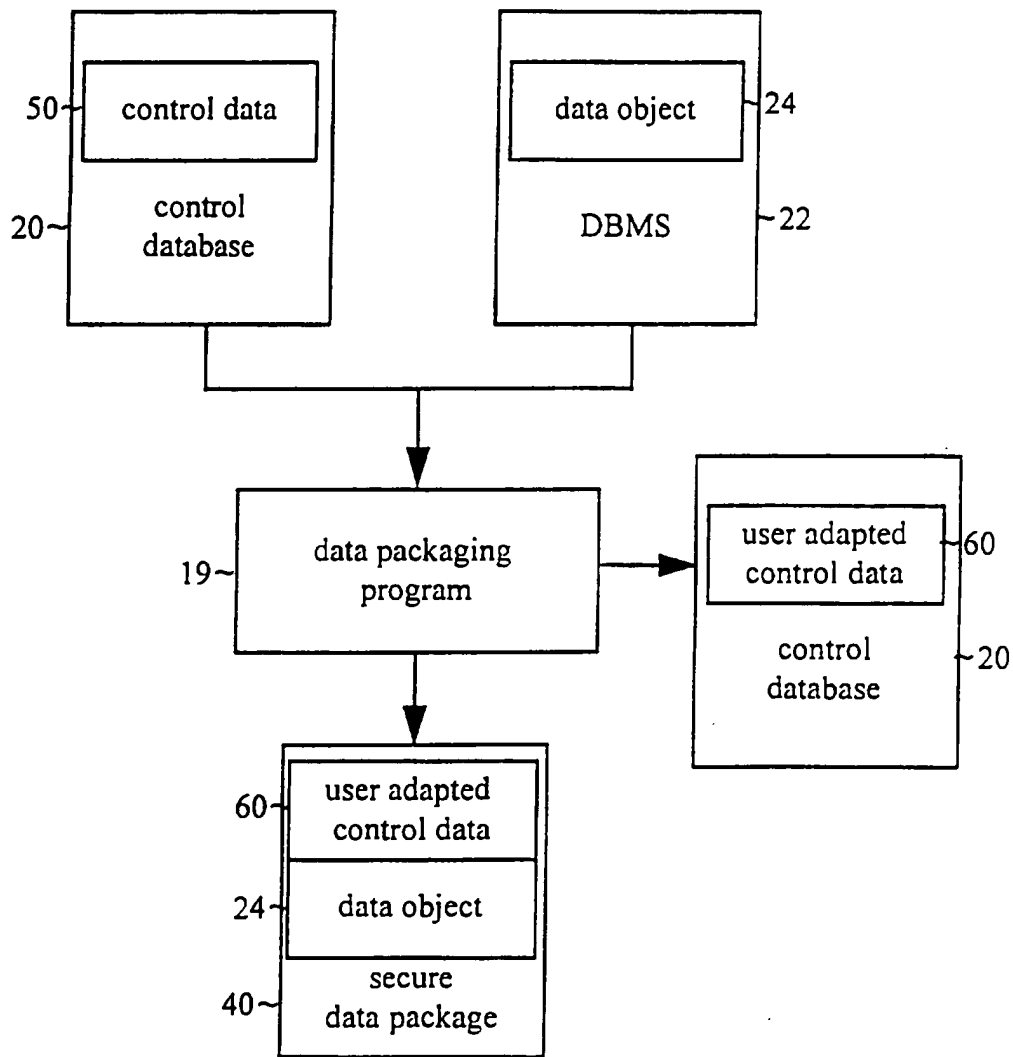
header	object identifier	123456789
	format code	0010
	security code	0010
	number of usage elements	2
	size of usage data	17
	size of data object	273
	1st usage element id	001
	1st usage element size	6
	1st usage element data	1
	2nd usage element id	002
	2nd usage element size	3
	2nd usage element data	

Fig 8b

header	object identifier	123456790
	format code	0010
	security code	0010
	number of usage elements	2
	size of usage data	17
	size of data object	273
	1st usage element id	001
	1st usage element size	6
	1st usage element data	1
	2nd usage element id	002
	2nd usage element size	3
	2nd usage element data	2

8/15

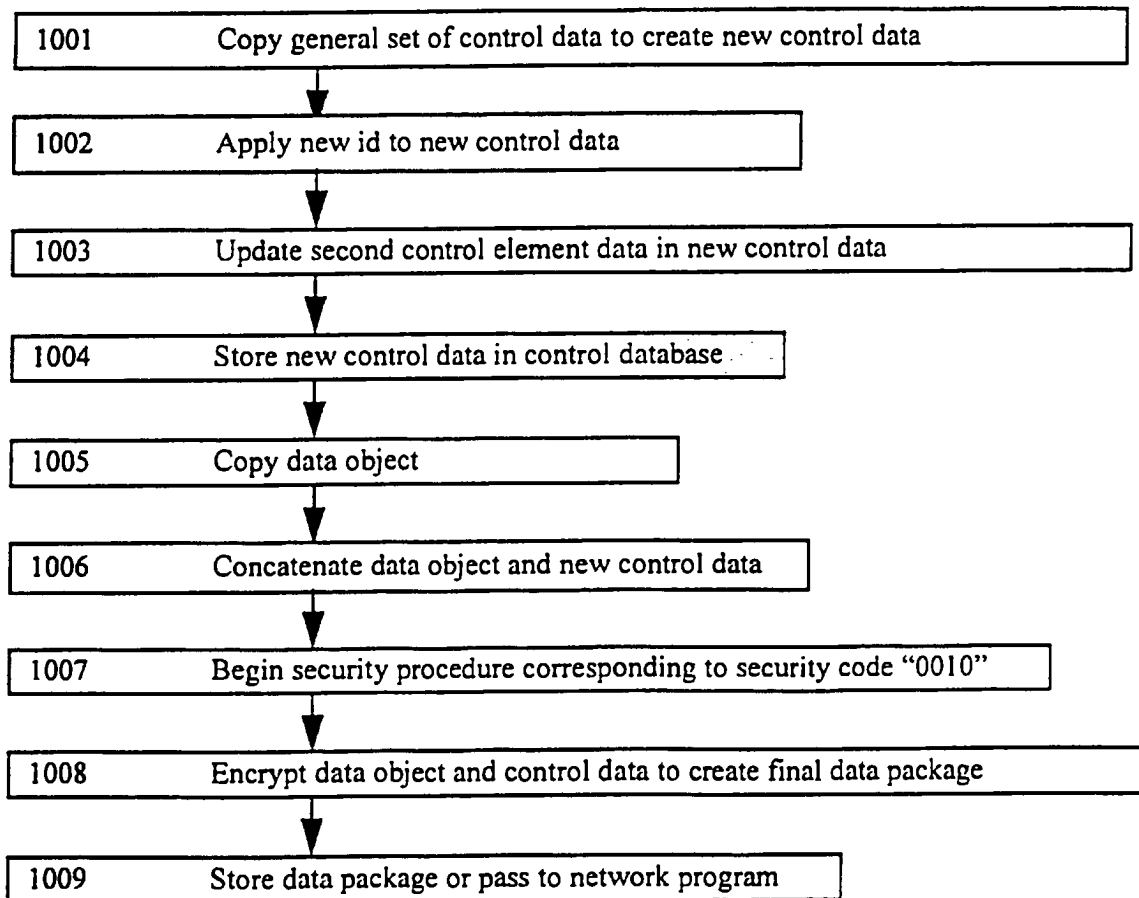
Fig 9



**SUBSTITUTE SHEET**

9/15

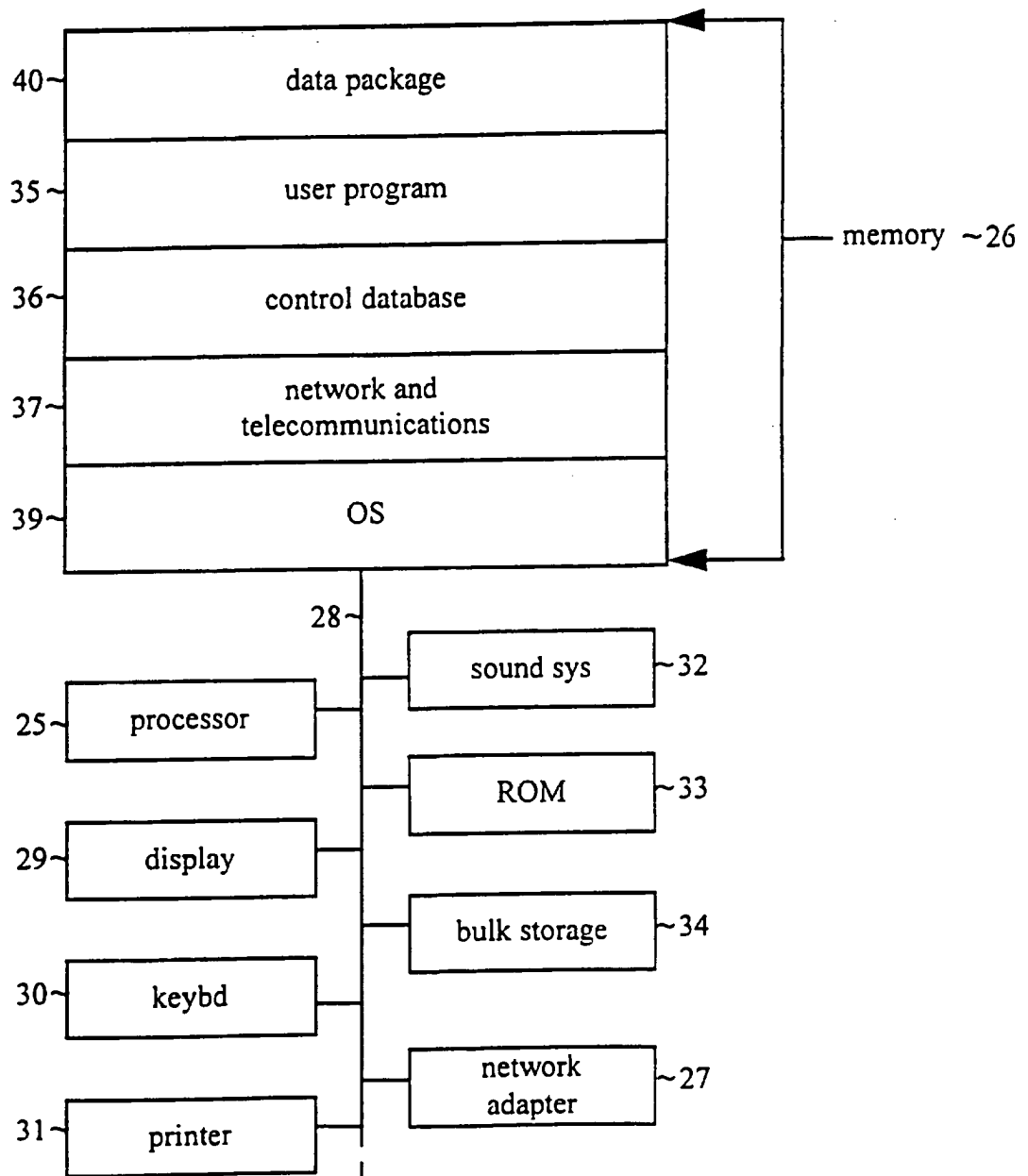
Fig 10

**SUBSTITUTE SHEET**



11/15

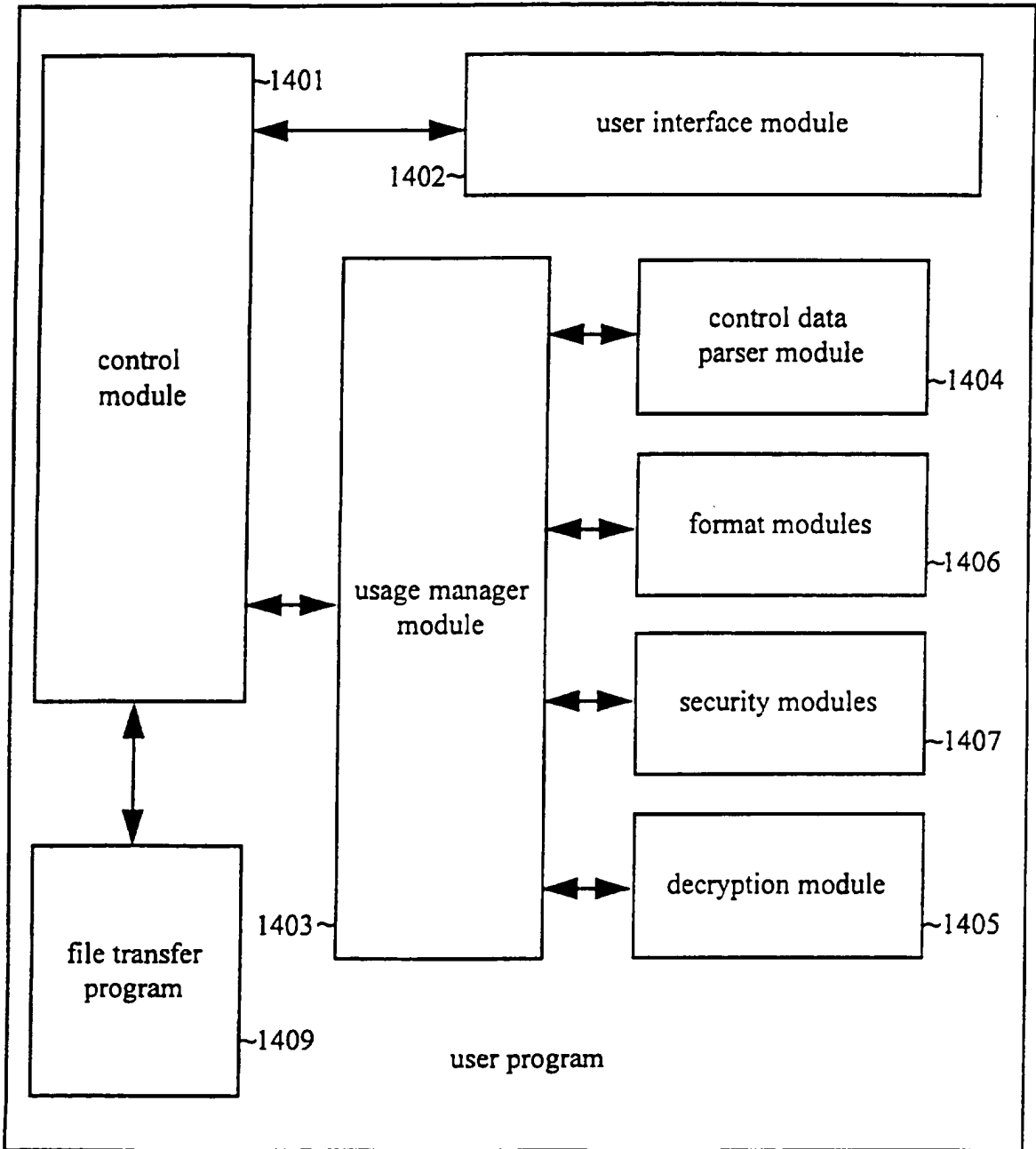
Fig 13



**SUBSTITUTE SHEET**

12/15

Fig 14

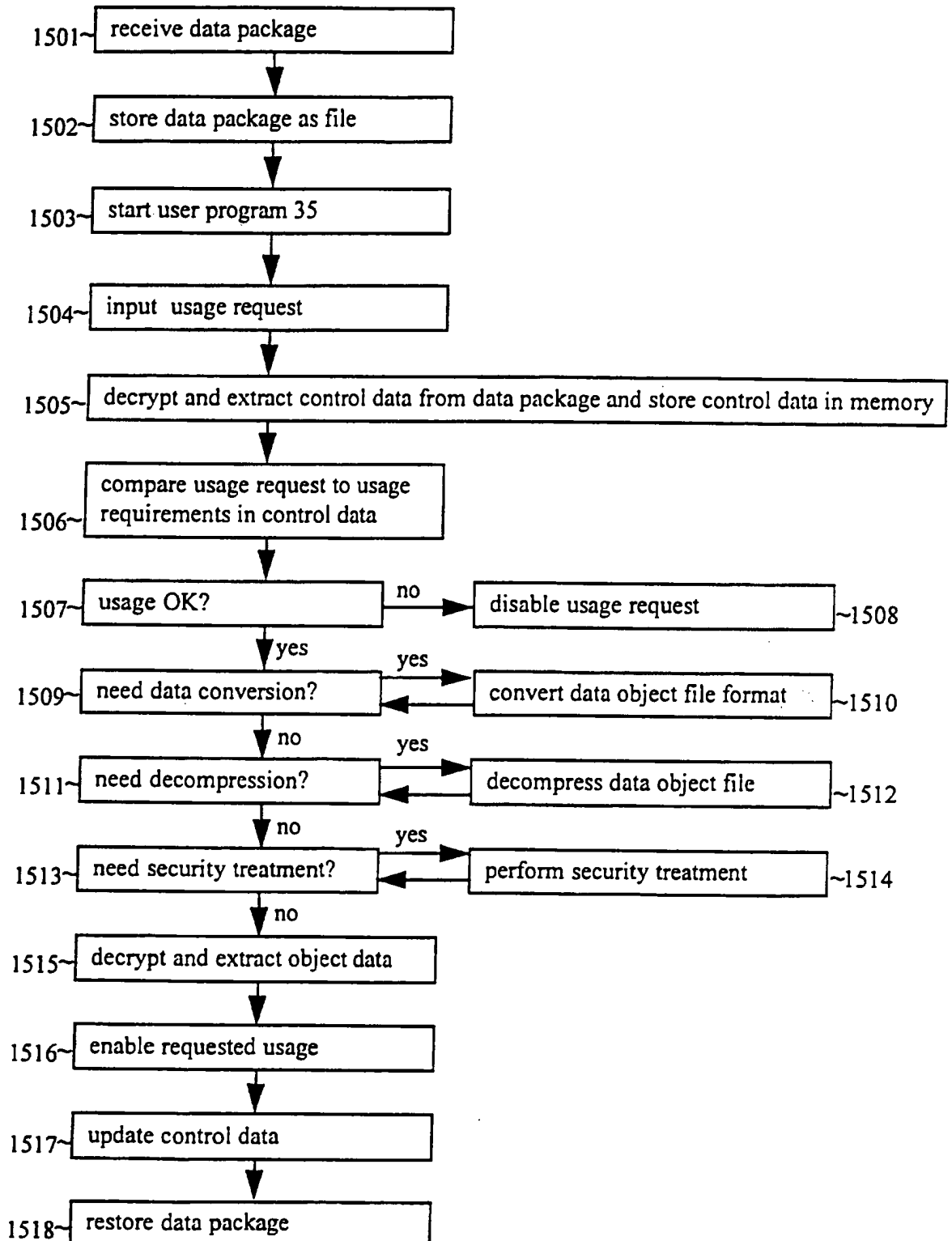


35

**SUBSTITUTE SHEET**

13/15

Fig 15

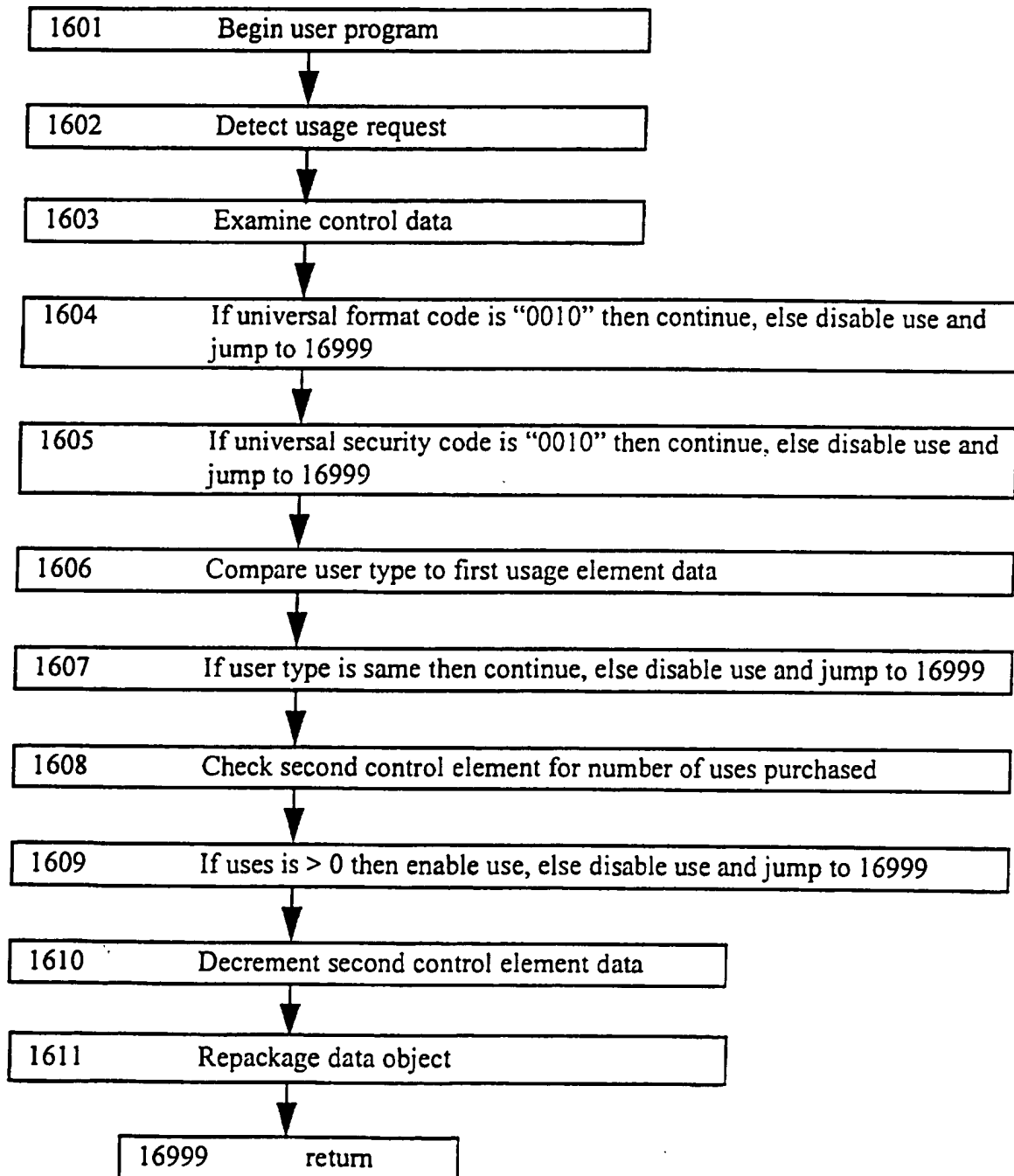


**SUBSTITUTE SHEET**



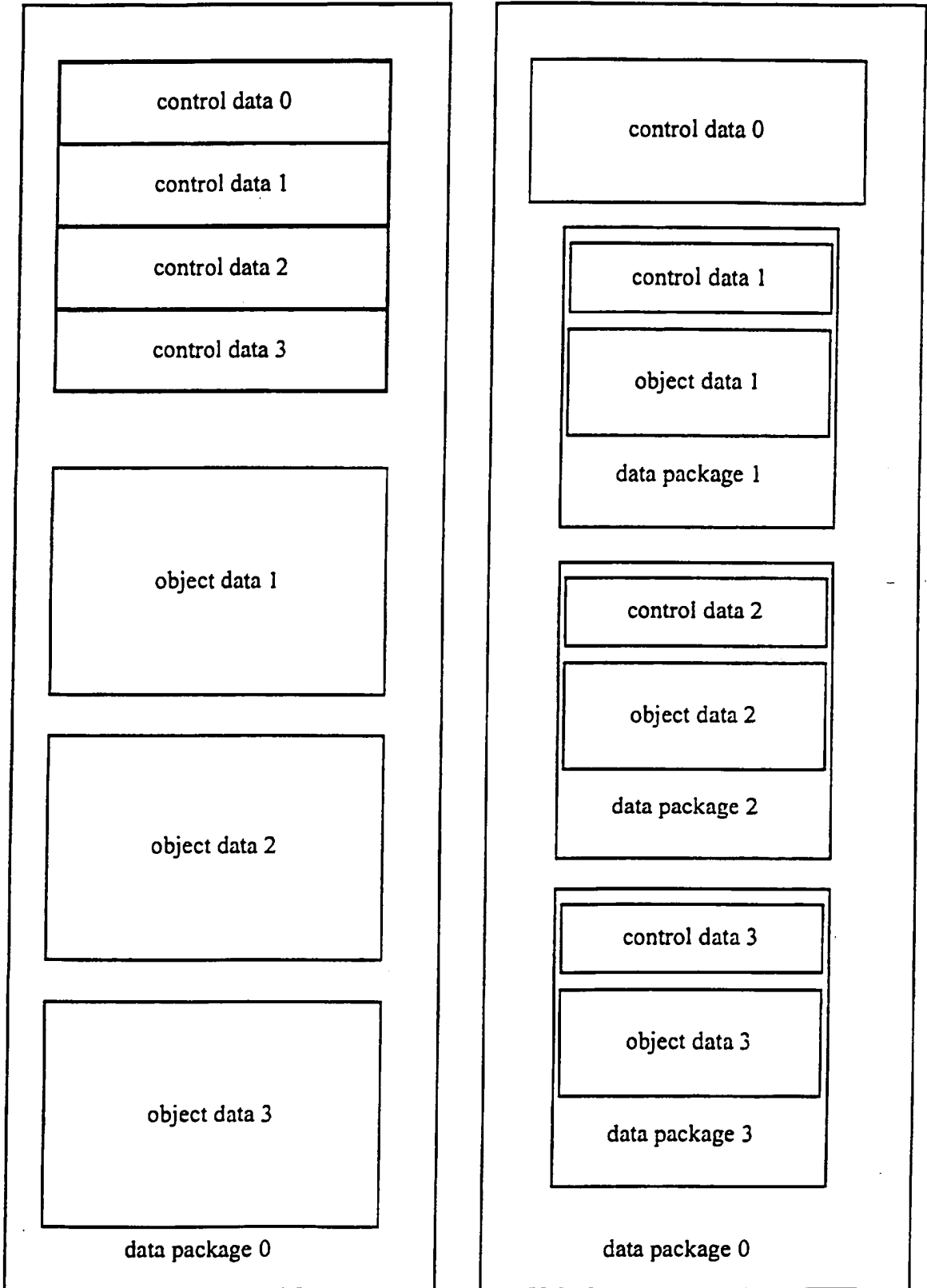
14/15

Fig 16

**SUBSTITUTE SHEET**

15/15

Fig 17



**CORRECTED  
VERSION\***

**PCT**

WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>6</sup> : <b>G06F</b></p>	<p><b>A2</b></p>	<p>(11) International Publication Number: <b>WO 96/27155</b> (43) International Publication Date: 6 September 1996 (06.09.96)</p>
<p>(21) International Application Number: PCT/US96/02303 (22) International Filing Date: 13 February 1996 (13.02.96) (30) Priority Data: 08/388,107 13 February 1995 (13.02.95) US (71) Applicant: ELECTRONIC PUBLISHING RESOURCES, INC. [US/US]; 5203 Battery Lane, Bethesda, MD 20814 (US). (72) Inventors: GINTER, Karl, L.; 10404 43rd Avenue, Beltsville, MD 20705 (US). SHEAR, Victor, H.; 5203 Battery Lane, Bethesda, MD 20814 (US). SPAHN, Francis, J.; 2410 Edwards Avenue, El Cerrito, CA 94530 (US). VAN WIE, David, M.; 1250 Lakeside Drive, Sunnyvale, CA 94086 (US). (74) Agent: FARIS, Robert, W.; Nixon &amp; Vanderhye P.C., 1100 North Glebe Road, Arlington, VA 22201-4714 (US).</p>		<p>(81) Designated States: AL, AM, AT, AU, AZ, BB, BG, BR, BY, CA, CH, CN, CZ, DE, DK, EE, ES, FI, GB, GE, HU, IS, JP, KE, KG, KP, KR, KZ, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, TJ, TM, TR, TT, UA, UG, UZ, VN, ARIPO patent (KE, LS, MW, SD, SZ, UG), Eurasian patent (AZ, BY, KG, KZ, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).</p> <p><b>Published</b> <i>Without international search report and to be republished upon receipt of that report.</i></p>
<p>(54) Title: <b>SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT AND ELECTRONIC RIGHTS PROTECTION</b></p>		
<p>(57) Abstract</p> <p>The present invention provides systems and methods for electronic commerce including secure transaction management and electronic rights protection. Electronic appliances such as computers employed in accordance with the present invention help to ensure that information is accessed and used only in authorized ways, and maintain the integrity, availability, and/or confidentiality of the information. Secure subsystems used with such electronic appliances provide a distributed virtual distribution environment (VDE) that may enforce a secure chain of handling and control, for example, to control and/or meter or otherwise monitor use of electronically stored or disseminated information. Such a virtual distribution environment may be used to protect rights of various participants in electronic commerce and other electronic or electronic-facilitated transactions. Secure distributed and other operating system environments and architectures, employing, for example, secure semiconductor processing arrangements that may establish secure, protected environments at each node. These techniques may be used to support an end-to-end electronic information distribution capability that may be used, for example, utilizing the "electronic highway".</p>		

\* (Referred to in PCT Gazette No. 52/1996, Section II)

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AM	Armenia	GB	United Kingdom	MW	Malawi
AT	Austria	GE	Georgia	MX	Mexico
AU	Australia	GN	Guinea	NE	Niger
BB	Barbados	GR	Greece	NL	Netherlands
BE	Belgium	HU	Hungary	NO	Norway
BF	Burkina Faso	IE	Ireland	NZ	New Zealand
BG	Bulgaria	IT	Italy	PL	Poland
BJ	Benin	JP	Japan	PT	Portugal
BR	Brazil	KE	Kenya	RO	Romania
BY	Belarus	KG	Kyrgystan	RU	Russian Federation
CA	Canada	KP	Democratic People's Republic of Korea	SD	Sudan
CF	Central African Republic	KR	Republic of Korea	SE	Sweden
CG	Congo	KZ	Kazakhstan	SG	Singapore
CH	Switzerland	LI	Liechtenstein	SI	Slovenia
CI	Côte d'Ivoire	LK	Sri Lanka	SK	Slovakia
CM	Cameroon	LR	Liberia	SN	Senegal
CN	China	LT	Lithuania	SZ	Swaziland
CS	Czechoslovakia	LU	Luxembourg	TD	Chad
CZ	Czech Republic	LV	Latvia	TG	Togo
DE	Germany	MC	Monaco	TJ	Tajikistan
DK	Denmark	MD	Republic of Moldova	TT	Trinidad and Tobago
EE	Estonia	MG	Madagascar	UA	Ukraine
ES	Spain	ML	Mali	UG	Uganda
FI	Finland	MN	Mongolia	US	United States of America
FR	France	MR	Mauritania	UZ	Uzbekistan
GA	Gabon			VN	Viet Nam

**SYSTEMS AND METHODS FOR SECURE TRANSACTION  
MANAGEMENT AND ELECTRONIC RIGHTS PROTECTION**

**Field(s) of the Invention(s)**

This invention generally relates to computer and/or  
electronic security.

5

More particularly, this invention relates to systems and  
techniques for secure transaction management. This invention  
also relates to computer-based and other electronic appliance-  
based technologies that help to ensure that information is  
10 accessed and/or otherwise used only in authorized ways, and  
maintains the integrity, availability, and/or confidentiality of  
such information and processes related to such use.

10

The invention also relates to systems and methods for  
15 protecting rights of various participants in electronic commerce  
and other electronic or electronically-facilitated transactions.

15

The invention also relates to secure chains of handling and  
control for both information content and information employed to  
20 regulate the use of such content and consequences of such use. It  
also relates to systems and techniques that manage, including  
meter and/or limit and/or otherwise monitor use of electronically  
stored and/or disseminated information. The invention

20

particularly relates to transactions, conduct and arrangements that make use of, including consequences of use of, such systems and/or techniques.

5           The invention also relates to distributed and other operating systems, environments and architectures. It also generally relates to secure architectures, including, for example, tamper-resistant hardware-based processors, that can be used to establish security at each node of a distributed system.

10

#### **Background and Summary of the Invention(s)**

Telecommunications, financial transactions, government processes, business operations, entertainment, and personal business productivity all now depend on electronic appliances. Millions of these electronic appliances have been electronically connected together. These interconnected electronic appliances comprise what is increasingly called the "information highway." Many businesses, academicians, and government leaders are concerned about how to protect the rights of citizens and organizations who use this information (also "electronic" or

15

20

25

"digital") highway.

#### **Electronic Content**

Today, virtually anything that can be represented by words, numbers, graphics, or system of commands and

instructions can be formatted into electronic digital information.

Television, cable, satellite transmissions, and on-line services transmitted over telephone lines, compete to distribute digital information and entertainment to homes and businesses. The

5 owners and marketers of this content include software developers, motion picture and recording companies, publishers of books, magazines, and newspapers, and information database providers. The popularization of on-line services has also enabled the individual personal computer user to participate as a content  
10 provider. It is estimated that the worldwide market for electronic information in 1992 was approximately \$40 billion and is expected to grow to \$200 billion by 1997, according to Microsoft Corporation. The present invention can materially enhance the revenue of content providers, lower the distribution costs and the  
15 costs for content, better support advertising and usage information gathering, and better satisfy the needs of electronic information users. These improvements can lead to a significant increase in the amount and variety of electronic information and the methods by which such information is distributed.

20

The inability of conventional products to be shaped to the needs of electronic information providers and users is sharply in contrast to the present invention. Despite the attention devoted by a cross-section of America's largest telecommunications,  
25 computer, entertainment and information provider companies to

some of the problems addressed by the present invention, only the present invention provides commercially secure, effective solutions for configurable, general purpose electronic commerce transaction/distribution control systems.

5

### **Controlling Electronic Content**

The present invention provides a new kind of "virtual distribution environment" (called "VDE" in this document) that secures, administers, and audits electronic information use. VDE also features fundamentally important capabilities for managing content that travels "across" the "information highway." These capabilities comprise a rights protection solution that serves all electronic community members. These members include content creators and distributors, financial service providers, end-users, and others. VDE is the first general purpose, configurable, transaction control/rights protection solution for users of computers, other electronic appliances, networks, and the information highway.

15  
20

A fundamental problem for electronic content providers is extending their ability to control the use of proprietary information. Content providers often need to limit use to authorized activities and amounts. Participants in a business model involving, for example, provision of movies and advertising on optical discs may include actors, directors, script and other

25



writers, musicians, studios, publishers, distributors, retailers, advertisers, credit card services, and content end-users. These participants need the ability to embody their range of agreements and requirements, including use limitations, into an "extended" agreement comprising an overall electronic business model. This extended agreement is represented by electronic content control information that can automatically enforce agreed upon rights and obligations. Under VDE, such an extended agreement may comprise an electronic contract involving all business model participants. Such an agreement may alternatively, or in addition, be made up of electronic agreements between subsets of the business model participants. Through the use of VDE, electronic commerce can function in the same way as traditional commerce—that is commercial relationships regarding products and services can be shaped through the negotiation of one or more agreements between a variety of parties.

Commercial content providers are concerned with ensuring proper compensation for the use of their electronic information. Electronic digital information, for example a CD recording, can today be copied relatively easily and inexpensively. Similarly, unauthorized copying and use of software programs deprives rightful owners of billions of dollars in annual revenue according to the International Intellectual Property Alliance. Content providers and distributors have devised a number of limited

function rights protection mechanisms to protect their rights. Authorization passwords and protocols, license servers, “lock/unlock” distribution methods, and non-electronic contractual limitations imposed on users of shrink-wrapped software are a few of the more prevalent content protection schemes. In a commercial context, these efforts are inefficient and limited solutions.

Providers of “electronic currency” have also created protections for their type of content. These systems are not sufficiently adaptable, efficient, nor flexible enough to support the generalized use of electronic currency. Furthermore, they do not provide sophisticated auditing and control configuration capabilities. This means that current electronic currency tools lack the sophistication needed for many real-world financial business models. VDE provides means for anonymous currency and for “conditionally” anonymous currency, wherein currency related activities remain anonymous except under special circumstances.

20

#### **VDE Control Capabilities**

VDE allows the owners and distributors of electronic digital information to reliably bill for, and securely control, audit, and budget the use of, electronic information. It can reliably

25

detect and monitor the use of commercial information products.

VDE uses a wide variety of different electronic information delivery means: including, for example, digital networks, digital broadcast, and physical storage media such as optical and magnetic disks. VDE can be used by major network providers, hardware manufacturers, owners of electronic information, providers of such information, and clearinghouses that gather usage information regarding, and bill for the use of, electronic information.

10

VDE provides comprehensive and configurable transaction management, metering and monitoring technology. It can change how electronic information products are protected, marketed, packaged, and distributed. When used, VDE should result in higher revenues for information providers and greater user satisfaction and value. Use of VDE will normally result in lower usage costs, decreased transaction costs, more efficient access to electronic information, re-usability of rights protection and other transaction management implementations, greatly improved flexibility in the use of secured information, and greater standardization of tools and processes for electronic transaction management. VDE can be used to create an adaptable environment that fulfills the needs of electronic information owners, distributors, and users; financial clearinghouses; and usage information analyzers and resellers.

15

20

25

### **Rights and Control Information**

In general, the present invention can be used to protect the rights of parties who have:

- 5           (a)   proprietary or confidentiality interests in electronic information. It can, for example, help ensure that information is used only in authorized ways;
- 10           (b)   financial interests resulting from the use of electronically distributed information. It can help ensure that content providers will be paid for use of distributed information; and
- 15           (c)   interests in electronic credit and electronic currency storage, communication, and/or use including electronic cash, banking, and purchasing.

Protecting the rights of electronic community members involves a broad range of technologies. VDE combines these  
20 technologies in a way that creates a "distributed" electronic rights protection "environment." This environment secures and protects transactions and other processes important for rights protection. VDE, for example, provides the ability to prevent, or impede, interference with and/or observation of, important rights  
25 related transactions and processes. VDE, in its preferred

embodiment, uses special purpose tamper resistant Secure Processing Units (SPUs) to help provide a high level of security for VDE processes and information storage and communication.

5           The rights protection problems solved by the present invention are electronic versions of basic societal issues. These issues include protecting property rights, protecting privacy rights, properly compensating people and organizations for their work and risk, protecting money and credit, and generally  
10           protecting the security of information. VDE employs a system that uses a common set of processes to manage rights issues in an efficient, trusted, and cost-effective way.

          VDE can be used to protect the rights of parties who create  
15           electronic content such as, for example: records, games, movies, newspapers, electronic books and reference materials, personal electronic mail, and confidential records and communications. The invention can also be used to protect the rights of parties who provide electronic products, such as publishers and  
20           distributors; the rights of parties who provide electronic credit and currency to pay for use of products, for example, credit clearinghouses and banks; the rights to privacy of parties who use electronic content (such as consumers, business people, governments); and the privacy rights of parties described by  
25           electronic information, such as privacy rights related to

information contained in a medical record, tax record, or  
personnel record.

In general, the present invention can protect the rights of  
parties who have:

5

10

15

20

25

(a) commercial interests in electronically distributed  
information -- the present invention can help ensure,  
for example, that parties, will be paid for use of  
distributed information in a manner consistent with  
their agreement;

(b) proprietary and/or confidentiality interests in  
electronic information -- the present invention can,  
for example, help ensure that data is used only in  
authorized ways;

(c) interests in electronic credit and electronic currency  
storage, communication, and/or use -- this can  
include electronic cash, banking, and purchasing;  
and

(d) interests in electronic information derived, at least  
in part, from use of other electronic information.

**VDE Functional Properties**

VDE is a cost-effective and efficient rights protection solution that provides a unified, consistent system for securing and managing transaction processing. VDE can:

- 5           (a)   audit and analyze the use of content,
- (b)   ensure that content is used only in authorized ways,  
             and
- 10           (c)   allow information regarding content usage to be used  
             only in ways approved by content users.

In addition, VDE:

- 15           (a)   is very configurable, modifiable, and re-usable;
- (b)   supports a wide range of useful capabilities that may  
             be combined in different ways to accommodate most  
             potential applications;
- 20           (c)   operates on a wide variety of electronic appliances  
             ranging from hand-held inexpensive devices to large  
             mainframe computers;

- (d) is able to ensure the various rights of a number of different parties, and a number of different rights protection schemes, simultaneously;
- 5 (e) is able to preserve the rights of parties through a series of transactions that may occur at different times and different locations;
- 10 (f) is able to flexibly accommodate different ways of securely delivering information and reporting usage; and
- 15 (g) provides for electronic analogues to "real" money and credit, including anonymous electronic cash, to pay for products and services and to support personal (including home) banking and other financial activities.

VDE economically and efficiently fulfills the rights protection needs of electronic community members. Users of VDE will not require additional rights protection systems for different information highway products and rights problems—nor will they be required to install and learn a new system for each new information highway application.

25



VDE provides a unified solution that allows all content creators, providers, and users to employ the same electronic rights protection solution. Under authorized circumstances, the participants can freely exchange content and associated content control sets. This means that a user of VDE may, if allowed, use the same electronic system to work with different kinds of content having different sets of content control information. The content and control information supplied by one group can be used by people who normally use content and control information supplied by a different group. VDE can allow content to be exchanged "universally" and users of an implementation of the present invention can interact electronically without fear of incompatibilities in content control, violation of rights, or the need to get, install, or learn a new content control system.

15

The VDE securely administers transactions that specify protection of rights. It can protect electronic rights including, for example:

20

- (a) the property rights of authors of electronic content,
- (b) the commercial rights of distributors of content,
- (c) the rights of any parties who facilitated the distribution of content,

25

- (d) the privacy rights of users of content,
- (e) the privacy rights of parties portrayed by stored  
and/or distributed content, and
- 5
- (f) any other rights regarding enforcement of electronic  
agreements.

VDE can enable a very broad variety of electronically enforced  
10 commercial and societal agreements. These agreements can  
include electronically implemented contracts, licenses, laws,  
regulations, and tax collection.

#### **Contrast With Traditional Solutions**

15 Traditional content control mechanisms often require users  
to purchase more electronic information than the user needs or  
desires. For example, infrequent users of shrink-wrapped  
software are required to purchase a program at the same price as  
frequent users, even though they may receive much less value  
20 from their less frequent use. Traditional systems do not scale  
cost according to the extent or character of usage and traditional  
systems can not attract potential customers who find that a fixed  
price is too high. Systems using traditional mechanisms are also  
not normally particularly secure. For example, shrink-wrapping

does not prevent the constant illegal pirating of software once removed from either its physical or electronic package.

Traditional electronic information rights protection  
5 systems are often inflexible and inefficient and may cause a content provider to choose costly distribution channels that increase a product's price. In general these mechanisms restrict product pricing, configuration, and marketing flexibility. These compromises are the result of techniques for controlling  
10 information which cannot accommodate both different content models and content models which reflect the many, varied requirements, such as content delivery strategies, of the model participants. This can limit a provider's ability to deliver sufficient overall value to justify a given product's cost in the eyes  
15 of many potential users. VDE allows content providers and distributors to create applications and distribution networks that reflect content providers' and users' preferred business models. It offers users a uniquely cost effective and feature rich system that supports the ways providers want to distribute information  
20 and the ways users want to use such information. VDE supports content control models that ensure rights and allow content delivery strategies to be shaped for maximum commercial results.

### **Chain of Handling and Control**

VDE can protect a collection of rights belonging to various parties having in rights in, or to, electronic information. This information may be at one location or dispersed across (and/or moving between) multiple locations. The information may pass through a "chain" of distributors and a "chain" of users. Usage information may also be reported through one or more "chains" of parties. In general, VDE enables parties that (a) have rights in electronic information, and/or (b) act as direct or indirect agents for parties who have rights in electronic information, to ensure that the moving, accessing, modifying, or otherwise using of information can be securely controlled by rules regarding how, when, where, and by whom such activities can be performed.

### **VDE Applications and Software**

VDE is a secure system for regulating electronic conduct and commerce. Regulation is ensured by control information put in place by one or more parties. These parties may include content providers, electronic hardware manufacturers, financial service providers, or electronic "infrastructure" companies such as cable or telecommunications companies. The control information implements "Rights Applications." Rights applications "run on" the "base software" of the preferred embodiment. This base software serves as a secure, flexible, general purpose foundation that can accommodate many

different rights applications, that is, many different business models and their respective participant requirements.

5 A rights application under VDE is made up of special purpose pieces, each of which can correspond to one or more basic electronic processes needed for a rights protection environment. These processes can be combined together like building blocks to create electronic agreements that can protect the rights, and may enforce fulfillment of the obligations, of electronic information users and providers. One or more providers of electronic information can easily combine selected building blocks to create a rights application that is unique to a specific content distribution model. A group of these pieces can represent the capabilities needed to fulfill the agreement(s) between users and providers. These pieces accommodate many requirements of electronic commerce including:

10

15

! the distribution of permissions to use electronic information;

20

! the persistence of the control information and sets of control information managing these permissions;

25

! configurable control set information that can be selected by users for use with such information;

! data security and usage auditing of electronic  
information; and

5

! a secure system for currency, compensation and  
debit management.

10

For electronic commerce, a rights application, under the preferred embodiment of the present invention, can provide electronic enforcement of the business agreements between all participants. Since different groups of components can be put together for different applications, the present invention can provide electronic control information for a wide variety of different products and markets. This means the present invention can provide a "unified," efficient, secure, and cost-effective system for electronic commerce and data security. This allows VDE to serve as a single standard for electronic rights protection, data security, and electronic currency and banking.

15

20

In a VDE, the separation between a rights application and its foundation permits the efficient selection of sets of control information that are appropriate for each of many different types of applications and uses. These control sets can reflect both rights of electronic community members, as well as obligations (such as providing a history of one's use of a product or paying

25

taxes on one's electronic purchases). VDE flexibility allows its users to electronically implement and enforce common social and commercial ethics and practices. By providing a unified control system, the present invention supports a vast range of possible transaction related interests and concerns of individuals, communities, businesses, and governments. Due to its open design, VDE allows (normally under securely controlled circumstances) applications using technology independently created by users to be "added" to the system and used in conjunction with the foundation of the invention. In sum, VDE provides a system that can fairly reflect and enforce agreements among parties. It is a broad ranging and systematic solution that answers the pressing need for a secure, cost-effective, and fair electronic environment.

15

#### **VDE Implementation**

The preferred embodiment of the present invention includes various tools that enable system designers to directly insert VDE capabilities into their products. These tools include an Application Programmer's Interface ("API") and a Rights Permissioning and Management Language ("RPML"). The RPML provides comprehensive and detailed control over the use of the invention's features. VDE also includes certain user interface subsystems for satisfying the needs of content providers, distributors, and users.

25

Information distributed using VDE may take many forms. It may, for example, be "distributed" for use on an individual's own computer, that is the present invention can be used to provide security for locally stored data. Alternatively, VDE may  
5 be used with information that is dispersed by authors and/or publishers to one or more recipients. This information may take many forms including: movies, audio recordings, games, electronic catalog shopping, multimedia, training materials, E-mail and personal documents, object oriented libraries,  
10 software programming resources, and reference/record keeping information resources (such as business, medical, legal, scientific, governmental, and consumer databases).

Electronic rights protection provided by the present  
15 invention will also provide an important foundation for trusted and efficient home and commercial banking, electronic credit processes, electronic purchasing, true or conditionally anonymous electronic cash, and EDI (Electronic Data Interchange). VDE provides important enhancements for improving data security in  
20 organizations by providing "smart" transaction management features that can be far more effective than key and password based "go/no go" technology.

VDE normally employs an integration of cryptographic and  
25 other security technologies (e.g. encryption, digital signatures,



etc.), with other technologies including: component, distributed, and event driven operating system technology, and related communications, object container, database, smart agent, smart card, and semiconductor design technologies.

5

## **I. Overview**

### **A. VDE Solves Important Problems and Fills Critical Needs**

The world is moving towards an integration of electronic information appliances. This interconnection of appliances provides a foundation for much greater electronic interaction and the evolution of electronic commerce. A variety of capabilities are required to implement an electronic commerce environment. VDE is the first system that provides many of these capabilities and therefore solves fundamental problems related to electronic dissemination of information.

10  
15

### **Electronic Content**

VDE allows electronic arrangements to be created involving two or more parties. These agreements can themselves comprise a collection of agreements between participants in a commercial value chain and/or a data security chain model for handling, auditing, reporting, and payment. It can provide efficient, reusable, modifiable, and consistent means for secure electronic content: distribution, usage control, usage payment,

20  
25

usage auditing, and usage reporting. Content may, for example, include:

5           !     financial information such as electronic currency and credit;

          !     commercially distributed electronic information such as reference databases, movies, games, and advertising; and

10

          !     electronic properties produced by persons and organizations, such as documents, e-mail, and proprietary database information.

15       VDE enables an electronic commerce marketplace that supports differing, competitive business partnerships, agreements, and evolving overall business models.

20           The features of VDE allow it to function as the first trusted electronic information control environment that can conform to, and support, the bulk of conventional electronic commerce and data security requirements. In particular, VDE enables the participants in a business value chain model to create an electronic version of traditional business agreement terms and

25       conditions and further enables these participants to shape and

evolve their electronic commerce models as they believe appropriate to their business requirements.

5 VDE offers an architecture that avoids reflecting specific distribution biases, administrative and control perspectives, and content types. Instead, VDE provides a broad-spectrum, fundamentally configurable and portable, electronic transaction control, distributing, usage, auditing, reporting, and payment operating environment. VDE is not limited to being an application or application specific toolset that covers only a limited subset of electronic interaction activities and participants. Rather, VDE supports systems by which such applications can be created, modified, and/or reused. As a result, the present invention answers pressing, unsolved needs by offering a system that supports a standardized control environment which facilitates interoperability of electronic appliances, interoperability of content containers, and efficient creation of electronic commerce applications and models through the use of a programmable, secure electronic transactions management foundation and reusable and extensible executable components. VDE can support a single electronic "world" within which most forms of electronic transaction activities can be managed.

10

15

20

To answer the developing needs of rights owners and content providers and to provide a system that can accommodate

25

the requirements and agreements of all parties that may be involved in electronic business models (creators, distributors, administrators, users, credit providers, etc.), VDE supplies an efficient, largely transparent, low cost and sufficiently secure system (supporting both hardware/ software and software only models). VDE provides the widely varying secure control and administration capabilities required for:

1. Different types of electronic content,
2. Differing electronic content delivery schemes,
3. Differing electronic content usage schemes,
4. Different content usage platforms, and
5. Differing content marketing and model strategies.

VDE may be combined with, or integrated into, many separate computers and/or other electronic appliances. These appliances typically include a secure subsystem that can enable control of content use such as displaying, encrypting, decrypting, printing, copying, saving, extracting, embedding, distributing, auditing usage, etc. The secure subsystem in the preferred embodiment comprises one or more "protected processing

environments", one or more secure databases, and secure  
"component assemblies" and other items and processes that need  
to be kept secured. VDE can, for example, securely control  
electronic currency, payments, and/or credit management  
5 (including electronic credit and/or currency receipt,  
disbursement, encumbering, and/or allocation) using such a  
"secure subsystem."

VDE provides a secure, distributed electronic transaction  
10 management system for controlling the distribution and/or other  
usage of electronically provided and/or stored information. VDE  
controls auditing and reporting of electronic content and/or  
appliance usage. Users of VDE may include content creators who  
apply content usage, usage reporting, and/or usage payment  
15 related control information to electronic content and/or  
appliances for users such as end-user organizations, individuals,  
and content and/or appliance distributors. VDE also securely  
supports the payment of money owed (including money owed for  
content and/or appliance usage) by one or more parties to one or  
20 more other parties, in the form of electronic credit and/or  
currency.

Electronic appliances under control of VDE represent VDE  
'nodes' that securely process and control; distributed electronic  
25 information and/or appliance usage, control information

formulation, and related transactions. VDE can securely manage the integration of control information provided by two or more parties. As a result, VDE can construct an electronic agreement between VDE participants that represent a “negotiation”  
5 between, the control requirements of, two or more parties and enacts terms and conditions of a resulting agreement. VDE ensures the rights of each party to an electronic agreement regarding a wide range of electronic activities related to electronic information and/or appliance usage.

10

Through use of VDE’s control system, traditional content providers and users can create electronic relationships that reflect traditional, non-electronic relationships. They can shape and modify commercial relationships to accommodate the  
15 evolving needs of, and agreements among, themselves. VDE does not require electronic content providers and users to modify their business practices and personal preferences to conform to a metering and control application program that supports limited, largely fixed functionality. Furthermore, VDE permits  
20 participants to develop business models not feasible with non-electronic commerce, for example, involving detailed reporting of content usage information, large numbers of distinct transactions at hitherto infeasibly low price points, “pass-along” control information that is enforced without involvement or advance  
25 knowledge of the participants, etc.

The present invention allows content providers and users to formulate their transaction environment to accommodate:

- 5 (1) desired content models, content control models, and content usage information pathways,
- (2) a complete range of electronic media and distribution means,
- 10 (3) a broad range of pricing, payment, and auditing strategies,
- (4) very flexible privacy and/or reporting models,
- 15 (5) practical and effective security architectures, and
- (6) other administrative procedures that together with steps (1) through (5) can enable most "real world" electronic commerce and data security models,
- 20 including models unique to the electronic world.

VDE's transaction management capabilities can enforce:

- (1) privacy rights of users related to information regarding their usage of electronic information and/or appliances,
- 5 (2) societal policy such as laws that protect rights of content users or require the collection of taxes derived from electronic transaction revenue, and
- 10 (3) the proprietary and/or other rights of parties related to ownership of, distribution of, and/or other commercial rights related to, electronic information.

VDE can support "real" commerce in an electronic form, that is the progressive creation of commercial relationships that form, over time, a network of interrelated agreements representing a value chain business model. This is achieved in part by enabling content control information to develop through the interaction of (negotiation between) securely created and independently submitted sets of content and/or appliance control information. Different sets of content and/or appliance control information can be submitted by different parties in an electronic business value chain enabled by the present invention. These parties create control information sets through the use of their respective VDE installations. Independently, securely deliverable, component based control information allows efficient

15  
20  
25



interaction among control information sets supplied by different parties.

5 VDE permits multiple, separate electronic arrangements to be formed between subsets of parties in a VDE supported electronic value chain model. These multiple agreements together comprise a VDE value chain "extended" agreement. VDE allows such constituent electronic agreements, and therefore overall VDE extended agreements, to evolve and  
10 reshape over time as additional VDE participants become involved in VDE content and/or appliance control information handling. VDE electronic agreements may also be extended as new control information is submitted by existing participants. With VDE, electronic commerce participants are free to structure  
15 and restructure their electronic commerce business activities and relationships. As a result, the present invention allows a competitive electronic commerce marketplace to develop since the use of VDE enables different, widely varying business models using the same or shared content.

20 A significant facet of the present invention's ability to broadly support electronic commerce is its ability to securely manage independently delivered VDE component objects containing control information (normally in the form of VDE  
25 objects containing one or more methods, data, or load module

VDE components). This independently delivered control information can be integrated with senior and other pre-existing content control information to securely form derived control information using the negotiation mechanisms of the present invention. All requirements specified by this derived control information must be satisfied before VDE controlled content can be accessed or otherwise used. This means that, for example, all load modules and any mediating data which are listed by the derived control information as required must be available and securely perform their required function. In combination with other aspects of the present invention, securely, independently delivered control components allow electronic commerce participants to freely stipulate their business requirements and trade offs. As a result, much as with traditional, non-electronic commerce, the present invention allows electronic commerce (through a progressive stipulation of various control requirements by VDE participants) to evolve into forms of business that are the most efficient, competitive and useful.

VDE provides capabilities that rationalize the support of electronic commerce and electronic transaction management. This rationalization stems from the reusability of control structures and user interfaces for a wide variety of transaction management related activities. As a result, content usage control, data security, information auditing, and electronic

financial activities, can be supported with tools that are reusable, convenient, consistent, and familiar. In addition, a rational approach—a transaction/distribution control standard—allows all participants in VDE the same foundation set of hardware control and security, authoring, administration, and management tools to support widely varying types of information, business market model, and/or personal objectives.

Employing VDE as a general purpose electronic transaction/distribution control system allows users to maintain a single transaction management control arrangement on each of their computers, networks, communication nodes, and/or other electronic appliances. Such a general purpose system can serve the needs of many electronic transaction management applications without requiring distinct, different installations for different purposes. As a result, users of VDE can avoid the confusion and expense and other inefficiencies of different, limited purpose transaction control applications for each different content and/or business model. For example, VDE allows content creators to use the same VDE foundation control arrangement for both content authoring and for licensing content from other content creators for inclusion into their products or for other use. Clearinghouses, distributors, content creators, and other VDE users can all interact, both with the applications running on their VDE installations, and with each other, in an entirely consistent

manner, using and reusing (largely transparently) the same distributed tools, mechanisms, and consistent user interfaces, regardless of the type of VDE activity.

5           VDE prevents many forms of unauthorized use of electronic information, by controlling and auditing (and other administration of use) electronically stored and/or disseminated information. This includes, for example, commercially distributed content, electronic currency, electronic credit,  
10 business transactions (such as EDI), confidential communications, and the like. VDE can further be used to enable commercially provided electronic content to be made available to users in user defined portions, rather than constraining the user to use portions of content that were "predetermined" by a content  
15 creator and/or other provider for billing purposes.

VDE, for example, can employ:

- 20           (1) Secure metering means for budgeting and/or auditing electronic content and/or appliance usage;
- (2) Secure flexible means for enabling compensation and/or billing rates for content and/or appliance usage, including electronic credit and/or currency  
25 mechanisms for payment means;

- 5
- (3) Secure distributed database means for storing control and usage related information (and employing validated compartmentalization and tagging schemes);
- 10
- (4) Secure electronic appliance control means;
- (5) A distributed, secure, "virtual black box" comprised of nodes located at every user (including VDE content container creators, other content providers, client users, and recipients of secure VDE content usage information) site. The nodes of said virtual black box normally include a secure subsystem having at least one secure hardware element (a semiconductor element or other hardware module for securely executing VDE control processes), said secure subsystems being distributed at nodes along a pathway of information storage, distribution, payment, usage, and/or auditing. In some
- 15
- 20
- embodiments, the functions of said hardware element, for certain or all nodes, may be performed by software, for example, in host processing environments of electronic appliances;
- 25
- (6) Encryption and decryption means;

- 5 (7) Secure communications means employing authentication, digital signing, and encrypted transmissions. The secure subsystems at said user nodes utilize a protocol that establishes and authenticates each node's and/or participant's identity, and establishes one or more secure host-to-host encryption keys for communications between the secure subsystems; and
- 10 (8) Secure control means that can allow each VDE installation to perform VDE content authoring (placing content into VDE containers with associated control information), content distribution, and content usage; as well as clearinghouse and other
- 15 administrative and analysis activities employing content usage information.

VDE may be used to migrate most non-electronic, traditional information delivery models (including entertainment, reference materials, catalog shopping, etc.) into an adequately secure digital distribution and usage management and payment context. The distribution and financial pathways managed by a

20 VDE arrangement may include:

25 ! content creator(s),

- !
- ! distributor(s),
- ! redistributor(s),
- ! client administrator(s),
- ! client user(s),
- 5 ! financial and/or other clearinghouse(s),
- ! and/or government agencies.

These distribution and financial pathways may also include:

- 10 ! advertisers,
- ! market survey organizations, and/or
- ! other parties interested in the user usage of  
information securely delivered and/or stored using  
VDE.

15

Normally, participants in a VDE arrangement will employ the same secure VDE foundation. Alternate embodiments support VDE arrangements employing differing VDE foundations. Such alternate embodiments may employ procedures to ensure certain  
20 interoperability requirements are met.

Secure VDE hardware (also known as SPUs for Secure Processing Units), or VDE installations that use software to substitute for, or complement, said hardware (provided by Host  
25 Processing Environments (HPEs)), operate in conjunction with

secure communications, systems integration software, and distributed software control information and support structures, to achieve the electronic contract/rights protection environment of the present invention. Together, these VDE components

5 comprise a secure, virtual, distributed content and/or appliance control, auditing (and other administration), reporting, and payment environment. In some embodiments and where commercially acceptable, certain VDE participants, such as clearinghouses that normally maintain sufficiently physically

10 secure non-VDE processing environments, may be allowed to employ HPEs rather VDE hardware elements and interoperate, for example, with VDE end-users and content providers. VDE components together comprise a configurable, consistent, secure and "trusted" architecture for distributed, asynchronous control

15 of electronic content and/or appliance usage. VDE supports a "universe wide" environment for electronic content delivery, broad dissemination, usage reporting, and usage related payment activities.

20 VDE provides generalized configurability. This results, in part, from decomposition of generalized requirements for supporting electronic commerce and data security into a broad range of constituent "atomic" and higher level components (such as load modules, data elements, and methods) that may be

25 variously aggregated together to form control methods for



electronic commerce applications, commercial electronic agreements, and data security arrangements. VDE provides a secure operating environment employing VDE foundation elements along with secure independently deliverable VDE components that enable electronic commerce models and relationships to develop. VDE specifically supports the unfolding of distribution models in which content providers, over time, can expressly agree to, or allow, subsequent content providers and/or users to participate in shaping the control information for, and consequences of, use of electronic content and/or appliances. A very broad range of the functional attributes important for supporting simple to very complex electronic commerce and data security activities are supported by capabilities of the present invention. As a result, VDE supports most types of electronic information and/or appliance: usage control (including distribution), security, usage auditing, reporting, other administration, and payment arrangements.

VDE, in its preferred embodiment, employs object software technology and uses object technology to form "containers" for delivery of information that is (at least in part) encrypted or otherwise secured. These containers may contain electronic content products or other electronic information and some or all of their associated permissions (control) information. These container objects may be distributed along pathways involving

content providers and/or content users. They may be securely moved among nodes of a Virtual Distribution Environment (VDE) arrangement, which nodes operate VDE foundation software and execute control methods to enact electronic information usage control and/or administration models. The containers delivered through use of the preferred embodiment of the present invention may be employed both for distributing VDE control instructions (information) and/or to encapsulate and electronically distribute content that has been at least partially secured.

Content providers who employ the present invention may include, for example, software application and game publishers, database publishers, cable, television, and radio broadcasters, electronic shopping vendors, and distributors of information in electronic document, book, periodical, e-mail and/or other forms. Corporations, government agencies, and/or individual "end-users" who act as storers of, and/or distributors of, electronic information, may also be VDE content providers (in a restricted model, a user provides content only to himself and employs VDE to secure his own confidential information against unauthorized use by other parties). Electronic information may include proprietary and/or confidential information for personal or internal organization use, as well as information, such as software applications, documents, entertainment materials,

and/or reference information, which may be provided to other parties. Distribution may be by, for example, physical media delivery, broadcast and/or telecommunication means, and in the form of "static" files and/or streams of data. VDE may also be  
5 used, for example, for multi-site "real-time" interaction such as teleconferencing, interactive games, or on-line bulletin boards, where restrictions on, and/or auditing of, the use of all or portions of communicated information is enforced.

10 VDE provides important mechanisms for both enforcing commercial agreements and enabling the protection of privacy rights. VDE can securely deliver information from one party to another concerning the use of commercially distributed electronic content. Even if parties are separated by several "steps" in a  
15 chain (pathway) of handling for such content usage information, such information is protected by VDE through encryption and/or other secure processing. Because of that protection, the accuracy of such information is guaranteed by VDE, and the information can be trusted by all parties to whom it is delivered.

20 Furthermore, VDE guarantees that all parties can trust that such information cannot be received by anyone other than the intended, authorized, party(ies) because it is encrypted such that only an authorized party, or her agents, can decrypt it. Such information may also be derived through a secure VDE process at  
25 a previous pathway-of-handling location to produce secure VDE

reporting information that is then communicated securely to its intended recipient's VDE secure subsystem. Because VDE can deliver such information securely, parties to an electronic agreement need not trust the accuracy of commercial usage and/or other information delivered through means other than those under control of VDE.

VDE participants in a commercial value chain can be "commercially" confident (that is, sufficiently confident for commercial purposes) that the direct (constituent) and/or "extended" electronic agreements they entered into through the use of VDE can be enforced reliably. These agreements may have both "dynamic" transaction management related aspects, such as content usage control information enforced through budgeting, metering, and/or reporting of electronic information and/or appliance use, and/or they may include "static" electronic assertions, such as an end-user using the system to assert his or her agreement to pay for services, not to pass to unauthorized parties electronic information derived from usage of content or systems, and/or agreeing to observe copyright laws. Not only can electronically reported transaction related information be trusted under the present invention, but payment may be automated by the passing of payment tokens through a pathway of payment (which may or may not be the same as a pathway for reporting). Such payment can be contained within a VDE container created

5 automatically by a VDE installation in response to control information (located, in the preferred embodiment, in one or more permissions records) stipulating the "withdrawal" of credit or electronic currency (such as tokens) from an electronic account (for example, an account securely maintained by a user's VDE installation secure subsystem) based upon usage of VDE controlled electronic content and/or appliances (such as governments, financial credit providers, and users).

