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<p><b>ADDRESS TO:</b></p> <p><b>Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450</b></p>	<p>Attorney Docket No.    03,395</p> <p>First Named Inventor    David Grabelsky</p> <p>Express Mail No.        EV 334708865 US</p>
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APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
<p>1. <input checked="" type="checkbox"/> Transmittal Form with Fee</p> <p>2. <input checked="" type="checkbox"/> Specification (including claims and abstract) [Total Pages 46]</p> <p>3. <input checked="" type="checkbox"/> Drawings [Total Sheets 7]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages 2]</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> Newly executed</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> Copy from prior application</p> <p style="margin-left: 20px;"><b>[Note Boxes 5 and 18 below]</b></p> <p style="margin-left: 20px;">i. <input type="checkbox"/> Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application</p> <p>5. <input type="checkbox"/> Incorporation by Reference: 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.</p> <p>6. <input type="checkbox"/> Computer Code Listing (See 1.96)</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> Microfiche Appendix</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> CD-Rom (in duplicate, with separate transmittal)</p> <p>7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> Computer Readable Copy</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> Paper Copy</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> Statement verifying above copies</p> <p>8. <input type="checkbox"/> Small Entity Status</p> <p style="margin-left: 20px;"><input type="checkbox"/> is claimed</p> <p style="margin-left: 20px;"><input type="checkbox"/> Statement filed in prior application; status still proper and desired</p> <p style="margin-left: 20px;"><input type="checkbox"/> is no longer claimed.</p>	<p>9. <input checked="" type="checkbox"/> Assignment Papers</p> <p>10. <input type="checkbox"/> Power of Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)</p> <p style="margin-left: 20px;"><input type="checkbox"/> PTO-1449 Form</p> <p style="margin-left: 20px;"><input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s)</p> <p>16. <input checked="" type="checkbox"/> A Request for non-publication pursuant to 35 U.S.C. § 122(b)(2)(B)(i)</p> <p>17. <input checked="" type="checkbox"/> Other: Patent Application Data Sheet</p>

18.  This is a CONTINUING APPLICATION. Please note the following:

a.  This is a  Continuation  Divisional  Continuation-in-part of prior U.S. Patent Application Serial No..

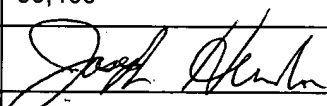
b.  Cancel in this application original claims of the prior application before calculating the filing fee. (At least one claim must remain.)

c.  Amend the specification by inserting before the first line the sentence: This is a  continuation  divisional  continuation-in-part of application Serial No.

d.  The prior application is assigned of record to

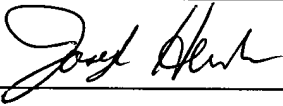
UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 03,395

APPLICATION FEES				
BASIC FEE				\$ 750.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	26 - 20 =	6	x \$18.00	\$ 108.00
Independent Claims	5 - 3 =	2	x \$84.00	\$ 168.00
<input type="checkbox"/> Multiple Dependent Claims(s) if applicable			+\$280.00	\$
Total of above calculations =				\$ 1026.00
Reduction by 50% for filing by small entity =				\$( )
<input checked="" type="checkbox"/> Assignment fee if applicable			+\$40.00	\$ 40.00
TOTAL =				\$ 1066.00
19. <input type="checkbox"/> Please charge my Deposit Account No. 13-2490 in the amount of \$				
20. <input checked="" type="checkbox"/> A check in the amount of \$1066.00 is enclosed.				
21. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 13-2490:				
a.	<input checked="" type="checkbox"/>	Fees required under 37 CFR 1.16.		
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22. The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 13-2490 for any fee that may be due in connection with such a request for an extension of time.				
23. CERTIFICATE OF MAILING				
I hereby certify that, under 37 CFR § 1.10, I directed that the correspondence identified above be deposited with the United States Postal Service as "Express Mail Post Office to Addressee," addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on the date indicated below.				
24. USPTO CUSTOMER NUMBER				
20306				
McDonnell Boehnen Hulbert & Berghoff				
25. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED				
Name	Joseph A. Herndon			
Reg. No.	50,469			
Signature				
Date	September 25, 2003			

UTIL (Rev. 11/21/00)

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	Attorney Docket No. 03,395 First Named Inventor David Grabelsky Express Mail Label No. EV 334708865 US
<p>I hereby certify that the invention disclosed in the attached application <b>has not been and will not be</b> the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).</p>	

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Name	Joseph A. Herndon
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Signature	
Date	September 25, 2003



APPLICATION FOR A UNITED STATES PATENT  
UNITED STATES PATENT AND TRADEMARK OFFICE

5 MBHB Case No. 03-395  
(3Com Case No. 3948.CS.US.P)

10 **Title:** SYSTEM AND METHOD FOR NETWORK BASED POLICY  
ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

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## FIELD OF INVENTION

The present invention relates to policy enforcement of network services and, more particularly, to a system and method for network based policy enforcement of intelligent-client features.

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## BACKGROUND

The emergence of Internet Protocol (IP) telephony and IP multimedia networks poses challenges to carriers and service providers, however, it also presents new and expanded business opportunities. The increasing use of IP telephony has spurred development and introduction of numerous telephony services. The use of IP telephony protocols as an interface may assure that a “customer” and a “server” can rely on a common and widely used method for exchanging information. The protocols developed for IP-based services, features, and media transport enable migration of signaling and call-control functionality to intelligent end-user clients. Examples of such protocols include H.323 and the Session Initiation Protocol (SIP). To the extent that telephony services and features can be implemented in intelligent clients, the carriers and service provider network’s responsibilities include little more than providing data pipes.

