

04-20-06

04/18/00  
U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
40492.00012

Total Pages in this Submission

TO THE ASSISTANT COMMISSIONER FOR PATENTS  
Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**SYSTEM AND METHOD FOR PROTECTING A CLIENT DURING RUNTIME FROM HOSTILE DOWNLOADABLES**

and invented by:

**Shlomo Touboul**

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: 08/790,097

Which is a:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

### Application Elements

1.  Filing fee as calculated and transmitted as described below
2.  Specification having 26 pages and including the following:
  - a.  Descriptive Title of the Invention
  - b.  Cross References to Related Applications (if applicable)
  - c.  Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d.  Reference to Microfiche Appendix (if applicable)
  - e.  Background of the Invention
  - f.  Brief Summary of the Invention
  - g.  Brief Description of the Drawings (if drawings filed)
  - h.  Detailed Description
  - i.  Claim(s) as Classified Below
  - j.  Abstract of the Disclosure

U.S. PTO  
09/551302  
04/18/00

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**Application Elements (Continued)**

3.  Drawing(s) (when necessary as prescribed by 35 USC 113)  
a.  Formal      b.  Informal      Number of Sheets 7

4.  Oath or Declaration  
a.  Newly executed (original or copy)       Unexecuted  
b.  Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)  
c.  With Power of Attorney       Without Power of Attorney  
d.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).

5.  Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6.  Computer Program in Microfiche

7.  Genetic Sequence Submission (if applicable, all must be included)

- a.  Paper Copy  
b.  Computer Readable Copy  
c.  Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8.  Assignment Papers (cover sheet & documents)  
9.  37 CFR 3.73(b) Statement (when there is an assignee)  
10.  English Translation Document (if applicable)  
11.  Information Disclosure Statement/PTO-1449       Copies of IDS Citations  
12.  Preliminary Amendment  
13.  Acknowledgment postcard  
14.  Certificate of Mailing  
 First Class       Express Mail (Specify Label No.): EL515156158US

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(Small Entity)**

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**Accompanying Application Parts (Continued)**

15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Small Entity Statement(s) - Specify Number of Statements Submitted: 1
17.  Additional Enclosures (please identify below):

General Authorization/Request to Petition for Extensions of Time

**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
<b>Total Claims</b>	47	- 20 =	27	x \$9.00	\$243.00
<b>Indep. Claims</b>	4	- 3 =	1	x \$39.00	\$39.00
<b>Multiple Dependent Claims (check if applicable)</b> <input type="checkbox"/>					\$0.00
<b>BASIC FEE</b>					\$345.00
<b>OTHER FEE (specify purpose)</b> _____					\$0.00
<b>TOTAL FILING FEE</b>					\$627.00

- A check in the amount of **\$627.00** to cover the filing fee is enclosed.
- The Commissioner is hereby authorized to charge and credit Deposit Account No. **05-0150** as described below. A duplicate copy of this sheet is enclosed.
- Charge the amount of \_\_\_\_\_ as filing fee.
  - Credit any overpayment.
  - Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
  - Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: April 18, 2000

  
Signature

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cc:

(PRESS MAIL LABEL NO: EL515156158US

Atty. Dkt.No. \_\_\_\_\_ Case 557

Applicant: Shlomo Touboul  
Serial No.: Unknown  
Filed: Herewith  
For: System and Method for Protecting a Client From Hostile Downloadables

VERIFIED STATEMENT (DECLARATION) CLAIMING  
SMALL ENTITY STATUS  
(37 CFR 1.9 (f) and 1.27 (c)) - SMALL BUSINESS CONCERN

I hereby declare that I am:

**COPY**

- the owner of the small business concern identified below:
- an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Finjan Software Ltd.  
ADDRESS OF CONCERN Kefar-Haim 42945, Israel

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.2, and reproduced in 37 CFR 1.9 (d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled "System and method for Protecting a Client from Hostile Downloadables", by inventor Shlomo Touboul described in

- the specification filed herewith.
- application serial no. \_\_\_\_\_ filed \_\_\_\_\_.
- patent no. \_\_\_\_\_ issued \_\_\_\_\_.

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If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
 INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

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 the Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Shlomo Touboul  
TITLE OF PERSON IF OTHER THAN OWNER President  
ADDRESS OF PERSON SIGNING Kefar-Haim, 42945, Israel

SIGNATURE  DATE 1/29/97

0014158123444

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