10 VDE allows the needs of electronic commerce participants to be served and it can bind such participants together in a universe wide, trusted commercial network that can be secure enough to support very large amounts of commerce. VDE's security and metering secure subsystem core will be present at  
15 all physical locations where VDE related content is (a) assigned usage related control information (rules and mediating data), and/or (b) used. This core can perform security and auditing functions (including metering) that operate within a "virtual black box," a collection of distributed, very secure VDE related  
20 hardware instances that are interconnected by secured information exchange (for example, telecommunication) processes and distributed database means. VDE further includes highly configurable transaction operating system technology, one or more associated libraries of load modules along with affiliated  
25 data, VDE related administration, data preparation, and analysis

applications, as well as system software designed to enable VDE  
integration into host environments and applications. VDE's  
usage control information, for example, provide for property  
content and/or appliance related: usage authorization, usage  
5 auditing (which may include audit reduction), usage billing,  
usage payment, privacy filtering, reporting, and security related  
communication and encryption techniques.

VDE extensively employs methods in the form of software  
10 objects to augment configurability, portability, and security of the  
VDE environment. It also employs a software object architecture  
for VDE content containers that carries protected content and  
may also carry both freely available information (e.g. summary,  
table of contents) and secured content control information which  
15 ensures the performance of control information. Content control  
information governs content usage according to criteria set by  
holders of rights to an object's contents and/or according to  
parties who otherwise have rights associated with distributing  
such content (such as governments, financial credit providers,  
20 and users).

In part, security is enhanced by object methods employed  
by the present invention because the encryption schemes used to  
protect an object can efficiently be further used to protect the  
25 associated content control information (software control

information and relevant data) from modification. Said object techniques also enhance portability between various computer and/or other appliance environments because electronic information in the form of content can be inserted along with (for  
5 example, in the same object container as) content control information (for said content) to produce a "published" object. As a result, various portions of said control information may be specifically adapted for different environments, such as for diverse computer platforms and operating systems, and said  
10 various portions may all be carried by a VDE container.

An objective of VDE is supporting a transaction/distribution control standard. Development of such a standard has many obstacles, given the security requirements  
15 and related hardware and communications issues, widely differing environments, information types, types of information usage, business and/or data security goals, varieties of participants, and properties of delivered information. A significant feature of VDE accommodates the many, varying  
20 distribution and other transaction variables by, in part, decomposing electronic commerce and data security functions into generalized capability modules executable within a secure hardware SPU and/or corresponding software subsystem and further allowing extensive flexibility in assembling, modifying,  
25 and/or replacing, such modules (e.g. load modules and/or

methods) in applications run on a VDE installation foundation. This configurability and reconfigurability allows electronic commerce and data security participants to reflect their priorities and requirements through a process of iteratively shaping an  
5 evolving extended electronic agreement (electronic control model). This shaping can occur as content control information passes from one VDE participant to another and to the extent allowed by "in place" content control information. This process allows users of VDE to recast existing control information and/or  
10 add new control information as necessary (including the elimination of no longer required elements).

VDE supports trusted (sufficiently secure) electronic information distribution and usage control models for both  
15 commercial electronic content distribution and data security applications. It can be configured to meet the diverse requirements of a network of interrelated participants that may include content creators, content distributors, client administrators, end users, and/or clearinghouses and/or other  
20 content usage information users. These parties may constitute a network of participants involved in simple to complex electronic content dissemination, usage control, usage reporting, and/or usage payment. Disseminated content may include both  
25 originally provided and VDE generated information (such as content usage information) and content control information may



persist through both chains (one or more pathways) of content and content control information handling, as well as the direct usage of content. The configurability provided by the present invention is particularly critical for supporting electronic commerce, that is enabling businesses to create relationships and evolve strategies that offer competitive value. Electronic commerce tools that are not inherently configurable and interoperable will ultimately fail to produce products (and services) that meet both basic requirements and evolving needs of most commerce applications.

VDE's fundamental configurability will allow a broad range of competitive electronic commerce business models to flourish. It allows business models to be shaped to maximize revenues sources, end-user product value, and operating efficiencies. VDE can be employed to support multiple, differing models, take advantage of new revenue opportunities, and deliver product configurations most desired by users. Electronic commerce technologies that do not, as the present invention does:

- ! support a broad range of possible, complementary revenue activities,
- ! offer a flexible array of content usage features most desired by customers, and
- ! exploit opportunities for operating efficiencies,

will result in products that are often intrinsically more costly and less appealing and therefore less competitive in the marketplace.

5           Some of the key factors contributing to the configurability intrinsic to the present invention include:

- 10           (a)   integration into the fundamental control environment of a broad range of electronic appliances through portable API and programming language tools that efficiently support merging of control and auditing capabilities in nearly any electronic appliance environment while maintaining overall system security;
- 15           (b)   modular data structures;
- (c)   generic content model;
- 20           (d)   general modularity and independence of foundation architectural components;
- (e)   modular security structures;
- 25           (f)   variable length and multiple branching chains of control; and

5 (g) independent, modular control structures in the form  
of executable load modules that can be maintained in  
one or more libraries, and assembled into control  
methods and models, and where such model control  
schemes can "evolve" as control information passes  
through the VDE installations of participants of a  
pathway of VDE content control information  
handling.

10 Because of the breadth of issues resolved by the present  
invention, it can provide the emerging "electronic highway" with  
a single transaction/distribution control system that can, for a  
very broad range of commercial and data security models, ensure  
against unauthorized use of confidential and/or proprietary  
15 information and commercial electronic transactions. VDE's  
electronic transaction management mechanisms can enforce the  
electronic rights and agreements of all parties participating in  
widely varying business and data security models, and this can  
be efficiently achieved through a single VDE implementation  
20 within each VDE participant's electronic appliance. VDE  
supports widely varying business and/or data security models  
that can involve a broad range of participants at various "levels"  
of VDE content and/or content control information pathways of  
handling. Different content control and/or auditing models and  
25 agreements may be available on the same VDE installation.

5           These models and agreements may control content in relationship to, for example, VDE installations and/or users in general; certain specific users, installations, classes and/or other groupings of installations and/or users; as well as to electronic content generally on a given installation, to specific properties, property portions, classes and/or other groupings of content.

10           Distribution using VDE may package both the electronic content and control information into the same VDE container, and/or may involve the delivery to an end-user site of different pieces of the same VDE managed property from plural separate remote locations and/or in plural separate VDE content containers and/or employing plural different delivery means. Content control information may be partially or fully delivered separately from its associated content to a user VDE installation  
15           in one or more VDE administrative objects. Portions of said control information may be delivered from one or more sources. Control information may also be available for use by access from a user's VDE installation secure sub-system to one or more  
20           remote VDE secure sub-systems and/or VDE compatible, certified secure remote locations. VDE control processes such as metering, budgeting, decrypting and/or fingerprinting, may as relates to a certain user content usage activity, be performed in a user's local VDE installation secure subsystem, or said processes  
25           may be divided amongst plural secure subsystems which may be

located in the same user VDE installations and/or in a network server and in the user installation. For example, a local VDE installation may perform decryption and save any, or all of, usage metering information related to content and/or electronic appliance usage at such user installation could be performed at the server employing secure (e.g., encrypted) communications between said secure subsystems. Said server location may also be used for near real time, frequent, or more periodic secure receipt of content usage information from said user installation, with, for example, metered information being maintained only temporarily at a local user installation.

Delivery means for VDE managed content may include electronic data storage means such as optical disks for delivering one portion of said information and broadcasting and/or telecommunicating means for other portions of said information. Electronic data storage means may include magnetic media, optical media, combined magneto-optical systems, flash RAM memory, bubble memory, and/or other memory storage means such as huge capacity optical storage systems employing holographic, frequency, and/or polarity data storage techniques. Data storage means may also employ layered disc techniques, such as the use of generally transparent and/or translucent materials that pass light through layers of data carrying discs which themselves are physically packaged together as one

thicker disc. Data carrying locations on such discs may be, at least in part, opaque.

5 VDE supports a general purpose foundation for secure transaction management, including usage control, auditing, reporting, and/or payment. This general purpose foundation is called "VDE Functions" ("VDEFs"). VDE also supports a collection of "atomic" application elements (e.g., load modules) that can be selectively aggregated together to form various VDEF 10 capabilities called control methods and which serve as VDEF applications and operating system functions. When a host operating environment of an electronic appliance includes VDEF capabilities, it is called a "Rights Operating System" (ROS). VDEF load modules, associated data, and methods form a body of 15 information that for the purposes of the present invention are called "control information." VDEF control information may be specifically associated with one or more pieces of electronic content and/or it may be employed as a general component of the operating system capabilities of a VDE installation.

20

VDEF transaction control elements reflect and enact content specific and/or more generalized administrative (for example, general operating system) control information. VDEF capabilities which can generally take the form of applications 25 (application models) that have more or less configurability which

can be shaped by VDE participants, through the use, for example, of VDE templates, to employ specific capabilities, along, for example, with capability parameter data to reflect the elements of one or more express electronic agreements between

5 VDE participants in regards to the use of electronic content such as commercially distributed products. These control capabilities manage the use of, and/or auditing of use of, electronic content, as well as reporting information based upon content use, and any payment for said use. VDEF capabilities may "evolve" to reflect

10 the requirements of one or more successive parties who receive or otherwise contribute to a given set of control information.

Frequently, for a VDE application for a given content model (such as distribution of entertainment on CD-ROM, content delivery from an Internet repository, or electronic catalog shopping and

15 advertising, or some combination of the above) participants would be able to securely select from amongst available, alternative control methods and apply related parameter data, wherein such selection of control method and/or submission of data would constitute their "contribution" of control information.

20 Alternatively, or in addition, certain control methods that have been expressly certified as securely interoperable and compatible with said application may be independently submitted by a participant as part of such a contribution. In the most general example, a generally certified load module (certified for a given

25 VDE arrangement and/or content class) may be used with many

or any VDE application that operates in nodes of said arrangement. These parties, to the extent they are allowed, can independently and securely add, delete, and/or otherwise modify the specification of load modules and methods, as well as add,  
5 delete or otherwise modify related information.

Normally the party who creates a VDE content container defines the general nature of the VDEF capabilities that will and/or may apply to certain electronic information. A VDE  
10 content container is an object that contains both content ( for example, commercially distributed electronic information products such as computer software programs, movies, electronic publications or reference materials, etc.) and certain control information related to the use of the object's content. A creating  
15 party may make a VDE container available to other parties. Control information delivered by, and/or otherwise available for use with, VDE content containers comprise (for commercial content distribution purposes) VDEF control capabilities (and any associated parameter data) for electronic content. These  
20 capabilities may constitute one or more "proposed" electronic agreements (and/or agreement functions available for selection and/or use with parameter data) that manage the use and/or the consequences of use of such content and which can enact the terms and conditions of agreements involving multiple parties  
25 and their various rights and obligations.



A VDE electronic agreement may be explicit, through a user interface acceptance by one or more parties, for example by a “junior” party who has received control information from a “senior” party, or it may be a process amongst equal parties who individually assert their agreement. Agreement may also result from an automated electronic process during which terms and conditions are “evaluated” by certain VDE participant control information that assesses whether certain other electronic terms and conditions attached to content and/or submitted by another party are acceptable (do not violate acceptable control information criteria). Such an evaluation process may be quite simple, for example a comparison to ensure compatibility between a portion of, or all senior, control terms and conditions in a table of terms and conditions and the submitted control information of a subsequent participant in a pathway of content control information handling, or it may be a more elaborate process that evaluates the potential outcome of, and/or implements a negotiation process between, two or more sets of control information submitted by two or more parties. VDE also accommodates a semi-automated process during which one or more VDE participants directly, through user interface means, resolve “disagreements” between control information sets by accepting and/or proposing certain control information that may be acceptable to control information representing one or more other parties interests and/or responds to certain user interface

queries for selection of certain alternative choices and/or for certain parameter information, the responses being adopted if acceptable to applicable senior control information.

5           When another party (other than the first applier of rules), perhaps through a negotiation process, accepts, and/or adds to and/or otherwise modifies, "in place" content control information, a VDE agreement between two or more parties related to the use of such electronic content may be created (so long as any  
10           modifications are consistent with senior control information). Acceptance of terms and conditions related to certain electronic content may be direct and express, or it may be implicit as a result of use of content (depending, for example, on legal requirements, previous exposure to such terms and conditions,  
15           and requirements of in place control information).

          VDEF capabilities may be employed, and a VDE agreement may be entered into, by a plurality of parties without the VDEF capabilities being directly associated with the  
20           controlling of certain, specific electronic information. For example, certain one or more VDEF capabilities may be present at a VDE installation, and certain VDE agreements may have been entered into during the registration process for a content distribution application, to be used by such installation for  
25           securely controlling VDE content usage, auditing, reporting

and/or payment. Similarly, a specific VDE participant may enter into a VDE user agreement with a VDE content or electronic appliance provider when the user and/or her appliance register with such provider as a VDE installation and/or user. In such events, VDEF in place control information available to the user VDE installation may require that certain VDEF methods are employed, for example in a certain sequence, in order to be able to use all and/or certain classes, of electronic content and/or VDE applications.

VDE ensures that certain prerequisites necessary for a given transaction to occur are met. This includes the secure execution of any required load modules and the availability of any required, associated data. For example, required load modules and data (e.g. in the form of a method) might specify that sufficient credit from an authorized source must be confirmed as available. It might further require certain one or more load modules execute as processes at an appropriate time to ensure that such credit will be used in order to pay for user use of the content. A certain content provider might, for example, require metering the number of copies made for distribution to employees of a given software program (a portion of the program might be maintained in encrypted form and require the presence of a VDE installation to run). This would require the execution of a metering method for copying of the property each time a copy

was made for another employee. This same provider might also charge fees based on the total number of different properties licensed from them by the user and a metering history of their licensing of properties might be required to maintain this  
5 information.

VDE provides organization, community, and/or universe wide secure environments whose integrity is assured by processes securely controlled in VDE participant user  
10 installations (nodes). VDE installations, in the preferred embodiment, may include both software and tamper resistant hardware semiconductor elements. Such a semiconductor arrangement comprises, at least in part, special purpose circuitry that has been designed to protect against tampering with, or  
15 unauthorized observation of, the information and functions used in performing the VDE's control functions. The special purpose secure circuitry provided by the present invention includes at least one of: a dedicated semiconductor arrangement known as a Secure Processing Unit (SPU) and/or a standard microprocessor,  
20 microcontroller, and/or other processing logic that accommodates the requirements of the present invention and functions as an SPU. VDE's secure hardware may be found incorporated into, for example, a fax/modem chip or chip pack, I/O controller, video display controller, and/or other available digital processing  
25 arrangements. It is anticipated that portions of the present

invention's VDE secure hardware capabilities may ultimately be standard design elements of central processing units (CPUs) for computers and various other electronic devices.

5           Designing VDE capabilities into one or more standard  
microprocessor, microcontroller and/or other digital processing  
components may materially reduce VDE related hardware costs  
by employing the same hardware resources for both the  
transaction management uses contemplated by the present  
10          invention and for other, host electronic appliance functions. This  
means that a VDE SPU can employ (share) circuitry elements of  
a "standard" CPU. For example, if a "standard" processor can  
operate in protected mode and can execute VDE related  
instructions as a protected activity, then such an embodiment  
15          may provide sufficient hardware security for a variety of  
applications and the expense of a special purpose processor might  
be avoided. Under one preferred embodiment of the present  
invention, certain memory (e.g., RAM, ROM, NVRAM) is  
maintained during VDE related instruction processing in a  
20          protected mode (for example, as supported by protected mode  
microprocessors). This memory is located in the same package as  
the processing logic (e.g. processor). Desirably, the packaging  
and memory of such a processor would be designed using security  
techniques that enhance its resistance to tampering.

25

The degree of overall security of the VDE system is primarily dependent on the degree of tamper resistance and concealment of VDE control process execution and related data storage activities. Employing special purpose semiconductor packaging techniques can significantly contribute to the degree of security. Concealment and tamper-resistance in semiconductor memory (e.g., RAM, ROM, NVRAM) can be achieved, in part, by employing such memory within an SPU package, by encrypting data before it is sent to external memory (such as an external RAM package) and decrypting encrypted data within the CPU/RAM package before it is executed. This process is used for important VDE related data when such data is stored on unprotected media, for example, standard host storage, such as random access memory, mass storage, etc. In that event, a VDE SPU would encrypt data that results from a secure VDE execution before such data was stored in external memory.

**Summary of Some Important Features Provided by VDE in Accordance With the Present Invention**

VDE employs a variety of capabilities that serve as a foundation for a general purpose, sufficiently secure distributed electronic commerce solution. VDE enables an electronic commerce marketplace that supports divergent, competitive business partnerships, agreements, and evolving overall business models. For example, VDE includes features that:

“sufficiently” impede unauthorized and/or uncompensated use of electronic information and/or appliances through the use of secure communication, storage, and transaction management technologies.

5 VDE supports a model wide, distributed security implementation which creates a single secure “virtual” transaction processing and information storage environment. VDE enables distributed VDE installations to securely store and communicate

10 information and remotely control the execution processes and the character of use of electronic information at other VDE installations and in a wide variety of ways;

15 support low-cost, efficient, and effective security architectures for transaction control, auditing, reporting, and related communications and information storage. VDE may employ tagging related security techniques, the time-ageing of

20 encryption keys, the compartmentalization of both stored control information (including differentially tagging such stored information to ensure against substitution and tampering) and distributed content (to, for many content applications, employ one or

25 more content encryption keys that are unique to the

specific VDE installation and/or user), private key techniques such as triple DES to encrypt content, public key techniques such as RSA to protect communications and to provide the benefits of digital signature and authentication to securely bind together the nodes of a VDE arrangement, secure processing of important transaction management executable code, and a combining of a small amount of highly secure, hardware protected storage space with a much larger "exposed" mass media storage space storing secured (normally encrypted and tagged) control and audit information. VDE employs special purpose hardware distributed throughout some or all locations of a VDE implementation: a) said hardware controlling important elements of: content preparation (such as causing such content to be placed in a VDE content container and associating content control information with said content), content and/or electronic appliance usage auditing, content usage analysis, as well as content usage control; and b) said hardware having been designed to securely handle processing load module control activities, wherein said control processing activities may involve a sequence of required control factors;



! support dynamic user selection of information  
subsets of a VDE electronic information product  
(VDE controlled content). This contrasts with the  
constraints of having to use a few high level  
5 individual, pre-defined content provider information  
increments such as being required to select a whole  
information product or product section in order to  
acquire or otherwise use a portion of such product or  
section. VDE supports metering and usage control  
10 over a variety of increments (including "atomic"  
increments, and combinations of different increment  
types) that are selected ad hoc by a user and  
represent a collection of pre-identified one or more  
increments (such as one or more blocks of a  
15 preidentified nature, e.g., bytes, images, logically  
related blocks) that form a generally arbitrary, but  
logical to a user, content "deliverable." VDE control  
information (including budgeting, pricing and  
metering) can be configured so that it can specifically  
20 apply, as appropriate, to ad hoc selection of different,  
unanticipated variable user selected aggregations of  
information increments and pricing levels can be, at  
least in part, based on quantities and/or nature of  
mixed increment selections (for example, a certain  
25 quantity of certain text could mean associated

images might be discounted by 15%; a greater quantity of text in the "mixed" increment selection might mean the images are discounted 20%). Such user selected aggregated information increments can

5 reflect the actual requirements of a user for information and is more flexible than being limited to a single, or a few, high level, (e.g. product, document, database record) predetermined increments. Such high level increments may include

10 quantities of information not desired by the user and as a result be more costly than the subset of information needed by the user if such a subset was available. In sum, the present invention allows information contained in electronic information

15 products to be supplied according to user specification. Tailoring to user specification allows the present invention to provide the greatest value to users, which in turn will generate the greatest amount of electronic commerce activity. The user,

20 for example, would be able to define an aggregation of content derived from various portions of an available content product, but which, as a deliverable for use by the user, is an entirely unique aggregated increment. The user may, for example,

25 select certain numbers of bytes of information from

various portions of an information product, such as a  
reference work, and copy them to disc in  
unencrypted form and be billed based on total  
number of bytes plus a surcharge on the number of  
5 "articles" that provided the bytes. A content  
provider might reasonably charge less for such a  
user defined information increment since the user  
does not require all of the content from all of the  
articles that contained desired information. This  
10 process of defining a user desired information  
increment may involve artificial intelligence  
database search tools that contribute to the location  
of the most relevant portions of information from an  
information product and cause the automatic display  
15 to the user of information describing search criteria  
hits for user selection or the automatic extraction  
and delivery of such portions to the user. VDE  
further supports a wide variety of predefined  
increment types including:  
20 ! bytes,  
! images,  
! content over time for audio or video, or any  
other increment that can be identified by content  
provider data mapping efforts, such as:  
25 ! sentences,

! paragraphs,  
! articles,  
! database records, and  
! byte offsets representing increments of  
5 logically related information.

VDE supports as many simultaneous predefined increment types as may be practical for a given type of content and business model.

10 ! securely store at a user's site potentially highly detailed information reflective of a user's usage of a variety of different content segment types and employing both inexpensive "exposed" host mass storage for maintaining detailed information in the  
15 form of encrypted data and maintaining summary information for security testing in highly secure special purpose VDE installation nonvolatile memory (if available).

20 ! support trusted chain of handling capabilities for pathways of distributed electronic information and/or for content usage related information. Such chains may extend, for example, from a content creator, to a distributor, a redistributor, a client  
25 user, and then may provide a pathway for securely

reporting the same and/or differing usage information to one or more auditors, such as to one or more independent clearinghouses and then back to the content providers, including content creators.

5 The same and/or different pathways employed for certain content handling, and related content control information and reporting information handling, may also be employed as one or more pathways for electronic payment handling (payment is

10 characterized in the present invention as administrative content) for electronic content and/or appliance usage. These pathways are used for conveyance of all or portions of content, and/or content related control information. Content

15 creators and other providers can specify the pathways that, partially or fully, must be used to disseminate commercially distributed property content, content control information, payment administrative content, and/or associated usage

20 reporting information. Control information specified by content providers may also specify which specific parties must or may (including, for example, a group of eligible parties from which a selection may be made) handle conveyed information. It may also

25 specify what transmission means (for example

telecommunication carriers or media types) and transmission hubs must or may be used.

5 support flexible auditing mechanisms, such as employing "bitmap meters," that achieve a high degree of efficiency of operation and throughput and allow, in a practical manner, the retention and ready recall of information related to previous usage activities and related patterns. This flexibility is  
10 adaptable to a wide variety of billing and security control strategies such as:

- P upgrade pricing (e.g. suite purchases),
- P pricing discounts (including quantity discounts),
- 15 P billing related time duration variables such as discounting new purchases based on the timing of past purchases, and
- P security budgets based on quantity of  
20 different, logically related units of electronic information used over an interval of time.

Use of bitmap meters (including "regular" and "wide" bitmap meters) to record usage and/or purchase of information, in conjunction with other elements of  
25 the preferred embodiment of the present invention,

5 uniquely supports efficient maintenance of usage  
history for: (a) rental, (b) flat fee licensing or  
purchase, (c) licensing or purchase discounts based  
upon historical usage variables, and (d) reporting to  
users in a manner enabling users to determine  
whether a certain item was acquired, or acquired  
within a certain time period (without requiring the  
use of conventional database mechanisms, which are  
highly inefficient for these applications). Bitmap  
meter methods record activities associated with  
10 electronic appliances, properties, objects, or portions  
thereof, and/or administrative activities that are  
independent of specific properties, objects, etc.,  
performed by a user and/or electronic appliance such  
that a content and/or appliance provider and/or  
15 controller of an administrative activity can  
determine whether a certain activity has occurred at  
some point, or during a certain period, in the past  
(for example, certain use of a commercial electronic  
content product and/or appliance). Such  
20 determinations can then be used as part of pricing  
and/or control strategies of a content and/or  
appliance provider, and/or controller of an  
administrative activity. For example, the content  
25 provider may choose to charge only once for access to

a portion of a property, regardless of the number of times that portion of the property is accessed by a user.

5           !       support "launchable" content, that is content that can be provided by a content provider to an end-user, who can then copy or pass along the content to other end-user parties without requiring the direct participation of a content provider to register and/or otherwise initialize the content for use. This content goes "out of (the traditional distribution) channel" in the form of a "traveling object." Traveling objects are containers that securely carry at least some permissions information and/or methods that are required for their use (such methods need not be carried by traveling objects if the required methods will be available at, or directly available to, a destination VDE installation). Certain travelling objects may be used at some or all VDE installations of a given VDE arrangement since they can make available the content control information necessary for content use without requiring the involvement of a commercial VDE value chain participant or data security administrator (e.g. a control officer or network administrator). As long as traveling object

10

15

20

25



control information requirements are available at the user VDE installation secure subsystem (such as the presence of a sufficient quantity of financial credit from an authorized credit provider), at least

5 some travelling object content may be used by a receiving party without the need to establish a connection with a remote VDE authority (until, for example, budgets are exhausted or a time content usage reporting interval has occurred). Traveling

10 objects can travel "out-of-channel," allowing, for example, a user to give a copy of a traveling object whose content is a software program, a movie or a game, to a neighbor, the neighbor being able to use the traveling object if appropriate credit (e.g. an

15 electronic clearinghouse account from a clearinghouse such as VISA or AT&T) is available. Similarly, electronic information that is generally available on an Internet, or a similar network, repository might be provided in the form of a

20 traveling object that can be downloaded and subsequently copied by the initial downloader and then passed along to other parties who may pass the object on to additional parties.

5 ! provide very flexible and extensible user  
identification according to individuals, installations,  
by groups such as classes, and by function and  
hierarchical identification employing a hierarchy of  
levels of client identification (for example, client  
organization ID, client department ID, client  
network ID, client project ID, and client employee  
ID, or any appropriate subset of the above).

10 ! provide a general purpose, secure, component based  
content control and distribution system that  
functions as a foundation transaction operating  
system environment that employs executable code  
pieces crafted for transaction control and auditing.  
15 These code pieces can be reused to optimize  
efficiency in creation and operation of trusted,  
distributed transaction management arrangements.  
VDE supports providing such executable code in the  
form of "atomic" load modules and associated data.  
20 Many such load modules are inherently configurable,  
aggregatable, portable, and extensible and  
singularly, or in combination (along with associated  
data), run as control methods under the VDE  
transaction operating environment. VDE can satisfy  
25 the requirements of widely differing electronic

commerce and data security applications by, in part,  
employing this general purpose transaction  
management foundation to securely process VDE  
transaction related control methods. Control  
5 methods are created primarily through the use of  
one or more of said executable, reusable load module  
code pieces (normally in the form of executable object  
components) and associated data. The component  
nature of control methods allows the present  
10 invention to efficiently operate as a highly  
configurable content control system. Under the  
present invention, content control models can be  
iteratively and asynchronously shaped, and  
otherwise updated to accommodate the needs of VDE  
15 participants to the extent that such shaping and  
otherwise updating conforms to constraints applied  
by a VDE application, if any (e.g., whether new  
component assemblies are accepted and, if so, what  
certification requirements exist for such component  
20 assemblies or whether any or certain participants  
may shape any or certain control information by  
selection amongst optional control information  
(permissions record) control methods. This iterative  
(or concurrent) multiple participant process occurs  
25 as a result of the submission and use of secure,

control information components (executable code such as load modules and/or methods, and/or associated data). These components may be contributed independently by secure communication

5 between each control information influencing VDE participant's VDE installation and may require certification for use with a given application, where such certification was provided by a certification service manager for the VDE arrangement who

10 ensures secure interoperability and/or reliability (e.g., bug control resulting from interaction) between appliances and submitted control methods. The transaction management control functions of a VDE electronic appliance transaction operating

15 environment interact with non-secure transaction management operating system functions to properly direct transaction processes and data related to electronic information security, usage control, auditing, and usage reporting. VDE provides the

20 capability to manages resources related to secure VDE content and/or appliance control information execution and data storage.

! facilitate creation of application and/or system

25 functionality under VDE and to facilitate integration

5 into electronic appliance environments of load  
modules and methods created under the present  
invention. To achieve this, VDE employs an  
Application Programmer's Interface (API) and/or a  
transaction operating system (such as a ROS)  
programming language with incorporated functions,  
both of which support the use of capabilities and can  
be used to efficiently and tightly integrate VDE  
functionality into commercial and user applications.

10

! support user interaction through: (a) "Pop-Up"  
applications which, for example, provide messages to  
users and enable users to take specific actions such  
as approving a transaction, (b) stand-alone VDE  
15 applications that provide administrative  
environments for user activities such as: end-user  
preference specifications for limiting the price per  
transaction, unit of time, and/or session, for  
20 accessing history information concerning previous  
transactions, for reviewing financial information  
such as budgets, expenditures (e.g. detailed and/or  
summary) and usage analysis information, and (c)  
VDE aware applications which, as a result of the use  
25 of a VDE API and/or a transaction management (for

example, ROS based) programming language  
embeds VDE "awareness" into commercial or  
internal software (application programs, games, etc.)  
so that VDE user control information and services  
5 are seamlessly integrated into such software and can  
be directly accessed by a user since the underlying  
functionality has been integrated into the  
commercial software's native design. For example,  
in a VDE aware word processor application, a user  
10 may be able to "print" a document into a VDE  
content container object, applying specific control  
information by selecting from amongst a series of  
different menu templates for different purposes (for  
example, a confidential memo template for internal  
15 organization purposes may restrict the ability to  
"keep," that is to make an electronic copy of the  
memo).

! employ "templates" to ease the process of configuring  
20 capabilities of the present invention as they relate to  
specific industries or businesses. Templates are  
applications or application add-ons under the  
present invention. Templates support the efficient  
specification and/or manipulation of criteria related  
25 to specific content types, distribution approaches,

pricing mechanisms, user interactions with content and/or administrative activities, and/or the like.

5 Given the very large range of capabilities and configurations supported by the present invention, reducing the range of configuration opportunities to a manageable subset particularly appropriate for a given business model allows the full configurable power of the present invention to be easily employed by "typical" users who would be otherwise burdened with complex programming and/or configuration design responsibilities template applications can also help ensure that VDE related processes are secure and optimally bug free by reducing the risks associated with the contribution of independently developed load modules, including unpredictable aspects of code interaction between independent modules and applications, as well as security risks associated with possible presence of viruses in such modules. VDE, through the use of templates, reduces typical user configuration responsibilities to an appropriately focused set of activities including selection of method types (e.g. functionality) through menu choices such as multiple choice, icon selection, and/or prompting for method parameter data (such as identification information, prices, budget limits,

10

15

20

25

5            dates, periods of time, access rights to specific  
             content, etc.) that supply appropriate and/or  
             necessary data for control information purposes. By  
             limiting the typical (non-programming) user to a  
10           limited subset of configuration activities whose  
             general configuration environment (template) has  
             been preset to reflect general requirements  
             corresponding to that user, or a content or other  
             business model can very substantially limit  
15           difficulties associated with content containerization  
             (including placing initial control information on  
             content), distribution, client administration,  
             electronic agreement implementation, end-user  
             interaction, and clearinghouse activities, including  
20           associated interoperability problems (such as  
             conflicts resulting from security, operating system,  
             and/or certification incompatibilities). Use of  
             appropriate VDE templates can assure users that  
             their activities related to content VDE  
25           containerization, contribution of other control  
             information, communications, encryption techniques  
             and/or keys, etc. will be in compliance with  
             specifications for their distributed VDE  
             arrangement. VDE templates constitute preset  
             configurations that can normally be reconfigurable



to allow for new and/or modified templates that reflect adaptation into new industries as they evolve or to reflect the evolution or other change of an existing industry. For example, the template concept may be used to provide individual, overall frameworks for organizations and individuals that create, modify, market, distribute, consume, and/or otherwise use movies, audio recordings and live performances, magazines, telephony based retail sales, catalogs, computer software, information data bases, multimedia, commercial communications, advertisements, market surveys, infomercials, games, CAD/CAM services for numerically controlled machines, and the like. As the context surrounding these templates changes or evolves, template applications provided under the present invention may be modified to meet these changes for broad use, or for more focused activities. A given VDE participant may have a plurality of templates available for different tasks. A party that places content in its initial VDE container may have a variety of different, configurable templates depending on the type of content and/or business model related to the content. An end-user may have different configurable templates that can be applied

5

to different document types (e-mail, secure internal documents, database records, etc.) and/or subsets of users (applying differing general sets of control information to different bodies of users, for example, selecting a list of users who may, under certain preset criteria, use a certain document). Of course, templates may, under certain circumstances have fixed control information and not provide for user selections or parameter data entry.

10

15

20

25

! support plural, different control models regulating the use and/or auditing of either the same specific copy of electronic information content and/or differently regulating different copies (occurrences) of the same electronic information content. Differing models for billing, auditing, and security can be applied to the same piece of electronic information content and such differing sets of control information may employ, for control purposes, the same, or differing, granularities of electronic information control increments. This includes supporting variable control information for budgeting and auditing usage as applied to a variety of predefined increments of electronic information, including employing a variety of different budgets and/or

metering increments for a given electronic  
information deliverable for: billing units of measure,  
credit limit, security budget limit and security  
content metering increments, and/or market  
5 surveying and customer profiling content metering  
increments. For example, a CD-ROM disk with a  
database of scientific articles might be in part billed  
according to a formula based on the number of bytes  
decrypted, number of articles containing said bytes  
10 decrypted, while a security budget might limit the  
use of said database to no more than 5% of the  
database per month for users on the wide area  
network it is installed on.

15 ! provide mechanisms to persistently maintain trusted  
content usage and reporting control information  
through both a sufficiently secure chain of handling  
of content and content control information and  
through various forms of usage of such content  
20 wherein said persistence of control may survive such  
use. Persistence of control includes the ability to  
extract information from a VDE container object by  
creating a new container whose contents are at least  
in part secured and that contains both the extracted  
25 content and at least a portion of the control

information which control information of the original  
container and/or are at least in part produced by  
control information of the original container for this  
purpose and/or VDE installation control information  
5 stipulates should persist and/or control usage of  
content in the newly formed container. Such control  
information can continue to manage usage of  
container content if the container is "embedded" into  
another VDE managed object, such as an object  
10 which contains plural embedded VDE containers,  
each of which contains content derived (extracted)  
from a different source.

! enables users, other value chain participants (such  
15 as clearinghouses and government agencies), and/or  
user organizations, to specify preferences or  
requirements related to their use of electronic  
content and/or appliances. Content users, such as  
end-user customers using commercially distributed  
20 content (games, information resources, software  
programs, etc.), can define, if allowed by senior  
control information, budgets, and/or other control  
information, to manage their own internal use of  
content. Uses include, for example, a user setting a  
25 limit on the price for electronic documents that the

user is willing to pay without prior express user authorization, and the user establishing the character of metering information he or she is willing to allow to be collected (privacy protection).

5 This includes providing the means for content users to protect the privacy of information derived from their use of a VDE installation and content and/or appliance usage auditing. In particular, VDE can prevent information related to a participant's usage  
10 of electronic content from being provided to other parties without the participant's tacit or explicit agreement.

! provide mechanisms that allow control information  
15 to "evolve" and be modified according, at least in part, to independently, securely delivered further control information. Said control information may include executable code (e.g., load modules) that has been certified as acceptable (e.g., reliable and  
20 trusted) for use with a specific VDE application, class of applications, and/or a VDE distributed arrangement. This modification (evolution) of control information can occur upon content control information (load modules and any associated data)  
25 circulating to one or more VDE participants in a

5 pathway of handling of control information, or it may  
occur upon control information being received from a  
VDE participant. Handlers in a pathway of  
handling of content control information, to the extent  
each is authorized, can establish, modify, and/or  
10 contribute to, permission, auditing, payment, and  
reporting control information related to controlling,  
analyzing, paying for, and/or reporting usage of,  
electronic content and/or appliances (for example, as  
related to usage of VDE controlled property content).  
Independently delivered (from an independent  
source which is independent except in regards to  
certification), at least in part secure, control  
information can be employed to securely modify  
15 content control information when content control  
information has flowed from one party to another  
party in a sequence of VDE content control  
information handling. This modification employs,  
for example, one or more VDE component assemblies  
20 being securely processed in a VDE secure subsystem.  
In an alternate embodiment, control information  
may be modified by a senior party through use of  
their VDE installation secure sub-system after  
receiving submitted, at least in part secured, control  
25 information from a "junior" party, normally in the

form of a VDE administrative object. Control information passing along VDE pathways can represent a mixed control set, in that it may include: control information that persisted through a

5 sequence of control information handlers, other control information that was allowed to be modified, and further control information representing new control information and/or mediating data. Such a control set represents an evolution of control

10 information for disseminated content. In this example the overall content control set for a VDE content container is "evolving" as it securely (e.g. communicated in encrypted form and using authentication and digital signaturing techniques)

15 passes, at least in part, to a new participant's VDE installation where the proposed control information is securely received and handled. The received control information may be integrated (through use of the receiving parties' VDE installation secure

20 sub-system) with in-place control information through a negotiation process involving both control information sets. For example, the modification, within the secure sub-system of a content provider's VDE installation, of content control information for a

25 certain VDE content container may have occurred as

a result of the incorporation of required control information provided by a financial credit provider. Said credit provider may have employed their VDE installation to prepare and securely communicate (directly or indirectly) said required control information to said content provider. Incorporating said required control information enables a content provider to allow the credit provider's credit to be employed by a content end-user to compensate for the end-user's use of VDE controlled content and/or appliances, so long as said end-user has a credit account with said financial credit provider and said credit account has sufficient credit available.

Similarly, control information requiring the payment of taxes and/or the provision of revenue information resulting from electronic commerce activities may be securely received by a content provider. This control information may be received, for example, from a government agency. Content providers might be required by law to incorporate such control information into the control information for commercially distributed content and/or services related to appliance usage. Proposed control information is used to an extent allowed by senior control information and as determined by any



5 negotiation trade-offs that satisfy priorities stipulated by each set (the received set and the proposed set). VDE also accommodates different control schemes specifically applying to different participants (e.g., individual participants and/or participant classes (types)) in a network of VDE content handling participants.

10 ! support multiple simultaneous control models for the same content property and/or property portion. This allows, for example, for concurrent business activities which are dependent on electronic commercial product content distribution, such as acquiring detailed market survey information and/or supporting advertising, both of which can increase revenue and result in lower content costs to users and greater value to content providers. Such control information and/or overall control models may be applied, as determined or allowed by control information, in differing manners to different participants in a pathway of content, reporting, payment, and/or related control information handling. VDE supports applying different content control information to the same and/or different content and/or appliance usage related activities,

15

20

25

5 and/or to different parties in a content and/or  
appliance usage model, such that different parties  
(or classes of VDE users, for example) are subject to  
differing control information managing their use of  
electronic information content. For example,  
differing control models based on the category of a  
user as a distributor of a VDE controlled content  
object or an end-user of such content may result in  
different budgets being applied. Alternatively, for  
10 example, a one distributor may have the right to  
distribute a different array of properties than  
another distributor (from a common content  
collection provided, for example, on optical disc). An  
individual, and/or a class or other grouping of  
15 end-users, may have different costs (for example, a  
student, senior citizen, and/or poor citizen user of  
content who may be provided with the same or  
differing discounts) than a "typical" content user.

20 ! support provider revenue information resulting from  
customer use of content and/or appliances, and/or  
provider and/or end-user payment of taxes, through  
the transfer of credit and/or electronic currency from  
said end-user and/or provider to a government  
25 agency, might occur "automatically" as a result of

5 such received control information causing the  
generation of a VDE content container whose  
content includes customer content usage information  
reflecting secure, trusted revenue summary  
information and/or detailed user transaction listings  
(level of detail might depend, for example on type or  
size of transaction—information regarding a bank  
interest payment to a customer or a transfer of a  
large (e.g. over \$10,000) might be, by law,  
10 automatically reported to the government). Such  
summary and/or detailed information related to  
taxable events and/or currency, and/or creditor  
currency transfer, may be passed along a pathway of  
reporting and/or payment to the government in a  
15 VDE container. Such a container may also be used  
for other VDE related content usage reporting  
information.

! support the flowing of content control information  
20 through different “branches” of content control  
information handling so as to accommodate, under  
the present invention’s preferred embodiment,  
diverse controlled distributions of VDE controlled  
content. This allows different parties to employ the  
25 same initial electronic content with differing

(perhaps competitive) control strategies. In this instance, a party who first placed control information on content can make certain control assumptions and these assumptions would evolve into more specific and/or extensive control assumptions. These control assumptions can evolve during the branching sequence upon content model participants submitting control information changes, for example, for use in "negotiating" with "in place" content control information. This can result in new or modified content control information and/or it might involve the selection of certain one or more already "in-place" content usage control methods over in-place alternative methods, as well as the submission of relevant control information parameter data. This form of evolution of different control information sets applied to different copies of the same electronic property content and/or appliance results from VDE control information flowing "down" through different branches in an overall pathway of handling and control and being modified differently as it diverges down these different pathway branches. This ability of the present invention to support multiple pathway branches for the flow of both VDE content control

5 information and VDE managed content enables an  
electronic commerce marketplace which supports  
diverging, competitive business partnerships,  
agreements, and evolving overall business models  
which can employ the same content properties  
combined, for example, in differing collections of  
content representing differing at least in part  
competitive products.

10 ! enable a user to securely extract, through the use of  
the secure subsystem at the user's VDE installation,  
at least a portion of the content included within a  
VDE content container to produce a new, secure  
object (content container), such that the extracted  
15 information is maintained in a continually secure  
manner through the extraction process. Formation  
of the new VDE container containing such extracted  
content shall result in control information consistent  
with, or specified by, the source VDE content  
20 container, and/or local VDE installation secure  
subsystem as appropriate, content control  
information. Relevant control information, such as  
security and administrative information, derived, at  
least in part, from the parent (source) object's control  
25 information, will normally be automatically inserted

into a new VDE content container object containing extracted VDE content. This process typically occurs under the control framework of a parent object and/or VDE installation control information

5 executing at the user's VDE installation secure subsystem (with, for example, at least a portion of this inserted control information being stored securely in encrypted form in one or more

10 permissions records). In an alternative embodiment, the derived content control information applied to extracted content may be in part or whole derived from, or employ, content control information stored remotely from the VDE installation that performed the secure extraction such as at a remote server

15 location. As with the content control information for most VDE managed content, features of the present invention allows the content's control information to:

(a) "evolve," for example, the extractor of content

20 may add new control methods and/or modify control parameter data, such as VDE application compliant methods, to the extent allowed by the content's in-place control information. Such new control information

25 might specify, for example, who may use at

- 5 least a portion of the new object, and/or how  
said at least a portion of said extracted content  
may be used (e.g. when at least a portion may  
be used, or what portion or quantity of  
portions may be used);
- 10 (b) allow a user to combine additional content  
with at least a portion of said extracted  
content, such as material authored by the  
extractor and/or content (for example, images,  
video, audio, and/or text) extracted from one or  
more other VDE container objects for  
placement directly into the new container;
- 15 (c) allow a user to securely edit at least a portion  
of said content while maintaining said content  
in a secure form within said VDE content  
container;
- 20 (d) append extracted content to a pre-existing  
VDE content container object and attach  
associated control information -- in these  
cases, user added information may be secured,  
e.g., encrypted, in part or as a whole, and may  
25 be subject to usage and/or auditing control

information that differs from the those applied to previously in place object content;

- 5 (e) preserve VDE control over one or more portions of extracted content after various forms of usage of said portions, for example, maintain content in securely stored form while allowing "temporary" on screen display of content or allowing a software program to be
- 10 maintained in secure form but transiently decrypt any encrypted executing portion of said program (all, or only a portion, of said program may be encrypted to secure the program).

15 Generally, the extraction features of the present invention allow users to aggregate and/or disseminate and/or otherwise use protected electronic content information extracted from

20 content container sources while maintaining secure VDE capabilities thus preserving the rights of providers in said content information after various content usage processes.



! support the aggregation of portions of VDE  
controlled content, such portions being subject to  
differing VDE content container control information,  
wherein various of said portions may have been  
5 provided by independent, different content providers  
from one or more different locations remote to the  
user performing the aggregation. Such aggregation,  
in the preferred embodiment of the present  
invention, may involve preserving at least a portion  
10 of the control information (e.g., executable code such  
as load modules) for each of various of said portions  
by, for example, embedding some or all of such  
portions individually as VDE content container  
objects within an overall VDE content container  
15 and/or embedding some or all of such portions  
directly into a VDE content container. In the latter  
case, content control information of said content  
container may apply differing control information  
sets to various of such portions based upon said  
20 portions original control information requirements  
before aggregation. Each of such embedded VDE  
content containers may have its own control  
information in the form of one or more permissions  
records. Alternatively, a negotiation between control  
25 information associated with various aggregated

portions of electronic content, may produce a control information set that would govern some or all of the aggregated content portions. The VDE content control information produced by the negotiation may

5 be uniform (such as having the same load modules and/or component assemblies, and/or it may apply differing such content control information to two or more portions that constitute an aggregation of VDE controlled content such as differing metering,

10 budgeting, billing and/or payment models. For example, content usage payment may be automatically made, either through a clearinghouse, or directly, to different content providers for different portions.

15

! enable flexible metering of, or other collection of information related to, use of electronic content and/or electronic appliances. A feature of the present invention enables such flexibility of metering

20 control mechanisms to accommodate a simultaneous, broad array of: (a) different parameters related to electronic information content use; (b) different increment units (bytes, documents, properties, paragraphs, images, etc.) and/or other organizations

25 of such electronic content; and/or (c) different

5 categories of user and/or VDE installation types,  
such as client organizations, departments, projects,  
networks, and/or individual users, etc. This feature  
of the present invention can be employed for content  
security, usage analysis (for example, market  
surveying), and/or compensation based upon the use  
and/or exposure to VDE managed content. Such  
metering is a flexible basis for ensuring payment for  
content royalties, licensing, purchasing, and/or  
10 advertising. A feature of the present invention  
provides for payment means supporting flexible  
electronic currency and credit mechanisms,  
including the ability to securely maintain audit trails  
reflecting information related to use of such currency  
or credit. VDE supports multiple differing  
15 hierarchies of client organization control information  
wherein an organization client administrator  
distributes control information specifying the usage  
rights of departments, users, and/or projects.  
20 Likewise, a department (division) network manager  
can function as a distributor (budgets, access rights,  
etc.) for department networks, projects, and/or users,  
etc.

5 provide scalable, integratable, standardized control means for use on electronic appliances ranging from inexpensive consumer (for example, television set-top appliances) and professional devices (and hand-held PDAs) to servers, mainframes, communication switches, etc. The scalable transaction management/auditing technology of the present invention will result in more efficient and reliable interoperability amongst devices functioning in electronic commerce and/or data security environments. As standardized physical containers have become essential to the shipping of physical goods around the world, allowing these physical containers to universally "fit" unloading equipment, efficiently use truck and train space, and accommodate known arrays of objects (for example, boxes) in an efficient manner, so VDE electronic content containers may, as provided by the present invention, be able to efficiently move electronic information content (such as commercially published properties, electronic currency and credit, and content audit information), and associated content control information, around the world. Interoperability is fundamental to efficient electronic commerce. The design of the VDE foundation, VDE

load modules, and VDE containers, are important features that enable the VDE node operating environment to be compatible with a very broad range of electronic appliances. The ability, for example, for control methods based on load modules to execute in very "small" and inexpensive secure sub-system environments, such as environments with very little read/write memory, while also being able to execute in large memory sub-systems that may be used in more expensive electronic appliances, supports consistency across many machines. This consistent VDE operating environment, including its control structures and container architecture, enables the use of standardized VDE content containers across a broad range of device types and host operating environments. Since VDE capabilities can be seamlessly integrated as extensions, additions, and/or modifications to fundamental capabilities of electronic appliances and host operating systems, VDE containers, content control information, and the VDE foundation will be able to work with many device types and these device types will be able to consistently and efficiently interpret and enforce VDE control information. Through this integration users can also

benefit from a transparent interaction with many of  
the capabilities of VDE. VDE integration with  
software operating on a host electronic appliance  
supports a variety of capabilities that would be  
5 unavailable or less secure without such integration.  
Through integration with one or more device  
applications and/or device operating environments,  
many capabilities of the present invention can be  
presented as inherent capabilities of a given  
10 electronic appliance, operating system, or appliance  
application. For example, features of the present  
invention include: (a) VDE system software to in  
part extend and/or modify host operating systems  
such that they possess VDE capabilities, such as  
15 enabling secure transaction processing and  
electronic information storage; (b) one or more  
application programs that in part represent tools  
associated with VDE operation; and/or (c) code to be  
integrated into application programs, wherein such  
20 code incorporates references into VDE system  
software to integrate VDE capabilities and makes  
such applications VDE aware (for example, word  
processors, database retrieval applications,  
spreadsheets, multimedia presentation authoring  
25 tools, film editing software, music editing software

such as MIDI applications and the like, robotics control systems such as those associated with CAD/CAM environments and NCM software and the like, electronic mail systems, teleconferencing software, and other data authoring, creating, handling, and/or usage applications including combinations of the above). These one or more features (which may also be implemented in firmware or hardware) may be employed in conjunction with a VDE node secure hardware processing capability, such as a microcontroller(s), microprocessor(s), other CPU(s) or other digital processing logic.

employ audit reconciliation and usage pattern evaluation processes that assess, through certain, normally network based, transaction processing reconciliation and threshold checking activities, whether certain violations of security of a VDE arrangement have occurred. These processes are performed remote to VDE controlled content end-user VDE locations by assessing, for example, purchases, and/or requests, for electronic properties by a given VDE installation. Applications for such reconciliation activities include assessing whether

the quantity of remotely delivered VDE controlled content corresponds to the amount of financial credit and/or electronic currency employed for the use of such content. A trusted organization can acquire information from content providers concerning the cost for content provided to a given VDE installation and/or user and compare this cost for content with the credit and/or electronic currency disbursements for that installation and/or user. Inconsistencies in the amount of content delivered versus the amount of disbursement can prove, and/or indicate, depending on the circumstances, whether the local VDE installation has been, at least to some degree, compromised (for example, certain important system security functions, such as breaking encryption for at least some portion of the secure subsystem and/or VDE controlled content by uncovering one or more keys). Determining whether irregular patterns (e.g. unusually high demand) of content usage, or requests for delivery of certain kinds of VDE controlled information during a certain time period by one or more VDE installations and/or users (including, for example, groups of related users whose aggregate pattern of usage is suspicious) may also be useful in determining whether security at



5 such one or more installations, and/or by such one or more users, has been compromised, particularly when used in combination with an assessment of electronic credit and/or currency provided to one or more VDE users and/or installations, by some or all of their credit and/or currency suppliers, compared with the disbursements made by such users and/or installations.

10 ! support security techniques that materially increase the time required to "break" a system's integrity. This includes using a collection of techniques that minimizes the damage resulting from comprising some aspect of the security features of the present inventions.

15

! provide a family of authoring, administrative, reporting, payment, and billing tool user applications that comprise components of the present invention's trusted/secure, universe wide, distributed transaction control and administration system.

20 These components support VDE related: object creation (including placing control information on content), secure object distribution and management (including distribution control information, financial

25

related, and other usage analysis), client internal VDE activities administration and control, security management, user interfaces, payment disbursement, and clearinghouse related functions.

5 These components are designed to support highly secure, uniform, consistent, and standardized: electronic commerce and/or data security pathway(s) of handling, reporting, and/or payment; content control and administration; and human factors (e.g.

10 user interfaces).

! support the operation of a plurality of clearinghouses, including, for example, both financial and user clearinghouse activities, such as

15 those performed by a client administrator in a large organization to assist in the organization's use of a VDE arrangement, including usage information analysis, and control of VDE activities by individuals and groups of employees such as specifying budgets

20 and the character of usage rights available under VDE for certain groups of and/or individual, client personnel, subject to control information series to control information submitted by the client administrator. At a clearinghouse, one or more VDE

25 installations may operate together with a trusted

distributed database environment (which may include concurrent database processing means). A financial clearinghouse normally receives at its location securely delivered content usage information, and user requests (such as requests for further credit, electronic currency, and/or higher credit limit). Reporting of usage information and user requests can be used for supporting electronic currency, billing, payment and credit related activities, and/or for user profile analysis and/or broader market survey analysis and marketing (consolidated) list generation or other information derived, at least in part, from said usage information. this information can be provided to content providers or other parties, through secure, authenticated encrypted communication to the VDE installation secure subsystems. Clearinghouse processing means would normally be connected to specialized I/O means, which may include high speed telecommunication switching means that may be used for secure communications between a clearinghouse and other VDE pathway participants.

securely support electronic currency and credit usage control, storage, and communication at, and

between, VDE installations. VDE further supports automated passing of electronic currency and/or credit information, including payment tokens (such as in the form of electronic currency or credit) or other payment information, through a pathway of payment, which said pathway may or may not be the same as a pathway for content usage information reporting. Such payment may be placed into a VDE container created automatically by a VDE installation in response to control information stipulating the "withdrawal" of credit or electronic currency from an electronic credit or currency account based upon an amount owed resulting from usage of VDE controlled electronic content and/or appliances. Payment credit or currency may then be automatically communicated in protected (at least in part encrypted) form through telecommunication of a VDE container to an appropriate party such as a clearinghouse, provider of original property content or appliance, or an agent for such provider (other than a clearinghouse). Payment information may be packaged in said VDE content container with, or without, related content usage information, such as metering information. An aspect of the present invention further enables certain information

5 regarding currency use to be specified as unavailable  
to certain, some, or all VDE parties ("conditionally"  
to fully anonymous currency) and/or further can  
regulate certain content information, such as  
10 currency and/or credit use related information  
(and/or other electronic information usage data) to be  
available only under certain strict circumstances,  
such as a court order (which may itself require  
authorization through the use of a court controlled  
VDE installation that may be required to securely  
15 access "conditionally" anonymous information).  
Currency and credit information, under the  
preferred embodiment of the present invention, is  
treated as administrative content;

15

! support fingerprinting (also known as  
watermarking) for embedding in content such that  
when content protected under the present invention  
is released in clear form from a VDE object  
20 (displayed, printed, communicated, extracted, and/or  
saved), information representing the identification of  
the user and/or VDE installation responsible for  
transforming the content into clear form is  
embedded into the released content. Fingerprinting  
25 is useful in providing an ability to identify who

5 extracted information in clear form a VDE container,  
or who made a copy of a VDE object or a portion of  
its contents. Since the identity of the user and/or  
other identifying information may be embedded in  
an obscure or generally concealed manner, in VDE  
10 container content and/or control information,  
potential copyright violators may be deterred from  
unauthorized extraction or copying. Fingerprinting  
normally is embedded into unencrypted electronic  
content or control information, though it can be  
15 embedded into encrypted content and later placed in  
unencrypted content in a secure VDE installation  
sub-system as the encrypted content carrying the  
fingerprinting information is decrypted. Electronic  
information, such as the content of a VDE container,  
20 may be fingerprinted as it leaves a network (such as  
Internet) location bound for a receiving party. Such  
repository information may be maintained in  
unencrypted form prior to communication and be  
encrypted as it leaves the repository. Fingerprinting  
would preferably take place as the content leaves the  
repository, but before the encryption step.  
Encrypted repository content can be decrypted, for  
example in a secure VDE sub-system, fingerprint  
25 information can be inserted, and then the content

can be re-encrypted for transmission. Embedding identification information of the intended recipient user and/or VDE installation into content as it leaves, for example, an Internet repository, would provide important information that would identify or assist in identifying any party that managed to compromise the security of a VDE installation or the delivered content. If a party produces an authorized clear form copy of VDE controlled content, including making unauthorized copies of an authorized clear form copy, fingerprint information would point back to that individual and/or his or her VDE installation. Such hidden information will act as a strong disincentive that should dissuade a substantial portion of potential content "pirates" from stealing other parties electronic information. Fingerprint information identifying a receiving party and/or VDE installation can be embedded into a VDE object before, or during, decryption, replication, or communication of VDE content objects to receivers. Fingerprinting electronic content before it is encrypted for transfer to a customer or other user provides information that can be very useful for identifying who received certain content which may have then been distributed or made available in

unencrypted form. This information would be useful in tracking who may have "broken" the security of a VDE installation and was illegally making certain electronic content available to others.

5           Fingerprinting may provide additional, available information such as time and/or date of the release (for example extraction) of said content information. Locations for inserting fingerprints may be specified by VDE installation and/or content container control

10           information. This information may specify that certain areas and/or precise locations within properties should be used for fingerprinting, such as one or more certain fields of information or information types. Fingerprinting information may

15           be incorporated into a property by modifying in a normally undetectable way color frequency and/or the brightness of certain image pixels, by slightly modifying certain audio signals as to frequency, by modifying font character formation, etc. Fingerprint

20           information, itself, should be encrypted so as to make it particularly difficult for tampered fingerprints to be interpreted as valid. Variations in fingerprint locations for different copies of the same property; "false" fingerprint information; and

25           multiple copies of fingerprint information within a



specific property or other content which copies  
employ different fingerprinting techniques such as  
information distribution patterns, frequency and/or  
brightness manipulation, and encryption related  
5 techniques, are features of the present invention for  
increasing the difficulty of an unauthorized  
individual identifying fingerprint locations and  
erasing and/or modifying fingerprint information.

10 provide smart object agents that can carry requests,  
data, and/or methods, including budgets,  
authorizations, credit or currency, and content. For  
example, smart objects may travel to and/or from  
remote information resource locations and fulfill  
15 requests for electronic information content. Smart  
objects can, for example, be transmitted to a remote  
location to perform a specified database search on  
behalf of a user or otherwise "intelligently" search  
remote one or more repositories of information for  
20 user desired information. After identifying desired  
information at one or more remote locations, by for  
example, performing one or more database searches,  
a smart object may return via communication to the  
user in the form of a secure "return object"  
25 containing retrieved information. A user may be

charged for the remote retrieving of information, the  
returning of information to the user's VDE  
installation, and/or the use of such information. In  
the latter case, a user may be charged only for the  
5 information in the return object that the user  
actually uses. Smart objects may have the means to  
request use of one or more services and/or resources.  
Services include locating other services and/or  
resources such as information resources, language or  
10 format translation, processing, credit (or additional  
credit) authorization, etc. Resources include  
reference databases, networks, high powered or  
specialized computing resources (the smart object  
may carry information to another computer to be  
15 efficiently processed and then return the information  
to the sending VDE installation), remote object  
repositories, etc. Smart objects can make efficient  
use of remote resources (e.g. centralized databases,  
super computers, etc.) while providing a secure  
20 means for charging users based on information  
and/or resources actually used.

! support both "translations" of VDE electronic  
agreements elements into modern language printed  
25 agreement elements (such as English language

agreements) and translations of electronic rights  
protection/transaction management modern  
language agreement elements to electronic VDE  
agreement elements. This feature requires  
5 maintaining a library of textual language that  
corresponds to VDE load modules and/or methods  
and/or component assemblies. As VDE methods are  
proposed and/or employed for VDE agreements, a  
listing of textual terms and conditions can be  
10 produced by a VDE user application which, in a  
preferred embodiment, provides phrases, sentences  
and/or paragraphs that have been stored and  
correspond to said methods and/or assemblies. This  
feature preferably employs artificial intelligence  
15 capabilities to analyze and automatically determine,  
and/or assist one or more users to determine, the  
proper order and relationship between the library  
elements corresponding to the chosen methods  
and/or assemblies so as to compose some or all  
20 portions of a legal or descriptive document. One or  
more users, and/or preferably an attorney (if the  
document a legal, binding agreement), would review  
the generated document material upon completion  
and employ such additional textual information  
25 and/or editing as necessary to describe non electronic

transaction elements of the agreement and make any other improvements that may be necessary. These features further support employing modern language tools that allow one or more users to make selections from choices and provide answers to questions and to produce a VDE electronic agreement from such a process. This process can be interactive and the VDE agreement formulation process may employ artificial intelligence expert system technology that learns from responses and, where appropriate and based at least in part on said responses, provides further choices and/or questions which "evolves" the desired VDE electronic agreement.

15

! support the use of multiple VDE secure subsystems in a single VDE installation. Various security and/or performance advantages may be realized by employing a distributed VDE design within a single VDE installation. For example, designing a hardware based VDE secure subsystem into an electronic appliance VDE display device, and designing said subsystem's integration with said display device so that it is as close as possible to the point of display, will increase the security for video

20

25

materials by making it materially more difficult to  
“steal” decrypted video information as it moves from  
outside to inside the video system. Ideally, for  
example, a VDE secure hardware module would be  
5 in the same physical package as the actual display  
monitor, such as within the packaging of a video  
monitor or other display device, and such device  
would be designed, to the extent commercially  
practical, to be as tamper resistant as reasonable.  
10 As another example, embedding a VDE hardware  
module into an I/O peripheral may have certain  
advantages from the standpoint of overall system  
throughput. If multiple VDE instances are employed  
within the same VDE installation, these instances  
15 will ideally share resources to the extent practical,  
such as VDE instances storing certain control  
information and content and/or appliance usage  
information on the same mass storage device and in  
the same VDE management database.

20

! requiring reporting and payment compliance by  
employing exhaustion of budgets and time ageing of  
keys. For example, a VDE commercial arrangement  
and associated content control information may  
25 involve a content provider’s content and the use of

clearinghouse credit for payment for end-user usage  
of said content. Control information regarding said  
arrangement may be delivered to a user's (of said  
content) VDE installation and/or said financial  
clearinghouse's VDE installation. Said control  
5 information might require said clearinghouse to  
prepare and telecommunicate to said content  
provider both content usage based information in a  
certain form, and content usage payment in the form  
10 of electronic credit (such credit might be "owned" by  
the provider after receipt and used in lieu of the  
availability or adequacy of electronic currency)  
and/or electronic currency. This delivery of  
information and payment may employ trusted VDE  
15 installation secure subsystems to securely, and in  
some embodiments, automatically, provide in the  
manner specified by said control information, said  
usage information and payment content. Features of  
the present invention help ensure that a  
20 requirement that a clearinghouse report such usage  
information and payment content will be observed.  
For example, if one participant to a VDE electronic  
agreement fails to observe such information  
reporting and/or paying obligation, another  
25 participant can stop the delinquent party from

successfully participating in VDE activities related to such agreement. For example, if required usage information and payment was not reported as specified by content control information, the

5 “injured” party can fail to provide, through failing to securely communicate from his VDE installation secure subsystem, one or more pieces of secure information necessary for the continuance of one or more critical processes. For example, failure to

10 report information and/or payment from a clearinghouse to a content provider (as well as any security failures or other disturbing irregularities) can result in the content provider not providing key and/or budget refresh information to the

15 clearinghouse, which information can be necessary to authorize use of the clearinghouse’s credit for usage of the provider’s content and which the clearinghouse would communicate to end-user’s during a content usage reporting communication

20 between the clearinghouse and end-user. As another example, a distributor that failed to make payments and/or report usage information to a content provider might find that their budget for creating permissions records to distribute the content

25 provider’s content to users, and/or a security budget

limiting one or more other aspect of their use of the provider's content, are not being refreshed by the content provider, once exhausted or timed-out (for example, at a predetermined date). In these and  
5 other cases, the offended party might decide not to refresh time ageing keys that had "aged out." Such a use of time aged keys has a similar impact as failing to refresh budgets or time-aged authorizations.

10 support smart card implementations of the present invention in the form of portable electronic appliances, including cards that can be employed as secure credit, banking, and/or money cards. A feature of the present invention is the use of portable  
15 VDEs as transaction cards at retail and other establishments, wherein such cards can "dock" with an establishment terminal that has a VDE secure sub-system and/or an online connection to a VDE secure and/or otherwise secure and compatible  
20 subsystem, such as a "trusted" financial clearinghouse (e.g., VISA, Mastercard). The VDE card and the terminal (and/or online connection) can securely exchange information related to a transaction, with credit and/or electronic currency  
25 being transferred to a merchant and/or



clearinghouse and transaction information flowing  
back to the card. Such a card can be used for  
transaction activities of all sorts. A docking station,  
such as a PCMCIA connector on an electronic  
5 appliance, such as a personal computer, can receive  
a consumer's VDE card at home. Such a station/card  
combination can be used for on-line transactions in  
the same manner as a VDE installation that is  
permanently installed in such an electronic  
10 appliance. The card can be used as an "electronic  
wallet" and contain electronic currency as well as  
credit provided by a clearinghouse. The card can act  
as a convergence point for financial activities of a  
consumer regarding many, if not all, merchant,  
15 banking, and on-line financial transactions,  
including supporting home banking activities. A  
consumer can receive his paycheck and/or  
investment earnings and/or "authentic" VDE content  
container secured detailed information on such  
20 receipts, through on-line connections. A user can  
send digital currency to another party with a VDE  
arrangement, including giving away such currency.  
A VDE card can retain details of transactions in a  
highly secure and database organized fashion so that  
25 financially related information is both consolidated

and very easily retrieved and/or analyzed. Because  
of the VDE security, including use of effective  
encryption, authentication, digital signaturing, and  
secure database structures, the records contained  
5 within a VDE card arrangement may be accepted as  
valid transaction records for government and/or  
corporate recordkeeping requirements. In some  
embodiments of the present invention a VDE card  
may employ docking station and/or electronic  
10 appliance storage means and/or share other VDE  
arrangement means local to said appliance and/or  
available across a network, to augment the  
information storage capacity of the VDE card, by for  
example, storing dated, and/or archived, backup  
15 information. Taxes relating to some or all of an  
individual's financial activities may be automatically  
computed based on "authentic" information securely  
stored and available to said VDE card. Said  
information may be stored in said card, in said  
20 docking station, in an associated electronic  
appliance, and/or other device operatively attached  
thereto, and/or remotely, such as at a remote server  
site. A card's data, e.g. transaction history, can be  
backed up to an individual's personal computer or  
25 other electronic appliance and such an appliance

may have an integrated VDE installation of its own.  
A current transaction, recent transactions (for  
redundancy), or all or other selected card data may  
be backed up to a remote backup repository, such a  
5 VDE compatible repository at a financial  
clearinghouse, during each or periodic docking for a  
financial transaction and/or information  
communication such as a user/merchant transaction.  
Backing up at least the current transaction during a  
10 connection with another party's VDE installation  
(for example a VDE installation that is also on a  
financial or general purpose electronic network), by  
posting transaction information to a remote  
clearinghouse and/or bank, can ensure that  
15 sufficient backup is conducted to enable complete  
reconstruction of VDE card internal information in  
the event of a card failure or loss.

! support certification processes that ensure  
20 authorized interoperability between various VDE  
installations so as to prevent VDE arrangements  
and/or installations that unacceptably deviate in  
specification protocols from other VDE arrangements  
and/or installations from interoperating in a manner  
25 that may introduce security (integrity and/or

confidentiality of VDE secured information), process control, and/or software compatibility problems. Certification validates the identity of VDE installations and/or their components, as well as VDE users. Certification data can also serve as information that contributes to determining the decommissioning or other change related to VDE sites.

support the separation of fundamental transaction control processes through the use of event (triggered) based method control mechanisms. These event methods trigger one or more other VDE methods (which are available to a secure VDE sub-system) and are used to carry out VDE managed transaction related processing. These triggered methods include independently (separably) and securely processable component billing management methods, budgeting management methods, metering management methods, and related auditing management processes. As a result of this feature of the present invention, independent triggering of metering, auditing, billing, and budgeting methods, the present invention is able to efficiently, concurrently support multiple financial currencies (e.g. dollars,

marks, yen) and content related budgets, and/or  
billing increments as well as very flexible content  
distribution models.

5 support, complete, modular separation of the control  
structures related to (1) content event triggering, (2)  
auditing, (3) budgeting (including specifying no right  
of use or unlimited right of use), (4) billing, and (5)  
10 user identity (VDE installation, client name,  
department, network, and/or user, etc.). The  
independence of these VDE control structures  
provides a flexible system which allows plural  
relationships between two or more of these  
structures, for example, the ability to associate a  
15 financial budget with different event trigger  
structures (that are put in place to enable controlling  
content based on its logical portions). Without such  
separation between these basic VDE capabilities, it  
would be more difficult to efficiently maintain  
20 separate metering, budgeting, identification, and/or  
billing activities which involve the same, differing  
(including overlapping), or entirely different,  
portions of content for metering, billing, budgeting,  
and user identification, for example, paying fees  
25 associated with usage of content, performing home

banking, managing advertising services, etc. VDE modular separation of these basic capabilities supports the programming of plural, "arbitrary" relationships between one or differing content portions (and/or portion units) and budgeting, auditing, and/or billing control information. For example, under VDE, a budget limit of \$200 dollars or 300 German Marks a month may be enforced for decryption of a certain database and 2 U.S. Dollars or 3 German Marks may be charged for each record of said database decrypted (depending on user selected currency). Such usage can be metered while an additional audit for user profile purposes can be prepared recording the identity of each filed displayed. Additionally, further metering can be conducted regarding the number of said database bytes that have been decrypted, and a related security budget may prevent the decrypting of more than 5% of the total bytes of said database per year. The user may also, under VDE (if allowed by senior control information), collect audit information reflecting usage of database fields by different individuals and client organization departments and ensure that differing rights of access and differing budgets limiting database usage can be applied to

5 these client individuals and groups. Enabling  
content providers and users to practically employ  
such diverse sets of user identification, metering,  
budgeting, and billing control information results, in  
part, from the use of such independent control  
capabilities. As a result, VDE can support great  
configurability in creation of plural control models  
applied to the same electronic property and the same  
and/or plural control models applied to differing or  
10 entirely different content models (for example, home  
banking versus electronic shopping).

#### **Methods, Other Control Information, and VDE Objects**

15 VDE control information (e.g., methods) that collectively  
control use of VDE managed properties (database, document,  
individual commercial product), are either shipped with the  
content itself (for example, in a content container) and/or one or  
more portions of such control information is shipped to  
distributors and/or other users in separably deliverable  
20 "administrative objects." A subset of the methods for a property  
may in part be delivered with each property while one or more  
other subsets of methods can be delivered separately to a user or  
otherwise made available for use (such as being available  
remotely by telecommunication means). Required methods  
25 (methods listed as required for property and/or appliance use)

must be available as specified if VDE controlled content (such as intellectual property distributed within a VDE content container) is to be used. Methods that control content may apply to a plurality of VDE container objects, such as a class or other grouping of such objects. Methods may also be required by certain users or classes of users and/or VDE installations and/or classes of installations for such parties to use one or more specific, or classes of, objects.

10           A feature of VDE provided by the present invention is that certain one or more methods can be specified as required in order for a VDE installation and/or user to be able to use certain and/or all content. For example, a distributor of a certain type of content might be allowed by "senior" participants (by content creators, for example) to require a method which prohibits end-users from electronically saving decrypted content, a provider of credit for VDE transactions might require an audit method that records the time of an electronic purchase, and/or a user might require a method that summarizes usage information for reporting to a clearinghouse (e.g. billing information) in a way that does not convey confidential, personal information regarding detailed usage behavior.

25           A further feature of VDE provided by the present invention is that creators, distributors, and users of content can select from



among a set of predefined methods (if available) to control  
container content usage and distribution functions and/or they  
may have the right to provide new customized methods to control  
at least certain usage functions (such "new" methods may be  
5 required to be certified for trustedness and interoperability to the  
VDE installation and/or for of a group of VDE applications). As a  
result, VDE provides a very high degree of configurability with  
respect to how the distribution and other usage of each property  
or object (or one or more portions of objects or properties as  
10 desired and/or applicable) will be controlled. Each VDE  
participant in a VDE pathway of content control information may  
set methods for some or all of the content in a VDE container, so  
long as such control information does not conflict with senior  
control information already in place with respect to:

15

- (1) certain or all VDE managed content,
- (2) certain one or more VDE users and/or groupings of  
users,  
20
- (3) certain one or more VDE nodes and/or groupings of  
nodes, and/or
- (4) certain one or more VDE applications and/or  
25 arrangements.

For example, a content creator's VDE control information for certain content can take precedence over other submitted VDE participant control information and, for example, if allowed by senior control information, a content distributor's control information may itself take precedence over a client administrator's control information, which may take precedence over an end-user's control information. A path of distribution participant's ability to set such electronic content control information can be limited to certain control information (for example, method mediating data such as pricing and/or sales dates) or it may be limited only to the extent that one or more of the participant's proposed control information conflicts with control information set by senior control information submitted previously by participants in a chain of handling of the property, or managed in said participant's VDE secure subsystem.

VDE control information may, in part or in full, (a) represent control information directly put in place by VDE content control information pathway participants, and/or (b) comprise control information put in place by such a participant on behalf of a party who does not directly handle electronic content (or electronic appliance) permissions records information (for example control information inserted by a participant on behalf of a financial clearinghouse or government agency). Such control information methods (and/or load modules and/or

mediating data and/or component assemblies) may also be put in place by either an electronic automated, or a semi-automated and human assisted, control information (control set) negotiating process that assesses whether the use of one or more pieces of submitted control information will be integrated into and/or replace existing control information (and/or chooses between alternative control information based upon interaction with in-place control information) and how such control information may be used.

Control information may be provided by a party who does not directly participate in the handling of electronic content (and/or appliance) and/or control information for such content (and/or appliance). Such control information may be provided in secure form using VDE installation secure sub-system managed communications (including, for example, authenticating the deliverer of at least in part encrypted control information) between such not directly participating one or more parties' VDE installation secure subsystems, and a pathway of VDE content control information participant's VDE installation secure subsystem. This control information may relate to, for example, the right to access credit supplied by a financial services provider, the enforcement of regulations or laws enacted by a government agency, or the requirements of a customer of VDE managed content usage information (reflecting usage of content

by one or more parties other than such customer) relating to the creation, handling and/or manner of reporting of usage information received by such customer. Such control information may, for example, enforce societal requirements such as laws  
5 related to electronic commerce.

VDE content control information may apply differently to different pathway of content and/or control information handling participants. Furthermore, permissions records rights may be  
10 added, altered, and/or removed by a VDE participant if they are allowed to take such action. Rights of VDE participants may be defined in relation to specific parties and/or categories of parties and/or other groups of parties in a chain of handling of content and/or content control information (e.g., permissions records).  
15 Modifications to control information that may be made by a given, eligible party or parties, may be limited in the number of modifications, and/or degree of modification, they may make.

At least one secure subsystem in electronic appliances of  
20 creators, distributors, auditors, clearinghouses, client administrators, and end-users (understanding that two or more of the above classifications may describe a single user) provides a "sufficiently" secure (for the intended applications) environment  
for:

25

1. Decrypting properties and control information;
  2. Storing control and metering related information;
  - 5 3. Managing communications;
  4. Processing core control programs, along with associated data, that constitute control information for electronic content and/or appliance rights protection, including the enforcing of preferences and requirements of VDE participants.
- 10

Normally, most usage, audit, reporting, payment, and distribution control methods are themselves at least in part encrypted and are executed by the secure subsystem of a VDE installation. Thus, for example, billing and metering records can be securely generated and updated, and encryption and decryption keys are securely utilized, within a secure subsystem. Since VDE also employs secure (e.g. encrypted and authenticated) communications when passing information between the participant location (nodes) secure subsystems of a VDE arrangement, important components of a VDE electronic agreement can be reliably enforced with sufficient security (sufficiently trusted) for the intended commercial purposes. A VDE electronic agreement for a value chain can be composed, at

15

20

25

least in part, of one or more subagreements between one or more subsets of the value chain participants. These subagreements are comprised of one or more electronic contract "compliance" elements (methods including associated parameter data) that  
5 ensure the protection of the rights of VDE participants.

The degree of trustedness of a VDE arrangement will be primarily based on whether hardware SPUs are employed at participant location secure subsystems and the effectiveness of  
10 the SPU hardware security architecture, software security techniques when an SPU is emulated in software, and the encryption algorithm(s) and keys that are employed for securing content, control information, communications, and access to VDE  
15 node (VDE installation) secure subsystems. Physical facility and user identity authentication security procedures may be used instead of hardware SPUs at certain nodes, such as at an established financial clearinghouse, where such procedures may provide sufficient security for trusted interoperability with a  
20 VDE arrangement employing hardware SPUs at user nodes.

The updating of property management files at each location of a VDE arrangement, to accommodate new or modified control information, is performed in the VDE secure subsystem and under the control of secure management file updating  
25 programs executed by the protected subsystem. Since all secure

communications are at least in part encrypted and the processing  
inside the secure subsystem is concealed from outside  
observation and interference, the present invention ensures that  
content control information can be enforced. As a result, the  
5 creator and/or distributor and/or client administrator and/or  
other contributor of secure control information for each property  
(for example, an end-user restricting the kind of audit  
information he or she will allow to be reported and/or a financial  
clearinghouse establishing certain criteria for use of its credit for  
10 payment for use of distributed content) can be confident that  
their contributed and accepted control information will be  
enforced (within the security limitations of a given VDE security  
implementation design). This control information can determine,  
for example:

15

(1) How and/or to whom electronic content can be  
provided, for example, how an electronic property  
can be distributed;

20

(2) How one or more objects and/or properties, or  
portions of an object or property, can be directly  
used, such as decrypted, displayed, printed, etc;

25

(3) How payment for usage of such content and/or  
content portions may or must be handled; and

- (4) How audit information about usage information related to at least a portion of a property should be collected, reported, and/or used.

5 Seniority of contributed control information, including resolution of conflicts between content control information submitted by multiple parties, is normally established by:

- 10 (1) the sequence in which control information is put in place by various parties (in place control information normally takes precedence over subsequently submitted control information),
- 15 (2) the specifics of VDE content and/or appliance control information. For example, in-place control information can stipulate which subsequent one or more piece of control from one or more parties or class of parties will take precedence over control information submitted by one or more yet different
- 20 parties and/or classes of parties, and/or
- (3) negotiation between control information sets from plural parties, which negotiation establishes what control information shall constitute the resulting



control information set for a given piece of VDE  
managed content and/or VDE installation.

### **Electronic Agreements and Rights Protection**

5           An important feature of VDE is that it can be used to  
assure the administration of, and adequacy of security and rights  
protection for, electronic agreements implemented through the  
use of the present invention. Such agreements may involve one  
or more of:

10

(1) creators, publishers, and other distributors, of  
electronic information,

(2) financial service (e.g. credit) providers,

15

(3) users of (other than financial service providers)  
information arising from content usage such as  
content specific demographic information and user  
specific descriptive information. Such users may  
20 include market analysts, marketing list compilers for  
direct and directed marketing, and government  
agencies,

20

(4) end users of content,

25

- 5 (5) infrastructure service and device providers such as telecommunication companies and hardware manufacturers (semiconductor and electronic appliance and/or other computer system manufacturers) who receive compensation based upon the use of their services and/or devices, and
- (6) certain parties described by electronic information.

10 VDE supports commercially secure "extended" value chain electronic agreements. VDE can be configured to support the various underlying agreements between parties that comprise this extended agreement. These agreements can define important electronic commerce considerations including:

- 15
- (1) security,
- (2) content use control, including electronic distribution,
- 20 (3) privacy (regarding, for example, information concerning parties described by medical, credit, tax, personal, and/or of other forms of confidential information),
- 25 (4) management of financial processes, and

- (5) pathways of handling for electronic content, content and/or appliance control information, electronic content and/or appliance usage information and payment and/or credit.

5

VDE agreements may define the electronic commerce relationship of two or more parties of a value chain, but such agreements may, at times, not directly obligate or otherwise directly involve other VDE value chain participants. For example, an electronic agreement between a content creator and a distributor may establish both the price to the distributor for a creator's content (such as for a property distributed in a VDE container object) and the number of copies of this object that this distributor may distribute to end-users over a given period of time. In a second agreement, a value chain end-user may be involved in a three party agreement in which the end-user agrees to certain requirements for using the distributed product such as accepting distributor charges for content use and agreeing to observe the copyright rights of the creator. A third agreement might exist between the distributor and a financial clearinghouse that allows the distributor to employ the clearinghouse's credit for payment for the product if the end-user has a separate (fourth) agreement directly with the clearinghouse extending credit to the end-user. A fifth, evolving agreement may develop between all value chain participants as content control

25

information passes along its chain of handling. This evolving agreement can establish the rights of all parties to content usage information, including, for example, the nature of information to be received by each party and the pathway of handling of content usage information and related procedures. A sixth agreement in this example, may involve all parties to the agreement and establishes certain general assumptions, such as security techniques and degree of trustedness (for example, commercial integrity of the system may require each VDE installation secure subsystem to electronically warrant that their VDE node meets certain interoperability requirements). In the above example, these six agreements could comprise agreements of an extended agreement for this commercial value chain instance.

VDE agreements support evolving ("living") electronic agreement arrangements that can be modified by current and/or new participants through very simple to sophisticated "negotiations" between newly proposed content control information interacting with control information already in place and/or by negotiation between concurrently proposed content control information submitted by a plurality of parties. A given model may be asynchronously and progressively modified over time in accordance with existing senior rules and such modification may be applied to all, to classes of, and/or to specific content, and/or to classes and/or specific users and/or user nodes.

A given piece of content may be subject to different control information at different times or places of handling, depending on the evolution of its content control information (and/or on differing, applicable VDE installation content control information). The evolution of control information can occur during the passing along of one or more VDE control information containing objects, that is control information may be modified at one or more points along a chain of control information handling, so long as such modification is allowed. As a result, VDE managed content may have different control information applied at both different "locations" in a chain of content handling and at similar locations in differing chains of the handling of such content. Such different application of control information may also result from content control information specifying that a certain party or group of parties shall be subject to content control information that differs from another party or group of parties. For example, content control information for a given piece of content may be stipulated as senior information and therefore not changeable, might be put in place by a content creator and might stipulate that national distributors of a given piece of their content may be permitted to make 100,000 copies per calendar quarter, so long as such copies are provided to boni fide end-users, but may pass only a single copy of such content to a local retailers and the control information limits such a retailer to making no more than 1,000 copies per month for retail sales to

end-users. In addition, for example, an end-user of such content might be limited by the same content control information to making three copies of such content, one for each of three different computers he or she uses (one desktop computer at work, one for a desktop computer at home, and one for a portable computer).

Electronic agreements supported by the preferred embodiment of the present invention can vary from very simple to very elaborate. They can support widely diverse information management models that provide for electronic information security, usage administration, and communication and may support:

15

(a) secure electronic distribution of information, for example commercial literary properties,

20

(b) secure electronic information usage monitoring and reporting,

25

(c) secure financial transaction capabilities related to both electronic information and/or appliance usage and other electronic credit and/or currency usage and administration capabilities,

- (d) privacy protection for usage information a user does not wish to release, and
- (e) "living" electronic information content dissemination models that flexibly accommodate:
- 5
- (1) a breadth of participants,
- (2) one or more pathways (chains) for: the  
10 handling of content, content and/or appliance control information, reporting of content and/or appliance usage related information, and/or payment,
- (3) supporting an evolution of terms and  
15 conditions incorporated into content control information, including use of electronic negotiation capabilities,
- (4) support the combination of multiple pieces of  
20 content to form new content aggregations, and
- (5) multiple concurrent models.

### Secure Processing Units

An important part of VDE provided by the present invention is the core secure transaction control arrangement, herein called an SPU (or SPUs), that typically must be present in each user's computer, other electronic appliance, or network.

5 SPUs provide a trusted environment for generating decryption keys, encrypting and decrypting information, managing the secure communication of keys and other information between electronic appliances (i.e. between VDE installations and/or

10 between plural VDE instances within a single VDE installation), securely accumulating and managing audit trail, reporting, and budget information in secure and/or non-secure non-volatile memory, maintaining a secure database of control information management instructions, and providing a secure environment

15 for performing certain other control and administrative functions.

A hardware SPU (rather than a software emulation) within a VDE node is necessary if a highly trusted environment for performing certain VDE activities is required. Such a trusted

20 environment may be created through the use of certain control software, one or more tamper resistant hardware modules such as a semiconductor or semiconductor chipset (including, for example, a tamper resistant hardware electronic appliance peripheral device), for use within, and/or operatively connected

25 to, an electronic appliance. With the present invention, the



trustedness of a hardware SPU can be enhanced by enclosing some or all of its hardware elements within tamper resistant packaging and/or by employing other tamper resisting techniques (e.g. microfusing and/or thin wire detection techniques). A

5 trusted environment of the present invention implemented, in part, through the use of tamper resistant semiconductor design, contains control logic, such as a microprocessor, that securely executes VDE processes.

10 A VDE node's hardware SPU is a core component of a VDE secure subsystem and may employ some or all of an electronic appliance's primary control logic, such as a microcontroller, microcomputer or other CPU arrangement. This primary control logic may be otherwise employed for non VDE purposes such as

15 the control of some or all of an electronic appliance's non-VDE functions. When operating in a hardware SPU mode, said primary control logic must be sufficiently secure so as to protect and conceal important VDE processes. For example, a hardware SPU may employ a host electronic appliance microcomputer

20 operating in protected mode while performing VDE related activities, thus allowing portions of VDE processes to execute with a certain degree of security. This alternate embodiment is in contrast to the preferred embodiment wherein a trusted environment is created using a combination of one or more

25 tamper resistant semiconductors that are not part of said

primary control logic. In either embodiment, certain control information (software and parameter data) must be securely maintained within the SPU, and further control information can be stored externally and securely (e.g. in encrypted and tagged form) and loaded into said hardware SPU when needed. In many cases, and in particular with microcomputers, the preferred embodiment approach of employing special purpose secure hardware for executing said VDE processes, rather than using said primary control logic, may be more secure and efficient. The level of security and tamper resistance required for trusted SPU hardware processes depends on the commercial requirements of particular markets or market niches, and may vary widely.

**BRIEF DESCRIPTION OF THE DRAWINGS**

These and other features and advantages provided by the present invention(s) may be better and more completely understood by referring to the following detailed description of presently preferred example embodiments in connection with the drawings, of which:

FIGURE 1 illustrates an example of a "Virtual Distribution Environment" provided in accordance with a preferred example/embodiment of this invention;

FIGURE 1A is a more detailed illustration of an example of the "Information Utility" shown in FIGURE 1;

FIGURE 2 illustrates an example of a chain of handling and control;

FIGURE 2A illustrates one example of how rules and control information may persist from one participant to another in the Figure 2 chain of handling and control;

FIGURE 3 shows one example of different control information that may be provided;

5 FIGURE 4 illustrates examples of some different types of rules and/or control information;

FIGURES 5A and 5B show an example of an "object";

10 FIGURE 6 shows an example of a Secure Processing Unit ("SPU");

FIGURE 7 shows an example of an electronic appliance;

15 FIGURE 8 is a more detailed block diagram of an example of the electronic appliance shown in FIGURE 7;

FIGURE 9 is a detailed view of an example of the Secure Processing Unit (SPU) shown in FIGURES 6 and 8;

20 FIGURE 10 shows an example of a "Rights Operating System" ("ROS") architecture provided by the Virtual Distribution Environment;

FIGURES 11A-11C show examples of functional relationship(s) between applications and the Rights Operating System;

5           FIGURES 11D-11J show examples of “components” and “component assemblies”;

FIGURE 12 is a more detailed diagram of an example of the Rights Operating System shown in FIGURE 10;

10

FIGURE 12A shows an example of how “objects” can be created;

FIGURE 13 is a detailed block diagram of an example the software architecture for a “protected processing environment” shown in FIGURE 12;

15

FIGURES 14A-14C are examples of SPU memory maps provided by the protected processing environment shown in FIGURE 13;

20

FIGURE 15 illustrates an example of how the channel services manager and load module execution manager of FIGURE 13 can support a channel;

5           FIGURE 15A is an example of a channel header and channel detail records shown in FIGURE 15;

          FIGURE 15B is a flowchart of an example of program control steps that may be performed by the FIGURE 13 protected  
10           processing environment to create a channel;

          FIGURE 16 is a block diagram of an example of a secure data base structure;

15           FIGURE 17 is an illustration of an example of a logical object structure;

          FIGURE 18 shows an example of a stationary object structure;

20           FIGURE 19 shows an example of a traveling object structure;

FIGURE 20 shows an example of a content object structure;

5 FIGURE 21 shows an example of an administrative object structure;

FIGURE 22 shows an example of a method core structure;

10 FIGURE 23 shows an example of a load module structure;

FIGURE 24 shows an example of a User Data Element (UDE) and/or Method Data Element (MDE) structure;

15 FIGURES 25A-25C show examples of "map meters";

FIGURE 26 shows an example of a permissions record (PERC) structure;

20 FIGURES 26A and 26B together show a more detailed example of a permissions record structure;

FIGURE 27 shows an example of a shipping table structure;

5           FIGURE 28 shows an example of a receiving table structure;

FIGURE 29 shows an example of an administrative event log structure;

10           FIGURE 30 shows an example inter-relationship between and use of the object registration table, subject table and user rights table shown in the FIGURE 16 secure database;

15           FIGURE 31 is a more detailed example of an object registration table shown in FIGURE 16;

FIGURE 32 is a more detailed example of subject table shown in FIGURE 16;

20           FIGURE 33 is a more detailed example of a user rights table shown in FIGURE 16;



FIGURE 34 shows a specific example of how a site record table and group record table may track portions of the secure database shown in FIGURE 16;

5           FIGURE 34A is an example of a FIGURE 34 site record table structure;

FIGURE 34B is an example of a FIGURE 34 group record table structure;

10

FIGURE 35 shows an example of a process for updating the secure database;

15           FIGURE 36 shows an example of how new elements may be inserted into the FIGURE 16 secure data base;

FIGURE 37 shows an example of how an element of the secure database may be accessed;

20           FIGURE 38 is a flowchart example of how to protect a secure database element;

FIGURE 39 is a flowchart example of how to back up a  
secure database;

5 FIGURE 40 is a flowchart example of how to recover a  
secure database from a backup;

10 FIGURES 41A-41D are a set of examples showing how a  
“chain of handling and control” may be enabled using “reciprocal  
methods”;

FIGURES 42A-42D show an example of a “reciprocal”  
BUDGET method;

15 FIGURES 43A-43D show an example of a “reciprocal”  
REGISTER method;

FIGURES 44A-44C show an example of a “reciprocal”  
AUDIT method;

20 FIGURES 45-48 show examples of several methods being  
used together to control release of content or other information;

FIGURES 49, 49A-49F show an example OPEN method;

FIGURES 50, 50A-50F show an example of a READ  
method;

5

FIGURES 51, 51A-51F show an example of a WRITE  
method;

FIGURE 52 shows an example of a CLOSE method;

10

FIGURES 53A-53B show an example of an EVENT  
method;

FIGURE 53C shows an example of a BILLING method;

15

FIGURE 54 shows an example of an ACCESS method;

FIGURES 55A-55B show examples of DECRYPT and  
ENCRYPT methods;

20

FIGURE 56 shows an example of a CONTENT method;

FIGURES 57A and 57B show examples of EXTRACT and  
EMBED methods;

5

FIGURE 58A shows an example of an OBSCURE method;

FIGURES 58B, 58C show examples of a FINGERPRINT  
method;

10

FIGURE 59 shows an example of a DESTROY method;

FIGURE 60 shows an example of a PANIC method;

FIGURE 61 shows an example of a METER method;

15

FIGURE 62 shows an example of a key "convolution"  
process;

20

FIGURE 63 shows an example of how different keys may  
be generated using a key convolution process to determine a  
"true" key;

FIGURES 64 and 65 show an example of how protected processing environment keys may be initialized;

5 FIGURES 66 and 67 show example processes for decrypting information contained within stationary and traveling objects, respectively;

10 FIGURE 68 shows an example of how a protected processing environment may be initialized;

FIGURE 69 shows an example of how firmware may be downloaded into a protected processing environment;

15 FIGURE 70 shows an example of multiple VDE electronic appliances connected together with a network or other communications means;

20 FIGURE 71 shows an example of a portable VDE electronic appliance;

FIGURES 72A-72D show examples of "pop-up" displays that may be generated by the user notification and exception interface;

5           FIGURE 73 shows an example of a "smart object";

FIGURE 74 shows an example of a process using "smart objects";

10           FIGURES 75A-75D show examples of data structures used for electronic negotiation;

FIGURES 75E-75F show example structures relating to an electronic agreement;

15

FIGURES 76A-76B show examples of electronic negotiation processes;

20           FIGURE 77 shows a further example of a chain of handling and control;

FIGURE 78 shows an example of a VDE "repository";

FIGURES 79-83 show an example illustrating a chain of handling and control to evolve and transform VDE managed content and control information;

5           FIGURE 84 shows a further example of a chain of handling and control involving several categories of VDE participants;

FIGURE 85 shows a further example of a chain of distribution and handling within an organization;

10

Figures 86 and 86A show a further example of a chain of handling and control; and

15           Figure 87 shows an example of a virtual silicon container model.

## MORE DETAILED DESCRIPTION

5            Figures 1-7 and the discussion below provides an overview of some aspects of features provided by this invention. Following this overview is a more technical “detail description” of example embodiments in accordance with the invention.

### **Overview**

10            Figure 1 shows a “Virtual Distribution Environment” (“VDE”) 100 that may be provided in accordance with this invention. In Figure 1, an information utility 200 connects to communications means 202 such as telephone or cable TV lines for example. Telephone or cable TV lines 202 may be part of an  
15            “electronic highway” that carries electronic information from place to place. Lines 202 connect information utility 200 to other people



such as for example a consumer 208, an office 210, a video production studio 204, and a publishing house 214. Each of the people connected to information utility 200 may be called a "VDE participant" because they can participate in transactions occurring within the virtual distribution environment 100.

Almost any sort of transaction you can think of can be supported by virtual distribution environment 100. A few of many examples of transactions that can be supported by virtual distribution environment 100 include:

- C home banking and electronic payments;
- C electronic legal contracts;
- C distribution of "content" such as electronic printed matter, video, audio, images and computer programs; and
- C secure communication of private information such as medical records and financial information.

Virtual distribution environment 100 is "virtual" because it does not require many of the physical "things" that used to be necessary to protect rights, ensure reliable and predictable distribution, and ensure proper compensation to content creators and distributors. For example, in the past, information was

distributed on records or disks that were difficult to copy. In the past, private or secret content was distributed in sealed envelopes or locked briefcases delivered by courier. To ensure appropriate compensation, consumers received goods and services only after they handed cash over to a seller. Although information utility 200 may deliver information by transferring physical "things" such as electronic storage media, the virtual distribution environment 100 facilitates a completely electronic "chain of handling and control."

10

#### **VDE Flexibility Supports Transactions**

Information utility 200 flexibly supports many different kinds of information transactions. Different VDE participants may define and/or participate in different parts of a transaction. Information utility 200 may assist with delivering information about a transaction, or it may be one of the transaction participants.

15

For example, the video production studio 204 in the upper right-hand corner of Figure 1 may create video/television programs. Video production studio 204 may send these programs over lines 202, or may use other paths such as satellite

20

link 205 and CD ROM delivery service 216. Video production studio 204 can send the programs directly to consumers 206, 208, 210, or it can send the programs to information utility 200 which may store and later send them to the consumers, for example.

5 Consumers 206, 208, 210 are each capable of receiving and using the programs created by video production studio 204—assuming, that is, that the video production studio or information utility 200 has arranged for these consumers to have appropriate “rules and controls” (control information) that give the consumers rights to  
10 use the programs.

Even if a consumer has a copy of a video program, she cannot watch or copy the program unless she has “rules and controls” that authorize use of the program. She can use the  
15 program only as permitted by the “rules and controls.”

For example, video production studio 204 might release a half-hour exercise video in the hope that as many viewers as possible will view it. The video production studio 204 wishes to  
20 receive \$2.00 per viewing. Video production studio 204 may, through information utility 200, make the exercise video available in “protected” form to all consumers 206, 208, 210.

Video production studio 204 may also provide "rules and controls" for the video. These "rules and controls" may specify for example:

5 (1) any consumer who has good credit of at least \$2.00 based on a credit account with independent financial provider 212 (such as Mastercard or VISA) may watch the video,

10 (2) virtual distribution environment 100 will "meter" each time a consumer watches the video, and report usage to video production studio 204 from time to time, and

15 (3) financial provider 212 may electronically collect payment (\$2.00) from the credit account of each consumer who watches the video, and transfer these payments to the video production studio 204.

20 Information utility 200 allows even a small video production studio to market videos to consumers and receive compensation for its efforts. Moreover, the videos can, with appropriate payment to the video production studio, be made

available to other video publishers who may add value and/or act as repackagers or redistributors.

Figure 1 also shows a publishing house 214. Publishing house 214 may act as a distributor for an author 206. The publishing house 214 may distribute rights to use "content" (such as computer software, electronic newspapers, the video produced by publishing house 214, audio, or any other data) to consumers such as office 210. The use rights may be defined by "rules and controls" distributed by publishing house 216. Publishing house 216 may distribute these "rules and controls" with the content, but this is not necessary. Because the content can be used only by consumers that have the appropriate "rules and controls," content and its associated "rules and controls" may be distributed at different times, in different ways, by different VDE participants. The ability of VDE to securely distribute and enforce "rules and controls" separately from the content they apply to provides great advantages.

Use rights distributed by publishing house 214 may, for example, permit office 210 to make and distribute copies of the content to its employees. Office 210 may act as a redistributor by

extending a "chain of handling and control" to its employees. The office 210 may add or modify "rules and controls" (consistent with the "rules and controls" it receives from publishing house 214) to provide office-internal control information and mechanisms. For  
5 example, office 210 may set a maximum usage budget for each individual user and/or group within the office, or it may permit only specified employees and/or groups to access certain information.

10 Figure 1 also shows an information delivery service 216 delivering electronic storage media such as "CD ROM" disks to consumers 206. Even though the electronic storage media themselves are not delivered electronically by information utility  
200 over lines 202, they are still part of the virtual distribution  
15 environment 100. The electronic storage media may be used to distribute content, "rules and controls," or other information.

#### **Example of What's Inside Information Utility 200**

"Information utility" 200 in Figure 1 can be a collection of  
20 participants that may act as distributors, financial clearinghouses, and administrators. Figure 1A shows an example of what may be inside one example of information utility

200. Information utility participants 200a-200g could each be an independent organization/business. There can be any number of each of participants 200a-200g. In this example, electronic “switch” 200a connects internal parts of information utility 200 to  
5 each other and to outside participants, and may also connect outside participants to one another.

Information utility 200 may include a “transaction processor” 200b that processes transactions (to transfer  
10 electronic funds, for example) based on requests from participants and/or report receiver 200e. It may also include a “usage analyst” 200c that analyzes reported usage information. A “report creator” 200d may create reports based on usage for example, and may provide these reports to outside participants  
15 and/or to participants within information utility 200. A “report receiver” 200e may receive reports such as usage reports from content users. A “permissioning agent” 200f may distribute “rules and controls” granting usage or distribution permissions based on a profile of a consumer’s credit worthiness, for example.  
20 An administrator 200h may provide information that keeps the virtual distribution environment 100 operating properly. A

content and message storage 200g may store information for use  
by participants within or outside of information utility 200.

5 **Example of Distributing Content” Using A Chain of Handling  
and Control”**

As explained above, virtual distribution environment 100  
can be used to manage almost any sort of transaction. One type  
of important transaction that virtual distribution environment  
10 100 may be used to manage is the distribution or communication  
of “content” or other important information. Figure 2 more  
abstractly shows a “model” of how the Figure 1 virtual  
distribution environment 100 may be used to provide a “chain of  
handling and control” for distributing content. Each of the blocks  
15 in Figure 2 may correspond to one or more of the VDE  
participants shown in Figure 1.

In the Figure 2 example, a VDE content creator 102  
creates “content.” The content creator 102 may also specify  
20 “rules and controls” for distributing the content. These  
distribution-related “rules and controls” can specify who has  
permission to distribute the rights to use content, and how many  
users are allowed to use the content.



Arrow 104 shows the content creator 102 sending the “rules and controls” associated with the content to a VDE rights distributor 106 (“distributor”) over an electronic highway 108 (or by some other path such as an optical disk sent by a delivery service such as U. S. mail). The content can be distributed over the same or different path used to send the “rules and controls.” The distributor 106 generates her own “rules and controls” that relate to usage of the content. The usage-related “rules and controls” may, for example, specify what a user can and can’t do with the content and how much it costs to use the content. These usage-related “rules and controls” must be consistent with the “rules and controls” specified by content creator 102.

Arrow 110 shows the distributor 106 distributing rights to use the content by sending the content’s “rules and controls” to a content user 112 such as a consumer. The content user 112 uses the content in accordance with the usage-related “rules and controls.”

In this Figure 2 example, information relating to content use is, as shown by arrow 114, reported to a financial clearinghouse 116. Based on this “reporting,” the financial

clearinghouse 116 may generate a bill and send it to the content user 112 over a "reports and payments" network 118. Arrow 120 shows the content user 112 providing payments for content usage to the financial clearinghouse 116. Based on the reports and payments it receives, the financial clearinghouse 116 may provide reports and/or payments to the distributor 106. The distributor 106 may, as shown by arrow 122, provide reports and/or payments to the content creator 102. The clearinghouse 116 may provide reports and payments directly to the creator 102. Reporting and/or payments may be done differently. For example, clearinghouse 116 may directly or through an agent, provide reports and/or payments to each of VDE content creators 102, and rights distributor 106, as well as reports to content user 112.

15

The distributor 106 and the content creator 102 may be the same person, or they may be different people. For example, a musical performing group may act as both content creator 102 and distributor 106 by creating and distributing its own musical recordings. As another example, a publishing house may act as a distributor 106 to distribute rights to use works created by an author content creator 102. Content creators 102 may use a

20

distributor 106 to efficiently manage the financial end of content distribution.

5 The "financial clearinghouse" 116 shown in Figure 2 may also be a "VDE administrator." Financial clearinghouse 116 in its VDE administrator role sends "administrative" information to the VDE participants. This administrative information helps to keep the virtual distribution environment 100 operating properly. The "VDE administrator" and financial clearinghouse  
10 roles may be performed by different people or companies, and there can be more than one of each.

#### **More about Rules and Controls"**

15 The virtual distribution environment 100 prevents use of protected information except as permitted by the "rules and controls" (control information). For example, the "rules and controls" shown in Figure 2 may grant specific individuals or classes of content users 112 "permission" to use certain content. They may specify what kinds of content usage are permitted, and  
20 what kinds are not. They may specify how content usage is to be paid for and how much it costs. As another example, "rules and

controls” may require content usage information to be reported back to the distributor 106 and/or content creator 102.

5           Every VDE participant in “chain of handling and control” is normally subject to “rules and controls.” “Rules and controls” define the respective rights and obligations of each of the various VDE participants. “Rules and controls” provide information and mechanisms that may establish interdependencies and relationships between the participants. “Rules and controls” are flexible, and permit “virtual distribution environment” 100 to support most “traditional” business transactions. For example:

10           C     “Rules and controls” may specify which financial clearinghouse(s) 116 may process payments,

              C     “Rules and controls” may specify which participant(s) receive what kind of usage report, and

15           C     “Rules and controls” may specify that certain information is revealed to certain participants, and that other information is kept secret from them.

20           “Rules and controls” may self limit if and how they may be changed. Often, “rules and controls” specified by one VDE participant cannot be changed by another VDE participant. For

example, a content user 112 generally can't change "rules and controls" specified by a distributor 106 that require the user to pay for content usage at a certain rate. "Rules and controls" may "persist" as they pass through a "chain of handling and control," and may be "inherited" as they are passed down from one VDE participant to the next.

Depending upon their needs, VDE participants can specify that their "rules and controls" can be changed under conditions specified by the same or other "rules and controls." For example, "rules and controls" specified by the content creator 102 may permit the distributor 106 to "mark up" the usage price just as retail stores "mark up" the wholesale price of goods. Figure 2A shows an example in which certain "rules and controls" persist unchanged from content creator 102 to content user 112; other "rules and controls" are modified or deleted by distributor 106; and still other "rules and controls" are added by the distributor.

"Rules and controls" can be used to protect the content user's privacy by limiting the information that is reported to other VDE participants. As one example, "rules and controls" can cause content usage information to be reported anonymously

without revealing content user identity, or it can reveal only certain information to certain participants (for example, information derived from usage) with appropriate permission, if required. This ability to securely control what information is revealed and what VDE participant(s) it is revealed to allows the privacy rights of all VDE participants to be protected.

#### **Rules and Contents" Can Be Separately Delivered**

As mentioned above, virtual distribution environment 100 "associates" content with corresponding "rules and controls," and prevents the content from being used or accessed unless a set of corresponding "rules and controls" is available. The distributor 106 doesn't need to deliver content to control the content's distribution. The preferred embodiment can securely protect content by protecting corresponding, usage enabling "rules and controls" against unauthorized distribution and use.

In some examples, "rules and controls" may travel with the content they apply to. Virtual distribution environment 100 also allows "rules and controls" to be delivered separately from content. Since no one can use or access protected content without "permission" from corresponding "rules and controls," the

distributor 106 can control use of content that has already been (or will in the future be) delivered. "Rules and controls" may be delivered over a path different from the one used for content delivery. "Rules and controls" may also be delivered at some  
5 other time. The content creator 102 might deliver content to content user 112 over the electronic highway 108, or could make the content available to anyone on the highway. Content may be used at the time it is delivered, or it may be stored for later use or reuse.

10

The virtual distribution environment 100 also allows payment and reporting means to be delivered separately. For example, the content user 112 may have a virtual "credit card" that extends credit (up to a certain limit) to pay for usage of any  
15 content. A "credit transaction" can take place at the user's site without requiring any "online" connection or further authorization. This invention can be used to help securely protect the virtual "credit card" against unauthorized use.

## 20 **Rules and Contents" Define Processes**

Figure 3 shows an example of an overall process based on "rules and controls." It includes an "events" process 402, a meter

process 404, a billing process 406, and a budget process 408. Not all of the processes shown in Figure 3 will be used for every set of "rules and controls."

5           The "events process" 402 detects things that happen ("events") and determines which of those "events" need action by the other "processes." The "events" may include, for example, a request to use content or generate a usage permission. Some events may need additional processing, and others may not.

10          Whether an "event" needs more processing depends on the "rules and controls" corresponding to the content. For example, a user who lacks permission will not have her request satisfied ("No Go"). As another example, each user request to turn to a new page of an electronic book may be satisfied ("Go"), but it may not

15          be necessary to meter, bill or budget those requests. A user who has purchased a copy of a novel may be permitted to open and read the novel as many times as she wants to without any further metering, billing or budgeting. In this simple example, the "event process" 402 may request metering, billing and/or

20          budgeting processes the first time the user asks to open the protected novel (so the purchase price can be charged to the user), and treat all later requests to open the same novel as



“insignificant events.” Other content (for example, searching an electronic telephone directory) may require the user to pay a fee for each access.

5           “Meter” process 404 keeps track of events, and may report usage to distributor 106 and/or other appropriate VDE participant(s). Figure 4 shows that process 404 can be based on a number of different factors such as:

- (a) type of usage to charge for,
- 10           (b) what kind of unit to base charges on,
- (c) how much to charge per unit,
- (d) when to report, and
- (e) how to pay.

These factors may be specified by the “rules and controls” that  
15           control the meter process.

Billing process 406 determines how much to charge for events. It records and reports payment information.

20           Budget process 408 limits how much content usage is permitted. For example, budget process 408 may limit the number of times content may be accessed or copied, or it may

limit the number of pages or other amount of content that can be used based on, for example, the number of dollars available in a credit account. Budget process 408 records and reports financial and other transaction information associated with such limits.

5

Content may be supplied to the user once these processes have been successfully performed.

#### **Containers and Objects**

10

Figure 5A shows how the virtual distribution environment 100, in a preferred embodiment, may package information elements (content) into a "container" 302 so the information can't be accessed except as provided by its "rules and controls."

Normally, the container 302 is electronic rather than physical.

15

Electronic container 302 in one example comprises "digital" information having a well defined structure. Container 302 and its contents can be called an "object 300."

20

The Figure 5A example shows items "within" and enclosed by container 302. However, container 302 may "contain" items without those items actually being stored within the container. For example, the container 302 may reference items that are

available elsewhere such as in other containers at remote sites.  
Container 302 may reference items available at different times or  
only during limited times. Some items may be too large to store  
within container 302. Items may, for example, be delivered to the  
5 user in the form of a "live feed" of video at a certain time. Even  
then, the container 302 "contains" the live feed (by reference) in  
this example.

Container 302 may contain information content 304 in  
10 electronic (such as "digital") form. Information content 304 could  
be the text of a novel, a picture, sound such as a musical  
performance or a reading, a movie or other video, computer  
software, or just about any other kind of electronic information  
you can think of. Other types of "objects" 300 (such as  
15 "administrative objects") may contain "administrative" or other  
information instead of or in addition to information content 304.

In the Figure 5A example, container 302 may also contain  
"rules and controls" in the form of:

- 20 (a) a "permissions record" 808;  
(b) "budgets" 308; and  
(c) "other methods" 1000.

Figure 5B gives some additional detail about permissions record 808, budgets 308 and other methods 1000. The “permissions record” 808 specifies the rights associated with the object 300 such as, for example, who can open the container 302, who can use the object’s contents, who can distribute the object, and what other control mechanisms must be active. For example, permissions record 808 may specify a user’s rights to use, distribute and/or administer the container 302 and its content. Permissions record 808 may also specify requirements to be applied by the budgets 308 and “other methods” 1000. Permissions record 808 may also contain security related information such as scrambling and descrambling “keys.”

“Budgets” 308 shown in Figure 5B are a special type of “method” 1000 that may specify, among other things, limitations on usage of information content 304, and how usage will be paid for. Budgets 308 can specify, for example, how much of the total information content 304 can be used and/or copied. The methods 310 may prevent use of more than the amount specified by a specific budget.

“Other methods” 1000 define basic operations used by “rules and controls.” Such “methods” 1000 may include, for example, how usage is to be “metered,” if and how content 304 and other information is to be scrambled and descrambled, and other processes associated with handling and controlling information content 304. For example, methods 1000 may record the identity of anyone who opens the electronic container 302, and can also control how information content is to be charged based on “metering.” Methods 1000 may apply to one or several different information contents 304 and associated containers 302, as well as to all or specific portions of information content 304.

#### **Secure Processing Unit (SPU)**

The “VDE participants” may each have an “electronic appliance.” The appliance may be or contain a computer. The appliances may communicate over the electronic highway 108. Figure 6 shows a secure processing unit (“SPU”) 500 portion of the “electronic appliance” used in this example by each VDE participant. SPU 500 processes information in a secure processing environment 503, and stores important information securely. SPU 500 may be emulated by software operating in a host electronic appliance.

SPU 500 is enclosed within and protected by a "tamper resistant security barrier" 502. Security barrier 502 separates the secure environment 503 from the rest of the world. It prevents information and processes within the secure environment 503 from being observed, interfered with and leaving except under appropriate secure conditions. Barrier 502 also controls external access to secure resources, processes and information within SPU 500. In one example, tamper resistant security barrier 502 is formed by security features such as "encryption," and hardware that detects tampering and/or destroys sensitive information within secure environment 503 when tampering is detected.

SPU 500 in this example is an integrated circuit ("IC") "chip" 504 including "hardware" 506 and "firmware" 508. SPU 500 connects to the rest of the electronic appliance through an "appliance link" 510. SPU "firmware" 508 in this example is "software" such as a "computer program(s)" "embedded" within chip 504. Firmware 508 makes the hardware 506 work. Hardware 506 preferably contains a processor to perform instructions specified by firmware 508. "Hardware" 506 also contains long-term and short-term memories to store information

securely so it can't be tampered with. SPU 500 may also have a protected clock/calendar used for timing events. The SPU hardware 506 in this example may include special purpose electronic circuits that are specially designed to perform certain processes (such as "encryption" and "decryption") rapidly and efficiently.

The particular context in which SPU 500 is being used will determine how much processing capabilities SPU 500 should have. SPU hardware 506, in this example, provides at least enough processing capabilities to support the secure parts of processes shown in Figure 3. In some contexts, the functions of SPU 500 may be increased so the SPU can perform all the electronic appliance processing, and can be incorporated into a general purpose processor. In other contexts, SPU 500 may work alongside a general purpose processor, and therefore only needs to have enough processing capabilities to handle secure processes.

**VDE Electronic Appliance and Rights Operating System"**

Figure 7 shows an example of an electronic appliance 600 including SPU 500. Electronic appliance 600 may be practically any kind of electrical or electronic device, such as:

5

- C a computer
- C a T.V. "set top" control box
- C a pager
- C a telephone
- 10 C a sound system
- C a video reproduction system
- C a video game player
- C a "smart" credit card

15

Electronic appliance 600 in this example may include a keyboard or keypad 612, a voice recognizer 613, and a display 614. A human user can input commands through keyboard 612 and/or voice recognizer 613, and may view information on display 614. Appliance 600 may communicate with the outside world through  
20 any of the connections/devices normally used within an electronic appliance. The connections/devices shown along the bottom of the drawing are examples:



- a "modem" 618 or other telecommunications link;
- a CD ROM disk 620 or other storage medium or device;
- a printer 622;
- broadcast reception 624;
- 5 a document scanner 626; and
- a "cable" 628 connecting the appliance with a "network."

Virtual distribution environment 100 provides a "rights operating system" 602 that manages appliance 600 and SPU 500  
10 by controlling their hardware resources. The operating system 602 may also support at least one "application" 608. Generally, "application" 608 is hardware and/or software specific to the context of appliance 600. For example, if appliance 600 is a personal computer, then "application" 608 could be a program  
15 loaded by the user, for instance, a word processor, a communications system or a sound recorder. If appliance 600 is a television controller box, then application 608 might be hardware or software that allows a user to order videos on demand and perform other functions such as fast forward and rewind. In this  
20 example, operating system 602 provides a standardized, well defined, generalized "interface" that could support and work with many different "applications" 608.

Operating system 602 in this example provides “rights and auditing operating system functions” 604 and “other operating system functions” 606. The “rights and auditing operating system functions” 604 securely handle tasks that relate to virtual  
5 distribution environment 100. SPU 500 provides or supports many of the security functions of the “rights and auditing operating system functions” 402. The “other operating system functions” 606 handle general appliance functions. Overall operating system 602 may be designed from the beginning to  
10 include the “rights and auditing operating system functions” 604 plus the “other operating system functions” 606, or the “rights and auditing operating system functions” may be an add-on to a preexisting operating system providing the “other operating system functions.”

15

“Rights operating system” 602 in this example can work with many different types of appliances 600. For example, it can work with large mainframe computers, “minicomputers” and “microcomputers” such as personal computers and portable  
20 computing devices. It can also work in control boxes on the top of television sets, small portable “pagers,” desktop radios, stereo sound systems, telephones, telephone switches, or any other

5 electronic appliance. This ability to work on big appliances as well as little appliances is called "scalable." A "scalable" operating system 602 means that there can be a standardized interface across many different appliances performing a wide variety of tasks.

The "rights operating system functions" 604 are "services-based" in this example. For example, "rights operating system functions" 604 handle summary requests from application 608 rather than requiring the application to always make more detailed "subrequests" or otherwise get involved with the underlying complexities involved in satisfying a summary request. For example, application 608 may simply ask to read specified information; "rights operating system functions" 604 can then decide whether the desired information is VDE-protected content and, if it is, perform processes needed to make the information available. This feature is called "transparency." "Transparency" makes tasks easy for the application 608. "Rights operating system functions" 604 can support applications 608 that "know" nothing about virtual distribution environment 100. Applications 608 that are "aware" of virtual distribution

environment 100 may be able to make more detailed use of virtual distribution environment 100.

5 In this example, "rights operating system functions" 604 are "event driven". Rather than repeatedly examining the state of electronic appliance 600 to determine whether a condition has arisen, the "rights operating system functions" 604 may respond directly to "events" or "happenings" within appliance 600.

10 In this example, some of the services performed by "rights operating system functions" 604 may be extended based on additional "components" delivered to operating system 602. "Rights operating system functions" 604 can collect together and use "components" sent by different participants at different  
15 times. The "components" help to make the operating system 602 "scalable." Some components can change how services work on little appliances versus how they work on big appliances (e.g., multi-user). Other components are designed to work with specific applications or classes of applications (e.g., some types of meters  
20 and some types of budgets).

#### **Electronic Appliance 600**

An electronic appliance 600 provided by the preferred embodiment may, for example, be any electronic apparatus that contains one or more microprocessors and/or microcontrollers and/or other devices which perform logical and/or mathematical calculations. This may include computers; computer terminals; 5 device controllers for use with computers; peripheral devices for use with computers; digital display devices; televisions; video and audio/video projection systems; channel selectors and/or decoders for use with broadcast and/or cable transmissions; remote control 10 devices; video and/or audio recorders; media players including compact disc players, videodisc players and tape players; audio and/or video amplifiers; virtual reality machines; electronic game players; multimedia players; radios; telephones; videophones; facsimile machines; robots; numerically controlled machines 15 including machine tools and the like; and other devices containing one or more microcomputers and/or microcontrollers and/or other CPUs, including those not yet in existence.

Figure 8 shows an example of an electronic appliance 600. 20 This example of electronic appliance 600 includes a system bus 653. In this example, one or more conventional general purpose central processing units ("CPUs") 654 are connected to bus 653.

Bus 653 connects CPU(s) 654 to RAM 656, ROM 658, and I/O controller 660. One or more SPUs 500 may also be connected to system bus 653. System bus 653 may permit SPU(s) 500 to communicate with CPU(s) 654, and also may allow both the  
5 CPU(s) and the SPU(s) to communicate (e.g., over shared address and data lines) with RAM 656, ROM 658 and I/O controller 660. A power supply 659 may provide power to SPU 500, CPU 654 and the other system components shown.

10 In the example shown, I/O controller 660 is connected to secondary storage device 652, a keyboard/display 612,614, a communications controller 666, and a backup storage device 668. Backup storage device 668 may, for example, store information on mass media such as a tape 670, a floppy disk, a removable  
15 memory card, etc. Communications controller 666 may allow electronic appliance 600 to communicate with other electronic appliances via network 672 or other telecommunications links. Different electronic appliances 600 may interoperate even if they use different CPUs and different instances of ROS 602, so long as  
20 they typically use compatible communication protocols and/or security methods. In this example, I/O controller 660 permits CPU 654 and SPU 500 to read from and write to secondary

storage 662, keyboard/display 612, 614, communications controller 666, and backup storage device 668.

5 Secondary storage 662 may comprise the same one or more non-secure secondary storage devices (such as a magnetic disk and a CD-ROM drive as one example) that electronic appliance 600 uses for general secondary storage functions. In some implementations, part or all of secondary storage 652 may comprise a secondary storage device(s) that is physically enclosed  
10 within a secure enclosure. However, since it may not be practical or cost-effective to physically secure secondary storage 652 in many implementations, secondary storage 652 may be used to store information in a secure manner by encrypting information before storing it in secondary storage 652. If information is  
15 encrypted before it is stored, physical access to secondary storage 652 or its contents does not readily reveal or compromise the information.

20 Secondary storage 652 in this example stores code and data used by CPU 654 and/or SPU 500 to control the overall operation of electronic appliance 600. For example, Figure 8 shows that "Rights Operating System" ("ROS") 602 (including a

portion 604 of ROS that provides VDE functions and a portion  
606 that provides other OS functions) shown in Figure 7 may be  
stored on secondary storage 652. Secondary storage 652 may  
also store one or more VDE objects 300. Figure 8 also shows that  
5 the secure files 610 shown in Figure 7 may be stored on  
secondary storage 652 in the form of a "secure database" or  
management file system 610. This secure database 610 may  
store and organize information used by ROS 602 to perform VDE  
functions 604. Thus, the code that is executed to perform VDE  
10 and other OS functions 604, 606, and secure files 610 (as well as  
VDE objects 300) associated with those functions may be stored  
in secondary storage 652. Secondary storage 652 may also store  
"other information" 673 such as, for example, information used by  
other operating system functions 606 for task management, non-  
15 VDE files, etc. Portions of the elements indicated in secondary  
storage 652 may also be stored in ROM 658, so long as those  
elements do not require changes (except when ROM 658 is  
replaced). Portions of ROS 602 in particular may desirably be  
included in ROM 658 (e.g., "bootstrap" routines, POST routines,  
20 etc. for use in establishing an operating environment for  
electronic appliance 600 when power is applied).



Figure 8 shows that secondary storage 652 may also be used to store code ("application programs") providing user application(s) 608 shown in Figure 7. Figure 8 shows that there may be two general types of application programs 608: "VDE aware" applications 608a, and Non-VDE aware applications 608b. VDE aware applications 608a may have been at least in part designed specifically with VDE 100 in mind to access and take detailed advantage of VDE functions 604. Because of the "transparency" features of ROS 602, non-VDE aware applications 608b (e.g., applications not specifically designed for VDE 100) can also access and take advantage of VDE functions 604.

#### **SECURE PROCESSING UNIT 500**

Each VDE node or other electronic appliance 600 in the preferred embodiment may include one or more SPUs 500. SPUs 500 may be used to perform all secure processing for VDE 100. For example, SPU 500 is used for decrypting (or otherwise unsecuring) VDE protected objects 300. It is also used for managing encrypted and/or otherwise secured communication (such as by employing authentication and/or error-correction validation of information). SPU 500 may also perform secure data management processes including governing usage of,

auditing of, and where appropriate, payment for VDE objects 300  
(through the use of prepayments, credits, real-time electronic  
debits from bank accounts and/or VDE node currency token  
deposit accounts). SPU 500 may perform other transactions  
5 related to such VDE objects 300.

#### SPU Physical Packaging and Security Barrier 502

As shown Figure 6, in the preferred embodiment, an SPU  
500 may be implemented as a single integrated circuit "chip" 505  
10 to provide a secure processing environment in which confidential  
and/or commercially valuable information can be safely  
processed, encrypted and/or decrypted. IC chip 505 may, for  
example, comprise a small semiconductor "die" about the size of a  
thumbnail. This semiconductor die may include semiconductor  
15 and metal conductive pathways. These pathways define the  
circuitry, and thus the functionality, of SPU 500. Some of these  
pathways are electrically connected to the external "pins" 504 of  
the chip 505.

20 As shown in Figures 6 and 9, SPU 500 may be surrounded  
by a tamper-resistant hardware security barrier 502. Part of this  
security barrier 502 is formed by a plastic or other package in

which an SPU "die" is encased. Because the processing occurring within, and information stored by, SPU 500 are not easily accessible to the outside world, they are relatively secure from unauthorized access and tampering. All signals cross barrier 502 through a secure, controlled path provided by BIU 530 that restricts the outside world's access to the internal components within SPU 500. This secure, controlled path resists attempts from the outside world to access secret information and resources within SPU 500.

10

It is possible to remove the plastic package of an IC chip and gain access to the "die." It is also possible to analyze and "reverse engineer" the "die" itself (e.g., using various types of logic analyzers and microprobes to collect and analyze signals on the die while the circuitry is operating, using acid etching or other techniques to remove semiconductor layers to expose other layers, viewing and photographing the die using an electron microscope, etc.) Although no system or circuit is absolutely impervious to such attacks, SPU barrier 502 may include additional hardware protections that make successful attacks exceedingly costly and time consuming. For example, ion implantation and/or other fabrication techniques may be used to

20

make it very difficult to visually discern SPU die conductive pathways, and SPU internal circuitry may be fabricated in such a way that it "self-destructs" when exposed to air and/or light. SPU 500 may store secret information in internal memory that loses its contents when power is lost. Circuitry may be incorporated within SPU 500 that detects microprobing or other tampering, and self-destructs (or destroys other parts of the SPU) when tampering is detected. These and other hardware-based physical security techniques contribute to tamper-resistant hardware security barrier 502.

To increase the security of security barrier 502 even further, it is possible to encase or include SPU 500 in one or more further physical enclosures such as, for example: epoxy or other "potting compound"; further module enclosures including additional self-destruct, self-disabling or other features activated when tampering is detected; further modules providing additional security protections such as requiring password or other authentication to operate; and the like. In addition, further layers of metal may be added to the die to complicate acid etching, micro probing, and the like; circuitry designed to "zeroize" memory may be included as an aspect of self-destruct

processes; the plastic package itself may be designed to resist chemical as well as physical "attacks"; and memories internal to SPU 500 may have specialized addressing and refresh circuitry that "shuffles" the location of bits to complicate efforts to electrically determine the value of memory locations. These and other techniques may contribute to the security of barrier 502.

In some electronic appliances 600, SPU 500 may be integrated together with the device microcontroller or equivalent or with a device I/O or communications microcontroller into a common chip (or chip set) 505. For example, in one preferred embodiment, SPU 500 may be integrated together with one or more other CPU(s) (e.g., a CPU 654 of an electronic appliance) in a single component or package. The other CPU(s) 654 may be any centrally controlling logic arrangement, such as for example, a microprocessor, other microcontroller, and/or array or other parallel processor. This integrated configuration may result in lower overall cost, smaller overall size, and potentially faster interaction between an SPU 500 and a CPU 654. Integration may also provide wider distribution if an integrated SPU/CPU component is a standard feature of a widely distributed microprocessor line. Merging an SPU 500 into a main CPU 654

of an electronic appliance 600 (or into another appliance or  
appliance peripheral microcomputer or other microcontroller)  
may substantially reduce the overhead cost of implementing VDE  
100. Integration considerations may include cost of  
5 implementation, cost of manufacture, desired degree of security,  
and value of compactness.

SPU 500 may also be integrated with devices other than  
CPUs. For example, for video and multimedia applications, some  
10 performance and/or security advantages (depending on overall  
design) could result from integrating an SPU 500 into a video  
controller chip or chipset. SPU 500 can also be integrated  
directly into a network communications chip or chipset or the  
like. Certain performance advantages in high speed  
15 communications applications may also result from integrating an  
SPU 500 with a modem chip or chipset. This may facilitate  
incorporation of an SPU 500 into communication appliances such  
as stand-alone fax machines. SPU 500 may also be integrated  
into other peripheral devices, such as CD-ROM devices, set-top  
20 cable devices, game devices, and a wide variety of other electronic  
appliances that use, allow access to, perform transactions related  
to, or consume, distributed information.

### **SPU 500 Internal Architecture**

Figure 9 is a detailed diagram of the internal structure within an example of SPU 500. SPU 500 in this example includes a single microprocessor 520 and a limited amount of memory configured as ROM 532 and RAM 534. In more detail, this example of SPU 500 includes microprocessor 520, an encrypt/decrypt engine 522, a DMA controller 526, a real-time clock 528, a bus interface unit ("BIU") 530, a read only memory (ROM) 532, a random access memory (RAM) 534, and a memory management unit ("MMU") 540. DMA controller 526 and MMU 540 are optional, but the performance of SPU 500 may suffer if they are not present. SPU 500 may also include an optional pattern matching engine 524, an optional random number generator 542, an optional arithmetic accelerator circuit 544, and optional compression/decompression circuit 546. A shared address/data bus arrangement 536 may transfer information between these various components under control of microprocessor 520 and/or DMA controller 526. Additional or alternate dedicated paths 538 may connect microprocessor 520 to the other components (e.g., encrypt/decrypt engine 522 via line 538a, real-time clock 528 via line 538b, bus interface unit 530 via

line 538c, DMA controller via line 538d, and memory management unit (MMU) 540 via line 538e).

The following section discusses each of these SPU components in more detail.

#### **Microprocessor 520**

Microprocessor 520 is the "brain" of SPU 500. In this example, it executes a sequence of steps specified by code stored (at least temporarily) within ROM 532 and/or RAM 534.

Microprocessor 520 in the preferred embodiment comprises a dedicated central processing arrangement (e.g., a RISC and/or CISC processor unit, a microcontroller, and/or other central processing means or, less desirably in most applications, process specific dedicated control logic) for executing instructions stored in the ROM 532 and/or other memory. Microprocessor 520 may be separate elements of a circuitry layout, or may be separate packages within a secure SPU 500.

In the preferred embodiment, microprocessor 520 normally handles the most security sensitive aspects of the operation of electronic appliance 600. For example, microprocessor 520 may



manage VDE decrypting, encrypting, certain content and/or appliance usage control information, keeping track of usage of VDE secured content, and other VDE usage control related functions.

5

Stored in each SPU 500 and/or electronic appliance secondary memory 652 may be, for example, an instance of ROS 602 software, application programs 608, objects 300 containing VDE controlled property content and related information, and management database 610 that stores both information associated with objects and VDE control information. ROS 602 includes software intended for execution by SPU microprocessor 520 for, in part, controlling usage of VDE related objects 300 by electronic appliance 600. As will be explained, these SPU programs include "load modules" for performing basic control functions. These various programs and associated data are executed and manipulated primarily by microprocessor 520.

10

15

#### **Real Time Clock (RTC) 528**

20

In the preferred embodiment, SPU 500 includes a real time clock circuit ("RTC") 528 that serves as a reliable, tamper resistant time base for the SPU. RTC 528 keeps track of time of

day and date (e.g., month, day and year) in the preferred embodiment, and thus may comprise a combination calendar and clock. A reliable time base is important for implementing time based usage metering methods, "time aged decryption keys," and other time based SPU functions.

The RTC 528 must receive power in order to operate. Optimally, the RTC 528 power source could comprise a small battery located within SPU 500 or other secure enclosure. However, the RTC 528 may employ a power source such as an externally located battery that is external to the SPU 500. Such an externally located battery may provide relatively uninterrupted power to RTC 528, and may also maintain as non-volatile at least a portion of the otherwise volatile RAM 534 within SPU 500.

In one implementation, electronic appliance power supply 659 is also used to power SPU 500. Using any external power supply as the only power source for RTC 528 may significantly reduce the usefulness of time based security techniques unless, at minimum, SPU 500 recognizes any interruption (or any material interruption) of the supply of external power, records such

interruption, and responds as may be appropriate such as disabling the ability of the SPU 500 to perform certain or all VDE processes. Recognizing a power interruption may, for example, be accomplished by employing a circuit which is activated by power failure. The power failure sensing circuit may power another circuit that includes associated logic for recording one or more power fail events. Capacitor discharge circuitry may provide the necessary temporary power to operate this logic. In addition or alternatively, SPU 500 may from time to time compare an output of RTC 528 to a clock output of a host electronic appliance 600, if available. In the event a discrepancy is detected, SPU 500 may respond as appropriate, including recording the discrepancy and/or disabling at least some portion of processes performed by SPU 500 under at least some circumstances.

If a power failure and/or RTC 528 discrepancy and/or other event indicates the possibility of tampering, SPU 500 may automatically destroy, or render inaccessible without privileged intervention, one or more portions of sensitive information it stores, such as execution related information and/or encryption key related information. To provide further SPU operation, such

5 destroyed information would have to be replaced by a VDE  
clearinghouse, administrator and/or distributor, as may be  
appropriate. This may be achieved by remotely downloading  
update and/or replacement data and/or code. In the event of a  
10 disabling and/or destruction of processes and/or information as  
described above, the electronic appliance 600 may require a  
secure VDE communication with an administrator,  
clearinghouse, and/or distributor as appropriate in order to  
reinitialize the RTC 528. Some or all secure SPU 500 processes  
15 may not operate until then.

It may be desirable to provide a mechanism for setting  
and/or synchronizing RTC 528. In the preferred embodiment,  
when communication occurs between VDE electronic appliance  
600 and another VDE appliance, an output of RTC 528 may be  
15 compared to a controlled RTC 528 output time under control of  
the party authorized to be "senior" and controlling. In the event  
of a discrepancy, appropriate action may be taken, including  
resetting the RTC 528 of the "junior" controlled participant in the  
communication.

20

**SPU Encrypt/Decrypt Engine 522**

In the preferred embodiment, SPU encrypt/decrypt engine 522 provides special purpose hardware (e.g., a hardware state machine) for rapidly and efficiently encrypting and/or decrypting data. In some implementations, the encrypt/decrypt functions  
5 may be performed instead by microprocessor 520 under software control, but providing special purpose encrypt/decrypt hardware engine 522 will, in general, provide increased performance. Microprocessor 520 may, if desired, comprise a combination of processor circuitry and dedicated encryption/decryption logic that  
10 may be integrated together in the same circuitry layout so as to, for example, optimally share one or more circuit elements.

Generally, it is preferable that a computationally efficient but highly secure "bulk" encryption/decryption technique should  
15 be used to protect most of the data and objects handled by SPU 500. It is preferable that an extremely secure encryption/decryption technique be used as an aspect of authenticating the identity of electronic appliances 600 that are establishing a communication channel and securing any  
20 transferred permission, method, and administrative information. In the preferred embodiment, the encrypt/decrypt engine 522 includes both a symmetric key encryption/decryption circuit (e.g.

DES, Skipjack/Clipper, IDEA, RC-2, RC-4, etc.) and an antisymmetric (asymmetric) or Public Key ("PK") encryption/decryption circuit. The public/private key encryption/decryption circuit is used principally as an aspect of secure communications between an SPU 500 and VDE administrators, or other electronic appliances 600, that is between VDE secure subsystems. A symmetric encryption/decryption circuit may be used for "bulk" encrypting and decrypting most data stored in secondary storage 662 of electronic appliance 600 in which SPU 500 resides. The symmetric key encryption/decryption circuit may also be used for encrypting and decrypting content stored within VDE objects 300.

DES or public/private key methods may be used for all encryption functions. In alternate embodiments, encryption and decryption methods other than the DES and public/private key methods could be used for the various encryption related functions. For instance, other types of symmetric encryption/decryption techniques in which the same key is used for encryption and decryption could be used in place of DES encryption and decryption. The preferred embodiment can

support a plurality of decryption/encryption techniques using multiple dedicated circuits within encrypt/decrypt engine 522 and/or the processing arrangement within SPU 500.

5                   **Pattern Matching Engine 524**

Optional pattern matching engine 524 may provide special purpose hardware for performing pattern matching functions.

One of the functions SPU 500 may perform is to validate/authenticate VDE objects 300 and other items.

10           Validation/authentication often involves comparing long data strings to determine whether they compare in a predetermined way. In addition, certain forms of usage (such as logical and/or physical (contiguous) relatedness of accessed elements) may require searching potentially long strings of data for certain bit

15           patterns or other significant pattern related metrics. Although pattern matching can be performed by SPU microprocessor 520 under software control, providing special purpose hardware pattern matching engine 524 may speed up the pattern matching process.

20

**Compression/Decompression Engine 546**

An optional compression/decompression engine 546 may be provided within an SPU 500 to, for example, compress and/or decompress content stored in, or released from, VDE objects 300. Compression/decompression engine 546 may implement one or more compression algorithms using hardware circuitry to improve the performance of compression/decompression operations that would otherwise be performed by software operating on microprocessor 520, or outside SPU 500. Decompression is important in the release of data such as video and audio that is usually compressed before distribution and whose decompression speed is important. In some cases, information that is useful for usage monitoring purposes (such as record separators or other delimiters) is "hidden" under a compression layer that must be removed before this information can be detected and used inside SPU 500.

#### **Random Number Generator 542**

Optional random number generator 542 may provide specialized hardware circuitry for generating random values (e.g., from inherently unpredictable physical processes such as quantum noise). Such random values are particularly useful for constructing encryption keys or unique identifiers, and for



initializing the generation of pseudo-random sequences. Random number generator 542 may produce values of any convenient length, including as small as a single bit per use. A random number of arbitrary size may be constructed by concatenating values produced by random number generator 542. A cryptographically strong pseudo-random sequence may be generated from a random key and seed generated with random number generator 542 and repeated encryption either with the encrypt/decrypt engine 522 or cryptographic algorithms in SPU 500. Such sequences may be used, for example, in private headers to frustrate efforts to determine an encryption key through cryptanalysis.

#### **Arithmetic Accelerator 544**

An optional arithmetic accelerator 544 may be provided within an SPU 500 in the form of hardware circuitry that can rapidly perform mathematical calculations such as multiplication and exponentiation involving large numbers. These calculations can, for example, be requested by microprocessor 520 or encrypt/decrypt engine 522, to assist in the computations required for certain asymmetric encryption/decryption operations. Such arithmetic accelerators are well-known to those

skilled in the art. In some implementations, a separate arithmetic accelerator 544 may be omitted and any necessary calculations may be performed by microprocessor 520 under software control.

5

#### **DMA Controller 526**

DMA controller 526 controls information transfers over address/data bus 536 without requiring microprocessor 520 to process each individual data transfer. Typically, microprocessor 520 may write to DMA controller 526 target and destination addresses and the number of bytes to transfer, and DMA controller 526 may then automatically transfer a block of data between components of SPU 500 (e.g., from ROM 532 to RAM 534, between encrypt/decrypt engine 522 and RAM 534, between bus interface unit 530 and RAM 534, etc.). DMA controller 526 may have multiple channels to handle multiple transfers simultaneously. In some implementations, a separate DMA controller 526 may be omitted, and any necessary data movements may be performed by microprocessor 520 under software control.

10

15

20

#### **Bus Interface Unit (BIU) 530**

Bus interface unit (BIU) 530 communicates information between SPU 500 and the outside world across the security barrier 502. BIU 530 shown in Figure 9 plus appropriate driver software may comprise the "appliance link" 510 shown in Figure 6. Bus interface unit 530 may be modelled after a USART or PCI bus interface in the preferred embodiment. In this example, BIU 530 connects SPU 500 to electronic appliance system bus 653 shown in Figure 8. BIU 530 is designed to prevent unauthorized access to internal components within SPU 500 and their contents. It does this by only allowing signals associated with an SPU 500 to be processed by control programs running on microprocessor 520 and not supporting direct access to the internal elements of an SPU 500.

#### 15 **Memory Management Unit 540**

Memory Management Unit (MMU) 540, if present, provides hardware support for memory management and virtual memory management functions. It may also provide heightened security by enforcing hardware compartmentalization of the secure execution space (e.g., to prevent a less trusted task from modifying a more trusted task). More details are provided below

in connection with a discussion of the architecture of a Secure Processing Environment ("SPE") 503 supported by SPU 500.

MMU 540 may also provide hardware-level support  
5 functions related to memory management such as, for example,  
address mapping.

#### **SPU Memory Architecture**

In the preferred embodiment, SPU 500 uses three general  
10 kinds of memory:

- (1) internal ROM 532;
- (2) internal RAM 534; and
- (3) external memory (typically RAM and/or disk supplied

by a host electronic appliance).

15

The internal ROM 532 and RAM 534 within SPU 500  
provide a secure operating environment and execution space.  
Because of cost limitations, chip fabrication size, complexity and  
other limitations, it may not be possible to provide sufficient  
20 memory within SPU 500 to store all information that an SPU  
needs to process in a secure manner. Due to the practical limits  
on the amount of ROM 532 and RAM 534 that may be included

within SPU 500, SPU 500 may store information in memory external to it, and move this information into and out of its secure internal memory space on an as needed basis. In these cases, secure processing steps performed by an SPU typically

5 must be segmented into small, securely packaged elements that may be "paged in" and "paged out" of the limited available internal memory space. Memory external to an SPU 500 may not be secure. Since the external memory may not be secure, SPU 500 may encrypt and cryptographically seal code and other

10 information before storing it in external memory. Similarly, SPU 500 must typically decrypt code and other information obtained from external memory in encrypted form before processing (e.g., executing) based on it. In the preferred embodiment, there are two general approaches used to address potential memory

15 limitations in a SPU 500. In the first case, the small, securely packaged elements represent information contained in secure database 610. In the second case, such elements may represent protected (e.g., encrypted) virtual memory pages. Although virtual memory pages may correspond to information elements

20 stored in secure database 610, this is not required in this example of a SPU memory architecture.

The following is a more detailed discussion of each of these three SPU memory resources.

### **SPU Internal ROM**

5 SPU 500 read only memory (ROM) 532 or comparable purpose device provides secure internal non-volatile storage for certain programs and other information. For example, ROM 532 may store "kernel" programs such as SPU control firmware 508 and, if desired, encryption key information and certain  
10 fundamental "load modules." The "kernel" programs, load module information, and encryption key information enable the control of certain basic functions of the SPU 500. Those components that are at least in part dependent on device configuration (e.g., POST, memory allocation, and a dispatcher)  
15 may be loaded in ROM 532 along with additional load modules that have been determined to be required for specific installations or applications.

In the preferred embodiment, ROM 532 may comprise a  
20 combination of a masked ROM 532a and an EEPROM and/or equivalent "flash" memory 532b. EEPROM or flash memory 532b is used to store items that need to be updated and/or

initialized, such as for example, certain encryption keys. An additional benefit of providing EEPROM and/or flash memory 532b is the ability to optimize any load modules and library functions persistently stored within SPU 500 based on typical  
5 usage at a specific site. Although these items could also be stored in NVRAM 534b, EEPROM and/or flash memory 532b may be more cost effective.

Masked ROM 532a may cost less than flash and/or  
10 EEPROM 532b, and can be used to store permanent portions of SPU software/firmware. Such permanent portions may include, for example, code that interfaces to hardware elements such as the RTC 528, encryption/decryption engine 522, interrupt  
15 handlers, key generators, etc. Some of the operating system, library calls, libraries, and many of the core services provided by SPU 500 may also be in masked ROM 532a. In addition, some of the more commonly used executables are also good candidates for  
inclusion in masked ROM 532a. Items that need to be updated or that need to disappear when power is removed from SPU 500  
20 should not be stored in masked ROM 532a.

Under some circumstances, RAM 534a and/or NVRAM 534b (NVRAM 534b may, for example, be constantly powered conventional RAM) may perform at least part of the role of ROM 532.

5

#### **SPU Internal RAM**

SPU 500 general purpose RAM 534 provides, among other things, secure execution space for secure processes. In the preferred embodiment, RAM 534 is comprised of different types of RAM such as a combination of high-speed RAM 534a and an NVRAM ("non-volatile RAM") 534b. RAM 534a may be volatile, while NVRAM 534b is preferably battery backed or otherwise arranged so as to be non-volatile (i.e., it does not lose its contents when power is turned off).

10  
15

High-speed RAM 534a stores active code to be executed and associated data structures.

20

NVRAM 534b preferably contains certain keys and summary values that are preloaded as part of an initialization process in which SPU 500 communicates with a VDE administrator, and may also store changeable or changing



information associated with the operation of SPU 500. For security reasons, certain highly sensitive information (e.g., certain load modules and certain encryption key related information such as internally generated private keys) needs to be loaded into or generated internally by SPU 500 from time to time but, once loaded or generated internally, should never leave the SPU. In this preferred embodiment, the SPU 500 non-volatile random access memory (NVRAM) 534b may be used for securely storing such highly sensitive information. NVRAM 534b is also used by SPU 500 to store data that may change frequently but which preferably should not be lost in a power down or power fail mode.

NVRAM 534b is preferably a flash memory array, but may in addition or alternatively be electrically erasable programmable read only memory (EEPROM), static RAM (SRAM), bubble memory, three dimensional holographic or other electro-optical memory, or the like, or any other writable (e.g., randomly accessible) non-volatile memory of sufficient speed and cost-effectiveness.

#### **SPU External Memory**

The SPU 500 can store certain information on memory devices external to the SPU. If available, electronic appliance 600 memory can also be used to support any device external portions of SPU 500 software. Certain advantages may be gained by allowing the SPU 500 to use external memory. As one example, memory internal to SPU 500 may be reduced in size by using non-volatile read/write memory in the host electronic appliance 600 such as a non-volatile portion of RAM 656 and/or ROM 658.

Such external memory may be used to store SPU programs, data and/or other information. For example, a VDE control program may be, at least in part, loaded into the memory and communicated to and decrypted within SPU 500 prior to execution. Such control programs may be re-encrypted and communicated back to external memory where they may be stored for later execution by SPU 500. "Kernel" programs and/or some or all of the non-kernel "load modules" may be stored by SPU 500 in memory external to it. Since a secure database 610 may be relatively large, SPU 500 can store some or all of secure database 610 in external memory and call portions into the SPU 500 as needed.

As mentioned above, memory external to SPU 500 may not be secure. Therefore, when security is required, SPU 500 must encrypt secure information before writing it to external memory, and decrypt secure information read from external memory before using it. Inasmuch as the encryption layer relies on secure processes and information (e.g., encryption algorithms and keys) present within SPU 500, the encryption layer effectively "extends" the SPU security barrier 502 to protect information the SPU 500 stores in memory external to it.

10

SPU 500 can use a wide variety of different types of external memory. For example, external memory may comprise electronic appliance secondary storage 652 such as a disk; external EEPROM or flash memory 658; and/or external RAM 656. External RAM 656 may comprise an external nonvolatile (e.g. constantly powered) RAM and/or cache RAM.

15

Using external RAM local to SPU 500 can significantly improve access times to information stored externally to an SPU. For example, external RAM may be used:

- C to buffer memory image pages and data structures prior to their storage in flash memory or on an external hard disk

20

(assuming transfer to flash or hard disk can occur in significant power or system failure cases);

C provide encryption and decryption buffers for data being released from VDE objects 300.

5 C to cache "swap blocks" and VDE data structures currently in use as an aspect of providing a secure virtual memory environment for SPU 500.

C to cache other information in order to, for example, reduce frequency of access by an SPU to secondary storage 652  
10 and/or for other reasons.

Dual ported external RAM can be particularly effective in improving SPU 500 performance, since it can decrease the data movement overhead of the SPU bus interface unit 530 and SPU microprocessor 520.

15

Using external flash memory local to SPU 500 can be used to significantly improve access times to virtually all data structures. Since most available flash storage devices have limited write lifetimes, flash storage needs to take into account  
20 the number of writes that will occur during the lifetime of the flash memory. Hence, flash storage of frequently written temporary items is not recommended. If external RAM is non-

volatile, then transfer to flash (or hard disk) may not be necessary.

External memory used by SPU 500 may include two  
5 categories:

- C external memory dedicated to SPU 500, and
- C memory shared with electronic appliance 600.

For some VDE implementations, sharing memory (e.g.,  
10 electronic appliance RAM 656, ROM 658 and/or secondary  
storage 652) with CPU 654 or other elements of an electronic  
appliance 600 may be the most cost effective way to store VDE  
secure database management files 610 and information that  
needs to be stored external to SPU 500. A host system hard disk  
15 secondary memory 652 used for general purpose file storage can,  
for example, also be used to store VDE management files 610.  
SPU 500 may be given exclusive access to the external memory  
(e.g., over a local bus high speed connection provided by BIU  
530). Both dedicated and shared external memory may be  
20 provided.

\* \* \* \* \*

The hardware configuration of an example of electronic appliance 600 has been described above. The following section describes an example of the software architecture of electronic appliance 600 provided by the preferred embodiment, including the structure and operation of preferred embodiment "Rights Operating System" ("ROS") 602.

#### **Rights Operating System 602**

Rights Operating System ("ROS") 602 in the preferred embodiment is a compact, secure, event-driven, services-based, "component" oriented, distributed multiprocessing operating system environment that integrates VDE information security control information, components and protocols with traditional operating system concepts. Like traditional operating systems, ROS 602 provided by the preferred embodiment is a piece of software that manages hardware resources of a computer system and extends management functions to input and/or output devices, including communications devices. Also like traditional operating systems, preferred embodiment ROS 602 provides a coherent set of basic functions and abstraction layers for hiding the differences between, and many of the detailed complexities of, particular hardware implementations. In addition to these

characteristics found in many or most operating systems, ROS 602 provides secure VDE transaction management and other advantageous features not found in other operating systems. The following is a non-exhaustive list of some of the advantageous features provided by ROS 602 in the preferred embodiment:

Standardized interface provides coherent set of basic functions

- C simplifies programming
- C the same application can run on many different platforms

10 Event driven

- C eases functional decomposition
- C extendible
- C accommodates state transition and/or process oriented events

15 C simplifies task management

- C simplifies inter-process communications

Services based

- C allows simplified and transparent scalability
- C simplifies multiprocessor support
- 20 C hides machine dependencies
- C eases network management and support

Component Based Architecture

- 5 C processing based on independently deliverable secure components
- C component model of processing control allows different sequential steps that are reconfigurable based on requirements
- C components can be added, deleted or modified (subject to permissioning)
- C full control information over pre-defined and user-defined application events
- 10 C events can be individually controlled with independent executables

Secure

- C secure communications
- C secure control functions
- 15 C secure virtual memory management
- C information control structures protected from exposure
- C data elements are validated, correlated and access controlled
- C components are encrypted and validated independently
- 20 C components are tightly correlated to prevent unauthorized use of elements



- 5 C control structures and secured executables are validated  
prior to use to protect against tampering
- C integrates security considerations at the I/O level
- C provides on-the-fly decryption of information at release  
time
- C enables a secure commercial transaction network
- C flexible key management features

#### Scalaeble

- 10 C highly scalaeble across many different platforms
- C supports concurrent processing in a multiprocessor  
environment
- C supports multiple cooperating processors
- C any number of host or security processors can be supported
- C control structures and kernel are easily portable to various  
15 host platforms and to different processors within a target  
platform without recompilation
- C supports remote processing
- C Remote Procedure Calls may be used for internal OS  
communications

#### 20 Highly Integratable

- C can be highly integrated with host platforms as an  
additional operating system layer

- 5 C permits non-secure storage of secured components and information using an OS layer "on top of" traditional OS platforms
  - 5 C can be seamlessly integrated with a host operating system to provide a common usage paradigm for transaction management and content access
  - 10 C integration may take many forms: operating system layers for desktops (e.g., DOS, Windows, Macintosh); device drivers and operating system interfaces for network services (e.g., Unix and Netware); and dedicated component drivers for "low end" set tops are a few of many examples
  - C can be integrated in traditional and real time operating systems
- Distributed
- 15 C provides distribution of control information and reciprocal control information and mechanisms
  - C supports conditional execution of controlled processes within any VDE node in a distributed, asynchronous arrangement
  - 20 C controlled delegation of rights in a distributed environment
  - C supports chains of handling and control

- C management environment for distributed, occasionally connected but otherwise asynchronous networked database
- C real time and time independent data management
- C supports "agent" processes

5 Transparent

- C can be seamlessly integrated into existing operating systems
- C can support applications not specifically written to use it

Network friendly

- 10
- C internal OS structures may use RPCs to distribute processing
  - C subnets may seamlessly operate as a single node or independently

15 **General Background Regarding Operating Systems**

An "operating system" provides a control mechanism for organizing computer system resources that allows programmers to create applications for computer systems more easily. An operating system does this by providing commonly used

20 functions, and by helping to ensure compatibility between different computer hardware and architectures (which may, for example, be manufactured by different vendors). Operating

systems also enable computer "peripheral device" manufacturers to far more easily supply compatible equipment to computer manufacturers and users.

5           Computer systems are usually made up of several different hardware components. These hardware components include, for example:

a central processing unit (CPU) for executing instructions;

10           an array of main memory cells (e.g., "RAM" or "ROM") for storing instructions for execution and data acted upon or parameterizing those instructions; and

15           one or more secondary storage devices (e.g., hard disk drive, floppy disk drive, CD-ROM drive, tape reader, card reader, or "flash" memory) organized to reflect named elements (a "file system") for storing images of main memory cells.

20           Most computer systems also include input/output devices such as keyboards, mice, video systems, printers, scanners and communications devices.

To organize the CPU's execution capabilities with available RAM, ROM and secondary storage devices, and to provide commonly used functions for use by programmers, a piece of software called an "operating system" is usually included with the other components. Typically, this piece of software is designed to begin executing after power is applied to the computer system and hardware diagnostics are completed. Thereafter, all use of the CPU, main memory and secondary memory devices is normally managed by this "operating system" software. Most computer operating systems also typically include a mechanism for extending their management functions to I/O and other peripheral devices, including commonly used functions associated with these devices.

By managing the CPU, memory and peripheral devices through the operating system, a coherent set of basic functions and abstraction layers for hiding hardware details allows programmers to more easily create sophisticated applications. In addition, managing the computer's hardware resources with an operating system allows many differences in design and equipment requirements between different manufacturers to be hidden. Furthermore, applications can be more easily shared

with other computer users who have the same operating system, with significantly less work to support different manufacturers' base hardware and peripheral devices.

5       **ROS 602 is an Operating System Providing Significant Advantages**

ROS 602 is an "operating system." It manages the resources of electronic appliance 600, and provides a commonly used set of functions for programmers writing applications 608  
10       for the electronic appliance. ROS 602 in the preferred embodiment manages the hardware (e.g., CPU(s), memory(ies), secure RTC(s), and encrypt/decrypt engines) within SPU 500. ROS may also manage the hardware (e.g., CPU(s) and memory(ies)) within one or more general purpose processors  
15       within electronic appliance 600. ROS 602 also manages other electronic appliance hardware resources, such as peripheral devices attached to an electronic appliance. For example, referring to Figure 7, ROS 602 may manage keyboard 612, display 614, modem 618, disk drive 620, printer 622, scanner 624.  
20       ROS 602 may also manage secure database 610 and a storage device (e.g., "secondary storage" 652) used to store secure database 610.

ROS 602 supports multiple processors. ROS 602 in the preferred embodiment supports any number of local and/or remote processors. Supported processors may include at least two types: one or more electronic appliance processors 654, 5 and/or one or more SPUs 500. A host processor CPU 654 may provide storage, database, and communications services. SPU 500 may provide cryptographic and secured process execution services. Diverse control and execution structures supported by ROS 602 may require that processing of control information occur 10 within a controllable execution space -- this controllable execution space may be provided by SPU 500. Additional host and/or SPU processors may increase efficiencies and/or capabilities. ROS 602 may access, coordinate and/or manage further processors remote to an electronic appliance 600 (e.g., via 15 network or other communications link) to provide additional processor resources and/or capabilities.

ROS 602 is services based. The ROS services provided using a host processor 654 and/or a secure processor (SPU 500) 20 are linked in the preferred embodiment using a "Remote Procedure Call" ("RPC") internal processing request structure. Cooperating processors may request interprocess services using a

RPC mechanism, which is minimally time dependent and can be distributed over cooperating processors on a network of hosts. The multi-processor architecture provided by ROS 602 is easily extensible to support any number of host or security processors.

5 This extensibility supports high levels of scalability. Services also allow functions to be implemented differently on different equipment. For example, a small appliance that typically has low levels of usage by one user may implement a database service using very different techniques than a very large appliance with

10 high levels of usage by many users. This is another aspect of scalability.

ROS 602 provides a distributed processing environment.

For example, it permits information and control structures to

15 automatically, securely pass between sites as required to fulfill a user's requests. Communications between VDE nodes under the distributed processing features of ROS 602 may include interprocess service requests as discussed above. ROS 602 supports conditional and/or state dependent execution of

20 controlled processors within any VDE node. The location that the process executes and the control structures used may be



locally resident, remotely accessible, or carried along by the process to support execution on a remote system.

ROS 602 provides distribution of control information, including for example the distribution of control structures required to permit "agents" to operate in remote environments. Thus, ROS 602 provides facilities for passing execution and/or information control as part of emerging requirements for "agent" processes.

10

If desired, ROS 602 may independently distribute control information over very low bandwidth connections that may or may not be "real time" connections. ROS 602 provided by the preferred embodiment is "network friendly," and can be implemented with any level of networking protocol. Some examples include e-mail and direct connection at approximately "Layer 5" of the ISO model.

15

The ROS 602 distribution process (and the associated auditing of distributed information) is a controlled event that itself uses such control structures. This "reflective" distributed processing mechanism permits ROS 602 to securely distribute

20

rights and permissions in a controlled manner, and effectively  
restrict the characteristics of use of information content. The  
controlled delegation of rights in a distributed environment and  
the secure processing techniques used by ROS 602 to support this  
5 approach provide significant advantages.

Certain control mechanisms within ROS 602 are  
"reciprocal." Reciprocal control mechanisms place one or more  
control components at one or more locations that interact with  
10 one or more components at the same or other locations in a  
controlled way. For example, a usage control associated with  
object content at a user's location may have a reciprocal control at  
a distributor's location that governs distribution of the usage  
control, auditing of the usage control, and logic to process user  
15 requests associated with the usage control. A usage control at a  
user's location (in addition to controlling one or more aspects of  
usage) may prepare audits for a distributor and format requests  
associated with the usage control for processing by a distributor.  
Processes at either end of a reciprocal control may be further  
20 controlled by other processes (e.g., a distributor may be limited by  
a budget for the number of usage control mechanisms they may  
produce). Reciprocal control mechanisms may extend over many

sites and many levels (e.g., a creator to a distributor to a user) and may take any relationship into account (e.g., creator/distributor, distributor/user, user/user, user/creator, user/creator/distributor, etc.) Reciprocal control mechanisms have many uses in VDE 100 in representing relationships and agreements in a distributed environment.

ROS 602 is scalable. Many portions of ROS 602 control structures and kernel(s) are easily portable to various host platforms without recompilation. Any control structure may be distributed (or redistributed) if a granting authority permits this type of activity. The executable references within ROS 602 are portable within a target platform. Different instances of ROS 602 may execute the references using different resources. For example, one instance of ROS 602 may perform a task using an SPU 500, while another instance of ROS 602 might perform the same task using a host processing environment running in protected memory that is emulating an SPU in software. ROS 602 control information is similarly portable; in many cases the event processing structures may be passed between machines and host platforms as easily as between cooperative processors in a single computer. Appliances with different levels of usage

and/or resources available for ROS 602 functions may implement those functions in very different ways. Some services may be omitted entirely if insufficient resources exist. As described elsewhere, ROS 602 "knows" what services are available, and  
5 how to proceed based on any given event. Not all events may be processable if resources are missing or inadequate.

ROS 602 is component based. Much of the functionality provided by ROS 602 in the preferred embodiment may be based  
10 on "components" that can be securely, independently deliverable, replaceable and capable of being modified (e.g., under appropriately secure conditions and authorizations). Moreover, the "components" may themselves be made of independently deliverable elements. ROS 602 may assemble these elements  
15 together (using a construct provided by the preferred embodiment called a "channel") at execution time. For example, a "load module" for execution by SPU 500 may reference one or more "method cores," method parameters and other associated data structures that ROS 602 may collect and assemble together  
20 to perform a task such as billing or metering. Different users may have different combinations of elements, and some of the elements may be customizable by users with appropriate

authorization. This increases flexibility, allows elements to be reused, and has other advantages.

5            ROS 602 is highly secure. ROS 602 provides mechanisms  
to protect information control structures from exposure by end  
users and conduit hosts. ROS 602 can protect information, VDE  
control structures and control executables using strong  
encryption and validation mechanisms. These encryption and  
validation mechanisms are designed to make them highly  
10 resistant to undetected tampering. ROS 602 encrypts  
information stored on secondary storage device(s) 652 to inhibit  
tampering. ROS 602 also separately encrypts and validates its  
various components. ROS 602 correlates control and data  
structure components to prevent unauthorized use of elements.  
15 These features permit ROS 602 to independently distribute  
elements, and also allows integration of VDE functions 604 with  
non-secure "other" OS functions 606.

20            ROS 602 provided by the preferred embodiment extends  
conventional capabilities such as, for example, Access Control  
List (ACL) structures, to user and process defined events,  
including state transitions. ROS 602 may provide full control

information over pre-defined and user-defined application events. These control mechanisms include "go/no-go" permissions, and also include optional event-specific executables that permit complete flexibility in the processing and/or controlling of events.

5 This structure permits events to be individually controlled so that, for example, metering and budgeting may be provided using independent executables. For example, ROS 602 extends ACL structures to control arbitrary granularity of information. Traditional operating systems provide static "go-no go" control  
10 mechanisms at a file or resource level; ROS 602 extends the control concept in a general way from the largest to the smallest sub-element using a flexible control structure. ROS 602 can, for example, control the printing of a single paragraph out of a document file.

15

ROS 602 provided by the preferred embodiment permits secure modification and update of control information governing each component. The control information may be provided in a template format such as method options to an end-user. An  
20 end-user may then customize the actual control information used within guidelines provided by a distributor or content creator. Modification and update of existing control structures is

preferably also a controllable event subject to auditing and control information.

5           ROS 602 provided by the preferred embodiment validates control structures and secured executables prior to use. This validation provides assurance that control structures and executables have not been tampered with by end-users. The validation also permits ROS 602 to securely implement components that include fragments of files and other operating system structures. ROS 602 provided by the preferred  
10           embodiment integrates security considerations at the operating system I/O level (which is below the access level), and provides "on-the-fly" decryption of information at release time. These features permit non-secure storage of ROS 602 secured  
15           components and information using an OS layer "on top of" traditional operating system platforms.

ROS 602 is highly integratable with host platforms as an additional operating system layer. Thus, ROS 602 may be  
20           created by "adding on" to existing operating systems. This involves hooking VDE "add ons" to the host operating system at the device driver and network interface levels. Alternatively,

ROS 602 may comprise a wholly new operating system that integrates both VDE functions and other operating system functions.

5           Indeed, there are at least three general approaches to integrating VDE functions into a new operating system, potentially based on an existing operating system, to create a Rights Operating System 602 including:

- 10           (1) Redesign the operating system based on VDE transaction management requirements;
- (2) Compile VDE API functions into an existing operating systems; and
- (3) Integrate a VDE Interpreter into an existing operating system.

15           The first approach could be most effectively applied when a new operating system is being designed, or if a significant upgrade to an existing operating system is planned. The transaction management and security requirements provided by  
20           the VDE functions could be added to the design requirements list for the design of a new operating system that provides, in an optimally efficient manner, an integration of "traditional"



operating system capabilities and VDE capabilities. For example, the engineers responsible for the design of the new version or instance of an operating system would include the requirements of VDE metering/transaction management in addition to other requirements (if any) that they use to form their design approach, specifications, and actual implementations. This approach could lead to a "seamless" integration of VDE functions and capabilities by threading metering/transaction management functionality throughout the system design and implementation.

10

The second approach would involve taking an existing set of API (Application Programmer Interface) functions, and incorporating references in the operating system code to VDE function calls. This is similar to the way that the current Windows operating system is integrated with DOS, wherein DOS serves as both the launch point and as a significant portion of the kernel underpinning of the Windows operating system. This approach would be also provide a high degree of "seamless" integration (although not quite as "seamless" as the first approach). The benefits of this approach include the possibility that the incorporation of metering/transaction management functionality into the new version or instance of an operating

15

20

5 system may be accomplished with lower cost (by making use of  
the existing code embodied in an API, and also using the design  
implications of the API functional approach to influence the  
design of the elements into which the metering/transaction  
management functionality is incorporated).

10 The third approach is distinct from the first two in that it  
does not incorporate VDE functionality associated with  
metering/transaction management and data security directly into  
the operating system code, but instead adds a new generalized  
capability to the operating system for executing  
metering/transaction management functionality. In this case, an  
interpreter including metering/transaction management  
functions would be integrated with other operating system code  
15 in a "stand alone" mode. This interpreter might take scripts or  
other inputs to determine what metering/transaction  
management functions should be performed, and in what order  
and under which circumstances or conditions they should be  
performed.

20

Instead of (or in addition to) integrating VDE functions  
into/with an electronic appliance operating system, it would be

possible to provide certain VDE functionality available as an application running on a conventional operating system.

### ROS Software Architecture

5           Figure 10 is a block diagram of one example of a software structure/architecture for Rights Operating System ("ROS") 602 provided by the preferred embodiment. In this example, ROS 602 includes an operating system ("OS") "core" 679, a user Application Program Interface ("API") 682, a "redirector" 684, an  
10           "intercept" 692, a User Notification/Exception Interface 686, and a file system 687. ROS 602 in this example also includes one or more Host Event Processing Environments ("HPEs") 655 and/or one or more Secure Event Processing Environments ("SPEs") 503 (these environments may be generically referred to as "Protected  
15           Processing Environments" 650).

          HPE(s) 655 and SPE(s) 503 are self-contained computing and processing environments that may include their own operating system kernel 688 including code and data processing  
20           resources. A given electronic appliance 600 may include any number of SPE(s) 503 and/or any number of HPE(s) 655. HPE(s) 655 and SPE(s) 503 may process information in a secure way,

and provide secure processing support for ROS 602. For example, they may each perform secure processing based on one or more VDE component assemblies 690, and they may each offer secure processing services to OS kernel 680.

5

In the preferred embodiment, SPE 503 is a secure processing environment provided at least in part by an SPU 500. Thus, SPU 500 provides the hardware tamper-resistant barrier 503 surrounding SPE 503. SPE 503 provided by the preferred embodiment is preferably:

10

- C small and compact
- C loadable into resource constrained environments such as for example minimally configured SPUs 500
- C dynamically updatable
- C extensible by authorized users
- C integratable into object or procedural environments
- C secure.

15

20

In the preferred embodiment, HPE 655 is a secure processing environment supported by a processor other than an

SPU, such as for example an electronic appliance CPU 654  
general-purpose microprocessor or other processing system or  
device. In the preferred embodiment, HPE 655 may be  
considered to "emulate" an SPU 500 in the sense that it may use  
5 software to provide some or all of the processing resources  
provided in hardware and/or firmware by an SPU. HPE 655 in  
one preferred embodiment of the present invention is full-  
featured and fully compatible with SPE 503—that is, HPE 655  
can handle each and every service call SPE 503 can handle such  
10 that the SPE and the HPE are "plug compatible" from an outside  
interface standpoint (with the exception that the HPE may not  
provide as much security as the SPE).

HPEs 655 may be provided in two types: secure and not  
15 secure. For example, it may be desirable to provide non-secure  
versions of HPE 655 to allow electronic appliance 600 to  
efficiently run non-sensitive VDE tasks using the full resources of  
a fast general purpose processor or computer. Such non-secure  
versions of HPE 655 may run under supervision of an instance of  
20 ROS 602 that also includes an SPE 503. In this way, ROS 602  
may run all secure processes within SPE 503, and only use HPE  
655 for processes that do not require security but that may

require (or run more efficiently) under potentially greater resources provided by a general purpose computer or processor supporting HPE 655. Non-secure and secure HPE 655 may operate together with a secure SPE 503.

5

HPEs 655 may (as shown in Figure 10) be provided with a software-based tamper resistant barrier 674 that makes them more secure. Such a software-based tamper resistant barrier 674 may be created by software executing on general-purpose CPU  
10 654. Such a "secure" HPE 655 can be used by ROS 602 to execute processes that, while still needing security, may not require the degree of security provided by SPU 500. This can be especially beneficial in architectures providing both an SPE 503 and an HPE 655. The SPU 502 may be used to perform all truly  
15 secure processing, whereas one or more HPEs 655 may be used to provide additional secure (albeit possibly less secure than the SPE) processing using host processor or other general purpose resources that may be available within an electronic appliance 600. Any service may be provided by such a secure HPE 655. In  
20 the preferred embodiment, certain aspects of "channel processing" appears to be a candidate that could be readily exported from SPE 503 to HPE 655.

The software-based tamper resistant barrier 674 provided by HPE 655 may be provided, for example, by: introducing time checks and/or code modifications to complicate the process of stepping through code comprising a portion of kernel 688a and/or  
5 a portion of component assemblies 690 using a debugger; using a map of defects on a storage device (e.g., a hard disk, memory card, etc.) to form internal test values to impede moving and/or copying HPE 655 to other electronic appliances 600; using kernel code that contains false branches and other complications in flow  
10 of control to disguise internal processes to some degree from disassembly or other efforts to discover details of processes; using "self-generating" code (based on the output of a co-sine transform, for example) such that detailed and/or complete instruction sequences are not stored explicitly on storage devices and/or in  
15 active memory but rather are generated as needed; using code that "shuffles" memory locations used for data values based on operational parameters to complicate efforts to manipulate such values; using any software and/or hardware memory management resources of electronic appliance 600 to "protect"  
20 the operation of HPE 655 from other processes, functions, etc. Although such a software-based tamper resistant barrier 674 may provide a fair degree of security, it typically will not be as

secure as the hardware-based tamper resistant barrier 502 provided (at least in part) by SPU 500. Because security may be better/more effectively enforced with the assistance of hardware security features such as those provided by SPU 500 (and

5 because of other factors such as increased performance provided by special purpose circuitry within SPU 500), at least one SPE 503 is preferred for many or most higher security applications. However, in applications where lesser security can be tolerated and/or the cost of an SPU 500 cannot be tolerated, the SPE 503

10 may be omitted and all secure processing may instead be performed by one or more secure HPEs 655 executing on general-purpose CPUs 654. Some VDE processes may not be allowed to proceed on reduced-security electronic appliances of this type if insufficient security is provided for the particular

15 process involved.

Only those processes that execute completely within SPEs 503 (and in some cases, HPEs 655) may be considered to be truly secure. Memory and other resources external to SPE 503 and

20 HPEs 655 used to store and/or process code and/or data to be used in secure processes should only receive and handle that information in encrypted form unless SPE 503/HPE 655 can



protect secure process code and/or data from non-secure processes.

OS "core" 679 in the preferred embodiment includes a  
5 kernel 680, an RPC manager 732, and an "object switch" 734.  
API 682, HPE 655 and SPE 503 may communicate "event"  
messages with one another via OS "core" 679. They may also  
communicate messages directly with one another without  
messages going through OS "core" 679.

10

Kernel 680 may manage the hardware of an electronic  
appliance 600. For example, it may provide appropriate drivers  
and hardware managers for interacting with input/output and/or  
peripheral devices such as keyboard 612, display 614, other  
15 devices such as a "mouse" pointing device and speech recognizer  
613, modem 618, printer 622, and an adapter for network 672.  
Kernel 680 may also be responsible for initially loading the  
remainder of ROS 602, and may manage the various ROS tasks  
(and associated underlying hardware resources) during  
20 execution. OS kernel 680 may also manage and access secure  
database 610 and file system 687. OS kernel 680 also provides

execution services for applications 608a(1), 608a(2), etc. and other applications.

5           RPC manager 732 performs messaging routing and resource management/integration for ROS 680. It receives and routes "calls" from/to API 682, HPE 655 and SPE 503, for example.

10           Object switch 734 may manage construction, deconstruction and other manipulation of VDE objects 300.

15           User Notification/Exception Interface 686 in the preferred embodiment (which may be considered part of API 682 or another application coupled to the API) provides "pop up" windows/displays on display 614. This allows ROS 602 to communicate directly with a user without having to pass information to be communicated through applications 608. For applications that are not "VDE aware," user notification/exception interface 686 may provide communications  
20           between ROS 602 and the user.

API 682 in the preferred embodiment provides a standardized, documented software interface to applications 608. In part, API 682 may translate operating system "calls" generated by applications 608 into Remote Procedure Calls ("RPCs") specifying "events." RPC manager 732 may route these RPCs to kernel 680 or elsewhere (e.g., to HPE(s) 655 and/or SPE(s) 503, or to remote electronic appliances 600, processors, or VDE participants) for processing. The API 682 may also service RPC requests by passing them to applications 608 that register to receive and process specific requests.

API 682 provides an "Applications Programming Interface" that is preferably standardized and documented. It provides a concise set of function calls an application program can use to access services provided by ROS 602. In at least one preferred example, API 682 will include two parts: an application program interface to VDE functions 604; and an application program interface to other OS functions 606. These parts may be interwoven into the same software, or they may be provided as two or more discrete pieces of software (for example).

Some applications, such as application 608a(1) shown in Figure 11, may be "VDE aware" and may therefore directly access both of these parts of API 682. Figure 11A shows an example of this. A "VDE aware" application may, for example, include explicit calls to ROS 602 requesting the creation of new VDE objects 300, metering usage of VDE objects, storing information in VDE-protected form, etc. Thus, a "VDE aware" application can initiate (and, in some examples, enhance and/or extend) VDE functionality provided by ROS 602. In addition, "VDE aware" applications may provide a more direct interface between a user and ROS 602 (e.g., by suppressing or otherwise dispensing with "pop up" displays otherwise provided by user notification/exception interface 686 and instead providing a more "seamless" interface that integrates application and ROS messages).

Other applications, such as application 608b shown in Figure 11B, may not be "VDE Aware" and therefore may not "know" how to directly access an interface to VDE functions 604 provided by API 682. To provide for this, ROS 602 may include a "redirector" 684 that allows such "non-VDE aware" applications 608(b) to access VDE objects 300 and functions 604. Redirector

684, in the preferred embodiment, translates OS calls directed to the "other OS functions" 606 into calls to the "VDE functions" 604. As one simple example, redirector 684 may intercept a "file open" call from application 608(b), determine whether the file to  
5 be opened is contained within a VDE container 300, and if it is, generate appropriate VDE function call(s) to file system 687 to open the VDE container (and potentially generate events to HPE 655 and/or SPE 503 to determine the name(s) of file(s) that may be stored in a VDE object 300, establish a control structure  
10 associated with a VDE object 300, perform a registration for a VDE object 300, etc.). Without redirector 684 in this example, a non-VDE aware application such as 608b could access only the part of API 682 that provides an interface to other OS functions 606, and therefore could not access any VDE functions.

15

This "translation" feature of redirector 684 provides "transparency." It allows VDE functions to be provided to the application 608(b) in a "transparent" way without requiring the application to become involved in the complexity and details  
20 associated with generating the one or more calls to VDE functions 604. This aspect of the "transparency" features of ROS 602 has at least two important advantages:

- (a) it allows applications not written specifically for VDE functions 604 ("non-VDE aware applications") to nevertheless access critical VDE functions; and
- (b) it reduces the complexity of the interface between an application and ROS 602.

5 Since the second advantage (reducing complexity) makes it easier for an application creator to produce applications, even "VDE aware" applications 608a(2) may be designed so that some calls invoking VDE functions 604 are requested at the level of an

10 "other OS functions" call and then "translated" by redirector 684 into a VDE function call (in this sense, redirector 684 may be considered a part of API 682). Figure 11C shows an example of this. Other calls invoking VDE functions 604 may be passed directly without translation by redirector 684.

15 Referring again to Figure 10, ROS 620 may also include an "interceptor" 692 that transmits and/or receives one or more real time data feeds 694 (this may be provided over cable(s) 628 for example), and routes one or more such data feeds appropriately

20 while providing "translation" functions for real time data sent and/or received by electronic appliance 600 to allow "transparency" for this type of information analogous to the

transparency provided by redirector 684 (and/or it may generate one or more real time data feeds).

### **Secure ROS Components and Component Assemblies**

5           As discussed above, ROS 602 in the preferred embodiment is a component-based architecture. ROS VDE functions 604 may be based on segmented, independently loadable executable "component assemblies" 690. These component assemblies 690 are independently securely deliverable. The component  
10 assemblies 690 provided by the preferred embodiment comprise code and data elements that are themselves independently deliverable. Thus, each component assembly 690 provided by the preferred embodiment is comprised of independently securely deliverable elements which may be communicated using VDE  
15 secure communication techniques, between VDE secure subsystems.

          These component assemblies 690 are the basic functional unit provided by ROS 602. The component assemblies 690 are  
20 executed to perform operating system or application tasks. Thus, some component assemblies 690 may be considered to be part of the ROS operating system 602, while other component

assemblies may be considered to be "applications" that run under the support of the operating system. As with any system incorporating "applications" and "operating systems," the boundary between these aspects of an overall system can be ambiguous. For example, commonly used "application" functions (such as determining the structure and/or other attributes of a content container) may be incorporated into an operating system. Furthermore, "operating system" functions (such as task management, or memory allocation) may be modified and/or replaced by an application. A common thread in the preferred embodiment's ROS 602 is that component assemblies 690 provide functions needed for a user to fulfill her intended activities, some of which may be "application-like" and some of which may be "operating system-like."

15

Components 690 are preferably designed to be easily separable and individually loadable. ROS 602 assembles these elements together into an executable component assembly 690 prior to loading and executing the component assembly (e.g., in a secure operating environment such as SPE 503 and/or HPE 655). ROS 602 provides an element identification and referencing mechanism that includes information necessary to automatically

20



assemble elements into a component assembly 690 in a secure manner prior to, and/or during, execution.

ROS 602 application structures and control parameters  
5 used to form component assemblies 690 can be provided by  
different parties. Because the components forming component  
assemblies 690 are independently securely deliverable, they may  
be delivered at different times and/or by different parties  
("delivery" may take place within a local VDE secure subsystem,  
10 that is submission through the use of such a secure subsystem of  
control information by a chain of content control information  
handling participant for the preparation of a modified control  
information set constitutes independent, secure delivery). For  
example, a content creator can produce a ROS 602 application  
15 that defines the circumstances required for licensing content  
contained within a VDE object 300. This application may  
reference structures provided by other parties. Such references  
might, for example, take the form of a control path that uses  
content creator structures to meter user activities; and structures  
20 created/owned by a financial provider to handle financial parts of  
a content distribution transaction (e.g., defining a credit budget  
that must be present in a control structure to establish

creditworthiness, audit processes which must be performed by the licensee, etc.). As another example, a distributor may give one user more favorable pricing than another user by delivering different data elements defining pricing to different users. This  
5 attribute of supporting multiple party securely, independently deliverable control information is fundamental to enabling electronic commerce, that is, defining of a content and/or appliance control information set that represents the requirements of a collection of independent parties such as  
10 content creators, other content providers, financial service providers, and/or users.

In the preferred embodiment, ROS 602 assembles securely independently deliverable elements into a component assembly  
15 690 based in part on context parameters (e.g., object, user). Thus, for example, ROS 602 may securely assemble different elements together to form different component assemblies 690 for different users performing the same task on the same VDE object  
300. Similarly, ROS 602 may assemble differing element sets  
20 which may include, that is reuse, one or more of the same components to form different component assemblies 690 for the

same user performing the same task on different VDE objects  
300.

5           The component assembly organization provided by ROS  
602 is "recursive" in that a component assembly 690 may  
comprise one or more component "subassemblies" that are  
themselves independently loadable and executable component  
assemblies 690. These component "subassemblies" may, in turn,  
be made of one or more component "sub-sub-assemblies." In the  
10       general case, a component assembly 690 may include N levels of  
component subassemblies.

          Thus, for example, a component assembly 690(k) that may  
includes a component subassembly 690(k + 1). Component  
15       subassembly 690(k + 1), in turn, may include a component sub-  
sub-assembly 690(3), ... and so on to N-level subassembly 690(k +  
N). The ability of ROS 602 to build component assemblies 690  
out of other component assemblies provides great advantages in  
terms of, for example, code/data reusability, and the ability to  
20       allow different parties to manage different parts of an overall  
component.

Each component assembly 690 in the preferred embodiment is made of distinct components. Figures 11D-11H are abstract depictions of various distinct components that may be assembled to form a component assembly 690(k) showing  
5 Figure 11I. These same components can be combined in different ways (e.g., with more or less components) to form different component assemblies 690 providing completely different functional behavior. Figure 11J is an abstract depiction of the same components being put together in a different way (e.g., with  
10 additional components) to form a different component assembly 690(j). The component assemblies 690(k) and 690(j) each include a common feature 691 that interlocks with a "channel" 594 defined by ROS 602. This "channel" 594 assembles component assemblies 690 and interfaces them with the (rest of) ROS 602.

15

ROS 602 generates component assemblies 690 in a secure manner. As shown graphically in Figures 11I and 11J, the different elements comprising a component assembly 690 may be "interlocking" in the sense that they can only go together in ways  
20 that are intended by the VDE participants who created the elements and/or specified the component assemblies. ROS 602 includes security protections that can prevent an unauthorized

person from modifying elements, and also prevent an unauthorized person from substituting elements. One can picture an unauthorized person making a new element having the same "shape" as the one of the elements shown in Figures 11D-11H, and then attempting to substitute the new element in place of the original element. Suppose one of the elements shown in Figure 11H establishes the price for using content within a VDE object 300. If an unauthorized person could substitute her own "price" element for the price element intended by the VDE content distributor, then the person could establish a price of zero instead of the price the content distributor intended to charge. Similarly, if the element establishes an electronic credit card, then an ability to substitute a different element could have disastrous consequences in terms of allowing a person to charge her usage to someone else's (or a non-existent) credit card. These are merely a few simple examples demonstrating the importance of ROS 602 ensuring that certain component assemblies 690 are formed in a secure manner. ROS 602 provides a wide range of protections against a wide range of "threats" to the secure handling and execution of component assemblies 690.

In the preferred embodiment, ROS 602 assembles component assemblies 690 based on the following types of elements:

Permissions Records ("PERC"s) 808;

5 Method "Cores" 1000;

Load Modules 1100;

Data Elements (e.g., User Data Elements ("UDEs") 1200 and Method Data Elements ("MDEs") 1202); and

Other component assemblies 690.

10

Briefly, a PERC 808 provided by the preferred embodiment is a record corresponding to a VDE object 300 that identifies to ROS 602, among other things, the elements ROS is to assemble together to form a component assembly 690. Thus PERC 808 in effect contains a "list of assembly instructions" or a "plan" specifying what elements ROS 602 is to assemble together into a component assembly and how the elements are to be connected together. PERC 808 may itself contain data or other elements that are to become part of the component assembly 690.

15

20

The PERC 808 may reference one or more method "cores" 1000N. A method core 1000N may define a basic "method" 1000 (e.g., "control," "billing," "metering," etc.)

5           In the preferred embodiment, a "method" 1000 is a collection of basic instructions, and information related to basic instructions, that provides context, data, requirements, and/or relationships for use in performing, and/or preparing to perform, basic instructions in relation to the operation of one or more  
10       electronic appliances 600. Basic instructions may be comprised of, for example:

- 15           C     machine code of the type commonly used in the programming of computers; pseudo-code for use by an interpreter or other instruction processing program operating on a computer;
- C     a sequence of electronically represented logical operations for use with an electronic appliance 600;
- 20           C     or other electronic representations of instructions, source code, object code, and/or pseudo code as those terms are commonly understood in the arts.

Information relating to said basic instructions may  
comprise, for example, data associated intrinsically with basic  
instructions such as for example, an identifier for the combined  
basic instructions and intrinsic data, addresses, constants, and/or  
5 the like. The information may also, for example, include one or  
more of the following:

- 10 C information that identifies associated basic  
instructions and said intrinsic data for access,  
correlation and/or validation purposes;
- C required and/or optional parameters for use with  
basic instructions and said intrinsic data;
- C information defining relationships to other methods;
- C data elements that may comprise data values, fields  
15 of information, and/or the like;
- C information specifying and/or defining relationships  
among data elements, basic instructions and/or  
intrinsic data;
- 20 C information specifying relationships to external data  
elements;



- C information specifying relationships between and among internal and external data elements, methods, and/or the like, if any exist; and
- 5 C additional information required in the operation of basic instructions and intrinsic data to complete, or attempt to complete, a purpose intended by a user of a method, where required, including additional instructions and/or intrinsic data.

10

Such information associated with a method may be stored, in part or whole, separately from basic instructions and intrinsic data. When these components are stored separately, a method may nevertheless include and encompass the other information and one or more sets of basic instructions and intrinsic data (the latter being included because of said other information's reference to one or more sets of basic instructions and intrinsic data), whether or not said one or more sets of basic instructions and intrinsic data are accessible at any given point in time.

15  
20

Method core 1000' may be parameterized by an "event code" to permit it to respond to different events in different ways.

For example, a METER method may respond to a "use" event by storing usage information in a meter data structure. The same METER method may respond to an "administrative" event by reporting the meter data structure to a VDE clearinghouse or  
5 other VDE participant.

In the preferred embodiment, method core 1000' may "contain," either explicitly or by reference, one or more "load modules" 1100 and one or more data elements (UDEs 1200,  
10 MDEs 1202). In the preferred embodiment, a "load module" 1100 is a portion of a method that reflects basic instructions and intrinsic data. Load modules 1100 in the preferred embodiment contain executable code, and may also contain data elements ("DTDs" 1108) associated with the executable code. In the  
15 preferred embodiment, load modules 1100 supply the program instructions that are actually "executed" by hardware to perform the process defined by the method. Load modules 1100 may contain or reference other load modules.

20 Load modules 1100 in the preferred embodiment are modular and "code pure" so that individual load modules may be reenterable and reusable. In order for components 690 to be

dynamically updatable, they may be individually addressable within a global public name space. In view of these design goals, load modules 1100 are preferably small, code (and code-like) pure modules that are individually named and addressable. A single  
5 method may provide different load modules 1100 that perform the same or similar functions on different platforms, thereby making the method scalable and/or portable across a wide range of different electronic appliances.

10 UDEs 1200 and MDEs 1202 may store data for input to or output from executable component assembly 690 (or data describing such inputs and/or outputs). In the preferred embodiment, UDEs 1200 may be user dependent, whereas MDEs 1202 may be user independent.

15 The component assembly example 690(k) shown in Figure 11E comprises a method core 1000', UDEs 1200a & 1200b, an MDE 1202, load modules 1100a-1100d, and a further component assembly 690(k+1). As mentioned above, a PERC 808(k) defines,  
20 among other things, the "assembly instructions" for component assembly 690(k), and may contain or reference parts of some or

all of the components that are to be assembled to create a component assembly.

5 One of the load modules 1100b shown in this example is itself comprised of plural load modules 1100c, 1100d. Some of the load modules (e.g., 1100a, 1100d) in this example include one or more "DTD" data elements 1108 (e.g., 1108a, 1108b). "DTD" data elements 1108 may be used, for example, to inform load module 1100a of the data elements included in MDE 1202 and/or UDEs  
10 1200a, 1200b. Furthermore, DTDs 1108 may be used as an aspect of forming a portion of an application used to inform a user as to the information required and/or manipulated by one or more load modules 1100, or other component elements. Such an application program may also include functions for creating  
15 and/or manipulating UDE(s) 1200, MDE(s) 1202, or other component elements, subassemblies, etc.

Components within component assemblies 690 may be "reused" to form different component assemblies. As mentioned  
20 above, figure 11F is an abstract depiction of one example of the same components used for assembling component assembly 690(k) to be reused (e.g., with some additional components

specified by a different set of "assembly instructions" provided in a different PERC 808(l) to form a different component assembly 690(l). Even though component assembly 690(l) is formed from some of the same components used to form component assembly 690(k), these two component assemblies may perform completely different processes in complete different ways.

As mentioned above, ROS 602 provides several layers of security to ensure the security of component assemblies 690. One important security layer involves ensuring that certain component assemblies 690 are formed, loaded and executed only in secure execution space such as provided within an SPU 500. Components 690 and/or elements comprising them may be stored on external media encrypted using local SPU 500 generated and/or distributor provided keys.

ROS 602 also provides a tagging and sequencing scheme that may be used within the loadable component assemblies 690 to detect tampering by substitution. Each element comprising a component assembly 690 may be loaded into an SPU 500, decrypted using encrypt/decrypt engine 522, and then tested/compared to ensure that the proper element has been loaded. Several independent comparisons may be used to ensure

there has been no unauthorized substitution. For example, the public and private copies of the element ID may be compared to ensure that they are the same, thereby preventing gross substitution of elements. In addition, a validation/correlation tag stored under the encrypted layer of the loadable element may be compared to make sure it matches one or more tags provided by a requesting process. This prevents unauthorized use of information. As a third protection, a device assigned tag (e.g., a sequence number) stored under an encryption layer of a loadable element may be checked to make sure it matches a corresponding tag value expected by SPU 500. This prevents substitution of older elements. Validation/correlation tags are typically passed only in secure wrappers to prevent plaintext exposure of this information outside of SPU 500.

15

The secure component based architecture of ROS 602 has important advantages. For example, it accommodates limited resource execution environments such as provided by a lower cost SPU 500. It also provides an extremely high level of configurability. In fact, ROS 602 will accommodate an almost unlimited diversity of content types, content provider objectives, transaction types and client requirements. In addition, the

20

ability to dynamically assemble independently deliverable components at execution time based on particular objects and users provides a high degree of flexibility, and facilitates or enables a distributed database, processing, and execution environment.

One aspect of an advantage of the component-based architecture provided by ROS 602 relates to the ability to "stage" functionality and capabilities over time. As designed, implementation of ROS 602 is a finite task. Aspects of its wealth of functionality can remain unexploited until market realities dictate the implementation of corresponding VDE application functionality. As a result, initial product implementation investment and complexity may be limited. The process of "surfacing" the full range of capabilities provided by ROS 602 in terms of authoring, administrative, and artificial intelligence applications may take place over time. Moreover, already-designed functionality of ROS 602 may be changed or enhanced at any time to adapt to changing needs or requirements.

20

### **More Detailed Discussion of Rights Operating System 602 Architecture**

5 Figure 12 shows an example of a detailed architecture of ROS 602 shown in Figure 10. ROS 602 may include a file system 687 that includes a commercial database manager 730 and external object repositories 728. Commercial database manager 730 may maintain secure database 610. Object repository 728 may store, provide access to, and/or maintain VDE objects 300.

10

Figure 12 also shows that ROS 602 may provide one or more SPEs 503 and/or one or more HPEs 655. As discussed above, HPE 655 may "emulate" an SPU 500 device, and such HPEs 655 may be integrated in lieu of (or in addition to) physical 15 SPUs 500 for systems that need higher throughput. Some security may be lost since HPEs 655 are typically protected by operating system security and may not provide truly secure processing. Thus, in the preferred embodiment, for high security applications at least, all secure processing should take place 20 within an SPE 503 having an execution space within a physical SPU 500 rather than a HPE 655 using software operating elsewhere in electronic appliance 600.



As mentioned above, three basic components of ROS 602 are a kernel 680, a Remote Procedure Call (RPC) manager 732 and an object switch 734. These components, and the way they interact with other portions of ROS 602, will be discussed below.

5

### **Kernel 680**

Kernel 680 manages the basic hardware resources of electronic appliance 600, and controls the basic tasking provided by ROS 602. Kernel 680 in the preferred embodiment may include a memory manager 680a, a task manager 680b, and an I/O manager 680c. Task manager 680b may initiate and/or manage initiation of executable tasks and schedule them to be executed by a processor on which ROS 602 runs (e.g., CPU 654 shown in Figure 8). For example, Task manager 680b may include or be associated with a "bootstrap loader" that loads other parts of ROS 602. Task manager 680b may manage all tasking related to ROS 602, including tasks associated with application program(s) 608. Memory manager 680a may manage allocation, deallocation, sharing and/or use of memory (e.g., RAM 656 shown in Figure 8) of electronic appliance 600, and may for example provide virtual memory capabilities as required by an electronic appliance and/or associated application(s). I/O manager 680c

10

15

20

may manage all input to and output from ROS 602, and may interact with drivers and other hardware managers that provide communications and interactivity with physical devices.

5       **RPC Manager 732**

ROS 602 in a preferred embodiment is designed around a "services based" Remote Procedure Call architecture/interface. All functions performed by ROS 602 may use this common interface to request services and share information. For example, SPE(s) 503 provide processing for one or more RPC based services. In addition to supporting SPUs 500, the RPC interface permits the dynamic integration of external services and provides an array of configuration options using existing operating system components. ROS 602 also communicates with external services through the RPC interface to seamlessly provide distributed and/or remote processing. In smaller scale instances of ROS 602, a simpler message passing IPC protocol may be used to conserve resources. This may limit the configurability of ROS 602 services, but this possible limitation may be acceptable in some electronic appliances.

The RPC structure allows services to be called/requested without the calling process having to know or specify where the service is physically provided, what system or device will service the request, or how the service request will be fulfilled. This feature supports families of services that may be scaled and/or customized for specific applications. Service requests can be forwarded and serviced by different processors and/or different sites as easily as they can be forwarded and serviced by a local service system. Since the same RPC interface is used by ROS 602 in the preferred embodiment to request services within and outside of the operating system, a request for distributed and/or remote processing incurs substantially no additional operating system overhead. Remote processing is easily and simply integrated as part of the same service calls used by ROS 602 for requesting local-based services. In addition, the use of a standard RPC interface ("RSI") allows ROS 602 to be modularized, with the different modules presenting a standardized interface to the remainder of the operating system. Such modularization and standardized interfacing permits different vendors/operating system programmers to create different portions of the operating system independently, and also allows the functionality of ROS 602 to be flexibly updated

and/or changed based on different requirements and/or platforms.

5           RPC manager 732 manages the RPC interface. It receives service requests in the form of one or more "Remote Procedure Calls" (RPCs) from a service requestor, and routes the service requests to a service provider(s) that can service the request. For example, when rights operating system 602 receives a request from a user application via user API 682, RPC manager 732 may  
10           route the service request to an appropriate service through the "RPC service interface" ("RSI"). The RSI is an interface between RPC manager 732, service requestors, and a resource that will accept and service requests.

15           The RPC interface (RSI) is used for several major ROS 602 subsystems in the preferred embodiment.

          RPC services provided by ROS 602 in the preferred embodiment are divided into subservices, i.e., individual  
20           instances of a specific service each of which may be tracked individually by the RPC manager 732. This mechanism permits multiple instances of a specific service on higher throughput.

systems while maintaining a common interface across a spectrum of implementations. The subservice concept extends to supporting multiple processors, multiple SPEs 503, multiple HPEs 655, and multiple communications services.

5

The preferred embodiment ROS 602 provides the following RPC based service providers/requestors (each of which have an RPC interface or "RSI" that communicates with RPC manager 732):

10

SPE device driver 736 (this SPE device driver is connected to an SPE 503 in the preferred embodiment);

HPE Device Driver 738 (this HPE device driver is connected to an HPE 738 in the preferred embodiment);

15

Notification Service 740 (this notification service is connected to user notification interface 686 in the preferred embodiment);

API Service 742 (this API service is connected to user API 682 in the preferred embodiment);

20

Redirector 684;

Secure Database (File) Manager 744 (this secure database or file manager 744 may connect to and interact with

- commercial database manager 730 and secure files 610 through a cache manager 746, a database interface 748, and a database driver 750);
- Name Services Manager 752;
- 5           Outgoing Administrative Objects Manager 754;
- Incoming Administrative Objects Manager 756;
- a Gateway 734 to object switch 734 (this is a path used to allow direct communication between RPC manager 732 and Object Switch 734); and
- 10          Communications Manager 776.

The types of services provided by HPE 655, SPE 503, User Notification 686, API 742 and Redirector 684 have already been described above. Here is a brief description of the type(s) of

15          services provided by OS resources 744, 752, 754, 756 and 776:

- Secure Database Manager 744 services requests for access to secure database 610;
- Name Services Manager 752 services requests relating to user, host, or service identification;
- 20          Outgoing Administrative Objects Manager 754 services requests relating to outgoing administrative objects;

Incoming Administrative Objects Manager 756 services

requests relating to incoming administrative objects;  
and

Communications Manager 776 services requests relating to

5 communications between electronic appliance 600  
and the outside world.

**Object Switch 734**

Object switch 734 handles, controls and communicates  
10 (both locally and remotely) VDE objects 300. In the preferred  
embodiment, the object switch may include the following  
elements:

a stream router 758;

a real time stream interface(s) 760 (which may be

15 connected to real time data feed(s) 694);

a time dependent stream interface(s) 762;

a intercept 692;

a container manager 764;

one or more routing tables 766; and

20 buffering/storage 768.

Stream router 758 routes to/from "real time" and "time  
independent" data streams handled respectively by real time

stream interface(s) 760 and time dependent stream interface(s)  
762. Intercept 692 intercepts I/O requests that involve real-time  
information streams such as, for example, real time feed 694.  
The routing performed by stream router 758 may be determined  
5 by routing tables 766. Buffering/storage 768 provides temporary  
store-and-forward, buffering and related services. Container  
manager 764 may (typically in conjunction with SPE 503)  
perform processes on VDE objects 300 such as constructing,  
deconstructing, and locating portions of objects.