In practice, however, many next-generation services still depend upon network-based servers and support, so network providers are probably in no danger of losing their ability to sell services. But the trend toward intelligent, IP-based clients is a new dimension in the space of creation and delivery of telephony and media services. At best, carriers, service providers, and device manufacturers may have to work together to ensure interoperability. At worst, carriers and service providers may need to deal with unauthorized delivery of services by

intelligent clients in their networks. Either way, maintaining relevance as providers of services, and not just transport of the services, is no longer a given for network providers in a world shared with intelligent clients.

Therefore, if carriers and service providers are to maintain their ability to generate  
5 revenue for services offered or supported in their networks, then the service providers' ability to enforce the authorization of service usage is important. This is particularly important in next-generation IP telephony and IP multimedia networks, where many basic and advanced services may be signaled, controlled, and/or delivered by intelligent end-user clients that are not owned or controlled by the network providers, thereby enabling potential bypassing by the end user of  
10 service agreements or other subscription accounting mechanisms.

## SUMMARY

In an exemplary embodiment, a method for controlling services in packet-based networks is provided. The method includes receiving signaling messages within a communication path between a sender and a recipient device. The signaling messages include an indication of a type of service which the messages are intended to invoke. The method further includes making a determination of whether the sender or the recipient of the messages is authorized to invoke the type of service, and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are authorized.

In another respect, the exemplary method for controlling services in packet-based networks includes receiving a message, which is configured according to a protocol, and associating the message with a known service that is defined within the protocol. This method includes requesting a user profile of a user associated with the message that specifies which services the user is authorized to use. This method also includes determining from the user profile whether the user is authorized to invoke the known service, and filtering the message based on whether the user is authorized to invoke the known service.

In still another respect, the exemplary embodiment may take the form of a system that includes a border element and a proxy server. The border element is in a communications path of session initiation protocol (SIP) signaling messages between end devices, and may filter the SIP signaling messages based on authorized services of the end devices. The SIP signaling messages include an indication of services. The proxy server may receive a request from the border element for a user profile of at least one of the end devices, and in response, send the user

profile to the at least one of the end devices. The user profile specifies which services the at least one end device is authorized to use.

These as well as other features and advantages will become apparent to those of ordinary skill in the art by reading the following detailed description, with appropriate reference to the  
5 accompanying drawings.

## BRIEF DESCRIPTION OF FIGURES

Exemplary embodiments of the present invention are described with reference to the following drawings, in which:

Figure 1 is a block diagram illustrating one embodiment of a network architecture for support of packet-based telephony and multimedia sessions and services according to the present invention;

Figure 2 is a block diagram illustrating another embodiment of a network architecture for support of packet-based telephony and multimedia sessions and services according to the present invention;

Figure 3 is a flowchart depicting one embodiment of a method of network-based policy enforcement of intelligent client features;

Figure 4 illustrates one embodiment of a network policy enforcement entity that may carry out the method of Figure 3;

Figure 5 illustrates one embodiment of a SIP-aware firewall functioning as the network policy enforcement point;

Figure 6 illustrates one embodiment of a SIP-aware NAT and a firewall functioning as the network policy enforcement point; and

Figure 7 illustrates one embodiment of a SIP-aware firewall and a SIP Proxy server functioning as the network policy enforcement point.

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## DETAILED DESCRIPTION OF EXEMPLARY EMBODIMENTS

In packet-based networks, intelligent end-user clients with little or no support and/or knowledge of the network can deliver many features and services. For networks to retain control over the features and services used by subscribers that use intelligent end-user clients, the networks need to be able to recognize signaling and call control messages and transactions that implement these features and services within the network. This is particularly important in next-generation IP telephony and IP multimedia networks where many basic and advanced services may be signaled, controlled, and/or delivered by intelligent end-user clients which are not owned or controlled by the network or service providers, thereby enabling the potential bypassing by the end user of service agreements or other subscription accounting mechanisms.

One approach to policing network service usage is to extend signaling and control protocols, such as the Session Initiation Protocol (SIP), to support informing the intelligent client as to which services are authorized. This approach is described in U.S. Patent Application Serial Number 10/243,642, filed on September 10, 2002, and entitled "Architecture and Method for Controlling Features and Services in Packet-Based Networks," which is entirely incorporated by reference herein as if fully set forth in this description. This approach relies on the ability of the client to support required protocol extensions, and to function as the policy enforcement point on behalf of the network.

In the exemplary embodiment, the present invention describes a system and method for using network-based policy enforcement to control access to, and invocation of, features and services which may otherwise be delivered to subscribers without the knowledge or authorization of the network. An operator of an IP telephony and/or IP multimedia network may enforce authorization or privileges of intelligent end-user clients to utilize or invoke services in the

network, even when the capabilities for the requisite signaling and call control of those services may reside in the end-user clients themselves.

In the exemplary embodiment, a policy enforcement point is maintained in the network by elements that are under control of the network operator. This approach lessens and/or eliminates a need for the network operator to police the selection of client devices, and at the same time, allows end users to install nearly any suitable device of their choosing.

## NETWORK ARCHITECTURE

Referring now to the figures, Figure 1 is a block diagram illustrating one embodiment of a network 100. It should be understood that this and other arrangements described herein are set forth for purposes of example only, and other arrangements and elements can be used instead and some elements may be omitted altogether. Further, many of the elements described herein are functional entities that may be implemented as hardware, firmware or software, and as discrete components or in conjunction with other components, in any suitable combination and location.

The network 100 includes functionality of a packet network architecture for support of packet-based telephony and multimedia sessions and services. The network 100 includes a core packet network 102, and two local packet networks 104 and 106, as well as intelligent end-user clients 104a-d and 106a-e associated with the local packet networks 104 and 106. Access to the core packet network 102 is available through border elements 108 and 110, such as a firewall or application layer gateway (ALG) device. Maintaining the border elements 108 and 110 within the core packet network 102 may protect the core packet network 102 from errant behavior of extra-network elements, whether malicious or inadvertent. Note that local packet networks 104 and 106 may likewise employ border elements for security purposes.

The core packet network 102 includes a signaling and call control server 112, an authentication and authorization sever 114, and a network-based services server 116. The signaling and call control server 112 intercepts call set-up messages sent between the end-user clients, *e.g.*, intelligent client 104c, and the core packet network 102 and checks the authentication and authorization server 114 to determine what services the client may invoke. In turn, the signaling and call control server 112 may contact the network-based services server 116 to invoke any services requested by the client, if the client is authorized to invoke the service.

The local packet networks 104 and 106 may be local area networks (LANs). The LAN provides local connectivity for end-user clients, while the core packet network 102 provides access to global packet telephony services, as well as possibly to a public packet data network. The core packet network 102 connects the local packet networks 104 and 106 to other local networks, as well as to the public switched telephone network (PSTN) via media gateways, for example.

The local packet networks 104 and 106 may be maintained within private or restricted address spaces. That is, addresses of devices within or residing within a given local packet network may not be visible or valid to entities in the core packet network 102, or in other local networks. Rather, a mapping of addresses is used across the boundaries between the core packet network 102 and the local packet networks 104 and 106. In this case, the border elements 108 and 110 in the core packet network 102 provide the mapping functionality, translating between addresses on the core packet network 102 side and the local packet network side. In an IP network, for example, this could be supported with Network Address Translation (NAT). This may also be supported with Realm Specific Internet Protocol (as described in RFC 3104-3105). Alternatively, this address-mapping function may be accomplished on the local network side, but



the core packet network 102 may still provide a subset of core network addresses that may be used in the mapping, *i.e.*, access to the core packet network 102 first passes through some sort of core-network border element. Isolating the address space of the local packet networks 104 and 106 from the core packet network 102 introduces a stronger degree of control over access to  
5 services and features in the core packet network 102, because clients' true addresses are hidden from entities outside the local packet networks 104 and 106, which prevents surreptitious communications across the boundary between local and core networks.

If address mapping is used at the border between the core packet network 102 and the local packet networks 104 and 106, then end-user devices can access services in the core packet  
10 network 102 with explicit awareness of some element or elements within the core packet network 102.

Figure 2 illustrates a specific example of a network 200, similar to that illustrated in Figure 1, in which the packet networks are IP networks. For this example, the SIP signaling and call control protocol is implemented. However, other signaling protocols, such as H-323, Media  
15 Gateway Control Protocol (MGCP), Media Gateway Control (MEGACO), and other standard or proprietary techniques may alternatively be used. A brief explanation of SIP is given below.

SIP is described in Handley, *et al.*, "SIP: Session Initiation Protocol," IETF RFC 2543, March 1999, which is entirely incorporated by reference herein, as if fully set forth in this description. SIP is also described in Rosenberg *et al.*, "SIP: Session Initiation Protocol," IETF  
20 RFC 3261, June 2002, the contents of which are entirely incorporated herein by reference, as if fully set forth in this description. SIP describes how to set up Internet telephone calls, videoconferences, and other multimedia connections. SIP can establish two-party sessions (ordinary telephone calls), multiparty sessions (where everyone can hear and speak), and

multicast sessions (one sender, many receivers). The sessions may contain audio, video, or data. SIP handles call setup, call management, and call termination. Other protocols, such as real time protocol (RTP) are used for data transport. SIP is an application layer protocol and can run over the user datagram protocol (UDP) or the transport control protocol (TCP), for example.

5 SIP supports a variety of services, including locating the callee, determining the callee's capabilities, and handling the mechanics of call setup and termination, for example. SIP defines telephone numbers as uniform resource locators (URLs), so that Web pages can contain them, allowing a click on a link to initiate a telephone call (similar to the *mailto* function that allows a click on a link to initiate a program to send an e-mail message). For example,  
10 John\_Doe@3Com.com may represent a user named John at the host specified by the domain name system (DNS) of 3Com. SIP URLs may also contain other addresses or actual telephone numbers.

The SIP protocol is a text-based protocol in which one party sends a message in American standard code for information interchange (ASCII) text consisting of a method name  
15 on the first line, followed by additional lines containing headers for passing parameters. Many of the headers are taken from multipurpose Internet mail extensions (MIME) to allow SIP to interwork with existing Internet applications.

As an example, consider the following exemplary text encoded message below in Table

1.

INVITE sip:user@biloxi.com SIP/2.0
Via: SIP/2.0/UDP pc33.atlanta.com;branch=z9hG4bK776asdhdhds
Max-Forwards: 70
To: User <sip:user@biloxi.com>
From: Sender <sip:sender@atlanta.com>;tag=1928301774
Call-ID: a84b4c76e66710@pc33.atlanta.com
CSeq: 314159 INVITE
Contact: <sip:sender@pc33.atlanta.com>

Content-Type: application/sdp
Content-Length: 142

Table 1

This text-encoded message is a SIP INVITE message. The first line of this text-encoded message contains the method name (*e.g.*, INVITE). The lines that follow are a list of header fields. For example, the fields Via (describing the address at which the user is expecting to receive responses), To (contains a display name or SIP request-URI towards which the request was originally directed), From (contains a display name and a SIP request-URI that indicate the originator of the request), Call-ID (contains a globally unique identifier for this call), CSeq (a traditional sequence number), and Contact (contains a SIP request-URI that represents a direct route to contact the sender) are header fields. In addition, the From header also has a tag parameter containing a random string (*e.g.*, 1928301774) that is used for identification purposes.

Other example methods are provided below in Table 2.

METHOD	DESCRIPTION
INVITE	Request initiation of a session
ACK	Confirm that a session has been initiated
BYE	Request termination of a session
OPTIONS	Query a host about its capabilities
CANCEL	Cancel a pending request
REGISTER	Inform a redirection server about the user's current location
NOTIFY	Indicates the status of a request
REFER	Requests that the party sending the REFER be notified of the outcome of the referenced request

Table 2

To establish a call session, a caller sends an INVITE message to a callee by way of a proxy server. The transport protocol for the transmission may be TCP or UDP, for example. In both cases, the headers on the second and subsequent lines of INVITE message describe the structure of the message body, which contains the caller's capabilities, media types, and formats. The INVITE message also contains a user identifier to identify the callee, a caller user identifier to identify the caller, and a session description that informs the called party what type of media the caller can accept and where the caller wishes the media data to be sent. User identifiers in SIP requests are known as SIP addresses. SIP addresses are referred to as SIP Universal Resource Indicators (SIP request-URIs), which are of the form *sip: user@host.domain*. Other addressing conventions may also be used.

The proxy server will read the INVITE message and may use a location service locally or remotely located to itself to determine the location of the callee, as identified in the INVITE message. The proxy server determines the location of the callee by matching the SIP request-URI in the INVITE message to one within a location database, which may be within another proxy server. The INVITE request is then forwarded to the callee. Upon receiving the INVITE request, the callee may transmit a response message.

The response message may be a reply code. A reply code may be a three-digit number with a classification as defined below in Table 3.

CODE	MEANING	EXAMPLES
1xx	Information	100 = server agrees to handle client's request
2xx	Success	200 = request succeeded
3xx	Redirection	301 = page moved
4xx	Client Error	403 = forbidden page

5xx	Server Error	500 = internal server error
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Table 3

For example, if the callee accepts the call, the callee responds with a 200 OK message.

5 Following the reply code line, the callee also may supply information about the callee's capabilities, media types, and formats.

Referring back to Figure 2, the network 200 includes a core IP network 202, and local IP networks 204 and 206. In this case, end-user clients are SIP user agents, such as SIP user agent 204a-b and 206a-b, and SIP phones, such as SIP phone 204c-d and 206c-e. The core IP network 10 202 includes a SIP Proxy server 208, an authentication/authorization server 210, a directory server 212, and a network-based services server 214. Border elements in the core IP network 202 are NAT firewalls 216 and 218, which incorporate functionality specific to SIP. Such devices are commonly referred to as SIP-aware firewalls, as illustrated. The NAT firewalls 216 and 218 make it possible, for example, for a SIP client with only a local address within the local 15 area network to initiate and receive SIP-based calls to and from SIP endpoints in the core IP network 202, or other local networks connected (directly or indirectly) to the core IP network 202.

In order for a SIP phone, *e.g.*, 204c, to establish connectivity beyond its local IP network 204, its user registers with the SIP proxy server 208 in the core IP network 202. The registration 20 process will typically include some sort of verification that authenticates the user and authorizes use of a set of services. This authentication usually involves communications between the SIP proxy server 208 and the authentication and authorization server 210 via an additional protocol. For example, Remote Authentication Dial In User Service (RADIUS) might be used for this purpose. Assuming the user is successfully authenticated, authorization for use of services could

be determined according to a user profile stored in the authentication and authorization server 210. The user profile might list services and features to which the user has subscribed, *e.g.*, basic calls, call waiting, call forwarding, etc. Once registration is complete, the user may invoke services within the core IP network 202. Note that the user could be a specific person, group, or  
5 generic identity (*e.g.*, “cafeteria phone”).

While lists of authorized services and features may be stored in the user profile, it is possible for many of the features themselves to be fully or partially realized directly within the SIP phone 204c. Thus, a user could decline to subscribe to a certain service in the core IP network 202, but still obtain that service using the implementation on the SIP phone 204c.  
10 Assuming that a carrier or service provider of the network 200 normally charges for that service, then this user would be acquiring it for free. As noted, one way to attempt to prevent this from happening is to extend or enhance the SIP protocol to support passing the information about the user’s authorized services to the SIP phone, as described in U.S. Patent Application Serial Number 10/243,642, entitled “Architecture and Method for Controlling Features and Services in  
15 Packet-Based Networks.” The SIP phone would then only invoke those services for which authorization has been received, *i.e.*, the SIP phone becomes the policy enforcement point on behalf of the core IP network 202.

#### NETWORK-BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

20 In the exemplary embodiment, an entity of the network 200 is the policy enforcement point on behalf of the core IP network 202. The entity is a core-network-based policy enforcement point that is (1) in the communications path of substantially each and every call control and signaling message between any end-user client and any call control and signaling

entity of the network 202 (including, possibly, another client device); and (2) able to communicate with, and set parameters of, network elements that monitor and control media data flow across network boundaries (e.g., border elements 216 and 218). The policy enforcement point may recognize all call control and signaling messages that pass through it, and filter them according to their content, including, but not limited to, sender, intended recipient, and meaning within the particular call control and signaling protocol (e.g., message type). In addition, the policy enforcement point may control media data flow, or augment and/or assist other network elements that have this function. Such control of media data flow may include, but is not limited to, ensuring compliance of media streams with agreed-to bandwidth and other network resource usage.

The policy enforcement point may facilitate network-based enforcement of service and feature privileges on a call-by-call basis, (1) during an initial setup phase of the call or session, based upon the filtering of call control and signaling messages; and (2) once the call, session, service, or feature is allowed and/or established, based upon both filtering of subsequent call control messages, and the monitoring and enforcement of any relevant, negotiated media bandwidth and/or other network resource usage. Note that the term policy enforcement point is a reference to a logical localization of a set of tasks and functions that may actually be embodied in one or more physical devices, and/or in a distributed manner.

The network policy enforcement point may use information, if known, regarding authorized services and features of the sender, and/or information, if known, regarding authorized services and features of the intended recipient, to process each call control and signaling message according to a policy or policies prescribed by the core IP network. The filtering of call control and signaling messages constitutes policy enforcement, and for each

message may result in the message being forwarded on with or without alterations, the message being discarded with or without return of an error indication message to the sender, or the message being discarded with return of an option message to the sender, for example.

5 For any given message for which the sender is an authorized subscriber to the core network, the sender's user profile will be known to the network and thus available to the policy enforcement entity. In this case, policy enforcement will be applied according to the sender's authorized services and features, even if the intended recipient is not a subscriber to the core network, or is a trusted endpoint within the core network. For example, the intended recipient could be a service element within the core network, or subscriber in another core network.

10 For any given message for which the intended recipient is an authorized subscriber to the core network, the intended recipient's user profile will be known to the network and thus be available to the policy enforcement entity. In this case, policy enforcement will be applied according to the intended recipient's authorized services and features, even if the sender is not a subscriber to the core network, or is a trusted endpoint within the core network. For example,  
15 the sender could be a service element within the core network, or a subscriber in another core network.

A policy enforcement point(s) is (are) the network entity (or entities) at which policy is set. This could be accomplished at the authentication and authorization server 210, the call control and signaling server (*e.g.*, the SIP proxy server 208), or any other element that can  
20 communicate, directly or indirectly, with a policy enforcement point.

Enforcement of bandwidth and/or other network resource usage according to the authorized services on a given call, session, service, or feature may be accomplished by monitoring the associated media stream(s), and comparing statistics compiled with relevant



parameters established during the call control and signaling phase. The actions taken on calls or sessions found to be in violation of negotiated bandwidth or other resource usage may range from dropping excess media data associated with the call or session, to terminating the call or session. The specific actions may depend upon local policy. If such actions are already  
5 encompassed within the functions of existing network entities, such as border elements (*e.g.*, NAT firewalls 216 and 218), then the system and method of the present invention may assist these entities by supplying relevant information collected during the setup of calls and sessions.

Figure 3 is a flowchart depicting one embodiment of a method 300 of network-based policy enforcement of intelligent client features. Initially, signaling and call control messages  
10 are received or intercepted by the policy enforcement point. The policy enforcement point may be a border element between a local network and a core network, for example, that intercepts all signaling messages sent in between. Each signaling and/or call control message is then associated with a known service or feature, or a call-flow segment of a known service or feature, as shown at block 302. The policy enforcement point then determines whether the sender and/or  
15 intended recipient of the message is authorized to use and/or invoke the identified service or feature, as shown at block 304. The policy enforcement point then filters each signaling and/or call control message according to whether or not the identified service or feature is authorized for the sender and/or intended recipient of the message, as shown at block 306. The policy enforcement point may then communicate with and/or control one or more network entities  
20 responsible for monitoring and regulating media data flow across network boundaries in order to ensure compliance with the authorization of usage of services and negotiated bandwidth, as shown at block 308. Note that the step of communicating with network entities to monitor network resource usage is optional on a call-by-call basis, depending upon whether or not the

call or session is allowed, and whether any associated services or features consume or depend upon media resources of the network. Each step is considered in further detail below with reference to Figures 4-7, which will first be described.

Figure 4 illustrates a network policy enforcement entity 400 that may carry out the method 300 of Figure 3. The entity 400 includes an interface 402, a processor 404, data storage 406, and program logic 408 stored in the data storage 406. The processor 404 may comprise one or more smaller central processing units, including, for example, a programmable digital signal processing engine. The data storage 406 may include any type of storage, such as random access memory (RAM) or secondary long term storage such as read only memory (ROM), optical or magnetic disks, compact-disc read only memory (CD-ROM), or any other volatile or non-volatile storage systems.

The interface 402 receives signaling messages between two network end devices and passes the messages to the processor 404. The processor 404 executes the program logic 408 stored in the data storage 406 to filter the messages based on whether one of the network end devices is authorized to invoke services indicated within the messages.

Figures 5-7 illustrate systems that include an entity (or entities) in a core network that is a policy enforcement point(s), and that may carry out the method 300 of Figure 3. Three exemplary embodiments are illustrated. Figure 5 illustrates a SIP-aware firewall functioning as the network policy enforcement point. Figure 6 illustrates a SIP-aware NAT and a firewall functioning as the network policy enforcement point. Figure 7 illustrates a SIP-aware firewall and a SIP Proxy server functioning as the network policy enforcement point. These configurations for the boundary between local and core networks are intended to be representative, and other combinations are possible.

In the exemplary embodiments, the packet network is an IP network, capable of supporting IP telephony and IP multimedia services and features. In addition, the signaling and call control protocol used in the network is SIP. Further, the end-user clients are SIP phones. It should be understood that these illustrations are not intended to limit the scope of the method and system of the present invention. For example, the signaling and call control protocol could be H.323 instead of, or in addition to, SIP. Also, other SIP end-user devices, in addition to, or instead of, SIP phones, could be used.

The exemplary configurations are described primarily in relation to the filtering of signaling and call control messages, *i.e.*, SIP messages. Each configuration includes a firewall component, which, among other capabilities, is SIP-aware. However, as discussed above, the system and method of the present invention also plays a role in the monitoring and regulation of network media resource usage. In all three exemplary configurations described below, it is assumed that the network performs monitoring and regulation functions of network media usage in the firewall component. That is, on any given call, the determination of the need for network media resources will be made as part of the call control and signaling filtering process, but the monitoring and regulation may be performed by the firewall.

Figure 5 illustrates a system 500 including a SIP-aware firewall 512 functioning as the network policy enforcement point. The system further includes a local IP network 502, which includes a SIP end-user client 504 and a SIP-aware firewall and/or NAT 506. The local IP network 502 may communicate with a core IP network 508 and other local or other carrier IP network 510. The core IP network 508 includes the SIP-aware firewall 512, a SIP proxy server 514, an authentication and authorization server 516. The other network 510 includes another SIP endpoint 518, illustrating that end-to-end communications may terminate on one client within the

local network 502 and another client within the network 510.

The SIP-aware firewall 512 in the core IP network 508 is in the path of all IP communications to and from the local IP network 502, regardless of whether or not the local IP network 502 uses NAT and/or its own firewall 506. No IP packet may pass from the local  
5 network 502 to the core IP network 508, or from the core IP network 508 to the local IP network 502, without crossing the SIP-aware firewall 512. SIP endpoints outside the local IP network 502 may communicate with SIP clients inside the local IP network 502 either directly or indirectly through the SIP Proxy server 514. In either case, however, all outside SIP messages to or from internal clients of network 508 traverse the SIP-aware firewall 512.

10 During the registration process between a SIP phone 504 in the local IP network 502 and the SIP Proxy server 514 in the core IP network 508, user profile information is retrieved by the SIP Proxy server 514 from the authentication and authorization server 516, and can be passed to the SIP-aware firewall 512 for use in the policy enforcement methods. Because the firewall 512 is SIP-aware, the firewall 512 is capable of recognizing SIP messages to and/or from the SIP  
15 phones in the local IP network 502. Therefore, the firewall 512 can be a suitable point for filtering SIP messages according to authorized services of end-users of SIP phones in the local IP network 502.

Figure 6 illustrates a system 600 including a SIP-aware NAT and firewall 612 functioning as the network policy enforcement point. The system 600 includes a local IP  
20 network 602 including a SIP end-user client 604 and a SIP-aware firewall 606. The local IP network 602 communicates with a core IP network 608 and other local or carrier IP network 610. The core IP network 608 includes a SIP-aware firewall and NAT 612, a SIP proxy server 614, and an authentication and authorization server 616. The other network 610 includes another SIP

endpoint 618, illustrating that end-to-end communications may terminate on one client within the local network 602 and another client within the network 610.

The combined SIP-aware NAT and firewall 612 in the core IP network 608 is in the path of all IP communications to and from the local IP network 602, regardless of whether or not the local IP network 602 uses NAT and/or its own firewall 606. SIP endpoints outside the local IP network 602 may communicate with SIP clients inside the local IP network 602 either directly or indirectly through the SIP Proxy server 614. In either case, however, all outside SIP messages to or from internal clients of network 608 traverse the SIP-aware NAT/firewall 612.

Similar to the system 500 illustrated in Figure 5, during the registration process between the SIP end-user client 604 in the local IP network 602 and the SIP Proxy sever 614 in the IP core network 608, user profile information is retrieved by the SIP Proxy server 614 from the authentication and authorization server 616, and can be passed to the combined SIP-aware NAT and firewall 612 for use in the policy enforcement methods.

Figure 7 illustrates a system 700 with a SIP-aware firewall 712 and a SIP Proxy server 714 functioning as the network policy enforcement point, *e.g.*, core IP network border element. The system includes a local IP network 702 including a SIP end-user client 704 and a SIP-aware firewall and/or NAT 706. The local IP network 702 communicates with the core IP network 708 and other local or carrier IP network 710. The core IP network 708 includes the SIP-aware firewall 712, the SIP proxy server 714, and an authentication and authorization server 716. The other network 710 includes another SIP endpoint 718, illustrating that end-to-end communications may terminate on one client within the local network 702 and another client within network 710.

The SIP-aware firewall 712 in the core IP network 708 is in the path of all IP

communications to and from the local IP network 702, regardless of whether or not the local IP network 702 uses NAT and/or its own firewall 706. Because the firewall 712 is SIP-aware, the firewall 712 can ensure that every SIP message outbound from a SIP phone, *e.g.*, SIP end-user client 704, in the local IP network 702 is forwarded through the SIP Proxy server 714. The SIP Proxy server 714 may then apply policy enforcement to these SIP messages as necessary. For SIP messages sent to SIP phones in the local IP network 702, it may not always be possible to ensure traversal of the SIP Proxy server 714. Thus, for SIP messages inbound to SIP phones in the local IP network 702, the firewall 712 may implement the necessary filtering. (Note that inbound messages may traverse the SIP Proxy server 714, but such a path is not always ensured).

The different treatment of inbound and outbound messages is indicated in Figure 7 by the unidirectional arrow from the SIP client 718 to the SIP-aware firewall 712 (*i.e.*, inbound only). As in the systems 500 and 600, the user profile information can be made available to the firewall 712 during the SIP registration process. The SIP Proxy server 714 will have access to this information, as well.

The system 700 illustrates distributed filtering because the implementation of the policy enforcement is distributed between the SIP-aware firewall 712 and the SIP Proxy 714. All outbound SIP messages (*i.e.*, from a subscriber in the local IP network 702 toward the core IP network 708) can be forwarded to the SIP proxy server 714, which then performs the relevant filtering steps. All inbound SIP messages (*i.e.*, from the core IP network 708, or from a client 718 in network 710, to a subscriber in the local IP network 702) can be handled by the SIP-aware firewall 712. This embodiment is advantageous since processing of inbound messages is required and because it may not be possible to guarantee that all inbound messages traverse the SIP Proxy server 714, but it may be possible to guarantee traversal of the SIP-aware firewall 712.

ASSOCIATING A SIGNALING AND/OR CALL  
CONTROL MESSAGE WITH A SERVICE OR FEATURE

5           In the exemplary embodiment, the network policy enforcement point associates each signaling and/or call control message within a specific protocol to be part of the implementation of a known service or feature. For example, the policy enforcement point may recognize a SIP message to be a step in a call flow for implementing call waiting. Thus, each signaling and/or call control message is matched against an inventory or database of implementations of services  
10 and features using the specific signaling and call control protocol.

          The database may be included within an authentication and authorization server. The database may include all known possible ways in which, using the specific signaling and call control protocol, services and features may be implemented. This supports a wide range of intelligent end-user client types and/or models in the local network environment, without  
15 limitation to the implementations that may be employed for known services. That is, not only does the network permit authorized invocation of intelligent-client-based services and features using the specific protocol, but also the network would not restrict the particular implementations with regard to the signaling and call control sequences. Alternatively, the database may include only the ways in which, using the specific signaling and call control protocol, services and  
20 features are implemented within the core IP network. In this regard, for the specific protocol, the database of possible implementations of each service and feature is limited only to those known and used in the network.

          The network policy enforcement point may query the database to recognize that a particular signaling and/or call control message of a specific protocol represents all or part of the  
25 invocation of a known service or feature. Note that multiple elements of a protocol message may

be required to make the determination of the service or feature. For example, a particular message type may indicate different services or features, depending upon other parameters in the message. If the message cannot be identified with a known service or feature, then it could be deemed unauthorized, and discarded according to the filtering rules.

## 5 IDENTIFICATION OF SIP MESSAGES WITH FEATURES AND SERVICES

In the exemplary embodiment, the signaling and call control messages that are received by the network policy enforcement point will be SIP messages. It is assumed that every SIP message may be recognizable within a known SIP-based service transaction model. An unrecognizable SIP message may simply be discarded. The inventory of known SIP-based service transaction models comprises those versions implemented by the carrier or service provider, plus additional versions viewed as common, or accepted, as determined by published best practices, for example. In certain cases, the contents or format of a SIP message may not carry a specific request for a feature or service, but rather indicate one or more features or services that could be supported by the message. One example of this is caller identification (ID). Note that a complete set of transaction models could cover services and features supported and/or available from the carrier or service provider, as well as possibly services and features supported and/or available only from intelligent clients and third-party service entities.

The following list provides some examples of services and/or features, and how SIP messages might be used to identify or interpret them.

- 20 1. *Caller ID*. The ability to deliver caller ID on a given call can be discerned by examining a SIP INVITE message that was used to initiate the call. The contents of Table 1 are reproduced below to illustrate one example. The caller's identity can be included in a number of ways, any of which would allow caller ID do be delivered on the call. For



example, if any of the three fields “from,” “p-asserted,” or “remote party ID” is set with valid parameters, then caller ID is possible. As shown below, the “from” field indicates that this call was initiated by “Sender.”

5 INVITE sip: user@biloxi.com SIP/2.0  
Via: SIP/2.0/UDP pc33.atlanta .com;branch=z9hGbk776asdhd  
Max-Forwards: 70  
To: User <sip:user@Biloxi.com>  
From: Sender <sip:sender@atlanta.com>;tag=1928301774  
10 Call-ID: a84b4c76e66710@pc33.atlanta.com  
Cseq: 314159 INVITE  
Contact: <sip:sender@pc33.atlanta.com>  
Content-Type: application/sdp  
Content-Length: 142

15 2. *Call waiting and n-way calling.* The ability to deliver the call waiting feature is not associated with specific contents of a SIP message, but rather depends upon authorization of the subscriber to receive a new call setup request (*e.g.*, SIP INVITE) while currently in an active call. Note that network-based call waiting can directly include authorization screening, but intelligent client-based call waiting could potentially bypass the network  
20 check. Hence any inbound call while the subscriber is already in an active call is a potential candidate for call waiting. N-way calling is similar to call waiting, except that the new call setups (*e.g.*, SIP INVITEs) are originated by the subscriber who may already be in an active call. Thus, any outbound call made by a subscriber who is already in an active call is potentially part of an n-way call setup. For both call waiting and n-way  
25 calling, the network policy enforcement point, *e.g.*, SIP-aware firewall, should have the ability to recognize that a given subscriber is already in an active call.

3. *Multi-line service.* Multi-line service is similar to call waiting and n-way calling in that it depends upon authorization of the subscriber to have multiple, simultaneous call sessions.

4. *Codec specification.* Codec specification can be determined by examining the SDP associated with the call setup transaction. This may include the initial SIP INVITE, as well as other messages, which facilitate codec negotiation. Note that mid-call signaling can also be examined since the codec can be re-negotiated during the call.

5

## DETERMINING AUTHORIZATION FOR A SERVICE OR FEATURE

Determination of whether or not a particular user is authorized to use or invoke a specific service or feature is based upon information stored by the system and pertaining to the particular user. Such information is typically associated with or maintained in a database of user profiles.

- 10 Each user profile contains information specific to a particular user. Note that the term “user” in the context of a user profile could represent an individual person, a group, or a generic identity (e.g., “cafeteria phone”). The information in the user profile includes a list of authorized services and features, and possibly ancillary information, such as times or days that authorizations apply, or parameters associated with particular services or features, etc. It should  
15 be understood that other types of information, and other storage formats besides lists may be used.

- 20 A user profile is generally associated with a subscriber of a carrier or service provider, and stores user-specific information, including the services and features in the profile. However, a user may also invoke a temporary or one-time service. For example, a caller who is a subscriber to carrier “A” may be able to call a subscriber to carrier “B,” provided the two carriers have a peering agreement in place. In this case, the user profile in “B” for the caller from “A” may be a temporary or default profile with services limited, e.g., to placing basic calls to subscribers of “B.” Thus, a user profile may be a temporary or dynamic data construct applied,

for example, to a one-time or limited-time use. In addition to the example of callers from a foreign carrier network, this could apply to a prepaid calling card, or even a single paid call.

Examples of features or services that may be listed as authorized in a user profile include basic calling, caller ID, call waiting, automatic callback, conference calling, and call forwarding.

5 This list of examples is not intended to limit in any way the types of services that may be made available to users through authorization in a user profile, or other network database.

Before any service or feature can be used or invoked, a user should be authenticated and admitted into the system, and the user's authorized services should be identified from the user's profile. This usually requires some sort of a registration process. For a single paid call, for  
10 instance, this could be a one-time keypad sequence. For a SIP phone user, this would be a SIP registration process. In any case, some network entity, *e.g.*, SIP proxy server, receives input from the user, and then initiates the process of authentication, authorization, and admittance. This process might be carried out by the network entity that communicates with the user, or by passing the user's information to a network server that maintains the user profile data. Assuming  
15 the user is authenticated, the user profile may be retrieved, and the user's authorized services and features identified.

For calls originating in a foreign carrier's network, an explicit registration step might be omitted, and a default profile applied. The profile information would then be passed to the network entity or entities that carry out the actual policy enforcement. In this case, the caller  
20 does not necessarily register with a SIP Proxy server in the home network, but nevertheless is governed by some set of authorized features and services. The exact makeup of the set may be provisioned statically in a firewall, according to a peering or service-level agreement between the

home and foreign carriers. Other methods for feature and service authorization for non-subscribers may be used as well.

As an example, subscriber services in a SIP-based network require registration of a SIP User Agent with the network. The SIP User Agent representing the subscriber initiates a SIP registration process with a SIP Proxy server in the core network. For example, the SIP end-user client 704 registers with the SIP proxy server 714 in the core IP network 708. During this process, the SIP Proxy server 714 will query the authentication and authorization server 716 to verify authenticity of the user, and discover what features and services the user is authorized to invoke. The SIP proxy server 714 may use RADIUS for communications to the authentication and authorization server 716. Note that multiple transactions may be involved, both between the SIP Proxy server 714 and the user 704, and between the SIP Proxy server 714 and the authentication and authorization server 716.

Assuming successful registration, the SIP Proxy server 714 will know what features and services the user may invoke. This information may be in the user's profile and may include a list, as well as parameters relating to service levels (*e.g.*, quality, priorities, bandwidth and other resource allocation levels, etc.), and account balances (*e.g.*, remaining prepaid minutes, etc.). Other feature and service descriptors and/or parameters may also be included.

The user's profile information is then made available to the policy enforcement entity (or entities). One method for transferring this information is to use SIP to communicate policy information from the SIP Proxy server 714 to the SIP-aware firewall 712. In this regard, the SIP-aware firewall 712 may include a SIP User Agent application for terminating SIP-based communications with the SIP Proxy server 714, and extensions and/or enhancements may be added to SIP that support carriage of the requisite information. Examples of extension and/or

enhancements that may be added to SIP to perform this function are described in U.S. