UNITED STATES PATENT AND TRADEMARK OFFICE BEFORE THE PATENT TRIAL AND APPEAL BOARD

CAVIUM, INC. Petitioner

V.

ALACRITECH, INC. Patent Owner

Case IPR. No. **Unassigned**U.S. Patent No. 7,673,072
Title: FAST-PATH APPARATUS FOR RECEIVING DATA CORRESPONDING
A TCP CONNECTION

Declaration of Robert Horst, Ph.D. in Support of Petition for *Inter Partes* Review of U.S. Patent No. 7,673,072

Mail Stop "PATENT BOARD"

Patent Trial and Appeal Board U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450



TABLE OF CONTENTS

				Page			
I.	INT	NTRODUCTION AND QUALIFICATIONS					
II.	MA	TERIALS RELIED ON IN FORMING MY OPINION					
III.	UNDERSTANDING OF THE GOVERNING LAW						
	A.	Invalidity by Anticipation					
	B.	Invalidity by Obviousness					
IV.	LEV	EL O	F ORDINARY SKILL IN THE ART	6			
V.	STATE OF THE ART AND OVERVIEW OF TECHNOLOGY AT ISSUE						
	A.	Laye	ered Network Protocols	7			
		1.	OSI Layers	8			
		2.	TCP/IP Layers	8			
	B.	TCP/IP					
		1.	Encapsulation	11			
		2.	Ethernet Header	12			
		3.	IP Header	13			
		4.	TCP header	14			
		5.	RFC 793 – TCP Specification	15			
			a) Sockets	15			
		6.	Prepending Headers	18			
		7.	TCP Control Block (TCB)	20			
		8.	Segmentation	22			
		9.	Advertising a Receive Window	25			
	C.	Protocol Offload					
		1.	RFC 647 – Front-Ending.	26			
		2.	RFC 929 – Outboard Processing	27			
		3.	Mediation Levels.	28			
	D.	Offloaded Protocols					

		1.	OSI Protocol Offload	31		
		2.	TCP/IP Protocol Offload	31		
		3.	VMTP and XTP Protocol Offload	32		
		4.	Multi-Protocol Offload	32		
	E.	Port	tions of the Protocol Offloaded	32		
		1.	Checksum Offload	33		
		2.	Full Offload	34		
		3.	Multi-Level Offload	34		
		4.	Header Prediction	34		
			a) Partial Offload with Header Prediction	36		
	F.	Offload Implementation				
		1.	Multiprocessor Offload	37		
		2.	Offload Adapters based on Microprocessors	39		
		3.	Offload Adapters based on Custom Processors or Custom Logic	ı		
	G.	Protocol Offload Summary		43		
	Н.		ditional Background Technology			
		1.	DMA			
		2.	Virtual and Physical Memory Addresses	47		
VI.	OVE	ERVIE	EW OF 072 PATENT			
VII.	072	72 PATENT PROSECUTION HISTORY				
VIII.	CLAIM CONSTRUCTIONS					
	A.					
	В.	"context"				
	C.	"pre	epending"	54		
IX.	THE PRIOR ART					
	A.		. Patent No. 5,937,169 ("Connery")			
X.	GRO		OS OF INVALIDITY			
XI.		DECLARATION59				

I, Robert Horst, hereby declare as follows:

INTRODUCTION AND QUALIFICATIONS I.

- My name is Robert Horst. I have been retained on behalf of Petitioner 1. Cavium, Inc. ("Cavium") to provide this Declaration concerning technical subject matter relevant to the petition for *inter partes* review ("Petition") concerning U.S. Patent No. 7,673,072 (Ex.1001, the "072 Patent"). I reserve the right to supplement this Declaration in response to additional evidence that may come to light.
- 2. I am over 18 years of age. I have personal knowledge of the facts stated in this Declaration and could testify competently to them if asked to do so.
- 3. My compensation is not based on the resolution of this matter. My findings are based on my education, experience, and background in the fields discussed below.
- I am an independent consultant with more than 30 years of expertise 4 in the design and architecture of computer systems. My current curriculum vitae is submitted as Exhibit 1004 and some highlights follow.
- 5. Currently, I am an independent consultant at HT Consulting where my work includes consulting on technology and intellectual property. I have testified as an expert witness and consultant in patent and intellectual property litigation as well as *inter partes* reviews and re-examination proceedings.

DM2\7971719.2

- 6. I earned my M.S. (1978) in electrical engineering and Ph.D. (1991) in computer science from the University of Illinois at Urbana-Champaign after earning my B.S. (1975) in electrical engineering from Bradley University. During my master's program, I designed, constructed and debugged a shared memory parallel microprocessor system. During my doctoral program, I designed and simulated a massively parallel, multi-threaded task flow computer.
- 7. After receiving my bachelor's degree and while pursuing my master's degree, I worked for Hewlett-Packard Co. While at Hewlett-Packard, I designed the micro-sequencer and cache of the HP3000 Series 64 processor. From 1980 to 1999, I worked at Tandem Computers, which was acquired by Compaq Computers in 1997. While at Tandem, I was a designer and architect of several generations of fault-tolerant computer systems and was the principal architect of the NonStop Cyclone superscalar processor. The system development work at Tandem also included development of the ServerNet System Area Network and applications of this network to fault tolerant systems and clusters of database servers.
- 8. Since leaving Compaq in 1999, I have worked with several technology companies, including 3Ware, Network Appliance, Tibion, and AlterG in the areas of network-attached storage and biomedical devices. From 2012 to 2015, I was Chief Technology Officer of Robotics at AlterG, Inc., where I worked

DOCKET

Explore Litigation Insights



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

Real-Time Litigation Alerts



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

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

Advanced Docket Research



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

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

Analytics At Your Fingertips



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

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

API

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

LAW FIRMS

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

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

FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.