10

Object switch 734 communicates through an Object Switch  
Interface ("OSI") with other parts of ROS 602. The Object Switch  
Interface may resemble, for example, the interface for a Unix  
socket in the preferred embodiment. Each of the "OSI" interfaces  
15 shown in Figure 12 have the ability to communicate with object  
switch 734.

ROS 602 includes the following object switch service  
providers/resources (each of which can communicate with the  
20 object switch 734 through an "OSI"):

Outgoing Administrative Objects Manager 754;

Incoming Administrative Objects Manager 756;



Gateway 734 (which may translate RPC calls into object switch calls and vice versa so RPC manager 732 may communicate with object switch 734 or any other element having an OSI to, for example, provide  
5 and/or request services);  
External Services Manager 772;  
Object Submittal Manager 774; and  
Communications Manager 776.

10 Briefly,  
Object Repository Manager 770 provides services relating to access to object repository 728;  
External Services Manager 772 provides services relating to requesting and receiving services externally, such  
15 as from a network resource or another site;  
Object Submittal Manager 774 provides services relating to how a user application may interact with object switch 734 (since the object submittal manager provides an interface to an application program 608,  
20 it could be considered part of user API 682); and  
Communications Manager 776 provides services relating to communicating with the outside world.

In the preferred embodiment, communications manager 776 may include a network manager 780 and a mail gateway (manager) 782. Mail gateway 782 may include one or more mail filters 784 to, for example, automatically route VDE related electronic mail between object switch 734 and the outside world electronic mail services. External Services Manager 772 may interface to communications manager 776 through a Service Transport Layer 786. Service Transport Layer 786a may enable External Services Manager 772 to communicate with external computers and systems using various protocols managed using the service transport layer 786.

The characteristics of and interfaces to the various subsystems of ROS 680 shown in Figure 12 are described in more detail below.

#### **RPC Manager 732 and Its RPC Services Interface**

As discussed above, the basic system services provided by ROS 602 are invoked by using an RPC service interface (RSI). This RPC service interface provides a generic, standardized interface for different services systems and subsystems provided by ROS 602.

RPC Manager 732 routes RPCs requesting services to an appropriate RPC service interface. In the preferred embodiment, upon receiving an RPC call, RPC manager 732 determines one or more service managers that are to service the request. RPC  
5 manager 732 then routes a service request to the appropriate service(s) (via a RSI associated with a service) for action by the appropriate service manager(s).

For example, if a SPE 503 is to service a request, the RPC  
10 Manager 732 routes the request to RSI 736a, which passes the request on to SPE device driver 736 for forwarding to the SPE. Similarly, if HPE 655 is to service the request, RPC Manager 732 routes the request to RSI 738a for forwarding to a HPE. In one preferred embodiment, SPE 503 and HPE 655 may perform  
15 essentially the same services so that RSIs 736a, 738a are different instances of the same RSI. Once a service request has been received by SPE 503 (or HPE 655), the SPE (or HPE) typically dispatches the request internally using its own internal RPC manager (as will be discussed shortly). Processes within  
20 SPEs 503 and HPEs 655 can also generate RPC requests. These requests may be processed internally by a SPE/HPE, or if not

internally serviceable, passed out of the SPE/HPE for dispatch by  
RPC Manager 732.

Remote (and local) procedure calls may be dispatched by a  
5 RPC Manager 732 using an "RPC Services Table." An RPC  
Services Table describes where requests for specific services are  
to be routed for processing. Each row of an RPC Services Table  
in the preferred embodiment contains a services ID, the location  
of the service, and an address to which control will be passed to  
10 service a request. An RPC Services Table may also include  
control information that indicates which instance of the RPC  
dispatcher controls the service. Both RPC Manager 732 and any  
attached SPEs 503 and HPEs 655 may have symmetric copies of  
the RPC Services Table. If an RPC service is not found in the  
15 RPC services tables, it is either rejected or passed to external  
services manager 772 for remote servicing.

Assuming RPC manager 732 finds a row corresponding to  
the request in an RPC Services Table, it may dispatch the  
20 request to an appropriate RSI. The receiving RSI accepts a  
request from the RPC manager 732 (which may have looked up  
the request in an RPC service table), and processes that request

in accordance with internal priorities associated with the specific service.

5 In the preferred embodiment, RPC Service Interface(s) supported by RPC Manager 732 may be standardized and published to support add-on service modules developed by third party vendors, and to facilitate scalability by making it easier to program ROS 602. The preferred embodiment RSI closely follows the DOS and Unix device driver models for block devices so that  
 10 common code may be developed for many platforms with minimum effort. An example of one possible set of common entry points are listed below in the table.

Interface call	Description
SVC_LOAD	Load a service manager and return its status.
SVC_UNLOAD	Unload a service manager.
SVC_MOUNT	Mount (load) a dynamically loaded subservice and return its status.
SVC_UNMOUNT	Unmount (unload) a dynamically loaded subservice.
SVC_OPEN	Open a mounted subservice.
SVC_CLOSE	Close a mounted subservice.
SVC_READ	Read a block from an opened subservice.

SVC_WRITE	Write a block to an opened subservice.
SVC_IOCTL	Control a subservice or a service manager.

### Load

5           In the preferred embodiment, services (and the associated  
RSIs they present to RPC manager 732) may be activated during  
boot by an installation boot process that issues an RPC LOAD.  
This process reads an RPC Services Table from a configuration  
file, loads the service module if it is run time loadable (as opposed  
10 to being a kernel linked device driver), and then calls the LOAD  
entry point for the service. A successful return from the LOAD  
entry point will indicate that the service has properly loaded and  
is ready to accept requests.

### 15    **RPC LOAD Call Example: SVC\_LOAD (long service\_id)**

This LOAD interface call is called by the RPC manager 732  
during rights operating system 602 initialization. It permits a  
service manager to load any dynamically loadable components  
and to initialize any device and memory required by the service.  
20    The service number that the service is loaded as is passed in as  
service\_id parameter. In the preferred embodiment, the service

returns 0 is the initialization process was completed successfully or an error number if some error occurred.

### **Mount**

5           Once a service has been loaded, it may not be fully functional for all subservices. Some subservices (e.g., communications based services) may require the establishment of additional connections, or they may require additional modules to be loaded. If the service is defined as "mountable," a RPC  
10           manager 732 will call the MOUNT subservice entry point with the requested subservice ID prior to opening an instance of a subservice.

### **RPC MOUNT Call Example:**

15           SVC\_MOUNT (long service\_id, long subservice\_id, BYTE \*buffer)

          This MOUNT interface call instructs a service to make a specific subservice ready. This may include services related to networking, communications, other system services, or external  
20           resources. The service\_id and subservice\_id parameters may be specific to the specific service being requested. The buffer

parameter is a memory address that references a control structure appropriate to a specific service.

### **Open**

5           Once a service is loaded and "mounted," specific instances of a service may be "opened" for use. "Opening" an instance of a service may allocate memory to store control and status information. For example, in a BSD socket based network connection, a LOAD call will initialize the software and protocol control tables, a MOUNT call will specify networks and hardware  
10 resources, and an OPEN will actually open a socket to a remote installation.

          Some services, such as commercial database manager 730  
15 that underlies the secure database service, may not be "mountable." In this case, a LOAD call will make a connection to a database manager 730 and ensure that records are readable. An OPEN call may create instances of internal cache manager 746 for various classes of records.

20

### **RPC OPEN Call Example:**

SVC\_OPEN (long service\_id, long subservice\_id, BYTE



\*buffer, int (\*receive) (long request\_id))

This OPEN interface call instructs a service to open a specific subservice. The service\_id and subservice\_id parameters are specific to the specific service being requested, and the buffer parameter is a memory address that references a control structure appropriate to a specific service.

The optional receive parameter is the address of a notification callback function that is called by a service whenever a message is ready for the service to retrieve it. One call to this address is made for each incoming message received. If the caller passes a NULL to the interface, the software will not generate a callback for each message.

#### Close, Unmount and Unload

The converse of the OPEN, MOUNT, and LOAD calls are CLOSE, UNMOUNT, and UNLOAD. These interface calls release any allocated resources back to ROS 602 (e.g., memory manager 680a).

**RPC CLOSE Call Example: SVC\_CLOSE (long svc\_handle)**

This LOAD interface call closes an open service "handle."  
A service "handle" describes a service and subservice that a user wants to close. The call returns 0 if the CLOSE request succeeds  
5 (and the handle is no longer valid) or an error number.

**RPC UNLOAD Call Example: SVC\_UNLOAD (void)**

This UNLOAD interface call is called by a RPC manager  
732 during shutdown or resource reallocation of rights operating  
10 system 602. It permits a service to close any open connections,  
flush buffers, and to release any operating system resources that  
it may have allocated. The service returns 0.

**RPC UNMOUNT Call Example: SVC\_UNMOUNT (long  
15 service\_id, long subservice\_id)**

This UNMOUNT interface call instructs a service to  
deactivate a specific subservice. The service\_id and  
subservice\_id parameters are specific to the specific service  
being requested, and must have been previously mounted using  
20 the SVC\_MOUNT() request. The call releases all system  
resources associated with the subservice before it returns.

**Read and Write**

The READ and WRITE calls provide a basic mechanism for sending information to and receiving responses from a mounted and opened service. For example, a service has requests written to it in the form of an RPC request, and makes its response available to be read by RPC Manager 732 as they become available.

**RPC READ Call Example:**

10           SVC\_READ (long svc\_handle, long request\_id, BYTE  
              \*buffer, long size)

This READ call reads a message response from a service. The svc\_handle and request\_id parameters uniquely identify a request. The results of a request will be stored in the user specified buffer up to size bytes. If the buffer is too small, the first size bytes of the message will be stored in the buffer and an error will be returned.

If a message response was returned to the caller's buffer correctly, the function will return 0. Otherwise, an error message will be returned.

**RPC WRITE Call Example:**

SVC\_write (long service\_id, long subservice\_id, BYTE  
\*buffer, long size, int (\*receive) (long request\_id)

5 This WRITE call writes a message to a service and  
subservice specified by the service\_id/subservice\_id parameter  
pair. The message is stored in buffer (and usually conforms to  
the VDE RPC message format) and is size bytes long. The  
function returns the request id for the message (if it was  
accepted for sending) or an error number. If a user specifies the  
10 receive callback functions, all messages regarding a request will  
be sent to the request specific callback routine instead of the  
generalized message callback.

**Input/Output Control**

15 The IOCTL ("Input/Output ConTroL") call provides a  
mechanism for querying the status of and controlling a loaded  
service. Each service type will respond to specific general IOCTL  
requests, all required class IOCTL requests, and service specific  
IOCTL requests.

20

**RPC IOCTL Call Example:** ROI\_SVC\_IOCTL (long service\_id,  
long subservice\_id,  
int command, BYTE \*buffer)

5

This IOCTL function provides a generalized control interface for a RSI. A user specifies the service\_id parameter and an optional subservice\_id parameter that they wish to control. They specify the control command parameter(s), and a buffer into/from which the command parameters may be written/read. An example of a list of commands and the appropriate buffer structures are given below.

10

Command	Structure	Description
GET_INFO	SVC_INFO	Returns information about a service/subservice.
GET_STATS	SVC_STATS	Returns current statistics about a service/subservice.
CLR_STATS	None	Clears the statistics about a service/subservice.

15

20

\* \* \* \* \*

Now that a generic RPC Service Interface provided by the preferred embodiment has been described, the following

description relates to particular examples of services provided by ROS 602.

### **SPE Device Driver 736**

5           SPE device driver 736 provides an interface between ROS 602 and SPE 503. Since SPE 503 in the preferred embodiment runs within the confines of an SPU 500, one aspect of this device driver 736 is to provide low level communications services with the SPU 500 hardware. Another aspect of SPE device driver 736 is to provide an RPC service interface (RSI) 736a particular to  
10           SPE 503 (this same RSI may be used to communicate with HPE 655 through HPE device driver 738).

          SPE RSI 736a and driver 736 isolates calling processes  
15           within ROS 602 (or external to the ROS) from the detailed service provided by the SPE 503 by providing a set of basic interface points providing a concise function set. This has several advantages. For example, it permits a full line of scaled SPUs 500 that all provide common functionality to the outside world but which may differ in detailed internal structure and  
20           architecture. SPU 500 characteristics such as the amount of memory resident in the device, processor speed, and the number

of services supported within SPU 500 may be the decision of the specific SPU manufacturer, and in any event may differ from one SPU configuration to another. To maintain compatibility, SPE device driver 736 and the RSI 736a it provides conform to a basic common RPC interface standard that "hides" differences between detailed configurations of SPUs 500 and/or the SPEs 503 they may support.

To provide for such compatibility, SPE RSI 736a in the preferred embodiment follows a simple block based standard. In the preferred embodiment, an SPE RSI 736a may be modeled after the packet interfaces for network Ethernet cards. This standard closely models the block mode interface characteristics of SPUs 500 in the preferred embodiment.

An SPE RSI 736a allows RPC calls from RPC manager 732 to access specific services provided by an SPE 736. To do this, SPE RSI 736a provides a set of "service notification address interfaces." These provide interfaces to individual services provided by SPE 503 to the outside world. Any calling process within ROS 602 may access these SPE-provided services by directing an RPC call to SPE RSI 736a and specifying a

corresponding "service notification address" in an RPC call. The specified "service notification address" causes SPE 503 to internally route an RPC call to a particular service within an SPE. The following is a listing of one example of a SPE service breakdown for which individual service notification addresses may be provided:

Channel Services Manager

Authentication Manager/Secure Communications Manager

Secure Database Manager

10

The Channel Services Manager is the principal service provider and access point to SPE 503 for the rest of ROS 602. Event processing, as will be discussed later, is primarily managed (from the point of view of processes outside SPE 503) by this service. The Authentication Manager/Secure Communications Manager may provide login/logout services for users of ROS 602, and provide a direct service for managing communications (typically encrypted or otherwise protected) related to component assemblies 690, VDE objects 300, etc. Requests for display of information (e.g., value remaining in a financial budget) may be provided by a direct service request to a Secure Database Manager inside SPE 503. The instances of

15

20



Authentication Manager/Secure Communications Manager and Secure Database Manager, if available at all, may provide only a subset of the information and/or capabilities available to processes operating inside SPE 503. As stated above, most (potentially all) service requests entering SPE are routed to a Channel Services Manager for processing. As will be discussed in more detail later on, most control structures and event processing logic is associated with component assemblies 690 under the management of a Channel Services Manager.

10

The SPE 503 must be accessed through its associated SPE driver 736 in this example. Generally, calls to SPE driver 736 are made in response to RPC calls. In this example, SPE driver RSI 736a may translate RPC calls directed to control or ascertain information about SPE driver 736 into driver calls. SPE driver RSI 736a in conjunction with driver 736 may pass RPC calls directed to SPE 503 through to the SPE.

15

The following table shows one example of SPE device driver 736 calls:

20

Entry Point	Description
SPE_info()	Returns summary information about the SPE driver 736 (and SPE 503)
SPE_initialize_interface()	Initializes SPE driver 736, and sets the default notification address for received packets.
5	SPE_terminate_interface() Terminates SPE driver 736 and resets SPU 500 and the driver 736.
SPE_reset_interface()	Resets driver 736 without resetting SPU 500.
SPE_get_stats()	Return statistics for notification addresses and/or an entire driver 736.
SPE_clear_stats()	Clears statistics for a specific notification address and/or an entire driver 736.
SPE_set_notify()	Sets a notification address for a specific service ID.
10	SPE_get_notify() Returns a notification address for a specific service ID.
SPE_tx_pkt()	Sends a packet (e.g., containing an RPC call) to SPE 503 for processing.

15 The following are more detailed examples of each of the SPE driver calls set forth in the table above.

**Example of an "SPE Information" Driver Call: SPE\_info (void)**

This function returns a pointer to an SPE\_INFO data structure that defines the SPE device driver 736a. This data structure may provide certain information about SPE device driver 736, RSI 736a and/or SPU 500. An example of a SPE\_INFO structure is described below:

10

15

Version Number/ID for SPE Device Driver 736
Version Number/ID for SPE Device Driver RSI 736
Pointer to name of SPE Device Driver 736
Pointer to ID name of SPU 500
Functionality Code Describing SPE Capabilities/functionality

20

**Example of an SPE "Initialize Interface" Driver Call:**

**SPE\_initialize\_interface (int (fcn \*receiver)(void))**

A receiver function passed in by way of a parameter will be called for all packets received from SPE 503 unless their

destination service is over-ridden using the set\_notify() call. A receiver function allows ROS 602 to specify a format for packet communication between RPC manager 732 and SPE 503.

5           This function returns "0" in the preferred embodiment if the initialization of the interface succeeds and non-zero if it fails. If the function fails, it will return a code that describes the reason for the failure as the value of the function.

10       **Example of an SPE "Terminate Interface" Driver Call:**

SPE\_terminate\_interface (void)

          In the preferred embodiment, this function shuts down SPE Driver 736, clears all notification addresses, and terminates all outstanding requests between an SPE and an ROS RPC manager 732. It also resets an SPE 503 (e.g., by a warm reboot of SPU 500) after all requests are resolved.

15

          Termination of driver 736 should be performed by ROS 602 when the operating system is starting to shut down. It may also be necessary to issue this call if an SPE 503 and ROS 602 get so far out of synchronization that all processing in an SPE must be reset to a known state.

20

**Example of an SPE "Reset Interface" Driver Call:**

SPE\_reset\_interface (void)

5 This function resets driver 736, terminates all outstanding requests between SPE 503 and an ROS RPC manager 732, and clears all statistics counts. It does not reset the SPU 500, but simply restores driver 736 to a known stable state.

**Example of an SPE "Get Statistics" Driver Call: SPE\_get\_stats**

10 (long service\_id)

This function returns statistics for a specific service notification interface or for the SPE driver 736 in general. It returns a pointer to a static buffer that contains these statistics or NULL if statistics are unavailable (either because an interface is not initialized or because a receiver address was not specified).  
 15 An example of the SPE\_STATS structure may have the following definition:

20

Service id
# packets rx
# packets tx
# bytes rx
# bytes tx

5

# errors rx
# errors tx
# requests tx
# req tx completed
# req tx cancelled
# req rx
# req rx completed
# req rx cancelled

10

If a user specifies a service ID, statistics associated with packets sent by that service are returned. If a user specified 0 as the parameter, the total packet statistics for the interface are returned.

15

**Example of an SPE "Clear Statistics" Driver Call:**

SPE\_clear\_stats (long service\_id)

20

This function clears statistics associated with the SPE service\_id specified. If no service\_id is specified (i.e., the caller passes in 0), global statistics will be cleared. The function returns 0 if statistics are successfully cleared or an error number if an error occurs.

**Example of an SPE "Set Notification Address" Driver Call:**

SPE\_set\_notify (long service\_id, int (fcn\*receiver) (void))

5 This function sets a notification address (receiver) for a specified service. If the notification address is set to NULL, SPE device driver 736 will send notifications for packets to the specified service to the default notification address.

**Example of a SPE "Get Notification Address" Driver Call:**

SPE\_get\_notify (long service\_id)

10 This function returns a notification address associated with the named service or NULL if no specific notification address has been specified.

**Example of an SPE "Send Packet" Driver Call:**

15 send\_pkt (BYTE \*buffer, long size, int (far \*receive) (void))

This function sends a packet stored in buffer of "length" size. It returns 0 if the packet is sent successfully, or returns an error code associated with the failure.

**20 Redirector Service Manager 684**

The redirector 684 is a piece of systems integration software used principally when ROS 602 is provided by "adding

on" to a pre-existing operating system or when "transparent" operation is desired for some VDE functions, as described earlier. In one embodiment the kernel 680, part of communications manager 776, file system 687, and part of API service 742 may be  
5 part of a pre-existing operating system such as DOS, Windows, UNIX, Macintosh System, OS9, PSOS, OS/2, or other operating system platform. The remainder of ROS 602 subsystems shown in Figure 12 may be provided as an "add on" to a preexisting operating system. Once these ROS subsystems have been  
10 supplied and "added on," the integrated whole comprises the ROS 602 shown in Figure 12.

In a scenario of this type of integration, ROS 602 will continue to be supported by a preexisting OS kernel 680, but may  
15 supplement (or even substitute) many of its functions by providing additional add-on pieces such as, for example, a virtual memory manager.

Also in this integration scenario, an add-on portion of API  
20 service 742 that integrates readily with a preexisting API service is provided to support VDE function calls. A pre-existing API service integrated with an add-on portion supports an enhanced



set of operating system calls including both calls to VDE  
functions 604 and calls to functions 606 other than VDE  
functions (see Figure 11A). The add-on portion of API service  
742 may translate VDE function calls into RPC calls for routing  
5 by RPC manager 732.

ROS 602 may use a standard communications manager  
776 provided by the preexisting operating system, or it may  
provide "add ons" and/or substitutions to it that may be readily  
10 integrated into it. Redirector 684 may provide this integration  
function.

This leaves a requirement for ROS 602 to integrate with a  
preexisting file system 687. Redirector 684 provides this  
15 integration function.

In this integration scenario, file system 687 of the  
preexisting operating system is used for all accesses to secondary  
storage. However, VDE objects 300 may be stored on secondary  
20 storage in the form of external object repository 728, file system  
687, or remotely accessible through communications manager  
776. When object switch 734 wants to access external object

repository 728, it makes a request to the object repository manager 770 that then routes the request to object repository 728 or to redirector 692 (which in turn accesses the object in file system 687).

5

Generally, redirector 684 maps VDE object repository 728 content into preexisting calls to file system 687. The redirector 684 provides preexisting OS level information about a VDE object 300, including mapping the object into a preexisting OS's name space. This permits seamless access to VDE protected content using "normal" file system 687 access techniques provided by a preexisting operating system.

10

In the integration scenarios discussed above, each preexisting target OS file system 687 has different interface requirements by which the redirector mechanism 684 may be "hooked." In general, since all commercially viable operating systems today provide support for network based volumes, file systems, and other devices (e.g., printers, modems, etc.), the redirector 684 may use low level network and file access "hooks" to integrate with a preexisting operating system. "Add-ons" for

20

supporting VDE functions 602 may use these existing hooks to integrate with a preexisting operating system.

#### **User Notification Service Manager 740**

5           User Notification Service Manager 740 and associated user notification exception interface ("pop up") 686 provides ROS 602 with an enhanced ability to communicate with a user of electronic appliance 600. Not all applications 608 may be designed to respond to messaging from ROS 602 passed through API 682,  
10           and it may in any event be important or desirable to give ROS 602 the ability to communicate with a user no matter what state an application is in. User notification services manager 740 and interface 686 provides ROS 602 with a mechanism to communicate directly with a user, instead of or in addition to  
15           passing a return call through API 682 and an application 608. This is similar, for example, to the ability of the Windows operating system to display a user message in a "dialog box" that displays "on top of" a running application irrespective of the state of the application.

20

          The User Notification 686 block in the preferred embodiment may be implemented as application code. The

implementation of interface 740a is preferably built over notification service manager 740, which may be implemented as part of API service manager 742. Notification services manager 740 in the preferred embodiment provides notification support to dispatch specific notifications to an appropriate user process via the appropriate API return, or by another path. This mechanism permits notifications to be routed to any authorized process—not just back to a process that specified a notification mechanism.

#### 10 **API Service Manager 742**

The preferred embodiment API Service Manager 742 is implemented as a service interface to the RPC service manager 732. All user API requests are built on top of this basic interface. The API Service Manager 742 preferably provides a service instance for each running user application 608.

Most RPC calls to ROS functions supported by API Service Manager 742 in the preferred embodiment may map directly to service calls with some additional parameter checking. This mechanism permits developers to create their own extended API libraries with additional or changed functionality.

In the scenario discussed above in which ROS 602 is formed by integrating "add ons" with a preexisting operating system, the API service 742 code may be shared (e.g., resident in a host environment like a Windows DLL), or it may be directly  
5 linked with an applications's code— depending on an application programmer's implementation decision, and/or the type of electronic appliance 600. The Notification Service Manager 740 may be implemented within API 682. These components interface with Notification Service component 686 to provide a  
10 transition between system and user space.

#### **Secure Database Service Manager ("SDSM") 744**

There are at least two ways that may be used for managing secure database 600:

- 15 C a commercial database approach, and  
C a site record number approach.

Which way is chosen may be based on the number of records that a VDE site stores in the secure database 610.

20 The commercial database approach uses a commercial database to store securely wrapped records in a commercial database. This way may be preferred when there are a large

number of records that are stored in the secure database 610. This way provides high speed access, efficient updates, and easy integration to host systems at the cost of resource usage (most commercial database managers use many system resources).

5

The site record number approach uses a "site record number" ("SRN") to locate records in the system. This scheme is preferred when the number of records stored in the secure database 610 is small and is not expected to change extensively over time. This way provides efficient resources use with limited update capabilities. SRNs permit further grouping of similar data records to speed access and increase performance.

Since VDE 100 is highly scalable, different electronic appliances 600 may suggest one way more than the other. For example, in limited environments like a set top, PDA, or other low end electronic appliance, the SRN scheme may be preferred because it limits the amount of resources (memory and processor) required. When VDE is deployed on more capable electronic appliances 600 such as desktop computers, servers and at clearinghouses, the commercial database scheme may be more

20

desirable because it provides high performance in environments where resources are not limited.

5 One difference between the database records in the two approaches is whether the records are specified using a full VDE ID or SRN. To translate between the two schemes, a SRN reference may be replaced with a VDE ID database reference wherever it occurs. Similarly, VDE IDs that are used as indices or references to other items may be replaced by the appropriate  
10 SRN value.

In the preferred embodiment, a commercially available database manager 730 is used to maintain secure database 610. ROS 602 interacts with commercial database manager 730  
15 through a database driver 750 and a database interface 748. The database interface 748 between ROS 602 and external, third party database vendors' commercial database manager 730 may be an open standard to permit any database vendor to implement a VDE compliant database driver 750 for their products.

20

ROS 602 may encrypt each secure database 610 record so that a VDE-provided security layer is "on top of" the commercial

database structure. In other words, SPE 736 may write secure records in sizes and formats that may be stored within a database record structure supported by commercial database manager 730. Commercial database manager 730 may then be used to organize, store, and retrieve the records. In some embodiments, it may be desirable to use a proprietary and/or newly created database manager in place of commercial database manager 730. However, the use of commercial database manager 730 may provide certain advantages such as, for example, an ability to use already existing database management product(s).

The Secure Database Services Manager ("SDSM") 744 makes calls to an underlying commercial database manager 730 to obtain, modify, and store records in secure database 610. In the preferred embodiment, "SDSM" 744 provides a layer "on top of" the structure of commercial database manager 730. For example, all VDE-secure information is sent to commercial database manager 730 in encrypted form. SDSM 744 in conjunction with cache manager 746 and database interface 748 may provide record management, caching (using cache manager 746), and related services (on top of) commercial database systems 730 and/or record managers. Database Interface 748



and cache manager 746 in the preferred embodiment do not present their own RSI, but rather the RPC Manager 732 communicates to them through the Secure Database Manager RSI 744a.

5

### **Name Services Manager 752**

The Name Services Manager 752 supports three subservices: user name services, host name services, and services name services. User name services provides mapping and lookup between user name and user ID numbers, and may also support other aspects of user-based resource and information security. Host name services provides mapping and lookup between the names (and other information, such as for example address, communications connection/routing information, etc.) of other processing resources (e.g., other host electronic appliances) and VDE node IDs. Services name service provides a mapping and lookup between services names and other pertinent information such as connection information (e.g., remotely available service routing and contact information) and service IDs.

20

Name Services Manager 752 in the preferred embodiment is connected to External Services Manager 772 so that it may provide external service routing information directly to the external services manager. Name services manager 752 is also  
5 connected to secure database manager 744 to permit the name services manager 752 to access name services records stored within secure database 610.

#### **External Services Manager 772 & Services Transport Layer 786**

10 The External Services Manager 772 provides protocol support capabilities to interface to external service providers. External services manager 772 may, for example, obtain external service routing information from name services manager 752, and then initiate contact to a particular external service (e.g.,  
15 another VDE electronic appliance 600, a financial clearinghouse, etc.) through communications manager 776. External services manager 772 uses a service transport layer 786 to supply communications protocols and other information necessary to provide communications.

20

There are several important examples of the use of External Services Manager 772. Some VDE objects may have

some or all of their content stored at an Object Repository 728 on an electronic appliance 600 other than the one operated by a user who has, or wishes to obtain, some usage rights to such VDE objects. In this case, External Services Manager 772 may  
5 manage a connection to the electronic appliance 600 where the VDE objects desired (or their content) is stored. In addition, file system 687 may be a network file system (e.g., Netware, LANtastic, NFS, etc.) that allows access to VDE objects using  
10 redirecter 684. Object switch 734 also supports this capability.

10

If External Services Manager 772 is used to access VDE objects, many different techniques are possible. For example, the VDE objects may be formatted for use with the World Wide Web protocols (HTML, HTTP, and URL) by including relevant  
15 headers, content tags, host ID to URL conversion (e.g., using Name Services Manager 752) and an HTTP-aware instance of Services Transport Layer 786.

In other examples, External Services Manager 772 may be  
20 used to locate, connect to, and utilize remote event processing services; smart agent execution services (both to provide these services and locate them); certification services for Public Keys;

remote Name Services; and other remote functions either supported by ROS 602 RPCs (e.g., have RSIs), or using protocols supported by Services Transport Layer 786.

5           **Outgoing Administrative Object Manager 754**

          Outgoing administrative object manager 754 receives administrative objects from object switch 734, object repository manager 770 or other source for transmission to another VDE electronic appliance. Outgoing administrative object manager  
10           754 takes care of sending the outgoing object to its proper destination. Outgoing administrative object manager 754 may obtain routing information from name services manager 752, and may use communications service 776 to send the object. Outgoing administrative object manager 754 typically maintains  
15           records (in concert with SPE 503) in secure database 610 (e.g., shipping table 444) that reflect when objects have been successfully transmitted, when an object should be transmitted, and other information related to transmission of objects.

20           **Incoming Administrative Object Manager 756**

          Incoming administrative object manager 756 receives administrative objects from other VDE electronic appliances 600

via communications manager 776. It may route the object to object repository manager 770, object switch 734 or other destination. Incoming administrative object manager 756 typically maintains records (in concert with SPE 503) in secure database 610 (e.g., receiving table 446) that record which objects have been received, objects expected for receipt, and other information related to received and/or expected objects.

#### **Object Repository Manager 770**

10           Object repository manager 770 is a form of database or file manager. It manages the storage of VDE objects 300 in object repository 728, in a database, or in the file system 687. Object repository manager 770 may also provide the ability to browse and/or search information related to objects (such as summaries  
15 of content, abstracts, reviewers' commentary, schedules, promotional materials, etc.), for example, by using INFORMATION methods associated with VDE objects 300.

#### **Object Submittal Manager 774**

20           Object submittal manager 774 in the preferred embodiment provides an interface between an application 608 and object switch 734, and thus may be considered in some

respects part of API 682. For example, it may allow a user application to create new VDE objects 300. It may also allow incoming/outgoing administrative object managers 756, 754 to create VDE objects 300 (administrative objects).

5

Figure 12A shows how object submittal manager 774 may be used to communicate with a user of electronic appliance 600 to help to create a new VDE object 300. Figure 12A shows that object creation may occur in two stages in the preferred embodiment: an object definition stage 1220, and an object creation stage 1230. The role of object submittal manager 774 is indicated by the two different "user input" depictions (774(1), 774(2)) shown in Figure 12A.

10

15

In one of its roles or instances, object submittal manager 774 provides a user interface 774a that allows the user to create an object configuration file 1240 specifying certain characteristics of a VDE object 300 to be created. This user interface 774a may, for example, allow the user to specify that she wants to create an object, allow the user to designate the content the object will contain, and allow the user to specify certain other aspects of the

20

information to be contained within the object (e.g., rules and control information, identifying information, etc.).

5 Part of the object definition task 1220 in the preferred embodiment may be to analyze the content or other information to be placed within an object. Object definition user interface 774a may issue calls to object switch 734 to analyze "content" or other information that is to be included within the object to be created in order to define or organize the content into "atomic  
10 elements" specified by the user. As explained elsewhere herein, such "atomic element" organizations might, for example, break up the content into paragraphs, pages or other subdivisions specified by the user, and might be explicit (e.g., inserting a control character between each "atomic element") or implicit.  
15 Object switch 734 may receive static and dynamic content (e.g., by way of time independent stream interface 762 and real time stream interface 760), and is capable of accessing and retrieving stored content or other information stored within file system 687.

20 The result of object definition 1240 may be an object configuration file 1240 specifying certain parameters relating to the object to be created. Such parameters may include, for

example, map tables, key management specifications, and event  
method parameters. The object construction stage 1230 may  
take the object configuration file 1240 and the information or  
content to be included within the new object as input, construct  
5 an object based on these inputs, and store the object within object  
repository 728.

Object construction stage 1230 may use information in  
object configuration file 1240 to assemble or modify a container.  
10 This process typically involves communicating a series of events  
to SPE 503 to create one or more PERCs 808, public headers,  
private headers, and to encrypt content, all for storage in the new  
object 300 (or within secure database 610 within records  
associated with the new object).

15  
The object configuration file 1240 may be passed to  
container manager 764 within object switch 734. Container  
manager 734 is responsible for constructing an object 300 based  
on the object configuration file 1240 and further user input. The  
20 user may interact with the object construction 1230 through  
another instance 774(2) of object submittal manager 774. In this  
further user interaction provided by object submittal manager



774, the user may specify permissions, rules and/or control information to be applied to or associated with the new object 300. To specify permissions, rules and control information, object submittal manager 774 and/or container manager 764 within  
5 object switch 734 generally will, as mentioned above, need to issue calls to SPE 503 (e.g., through gateway 734) to cause the SPE to obtain appropriate information from secure database 610, generate appropriate database items, and store the database items into the secure database 610 and/or provide them in  
10 encrypted, protected form to the object switch for incorporation into the object. Such information provided by SPE 503 may include, in addition to encrypted content or other information, one or more PERCs 808, one or more method cores 1000', one or more load modules 1100, one or more data structures such as  
15 UDEs 1200 and/or MDEs 1202, along with various key blocks, tags, public and private headers, and error correction information.

The container manager 764 may, in cooperation with SPE  
20 503, construct an object container 302 based at least in part on parameters about new object content or other information as specified by object configuration file 1240. Container manager

764 may then insert into the container 302 the content or other information (as encrypted by SPE 503) to be included in the new object. Container manager 764 may also insert appropriate permissions, rules and/or control information into the container 302 (this permissions, rules and/or control information may be defined at least in part by user interaction through object submittal manager 774, and may be processed at least in part by SPE 503 to create secure data control structures). Container manager 764 may then write the new object to object repository 687, and the user or the electronic appliance may "register" the new object by including appropriate information within secure database 610.

#### **Communications Subsystem 776**

Communications subsystem 776, as discussed above, may be a conventional communications service that provides a network manager 780 and a mail gateway manager 782. Mail filters 784 may be provided to automatically route objects 300 and other VDE information to/from the outside world.

Communications subsystem 776 may support a real time content feed 684 from a cable, satellite or other telecommunications link.

**Secure Processing Environment 503**

As discussed above in connection with Figure 12, each electronic appliance 600 in the preferred embodiment includes one or more SPEs 503 and/or one or more HPEs 655. These  
5 secure processing environments each provide a protected execution space for performing tasks in a secure manner. They may fulfill service requests passed to them by ROS 602, and they may themselves generate service requests to be satisfied by other services within ROS 602 or by services provided by another VDE  
10 electronic appliance 600 or computer.

In the preferred embodiment, an SPE 503 is supported by the hardware resources of an SPU 500. An HPE 655 may be supported by general purpose processor resources and rely on  
15 software techniques for security/protection. HPE 655 thus gives ROS 602 the capability of assembling and executing certain component assemblies 690 on a general purpose CPU such as a microcomputer, minicomputer, mainframe computer or supercomputer processor. In the preferred embodiment, the  
20 overall software architecture of an SPE 503 may be the same as the software architecture of an HPE 655. An HPE 655 can "emulate" SPE 503 and associated SPU 500, i.e., each may

include services and resources needed to support an identical set of service requests from ROS 602 (although ROS 602 may be restricted from sending to an HPE certain highly secure tasks to be executed only within an SPU 500).

5

Some electronic appliance 600 configurations might include both an SPE 503 and an HPE 655. For example, the HPE 655 could perform tasks that need lesser (or no) security protections, and the SPE 503 could perform all tasks that require a high  
10 degree of security. This ability to provide serial or concurrent processing using multiple SPE and/or HPE arrangements provides additional flexibility, and may overcome limitations imposed by limited resources that can practically or cost-effectively be provided within an SPU 500. The cooperation of  
15 an SPE 503 and an HPE 655 may, in a particular application, lead to a more efficient and cost effective but nevertheless secure overall processing environment for supporting and providing the secure processing required by VDE 100. As one example, an  
20 HPE 655 could provide overall processing for allowing a user to manipulate released object 300 'contents,' but use SPE 503 to access the secure object and release the information from the object.

Figure 13 shows the software architecture of the preferred embodiment Secure Processing Environment (SPE) 503. This architecture may also apply to the preferred embodiment Host Processing Environment (HPE) 655. "Protected Processing Environment" ("PPE") 650 may refer generally to SPE 503 and/or HPE 655. Hereinafter, unless context indicates otherwise, references to any of "PPE 650," "HPE 655" and "SPE 503" may refer to each of them.

As shown in Figure 13, SPE 503 (PPE 650) includes the following service managers/major functional blocks in the preferred embodiment:

Kernel/Dispatcher 552

- C Channel Services Manager 562
- 15 C SPE RPC Manager 550
- C Time Base Manager 554
- C Encryption/Decryption Manager 556
- C Key and Tag Manager 558
- C Summary Services Manager 560
- 20 C Authentication Manager/Service Communications  
Manager 564
- C Random Value Generator 565

C Secure Database Manager 566

C Other Services 592.

5 Each of the major functional blocks of PPE 650 is discussed  
in detail below.

#### I. SPE Kernel/Dispatcher 552

10 The Kernel/Dispatcher 552 provides an operating system  
"kernel" that runs on and manages the hardware resources of  
SPU 500. This operating system "kernel" 552 provides a self-  
contained operating system for SPU 500; it is also a part of  
overall ROS 602 (which may include multiple OS kernels,  
including one for each SPE and HPE ROS is  
controlling/managing). Kernel/dispatcher 552 provides SPU task  
15 and memory management, supports internal SPU hardware  
interrupts, provides certain "low level services," manages "DTD"  
data structures, and manages the SPU bus interface unit 530.  
Kernel/dispatcher 552 also includes a load module execution  
manager 568 that can load programs into secure execution space  
20 for execution by SPU 500.

In the preferred embodiment, kernel/dispatcher 552 may include the following software/functional components:

load module execution manager 568

task manager 576

5 memory manager 578

virtual memory manager 580

"low level" services manager 582

internal interrupt handlers 584

BIU handler 586 (may not be present in HPE 655)

10 Service interrupt queues 588

DTD Interpreter 590.

At least parts of the kernel/dispatcher 552 are preferably stored in SPU firmware loaded into SPU ROM 532. An example of a memory map of SPU ROM 532 is shown in Figure 14A. This memory map shows the various components of kernel/dispatcher 552 (as well as the other SPE services shown in Figure 13) residing in SPU ROM 532a and/or EEPROM 532b. The Figure 14B example of an NVRAM 534b memory map shows the task manager 576 and other information loaded into NVRAM.

15

20

One of the functions performed by kernel/dispatcher 552 is to receive RPC calls from ROS RPC manager 732. As explained above, the ROS Kernel RPC manager 732 can route RPC calls to the SPE 503 (via SPE Device Driver 736 and its associated RSI 736a) for action by the SPE. The SPE kernel/dispatcher 552 receives these calls and either handles them or passes them on to SPE RPC manager 550 for routing internally to SPE 503. SPE 503 based processes can also generate RPC requests. Some of these requests can be processed internally by the SPE 503. If they are not internally serviceable, they may be passed out of the SPE 503 through SPE kernel/dispatcher 552 to ROS RPC manager 732 for routing to services external to SPE 503.

#### **A. Kernel/Dispatcher Task Management**

Kernel/dispatcher task manager 576 schedules and oversees tasks executing within SPE 503 (PPE 650). SPE 503 supports many types of tasks. A "channel" (a special type of task that controls execution of component assemblies 690 in the preferred embodiment) is treated by task manager 576 as one type of task. Tasks are submitted to the task manager 576 for execution. Task manager 576 in turn ensures that the SPE 503/SPU 500 resources necessary to execute the tasks are made



available, and then arranges for the SPU microprocessor 520 to execute the task.

Any call to kernel/dispatcher 552 gives the kernel an  
5 opportunity to take control of SPE 503 and to change the task or  
tasks that are currently executing. Thus, in the preferred  
embodiment kernel/dispatcher task manager 576 may (in  
conjunction with virtual memory manager 580 and/or memory  
manager 578) "swap out" of the execution space any or all of the  
10 tasks that are currently active, and "swap in" additional or  
different tasks.

SPE tasking managed by task manager 576 may be either  
"single tasking" (meaning that only one task may be active at a  
15 time) or "multi-tasking" (meaning that multiple tasks may be  
active at once). SPE 503 may support single tasking or multi-  
tasking in the preferred embodiment. For example, "high end"  
implementations of SPE 503 (e.g., in server devices) should  
preferably include multi-tasking with "preemptive scheduling."  
20 Desktop applications may be able to use a simpler SPE 503,  
although they may still require concurrent execution of several  
tasks. Set top applications may be able to use a relatively simple

implementation of SPE 503, supporting execution of only one task at a time. For example, a typical set top implementation of SPU 500 may perform simple metering, budgeting and billing using subsets of VDE methods combined into single "aggregate" load modules to permit the various methods to execute in a single tasking environment. However, an execution environment that supports only single tasking may limit use with more complex control structures. Such single tasking versions of SPE 503 trade flexibility in the number and types of metering and budgeting operations for smaller run time RAM size requirements. Such implementations of SPE 503 may (depending upon memory limitations) also be limited to metering a single object 300 at a time. Of course, variations or combinations are possible to increase capabilities beyond a simple single tasking environment without incurring the additional cost required to support "full multitasking."

In the preferred embodiment, each task in SPE 503 is represented by a "swap block," which may be considered a "task" in a traditional multitasking architecture. A "swap block" in the preferred embodiment is a bookkeeping mechanism used by task manager 576 to keep track of tasks and subtasks. It corresponds

to a chunk of code and associated references that "fits" within the secure execution environment provided by SPU 500. In the preferred embodiment, it contains a list of references to shared data elements (e.g., load modules 1100 and UDEs 1200), private data elements (e.g., method data and local stack), and swapped process "context" information (e.g., the register set for the process when it is not processing). Figure 14C shows an example of a snapshot of SPU RAM 532 storing several examples of "swap blocks" for a number of different tasks/methods such as a "channel" task, a "control" task, an "event" task, a "meter" task, a "budget" task, and a "billing" task. Depending on the size of SPU RAM 532, "swap blocks" may be swapped out of RAM and stored temporarily on secondary storage 652 until their execution can be continued. Thus, SPE 503 operating in a multi-tasking mode may have one or more tasks "sleeping." In the simplest form, this involves an active task that is currently processing, and another task (e.g., a control task under which the active task may be running) that is "sleeping" and is "swapped out" of active execution space. Kernel/dispatcher 522 may swap out tasks at any time.

Task manager 576 may use Memory Manager 578 to help it perform this swapping operation. Tasks may be swapped out of the secure execution space by reading appropriate information from RAM and other storage internal to SPU 500, for example, and writing a "swap block" to secondary storage 652. Kernel 552 may swap a task back into the secure execution space by reading the swap block from secondary storage 652 and writing the appropriate information back into SPU RAM 532. Because secondary storage 652 is not secure, SPE 503 must encrypt and cryptographically seal (e.g., using a one-way hash function initialized with a secret value known only inside the SPU 500) each swap block before it writes it to secondary storage. The SPE 503 must decrypt and verify the cryptographic seal for each swap block read from secondary storage 652 before the swap block can be returned to the secure execution space for further execution.

Loading a "swap block" into SPU memory may require one or more "paging operations" to possibly first save, and then flush, any "dirty pages" (i.e., pages changed by SPE 503) associated with the previously loaded swap blocks, and to load all required pages for the new swap block context.

Kernel/dispatcher 522 preferably manages the "swap blocks" using service interrupt queues 588. These service interrupt queues 588 allow kernel/dispatcher 552 to track tasks (swap blocks) and their status (running, "swapped out," or "asleep"). The kernel/dispatcher 552 in the preferred embodiment may maintain the following service interrupt queues 588 to help it manage the "swap blocks":

5                   RUN queue  
                  SWAP queue  
10                  SLEEP queue.

Those tasks that are completely loaded in the execution space and are waiting for and/or using execution cycles from microprocessor 502 are in the RUN queue. Those tasks that are "swapped" out (e.g., because they are waiting for other swappable components to be loaded) are referenced in the SWAP queue.

15                   Those tasks that are "asleep" (e.g., because they are "blocked" on some resource other than processor cycles or are not needed at the moment) are referenced in the SLEEP queue.

Kernel/dispatcher task manager 576 may, for example, transition tasks between the RUN and SWAP queues based upon a "round-robin" scheduling algorithm that selects the next task waiting for service, swaps in any pieces that need to be paged in, and

20

executes the task. Kernel/dispatcher 552 task manager 576 may transition tasks between the SLEEP queue and the "awake" (i.e., RUN or SWAP) queues as needed.

5           When two or more tasks try to write to the same data structure in a multi-tasking environment, a situation exists that may result in "deadly embrace" or "task starvation." A "multi-threaded" tasking arrangement may be used to prevent "deadly embrace" or "task starvation" from happening. The preferred  
10           embodiment kernel/dispatcher 552 may support "single threaded" or "multi-threaded" tasking.

          In single threaded applications, the kernel/dispatcher 552 "locks" individual data structures as they are loaded. Once  
15           locked, no other SPE 503 task may load them and will "block" waiting for the data structure to become available. Using a single threaded SPE 503 may, as a practical matter, limit the ability of outside vendors to create load modules 1100 since there can be no assurance that they will not cause a "deadly embrace"  
20           with other VDE processes about which outside vendors may know little or nothing. Moreover, the context swapping of a partially updated record might destroy the integrity of the

system, permit unmetered use, and/or lead to deadlock. In addition, such "locking" imposes a potentially indeterminate delay into a typically time critical process, may limit SPE 503 throughput, and may increase overhead.

5

This issue notwithstanding, there are other significant processing issues related to building single-threaded versions of SPE 503 that may limit its usefulness or capabilities under some circumstances. For example, multiple concurrently executing tasks may not be able to process using the same often-needed data structure in a single-threaded SPE 503. This may effectively limit the number of concurrent tasks to one. Additionally, single-threadedness may eliminate the capability of producing accurate summary budgets based on a number of concurrent tasks since multiple concurrent tasks may not be able to effectively share the same summary budget data structure. Single-threadedness may also eliminate the capability to support audit processing concurrently with other processing. For example, real-time feed processing might have to be shut down in order to audit budgets and meters associated with the monitoring process.

10

15

20

One way to provide a more workable "single-threaded" capability is for kernel/dispatcher 552 to use virtual page handling algorithms to track "dirty pages" as data areas are written to. The "dirty pages" can be swapped in and out with the task swap block as part of local data associated with the swap block. When a task exits, the "dirty pages" can be merged with the current data structure (possibly updated by another task for SPU 500) using a three-way merge algorithm (i.e., merging the original data structure, the current data structure, and the "dirty pages" to form a new current data structure). During the update process, the data structure can be locked as the pages are compared and swapped. Even though this virtual paging solution might be workable for allowing single threading in some applications, the vendor limitations mentioned above may limit the use of such single threaded implementations in some cases to dedicated hardware. Any implementation that supports multiple users (e.g., "smart home" set tops, many desk tops and certain PDA applications, etc.) may hit limitations of a single threaded device in certain circumstances.

20

It is preferable when these limitations are unacceptable to use a full "multi-threaded" data structure write capabilities. For



example, a type of "two-phase commit" processing of the type used by database vendors may be used to allow data structure sharing between processes. To implement this "two-phase commit" process, each swap block may contain page addresses for additional memory blocks that will be used to store changed information. A change page is a local copy of a piece of a data element that has been written by an SPE process. The changed page(s) references associated with a specific data structure are stored locally to the swap block in the preferred embodiment.

10

For example, SPE 503 may support two (change pages) per data structure. This limit is easily alterable by changing the size of the swap block structure and allowing the update algorithm to process all of the changed pages. The "commit" process can be invoked when a swap block that references changed pages is about to be discarded. The commit process takes the original data element that was originally loaded (e.g.,  $UDE_0$ ), the current data element (e.g.,  $UDE_n$ ) and the changed pages, and merges them to create a new copy of the data element (e.g.,  $UDE_{n+1}$ ). Differences can be resolved by the DTD interpreter 590 using a DTD for the data element. The original data element is

20

discarded (e.g., as determined by its DTD use count) if no other swap block references it.

### **B. Kernel/Dispatcher Memory Management**

5           Memory manager 578 and virtual memory manager 580 in  
the preferred embodiment manage ROM 532 and RAM 534  
memory within SPU 500 in the preferred embodiment. Virtual  
memory manager 580 provides a fully "virtual" memory system to  
increase the amount of "virtual" RAM available in the SPE  
10           secure execution space beyond the amount of physical RAM 534a  
provided by SPU 500. Memory manager 578 manages the  
memory in the secure execution space, controlling how it is  
accessed, allocated and deallocated. SPU MMU 540, if present,  
supports virtual memory manager 580 and memory manager 578  
15           in the preferred embodiment. In some "minimal" configurations  
of SPU 500 there may be no virtual memory capability and all  
memory management functions will be handled by memory  
manager 578. Memory management can also be used to help  
enforce the security provided by SPE 503. In some classes of  
20           SPUs 500, for example, the kernel memory manager 578 may use  
hardware memory management unit (MMU) 540 to provide page  
level protection within the SPU 500. Such a hardware-based

memory management system provides an effective mechanism for protecting VDE component assemblies 690 from compromise by "rogue" load modules.

5           In addition, memory management provided by memory manager 578 operating at least in part based on hardware-based MMU 540 may securely implement and enforce a memory architecture providing multiple protection domains. In such an architecture, memory is divided into a plurality of domains that  
10           are largely isolated from each other and share only specific memory areas under the control of the memory manager 578. An executing process cannot access memory outside its domain and can only communicate with other processes through services provided by and mediated by privileged kernel/dispatcher  
15           software 552 within the SPU 500. Such an architecture is more secure if it is enforced at least in part by hardware within MMU 540 that cannot be modified by any software-based process executing within SPU 500.

20           In the preferred embodiment, access to services implemented in the ROM 532 and to physical resources such as NVRAM 534b and RTC 528 are mediated by the combination of

privileged kernel/dispatcher software 552 and hardware within MMU 540. ROM 532 and RTC 528 requests are privileged in order to protect access to critical system component routines (e.g., RTC 528).

5

Memory manager 578 is responsible for allocating and deallocating memory; supervising sharing of memory resources between processes; and enforcing memory access/use restriction. The SPE kernel/dispatcher memory manager 578 typically initially allocates all memory to kernel 552, and may be configured to permit only process-level access to pages as they are loaded by a specific process. In one example SPE operating system configuration, memory manager 578 allocates memory using a simplified allocation mechanism. A list of each memory page accessible in SPE 503 may be represented using a bit map allocation vector, for example. In a memory block, a group of contiguous memory pages may start at a specific page number. The size of the block is measured by the number of memory pages it spans. Memory allocation may be recorded by setting/clearing the appropriate bits in the allocation vector.

10

15

20

To assist in memory management functions, a "dope vector" may be prepended to a memory block. The "dope vector" may contain information allowing memory manager 578 to manage that memory block. In its simplest form, a memory block may be structured as a "dope vector" followed by the actual memory area of the block. This "dope vector" may include the block number, support for dynamic paging of data elements, and a marker to detect memory overwrites. Memory manager 578 may track memory blocks by their block number and convert the block number to an address before use. All accesses to the memory area can be automatically offset by the size of the "dope vector" during conversion from a block memory to a physical address. "Dope vectors" can also be used by virtual memory manager 580 to help manage virtual memory.

The ROM 532 memory management task performed by memory manager 578 is relatively simple in the preferred embodiment. All ROM 532 pages may be flagged as "read only" and as "non-pagable." EEPROM 532B memory management may be slightly more complex since the "burn count" for each EEPROM page may need to be retained. SPU EEPROM 532B may need to be protected from all uncontrolled writes to conserve

the limited writable lifetime of certain types of this memory. Furthermore, EEPROM pages may in some cases not be the same size as memory management address pages.

5           SPU NVRAM 534b is preferably battery backed RAM that has a few access restrictions. Memory manager 578 can ensure control structures that must be located in NVRAM 534b are not relocated during "garbage collection" processes. As discussed above, memory manager 578 (and MMU 540 if present) may  
10 protect NVRAM 534b and RAM 534a at a page level to prevent tampering by other processes.

Virtual memory manager 580 provides paging for programs and data between SPU external memory and SPU  
15 internal RAM 534a. It is likely that data structures and executable processes will exceed the limits of any SPU 500 internal memory. For example, PERCs 808 and other fundamental control structures may be fairly large, and "bit map meters" may be, or become, very large. This eventuality may be  
20 addressed in two ways:

- (1) subdividing load modules 1100; and
- (2) supporting virtual paging.

Load modules 1100 can be "subdivided" in that in many instances they can be broken up into separate components only a subset of which must be loaded for execution. Load modules 1100 are the smallest pagable executable element in this example.

5 Such load modules 1100 can be broken up into separate components (e.g., executable code and plural data description blocks), only one of which must be loaded for simple load modules to execute. This structure permits a load module 1100 to initially load only the executable code and to load the data description  
10 blocks into the other system pages on a demand basis. Many load modules 1100 that have executable sections that are too large to fit into SPU 500 can be restructured into two or more smaller independent load modules. Large load modules may be manually "split" into multiple load modules that are "chained"  
15 together using explicit load module references.

Although "demand paging" can be used to relax some of these restrictions, the preferred embodiment uses virtual paging to manage large data structures and executables. Virtual  
20 Memory Manager 580 "swaps" information (e.g., executable code and/or data structures) into and out of SPU RAM 534a, and provides other related virtual memory management services to

allow a full virtual memory management capability. Virtual memory management may be important to allow limited resource SPU 500 configurations to execute large and/or multiple tasks.

5                   **C. SPE Load Module Execution Manager 568**

The SPE (HPE) load module execution manager ("LMEM") 568 loads executables into the memory managed by memory manager 578 and executes them. LMEM 568 provides mechanisms for tracking load modules that are currently loaded  
10                   inside the protected execution environment. LMEM 568 also provides access to basic load modules and code fragments stored within, and thus always available to, SPE 503. LMEM 568 may be called, for example, by load modules 1100 that want to execute other load modules.

15

In the preferred embodiment, the load module execution manager 568 includes a load module executor ("program loader") 570, one or more internal load modules 572, and library routines 574. Load module executor 570 loads executables into memory  
20                   (e.g., after receiving a memory allocation from memory manager 578) for execution. Internal load module library 572 may provide a set of commonly used basic load modules 1100 (stored in ROM



532 or NVRAM 534b, for example). Library routines 574 may provide a set of commonly used code fragments/routines (e.g., bootstrap routines) for execution by SPE 503.

5           Library routines 574 may provide a standard set of library functions in ROM 532. A standard list of such library functions along with their entry points and parameters may be used. Load modules 1100 may call these routines (e.g., using an interrupt reserved for this purpose). Library calls may reduce the size of  
10           load modules by moving commonly used code into a central location and permitting a higher degree of code reuse. All load modules 1100 for use by SPE 503 are preferably referenced by a load module execution manager 568 that maintains and scans a list of available load modules and selects the appropriate load  
15           module for execution. If the load module is not present within SPE 503, the task is "slept" and LMEM 568 may request that the load module 1100 be loaded from secondary storage 562. This request may be in the form of an RPC call to secure database manager 566 to retrieve the load module and associated data  
20           structures, and a call to encrypt/decrypt manager 556 to decrypt the load module before storing it in memory allocated by memory manager 578.

In somewhat more detail, the preferred embodiment executes a load module 1100 by passing the load module execution manager 568 the name (e.g., VDE ID) of the desired load module 1100. LMEM 568 first searches the list of "in  
5 memory" and "built-in" load modules 572. If it cannot find the desired load module 1100 in the list, it requests a copy from the secure database 610 by issuing an RPC request that may be handled by ROS secure database manager 744 shown in Figure 12. Load module execution manager 568 may then request  
10 memory manager 578 to allocate a memory page to store the load module 1100. The load module execution manager 568 may copy the load module into that memory page, and queue the page for decryption and security checks by encrypt/decrypt manager 556 and key and tag manager 558. Once the page is decrypted and  
15 checked, the load module execution manager 568 checks the validation tag and inserts the load module into the list of paged in modules and returns the page address to the caller. The caller may then call the load module 1100 directly or allow the load module execution module 570 to make the call for it.

20

Figure 15a shows a detailed example of a possible format for a channel header 596 and a channel 594 containing channel

detail records 594(1), 594(2), . . . 594(N). Channel header 596 may include a channel ID field 597(1), a user ID field 597(2), an object ID field 597(3), a field containing a reference or other identification to a "right" (i.e., a collection of events supported by methods referenced in a PERC 808 and/or "user rights table" 464) 597(4), an event queue 597(5), and one or more fields 598 that cross-reference particular event codes with channel detail records ("CDRs"). Channel header 596 may also include a "jump" or reference table 599 that permits addressing of elements within an associated component assembly or assemblies 690. Each CDR 594(1), . . . 594(N) corresponds to a specific event (event code) to which channel 594 may respond. In the preferred embodiment, these CDRs may include explicitly and/or by reference each method core 1000N (or fragment thereof), load module 1100 and data structure(s), (e.g., URT, UDE 1200 and/or MDE 1202) needed to process the corresponding event. In the preferred embodiment, one or more of the CDRs (e.g., 594(1)) may reference a control method and a URT 464 as a data structure.

Figure 15b shows an example of program control steps performed by SPE 503 to "open" a channel 594 in the preferred embodiment. In the preferred embodiment, a channel 594

provides event processing for a particular VDE object 300, a particular authorized user, and a particular "right" (i.e., type of event). These three parameters may be passed to SPE 503. Part of SPE kernel/dispatcher 552 executing within a "channel 0" constructed by low level services 582 during a "bootstrap" routine may respond initially to this "open channel" event by allocating an available channel supported by the processing resources of SPE 503 (block 1125). This "channel 0" "open channel" task may then issue a series of requests to secure database manager 566 to obtain the "blueprint" for constructing one or more component assemblies 690 to be associated with channel 594 (block 1127). In the preferred embodiment, this "blueprint" may comprise a PERC 808 and/or URT 464. It may be obtained by using the "Object, User, Right" parameters passed to the "open channel" routine to "chain" together object registration table 460 records, user/object table 462 records, URT 464 records, and PERC 808 records. This "open channel" task may preferably place calls to key and tag manager 558 to validate and correlate the tags associated with these various records to ensure that they are authentic and match. The preferred embodiment process then may write appropriate information to channel header 596 (block 1129). Such information may include, for example, User ID,

Object ID, and a reference to the "right" that the channel will process. The preferred embodiment process may next use the "blueprint" to access (e.g, the secure database manager 566 and/or from load module execution manager library(ies) 568) the appropriate "control method" that may be used to, in effect, supervise execution of all of the other methods 1000 within the channel 594 (block 1131). The process may next "bind" this control method to the channel (block 1133), which step may include binding information from a URT 464 into the channel as a data structure for the control method. The process may then pass an "initialization" event into channel 594 (block 1135). This "initialization" event may be created by the channel services manager 562, the process that issued the original call requesting a service being fulfilled by the channel being built, or the control method just bound to the channel could itself possibly generate an initialization event which it would in effect pass to itself.

In response to this "initialization" event, the control method may construct the channel detail records 594(1), . . . 594(N) used to handle further events other than the "initialization" event. The control method executing "within" the channel may access the various components it needs to construct

associated component assemblies 690 based on the "blueprint"  
accessed at step 1127 (block 1137). Each of these components is  
bound to the channel 594 (block 1139) by constructing an  
associated channel detail record specifying the method core(s)  
5 1000N, load module(s) 1100, and associated data structure(s) (e.g.,  
UDE(s) 1200 and/or MDE(s) 1202) needed to respond to the  
event. The number of channel detail records will depend on the  
number of events that can be serviced by the "right," as specified  
by the "blueprint" (i.e., URT 464). During this process, the  
10 control method will construct "swap blocks" to, in effect, set up all  
required tasks and obtain necessary memory allocations from  
kernel 562. The control method will, as necessary, issue calls to  
secure database manager 566 to retrieve necessary components  
from secure database 610, issue calls to encrypt/decrypt manager  
15 556 to decrypt retrieved encrypted information, and issue calls to  
key and tag manager 558 to ensure that all retrieved components  
are validated. Each of the various component assemblies 690 so  
constructed are "bound" to the channel through the channel  
header event code/pointer records 598 and by constructing  
20 appropriate swap blocks referenced by channel detail records  
594(1), . . . 594(N). When this process is complete, the channel  
594 has been completely constructed and is ready to respond to

further events. As a last step, the Figure 15b process may, if desired, deallocate the "initialization" event task in order to free up resources.

5           Once a channel 594 has been constructed in this fashion, it will respond to events as they arrive. Channel services manager 562 is responsible for dispatching events to channel 594. Each time a new event arrives (e.g., via an RPC call), channel services manager 562 examines the event to determine whether a channel  
10           already exists that is capable of processing it. If a channel does exist, then the channel services manager 562 passes the event to that channel. To process the event, it may be necessary for task manager 576 to "swap in" certain "swappable blocks" defined by the channel detail records as active tasks. In this way,  
15           executable component assemblies 690 formed during the channel open process shown in Figure 15b are placed into active secure execution space, the particular component assembly that is activated being selected in response to the received event code. The activated task will then perform its desired function in  
20           response to the event.

To destroy a channel, the various swap blocks defined by the channel detail records are destroyed, the identification information in the channel header 596 is wiped clean, and the channel is made available for re-allocation by the "channel 0" "open channel" task.

#### **D. SPE Interrupt Handlers 584**

As shown in Figure 13, kernel/dispatcher 552 also provides internal interrupt handler(s) 584. These help to manage the resources of SPU 500. SPU 500 preferably executes in either "interrupt" or "polling" mode for all significant components. In polling mode, kernel/dispatcher 552 may poll each of the sections/circuits within SPU 500 and emulate an interrupt for them. The following interrupts are preferably supported by SPU 500 in the preferred embodiment:

- C "tick" of RTC 528
- C interrupt from bus interface 530
- C power fail interrupt
- C watchdog timer interrupt
- 20 C interrupt from encrypt/decrypt engine 522
- C memory interrupt (e.g., from MMU 540).



When an interrupt occurs, an interrupt controller within microprocessor 520 may cause the microprocessor to begin executing an appropriate interrupt handler. An interrupt handler is a piece of software/firmware provided by  
5 kernel/dispatcher 552 that allows microprocessor 520 to perform particular functions upon the occurrence of an interrupt. The interrupts may be "vectored" so that different interrupt sources may effectively cause different interrupt handlers to be executed.

10 A "timer tick" interrupt is generated when the real-time RTC 528 "pulses." The timer tick interrupt is processed by a timer tick interrupt handler to calculate internal device date/time and to generate timer events for channel processing.

15 The bus interface unit 530 may generate a series of interrupts. In the preferred embodiment, bus interface 530, modeled after a USART, generates interrupts for various conditions (e.g., "receive buffer full," "transmitter buffer empty," and "status word change"). Kernel/dispatcher 552 services the  
20 transmitter buffer empty interrupt by sending the next character from the transmit queue to the bus interface 530. Kernel/dispatcher interrupt handler 584 may service the received

buffer full interrupt by reading a character, appending it to the current buffer, and processing the buffer based on the state of the service engine for the bus interface 530. Kernel/dispatcher 552 preferably processes a status word change interrupt and  
5 addresses the appropriate send/receive buffers accordingly.

SPU 500 generates a power fail interrupt when it detects an imminent power fail condition. This may require immediate action to prevent loss of information. For example, in the  
10 preferred embodiment, a power fail interrupt moves all recently written information (i.e., "dirty pages") into non-volatile NVRAM 534b, marks all swap blocks as "swapped out," and sets the appropriate power fail flag to facilitate recovery processing. Kernel/dispatcher 552 may then periodically poll the "power fail  
15 bit" in a status word until the data is cleared or the power is removed completely.

SPU 500 in the example includes a conventional watchdog timer that generates watchdog timer interrupts on a regular  
20 basis. A watchdog timer interrupt handler performs internal device checks to ensure that tampering is not occurring. The internal clocks of the watchdog timer and RTC 528 are compared

to ensure SPU 500 is not being paused or probed, and other internal checks on the operation of SPU 500 are made to detect tampering.

5           The encryption/decryption engine 522 generates an interrupt when a block of data has been processed. The kernel interrupt handler 584 adjusts the processing status of the block being encrypted or decrypted, and passes the block to the next stage of processing. The next block scheduled for the encryption  
10           service then has its key moved into the encrypt/decrypt engine 522, and the next cryptographic process started.

          A memory management unit 540 interrupt is generated when a task attempts to access memory outside the areas  
15           assigned to it. A memory management interrupt handler traps the request, and takes the necessary action (e.g., by initiating a control transfer to memory manager 578 and/or virtual memory manager 580). Generally, the task will be failed, a page fault exception will be generated, or appropriate virtual memory  
20           page(s) will be paged in.

**E. Kernel/Dispatcher Low Level Services 582**

Low level services 582 in the preferred embodiment provide "low level" functions. These functions in the preferred embodiment may include, for example, power-on initialization, device POST, and failure recovery routines. Low level services 582 may also in the preferred embodiment provide (either by themselves or in combination with authentication manager/service communications manager 564) download response-challenge and authentication communication protocols, and may provide for certain low level management of SPU 500 memory devices such as EEPROM and FLASH memory (either alone or in combination with memory manager 578 and/or virtual memory manager 580).

**15 F. Kernel/Dispatcher BIU handler 586**

BIU handler 586 in the preferred embodiment manages the bus interface unit 530 (if present). It may, for example, maintain read and write buffers for the BIU 530, provide BIU startup initialization, etc.

20

### **G. Kernel/Dispatcher DTD Interpreter 590**

DTD interpreter 590 in the preferred embodiment handles data formatting issues. For example, the DTD interpreter 590 may automatically open data structures such as UDEs 1200  
5 based on formatting instructions contained within DTDs.

The SPE kernel/dispatcher 552 discussed above supports all of the other services provided by SPE 503. Those other services are discussed below.

10

### **II. SPU Channel Services Manager 562**

"Channels" are the basic task processing mechanism of SPE 503 (HPE 655) in the preferred embodiment. ROS 602 provides an event-driven interface for "methods." A "channel"  
15 allows component assemblies 690 to service events. A "channel" is a conduit for passing "events" from services supported by SPE 503 (HPE 655) to the various methods and load modules that have been specified to process these events, and also supports the assembly of component assemblies 690 and interaction between  
20 component assemblies. In more detail, "channel" 594 is a data structure maintained by channel manager 593 that "binds" together one or more load modules 1100 and data structures (e.g.,

UDEs 1200 and/or MDEs 1202) into a component assembly 690. Channel services manager 562 causes load module execution manager 569 to load the component assembly 690 for execution, and may also be responsible for passing events into the channel 594 for response by a component assembly 690. In the preferred embodiment, event processing is handled as a message to the channel service manager 562.

Figure 15 is a diagram showing how the preferred embodiment channel services manager 562 constructs a "channel" 594, and also shows the relationship between the channel and component assemblies 690. Briefly, the SPE channel manager 562 establishes a "channel" 594 and an associated "channel header" 596. The channel 594 and its header 596 comprise a data structure that "binds" or references elements of one or more component assemblies 690. Thus, the channel 594 is the mechanism in the preferred embodiment that collects together or assembles the elements shown in Figure 11E into a component assembly 690 that may be used for event processing.

20

The channel 594 is set up by the channel services manager 562 in response to the occurrence of an event. Once the channel

is created, the channel services manager 562 may issue function calls to load module execution manager 568 based on the channel 594. The load module execution manager 568 loads the load modules 1100 referenced by a channel 594, and requests  
5 execution services by the kernel/dispatcher task manager 576. The kernel/dispatcher 552 treats the event processing request as a task, and executes it by executing the code within the load modules 1100 referenced by the channel.

10           The channel services manager 562 may be passed an identification of the event (e.g., the "event code"). The channel services manager 562 parses one or more method cores 1000' that are part of the component assembly(ies) 690 the channel services manager is to assemble. It performs this parsing to determine  
15 which method(s) and data structure(s) are invoked by the type of event. Channel manager 562 then issues calls (e.g., to secure database manager 566) to obtain the methods and data structure(s) needed to build the component assembly 690. These called-for method(s) and data structure(s) (e.g., load modules  
20 1100, UDEs 1200 and/or MDEs 1202) are each decrypted using encrypt/decrypt manager 556 (if necessary), and are then each validated using key and tag manager 558. Channel manager 562

constructs any necessary "jump table" references to, in effect,  
"link" or "bind" the elements into a single cohesive executable so  
the load module(s) can reference data structures and any other  
load module(s) in the component assembly. Channel manager  
5 562 may then issue calls to LMEM 568 to load the executable as  
an active task.

Figure 15 shows that a channel 594 may reference another  
channel. An arbitrary number of channels 594 may be created by  
10 channel manager 594 to interact with one another.

"Channel header" 596 in the preferred embodiment is (or  
references) the data structure(s) and associated control  
program(s) that queues events from channel event sources,  
15 processes these events, and releases the appropriate tasks  
specified in the "channel detail record" for processing. A "channel  
detail record" in the preferred embodiment links an event to a  
"swap block" (i.e., task) associated with that event. The "swap  
block" may reference one or more load modules 1100, UDEs 1200  
20 and private data areas required to properly process the event.  
One swap block and a corresponding channel detail item is  
created for each different event the channel can respond to.



In the preferred embodiment, Channel Services Manager 562 may support the following (internal) calls to support the creation and maintenance of channels 562:

5

Call Name	Source	Description
"Write Event"	Write	Writes an event to the channel for response by the channel. The <u>Write Event</u> call thus permit the caller to insert an event into the event queue associated with the channel. The event will be processed in turn by the channel 594.
"Bind Item"	Ioctl	Binds an item to a channel with the appropriate processing algorithm. The <u>Bind Item</u> call permits the caller to bind a VDE item ID to a channel (e.g., to create one or more swap blocks associated with a channel). This call may manipulate the contents of individual swap blocks.
"Unbind Item"	Ioctl	Unbinds an item from a channel with the appropriate processing algorithm. The <u>Unbind Item</u> call permits the caller to break the binding of an item to a swap block. This call may manipulate the contents of individual swap blocks.

10

**SPE RPC Manager 550**

As described in connection with Figure 12, the architecture of ROS 602 is based on remote procedure calls in the preferred embodiment. ROS 602 includes an RPC Manager 732 that passes RPC calls between services each of which present an RPC service interface ("RSI") to the RPC manager. In the preferred embodiment, SPE 503 (HPE 655) is also built around the same RPC concept. The SPE 503 (HPE 655) may include a number of internal modular service providers each presenting an RSI to an RPC manager 550 internal to the SPE (HPE). These internal service providers may communicate with each other and/or with ROS RPC manager 732 (and thus, with any other service provided by ROS 602 and with external services), using RPC service requests.

RPC manager 550 within SPE 503 (HPE 655) is not the same as RPC manager 732 shown in Figure 12, but it performs a similar function within the SPE (HPE): it receives RPC requests and passes them to the RSI presented by the service that is to fulfill the request. In the preferred embodiment, requests are passed between ROS RPC manager 732 and the outside world (i.e., SPE device driver 736) via the SPE (HPE)

Kernel/Dispatcher 552. Kernel/Dispatcher 552 may be able to service certain RPC requests itself, but in general it passes received requests to RPC manager 550 for routing to the appropriate service internal to the SPE (HPE). In an alternate  
5 embodiment, requests may be passed directly between the HPE, SPE, API, Notification interface, and other external services instead of routing them through the ROS RPC manager 732. The decision on which embodiment to use is part of the scalability of the system; some embodiments are more efficient than others  
10 under various traffic loads and system configurations. Responses by the services (and additional service requests they may themselves generate) are provided to RPC Manager 550 for routing to other service(s) internal or external to SPE 503 (HPE 655).

15

SPE RPC Manager 550 and its integrated service manager uses two tables to dispatch remote procedure calls: an RPC services table, and an optional RPC dispatch table. The RPC services table describes where requests for specific services are to  
20 be routed for processing. In the preferred embodiment, this table is constructed in SPU RAM 534a or NVRAM 534b, and lists each RPC service "registered" within SPU 500. Each row of the RPC

services table contains a service ID, its location and address, and a control byte. In simple implementations, the control byte indicates only that the service is provided internally or externally. In more complex implementations, the control byte can indicate an instance of the service (e.g., each service may have multiple "instances" in a multi-tasking environment). ROS RPC manager 732 and SPE 503 may have symmetric copies of the RPC services table in the preferred embodiment. If an RPC service is not found in the RPC services table, SPE 503 may either reject it or pass it to ROS RPC manager 732 for service.

The SPE RPC manager 550 accepts the request from the RPC service table and processes that request in accordance with the internal priorities associated with the specific service. In SPE 503, the RPC service table is extended by an RPC dispatch table. The preferred embodiment RPC dispatch table is organized as a list of Load Module references for each RPC service supported internally by SPE 503. Each row in the table contains a load module ID that services the call, a control byte that indicates whether the call can be made from an external caller, and whether the load module needed to service the call is permanently resident in SPU 500. The RPC dispatch table may

be constructed in SPU ROM 532 (or EEPROM) when SPU firmware 508 is loaded into the SPU 500. If the RPC dispatch table is in EEPROM, it flexibly allows for updates to the services without load module location and version control issues.

5

In the preferred embodiment, SPE RPC manager 550 first references a service request against the RPC service table to determine the location of the service manager that may service the request. The RPC manager 550 then routes the service request to the appropriate service manager for action. Service requests are handled by the service manager within the SPE 503 using the RPC dispatch table to dispatch the request. Once the RPC manager 550 locates the service reference in the RPC dispatch table, the load module that services the request is called and loaded using the load module execution manager 568. The load module execution manager 568 passes control to the requested load module after performing all required context configuration, or if necessary may first issue a request to load it from the external management files 610.

15  
20

**SPU Time Base Manager 554**

The time base manager 554 supports calls that relate to the real time clock ("RTC") 528. In the preferred embodiment, the time base manager 554 is always loaded and ready to respond to time based requests.

The table below lists examples of basic calls that may be supported by the time base manager 554:

Call Name	Description
<b>Independent requests</b>	
Get Time	Returns the time (local, GMT, or ticks).
Set time	Sets the time in the RTC 528. Access to this command may be restricted to a VDE administrator.
Adjust time	Changes the time in the RTC 528. Access to this command may be restricted to a VDE administrator.
Set Time Parameter	Set GMT / local time conversion and the current and allowable magnitude of user adjustments to RTC 528 time.
<b>Channel Services Manager Requests</b>	
Bind Time	Bind timer services to a channel as an event source.
Unbind Time	Unbind timer services from a channel as an event source.

10

Call Name	Description
Set Alarm	Sets an alarm notification for a specific time. The user will be notified by an alarm event at the time of the alarm. Parameters to this request determine the event, frequency, and requested processing for the alarm.
Clear Alarm	Cancels a requested alarm notification.

5

### SPU Encryption/Decryption Manager 556

The Encryption/Decryption Manager 556 supports calls to the various encryption/decryption techniques supported by SPE 503/HPE 655. It may be supported by a hardware-based encryption/decryption engine 522 within SPU 500. Those encryption/decryption technologies not supported by SPU encrypt/decrypt engine 522 may be provided by encrypt/decrypt manager 556 in software. The primary bulk encryption/decryption load modules preferably are loaded at all times, and the load modules necessary for other algorithms are preferably paged in as needed. Thus, if the primary bulk encryption/decryption algorithm is DES, only the DES load modules need be permanently resident in the RAM 534a of SPE 503/HPE 655.

The following are examples of RPC calls supported by Encrypt/Decrypt Manager 556 in the preferred embodiment:

5	<b>Call Name</b>	<b>Description</b>
	PK Encrypt	Encrypt a block using a PK (public key) algorithm.
	PK Decrypt	Decrypt a block using a PK algorithm.
	DES Encrypt	Encrypt a block using DES.
10	DES Decrypt	Decrypt a block using DES.
	RC-4 Encrypt	Encrypt a block using the RC-4 (or other bulk encryption) algorithm.
	RC-4 Decrypt	Decrypt a block using the RC-4 (or other bulk encryption) algorithm.
15	Initialize DES Instance	Initialize DES instance to be used.
	Initialize RC-4 Instance	Initialize RC-4 instance to be used.
20	Initialize MD5 Instance	Initialize MD5 instance to be used.
25	Process MD5 Block	Process MD5 block.



The call parameters passed may include the key to be used; mode (encryption or decryption); any needed Initialization Vectors; the desired cryptographic operating (e.g., type of feedback); the identification of the cryptographic instance to be used; and the start address, destination address, and length of the block to be encrypted or decrypted.

**SPU Key and Tag Manager 558**

The SPU Key and Tag Manager 558 supports calls for key storage, key and management file tag look up, key convolution, and the generation of random keys, tags, and transaction numbers.

The following table shows an example of a list of SPE/HPE key and tag manager service 558 calls:

Call Name	Description
<b>Key Requests</b>	
Get Key	Retrieve the requested key.
Set Key	Set (store) the specified key.
Generate Key	Generate a key (pair) for a specified algorithm.
Generate Convolution Key	Generate a key using a specified convolution algorithm and algorithm parameter block.
Get Convolution Algorithm	Return the currently set (default) convolution parameters for a specific convolution algorithm.

	Set Convolution Algorithm	Sets the convolution parameters for a specific convolution algorithm (calling routine must provide tag to read returned contents).
	Tag Requests	
	Get Tag	Get the validation (or other) tag for a specific VDE Item ID.
5	Set Tag	Set the validation (or other) tag for a specific VDE Item ID to a known value.
	Calculate Hash Block Number	Calculate the "hash block number" for a specific VDE Item ID.
	Set Hash Parameters	Set the hash parameters and hash algorithm. Force resynchronization of the hash table.
	Get Hash Parameters	Retrieve the current hash parameters/algorithm.
10	Synchronize Management Files	Synchronize the management files and rebuild the hash block tables based on information found in the tables Reserved for VDE administrator.

Keys and tags may be securely generated within SPE 503 (HPE 655) in the preferred embodiment. The key generation algorithm is typically specific to each type of encryption supported. The generated keys may be checked for cryptographic weakness before they are used. A request for Key and Tag Manager 558 to generate a key, tag and/or transaction number preferably takes a length as its input parameter. It generates a random number (or other appropriate key value) of the requested length as its output.

The key and tag manager 558 may support calls to retrieve specific keys from the key storage areas in SPU 500 and any keys

stored external to the SPU. The basic format of the calls is to request keys by key type and key number. Many of the keys are periodically updated through contact with the VDE administrator, and are kept within SPU 500 in NVRAM 534b or  
5 EEPROM because these memories are secure, updatable and non-volatile.

SPE 503/HPE 655 may support both Public Key type keys and Bulk Encryption type keys. The public key (PK) encryption  
10 type keys stored by SPU 500 and managed by key and tag manager 558 may include, for example, a device public key, a device private key, a PK certificate, and a public key for the certificate. Generally, public keys and certificates can be stored  
externally in non-secured memory if desired, but the device  
15 private key and the public key for the certificate should only be stored internally in an SPU 500 EEPROM or NVRAM 534b. Some of the types of bulk encryption keys used by the SPU 500 may include, for example, general-purpose bulk encryption keys, administrative object private header keys, stationary object  
20 private header keys, traveling object private header keys, download/initialization keys, backup keys, trail keys, and management file keys.

As discussed above, preferred embodiment Key and Tag Manager 558 supports requests to adjust or convolute keys to make new keys that are produced in a deterministic way dependent on site and/or time, for example. Key convolution is an algorithmic process that acts on a key and some set of input parameter(s) to yield a new key. It can be used, for example, to increase the number of keys available for use without incurring additional key storage space. It may also be used, for example, as a process to "age" keys by incorporating the value of real-time RTC 528 as parameters. It can be used to make keys site specific by incorporating aspects of the site ID as parameters.

Key and Tag Manager 558 also provides services relating to tag generation and management. In the preferred embodiment, transaction and access tags are preferably stored by SPE 503 (HPE 655) in protected memory (e.g., within the NVRAM 534b of SPU 500). These tags may be generated by key and tag manager 558. They are used to, for example, check access rights to, validate and correlate data elements. For example, they may be used to ensure components of the secured data structures are not tampered with outside of the SPU 500.

Key and tag manager 558 may also support a trail transaction tag and a communications transaction tag.

**SPU Summary Services Manager 560**

5           SPE 503 maintains an audit trail in reprogrammable non-volatile memory within the SPU 500 and/or in secure database 610. This audit trail may consist of an audit summary of budget activity for financial purposes, and a security summary of SPU use. When a request is made to the SPU, it logs the request as

10           having occurred and then notes whether the request succeeded or failed. All successful requests may be summed and stored by type in the SPU 500. Failure information, including the elements listed below, may be saved along with details of the failure:

15

<b>Control Information Retained in an SPE on Access Failures</b>
Object ID
User ID
Type of failure
Time of failure

20

This information may be analyzed to detect cracking attempts or

25           to determine patterns of usage outside expected (and budgeted)

norms. The audit trail histories in the SPU 500 may be retained until the audit is reported to the appropriate parties. This will allow both legitimate failure analysis and attempts to cryptoanalyze the SPU to be noted.

5

Summary services manager 560 may store and maintain this internal summary audit information. This audit information can be used to check for security breaches or other aspects of the operation of SPE 503. The event summaries may be maintained, analyzed and used by SPE 503 (HPE 655) or a VDE administrator to determine and potentially limit abuse of electronic appliance 600. In the preferred embodiment, such parameters may be stored in secure memory (e.g., within the NVRAM 534b of SPU 500).

10

15

There are two basic structures for which summary services are used in the preferred embodiment. One (the "event summary data structure") is VDE administrator specific and keeps track of events. The event summary structure may be maintained and audited during periodic contact with VDE administrators. The other is used by VDE administrators and/or distributors for overall budget. A VDE administrator may register for event

20

summaries and an overall budget summary at the time an electronic appliance 600 is initialized. The overall budget summary may be reported to and used by a VDE administrator in determining distribution of consumed budget (for example) in the case of corruption of secure management files 610.

Participants that receive appropriate permissions can register their processes (e.g., specific budgets) with summary services manager 560, which may then reserve protected memory space (e.g., within NVRAM 534b) and keep desired use and/or access parameters. Access to and modification of each summary can be controlled by its own access tag.

The following table shows an example of a list of PPE summary service manager 560 service calls:

Call Name	Description
Create summary info	Create a summary service if the user has a "ticket" that permits her to request this service.
Get value	Return the current value of the summary service. The caller must present an appropriate tag (and/or "ticket") to use this request.
Set value	Set the value of a summary service.

<p><b>Increment</b></p>	<p>Increment the specified summary service(e.g., a scalar meter summary data area). The caller must present an appropriate tag (and/or "ticket") to use this request.</p>
<p><b>Destroy</b></p>	<p>Destroy the specified summary service if the user has a tag and/or "ticket" that permits them to request this service.</p>

5                    In the preferred embodiment, the event summary data structure uses a fixed event number to index into a look up table. The look up table contains a value that can be configured as a counter or a counter plus limit. Counter mode may be used by VDE administrators to determine device usage. The limit mode  
10 may be used to limit tampering and attempts to misuse the electronic appliance 600. Exceeding a limit will result in SPE 503 (HPE 655) refusing to service user requests until it is reset by a VDE administrator. Calls to the system wide event summary process may preferably be built into all load modules  
15 that process the events that are of interest.

The following table shows examples of events that may be separately metered by the preferred embodiment event summary data structure:



Event Type	
Successful Events	Initialization completed successfully.
	User authentication accepted.
	Communications established.
	Channel loads set for specified values.
	Decryption completed.
	Key information updated.
	New budget created or existing budget updated.
	New billing information generated or existing billing updated.
	New meter set up or existing meter updated.
	New PERC created or existing PERC updated.
	New objects registered.
	Administrative objects successfully processed.
	Audit processed successfully.
	All other events.
Failed Events	Initialization failed.
	Authentication failed.
	Communication attempt failed.
	Request to load a channel failed.
	Validation attempt unsuccessful.
	Link to subsidiary item failed correlation tag match.

5

	Authorization attempt failed.
	Decryption attempt failed.
	Available budget insufficient to complete requested procedure.
	Audit did not occur.
	Administrative object did not process correctly.
	Other failed events.

Another, "overall currency budget" summary data structure maintained by the preferred embodiment summary services manager 560 allows registration of VDE electronic appliance 600. The first entry is used for an overall currency budget consumed value, and is registered by the VDE administrator that first initializes SPE 503 (HPE 655). Certain currency consuming load modules and audit load modules that complete the auditing process for consumed currency budget may call the summary services manager 560 to update the currency consumed value. Special authorized load modules may have access to the overall currency summary, while additional summaries can be registered for by individual providers.

15

**SPE Authentication Manager/Service Communications  
Manager 564**

The Authentication Manager/Service Communications

5 Manager 564 supports calls for user password validation and  
"ticket" generation and validation. It may also support secure  
communications between SPE 503 and an external node or device  
(e.g., a VDE administrator or distributor). It may support the  
following examples of authentication-related service requests in  
10 the preferred embodiment:

Call Name	Description
<b>User Services</b>	
Create User	Creates a new user and stores Name Services Records (NSRs) for use by the Name Services Manager 752.
15 Authenticate User	Authenticates a user for use of the system. This request lets the caller authenticate as a specific user ID. Group membership is also authenticated by this request. The authentication returns a "ticket" for the user.
Delete User	Deletes a user's NSR and related records.
<b>Ticket Services</b>	
Generate Ticket	Generates a "ticket" for use of one or more services.
20 Authenticate Ticket	Authenticates a "ticket."

Not included in the table above are calls to the secure communications service. The secure communications service provided by manager 564 may provide (e.g., in conjunction with low-level services manager 582 if desired) secure communications based on a public key (or others) challenge-response protocol. This protocol is discussed in further detail elsewhere in this document. Tickets identify users with respect to the electronic appliance 600 in the case where the appliance may be used by multiple users. Tickets may be requested by and returned to VDE software applications through a ticket-granting protocol (e.g., Kerberos). VDE components may require tickets to be presented in order to authorize particular services.

15

**SPE Secure Database Manager 566**

Secure database manager 566 retrieves, maintains and stores secure database records within secure database 610 on memory external to SPE 503. Many of these secure database files 610 are in encrypted form. All secure information retrieved by secure database manager 566 therefore must be decrypted by encrypt/decrypt manager 556 before use. Secure information (e.g., records of use) produced by SPE 503 (HPE 655) which must

20

be stored external to the secure execution environment are also encrypted by encrypt/decrypt manager 556 before they are stored via secure database manager 566 in a secure database file 610.

5           For each VDE item loaded into SPE 503, Secure Database manager 566 in the preferred embodiment may search a master list for the VDE item ID, and then check the corresponding transaction tag against the one in the item to ensure that the item provided is the current item. Secure Database Manager 566  
10           may maintain list of VDE item ID and transaction tags in a "hash structure" that can be paged into SPE 503 to quickly locate the appropriate VDE item ID. In smaller systems, a look up table approach may be used. In either case, the list should be structured as a pagable structure that allows VDE item ID to be  
15           located quickly.

          The "hash based" approach may be used to sort the list into "hash buckets" that may then be accessed to provide more rapid and efficient location of items in the list. In the "hash based"  
20           approach, the VDE item IDs are "hashed" through a subset of the full item ID and organized as pages of the "hashed" table. Each "hashed" page may contain the rest of the VDE item ID and

current transaction tag for each item associated with that page.

The "hash" table page number may be derived from the components of the VDE item ID, such as distribution ID, item ID, site ID, user ID, transaction tag, creator ID, type and/or version.

5 The hashing algorithm (both the algorithm itself and the parameters to be hashed) may be configurable by a VDE administrator on a site by site basis to provide optimum hash page use. An example of a hash page structure appears below:

10

<b>Field</b>
<b>Hash Page Header</b>
Distributor ID
Item ID
15 Site ID
User ID
Transaction Tag
<b>Hash Page Entry</b>
Creator ID
20 Item ID
Type
Version
Transaction Tag

20

25

In this example, each hash page may contain all of the VDE item IDs and transaction tags for items that have identical distributor ID, item ID, and user ID fields (site ID will be fixed for a given electronic appliance 600). These four pieces of  
5 information may thus be used as hash algorithm parameters.

The "hash" pages may themselves be frequently updated, and should carry transaction tags that are checked each time a "hash" page is loaded. The transaction tag may also be updated  
10 each time a "hash" page is written out.

As an alternative to the hash-based approach, if the number of updatable items is kept small (such as in a dedicated consumer electronic appliance 600), then assigning each  
15 updatable item a unique sequential site record number as part of its VDE item ID may allow a look up table approach to be used. Only a small number of bytes of transaction tag are needed per item, and a table transaction tag for all frequently updatable items can be kept in protected memory such as SPU NVRAM  
20 534b.

**Random Value Generator Manager 565**

Random Value Generator Manager 565 may generate random values. If a hardware-based SPU random value generator 542 is present, the Random Value Generator Manager  
5 565 may use it to assist in generating random values.

**Other SPE RPC Services 592**

Other authorized RPC services may be included in SPU 500 by having them "register" themselves in the RPC Services  
10 Table and adding their entries to the RPC Dispatch Table. For example, one or more component assemblies 690 may be used to provide additional services as an integral part of SPE 503 and its associated operating system. Requests to services not registered in these tables will be passed out of SPE 503 (HPE 655) for  
15 external servicing.

**SPE 503 Performance Considerations**

Performance of SPE 503 (HPE 655) is a function of:

- C complexity of the component assemblies used
- 20 C number of simultaneous component assembly operations
- C amount of internal SPU memory available
- C speed of algorithm for block encryption/decryption



The complexity of component assembly processes along with the number of simultaneous component assembly processes is perhaps the primary factor in determining performance. These factors combine to determine the amount of code and data and must be resident in SPU 500 at any one time (the minimum device size) and thus the number of device size "chunks" the processes must be broken down into. Segmentation inherently increases run time size over simpler models. Of course, feature limited versions of SPU 500 may be implemented using significantly smaller amounts of RAM 534. "Aggregate" load modules as described above may remove flexibility in configuring VDE structures and also further limit the ability of participants to individually update otherwise separated elements, but may result in a smaller minimum device size. A very simple metering version of SPU 500 can be constructed to operate with minimal device resources.

The amount of RAM 534 internal to SPU 500 has more impact on the performance of the SPE 503 than perhaps any other aspect of the SPU. The flexible nature of VDE processes allows use of a large number of load modules, methods and user data elements. It is impractical to store more than a small

number of these items in ROM 532 within SPU 500. Most of the code and data structures needed to support a specific VDE process will need to be dynamically loaded into the SPU 500 for the specific VDE process when the process is invoked. The  
5 operating system within SPU 500 then may page in the necessary VDE items to perform the process. The amount of RAM 534 within SPU 500 will directly determine how large any single VDE load module plus its required data can be, as well as the number of page swaps that will be necessary to run a VDE  
10 process. The SPU I/O speed, encryption/decryption speed, and the amount of internal memory 532, 534 will directly affect the number of page swaps required in the device. Insecure external memory may reduce the wait time for swapped pages to be loaded into SPU 500, but will still incur substantial  
15 encryption/decryption penalty for each page.

In order to maintain security, SPE 503 must encrypt and cryptographically seal each block being swapped out to a storage device external to a supporting SPU 500, and must similarly  
20 decrypt, verify the cryptographic seal for, and validate each block as it is swapped into SPU 500. Thus, the data movement and

encryption/decryption overhead for each swap block has a very large impact on SPE performance.

5 The performance of an SPU microprocessor 520 may not significantly impact the performance of the SPE 503 it supports if the processor is not responsible for moving data through the encrypt/decrypt engine 522.

#### **VDE Secure Database 610**

10 VDE 100 stores separately deliverable VDE elements in a secure (e.g., encrypted) database 610 distributed to each VDE electronic appliance 610. The database 610 in the preferred embodiment may store and/or manage three basic classes of VDE items:

15 VDE objects,  
VDE process elements, and  
VDE data structures.

20 The following table lists examples of some of the VDE items stored in or managed by information stored in secure database 610:

5

<b>Class</b>		<b>Brief Description</b>
Objects	Content Objects	Provide a container for content.
	Administrative Objects	Provide a container for information used to keep VDE 100 operating.
	Traveling Objects	Provide a container for content and control information.
	Smart Objects	Provide a container for (user-specified) processes and data.
Process Elements	Method Cores	Provide a mechanism to relate events to control mechanisms and permissions.
	Load Modules ("LMs")	Secure (tamper-resistant) executable code.
	Method Data Elements ("MDEs")	Independently deliverable data structures used to control/customize methods.
Data Structures	Permissions Records ("PERCs")	Permissions to use objects; "blueprints" to build component assemblies.
	User Data Elements ("UDEs")	Basic data structure for storing information used in conjunction with load modules.
	Administrative Data Structures	Used by VDE node to maintain administrative information.

Each electronic appliance 600 may have an instance of a secure database 610 that securely maintains the VDE items. Figure 16 shows one example of a secure database 610. The secure database 610 shown in this example includes the following VDE-protected items:

- 5 C one or more PERCs 808;
- C methods 1000 (including static and dynamic method "cores" 1000, and MDEs 1202);
- C Static UDEs 1200a and Dynamic UDEs 1200b; and
- 10 C load modules 1100.

Secure database 610 may also include the following additional data structures used and maintained for administrative purposes:

- 15 C an "object registry" 450 that references an object storage 728 containing one or more VDE objects;
- C name service records 452; and
- C configuration records 454 (including site configuration records 456 and user configuration records 458).
- 20

Secure database 610 in the preferred embodiment does not include VDE objects 300, but rather references VDE objects stored, for example, on file system 687 and/or in a separate object repository 728. Nevertheless, an appropriate "starting point" for understanding VDE-protected information may be a discussion of VDE objects 300.

### VDE Objects 300

VDE 100 provides a media independent container model for encapsulating content. Figure 17 shows an example of a "logical" structure or format 800 for an object 300 provided by the preferred embodiment.

The generalized "logical object" structure 800 shown in Figure 17 used by the preferred embodiment supports digital content delivery over any currently used media. "Logical object" in the preferred embodiment may refer collectively to: content; computer software and/or methods used to manipulate, record, and/or otherwise control use of said content; and permissions, limitations, administrative control information and/or requirements applicable to said content, and/or said computer software and/or methods. Logical objects may or may not be

stored, and may or may not be present in, or accessible to, any given electronic appliance 600. The content portion of a logical object may be organized as information contained in, not contained in, or partially contained in one or more objects.

5

Briefly, the Figure 17 "logical object" structure 800 in the preferred embodiment includes a public header 802, private header 804, a "private body" 806 containing one or more methods 1000, permissions record(s) (PERC) 808 (which may include one or more key blocks 810), and one or more data blocks or areas 812. These elements may be "packaged" within a "container" 302. This generalized, logical object structure 800 is used in the preferred embodiment for different types of VDE objects 300 categorized by the type and location of their content.

10

15

The "container" concept is a convenient metaphor used to give a name to the collection of elements required to make use of content or to perform an administrative-type activity. Container 302 typically includes identifying information, control structures and content (e.g., a property or administrative data). The term "container" is often (e.g., Bento/OpenDoc and OLE) used to describe a collection of information stored on a computer system's

20

secondary storage system(s) or accessible to a computer system over a communications network on a "server's" secondary storage system. The "container" 302 provided by the preferred embodiment is not so limited or restricted. In VDE 100, there is  
5 no requirement that this information is stored together, received at the same time, updated at the same time, used for only a single object, or be owned by the same entity. Rather, in VDE 100 the container concept is extended and generalized to include real-time content and/or online interactive content passed to an  
10 electronic appliance over a cable, by broadcast, or communicated by other electronic communication means.

Thus, the "complete" VDE container 302 or logical object structure 800 may not exist at the user's location (or any other  
15 location, for that matter) at any one time. The "logical object" may exist over a particular period of time (or periods of time), rather than all at once. This concept includes the notion of a "virtual container" where important container elements may exist either as a plurality of locations and/or over a sequence of  
20 time periods (which may or may not overlap). Of course, VDE 100 containers can also be stored with all required control structures and content together. This represents a continuum:



from all content and control structures present in a single container, to no locally accessible content or container specific control structures.

5           Although at least some of the data representing the object is typically encrypted and thus its structure is not discernible, within a PPE 650 the object may be viewed logically as a "container" 302 because its structure and components are automatically and transparently decrypted.

10

A container model merges well with the event-driven processes and ROS 602 provided by the preferred embodiment. Under this model, content is easily subdivided into small, easily manageable pieces, but is stored so that it maintains the structural richness inherent in unencrypted content. An object oriented container model (such as Bento/OpenDoc or OLE) also provides many of the necessary "hooks" for inserting the necessary operating system integration components, and for defining the various content specific methods.

15

In more detail, the logical object structure 800 provided by the preferred embodiment includes a public (or unencrypted)

header 802 that identifies the object and may also identify one or more owners of rights in the object and/or one or more distributors of the object. Private (or encrypted) header 804 may include a part or all of the information in the public header and  
5 further, in the preferred embodiment, will include additional data for validating and identifying the object 300 when a user attempts to register as a user of the object with a service clearinghouse, VDE administrator, or an SPU 500.  
Alternatively, information identifying one or more rights owners  
10 and/or distributors of the object may be located in encrypted form within encrypted header 804, along with any of said additional validating and identifying data.

Each logical object structure 800 may also include a  
15 "private body" 806 containing or referencing a set of methods 1000 (i.e., programs or procedures) that control use and distribution of the object 300. The ability to optionally incorporate different methods 1000 with each object is important to making VDE 100 highly configurable. Methods 1000 perform  
20 the basic function of defining what users (including, where appropriate, distributors, client administrators, etc.), can and cannot do with an object 300. Thus, one object 300 may come

with relatively simple methods, such as allowing unlimited viewing within a fixed period of time for a fixed fee (such as the newsstand price of a newspaper for viewing the newspaper for a period of one week after the paper's publication), while other  
5 objects may be controlled by much more complicated (e.g., billing and usage limitation) methods.

Logical object structure 800 shown in Figure 17 may also include one or more PERCs 808. PERCs 808 govern the use of an  
10 object 300, specifying methods or combinations of methods that must be used to access or otherwise use the object or its contents. The permission records 808 for an object may include key block(s) 810, which may store decryption keys for accessing the content of the encrypted content stored within the object 300.

15

The content portion of the object is typically divided into portions called data blocks 812. Data blocks 812 may contain any sort of electronic information, such as, "content," including computer programs, images, sound, VDE administrative  
20 information, etc. The size and number of data blocks 812 may be selected by the creator of the property. Data blocks 812 need not all be the same size (size may be influenced by content usage,

database format, operating system, security and/or other considerations). Security will be enhanced by using at least one key block 810 for each data block 812 in the object, although this is not required. Key blocks 810 may also span portions of a plurality of data blocks 812 in a consistent or pseudo-random manner. The spanning may provide additional security by applying one or more keys to fragmented or seemingly random pieces of content contained in an object 300, database, or other information entity.

10

Many objects 300 that are distributed by physical media and/or by "out of channel" means (e.g., redistributed after receipt by a customer to another customer) might not include key blocks 810 in the same object 300 that is used to transport the content protected by the key blocks. This is because VDE objects may contain data that can be electronically copied outside the confines of a VDE node. If the content is encrypted, the copies will also be encrypted and the copier cannot gain access to the content unless she has the appropriate decryption key(s). For objects in which maintaining security is particularly important, the permission records 808 and key blocks 810 will frequently be distributed electronically, using secure communications techniques

15

20

(discussed below) that are controlled by the VDE nodes of the sender and receiver. As a result, permission records 808 and key blocks 810 will frequently, in the preferred embodiment, be stored only on electronic appliances 600 of registered users (and  
5 may themselves be delivered to the user as part of a registration/initialization process). In this instance, permission records 808 and key blocks 810 for each property can be encrypted with a private DES key that is stored only in the secure memory of an SPU 500, making the key blocks unusable  
10 on any other user's VDE node. Alternately, the key blocks 810 can be encrypted with the end user's public key, making those key blocks usable only to the SPU 500 that stores the corresponding private key (or other, acceptably secure, encryption/security techniques can be employed).

15

In the preferred embodiment, the one or more keys used to encrypt each permission record 808 or other management information record will be changed every time the record is updated (or after a certain one or more events). In this event, the  
20 updated record is re-encrypted with new one or more keys. Alternately, one or more of the keys used to encrypt and decrypt management information may be "time aged" keys that

automatically become invalid after a period of time.

Combinations of time aged and other event triggered keys may also be desirable; for example keys may change after a certain number of accesses, and/or after a certain duration of time or  
5 absolute point in time. The techniques may also be used together for any given key or combination of keys. The preferred embodiment procedure for constructing time aged keys is a one-way convolution algorithm with input parameters including user and site information as well as a specified portion of the real  
10 time value provided by the SPU RTC 528. Other techniques for time aging may also be used, including for example techniques that use only user or site information, absolute points in time, and/or duration of time related to a subset of activities related to using or decrypting VDE secured content or the use of the VDE  
15 system.

VDE 100 supports many different types of "objects" 300 having the logical object structure 800 shown in Figure 17. Objects may be classified in one sense based on whether the  
20 protection information is bound together with the protected information. For example, a container that is bound by its control(s) to a specific VDE node is called a "stationary object"

(see Figure 18). A container that is not bound by its control information to a specific VDE node but rather carries sufficient control and permissions to permit its use, in whole or in part, at any of several sites is called a "Traveling Object" (see Figure 19).

5

Objects may be classified in another sense based on the nature of the information they contain. A container with information content is called a "Content Object" (see Figure 20). A container that contains transaction information, audit trails, VDE structures, and/or other VDE control/administrative information is called an "Administrative Object" (see Figure 21). Some containers that contain executable code operating under VDE control (as opposed to being VDE control information) are called "Smart Objects." Smart Objects support user agents and provide control for their execution at remote sites. There are other categories of objects based upon the location, type and access mechanism associated with their content, that can include combinations of the types mentioned above. Some of these objects supported by VDE 100 are described below. Some or all of the data blocks 812 shown in Figure 17 may include "embedded" content, administrative, stationary, traveling and/or other objects.

10

15

20

### 1. Stationary Objects

Figure 18 shows an example of a "Stationary Object" structure 850 provided by the preferred embodiment.

5 "Stationary Object" structure 850 is intended to be used only at specific VDE electronic appliance/installations that have received explicit permissions to use one or more portions of the stationary object. Therefore, stationary object structure 850 does not contain a permissions record (PERC) 808; rather, this permissions record is supplied and/or delivered separately (e.g.,  
10 at a different time, over a different path, and/or by a different party) to the appliance/installation 600. A common PERC 808 may be used with many different stationary objects.

As shown in Figure 18, public header 802 is preferably  
15 "plaintext" (i.e., unencrypted). Private header 804 is preferably encrypted using at least one of many "private header keys." Private header 804 preferably also includes a copy of identification elements from public header 802, so that if the identification information in the plaintext public header is  
20 tampered with, the system can determine precisely what the tamperer attempted to alter. Methods 1000 may be contained in a section called the "private body" 806 in the form of object local



methods, load modules, and/or user data elements. This private body (method) section 806 is preferably encrypted using one or more private body keys contained in the separate permissions record 808. The data blocks 812 contain content (information or administrative) that may be encrypted using one or more content keys also provided in permissions record 808.

## 2. Traveling Objects

Figure 19 shows an example of a "traveling object" structure 860 provided by the preferred embodiment. Traveling objects are objects that carry with them sufficient information to enable at least some use of at least a portion of their content when they arrive at a VDE node.

Traveling object structure 860 may be the same as stationary object structure 850 shown in Figure 18 except that the traveling object structure includes a permissions record (PERC) 808 within private header 804. The inclusion of PERC 808 within traveling object structure 860 permits the traveling object to be used at any VDE electronic appliance/participant 600 (in accordance with the methods 1000 and the contained PERC 808).

"Traveling" objects are a class of VDE objects 300 that can specifically support "out of channel" distribution. Therefore, they include key block(s) 810 and are transportable from one electronic appliance 600 to another. Traveling objects may come with a quite limited usage related budget so that a user may use, in whole or part, content (such as a computer program, game, or database) and evaluate whether to acquire a license or further license or purchase object content. Alternatively, traveling object PERCs 808 may contain or reference budget records with, for example:

(a) budget(s) reflecting previously purchased rights or credit for future licensing or purchasing and enabling at least one or more types of object content usage, and/or

(b) budget(s) that employ (and may debit) available credit(s) stored on and managed by the local VDE node in order to enable object content use, and/or

(c) budget(s) reflecting one or more maximum usage criteria before a report to a local VDE node (and, optionally, also a report to a clearinghouse) is

required and which may be followed by a reset  
allowing further usage, and/or modification of one or  
more of the original one or more budget(s).

5           As with standard VDE objects 300, a user may be required  
to contact a clearinghouse service to acquire additional budgets if  
the user wishes to continue to use the traveling object after the  
exhaustion of an available budget(s) or if the traveling object (or  
a copy thereof) is moved to a different electronic appliance and  
10           the new appliance does not have a available credit budget(s) that  
corresponds to the requirements stipulated by permissions record  
808.

          For example, a traveling object PERC 808 may include a  
15           reference to a required budget VDE 1200 or budget options that  
may be found and/or are expected to be available. For example,  
the budget VDE may reference a consumer's VISA, MC, AMEX,  
or other "generic" budget that may be object independent and  
may be applied towards the use of a certain or classes of traveling  
20           object content (for example any movie object from a class of  
traveling objects that might be Blockbuster Video rentals). The  
budget VDE itself may stipulate one or more classes of objects it

may be used with, while an object may specifically reference a certain one or more generic budgets. Under such circumstances, VDE providers will typically make information available in such a manner as to allow correct referencing and to enable billing  
5 handling and resulting payments.

Traveling objects can be used at a receiving VDE node electronic appliance 600 so long as either the appliance carries the correct budget or budget type (e.g. sufficient credit available  
10 from a clearinghouse such as a VISA budget) either in general or for specific one or more users or user classes, or so long as the traveling object itself carries with it sufficient budget allowance or an appropriate authorization (e.g., a stipulation that the traveling object may be used on certain one or more installations  
15 or installation classes or users or user classes where classes correspond to a specific subset of installations or users who are represented by a predefined class identifiers stored in a secure database 610). After receiving a traveling object, if the user (and/or installation) doesn't have the appropriate budget(s)  
20 and/or authorizations, then the user could be informed by the electronic appliance 600 (using information stored in the traveling object) as to which one or more parties the user could

contact. The party or parties might constitute a list of alternative clearinghouse providers for the traveling object from which the user selects his desired contact).

5           As mentioned above, traveling objects enable objects 300 to be distributed "Out-Of-Channel;" that is, the object may be distributed by an unauthorized or not explicitly authorized individual to another individual. "Out of channel" includes paths of distribution that allow, for example, a user to directly  
10           redistribute an object to another individual. For example, an object provider might allow users to redistribute copies of an object to their friends and associates (for example by physical delivery of storage media or by delivery over a computer network) such that if a friend or associate satisfies any certain criteria  
15           required for use of said object, he may do so.

          For example, if a software program was distributed as a traveling object, a user of the program who wished to supply it or a usable copy of it to a friend would normally be free to do so.

20           Traveling Objects have great potential commercial significance, since useful content could be primarily distributed by users and through bulletin boards, which would require little or no

distribution overhead apart from registration with the "original" content provider and/or clearinghouse.

5 The "out of channel" distribution may also allow the provider to receive payment for usage and/or otherwise maintain at least a degree of control over the redistributed object. Such certain criteria might involve, for example, the registered presence at a user's VDE node of an authorized third party financial relationship, such as a credit card, along with sufficient  
10 available credit for said usage.

Thus, if the user had a VDE node, the user might be able to use the traveling object if he had an appropriate, available budget available on his VDE node (and if necessary, allocated to  
15 him), and/or if he or his VDE node belonged to a specially authorized group of users or installations and/or if the traveling object carried its own budget(s).

20 Since the content of the traveling object is encrypted, it can be used only under authorized circumstances unless the traveling object private header key used with the object is broken—a potentially easier task with a traveling object as compared to, for

example, permissions and/or budget information since many objects may share the same key, giving a cryptanalyst both more information in cyphertext to analyze and a greater incentive to perform cryptanalysis.

5

In the case of a "traveling object," content owners may distribute information with some or all of the key blocks 810 included in the object 300 in which the content is encapsulated. Putting keys in distributed objects 300 increases the exposure to attempts to defeat security mechanisms by breaking or  
10 cryptanalyzing the encryption algorithm with which the private header is protected (e.g., by determining the key for the header's encryption). This breaking of security would normally require considerable skill and time, but if broken, the algorithm and key  
15 could be published so as to allow large numbers of individuals who possess objects that are protected with the same key(s) and algorithm(s) to illegally use protected information. As a result, placing keys in distributed objects 300 may be limited to content that is either "time sensitive" (has reduced value after the  
20 passage of a certain period of time), or which is somewhat limited in value, or where the commercial value of placing keys in objects (for example convenience to end-users, lower cost of eliminating

the telecommunication or other means for delivering keys and/or permissions information and/or the ability to supporting objects going "out-of-channel") exceeds the cost of vulnerability to sophisticated hackers. As mentioned elsewhere, the security of keys may be improved by employing convolution techniques to avoid storing "true" keys in a traveling object, although in most cases using a shared secret provided to most or all VDE nodes by a VDE administrator as an input rather than site ID and/or time in order to allow objects to remain independent of these values.

10

As shown in Figure 19 and discussed above, a traveling object contains a permissions record 808 that preferably provides at least some budget (one, the other, or both, in a general case). Permission records 808 can, as discussed above, contain a key block(s) 810 storing important key information. PERC 808 may also contain or refer to budgets containing potentially valuable quantities/values. Such budgets may be stored within a traveling object itself, or they may be delivered separately and protected by highly secure communications keys and administrative object keys and management database techniques.

20



The methods 1000 contained by a traveling object will typically include an installation procedure for "self registering" the object using the permission records 808 in the object (e.g., a REGISTER method). This may be especially useful for objects that have time limited value, objects (or properties) for which the end user is either not charged or is charged only a nominal fee (e.g., objects for which advertisers and/or information publishers are charged based on the number of end users who actually access published information), and objects that require widely available budgets and may particularly benefit from out-of-channel distribution (e.g., credit card derived budgets for objects containing properties such as movies, software programs, games, etc.). Such traveling objects may be supplied with or without contained budget UDEs.

15

One use of traveling objects is the publishing of software, where the contained permission record(s) may allow potential customers to use the software in a demonstration mode, and possibly to use the full program features for a limited time before having to pay a license fee, or before having to pay more than an initial trial fee. For example, using a time based billing method and budget records with a small pre-installed time budget to

20

allow full use of the program for a short period of time. Various control methods may be used to avoid misuse of object contents. For example, by setting the minimum registration interval for the traveling object to an appropriately large period of time (e.g.,  
5 a month, or six months or a year), users are prevented from re-using the budget records in the same traveling object.

Another method for controlling the use of traveling objects is to include time-aged keys in the permission records that are  
10 incorporated in the traveling object. This is useful generally for traveling objects to ensure that they will not be used beyond a certain date without re-registration, and is particularly useful for traveling objects that are electronically distributed by broadcast,  
15 network, or telecommunications (including both one and two way cable), since the date and time of delivery of such traveling objects aging keys can be set to accurately correspond to the time the user came into possession of the object.

Traveling objects can also be used to facilitate "moving" an  
20 object from one electronic appliance 600 to another. A user could move a traveling object, with its incorporated one or more permission records 808 from a desktop computer, for example, to

his notebook computer. A traveling object might register its user within itself and thereafter only be useable by that one user. A traveling object might maintain separate budget information, one for the basic distribution budget record, and another for the  
5 "active" distribution budget record of the registered user. In this way, the object could be copied and passed to another potential user, and then could be a portable object for that user.

Traveling objects can come in a container which contains  
10 other objects. For example, a traveling object container can include one or more content objects and one or more administrative objects for registering the content object(s) in an end user's object registry and/or for providing mechanisms for enforcing permissions and/or other security functions. Contained  
15 administrative object(s) may be used to install necessary permission records and/or budget information in the end user's electronic appliance.

### Content Objects

20 Figure 20 shows an example of a VDE content object structure 880. Generally, content objects 880 include or provide information content. This "content" may be any sort of electronic

information. For example, content may include: computer software, movies, books, music, information databases, multimedia information, virtual reality information, machine instructions, computer data files, communications messages and/or signals, and other information, at least a portion of which is used and/or manipulated by one or more electronic appliances. VDE 100 can also be configured for authenticating, controlling, and/or auditing electronic commercial transactions and communications such as inter-bank transactions, electronic purchasing communications, and the transmission of, auditing of, and secure commercial archiving of, electronically signed contracts and other legal documents; the information used for these transactions may also be termed "content." As mentioned above, the content need not be physically stored within the object container but may instead be provided separately at a different time (e.g., a real time feed over a cable).

Content object structure 880 in the particular example shown in Figure 20 is a type of stationary object because it does not include a PERC 808. In this example, content object structure 880 includes, as at least part of its content 812, at least one embedded content object 882 as shown in Figure 5A.

Content object structure 880 may also include an administrative object 870. Thus, objects provided by the preferred embodiment may include one or more "embedded" objects.

5

### **Administrative Objects**

Figure 21 shows an example of an administrative object structure 870 provided by the preferred embodiment. An "administrative object" generally contains permissions, administrative control information, computer software and/or methods associated with the operation of VDE 100.

Administrative objects may also or alternatively contain records of use, and/or other information used in, or related to, the operation of VDE 100. An administrative object may be distinguished from a content object by the absence of VDE protected "content" for release to an end user for example. Since objects may contain other objects, it is possible for a single object to contain one or more content containing objects and one or more administrative objects. Administrative objects may be used to transmit information between electronic appliances for update, usage reporting, billing and/or control purposes. They contain information that helps to administer VDE 100 and keep it operating properly. Administrative objects generally are sent

between two VDE nodes, for example, a VDE clearinghouse service, distributor, or client administrator and an end user's electronic appliance 600.

5           Administrative object structure 870 in this example includes a public header 802, private header 804 (including a "PERC" 808) and a "private body" 806 containing methods 1000. Administrative object structure 870 in this particular example shown in Figure 20 is a type of traveling object because it  
10           contains a PERC 808, but the administrative object could exclude the PERC 808 and be a stationary object. Rather than storing information content, administrative object structure 870 stores "administrative information content" 872. Administrative information content 872 may, for example, comprise a number of  
15           records 872a, 872b, . . . 872n each corresponding to a different "event." Each record 872a, 872b, . . . 872n may include an "event" field 874, and may optionally include a parameter field 876 and/or a data field 878. These administrative content records 872 may be used by VDE 100 to define events that may be  
20           processed during the course of transactions, e.g., an event designed to add a record to a secure database might include parameters 896 indicating how and where the record should be

stored and data field 878 containing the record to be added. In another example, a collection of events may describe a financial transaction between the creator(s) of an administrative object and the recipient(s), such as a purchase, a purchase order, or an invoice. Each event record 872 may be a set of instructions to be executed by the end user's electronic appliance 600 to make an addition or modification to the end user's secure database 610, for example. Events can perform many basic management functions, for example: add an object to the object registry, including providing the associated user/group record(s), rights records, permission record and/or method records; delete audit records (by "rolling up" the audit trail information into, for example, a more condensed, e.g. summary form, or by actual deletion); add or update permissions records 808 for previously registered objects; add or update budget records; add or update user rights records; and add or update load modules.

In the preferred embodiment, an administrative object may be sent, for example, by a distributor, client administrator, or, perhaps, a clearinghouse or other financial service provider, to an end user, or, alternatively, for example, by an object creator to a distributor or service clearinghouse. Administrative objects, for

example, may increase or otherwise adjust budgets and/or permissions of the receiving VDE node to which the administrative object is being sent. Similarly, administrative objects containing audit information in the data area 878 of an event record 872 can be sent from end users to distributors, and/or clearinghouses and/or client administrators, who might themselves further transmit to object creators or to other participants in the object's chain of handling.

10

### **Methods**

Methods 1000 in the preferred embodiment support many of the operations that a user encounters in using objects and communicating with a distributor. They may also specify what method fields are displayable to a user (e.g., use events, user request events, user response events, and user display events). Additionally, if distribution capabilities are supported in the method, then the method may support distribution activities, distributor communications with a user about a method, method modification, what method fields are displayable to a distributor, and any distribution database checks and record keeping (e.g., distribution events, distributor request events, and distributor response events).

15

20



Given the generality of the existing method structure, and the diverse array of possibilities for assembling methods, a generalized structure may be used for establishing relationships between methods. Since methods 1000 may be independent of an object that requires them during any given session, it is not possible to define the relationships within the methods themselves. "Control methods" are used in the preferred embodiment to define relationships between methods. Control methods may be object specific, and may accommodate an individual object's requirements during each session.

A control method of an object establishes relationships between other methods. These relationships are parameterized with explicit method identifiers when a record set reflecting desired method options for each required method is constructed during a registration process.

An "aggregate method" in the preferred embodiment represents a collection of methods that may be treated as a single unit. A collection of methods that are related to a specific property, for example, may be stored in an aggregate method. This type of aggregation is useful from an implementation point

of view because it may reduce bookkeeping overhead and may improve overall database efficiency. In other cases, methods may be aggregated because they are logically coupled. For example, two budgets may be linked together because one of the budgets represents an overall limitation, and a second budget represents the current limitation available for use. This would arise if, for example, a large budget is released in small amounts over time.

For example, an aggregate method that includes meter, billing and budget processes can be used instead of three separate methods. Such an aggregate method may reference a single "load module" 1100 that performs all of the functions of the three separate load modules and use only one user data element that contains meter, billing and budget data. Using an aggregate method instead of three separate methods may minimize overall memory requirements, database searches, decryptions, and the number of user data element writes back to a secure database 610. The disadvantage of using an aggregate method instead of three separate methods can be a loss of some flexibility on the part of a provider and user in that various functions may no longer be independently replaceable.

Figure 16 shows methods 1000 as being part of secure database 610.

5 A "method" 1000 provided by the preferred embodiment is a collection of basic instructions and information related to the basic instructions, that provides context, data, requirements and/or relationships for use in performing, and/or preparing to perform, the basic instructions in relation to the operation of one or more electronic appliances 600. As shown in Figure 16,  
10 methods 1000 in the preferred embodiment are represented in secure database 610 by:

- C method "cores" 1000N;
- C Method Data Elements (MDEs) 1202;
- C User Data Elements (UDEs) 1200; and
- 15 C Data Description Elements (DTDs).

Method "core" 1000N in the preferred embodiment may contain or reference one or more data elements such as MDEs 1202 and UDEs 1200. In the preferred embodiment, MDEs 1202  
20 and UDEs 1200 may have the same general characteristics, the main difference between these two types of data elements being that a UDE is preferably tied to a particular method as well as a

particular user or group of users, whereas an MDE may be tied to a particular method but may be user independent. These MDE and UDE data structures 1200, 1202 are used in the preferred embodiment to provide input data to methods 1000, to receive data outputted by methods, or both. MDEs 1202 and UDEs 1200 may be delivered independently of method cores 1000N that reference them, or the data structures may be delivered as part of the method cores. For example, the method core 1000N in the preferred embodiment may contain one or more MDEs 1202 and/or UDEs 1200 (or portions thereof). Method core 1000N may, alternately or in addition, reference one or more MDE and/or UDE data structures that are delivered independently of method core(s) that reference them.

Method cores 1000N in the preferred embodiment also reference one or more "load modules" 1100. Load modules 1100 in the preferred embodiment comprise executable code, and may also include or reference one or more data structures called "data descriptor" ("DTD") information. This "data descriptor" information may, for example, provide data input information to the DTD interpreter 590. DTDs may enable load modules 1100

to access (e.g., read from and/or write to) the MDE and/or UDE data elements 1202, 1200.

Method cores 1000' may also reference one or more DTD  
5 and/or MDE data structures that contain a textual description of their operations suitable for inclusion as part of an electronic contract. The references to the DTD and MDE data structures may occur in the private header of the method core 1000', or may be specified as part of the event table described below.

10

Figure 22 shows an example of a format for a method core 1000N provided by the preferred embodiment. A method core 1000N in the preferred embodiment contains a method event table 1006 and a method local data area 1008. Method event table  
15 1006 lists "events." These "events" each reference "load modules" 1100 and/or PERCs 808 that control processing of an event. Associated with each event in the list is any static data necessary to parameterize the load module 1000 or permissions record 808, and reference(s) into method user data area 1008 that are needed  
20 to support that event. The data that parameterizes the load module 1100 can be thought of, in part, as a specific function call to the load module, and the data elements corresponding to it

may be thought of as the input and/or output data for that specific function call.

Method cores 1000N can be specific to a single user, or they  
5 may be shared across a number of users (e.g., depending upon the  
uniqueness of the method core and/or the specific user data  
element). Specifically, each user/group may have its own UDE  
1200 and use a shared method core 1000N. This structure allows  
for lower database overhead than when associating an entire  
10 method core 1000N with a user/group. To enable a user to use a  
method, the user may be sent a method core 1000N specifying a  
UDE 1200. If that method core 1000N already exists in the site's  
secure database 610, only the UDE 1200 may need to be added.  
Alternately, the method may create any required UDE 1200 at  
15 registration time.

The Figure 22 example of a format for a method core 1000N  
provided by the preferred embodiment includes a public  
(unencrypted) header 802, a private (encrypted) header 804,  
20 method event table 1006, and a method local data area 1008.

FOI/... 201 02000

An example of a possible field layout for method core 1000N  
 public header 802 is shown in the following table:

5

Field Type		Description
Method ID	Creator ID	Site ID of creator of this method.
	Distributor ID	Distributor of this method (e.g., last change).
	Type ID	Constant, indicates method "type."
	Method ID	Unique sequence number for this method.
	Version ID	Version number of this method.
Other classification information	Class ID	ID to support different method "classes."
	Type ID	ID to support method type compatible searching.
Descriptive Information	Description(s)	Textual description(s) of the method.
	Event Summary	Summary of event classes (e.g., USE) that this method supports.

10

15

An example of a possible field layout for private header 804  
 is shown below:

Field Type		Description
Copy of Public Header 802 Method ID and "Other Classification Information"		Method ID from Public Header
5 Descriptive Information	# of Events	# of events supported in this method.
Access and Reference Tags	Access tag	Tags used to determine if this method is the correct method under management by the SPU; ensure that the method core 1000N is used only under appropriate circumstances.
	Validation tag	
	Correlation tag	
Data Structure Reference		Optional Reference to DTD(s) and/or MDE(s)
10 Check Value		Check value for Private Header and method event table.
Check Value for Public Header		Check Value for Public Header

Referring once again to Figure 22, method event table 1006  
 15 may in the preferred embodiment include from 1 to N method  
 event records 1012. Each of these method event records 1012  
 corresponds to a different event the method 1000 represented by  
 method core 1000N may respond to. Methods 1000 in the  
 preferred embodiment may have completely different behavior  
 20 depending upon the event they respond to. For example, an



AUDIT method may store information in an audit trail UDE 1200 in response to an event corresponding to a user's use of an object or other resource. This same AUDIT method may report the stored audit trail to a VDE administrator or other participant in response to an administrative event such as, for example, a timer expiring within a VDE node or a request from another VDE participant to report the audit trail. In the preferred embodiment, each of these different events may be represented by an "event code." This "event code" may be passed as a parameter to a method when the method is called, and used to "look up" the appropriate method event record 1012 within method event table 1006. The selected method event record 1012, in turn, specifies the appropriate information (e.g., load module(s) 1100, data element UDE(s) and MDE(s) 1200, 1202, and/or PERC(s) 808) used to construct a component assembly 690 for execution in response to the event that has occurred.

Thus, in the preferred embodiment, each method event record 1012 may include an event field 1014, a LM/PERC reference field 1016, and any number of data reference fields 1018. Event fields 1014 in the preferred embodiment may contain a "event code" or other information identifying the

corresponding event. The LM/PERC reference field 1016 may provide a reference into the secure database 610 (or other "pointer" information) identifying a load module 1100 and/or a PERC 808 providing (or referencing) executable code to be loaded and executed to perform the method in response to the event.

5 Data reference fields 1018 may include information referencing a UDE 1200 or a MDE 1202. These data structures may be contained in the method local data area 1008 of the method core 1000N, or they may be stored within the secure database 610 as

10 independent deliverables.

The following table is an example of a possible more detailed field layout for a method event record 1012:

15	Field Type	Description
	Event Field 1014	Identifies corresponding event.
	Access tag	Secret tag to grant access to this row of the method event record.
20	LM/PERC Reference Field 1016	DB ID or offset/size
		Correlation tag
		Database reference (or local pointer).
		Correlation tag to assert when referencing this element.

15

Field Type		Description
# of Data Element Reference Fields		Count of data reference fields in the method event record.
Data Reference Field 1	UDE ID or offset/size	Database 610 reference (or local pointer).
	Correlation tag	Correlation tag to assert when referencing this element.
!		
Data Reference Field n	UDE ID or offset/size	Database 610 reference (or local pointer).
	Correlation tag	Correlation tag to assert when referencing this element.

5

10

**Load Modules**

Figure 23 is an example of a load module 1100 provided by the preferred embodiment. In general, load modules 1100 represent a collection of basic functions that are used for control operations.

15

Load module 1100 contains code and static data (that is functionally the equivalent of code), and is used to perform the basic operations of VDE 100. Load modules 1100 will generally be shared by all the control structures for all objects in the

20

system, though proprietary load modules are also permitted.  
Load modules 1100 may be passed between VDE participants in  
administrative object structures 870, and are usually stored in  
secure database 610. They are always encrypted and  
5 authenticated in both of these cases. When a method core 1000N  
references a load module 1100, a load module is loaded into the  
SPE 503, decrypted, and then either passed to the electronic  
appliance microprocessor for executing in an HPE 655 (if that is  
where it executes), or kept in the SPE (if that is where it  
10 executes). If no SPE 503 is present, the load module may be  
decrypted by the HPE 655 prior to its execution.

Load module creation by parties is preferably controlled by  
a certification process or a ring based SPU architecture. Thus,  
15 the process of creating new load modules 1100 is itself a  
controlled process, as is the process of replacing, updating or  
deleting load modules already stored in a secured database 610.

A load module 1100 is able to perform its function only  
20 when executed in the protected environment of an SPE 503 or an  
HPE 655 because only then can it gain access to the protected  
elements (e.g., UDEs 1200, other load modules 1100) on which it

operates. Initiation of load module execution in this environment is strictly controlled by a combination of access tags, validation tags, encryption keys, digital signatures and/or correlation tags. Thus, a load module 1100 may only be referenced if the caller  
5 knows its ID and asserts the shared secret correlation tag specific to that load module. The decrypting SPU may match the identification token and local access tag of a load module after decryption. These techniques make the physical replacement of any load module 1100 detectable at the next physical access of  
10 the load module. Furthermore, load modules 1100 may be made "read only" in the preferred embodiment. The read-only nature of load modules 1100 prevents the write-back of load modules that have been tampered with in non-secure space.

15 Load modules are not necessarily directly governed by PERCs 808 that control them, nor must they contain any time/date information or expiration dates. The only control consideration in the preferred embodiment is that one or more  
20 methods 1000 reference them using a correlation tag (the value of a protected object created by the load module's owner, distributed to authorized parties for inclusion in their methods, and to which access and use is controlled by one or more PERCs 808). If a

method core 1000N references a load module 1100 and asserts the proper correlation tag (and the load module satisfies the internal tamper checks for the SPE 503), then that load module can be loaded and executed, or it can be acquired from, shipped to, updated, or deleted by, other systems.

As shown in Figure 23, load modules 1100 in the preferred embodiment may be constructed of a public (unencrypted) header 802, a private (encrypted) header 804, a private body 1106 containing the encrypted executable code, and one or more data description elements ("DTDs") 1108. The DTDs 1108 may be stored within a load module 1100, or they may be references to static data elements stored in secure database 610.

The following is an example of a possible field layout for load module public header 802:

Field Type	Description
LM ID	VDE ID of Load Module.
Creator ID	Site ID of creator of this load module.
Type ID	Constant indicates load module type.

Field Type		Description
	LM ID	Unique sequence number for this load module, which uniquely identifies the load module in a sequence of load modules created by an authorized VDE participant.
	Version ID	Version number of this load module.
Other classification information	Class ID	ID to support different load module classes.
	Type ID	ID to support method type compatible searching.
Descriptive Information	Description	Textual description of the load module.
	Execution space code	Value that describes what execution space (e.g., SPE or HPE) this load module.

5

10

15

Many load modules 1100 contain code that executes in an SPE 503. Some load modules 1100 contain code that executes in an HPE 655. This allows methods 1000 to execute in whichever environment is appropriate. For example, an INFORMATION method 1000 can be built to execute only in SPE 503 secure space for government classes of security, or in an HPE 655 for commercial applications. As described above, the load module public header 802 may contain an "execution space code" field

that indicates where the load module 1100 needs to execute. This  
functionality also allows for different SPE instruction sets as well  
as different user platforms, and allows methods to be constructed  
without dependencies on the underlying load module instruction  
5 set.

Load modules 1100 operate on three major data areas: the  
stack, load module parameters, and data structures. The stack  
and execution memory size required to execute the load module  
10 1100 are preferably described in private header 804, as are the  
data descriptions from the stack image on load module call,  
return, and any return data areas. The stack and dynamic areas  
are described using the same DTD mechanism. The following is  
an example of a possible layout for a load module private header  
15 1104:



5

10

Field Type		Description
Copy of some or all of information from public header 802		Object ID from Public Header.
Other classification information	Check Value	Check Value for Public Header.
Descriptive Information	LM Size	Size of executable code block.
	LM Exec Size	Executable code size for the load modul
	LM Exec Stack	Stack size required for the load module
	Execution space code	Code that describes the execution spac load module.
Access and reference tags	Access tag	Tags used to determine if the load mod correct LM requested by the SPE.
	Validation tag	
	Correlation tag	Tag used to determine if the caller of th the right to execute this LM.
	Digital Signature	Used to determine if the LM executable is intact and was created by a trusted s with a correct certificate for creating L
Data record descriptor information	DTD count	Number of DTDs that follow the code bl
	DTD 1 reference	If locally defined, the physical size and bytes of the first DTD defined for this L  If publicly referenced DTD, this is the and the correlation tag to permit access record.
***		

	DTD N reference	<p>If locally defined, the physical size and bytes of the Nth DTD defined for this L</p> <p>If publicly referenced DTD, this is the and the correlation tag to permit access record.</p>
Check Value		Check Value for entire LM.

Each load module 1100 also may use DTD 1108

5 information to provide the information necessary to support building methods from a load module. This DTD information contains the definition expressed in a language such as SGML for the names and data types of all of the method data fields that the load module supports, and the acceptable ranges of values that

10 can be placed in the fields. Other DTDs may describe the function of the load module 1100 in English for inclusion in an electronic contract, for example.

The next section of load module 1100 is an encrypted

15 executable body 1106 that contains one or more blocks of encrypted code. Load modules 1100 are preferably coded in the "native" instruction set of their execution environment for efficiency and compactness. SPU 500 and platform providers may provide versions of the standard load modules 1100 in order

to make their products cooperate with the content in distribution mechanisms contemplated by VDE 100. The preferred embodiment creates and uses native mode load modules 1100 in lieu of an interpreted or "p-code" solution to optimize the performance of a limited resource SPU. However, when sufficient SPE (or HPE) resources exist and/or platforms have sufficient resources, these other implementation approaches may improve the cross platform utility of load module code.

The following is an example of a field layout for a load module DTD 1108:

5

Field Type		Description
DTD ID		Uses Object ID from Private Header.
	Creator ID	Site ID of creator of this DTD.
	Type ID	Constant.
	DTD ID	Unique sequence number for this DTD.
	Version ID	Version number of this DTD.
Descriptive Information	DTD Size	Size of DTD block.
Access and reference tags	Access tag	Tags used to determine if the DTD is the DTD requested by the SPE.
	Validation tag	
	Correlation tag	Tag used to determine if the caller of this the right to use the DTD.
DTD Body	DTD Data Definition 1	
	DTD Data Definition 2	
	DTD Data Definition N	
	Check Value	Check Value for entire DTD record.

10

Some examples of how load modules 1100 may use DTDs 1108 include:

- 5 C Increment data element (defined by name in DTD3) value in data area DTD4 by value in DTD1
- C Set data element (defined by name in DTD3) value in data area DTD4 to value in DTD3
- 10 C Compute atomic element from event in DTD1 from table in DTD3 and return in DTD2
- C Compute atomic element from event in DTD1 from equation in DTD3 and return in DTD2
- 15 C Create load module from load module creation template referenced in DTD3
- C Modify load module in DTD3 using content in DTD4
- C Destroy load module named in DTD3
- 20 Commonly used load modules 1100 may be built into a SPU 500 as space permits. VDE processes that use built-in load modules 1100 will have significantly better performance than processes that have to find, load and decrypt external load modules. The most useful load modules 1100 to build into a SPU
- 25 might include scaler meters, fixed price billing, budgets and load modules for aggregate methods that perform these three processes.

**User Data Elements (UDEs) 1200 and Method Data Elements (MDEs) 1202**

User Data Elements (UDEs) 1200 and Method Data  
5 Elements (MDEs) 1202 in the preferred embodiment store data.  
There are many types of UDEs 1200 and MDEs 1202 provided by  
the preferred embodiment. In the preferred embodiment, each of  
these different types of data structures shares a common overall  
format including a common header definition and naming  
10 scheme. Other UDEs 1200 that share this common structure  
include "local name services records" (to be explained shortly)  
and account information for connecting to other VDE  
participants. These elements are not necessarily associated with  
an individual user, and may therefore be considered MDEs 1202.  
15 All UDEs 1200 and all MDEs 1202 provided by the preferred  
embodiment may, if desired, (as shown in Figure 16) be stored in  
a common physical table within secure database 610, and  
database access processes may commonly be used to access all of  
these different types of data structures.

20

In the preferred embodiment, PERCs 808 and user rights  
table records are types of UDE 1200. There are many other types  
of UDEs 1200/MDEs 1202, including for example, meters, meter

trails, budgets, budget trails, and audit trails. Different formats for these different types of UDEs/MDEs are defined, as described above, by SGML definitions contained within DTDs 1108.

Methods 1000 use these DTDs to appropriately access

5 UDEs/MDEs 1200, 1202.

Secure database 610 stores two types of items: static and dynamic. Static data structures and other items are used for information that is essentially static information. This includes  
10 load modules 1100, PERCs 808, and many components of methods. These items are not updated frequently and contain expiration dates that can be used to prevent "old" copies of the information from being substituted for newly received items. These items may be encrypted with a site specific secure  
15 database file key when they are stored in the secure database 610, and then decrypted using that key when they are loaded into the SPE.

Dynamic items are used to support secure items that must  
20 be updated frequently. The UDEs 1200 of many methods must be updated and written out of the SPE 503 after each use. Meters and budgets are common examples of this. Expiration

dates cannot be used effectively to prevent substitution of the previous copy of a budget UDE 1200. To secure these frequently updated items, a transaction tag is generated and included in the encrypted item each time that item is updated. A list of all VDE  
5 item IDs and the current transaction tag for each item is maintained as part of the secure database 610.

Figure 24 shows an example of a user data element ("UDE") 1200 provided by the preferred embodiment. As shown  
10 in Figure 24, UDE 1200 in the preferred embodiment includes a public header 802, a private header 804, and a data area 1206. The layout for each of these user data elements 1200 is generally defined by an SGML data definition contained within a DTD  
1108 associated with one or more load modules 1100 that operate  
15 on the UDE 1200.

UDEs 1200 are preferably encrypted using a site specific key once they are loaded into a site. This site-specific key masks a validation tag that may be derived from a cryptographically  
20 strong pseudo-random sequence by the SPE 503 and updated each time the record is written back to the secure database 610. This technique provides reasonable assurance that the UDE 1200



has not been tampered with nor substituted when it is requested by the system for the next use.

5 Meters and budgets are perhaps among the most common data structures in VDE 100. They are used to count and record events, and also to limit events. The data structures for each meter and budget are determined by the content provider or a distributor/redistributor authorized to change the information. Meters and budgets, however, generally have common  
10 information stored in a common header format (e.g., user ID, site ID and related identification information).

The content provider or distributor/redistributor may specify data structures for each meter and budget UDE.  
15 Although these data structures vary depending upon the particular application, some are more common than others. The following table lists some of the more commonly occurring data structures for METER and BUDGET methods:

20

5

Field type	Format	Typical Use	Description or Use
Ascending Use Counter	byte, short, long, or unsigned versions of the same widths	Meter/Budget	Ascending count of use
Descending Use Counter	byte, short, long, or unsigned versions of the same widths	Budget	Descending count of permitted use; eg., remaining budget.
Counter/Limit	2, 4 or 8 byte integer split into two related bytes or words	Meter/Budget	usage limits since a sp time; generally used in compound meter data structures.
Bitmap	Array bytes	Meter/Budget	Bit indicator of use or ownership.
Wide bitmap	Array of bytes	Meter/Budget	Indicator of use or ownership that may ag with time.
Last Use Date	time_t	Meter/Budget	Date of last use.
Start Date	time_t	Budget	Date of first allowable
Expiration Date	time_t	Meter/Budget	Expiration Date.
Last Audit Date	time_t	Meter/Budget	Date of last audit.
Next Audit Date	time_t	Meter/Budget	Date of next required a
Auditor	VDE ID	Meter/Budget	VDE ID of authorized auditor.

10

15

The information in the table above is not complete or comprehensive, but rather is intended to show some examples of types of information that may be stored in meter and budget

related data structures. The actual structure of particular  
meters and budgets is determined by one or more DTDs 1108  
associated with the load modules 1100 that create and  
manipulate the data structure. A list of data types permitted by  
5 the DTD interpreter 590 in VDE 100 is extensible by properly  
authorized parties.

Figure 25 shows an example of one particularly advantageous kind of UDE 1200 data area 1206. This data area 1206 defines a "map" that may be used to record usage information. For example, a meter method 1000 may maintain one or more "usage map" data areas 1206. The usage map may be a "usage bit map" in the sense that it stores one or more bits of information (i.e., a single or multi-dimensional bit image) corresponding to each of several types or categories of usage. Usage maps are an efficient means for referencing prior usage. For example, a usage map data area may be used by a meter method 1000 to record all applicable portions of information content that the user has paid to use, thus supporting a very efficient and flexible means for allowing subsequent user usage of the same portions of the information content. This may enable certain VDE related security functions such as "contiguousness," "logical relatedness," randomization of usage, and other usage types. Usage maps may be analyzed for other usage patterns (e.g., quantity discounting, or for enabling a user to reaccess information content for which the user previously paid for unlimited usage).

The "usage map" concept provided by the preferred embodiment may be tied to the concept of "atomic elements." In the preferred embodiment, usage of an object 300 may be

metered in terms of "atomic elements." In the preferred embodiment, an "atomic element" in the metering context defines a unit of usage that is "sufficiently significant" to be recorded in a meter. The definition of what constitutes an "atomic element" is determined by the creator of an object 300. For instance, a "byte" of information content contained in an object 300 could be defined as an "atomic element," or a record of a database could be defined as an "atomic element," or each chapter of an electronically published book could be defined as an "atomic element."

An object 300 can have multiple sets of overlapping atomic elements. For example, an access to any database in a plurality of databases may be defined as an "atomic element." Simultaneously, an access to any record, field of records, sectors of informations, and/or bytes contained in any of the plurality of databases might also be defined as an "atomic element." In an electronically published newspaper, each hundred words of an article could be defined as an "atomic element," while articles of more than a certain length could be defined as another set of "atomic elements." Some portions of a newspaper (e.g., advertisements, the classified section, etc.) might not be mapped into an atomic element.

The preferred embodiment provides an essentially unbounded ability for the object creator to define atomic element

types. Such atomic element definitions may be very flexible to accommodate a wide variety of different content usage. Some examples of atomic element types supported by the preferred embodiment include bytes, records, files, sectors, objects, a quantity of bytes, contiguous or relatively contiguous bytes (or other predefined unit types), logically related bytes containing content that has some logical relationship by topic, location or other user specifiable logic of relationship, etc. Content creators preferably may flexibly define other types of atomic elements.

The preferred embodiment of the present invention provides EVENT methods to provide a mapping between usage events and atomic elements. Generally, there may be an EVENT method for each different set of atomic elements defined for an object 300. In many cases, an object 300 will have at least one type of atomic element for metering relating to billing, and at least one other atomic element type for non-billing related metering (e.g., used to, for example, detect fraud, bill advertisers, and/or collect data on end user usage activities).

In the preferred embodiment, each EVENT method in a usage related context performs two functions: (1) it maps an accessed event into a set of zero or more atomic elements, and (2) it provides information to one or more METER methods for metering object usage. The definition used to define this

mapping between access events and atomic elements may be in the form of a mathematical definition, a table, a load module, etc. When an EVENT method maps an access request into "zero" atomic elements, a user accessed event is not mapped into any atomic element based on the particular atomic element definition that applies. This can be, for example, the object owner is not interested in metering usage based on such accesses (e.g., because the object owner deems such accesses to be insignificant from a metering standpoint).

A "usage map" may employ a "bit map image" for storage of usage history information in a highly efficient manner.

Individual storage elements in a usage map may correspond to atomic elements. Different elements within a usage map may correspond to different atomic elements (e.g., one map element may correspond to number of bytes read, another map element may correspond to whether or not a particular chapter was opened, and yet another map element may correspond to some other usage event).

One of the characteristics of a usage map provided by the preferred embodiment of the present invention is that the significance of a map element is specified, at least in part, by the position of the element within the usage map. Thus, in a usage map provided by the preferred embodiment, the information

indicated or encoded by a map element is a function of its position (either physically or logically) within the map structure. As one simple example, a usage map for a twelve-chapter novel could consist of twelve elements, one for each chapter of the novel. When the user opens the first chapter, one or more bits within the element corresponding to the first chapter could be changed in value (e.g., set to "one"). In this simple example where the owner of the content object containing the novel was interested only in metering which chapters had been opened by the user, the usage map element corresponding to a chapter could be set to "one" the first time the user opened that corresponding chapter, and could remain "one" no matter how many additional times the user opened the chapter. The object owner or other interested VDE participant would be able to rapidly and efficiently tell which chapter(s) had been opened by the user simply by examining the compact usage map to determine which elements were set to "one."

Suppose that the content object owner wanted to know how many times the user had opened each chapter of the novel. In this case, the usage map might comprise, for a twelve-chapter novel, twelve elements each of which has a one-to-one correspondence with a different one of the twelve chapters of the novel. Each time a user opens a particular chapter, the corresponding `METER` method might increment the value contained in the corresponding usage map element. In this way,



an account could be readily maintained for each of the chapters of the novel.

The position of elements within a usage map may encode a multi-variable function. For example, the elements within a usage map may be arranged in a two-dimensional array as shown in Figure 25B. Different array coordinates could correspond to independent variables such as, for example, atomic elements and time. Suppose, as an example, that a content object owner distributes an object containing a collection of audio recordings. Assume further that the content object owner wants to track the number of times the user listens to each recording within the collection, and also wants to track usage based on month of the year. Thus, assume that the content object owner wishes to know how many times the user during the month of January listened to each of the recordings on a recording-by-recording basis, similarly wants to know this same information for the month of February, March, etc. In this case, the usage map (see Figure 25B) might be defined as a two-dimensional array of elements. One dimension of the array might encode audio recording number. The other dimension of the array might encode month of the year. During the month of January, the corresponding METER method would increment elements in the array in the "January" column of the array, selecting which element to increment as a function of recording number. When January

comes to an end, the METER method might cease writing into the array elements in the January column, and instead write values into a further set of February array elements—once again selecting the particular array element in this column as a function of recording number. This concept may be extended to N dimensions encoding N different variables.

Usage map meters are thus an efficient means for referencing prior usage. They may be used to enable certain VDE related security functions such as testing for contiguousness (including relative contiguousness), logical relatedness (including relative logical relatedness), usage randomization, and other usage patterns. For example, the degree or character of the "randomness" of content usage by a user might serve as a potential indicator of attempts to circumvent VDE content budget limitations. A user or groups of users might employ multiple sessions to extract content in a manner which does not violate contiguousness, logical relatedness or quantity limitations, but which nevertheless enables reconstruction of a material portion or all of a given, valuable unit of content. Usage maps can be analyzed to determine other patterns of usage for pricing such as, for example, quantity discounting after usage of a certain quantity of any or certain atomic units, or for enabling a user to reaccess an object for which the user previously paid for unlimited accesses (or unlimited accesses over a certain time

duration). Other useful analyses might include discounting for a given atomic unit for a plurality of uses.

A further example of a map meter includes storing a record of all applicable atomic elements that the user has paid to use (or alternatively, has been metered as having used, though payment may not yet have been required or made). Such a usage map would support a very efficient and flexible way to allow subsequent user usage of the same atomic elements.

A further usage map could be maintained to detect fraudulent usage of the same object. For example, the object might be stored in such a way that sequential access of long blocks should never occur. A METER method could then record all applicable atomic elements accesses during, for example, any specified increment of time, such as ten minutes, an hour, a day, a month, a year, or other time duration). The usage map could be analyzed at the end of the specified time increment to check for an excessively long contiguous set of accessed blocks, and/or could be analyzed at the initiation of each access to applicable atomic elements. After each time duration based analysis, if no fraudulent use is detected, the usage map could be cleared (or partially cleared) and the mapping process could begin in whole or in part anew. If a fraudulent use pattern is suspected or detected, that information might be recorded and the use of the

object could be halted. For example, the user might be required to contact a content provider who might then further analyze the usage information to determine whether or not further access should be permitted.

Figure 25c shows a particular type of "wide bit map" usage record 1206 wherein each entry in the usage record corresponds to usage during a particular time period (e.g., current month usage, last month's usage, usage in the month before last, etc.). The usage record shown thus comprises an array of "flags" or fields 1206, each element in the array being used to indicate usage in a different time period in this particular example. When a time period ends, all elements 1206 in the array may be shifted one position, and thus usage information (or the purchase of user access rights) over a series of time periods can be reflected by a series of successive array elements. In the specific example shown in Figure 25c, the entire wide array 1206 is shifted by one array position each month, with the oldest array element being deleted and the new array element being "turned" in a new array map corresponding to the current time period. In this example, record 1302 tracks usage access rights and/or other usage related activities during the present calendar month as well for the five immediately prior calendar months. Corresponding billing and/or billing method 406 may inspect the map, determine usage as related to billing and/or security monitoring for current usage

based on a formula that employs the usage data stored in the record, and updates the wide record to indicate the applicable array elements for which usage occurred or the like. A wide bit map may also be used for many other purposes such as maintaining an element by element count of usage, or the contiguousness, relatedness, etc. function described above, or some combination of functionality.

Audit trail maps may be generated at any frequency determined by control, meter, budget and billing methods and load modules associated with those methods. Audit trails have a similar structure to meters and budgets and they may contain user specific information in addition to information about the usage event that caused them to be created. Like meters and budgets, audit trails have a dynamic format that is defined by the content provider or their authorized designee, and share the basic element types for meters and budgets shown in the table above. In addition to these types, the following table lists some examples of other significant data fields that may be found in audit trails:

Field type	Format	Typical Use	Description of Use
Use Event ID	unsigned long	Meter/Budget/ Billing	Event ID that started a processing sequence.
Internal Sequence Number	unsigned long	Meter/Budget/ Billing	Transaction number to help detect audits that have been tampered with.

Field type	Format	Typical Use	Description of Use
Atomic Element(s) & Object ID	Unsigned integers) of appropriate width	Meter/Billing	Atomic element(s) and ID of object that was used.
Personal User Information	Character or other information	Budget/Billing	Personal information about user.
Use Date/Time	time_t	Meter/Budget/Billing	Date/time of use.
Site ID/User ID	VDE ID	Meter/Budget/Billing	VDE ID of user.

Audit trail records may be automatically combined into single records to conserve header space. The combination process may, for example, occur under control of a load module that creates individual audit trail records.

#### Permissions Record Overview

Figure 16 also shows that PERCs 808 may be stored as part of secure database 610. Permissions records ("PERCs") 808 are at the highest level of the data driven control hierarchy provided by the preferred embodiment of VDE 100. Basically, there is at least one PERC 808 that corresponds to each information and/or transactional content distributed by VDE 100. Thus, at least one PERC 808 exists for each VDE object 300 in the preferred embodiment. Some objects may have multiple

corresponding PERCs 808. PERC 808 controls how access and/or manipulation permissions are distributed and/or how content and/or other information may otherwise be used. PERC 808 also specifies the "rights" of each VDE participant in and to the content and/or other information.

In the preferred embodiment, no end user may use or access a VDE object unless a permissions record 808 has been delivered to the end user. As discussed above, a PERC 808 may be delivered as part of a traveling object 860 or it may be delivered separately (for example, within an administrative object). An electronic appliance 600 may not access an object unless a corresponding PERC 808 is present, and may only use the object and related information as permitted by the control structures contained within the PERC.

Briefly, the PERC 808 stores information concerning the methods, method options, decryption keys and rights with respect to a corresponding VDE object 300.

PERC 808 includes control structures that define high level categories or classifications of operations. These high level categories are referred to as "rights." The "right" control structures, in turn, provide internal control structures that reference "methods" 1000. The internal structure of preferred

embodiment PERC 808 organizes the "methods" that are required to perform each allowable operation on an object or associated control structure (including operations performed on the PERC itself). For example, PERC 808 contains decryption keys for the object, and usage of the keys is controlled by the methods that are required by the PERC for performing operations associated with the exercise of a "right."

PERC 808 for an object is typically created when the object is created, and future substantive modifications of a PERC, if allowed, are controlled by methods associated with operations using the distribution right(s) defined by the same (or different) PERC.

Figure 22 shows the internal structures present in an example of a PERC 808 provided by the preferred embodiment. All of the structures shown represent (or reference) collections of methods required to process a corresponding object in some specific way. PERCs 808 are organized as a hierarchical structure, and the basic elements of the hierarchy are as follows:

"rights" records 906

"control sets" 914

"required method" records 920 and

"required method options" 924.



There are other elements that may be included in a PERC 808 hierarchy that describe rules and the rule options to support the negotiation of rule sets and control information for smart objects and for the protection of a user's personal information by a privacy filter. These alternate elements may include:

- optional rights records
- optional control sets
- optional method records
- permitted rights records
- permitted rights control sets
- permitted method records
- required DTD descriptions
- optional DTD descriptions
- permitted DTD descriptions

These alternate fields can control other processes that may, in part, base negotiations or decisions regarding their operation on the contents of these fields. Rights negotiation, smart object control information, and related processes can use these fields for more precise control of their operation.

The PERC 808 shown in Figure 26 includes a PERC header 900, a CS0 ("control set 0") 902, private body keys 904, and one or more rights sub-records 906. Control set 0 902 in the preferred embodiment contains information that is common to one or more "rights" associated with an object 300. For example,

a particular "event" method or methods might be the same for usage rights, extraction rights and/or other rights. In that case, "control set 0" 902 may reference this event that is common across multiple "rights." The provision of "control set 0" 902 is actually an optimization, since it would be possible to store different instances of a commonly-used event within each of plural "rights" records 906 of a PERC 808.

Each rights record 906 defines a different "right" corresponding to an object. A "right" record 906 is the highest level of organization present in PERC 808. There can be several different rights in a PERC 808. A "right" represents a major functional partitioning desired by a participant of the basic architecture of VDE 100. For example, the right to use an object and the right to distribute rights to use an object are major functional groupings within VDE 100. Some examples of possible rights include access to content, permission to distribute rights to access content, the ability to read and process audit trails related to content and/or control structures, the right to perform transactions that may or may not be related to content and/or related control structures (such as banking transactions, catalog purchases, the collection of taxes, EDI transactions, and such), and the ability to change some or all of the internal structure of PERCs created for distribution to other users. PERC 808

contains a rights record 906 for each type of right to object access/use the PERC grants.

Normally, for VDE end users, the most frequently granted right is a usage right. Other types of rights include the "extraction right," the "audit right" for accessing audit trail information of end users, and a "distribution right" to distribute an object. Each of these different types of rights may be embodied in a different rights record 906 (or alternatively, different PERCs 808 corresponding to an object may be used to grant different rights).

Each rights record 906 includes a rights record header 908, a CSR ("control set for right") 910, one or more "right keys" 912, and one or more "control sets" 914. Each "rights" record 906 contains one or more control sets 914 that are either required or selectable options to control an object in the exercise of that "right." Thus, at the next level, inside of a "right" 906, are control sets 914. Control sets 914, in turn, each includes a control set header 916, a control method 918, and one or more required methods records 920. Required methods records 920, in turn, each includes a required method header 922 and one or more required method options 924.

Control sets 914 exist in two types in VDE 100: common required control sets which are given designations "control set 0" or "control set for right," and a set of control set options. "Control set 0" 902 contains a list of required methods that are common to all control set options, so that the common required methods do not have to be duplicated in each control set option. A "control set for right" ("CSR") 910 contains a similar list for control sets within a given right. "Control set 0" and any "control sets for rights" are thus, as mentioned above, optimizations; the same functionality for the control sets can be accomplished by listing all the common required methods in each control set option and omitting "control set 0" and any "control sets for rights."

One of the control set options, "control set 0" and the appropriate "control set for right" together form a complete control set necessary to exercise a right.

Each control set option contains a list of required methods 1000 and represents a different way the right may be exercised. Only one of the possible complete control sets 914 is used at any one time to exercise a right in the preferred embodiment.

Each control set 914 contains as many required methods records 920 as necessary to satisfy all of the requirements of the creators and/or distributors for the exercise of a right. Multiple

ways a right may be exercised, or multiple control sets that govern how a given right is exercised, are both supported. As an example, a single control set 914 might require multiple meter and budget methods for reading the object's content, and also require different meter and budget methods for printing an object's content. Both reading and printing an object's content can be controlled in a single control set 914.

Alternatively, two different control set options could support reading an object's content by using one control set option to support metering and budgeting the number of bytes read, and the other control set option to support metering and budgeting the number of paragraphs read. One or the other of these options would be active at a time.

Typically, each control set 914 will reference a set of related methods, and thus different control sets can offer a different set of method options. For example, one control set 914 may represent one distinct kind of metering methodology, and another control set may represent another, entirely different distinct metering methodology.

At the next level inside a control set 914 are the required methods records 920. Methods records 920 contain or reference methods 1000 in the preferred embodiment. Methods 1000 are a

collection of "events," references to load modules associated with these events, static data, and references to a secure database 610 for automatic retrieval of any other separately deliverable data elements that may be required for processing events (e.g., UDEs). A control set 914 contains a list of required methods that must be used to exercise a specific right (i.e., process events associated with a right). A required method record 920 listed in a control set 914 indicates that a method must exist to exercise the right that the control set supports. The required methods may reference "load modules" 1100 to be discussed below. Briefly, load modules 1100 are pieces of executable code that may be used to carry out required methods.

Each control set 914 may have a control method record 918 as one of its required methods. The referenced control method may define the relationships between some or all of the various methods 1000 defined by a control set 906. For example, a control method may indicate which required methods are functionally grouped together to process particular events, and the order for processing the required methods. Thus, a control method may specify that required method referenced by record 920(a)(1)(i) is the first to be called and then its output is to go to required method referenced by record 920(a)(1)(ii) and so on. In this way, a meter method may be tied to one or more billing

methods and then the billing methods may be individually tied to different budget methods, etc.

Required method records 920 specify one or more required method options 924. Required method options are the lowest level of control structure in a preferred embodiment PERC 808. By parameterizing the required methods and specifying the required method options 924 independently of the required methods, it becomes possible to reuse required methods in many different circumstances.

For example, a required method record 920 may indicate that an actual budget method ID must be chosen from the list of budget method IDs in the required method option list for that required method. Required method record 920 in this case does not contain any method IDs for information about the type of method required, it only indicates that a method is required. Required method option 924 contains the method ID of the method to be used if this required method option is selected. As a further optimization, an actual method ID may be stored if only one option exists for a specific required method. This allows the size of this data structure to be decreased.

PERC 808 also contains the fundamental decryption keys for an object 300, and any other keys used with "rights" (for

encoding and/or decoding audit trails, for example). It may contain the keys for the object content or keys to decrypt portions of the object that contain other keys that then can be used to decrypt the content of the object. Usage of the keys is controlled by the control sets 914 in the same "right" 906 within PERC 808.

In more detail, Figure 26 shows PERC 808 as including private body keys 904, and right keys 912. Private body keys 904 are used to decrypt information contained within a private body 806 of a corresponding VDE object 300. Such information may include, for example, methods 1000, load modules 1100 and/or UDEs 1200, for example. Right keys 912 are keys used to exercise a right in the preferred embodiment. Such right keys 912 may include, for example, decryption keys that enable a method specified by PERC 808 to decrypt content for release by a VDE node to an end user. These right keys 912 are, in the preferred embodiment, unique to an object 300. Their usage is preferably controlled by budgets in the preferred embodiment.

#### **Detailed Example of a PERC 808**

Figures 26A and 26B show one example of a preferred embodiment PERC 808. In this example, PERC header 900 includes:

a site record number 926,



a field 928 specifying the length of the private body key block,

a field 930 specifying the length of the PERC,

an expiration date/time field 932 specifying the expiration date and/or time for the PERC,

a last modification date/time field 934 specifying the last date and/or time the PERC 808 was modified,

the original distributor ID field 936 that specifies who originally distributed the PERC and/or corresponding object,

a last distributor field 938 that specifies who was the last distributor of the PERC and/or the object,

an object ID field 940 identifying the corresponding VDE object 300,

a field 942 that specifies the class and/or type of PERC and/or the instance ID for the record class to differentiate the PERCs of the same type that may differ in their particulars,

a field 944 specifying the number of "rights" sub-records 906 within the PERC, and

a validation tag 948.

The PERC 808 shown in Figures 26a, 26b also has private body keys stored in a private body key block 950.

This PERC 808 includes a control set 0 sub-record 914 (0) that may be used commonly by all of rights 906 within the PERC.

This control set 0 record 914(0) may include the following fields:

- a length field 952 specifying the length of the control set 0 record

- a field 954 specifying the number of required method records 920 within the control set

- an access tag field 956 specifying an access tag to control modification of the record and

- one or more required method records 920.

Each required method record 920, in turn may include:

- a length field 958 specifying the length of the required method record

- a field 960 specifying the number of method option records within the required method record 920

- an access tag field 962 specifying an access tag to control modification of the record and

- one or more method option records 924.

Each method option sub-record 924 may include:

- a length field 964 specifying the length of the method option record

- a length field 966 specifying the length of the data area (if any) corresponding to the method option record

a method ID field 968 specifying a method ID (e.g.,  
type/owner/class/instance)  
a correlation tag field 970 specifying a correlation  
tag for correlating with the method specified in  
field 968  
an access tag field 972 specifying an access tag to  
control modification of this record  
a method-specific attributes field 974  
a data area 976 and  
a check value field 978 for validation purposes

In this example of PERC 808 also includes one or more  
rights records 906, and an overall check value field 980. Figure  
23b is an example of one of right records 906 shown in Figure  
16a. In this particular example, rights record 906a includes a  
rights record header 908 comprising:

a length field 982 specifying the length of the rights  
key block 912  
a length field 984 specifying the length of the rights  
record 908  
an expiration date/time field 986 specifying the  
expiration date and/or time for the rights  
record  
a right ID field 988 identifying a right

a number field 990 specifying the number of control sets 914 within the rights record 906, and an access tag field 992 specifying an access tag to control modification of the right record.

This example of rights record 906 includes:

a control set for this right (CSR) 910  
a rights key block 912  
one or more control sets 914, and  
a check value field 994.

### **Object Registry**

Referring once again to Figure 16, secure database 610 provides data structures that support a "lookup" mechanism for "registered" objects. This "lookup" mechanism permits electronic appliance 600 to associate, in a secure way, VDE objects 300 with PERCs 808, methods 1000 and load modules 1100. In the preferred embodiment, this lookup mechanism is based in part on data structures contained within object registry 450.

In one embodiment, object registry 450 includes the following tables:

- an object registration table 460;
- a subject table 462;
- a User Rights Table ("URT") 464;

- an Administrative Event Log 442;
- a shipping table 444; and
- a receiving table 446.

Object registry 460 in the example embodiment is a database of information concerning registered VDE objects 300 and the rights of users and user groups with regard to those objects. When electronic appliance 600 receives an object 300 containing a new budget or load module 1100, the electronic appliance usually needs to add the information contained by the object to secure database 610. Moreover, when any new VDE object 300 arrives at an electronic appliance 600, the electronic appliance must "register" the object within object registry 450 so that it can be accessed. The lists and records for a new object 300 are built in the preferred embodiment when the object is "registered" by the electronic appliance 600. The information for the object may be obtained from the object's encrypted private header, object body, and encrypted name services record. This information may be extracted or derived from the object 300 by SPE 503, and then stored within secure database 610 as encrypted records.

In one embodiment, object registration table 460 includes information identifying objects within object storage (repository) 728. These VDE objects 300 stored within object storage 728 are

not, in the example embodiment, necessarily part of secure database 610 since the objects typically incorporate their own security (as necessary and required) and are maintained using different mechanisms than the ones used to maintain the secure database. Even though VDE objects 300 may not strictly be part of secure database 610, object registry 450 (and in particular, object registration table 460) refers to the objects and thus "incorporates them by reference" into the secure database. In the preferred embodiment, an electronic appliance 600 may be disabled from using any VDE object 300 that has not been appropriately registered with a corresponding registration record stored within object registration table 460.

Subject table 462 in the example embodiment establishes correspondence between objects referred to by object registration table 460 and users (or groups of users) of electronic appliance 600. Subject table 462 provides many of the attributes of an access control list ("ACL"), as will be explained below.

User rights table 464 in the example embodiment provides permissioning and other information specific to particular users or groups of users and object combinations set forth in subject table 462. In the example embodiment, permissions records 808 (also shown in Figure 16 and being stored within secure database 610) may provide a universe of permissioning for a particular

object-user combination. Records within user rights table 464 may specify a sub-set of this permissioning universe based on, for example, choices made by users during interaction at time of object registration.

Administrative event log 442, shipping table 444, and receiving table 446 provide information about receipts and deliveries of VDE objects 300. These data structures keep track of administrative objects sent or received by electronic appliance 600 including, for example, the purpose and actions of the administrative objects in summary and detailed form. Briefly, shipping table 444 includes a shipping record for each administrative object sent (or scheduled to be sent) by electronic appliance 600 to another VDE participant. Receiving table 446 in the preferred embodiment includes a receiving record for each administrative object received (or scheduled to be received) by electronic appliance 600. Administrative event log 442 includes an event log record for each shipped and each received administrative object, and may include details concerning each distinct event specified by received administrative objects.

#### **Administrative Object Shipping and Receiving**

Figure 27 is an example of a detailed format for a shipping table 444. In the preferred embodiment, shipping table 444 includes a header 444A and any number of shipping records 445.

Header 444A includes information used to maintain shipping table 444. Each shipping record 445 within shipping table 444 provides details concerning a shipping event (i.e., either a completed shipment of an administrative object to another VDE participant, or a scheduled shipment of an administrative object).

In the example embodiment of the secure database 610, shipping table header 444A may include a site record number 444A(1), a user (or group) ID 444A(2), a series of reference fields 444A(3)-444A(6), validation tags 444A(7)-444A(8), and a check value field 444A(9). The fields 444A(3)-444A(6) reference certain recent IDs that designate lists of shipping records 445 within shipping table 444. For example, field 444A(3) may reference to a "first" shipping record representing a completed outgoing shipment of an administrative object, and field 444A(4) may reference to a "last" shipping record representing a completed outgoing shipment of an administrative object. In this example, "first" and "last" may, if desired, refer to time or order of shipment as one example. Similarly, fields 444A(5) and 444A(6) may reference to "first" and "last" shipping records for scheduled outgoing shipments. Validation tag 444A(7) may provide validation from a name services record within name services record table 452 associated with the user (group) ID in the header. This permits access from the shipping record back to the



name services record that describes the sender of the object described by the shipping records. Validation tag 444A(8) provides validation for a "first" outgoing shipping record referenced by one or more of pointers 444A(3)-444A(6). Other validation tags may be provided for validation of scheduled shipping record(s).

Shipping record 444(1) shown includes a site record number 445(1)(A). It also includes first and last scheduled shipment date/times 445(1)(B), 445(1)(C) providing a window of time used for scheduling administrative object shipments. Field 445(1)(D) may specify an actual date/time of a completed shipment of an administrative object. Field 445(1)(E) provides an ID of an administrative object shipped or to be shipped, and thus identifies which administrative object within object storage 728 pertains to this particular shipping record. A reference field 445(1)(G) references a name services record within name services record table 452 specifying the actual or intended recipient of the administrative object shipped or to be shipped. This information within name services record table 452 may, for example, provide routing information sufficient to permit outgoing administrative objects manager 754 shown in Figure 12 to inform object switch 734 to ship the administrative object to the intended recipient. A field 445(1)(H) may specify (e.g., using a series of bit flags) the purpose of the administrative object shipment, and a field

445(1)(I) may specify the status of the shipment. Reference fields 445(1)(J), 445(1)(K) may reference "previous" and "next" shipping records 445 in a linked list (in the preferred embodiment, there may be two linked lists, one for completed shipping records and the other for scheduled shipping records). Fields 445(1)(L) - 445(1)(P) may provide validation tags respectively from header 444A, to a record within administrative event log 442 pointed to by pointer 445(1)(F); to the name services record referenced by field 445(1)(G); from the previous record referenced by 445(1)(J); and to the next record referenced by field 445(1)(K). A check value field 445(1)(Q) may be used for validating shipping record 445.

Figure 28 shows an example of one possible detailed format for a receiving table 446. In one embodiment, receiving table 446 has a structure that is similar to the structure of the shipping table 444 shown in Figure 27. Thus, for example, receiving table 446 may include a header 446a and a plurality of receiving records 447, each receiving record including details about a particular reception or scheduled reception of an administrative object. Receiving table 446 may include two linked lists, one for completed receptions and another for schedule receptions. Receiving table records 447 may each reference an entry within name services record table 452 specifying an administrative object sender, and may each point to an entry within

administrative event log 442. Receiving records 447 may also include additional details about scheduled and/or completed reception (e.g., scheduled or actual date/time of reception, purpose of reception and status of reception), and they may each include validation tags for validating references to other secure database records.

Figure 29 shows an example of a detailed format for an administrative event log 442. In the preferred embodiment, administrative event log 442 includes an event log record 442(1) . . . 442(N) for each shipped administrative object and for each received administrative object. Each administrative event log record may include a header 443a and from 1 to N sub-records 442(J)(1) . . . 442(J)(N). In the preferred embodiment, header 443a may include a site record number field 443A(1), a record length field 443A(2), an administrative object ID field 443A(3), a field 443A(4) specifying a number of events, a validation tag 443A(5) from shipping table 444 or receiving table 446, and a check sum field 443A(6). The number of events specified in field 443A(4) corresponds to the number of sub-records 442(J)(1) . . . 442(J)(N) within the administrative event log record 442(J). Each of these sub-records specifies information about a particular "event" affected or corresponding to the administrative object specified within field 443(A)(3). Administrative events are retained in the administrative event log 442 to permit the

reconstruction (and preparation for construction or processing) of the administrative objects that have been sent from or received by the system. This permits lost administrative objects to be reconstructed at a later time.

Each sub-record may include a sub-record length field 442(J)(1)(a), a data area length field 442(J)(1)(b), an event ID field 442(J)(1)(c), a record type field 442(J)(1)(d), a record ID field 442(J)(1)(e), a data area field 442(J)(1)(f), and a check value field 442(J)(1)(g). The data area 442(J)(1)(f) may be used to indicate which information within secure database 610 is affected by the event specified in the event ID field 442(J)(1)(c), or what new secure database item(s) were added, and may also specify the outcome of the event.

The object registration table 460 in the preferred embodiment includes a record corresponding to each VDE object 300 within object storage (repository) 728. When a new object arrives or is detected (e.g., by redirector 684), a preferred embodiment electronic appliance 600 "registers" the object by creating an appropriate object registration record and storing it in the object registration table 460. In the preferred embodiment, the object registration table stores information that is user-independent, and depends only on the objects that are registered at a given VDE electronic appliance 600. Registration activities

are typically managed by a REGISTER method associated with an object.

In the example, subject table 462 associates users (or groups of users) with registered objects. The example subject table 462 performs the function of an access control list by specifying which users are authorized to access which registered VDE objects 300.

As described above, secure database 610 stores at least one PERC 808 corresponding to each registered VDE object 300. PERCS 808 specify a set of rights that may be exercised to use or access the corresponding VDE object 300. The preferred embodiment allows user to "customize" their access rights by selecting a subset of rights authorized by a corresponding PERC 808 and/or by specifying parameters or choices that correspond to some or all of the rights granted by PERC 808. These user choices are set forth in a user rights table 464 in the preferred embodiment. User rights table (URT) 464 includes URT records, each of which corresponds to a user (or group of users). Each of these URT records specifies user choices for a corresponding VDE object 300. These user choices may, either independently or in combination with a PERC 808, reference one or more methods 1000 for exercising the rights granted to the user by the PERC

808 in a way specified by the choices contained within the URT record.

Figure 30 shows an example of how these various tables may interact with one another to provide a secure database lookup mechanism. Figure 30 shows object registration table 460 as having a plurality of object registration records 460(1), 460(2), . . . . These records correspond to VDE objects 300(1), 300(2), . . . stored within object repository 728. Figure 31 shows an example format for an object registration record 460 provided by the preferred embodiment. Object registration record 460(N) may include the following fields:

- site record number field 466(1)
- object type field 466(2)
- creator ID field 466(3)
- object ID field 466(4)
- a reference field 466(5) that references subject  
table 462
- an attribute field 466(6)
- a minimum registration interval field 466(7)
- a tag 466(8) to a subject table record, and
- a check value field 466(9).

The site record number field 466(1) specifies the site record number for this object registration record 460(N). In one embodiment of secure database 610, each record stored within

the secure database is identified by a site record number. This site record number may be used as part of a database lookup process in order to keep track of all of the records within the secure database 610.

Object type field 466(2) may specify the type of registered VDE object 300 (e.g., a content object, an administrative object, etc.).

Creator ID field 466(3) in the example may identify the creator of the corresponding VDE object 300.

Object ID field 466(4) in the example uniquely identifies the registered VDE object 300.

Reference field 466(5) in the preferred embodiment identifies a record within the subject table 462. Through use of this reference, electronic appliance 600 may determine all users (or user groups) listed in subject table 462 authorized to access the corresponding VDE object 300. Tag 466(8) is used to validate that the subject table records accessed using field 466(5) is the proper record to be used with the object registration record 460(N).

Attribute field 466(6) may store one or more attributes or attribute flags corresponding to VDE object 300.

Minimum registration interval field 466(7) may specify how often the end user may re-register as a user of the VDE object 300 with a clearinghouse service, VDE administrator, or VDE provider. One reason to prevent frequent re-registration is to foreclose users from reusing budget quantities in traveling objects until a specified amount of time has elapsed. The minimum registration interval field 466(7) may be left unused when the object owner does not wish to restrict re-registration.

Check value field 466(9) contains validation information used for detecting corruption or modification of record 460(N) to ensure security and integrity of the record. In the preferred embodiment, many or all of the fields within record 460(N) (as with other records within the secure database 610) may be fully or partially encrypted and/or contain fields that are stored redundantly in each record (once in unencrypted form and once in encrypted form). Encrypted and unencrypted versions of the same fields may be cross checked at various times to detect corruption or modification of the records.

As mentioned above, reference field 466(5) references subject table 462, and in particular, references one or more



user/object records 460(M) within the subject table. Figure 32 shows an example of a format for a user/object record 462(M) provided by the example. Record 462(M) may include a header 468 and a subject record portion 470. Header 468 may include a field 468(6) referencing a "first" subject record 470 contained within the subject registration table 462. This "first" subject record 470(1) may, in turn, include a reference field 470(5) that references a "next" subject record 470(2) within the subject registration table 462, and so on. This "linked list" structure permits a single object registration record 460(N) to reference to from one to N subject records 470.

Subject registration table header 468 in the example includes a site record number field 468(1) that may uniquely identify the header as a record within secure database 610. Header 468 may also include a creator ID field 468(2) that may be a copy of the content of the object registration table creator ID field 466(3). Similarly, subject registration table header 468 may include an object ID field 468(5) that may be a copy of object ID field 466(4) within object registration table 460. These fields 468(2), 468(5) make user/object registration records explicitly correspond to particular VDE objects 300.

Header 468 may also include a tag 468(7) that permits validation. In one example arrangement, the tag 468(7) within

the user/object registration header 468 may be the same as the tag 466(8) within the object registration record 460(N) that points to the user/object registration header. Correspondence between these tags 468(7) and 466(8) permits validation that the object registration record and user/object registration header match up.

User/object header 468 also includes an original distributor ID field 468(3) indicating the original distributor of the corresponding VDE object 300, and the last distributor ID field 468(4) that indicates the last distributor within the chain of handling of the object prior to its receipt by electronic appliance 600.

Header 468 also includes a tag 468(8) allowing validation between the header and the "first" subject record 470(1) which field 468(6) references

Subject record 470(1) includes a site record number 472(1), a user (or user group) ID field 472(2), a user (or user group) attributes field 472(3), a field 472(4) referencing user rights table 464, a field 472(5) that references to the "next" subject record 470(2) (if there is one), a tag 472(6) used to validate with the header tag 468(8), a tag 472(7) used to validate with a corresponding tag in the user rights table record referenced by field 472(4), a tag 472(9) used to validate with a tag in the "next"

subject record referenced to by field 472(5) and a check value field 472(9).

User or user group ID 472(2) identifies a user or a user group authorized to use the object identified in field 468(5). Thus, the fields 468(5) and 472(2) together form the heart of the access control list provided by subject table 462. User attributes field 472(3) may specify attributes pertaining to use/access to object 300 by the user or user group specified in fields 472(2). Any number of different users or user groups may be added to the access control list (each with a different set of attributes 472(3)) by providing additional subject records 470 in the "linked list" structure.

Subject record reference field 472(4) references one or more records within user rights table 464. Figure 33 shows an example of a preferred format for a user rights table record 464(k). User rights record 464(k) may include a URT header 474, a record rights header 476, and a set of user choice records 478. URT header 474 may include a site record number field, a field 474(2) specifying the number of rights records within the URT record 464(k), a field 474(3) referencing a "first" rights record (i.e., to rights record header 476), a tag 474(4) used to validate the lookup from the subject table 462, a tag 474(5) used to

validate the lookup to the rights record header 476, and a check value field 474(6).

Rights record header 476 in the preferred embodiment may include site record number field 476(1), a right ID field 476(2), a field 476(3) referencing the "next" rights record 476(2), a field 476(4) referencing a first set of user choice records 478(1), a tag 476(5) to allow validation with URT header tag 474(5), a tag 476(6) to allow validation with a user choice record tag 478(6), and a check value field 476(7). Right ID field 476(2) may, for example, specify the type of right conveyed by the rights record 476(e.g., right to use, right to distribute, right to read, right to audit, etc.).

The one or more user choice records 478 referenced by rights record header 476 sets forth the user choices corresponding to access and/or use of the corresponding VDE object 300. There will typically be a rights record 476 for each right authorized to the corresponding user or user group. These rights govern use of the VDE object 300 by that user or user group. For instance, the user may have an "access" right, and an "extraction" right, but not a "copy" right. Other rights controlled by rights record 476 (which is derived from PERC 808 using a REGISTER method in the preferred embodiment) include distribution rights, audit rights, and pricing rights. When an

object 300 is registered with the electronic appliance 600 and is registered with a particular user or user group, the user may be permitted to select among various usage methods set forth in PERC 808. For instance, a VDE object 300 might have two required meter methodologies: one for billing purposes, and one for accumulating data concerning the promotional materials used by the user. The user might be given the choice of a variety of meter/billing methods, such as: payment by VISA or MasterCard; choosing between billing based upon the quantity of material retrieved from an information database, based on the time of use, and/or both. The user might be offered a discount on time and/or quantity billing if he is willing to allow certain details concerning his retrieval of content to be provided to third parties (e.g., for demographic purposes). At the time of registration of an object and/or user for the object, the user would be asked to select a particular meter methodology as the "active metering method" for the first acquired meter. A VDE distributor might narrow the universe of available choices for the user to a subset of the original selection array stipulated by PERC 808. These user selection and configuration settings are stored within user choice records 480(1), 480(2), 480(N). The user choice records need not be explicitly set forth within user rights table 464; instead, it is possible for user choice records 480 to refer (e.g., by site reference number) to particular VDE methods and/or information parameterizing those methods. Such reference by user choice

records 480 to method 1000 should be validated by validation tags contained within the user choice records. Thus, user choice records 480 in the preferred embodiment may select one or more methods 1000 for use with the corresponding VDE object 300 (as is shown in Figure 27). These user choice records 480 may themselves fully define the methods 1000 and other information used to build appropriate components assemblies 690 for implementing the methods. Alternatively, the user/object record 462 used to reference the user rights record 464 may also reference the PERC 808 corresponding to VDE object 300 to provide additional information needed to build the component assembly 690 and/or otherwise access the VDE object 300. For example, PERC 808 may be accessed to obtain MDEs 1202 pertaining to the selected methods, private body and/or rights keys for decrypting and/or encrypting object contents, and may also be used to provide a checking capability ensuring that the user rights record conveys only those rights authorized by a current authorization embodied within a PERC.

In one embodiment provided by the present invention, a conventional database engine may be used to store and organize secure database 610, and the encryption layers discussed above may be "on top of" the conventional database structure. However, if such a conventional database engine is unable to organize the records in secure database 610 and support the

security considerations outlined above, then electronic appliance 600 may maintain separate indexing structures in encrypted form. These separate indexing structures can be maintained by SPE 503. This embodiment would require SPE 503 to decrypt the index and search decrypted index blocks to find appropriate "site record IDs" or other pointers. SPE 503 might then request the indicated record from the conventional database engine. If the record ID cannot be checked against a record list, SPE 503 might be required to ask for the data file itself so it can retrieve the desired record. SPE 503 would then perform appropriate authentication to ensure that the file has not been tampered with and that the proper block is returned. SPE 503 should not simply pass the index to the conventional database engine (unless the database engine is itself secure) since this would allow an incorrect record to be swapped for the requested one.

Figure 34 is an example of how the site record numbers described above may be used to access the various data structures within secure database 610. In this example, secure database 610 further includes a site record table 482 that stores a plurality of site record numbers. Site record table 482 may store what is in effect a "master list" of all records within secure database 610. These site record numbers stored by site record table 482 permit any record within secure database 610 to be accessed. Thus, some of the site records within site record table

482 may index records with an object registration table 460, other site record numbers within the site record table may index records within the user/object table 462, still other site record numbers within the site record table may access records within URT 464, and still other site record numbers within the site record table may access PERCs 808. In addition, each of method cores 1000' may also include a site record number so they may be accessed by site record table 482.

Figure 34A shows an example of a site record 482(j) within site record table 482. Site record 482(j) may include a field 484(1) indicating the type of record, a field 484(2) indicating the owner or creator of the record, a "class" field 484(3) and an "instance" field 484(4) providing additional information about the record to which the site record 482(j) points; a specific descriptor field 484(5) indicating some specific descriptor (e.g., object ID) associated with the record; an identification 484(6) of the table or other data structure which the site record references; a reference and/or offset within that data structure indicating where the record begins; a validation tag 484(8) for validating the record being looked up, and a check value field 484(9). Fields 484(6) and 484(7) together may provide the mechanism by which the record referenced to by the site record 484(j) is actually physically located within the secure database 610.



### Updating Secure Database 610

Figure 35 show an example of a process 1150 which can be used by a clearinghouse, VDE administrator or other VDE participant to update the secure database 610 maintained by an end user's electronic appliance 600. For example, the process 1500 shown in Figure 35 might be used to collect "audit trail" records within secure database 610 and/or provide new budgets and permissions (e.g., PERCs 808) in response to an end user's request.

Typically, the end user's electronic appliance 600 may initiate communications with a clearinghouse (Block 1152). This contact may, for example, be established automatically or in response to a user command. It may be initiated across the electronic highway 108, or across other communications networks such as a LAN, WAN, two-way cable or using portable media exchange between electronic appliances. The process of exchanging administrative information need not occur in a single "on line" session, but could instead occur over time based on a number of different one-way and/or two-way communications over the same or different communications means. However, the process 1150 shown in Figure 35 is a specific example where the end user's electronic appliance 600 and the other VDE participant (e.g., a clearinghouse) establish a two-way real-time

interactive communications exchange across a telephone line, network, electronic highway 108, etc.

The end user's electronic appliance 600 generally contacts a particular VDE administrator or clearinghouse. The identity of the particular clearinghouse is based on the VDE object 300 the user wishes to access or has already accessed. For example, suppose the user has already accessed a particular VDE object 300 and has run out of budget for further access. The user could issue a request which will cause her electronic appliance 600 to automatically contact the VDE administrator, distributor and/or financial clearinghouse that has responsibility for that particular object. The identity of the appropriate VDE participants to contact is provided in the example by information within UDEs 1200, MDEs 1202, the Object Registration Table 460 and/or Subject Table 462, for example. Electronic appliance 600 may have to contact multiple VDE participants (e.g., to distribute audit records to one participant, obtain additional budgets or other permissions from another participant, etc.). The contact 1152 may in one example be scheduled in accordance with the Figure 27 Shipping Table 444 and the Figure 29 Administrative Event Log 442.

Once contact is established, the end user's electronic appliance and the clearinghouse typically authenticate one

another and agree on a session key to use for the real-time information exchange (Block 1154). Once a secure connection is established, the end user's electronic appliance may determine (e.g., based on Shipping Table 444) whether it has any administrative object(s) containing audit information that it is supposed to send to the clearinghouse (decision Block 1156). Audit information pertaining to several VDE objects 300 may be placed within the same administrative object for transmission, or different administrative objects may contain audit information about different objects. Assuming the end user's electronic appliance has at least one such administrative object to send to this particular clearinghouse ("yes" exit to decision Block 1156), the electronic appliance sends that administrative object to the clearinghouse via the now-established secure real-time communications (Block 1158). In one specific example, a single administrative object may be sent an administrative object containing audit information pertaining to multiple VDE objects, with the audit information for each different object comprising a separate "event" within the administrative object.

The clearinghouse may receive the administrative object and process its contents to determine whether the contents are "valid" and "legitimate." For example, the clearinghouse may analyze the contained audit information to determine whether it indicates misuse of the applicable VDE object 300. The

clearinghouse may, as a result of this analysis, may generate one or more responsive administrative objects that it then sends to the end user's electronic appliance 600 (Block 1160). The end user's electronic appliance 600 may process events that update its secure database 610 and/or SPU 500 contents based on the administrative object received (Block 1162). For example, if the audit information received by the clearinghouse is legitimate, then the clearinghouse may send an administrative object to the end user's electronic appliance 600 requesting the electronic appliance to delete and/or compress the audit information that has been transferred. Alternatively or in addition, the clearinghouse may request additional information from the end-user electronic appliance 600 at this stage (e.g., retransmission of certain information that was corrupted during the initial transmission, transmission of additional information not earlier transmitted, etc.). If the clearinghouse detects misuse based on the received audit information, it may transmit an administrative object that revokes or otherwise modifies the end user's right to further access the associated VDE objects 300.

The clearinghouse may, in addition or alternatively, send an administrative object to the end user's electronic appliance 600 that instructs the electronic appliance to display one or more messages to the user. These messages may inform the user about certain conditions and/or they may request additional

information from the user. For example, the message may instruct the end user to contact the clearinghouse directly by telephone or otherwise to resolve an indicated problem, enter a PIN, or it may instruct the user to contact a new service company to re-register the associated VDE object. Alternatively, the message may tell the end user that she needs to acquire new usage permissions for the object, and may inform the user of cost, status and other associated information.

During the same or different communications exchange, the same or different clearinghouse may handle the end user's request for additional budget and/or permission pertaining to VDE object 300. For example, the end user's electronic appliance 600 may (e.g., in response to a user input request to access a particular VDE object 300) send an administrative object to the clearinghouse requesting budgets and/or other permissions allowing access (Block 1164). As mentioned above, such requests may be transmitted in the form of one or more administrative objects, such as, for example, a single administrative object having multiple "events" associated with multiple requested budgets and/or other permissions for the same or different VDE objects 300. The clearinghouse may upon receipt of such a request, check the end user's credit, financial records, business agreements and/or audit histories to determine whether the requested budgets and/or permissions should be given. The

clearinghouse may, based on this analysis, send one or more responsive administrative objects which cause the end user's electronic appliance 600 to update its secure database in response (Block 1166, 1168). This updating might, for example, comprise replacing an expired PERC 808 with a fresh one, modifying a PERC to provide additional (or lesser) rights, etc. Steps 1164-1168 may be repeated multiple times in the same or different communications session to provide further updates to the end user's secure database 610.

Figure 36 shows an example of how a new record or element may be inserted into secure database 610. The load process 1070 shown in Figure 35 checks each data element or item as it is loaded to ensure that it has not been tampered with, replaced or substituted. In the process 1070 shown in Figure 35, the first step that is performed is to check to see if the current user of electronic appliance 600 is authorized to insert the item into secure database 610 (block 1072). This test may involve, in the preferred embodiment, loading (or using already loaded) appropriate methods 1000 and other data structures such as UDEs 1200 into an SPE 503, which then authenticates user authorization to make the change to secure database 610 (block 1074). If the user is approved as being authorized to make the change to secure database 610, then SPE 503 may check the integrity of the element to be added to the secure database by

decrypting it (block 1076) and determining whether it has become damaged or corrupted (block 1078). The element is checked to ensure that it decrypts properly using a predetermined management file key, and the check value may be validated. In addition, the public and private header ID tags (if present) may be compared to ensure that the proper element has been provided and had not been substituted, and the unique element tag ID compared against the predetermined element tag. If any of these tests fail, the element may be automatically rejected, error corrected, etc. Assuming the element is found to have integrity, SPE 503 may re-encrypt the information (block 1080) using a new key for example (see Figure 37 discussion below). In the same process step an appropriate tag is preferably provided so that the information becomes encrypted within a security wrapper having appropriate tags contained therein (block 1082). SPE 503 may retain appropriate tag information so that it can later validate or otherwise authenticate the item when it is again read from secure database 610 (block 1084). The now-secure element within its security wrapper may then be stored within secure database 610.

Figure 37 shows an example of a process 1050 used in the preferred embodiment database to securely access an item stored in secure database 610. In the preferred embodiment, SPE 503 first accesses and reads in the item from secure database 610

records. SPE 503 reads this information from secure database 610 in encrypted form, and may "unwrap" it (block 1052) by decrypting it (block 1053) based on access keys internally stored within the protected memory of an SPU 500. In the preferred embodiment, this "unwrap" process 1052 involves sending blocks of information to encrypt/decrypt engine 522 along with a management file key and other necessary information needed to decrypt. Decrypt engine 522 may return "plaintext" information that SPE 503 then checks to ensure that the security of the object has not been breached and that the object is the proper object to be used (block 1054). SPE 503 may then check all correlation and access tags to ensure that the read-in element has not been substituted and to guard against other security threats (block 1054). Part of this "checking" process involves checking the tags obtained from the secure database 610 with tags contained within the secure memory or an SPU 500 (block 1056). These tags stored within SPU 500 may be accessed from SPU protected memory (block 1056) and used to check further the now-unwrapped object. Assuming this "checking" process 1054 does not reveal any improprieties (and block 1052 also indicates that the object has not become corrupted or otherwise damaged), SPE 503 may then access or otherwise use the item (block 1058). Once use of the item is completed, SPE 503 may need to store the item back into secure database 610 if it has changed. If the item has changed, SPE 503 will send the item in its changed form to



encrypt/decrypt engine 522 for encryption (block 1060), providing the appropriate necessary information to the encrypt/decrypt engine (e.g., the appropriate same or different management file key and data) so that the object is appropriately encrypted. A unique, new tag and/or encryption key may be used at this stage to uniquely tag and/or encrypt the item security wrapper (block 1062; see also detailed Figure 37 discussion below). SPE 503 may retain a copy of the key and/or tag within a protected memory of SPU 500 (block 1064) so that the SPE can decrypt and validate the object when it is again read from secure database 610.

The keys to decrypt secure database 610 records are, in the preferred embodiment, maintained solely within the protected memory of an SPU 500. Each index or record update that leaves the SPU 500 may be time stamped, and then encrypted with a unique key that is determined by the SPE 503. For example, a key identification number may be placed "in plain view" at the front of the records of secure database 610 so the SPE 503 can determine which key to use the next time the record is retrieved. SPE 503 can maintain the site ID of the record or index, the key identification number associated with it, and the actual keys in the list internal to the SPE. At some point, this internal list may fill up. At this point, SPE 503 may call a maintenance routine that re-encrypts items within secure database 610 containing

changed information. Some or all of the items within the data structure containing changed information may be read in, decrypted, and then re-encrypted with the same key. These items may then be issued the same key identification number. The items may then be written out of SPE 503 back into secure database 610. SPE 503 may then clear the internal list of item IDs and corresponding key identification numbers. It may then begin again the process of assigning a different key and a new key identification number to each new or changed item. By using this process, SPE 503 can protect the data structures (including the indexes) of secure database 610 against substitution of old items and against substitution of indexes for current items. This process also allows SPE 503 to validate retrieved item IDs against the encrypted list of expected IDs.

Figure 38 is a flowchart showing this process in more detail. Whenever a secure database 610 item is updated or modified, a new encryption key can be generated for the updated item. Encryption using a new key is performed to add security and to prevent misuse of backup copies of secure database 610 records. The new encryption key for each updated secure database 610 record may be stored in SPU 500 secure memory with an indication of the secure database record or record(s) to which it applies.

SPE 503 may generate a new encryption/decryption key for each new item it is going to store within secure database 610 (block 1086). SPE 503 may use this new key to encrypt the record prior to storing it in the secure database (block 1088). SPE 503 make sure that it retains the key so that it can later read and decrypt the record. Such decryption keys are, in the preferred embodiment, maintained within protected non-volatile memory (e.g., NVRAM 534b) within SPU 500. Since this protected memory has a limited size, there may not be enough room within the protected memory to store a new key. This condition is tested for by decision block 1090 in the preferred embodiment. If there is not enough room in memory for the new key (or some other event such as the number of keys stored in the memory exceeding a predetermined number, a timer has expired, etc.), then the preferred embodiment handles the situation by re-encrypting other records with secure database 610 with the same new key in order to reduce the number of (or change) encryption/decryption keys in use. Thus, one or more secure database 610 items may be read from the secure database (block 1092), and decrypted using the old key(s) used to encrypt them the last time they were stored. In the preferred embodiment, one or more "old keys" are selected, and all secure database items encrypted using the old key(s) are read and decrypted. These records may now be re-encrypted using the new key that was generated at block 1086 for the new record (block 1094). The old

key(s) used to decrypt the other record(s) may now be removed from the SPU protected memory (block 1096), and the new key stored in its place (block 1097). The old key(s) cannot be removed from secure memory by block 1096 unless SPE 503 is assured that all records within the secure database 610 that were encrypted using the old key(s) have been read by block 1092 and re-encrypted by block 1904 using the new key. All records encrypted (or re-encrypted) using the new key may now be stored in secure database 610 (block 1098). If decision block 1090 determines there is room within the SPU 500 protected memory to store the new key, then the operations of blocks 1092, 1094, 1096 are not needed and SPE 503 may instead simply store the new key within the protected memory (block 1097) and store the new encrypted records into secure database 610 (block 1098).

The security of secure database 610 files may be further improved by segmenting the records into "compartments." Different encryption/decryption keys may be used to protect different "compartments." This strategy can be used to limit the amount of information within secure database 610 that is encrypted with a single key. Another technique for increasing security of secure database 610 may be to encrypt different portions of the same records with different keys so that more than one key may be needed to decrypt those records.

**Backup of Secure Database 610**

Secure database 610 in the preferred embodiment is backed up at periodic or other time intervals to protect the information the secure database contains. This secure database information may be of substantial value to many VDE participants. Back ups of secure database 610 should occur without significant inconvenience to the user, and should not breach any security.

The need to back up secure database 610 may be checked at power on of electronic appliance 600, when SPE 503 is initially invoked, at periodic time intervals, and if "audit roll up" value or other summary services information maintained by SPE 503 exceeds a user set or other threshold, or triggered by criteria established by one or more content publishers and/or distributors and/or clearinghouse service providers and/or users. The user may be prompted to backup if she has failed to do so by or at some certain point in time or after a certain duration of time or quantity of usage, or the backup may proceed automatically without user intervention.

Referring to Figure 8, backup storage 668 and storage media 670 (e.g., magnetic tape) may be used to store backed up information. Of course, any non-volatile media (e.g., one or more

floppy diskettes, a writable optical diskette, a hard drive, or the like) may be used for backup storage 668.

There are at least two scenarios to backing up secure database 610. The first scenario is "site specific," and uses the security of SPU 500 to support restoration of the backed up information. This first method is used in case of damage to secure database 610 due for example to failure of secondary storage device 652, inadvertent user damage to the files, or other occurrences that may damage or corrupt some or all of secure database 610. This first, site specific scenario of back up assumes that an SPU 500 still functions properly and is available to restore backed up information.

The second back up scenario assumes that the user's SPU 500 is no longer operational and needs to be, or has been, replaced. This second approach permits an authorized VDE administrator or other authorized VDE participant to access the stored back up information in order to prevent loss of critical data and/or assist the user in recovering from the error.

Both of these scenarios are provided by the example of program control steps performed by ROS 602 shown in Figure 39. Figure 39 shows an example back up routine 1250 performed by an electronic appliance 600 to back up secure database 610 (and

other information) onto back up storage 668. Once a back up has been initiated, as discussed above, back up routine 1250 generates one or more back up keys (block 1252). Back up routine 1250 then reads all secure database items, decrypts each item using the original key used to encrypt them before they were stored in secure database 610 (block 1254). Since SPU 500 is typically the only place where the keys for decrypting this information within an instance of secure database 610 are stored, and since one of the scenarios provided by back up routine 1250 is that SPU 500 completely failed or is destroyed, back up routine 1250 performs this reading and decrypting step 1254 so that recovery from a backup is not dependent on knowledge of these keys within the SPU. Instead, back up routine 1250 encrypts each secure database 610 item with a newly generated back up key(s) (block 1256) and writes the encrypted item to back up store 668 (block 1258). This process continues until all items within secure database 610 have been read, decrypted, encrypted with a newly generated back up key(s), and written to the back up store (as tested for by decision block 1260).

The preferred embodiment also reads the summary services audit information stored within the protected memory of SPU 500 by SPE summary services manager 560, encrypts this information with the newly generated back up key(s), and writes

this summary services information to back up store 668 (block 1262).

Finally, back up routine 1250 saves the back up key(s) generated by block 1252 and used to encrypt in blocks 1256, 1262 onto back up store 668. It does this in two secure ways in order to cover both of the restoration scenarios discussed above. Back up routine 1250 may encrypt the back up key(s) (along with other information such as the time of back up and other appropriate information to identify the back up) with a further key or keys such that only SPU 500 can decrypt (block 1264). This encrypted information is then written to back up store 668 (block 1264). For example, this step may include multiple encryptions using one or more public keys with corresponding private keys known only to SPU 500. Alternatively, a second back up key generated by the SPU 500 and kept only in the SPU may be used for the final encryption in place of a public key. Block 1264 preferably includes multiple encryption in order to make it more difficult to attack the security of the back up by "cracking" the encryption used to protect the back up keys. Although block 1262 includes encrypted summary services information on the back up, it preferably does not include SPU device private keys, shared keys, SPU code and other internal security information to prevent this information from ever becoming available to users even in encrypted form.



The information stored by block 1264 is sufficient to allow the same SPU 500 that performed (or at least in part performed) back up routine 1250 to recover the backed up information. However, this information is useless to any device other than that same SPU because only that SPU knows the particular keys used to protect the back up keys. To cover the other possible scenario wherein the SPU 500 fails in a non-recoverable way, back up routine 1250 provides an additional step (block 1266) of saving the back up key(s) under protection of one or more further set of keys that may be read by an authorized VDE administrator. For example, block 1266 may encrypt the back up keys with an "download authorization key" received during initialization of SPU 500 from a VDE administrator. This encrypted version of back up keys is also written to back up store 668 (block 1266). It can be used to support restoration of the back up files in the event of an SPU 500 failure. More specifically, a VDE administrator that knows the download authorization (or other) keys(s) used by block 1266 may be able to recover the back up key(s) in the back up store 668 and proceed to restore the backed up secure database 610 to the same or different electronic appliance 600.

In the preferred embodiment, the information saved by routine 1250 in back up files can be restored only after receiving a back up authorization from an authorized VDE administrator.

In most cases, the restoration process will simply be a restoration of secure database 610 with some adjustments to account for any usage since the back up occurred. This may require the user to contact additional providers to transmit audit and billing data and receive new budgets to reflect activity since the last back up. Current summary services information maintained within SPU 500 may be compared to the summary services information stored on the back up to determine or estimate most recent usage activity.

In case of an SPU 500 failure, an authorized VDE administrator must be contacted to both initialize the replacement SPU 500 and to decrypt the back up files. These processes allow for both SPU failures and upgrades to new SPUs. In the case of restoration, the back up files are used to restore the necessary information to the user's system. In the case of upgrades, the back up files may be used to validate the upgrade process.

The back up files may in some instances be used to transfer management information between electronic appliances 600. However, the preferred embodiment may restrict some or all information from being transportable between electronic appliances with appropriate authorizations. Some or all of the

back up files may be packaged within an administrative object and transmitted for analysis, transportation, or other uses.

As a more detailed example of a need for restoration from back up files, suppose an electronic appliance 600 suffers a hard disk failure or other accident that wipes out or corrupts part or all of the secure database 610, but assume that the SPU 500 is still functional. SPU 500 may include all of the information (e.g., secret keys and the like) it needs to restore the secure database 610. However, ROS 602 may prevent secure database restoration until a restoration authorization is received from a VDE administrator. A restoration authorization may comprise, for example, a "secret value" that must match a value expected by SPE 503. A VDE administrator may, if desired, only provide this restoration authorization after, for example, summary services information stored within SPU 500 is transmitted to the administrator in an administrative object for analysis. In some circumstances, a VDE administrator may require that a copy (partial or complete) of the back up files be transmitted to it within an administrative object to check for indications of fraudulent activities by the user. The restoration process, once authorized, may require adjustment of restored budget records and the like to reflect activity since the last back up, as mentioned above.

Figure 40 is an example of program controlled "restore" routine 1268 performed by electronic appliance 600 to restore secure database 610 based on the back up provided by the routine shown in Figure 38. This restore may be used, for example, in the event that an electronic appliance 600 has failed but can be recovered or "reinitialized" through contact with a VDE administrator for example. Since the preferred embodiment does not permit an SPU 500 to restore from backup unless and until authorized by a VDE administrator, restore routine 1268 begins by establishing a secure communication with a VDE administrator that can authorize the restore to occur (block 1270). Once SPU 500 and the VDE administrator authenticate one another (part of block 1270), the VDE administrator may extract "work in progress" and summary values from the SPU 500's internal non-volatile memory (block 1272). The VDE administrator may use this extracted information to help determine, for example, whether there has been a security violation, and also permits a failed SPU 500 to effectively "dump" its contents to the VDE administrator to permit the VDE administrator to handle the contents. The SPU 500 may encrypt this information and provide it to the VDE administrator packaged in one or more administrative objects. The VDE administrator may then request a copy of some or all of the current backup of secure database 610 from the SPU 500 (block 1274). This information may be packaged by SPU 500 into one or

more administrative objects, for example, and sent to the VDE administrator. Upon receiving the information, the VDE administrator may read the summary services audit information from the backup volume (i.e., information stored by Figure 38 block 1262) to determine the summary values and other information stored at time of backup. The VDE administrator may also determine the time and date the backup was made by reading the information stored by Figure 38 block 1264.

The VDE administrator may at this point restore the summary values and other information within SPU 500 based on the information obtained by block 1272 and from the backup (block 1276). For example, the VDE administrator may reset SPU internal summary values and counters so that they are consistent with the last backup. These values may be adjusted by the VDE administrator based on the "work in progress" recovered by block 1272, the amount of time that has passed since the backup, etc. The goal may typically be to attempt to provide internal SPU values that are equal to what they would have been had the failure not occurred.

The VDE administrator may then authorize SPU 500 to recover its secure database 610 from the backup files (block 1278). This restoration process replaces all secure database 610 records with the records from the backup. The VDE

administrator may adjust these records as needed by passing commands to SPU 500 during or after the restoration process.

The VDE administrator may then compute bills based on the recovered values (block 1280), and perform other actions to recover from SPU downtime (block 1282). Typically, the goal is to bill the user and adjust other VDE 100 values pertaining to the failed electronic appliance 600 for usage that occurred subsequent to the last backup but prior to the failure. This process may involve the VDE administrator obtaining, from other VDE participants, reports and other information pertaining to usage by the electronic appliance prior to its failure and comparing it to the secure database backup to determine which usage and other events are not yet accounted for.

In one alternate embodiment, SPU 500 may have sufficient internal, non-volatile memory to allow it to store some or all of secure database 610. In this embodiment, the additional memory may be provided by additional one or more integrated circuits that can be contained within a secure enclosure, such as a tamper resistant metal container or some form of a chip pack containing multiple integrated circuit components, and which impedes and/or evidences tampering attempts, and/or disables a portion or all of SPU 500 or associated critical key and/or other control information in the event of tampering. The same back up

routine 1250 shown in Figure 38 may be used to back up this type of information, the only difference being that block 1254 may read the secure database item from the SPU internal memory and may not need to decrypt it before encrypting it with the back up key(s).

#### **Event-Driven VDE Processes**

As discussed above, processes provided by/under the preferred embodiment rights operating system (ROS) 602 may be "event driven." This "event driven" capability facilitates integration and extendibility.

An "event" is a happening at a point in time. Some examples of "events" are a user striking a key of a keyboard, arrival of a message or an object 300, expiration of a timer, or a request from another process.

In the preferred embodiment, ROS 602 responds to an "event" by performing a process in response to the event. ROS 602 dynamically creates active processes and tasks in response to the occurrence of an event. For example, ROS 602 may create and begin executing one or more component assemblies 690 for performing a process or processes in response to occurrence of an event. The active processes and tasks may terminate once ROS 602 has responded to the event. This ability to dynamically

create (and end) tasks in response to events provides great flexibility, and also permits limited execution resources such as those provided by an SPU 500 to perform a virtually unlimited variety of different processes in different contexts.

Since an "event" may be any type of happening, there are an unlimited number of different events. Thus, any attempt to categorize events into different types will necessarily be a generalization. Keeping this in mind, it is possible to categorize events provided/supported by the preferred embodiment into two broad categories:

- user-initiated events; and
- system-initiated events.

Generally, "user-initiated" events are happenings attributable to a user (or a user application). A common "user-initiated" event is a user's request (e.g., by pushing a keyboard button, or transparently using redirector 684) to access an object 300 or other VDE-protected information.

"System-initiated" events are generally happenings not attributable to a user. Examples of system initiated events include the expiration of a timer indicating that information should be backed to non-volatile memory, receipt of a message



from another electronic appliance 600, and a service call generated by another process (which may have been started to respond to a system-initiated event and/or a user-initiated event).

ROS 602 provided by the preferred embodiment responds to an event by specifying and beginning processes to process the event. These processes are, in the preferred embodiment, based on methods 1000. Since there are an unlimited number of different types of events, the preferred embodiment supports an unlimited number of different processes to process events. This flexibility is supported by the dynamic creation of component assemblies 690 from independently deliverable modules such as method cores 1000', load modules 1100, and data structures such as UDEs 1200. Even though any categorization of the unlimited potential types of processes supported/provided by the preferred embodiment will be a generalization, it is possible to generally classify processes as falling within two categories:

- processes relating to use of VDE protected information;
- and
- processes relating to VDE administration.

#### **"Use" and "Administrative" Processes**

"Use" processes relate in some way to use of VDE-protected information. Methods 1000 provided by the preferred

embodiment may provide processes for creating and maintaining a chain of control for use of VDE-protected information. One specific example of a "use" type process is processing to permit a user to open a VDE object 300 and access its contents. A method 1000 may provide detailed use-related processes such as, for example, releasing content to the user as requested (if permitted), and updating meters, budgets, audit trails, etc. Use-related processes are often user-initiated, but some use processes may be system-initiated. Events that trigger a VDE use-related process may be called "use events."

An "administrative" process helps to keep VDE 100 working. It provides processing that helps support the transaction management "infrastructure" that keeps VDE 100 running securely and efficiently. Administrative processes may, for example, provide processing relating to some aspect of creating, modifying and/or destroying VDE-protected data structures that establish and maintain VDE's chain of handling and control. For example, "administrative" processes may store, update, modify or destroy information contained within a VDE electronic appliance 600 secure database 610. Administrative processes also may provide communications services that establish, maintain and support secure communications between different VDE electronic appliances 600. Events that trigger administrative processes may be called "administrative events."

### Reciprocal Methods

Some VDE processes are paired based on the way they interact together. One VDE process may "request" processing services from another VDE process. The process that requests processing services may be called a "request process." The "request" constitutes an "event" because it triggers processing by the other VDE process in the pair. The VDE process that responds to the "request event" may be called a "response process." The "request process" and "response process" may be called "reciprocal processes."

The "request event" may comprise, for example, a message issued by one VDE node electronic appliance 600 or process for certain information. A corresponding "response process" may respond to the "request event" by, for example, sending the information requested in the message. This response may itself constitute a "request event" if it triggers a further VDE "response process." For example, receipt of a message in response to an earlier-generated request may trigger a "reply process." This "reply process" is a special type of "response process" that is triggered in response to a "reply" from another "response process." There may be any number of "request" and "response" process pairs within a given VDE transaction.

A "request process" and its paired "response process" may be performed on the same VDE electronic appliance 600, or the two processes may be performed on different VDE electronic appliances. Communication between the two processes in the pair may be by way of a secure (VDE-protected) communication, an "out of channel" communication, or a combination of the two.

Figures 41a-41d are a set of examples that show how the chain of handling and control is enabled using "reciprocal methods." A chain of handling and control is constructed, in part, using one or more pairs of "reciprocal events" that cooperate in request-response manner. Pairs of reciprocal events may be managed in the preferred embodiment in one or more "reciprocal methods." As mentioned above, a "reciprocal method" is a method 1000 that can respond to one or more "reciprocal events." Reciprocal methods contain the two halves of a cooperative process that may be securely executed at physically and/or temporally distant VDE nodes. The reciprocal processes may have a flexibly defined information passing protocols and information content structure. The reciprocal methods may, in fact, be based on the same or different method core 1000' operating in the same or different VDE nodes 600. VDE nodes 600A and 600B shown in Figure 41a may be the same physical electronic appliance 600 or may be separate electronic appliances.

Figure 41a is an example of the operation of a single pair of reciprocal events. In VDE node 600A, method 1000a is processing an event that has a request that needs to be processed at VDE node 600B. The method 1000a (e.g., based on a component assembly 690 including its associated load modules 1100 and data) that responds to this "request" event is shown in Figure 41a as 1450. The process 1450 creates a request (1452) and, optionally, some information or data that will be sent to the other VDE node 1000b for processing by a process associated with the reciprocal event. The request and other information may be transmitted by any of the transport mechanisms described elsewhere in this disclosure.

Receipt of the request by VDE node 600b comprises a response event at that node. Upon receipt of the request, the VDE node 600b may perform a "reciprocal" process 1454 defined by the same or different method 1000b to respond to the response event. The reciprocal process 1454 may be based on a component assembly 690 (e.g., one or more load modules 1100, data, and optionally other methods present in the VDE node 600B).

Figure 41b extends the concepts presented in Figure 41a to include a response from VDE node 600B back to VDE node 600A. The process starts as described for Figure 41a through the receipt and processing of the request event and information 1452

by the response process 1454 in VDE node 600B. The response process 1454 may, as part of its processing, cooperate with another request process (1468) to send a response 1469 back to the initiating VDE node 600A. A corresponding reciprocal process 1470 provided by method 1000A may respond to and process this request event 1469. In this manner, two or more VDE nodes 600A, 600B may cooperate and pass configurable information and requests between methods 1000A, 1000B executing in the nodes. The first and second request-response sequences [(1450, 1452, 1454) and (1468, 1469, 1470)] may be separated by temporal and spatial distances. For efficiency, the request (1468) and response (1454) processes may be based on the same method 1000 or they may be implemented as two methods in the same or different method core 1000'. A method 1000 may be parameterized by an "event code" so it may provide different behaviors/results for different events, or different methods may be provided for different events.

Figure 41c shows the extension the control mechanism described in Figures 41a-41b to three nodes (600A, 600B, 600C). Each request-response pair operates in the manner as described for Figure 41b, with several pairs linked together to form a chain of control and handling between several VDE nodes 600A, 600B, 600C. This mechanism may be used to extend the chain of handling and control to an arbitrary number of VDE nodes using

any configuration of nodes. For example, VDE node 600C might communicate directly to VDE node 600A and communicate directly to VDE 600B, which in turn communicates with VDE node 600A. Alternately, VDE node 600C might communicate directly with VDE node 600A, VDE node 600A may communicate with VDE node 600B, and VDE node 600B may communicate with VDE node 600C.

A method 1000 may be parameterized with sets of events that specify related or cooperative functions. Events may be logically grouped by function (e.g., use, distribute), or a set of reciprocal events that specify processes that may operate in conjunction with each other. Figure 41d illustrates a set of "reciprocal events" that support cooperative processing between several VDE nodes 102, 106, 112 in a content distribution model to support the distribution of budget. The chain of handling and control, in this example, is enabled by using a set of "reciprocal events" specified within a BUDGET method. Figure 41d is an example of how the reciprocal event behavior within an example BUDGET method (1510) work in cooperation to establish a chain of handling and control between several VDE nodes. The example BUDGET method 1510 responds to a "use" event 1478 by performing a "use" process 1476 that defines the mechanism by which processes are budgeted. The BUDGET method 1510 might, for example, specify a use process 1476 that compares a

meter count to a budget value and fail the operation if the meter count exceeds the budget value. It might also write an audit trail that describes the results of said BUDGET decisions. Budget method 1510 may respond to a "distribute" event by performing a distribute process 1472 that defines the process and/or control information for further distribution of the budget. It may respond to a "request" event 1480 by performing a request process 1480 that specifies how the user might request use and/or distribution rights from a distributor. It may respond to a "response" event 1482 by performing a response process 1484 that specifies the manner in which a distributor would respond to requests from other users to whom they have distributed some (or all) of their budget to. It may respond to a "reply" event 1474 by performing a reply process 1475 that might specify how the user should respond to message regranting or denying (more) budget.

Control of event processing, reciprocal events, and their associated methods and method components is provided by PERCs 808 in the preferred embodiment. These PERCs (808) might reference administrative methods that govern the creation, modification, and distribution of the data structures and administrative methods that permit access, modification, and further distribution of these items. In this way, each link in the chain of handling and control might, for example, be able to



customize audit information, alter the budget requirements for using the content, and/or control further distribution of these rights in a manner specified by prior members along the distribution chain.

In the example shown in Figure 41d, a distributor at a VDE distributor node (106) might request budget from a content creator at another node (102). This request may be made in the context of a secure VDE communication or it may be passed in an "out-of-channel" communication (e.g. a telephone call or letter). The creator 102 may decide to grant budget to the distributor 106 and processes a distribute event (1452 in BUDGET method 1510 at VDE node 102). A result of processing the distribute event within the BUDGET method might be a secure communication (1454) between VDE nodes 102 and 106 by which a budget granting use and redistribute rights to the distributor 106 may be transferred from the creator 102 to the distributor. The distributor's VDE node 106 may respond to the receipt of the budget information by processing the communication using the reply process 1475B of the BUDGET method 1510. The reply event processing 1475B might, for example, install a budget and PERC 808 within the distributor's VDE 106 node to permit the distributor to access content or processes for which access is control at least in part by the budget and/or PERC. At some

point, the distributor 106 may also desire to use the content to which she has been granted rights to access.

After registering to use the content object, the user 112 would be required to utilize an array of "use" processes 1476C to, for example, open, read, write, and/or close the content object as part of the use process.

Once the distributor 106 has used some or all of her budget, she may desire to obtain additional budget. The distributor 106 might then initiate a process using the BUDGET method request process (1480B). Request process 1480B might initiate a communication (1482AB) with the content creator VDE node 102 requesting more budget and perhaps providing details of the use activity to date (e.g., audit trails). The content creator 102 processes the 'get more budget' request event 1482AB using the response process (1484A) within the creator's BUDGET method 1510A. Response process 1484A might, for example, make a determination if the use information indicates proper use of the content, and/or if the distributor is credit worthy for more budget. The BUDGET method response process 1484A might also initiate a financial transaction to transfer funds from the distributor to pay for said use, or use the distribute process 1472A to distribute budget to the distributor 106. A response to the distributor 106 granting more budget (or denying more

budget) might be sent immediately as a response to the request communication 1482AB, or it might be sent at a later time as part of a separate communication. The response communication, upon being received at the distributor's VDE node 106, might be processed using the reply process 1475B within the distributor's copy of the BUDGET method 1510B. The reply process 1475B might then process the additional budget in the same manner as described above.

The chain of handling and control may, in addition to posting budget information, also pass control information that governs the manner in which said budget may be utilized. For example, the control information specified in the above example may also contain control information describing the process and limits that apply to the distributor's redistribution of the right to use the creator's content object. Thus, when the distributor responds to a budget request from a user (a communication between a user at VDE node 112 to the distributor at VDE node 106 similar in nature to the one described above between VDE nodes 106 and 102) using the distribute process 1472B within the distributor's copy of the BUDGET method 1510B, a distribution and request/response/reply process similar to the one described above might be initiated.

Thus, in this example a single method can provide multiple dynamic behaviors based on different "triggering" events. For example, single BUDGET method 1510 might support any or all of the events listed below:

Event Type	Event	Process Description
"Use" Events	use budget	Use budget.
Request Events Processed by User Node Request Process 1480c	request more budget	Request more money for budget.
	request audit by auditor #1	Request that auditor #1 audit the budget use.
	request budget deletion	Request that budget be deleted from system.
	request method updated	Update method used for auditing.
	request to change auditors	Change from auditor 1 to auditor 2, or vice versa.
	request different audit interval	Change time interval between audits.
	request ability to provide budget copies	Request ability to provide copies of a budget.
	request ability to distribute budget	Request ability to distribute a budget to other users.
	request account status	Request information on current status of an account.
	Request New Method	Request new method.
	Request Method Update	Request update of method.
	Request Method Deletion	Request deletion of method.
	Response Events Processed by User Node Request Process 1480C	receive more budget
receive method update		Update method.
receive auditor change		Change from one auditor to another.
receive change to audit interval		Change interval between audits.

Event Type	Event	Process Description
	receive budget deletion	Delete budget.
	provide audit to auditor #1	Forward audit information to auditor #1.
	provide audit to auditor #2	Forward audit information to auditor #2.
	receive account status	Provide account status.
	Receive New	Receive new budget.
	Receive Method Update	Receive updated information.
	Receive More	Receive more for budget.
	Sent Audit	Send audit information.
	Perform Deletion	Delete information.
	"Distribute" Events	Create New
	Provide More	Provide more for budget.
	Audit	Perform audit.
	Delete	Delete information.
	Reconcile	Reconcile budget and auditing.
	Copy	Copy budget.
	Distribute	Distribute budget.
	Method Modification	Modify method.
	Display Method	Display requested method.
"Request" Events Processed by Distributor Node Request Process 1484B	Delete	Delete information.
	Get New	Get new budget.
	Get More	Get more for budget.
	Get Updated	Get updated information.
	Get Audited	Get audit information.
"Response Events" Processed by Distributor Node Request Process 1484B	Provide New to user	Provide new budget to user.
	Provide More to user	Provide more budget to user.
	Provide Update to user	Provided updated budget to user.

Event Type	Event	Process Description
	Audit user	Audit a specified user.
	Delete user's method	Delete method belonging to user.

### Examples of Reciprocal Method Processes

#### A. BUDGET

Figures 42a, 42b, 42c and 42d, respectively, are flowcharts of example process control steps performed by a representative example of BUDGET method 2250 provided by the preferred embodiment. In the preferred embodiment, BUDGET method 2250 may operate in any of four different modes:

- use (see Figure 42a)
- administrative request (see Figure 42b)
- administrative response (see Figure 42c)
- administrative reply (see Figure 42d).

In general, the "use" mode of BUDGET method 2250 is invoked in response to an event relating to the use of an object or its content. The "administrative request" mode of BUDGET method 2250 is invoked by or on behalf of the user in response to some user action that requires contact with a VDE financial provider, and basically its task is to send an administrative request to the VDE financial provider. The "administrative response" mode of BUDGET method 2250 is performed at the VDE financial provider in response to receipt of an administrative request sent from a VDE node to the VDE financial provider by the

"administrative request" invocation of BUDGET method 2250 shown in Figure 42b. The "administrative response" invocation of BUDGET method 2250 results in the transmission of an administrative object from VDE financial provider to the VDE user node. Finally, the "administrative reply" invocation of BUDGET method 2250 shown in Figure 42d is performed at the user VDE node upon receipt of the administrative object sent by the "administrative response" invocation of the method shown in Figure 42c.

In the preferred embodiment, the same BUDGET method 2250 performs each of the four different step sequences shown in Figures 42a-42d. In the preferred embodiment, different event codes may be passed to the BUDGET method 2250 to invoke these various different modes. Of course, it would be possible to use four separate BUDGET methods instead of a single BUDGET method with four different "dynamic personalities," but the preferred embodiment obtains certain advantages by using the same BUDGET method for each of these four types of invocations.

Looking at Figure 42a, the "use" invocation of BUDGET method 2250 first primes the Budget Audit Trail (blocks 2252, 2254). It then obtains the DTD for the Budget UDE, which it uses to obtain and read the Budget UDE blocks 2256-2262).

BUDGET method 2250 in this "use" invocation may then determine whether a Budget Audit date has expired, and terminate if it has ("yes" exit to decision block 2264; blocks 2266, 2268). So long as the Budget Audit date has not expired, the method may then update the Budget using the atomic element and event counts (and possibly other information) (blocks 2270, 2272), and may then save a Budget User Audit record in a Budget Audit Trail UDE (blocks 2274, 2276) before terminating (at terminate point 2278).

Looking at Figure 42b, the first six steps (blocks 2280-2290) may be performed by the user VDE node in response to some user action (e.g., request to access new information, request for a new budget, etc.). This "administrative request" invocation of BUDGET method 2250 may prime an audit trail (blocks 2280, 2282). The method may then place a request for administrative processing of an appropriate Budget onto a request queue (blocks 2284, 2286). Finally, the method may save appropriate audit trail information (blocks 2288, 2290). Sometime later, the user VDE node may prime a communications audit trail (blocks 2292, 2294), and may then write a Budget Administrative Request into an administrative object (block 2296). This step may obtain information from the secure database as needed from such sources such as, for example, Budget UDE; Budget Audit Trail



UDE(s); and Budget Administrative Request Record(s) (block 2298).

Block 2296 may then communicate the administrative object to a VDE financial provider, or alternatively, block 2296 may pass administrative object to a separate communications process or method that arranges for such communications to occur. If desired, method 2250 may then save a communications audit trail (blocks 2300, 2302) before terminating (at termination point 2304).

Figure 42c is a flowchart of an example of process control steps performed by the example of BUDGET method 2250 provided by the preferred embodiment operating in an "administrative response" mode. Steps shown in Figure 42c would, for example, be performed by a VDE financial provider who has received an administrative object containing a Budget administrative request as created (and communicated to a VDE administrator for example) by Figure 42b (block 2296).

Upon receiving the administrative object, BUDGET method 2250 at the VDE financial provider site may prime a budget communications and response audit trail (blocks 2306, 2308), and may then unpack the administrative object and retrieve the budget request(s), audit trail(s) and record(s) it

contains (block 2310). This information retrieved from the administrative object may be written by the VDE financial provider into its secure database (block 2312). The VDE financial provider may then retrieve the budget request(s) and determine the response method it needs to execute to process the request (blocks 2314, 2316). BUDGET method 2250 may send the event(s) contained in the request record(s) to the appropriate response method and may generate response records and response requests based on the RESPONSE method (block 2318). The process performed by block 2318 may satisfy the budget request by writing appropriate new response records into the VDE financial provider's secure database (block 2320). BUDGET method 2250 may then write these Budget administrative response records into an administrative object (blocks 2322, 2324), which it may then communicate back to the user node that initiated the budget request. BUDGET method 2250 may then save communications and response processing audit trail information into appropriate audit trail UDE(s) (blocks 2326, 2328) before terminating (at termination point 2330).

Figure 42d is a flowchart of an example of program control steps performed by a representative example of BUDGET method 2250 operating in an "administrative reply" mode. Steps shown in Figure 42d might be performed, for example, by a VDE user node upon receipt of an administrative object containing budget-

related information. BUDGET method 2250 may first prime a Budget administrative and communications audit trail (blocks 2332, 2334). BUDGET method 2250 may then extract records and requests from a received administrative object and write the reply record to the VDE secure database (blocks 2336, 2338). The VDE user node may then save budget administrative and communications audit trail information in an appropriate audit trail UDE(s) (blocks 2340, 2341).

Sometime later, the VDE user node may retrieve the reply record from the secure database and determine what method is required to process it (blocks 2344, 2346). The VDE user node may, optionally, prime an audit trail (blocks 2342, 2343) to record the results of the processing of the reply event. The BUDGET method 2250 may then send event(s) contained in the reply record(s) to the REPLY method, and may generate/update the secure database records as necessary to, for example, insert new budget records, delete old budget records and/or apply changes to budget records (blocks 2348, 2350). BUDGET method 2250 may then delete the reply record from the secure data base (blocks 2352, 2353) before writing the audit trail (if required) (blocks 2354m 2355) terminating (at terminate point 2356).

## B. REGISTER

Figures 43a-43d are flowcharts of an example of program control steps performed by a representative example of a REGISTER method 2400 provided by the preferred embodiment. In this example, the REGISTER method 2400 performs the example steps shown in Figure 43a when operating in a "use" mode, performs the example steps shown in Figure 43b when operating in an "administrative request" mode, performs the steps shown in Figure 43c when operating in an "administrative response" mode, and performs the steps shown in Figure 43d when operating in an "administrative reply" mode.

The steps shown in Figure 43a may be, for example, performed at a user VDE node in response to some action by or on behalf of the user. For example the user may ask to access an object that has not yet been (or is not now) properly registered to her. In response to such a user request, the REGISTER method 2400 may prime a Register Audit Trail UDE (blocks 2402, 2404) before determining whether the object being requested has already been registered (decision block 2406). If the object has already been registered ("yes" exit to decision block 2406), the REGISTER method may terminate (at termination point 2408). If the object is not already registered ("no" exit to decision block 2406), then REGISTER method 2400 may access the VDE node

secure database PERC 808 and/or Register MDE (block 2410). REGISTER method 2400 may extract an appropriate Register Record Set from this PERC 808 and/or Register MDE (block 2412), and determine whether all of the required elements are present that are needed to register the object (decision block 2414). If some piece(s) is missing ("no" exit to decision block 2414), REGISTER method 2400 may queue a Register request record to a communication manager and then suspend the REGISTER method until the queued request is satisfied (blocks 2416, 2418). Block 2416 may have the effect of communicating a register request to a VDE distributor, for example. When the request is satisfied and the register request record has been received (block 2420), then the test of decision block 2414 is satisfied ("yes" exit to decision block 2414), and REGISTER method 2400 may proceed. At this stage, the REGISTER method 2400 may allow the user to select Register options from the set of method options allowed by PERC 808 accessed at block 2410 (block 2422). As one simple example, the PERC 808 may permit the user to pay by VISA or MasterCard but not by American Express; block 2422 may display a prompt asking the user to select between paying using her VISA card and paying using her MasterCard (block 2424). The REGISTER method 2400 preferably validates the user selected registration options and requires the user to select different options if the initial user options were invalid (block 2426, "no" exit to decision block 2428).

Once the user has made all required registration option selections and those selections have been validated ("yes" exit to decision block 2428), the REGISTER method 2400 may write an User Registration Table (URT) corresponding to this object and this user which embodies the user registration selections made by the user along with other registration information required by PERC 808 and/or the Register MDE (blocks 2430, 2432). REGISTER method 2400 may then write a Register audit record into the secure database (blocks 2432, 2434) before terminating (at terminate point 2436).

Figure 43b shows an example of an "administrative request" mode of REGISTER method 2400. This Administrative Request Mode may occur on a VDE user system to generate an appropriate administrative object for communication to a VDE distributor or other appropriate VDE participant requesting registration information. Thus, for example, the steps shown in Figure 43b may be performed as part of the "queue register request record" block 2416 shown in Figure 43a. To make a Register administrative request, REGISTER method 2400 may first prime a communications audit trail (blocks 2440, 2442), and then access the secure database to obtain data about registration (block 2444). This secure database access may, for example, allow the owner and/or publisher of the object being registered to find out demographic, user or other information about the user.

As a specific example, suppose that the object being registered is a spreadsheet software program. The distributor of the object may want to know what other software the user has registered. For example, the distributor may be willing to give preferential pricing if the user registers a "suite" of multiple software products distributed by the same distributor. Thus, the sort of information solicited by a "user registration" card enclosed with most standard software packages may be solicited and automatically obtained by the preferred embodiment at registration time. In order to protect the privacy rights of the user, REGISTER method 2400 may pass such user-specific data through a privacy filter that may be at least in part customized by the user so the user can prevent certain information from being revealed to the outside world (block 2446). The REGISTER method 2400 may write the resulting information along with appropriate Register Request information identifying the object and other appropriate parameters into an administrative object (blocks 2448, 2450). REGISTER method 2400 may then pass this administrative object to a communications handler. REGISTER method 2400 may then save a communications audit trail (blocks 2452, 2454) before terminating (at terminate point 2456).

Figure 43c includes REGISTER method 2400 steps that may be performed by a VDE distributor node upon receipt of Register Administrative object sent by block 2448, Figure 43b.

REGISTER method 2400 in this "administrative response" mode may prime appropriate audit trails (blocks 2460, 2462), and then may unpack the received administrative object and write the associated register request(s) configuration information into the secure database (blocks 2464, 2466). REGISTER method 2400 may then retrieve the administrative request from the secure database and determine which response method to run to process the request (blocks 2468, 2470). If the user fails to provide sufficient information to register the object, REGISTER method 2400 may fail (blocks 2472, 2474). Otherwise, REGISTER method 2400 may send event(s) contained in the appropriate request record(s) to the appropriate response method, and generate and write response records and response requests (e.g., PERC(s) and/or UDEs) to the secure database (blocks 2476, 2478). REGISTER method 2400 may then write the appropriate Register administrative response record into an administrative object (blocks 2480, 2482). Such information may include, for example, one or more replacement PERC(s) 808, methods, UDE(s), etc. (block 2482). This enables, for example, a distributor to distribute limited right permissions giving users only enough information to register an object, and then later, upon registration, replacing the limited right permissions with wider permissioning scope granting the user more complete access to the objects. REGISTER method 2400 may then save



the communications and response processing audit trail (blocks 2484, 2486), before terminating (at terminate point 2488).

Figure 43d shows steps that may be performed by the VDE user node upon receipt of the administrative object generated/transmitted by Figure 43c block 2480. The steps shown in Figure 43d are very similar to those shown in Figure 42d for the BUDGET method administrative reply process.

### C. AUDIT

Figures 44a-44c are flowcharts of examples of program control steps performed by a representative example of an AUDIT method 2520 provided by the preferred embodiment. As in the examples above, the AUDIT method 2520 provides three different operational modes in this preferred embodiment example: Figure 44a shows the steps performed by the AUDIT method in an "administrative request" mode; Figure 44b shows steps performed by the method in the "administrative response" mode; and Figure 44c shows the steps performed by the method in an "administrative reply" mode.

The AUDIT method 2520 operating in the "administrative request" mode as shown in Figure 44a is typically performed, for example, at a VDE user node based upon some request by or on behalf of the user. For example, the user may have requested an

audit, or a timer may have expired that initiates communication of audit information to a VDE content provider or other VDE participant. In the preferred embodiment, different audits of the same overall process may be performed by different VDE participants. A particular "audit" method 2520 invocation may be initiated for any one (or all) of the involved VDE participants. Upon invocation of AUDIT method 2520, the method may prime an audit administrative audit trail (thus, in the preferred embodiment, the audit processing may itself be audited) (blocks 2522, 2524). The AUDIT method 2520 may then queue a request for administrative processing (blocks 2526, 2528), and then may save the audit administrative audit trail in the secure database (blocks 2530, 2532). Sometime later, AUDIT method 2520 may prime a communications audit trail (blocks 2534, 2536), and may then write Audit Administrative Request(s) into one or more administrative object(s) based on specific UDE, audit trail UDE(s), and/or administrative record(s) stored in the secure database (blocks 2538, 2540). The AUDIT method 2520 may then save appropriate information into the communications audit trail (blocks 2542, 2544) before terminating (at terminate point 2546).

Figure 44b shows example steps performed by a VDE content provider, financial provider or other auditing VDE node upon receipt of the administrative object generated and

communicated by Figure 44a block 2538. The AUDIT method 2520 in this "administrative response" mode may first prime an Audit communications and response audit trail (blocks 2550, 2552), and may then unpack the received administrative object and retrieve its contained Audit request(s) audit trail(s) and audit record(s) for storage into the secured database (blocks 2554, 2556). AUDIT method 2520 may then retrieve the audit request(s) from the secure database and determine the response method to run to process the request (blocks 2558, 2560). AUDIT method 2520 may at this stage send event(s) contained in the request record(s) to the appropriate response method, and generate response record(s) and requests based on this method (blocks 2562, 2564). The processing block 2562 may involve a communication to the outside world.

For example, AUDIT method 2520 at this point could call an external process to perform, for example, an electronic funds transfer against the user's bank account or some other bank account. The AUDIT administrative response can, if desired, call an external process that interfaces VDE to one or more existing computer systems. The external process could be passed the user's account number, PIN, dollar amount, or any other information configured in, or associated with, the VDE audit trail being processed. The external process can communicate with non-VDE hosts and use the information passed to it as part of

these communications. For example, the external process could generate automated clearinghouse (ACH) records in a file for submittal to a bank. This mechanism would provide the ability to automatically credit or debit a bank account in any financial institution. The same mechanism could be used to communicate with the existing credit card (e.g. VISA) network by submitting VDE based charges against the charge account.

Once the appropriate Audit response record(s) have been generated, AUDIT method 2520 may write an Audit administrative record(s) into an administrative object for communication back to the VDE user node that generated the Audit request (blocks 2566, 2568). The AUDIT method 2520 may then save communications and response processing audit information in appropriate audit trail(s) (blocks 2570, 2572) before terminating (at terminate point 2574).

Figure 44c shows an example of steps that may be performed by the AUDIT method 2520 back at the VDE user node upon receipt of the administrative object generated and sent by Figure 44b, block 2566. The steps 2580-2599 shown in Figure 44c are similar to the steps shown in Figure 43d for the REGISTER method 2400 in the "administrative reply" mode. Briefly, these steps involve receiving and extracting appropriate response records from the administrative object (block 2584), and

then processing the received information appropriately to update secure database records and perform any other necessary actions (blocks 2595, 2596).

### **Examples of Event-Driven Content-Based Methods**

VDE methods 1000 are designed to provide a very flexible and highly modular approach to secure processing. A complete VDE process to service a "use event" may typically be constructed as a combination of methods 1000. As one example, the typical process for reading content or other information from an object 300 may involve the following methods:

- an EVENT method
- a METER method
- a BILLING method
- a BUDGET method.

Figure 45 is an example of a sequential series of methods performed by VDE 100 in response to an event. In this example, when an event occurs, an EVENT method 402 may "qualify" the event to determine whether it is significant or not. Not all events are significant. For example, if the EVENT method 1000 in a control process dictates that usage is to be metered based upon number of pages read, then user request "events" for reading less than a page of information may be ignored. In another example, if a system event represents a request to read a certain number

of bytes, and the EVENT method 1000 is part of a control process designed to meter paragraphs, then the EVENT method may evaluate the read request to determine how many paragraphs are represented in the bytes requested. This process may involve mapping to "atomic elements" to be discussed in more detail below.

EVENT method 402 filters out events that are not significant with regard to the specific control method involved. EVENT method 402 may pass on qualified events to a METER process 1404, which meters or discards the event based on its own particular criteria.

In addition, the preferred embodiment provides an optimization called "precheck." EVENT method/process 402 may perform this "precheck" based on metering, billing and budget information to determine whether processing based on an event will be allowed. Suppose, for example, that the user has already exceeded her budget with respect to accessing certain information content so that no further access is permitted. Although BUDGET method 408 could make this determination, records and processes performed by BUDGET method 404 and/or BILLING method 406 might have to be "undone" to, for example, prevent the user from being charged for an access that was actually denied. It may be more efficient to perform a "precheck"

within EVENT method 402 so that fewer transactions have to be "undone."

METER method 404 may store an audit record in a meter "trail" UDE 1200, for example, and may also record information related to the event in a meter UDE 1200. For example, METER method 404 may increment or decrement a "meter" value within a meter UDE 1200 each time content is accessed. The two different data structures (meter UDE and meter trail UDE) may be maintained to permit record keeping for reporting purposes to be maintained separately from record keeping for internal operation purposes, for example.

Once the event is metered by METER method 404, the metered event may be processed by a BILLING method 406. BILLING method 406 determines how much budget is consumed by the event, and keeps records that are useful for reconciliation of meters and budgets. Thus, for example, BILLING method 406 may read budget information from a budget UDE, record billing information in a billing UDE, and write one or more audit records in a billing trail UDE. While some billing trail information may duplicate meter and/or budget trail information, the billing trail information is useful, for example, to allow a content creator 102 to expect a payment of a certain size, and serve as a reconciliation check to reconcile meter trail information sent to

creator 102 with budget trail information sent to, for example, an independent budget provider.

BILLING method 406 may then pass the event on to a BUDGET method 408. BUDGET method 408 sets limits and records transactional information associated with those limits. For example, BUDGET method 408 may store budget information in a budget UDE, and may store an audit record in a budget trail UDE. BUDGET method 408 may result in a "budget remaining" field in a budget UDE being decremented by an amount specified by BILLING method 406.

The information content may be released, or other action taken, once the various methods 402, 404, 406, 408 have processed the event.

As mentioned above, PERCs 808 in the preferred embodiment may be provided with "control methods" that in effect "oversee" performance of the other required methods in a control process. Figure 46 shows how the required methods/processes 402, 404, 406, and 408 of Figure 45 can be organized and controlled by a control method 410. Control method 410 may call, dispatch events, or otherwise invoke the other methods 402, 404, 406, 408 and otherwise supervise the processing performed in response to an "event."



Control methods operate at the level of control sets 906 within PERCs 808. They provide structure, logic, and flow of control between disparate acquired methods 1000. This mechanism permits the content provider to create any desired chain of processing, and also allows the specific chain of processing to be modified (within permitted limits) by downstream redistributors. This control structure concept provides great flexibility.

Figure 47 shows an example of an "aggregate" method 412 which collects METER method 404, BUDGET method 406 and BILLING method 408 into an "aggregate" processing flow. Aggregate method 412 may, for example, combine various elements of metering, budgeting and billing into a single method 1000. Aggregate method 412 may provide increased efficiency as a result of processing METER method 404, BUDGET method 406 and BILLING method 408 aggregately, but may decrease flexibility because of decreased modularity.

Many different methods can be in effect simultaneously. Figure 48 shows an example of preferred embodiment event processing using multiple METER methods 404 and multiple BUDGET methods 1408. Some events may be subject to many different required methods operating independently or cumulatively. For example, in the example shown in Figure 48,

meter method 404a may maintain meter trail and meter information records that are independent from the meter trail and meter information records maintained by METER method 404b. Similarly, BUDGET method 408a may maintain records independently of those records maintained by BUDGET method 408b. Some events may bypass BILLING method 408 while nevertheless being processed by meter method 404a and BUDGET method 408a. A variety of different variations are possible.

#### **REPRESENTATIVE EXAMPLES OF VDE METHODS**

Although methods 1000 can have virtually unlimited variety and some may even be user-defined, certain basic "use" type methods are preferably used in the preferred embodiment to control most of the more fundamental object manipulation and other functions provided by VDE 100. For example, the following high level methods would typically be provided for object manipulation:

- OPEN method
- READ method
- WRITE method
- CLOSE method.

An OPEN method is used to control opening a container so its contents may be accessed. A READ method is used to control

the access to contents in a container. A WRITE method is used to control the insertion of contents into a container. A CLOSE method is used to close a container that has been opened.

Subsidiary methods are provided to perform some of the steps required by the OPEN, READ, WRITE and/or CLOSE methods. Such subsidiary methods may include the following:

- ACCESS method
- PANIC method
- ERROR method
- DECRYPT method
- ENCRYPT method
- DESTROY content method
- INFORMATION method
- OBSCURE method
- FINGERPRINT method
- EVENT method.
- CONTENT method
- EXTRACT method
- EMBED method
- METER method
- BUDGET method
- REGISTER method
- BILLING method
- AUDIT method

An ACCESS method may be used to physically access content associated with an opened container (the content can be anywhere). A PANIC method may be used to disable at least a portion of the VDE node if a security violation is detected. An ERROR method may be used to handle error conditions. A DECRYPT method is used to decrypt encrypted information. An ENCRYPT method is used to encrypt information. A DESTROY content method is used to destroy the ability to access specific content within a container. An INFORMATION method is used to provide public information about the contents of a container. An OBSCURE method is used to devalue content read from an opened container (e.g., to write the word "SAMPLE" over a displayed image). A FINGERPRINT method is used to mark content to show who has released it from the secure container. An event method is used to convert events into different events for response by other methods.

### **Open**

Figure 49 is a flowchart of an example of preferred embodiment process control steps for an example of an OPEN method 1500. Different OPEN methods provide different detailed steps. However, the OPEN method shown in Figure 49 is a representative example of a relatively full-featured "open" method provided by the preferred embodiment. Figure 49 shows a macroscopic view of the OPEN method. Figures 49a-49f are

together an example of detailed program controlled steps performed to implement the method shown in Figure 49.

The OPEN method process starts with an "open event." This open event may be generated by a user application, an operating system intercept or various other mechanisms for capturing or intercepting control. For example, a user application may issue a request for access to a particular content stored within the VDE container. As another example, another method may issue a command.

In the example shown, the open event is processed by a control method 1502. Control method 1502 may call other methods to process the event. For example, control method 1502 may call an EVENT method 1504, a METER method 1506, a BILLING method 1508, and a BUDGET method 1510. Not all OPEN control methods necessarily call of these additional methods, but the OPEN method 1500 shown in Figure 49 is a representative example.

Control method 1502 passes a description of the open event to EVENT method 1504. EVENT method 1504 may determine, for example, whether the open event is permitted and whether the open event is significant in the sense that it needs to be processed by METER method 1506, BILLING method 1508,

and/or BUDGET method 1510. EVENT method 1504 may maintain audit trail information within an audit trail UDE, and may determine permissions and significance of the event by using an Event Method Data Element (MDE). EVENT method 1504 may also map the open event into an "atomic element" and count that may be processed by METER method 1506, BILLING method 1508, and/or BUDGET method 1510.

In OPEN method 1500, once EVENT method 1504 has been called and returns successfully, control method 1502 then may call METER method 1506 and pass the METER method, the atomic element and count returned by EVENT method 1504. METER method 1506 may maintain audit trail information in a METER method Audit Trail UDE, and may also maintain meter information in a METER method UDE. In the preferred embodiment, METER method 1506 returns a meter value to control method 1502 assuming successful completion.

In the preferred embodiment, control method 1502 upon receiving an indication that METER method 1506 has completed successfully, then calls BILLING method 1508. Control method 1502 may pass to BILLING method 1508 the meter value provided by METER method 1506. BILLING method 1508 may read and update billing information maintained in a BILLING method map MDE, and may also maintain and update audit trail

in a BILLING method Audit Trail UDE. BILLING method 1508 may return a billing amount and a completion code to control method 1502.

Assuming BILLING method 1508 completes successfully, control method 1502 may pass the billing value provided by BILLING method 1508 to BUDGET method 1510. BUDGET method 1510 may read and update budget information within a BUDGET method UDE, and may also maintain audit trail information in a BUDGET method Audit Trail UDE. BUDGET method 1510 may return a budget value to control method 1502, and may also return a completion code indicating whether the open event exceeds the user's budget (for this type of event).

Upon completion of BUDGET method 1510, control method 1502 may create a channel and establish read/use control information in preparation for subsequent calls to the READ method.

Figures 49a-49f are a more detailed description of the OPEN method 1500 example shown in Figure 49. Referring to Figure 49a, in response to an open event, control method 1502 first may determine the identification of the object to be opened and the identification of the user that has requested the object to be opened (block 1520). Control method 1502 then determines

whether the object to be opened is registered for this user (decision block 1522). It makes this determination at least in part in the preferred embodiment by reading the PERC 808 and the User Rights Table (URT) element associated with the particular object and particular user determined by block 1520 (block 1524). If the user is not registered for this particular object ("no" exit to decision block 1522), then control method 1502 may call the REGISTER method for the object and restart the OPEN method 1500 once registration is complete (block 1526). The REGISTER method block 1526 may be an independent process and may be time independent. It may, for example, take a relatively long time to complete the REGISTER method (say if the VDE distributor or other participant responsible for providing registration wants to perform a credit check on the user before registering the user for this particular object).

Assuming the proper URT for this user and object is present such that the object is registered for this user ("yes" exit to decision block 1522), control method 1502 may determine whether the object is already open for this user (decision block 1528). This test may avoid creating a redundant channel for opening an object that is already open. Assuming the object is not already open ("no" exit to decision block 1528), control method 1502 creates a channel and binds appropriate open control elements to it (block 1530). It reads the appropriate open control



elements from the secure database (or the container, such as, for example, in the case of a travelling object), and "binds" or "links" these particular appropriate control elements together in order to control opening of the object for this user. Thus, block 1530 associates an event with one or more appropriate method core(s), appropriate load modules, appropriate User Data Elements, and appropriate Method Data Elements read from the secure database (or the container) (block 1532). At this point, control method 1502 specifies the open event (which started the OPEN method to begin with), the object ID and user ID (determined by block 1520), and the channel ID of the channel created by block 1530 to subsequent EVENT method 1504, METER method 1506, BILLING method 1508 and BUDGET method 1510 to provide a secure database "transaction" (block 1536). Before doing so, control method 1502 may prime an audit process (block 1533) and write audit information into an audit UDE (block 1534) so a record of the transaction exists even if the transaction fails or is interfered with.

The detail steps performed by EVENT method 1504 are set forth on Figure 49b. EVENT method 1504 may first prime an event audit trail if required (block 1538) which may write to an EVENT Method Audit Trail UDE (block 1540). EVENT method 1504 may then perform the step of mapping the open event to an atomic element number and event count using a map MDE (block 1542). The EVENT method map MDE may be read from the

secure database (block 1544). This mapping process performed by block 1542 may, for example, determine whether or not the open event is meterable, billable, or budgetable, and may transform the open event into some discrete atomic element for metering, billing and/or budgeting. As one example, block 1542 might perform a one-to-one mapping between open events and "open" atomic elements, or it may only provide an open atomic element for every fifth time that the object is opened. The map block 1542 preferably returns the open event, the event count, the atomic element number, the object ID, and the user ID. This information may be written to the EVENT method Audit Trail UDE (block 1546, 1548). In the preferred embodiment, a test (decision block 1550) is then performed to determine whether the EVENT method failed. Specifically, decision block 1550 may determine whether an atomic element number was generated. If no atomic element number was generated (e.g., meaning that the open event is not significant for processing by METER method 1506, BILLING method 1508 and/or BUDGET method 1510), then EVENT method 1504 may return a "fail" completion code to control method 1502 ("no" exit to decision block 1550).

Control method 1502 tests the completion code returned by EVENT method 1504 to determine whether it failed or was successful (decision block 1552). If the EVENT method failed ("no" exit to decision block 1552), control method 1502 may "roll

back the secure database transaction (block 1554) and return itself with an indication that the OPEN method failed (block 1556). In this context, "rolling back" the secure database transaction means, for example, "undoing" the changes made to audit trail UDE by blocks 1540, 1548. However, this "roll back" performed by block 1554 in the preferred embodiment does not "undo" the changes made to the control method audit UDE by blocks 1532, 1534.

Assuming the EVENT method 1504 completed successfully, control method 1502 then calls the METER method 1506 shown on Figure 49c. In the preferred embodiment, METER method 1506 primes the meter audit trail if required (block 1558), which typically involves writing to a METER method audit trail UDE (block 1560). METER method 1506 may then read a METER method UDE from the secure database (block 1562), modify the meter UDE by adding an appropriate event count to the meter value contained in the meter UDE (block 1564), and then writing the modified meter UDE back to the secure database (block 1562). In other words, block 1564 may read the meter UDE, increment the meter count it contains, and write the changed meter UDE back to the secure database. In the preferred embodiment, METER method 1506 may then write meter audit trail information to the METER method audit trail UDE if required (blocks 1566, 1568). METER method 1506

preferably next performs a test to determine whether the meter increment succeeded (decision block 1570). METER method 1506 returns to control method 1502 with a completion code (e.g., succeed or fail) and a meter value determined by block 1564.

Control method 1502 tests whether the METER method succeeded by examining the completion code, for example (decision block 1572). If the METER method failed ("no" exit to decision block 1572), then control method 1502 "rolls back" a secure database transaction (block 1574), and returns with an indication that the OPEN method failed (block 1576). Assuming the METER method succeeded ("yes" exit to decision block 1572), control method 1502 calls the BILLING method 1508 and passes it the meter value provided by METER method 1506.

An example of steps performed by BILLING method 1508 is set forth in Figure 49d. BILLING method 1508 may prime a billing audit trail if required (block 1578) by writing to a BILLING method Audit Trail UDE within the secure database (block 1580). BILLING method 1508 may then map the atomic element number, count and meter value to a billing amount using a BILLING method map MDE read from the secure database (blocks 1582, 1584). Providing an independent BILLING method map MDE containing, for example, price list information, allows separately deliverable pricing for the billing process. The

resulting billing amount generated by block 1582 may be written to the BILLING method Audit Trail UDE (blocks 1586, 1588), and may also be returned to control method 1502. In addition, BILLING method 1508 may determine whether a billing amount was properly selected by block 1582 (decision block 1590). In this example, the test performed by block 1590 generally requires more than mere examination of the returned billing amount, since the billing amount may be changed in unpredictable ways as specified by BILLING method map MDE. Control then returns to control method 1502, which tests the completion code provided by BILLING method 1508 to determine whether the BILLING method succeeded or failed (block 1592). If the BILLING method failed ("no" exit to decision block 1592), control method 1502 may "roll back" the secure database transaction (block 1594), and return an indication that the OPEN method failed (block 1596). Assuming the test performed by decision block 1592 indicates that the BILLING method succeeded ("yes" exit to decision block 1592), then control method 1502 may call BUDGET method 1510.

Other BILLING methods may use site, user and/or usage information to establish, for example, pricing information. For example, information concerning the presence or absence of an object may be used in establishing "suite" purchases, competitive discounts, etc. Usage levels may be factored into a BILLING

method to establish price breaks for different levels of usage. A currency translation feature of a BILLING method may allow purchases and/or pricing in many different currencies. Many other possibilities exist for determining an amount of budget consumed by an event that may be incorporated into BILLING methods.

An example of detailed control steps performed by BUDGET method 1510 is set forth in Figure 49e. BUDGET method 1510 may prime a budget audit trail if required by writing to a budget trail UDE (blocks 1598, 1600). BUDGET method 1510 may next perform a billing operation by adding a billing amount to a budget value (block 1602). This operation may be performed, for example, by reading a BUDGET method UDE from the secure database, modifying it, and writing it back to the secure database (block 1604). BUDGET method 1510 may then write the budget audit trail information to the BUDGET method Audit Trail UDE (blocks 1606, 1608). BUDGET method 1510 may finally, in this example, determine whether the user has run out of budget by determining whether the budget value calculated by block 1602 is out of range (decision block 1610). If the user has run out of budget ("yes" exit to decision block 1610), the BUDGET method 1510 may return a "fail completion" code to control method 1502. BUDGET method 1510 then returns to control method 1502, which tests whether the BUDGET method

completion code was successful (decision block 1612). If the BUDGET method failed ("no" exit to decision block 1612), control method 1502 may "roll back" the secure database transaction and itself return with an indication that the OPEN method failed (blocks 1614, 1616). Assuming control method 1502 determines that the BUDGET method was successful, the control method may perform the additional steps shown on Figure 49f. For example, control method 1502 may write an open audit trail if required by writing audit information to the audit UDE that was primed at block 1532 (blocks 1618, 1620). Control method 1502 may then establish a read event processing (block 1622), using the User Right Table and the PERC associated with the object and user to establish the channel (block 1624). This channel may optionally be shared between users of the VDE node 600, or may be used only by a specified user.

Control method 1502 then, in the preferred embodiment, tests whether the read channel was established successfully (decision block 1626). If the read channel was not successfully established ("no" exit to decision block 1626), control method 1502 "rolls back" the secured database transaction and provides an indication that the OPEN method failed (blocks 1628, 1630). Assuming the read channel was successfully established ("yes" exit to decision block 1626), control method 1502 may "commit" the secure database transaction (block 1632). This step of

"committing" the secure database transaction in the preferred embodiment involves, for example, deleting intermediate values associated with the secure transaction that has just been performed and, in one example, writing changed UDEs and MDEs to the secure database. It is generally not possible to "roll back" a secure transaction once it has been committed by block 1632. Then, control method 1502 may "tear down" the channel for open processing (block 1634) before terminating (block 1636). In some arrangements, such as multi-tasking VDE node environments, the open channel may be constantly maintained and available for use by any OPEN method that starts. In other implementations, the channel for open processing may be rebuilt and restarted each time an OPEN method starts.

### **Read**

Figure 50, 50a-50f show examples of process control steps for performing a representative example of a READ method 1650. Comparing Figure 50 with Figure 49 reveals that the same overall high level processing may typically be performed for READ method 1650 as was described in connection with OPEN method 1500. Thus, READ method 1650 may call a control method 1652 in response to a read event, the control method in turn invoking an EVENT method 1654, a METER method 1656, a BILLING method 1658 and a BUDGET method 1660. In the preferred embodiment, READ control method 1652 may request



methods to fingerprint and/or obscure content before releasing the decrypted content.

Figures 50a-50e are similar to Figures 49a-49e. Of course, even though the same user data elements may be used for both the OPEN method 1500 and the READ method 1650, the method data elements for the READ method may be completely different, and in addition, the user data elements may provide different auditing, metering, billing and/or budgeting criteria for read as opposed to open processing.

Referring to Figure 50f, the READ control method 1652 must determine which key to use to decrypt content if it is going to release decrypted content to the user (block 1758). READ control method 1652 may make this key determination based, in part, upon the PERC 808 for the object (block 1760). READ control method 1652 may then call an ACCESS method to actually obtain the encrypted content to be decrypted (block 1762). The content is then decrypted using the key determined by block 1758 (block 1764). READ control method 1652 may then determine whether a "fingerprint" is desired (decision block 1766). If fingerprinting of the content is desired ("yes" exit of decision block 1766), READ control method 1652 may call the FINGERPRINT method (block 1768). Otherwise, READ control method 1652 may determine whether it is desired to obscure the

decrypted content (decision block 1770). If so, READ control method 1652 may call an OBSCURE method to perform this function (block 1772). Finally, READ control method 1652 may commit the secure database transaction (block 1774), optionally tear down the read channel (not shown), and terminate (block 1776).

### **Write**

Figures 51, 51a-51f are flowcharts of examples of process control steps used to perform a representative example of a WRITE method 1780 in the preferred embodiment. WRITE method 1780 uses a control method 1782 to call an EVENT method 1784, METER method 1786, BILLING method 1788, and BUDGET method 1790 in this example. Thus, writing information into a container (either by overwriting information already stored in the container or adding new information to the container) in the preferred embodiment may be metered, billed and/or budgeted in a manner similar to the way opening a container and reading from a container can be metered, billed and budgeted. As shown in Figure 51, the end result of WRITE method 1780 is typically to encrypt content, update the container table of contents and related information to reflect the new content, and write the content to the object.

Figure 51a for the WRITE control method 1782 is similar to Figure 49a and Figure 50a for the OPEN control method and the READ control method, respectively. However, Figure 51b is slightly different from its open and read counterparts. In particular, block 1820 is performed if the WRITE EVENT method 1784 fails. This block 1820 updates the EVENT method map MDE to reflect new data. This is necessary to allow information written by block 1810 to be read by Figure 51b READ method block 1678 based on the same (but now updated) EVENT method map MDE.

Looking at Figure 51f, once the EVENT, METER, BILLING and BUDGET methods have returned successfully to WRITE control method 1782, the WRITE control method writes audit information to Audit UDE (blocks 1890, 1892), and then determines (based on the PERC for the object and user and an optional algorithm) which key should be used to encrypt the content before it is written to the container (blocks 1894, 1896). CONTROL method 1782 then encrypts the content (block 1898) possibly by calling an ENCRYPT method, and writes the encrypted content to the object (block 1900). CONTROL method 1782 may then update the table of contents (and related information) for the container to reflect the newly written information (block 1902), commit the secure database transaction (block 1904), and return (block 1906).

**Close**

Figure 52 is a flowchart of an example of process control steps to perform a representative example of a CLOSE method 1920 in the preferred embodiment. CLOSE method 1920 is used to close an open object. In the preferred embodiment, CLOSE method 1920 primes an audit trail and writes audit information to an Audit UDE (blocks 1922, 1924). CLOSE method 1920 then may destroy the current channel(s) being used to support and/or process one or more open objects (block 1926). As discussed above, in some (e.g., multi-user or multi-tasking) installations, the step of destroying a channel is not needed because the channel may be left operating for processing additional objects for the same or different users. CLOSE method 1920 also releases appropriate records and resources associated with the object at this time (block 1926). The CLOSE method 1920 may then write an audit trail (if required) into an Audit UDE (blocks 1928, 1930) before completing.

**Event**

Figure 53a is a flowchart of example process control steps provided by a more general example of an EVENT method 1940 provided by the preferred embodiment. Examples of EVENT methods are set forth in Figures 49b, 50b and 51b and are described above. EVENT method 1940 shown in Figure 53a is somewhat more generalized than the examples above. Like the

EVENT method examples above, EVENT method 1940 receives an identification of the event along with an event count and event parameters. EVENT method 1940 may first prime an EVENT audit trail (if required) by writing appropriate information to an EVENT method Audit Trail UDE (blocks 1942, 1944). EVENT method 1940 may then obtain and load an EVENT method map DTD from the secure database (blocks 1946, 1948). This EVENT method map DTD describes, in this example, the format of the EVENT method map MDE to be read and accessed immediately subsequently (by blocks 1950, 1952). In the preferred embodiment, MDEs and UDEs may have any of various different formats, and their formats may be flexibly specified or changed dynamically depending upon the installation, user, etc. The DTD, in effect, describes to the EVENT method 1940 how to read from the EVENT method map MDE. DTDs are also used to specify how methods should write to MDEs and UDEs, and thus may be used to implement privacy filters by, for example, preventing certain confidential user information from being written to data structures that will be reported to third parties.

Block 1950 ("map event to atomic element # and event count using a Map MDE") is in some sense the "heart" of EVENT method 1940. This step "maps" the event into an "atomic element number" to be responded to by subsequently called methods. An example of process control steps performed by a

somewhat representative example of this "mapping" step 1950 is shown in Figure 53b.

The Figure 53b example shows the process of converting a READ event that is associated with requesting byte range 1001-1500 from a specific piece of content into an appropriate atomic element. The example EVENT method mapping process (block 1950 in Figure 53a) can be detailed as the representative process shown in Figure 53b.

EVENT method mapping process 1950 may first look up the event code (READ) in the EVENT method MDE (1952) using the EVENT method map DTD (1948) to determine the structure and contents of the MDE. A test might then be performed to determine if the event code was found in the MDE (1956), and if not ("No" branch), the EVENT method mapping process may terminate (1958) without mapping the event to an atomic element number and count. If the event was found in the MDE ("Yes" branch), the EVENT method mapping process may then compare the event range (e.g., bytes 1001-1500) against the atomic element to event range mapping table stored in the MDE (block 1960). The comparison might yield one or more atomic element numbers or the event range might not be found in the mapping table. The result of the comparison might then be tested (block 1962) to determine if any atomic element numbers

were found in the table. If not ("No" branch), the EVENT method mapping process may terminate without selecting any atomic element numbers or counts (1964). If the atomic element numbers were found, the process might then calculate the atomic element count from the event range (1966). In this example, the process might calculate the number of bytes requested by subtracting the upper byte range from the lower byte range (e.g.,  $1500 - 1001 + 1 = 500$ ). The example EVENT method mapping process might then terminate (block 1968) and return the atomic element number(s) and counts.

EVENT method 1940 may then write an EVENT audit trail if required to an EVENT method Audit Trail UDE (block 1970, 1972). EVENT method 1940 may then prepare to pass the atomic element number and event count to the calling CONTROL method (or other control process) (at exit point 1978). Before that, however, EVENT method 1940 may test whether an atomic element was selected (decision block 1974). If no atomic element was selected, then the EVENT method may be failed (block 1974). This may occur for a number of reasons. For example, the EVENT method may fail to map an event into an atomic element if the user is not authorized to access the specific areas of content that the EVENT method MDE does not describe. This mechanism could be used, for example, to distribute customized versions of a piece of content and control access to the various

versions in the content object by altering the EVENT method MDE delivered to the user. A specific use of this technology might be to control the distribution of different language (e.g., English, French, Spanish) versions of a piece of content.

### **Billing**

Figure 53c is a flowchart of an example of process control steps performed by a BILLING method 1980. Examples of BILLING methods are set forth in Figures 49d, 50d, and 51d and are described above. BILLING method 1980 shown in Figure 53c is somewhat more generalized than the examples above. Like the BILLING method examples above, BILLING method 1980 receives a meter value to determine the amount to bill. BILLING method 1980 may first prime a BILLING audit trail (if required) by writing appropriate information to the BILLING method Audit Trail UDE (blocks 1982, 1984). BILLING method 1980 may then obtain and load a BILLING method map DTD from the secure database (blocks 1985, 1986), which describes the BILLING method map MDE (e.g., a price list, table, or parameters to the billing amount calculation algorithm) that should be used by this BILLING method. The BILLING method map MDE may be delivered either as part of the content object or as a separately deliverable component that is combined with the control information at registration.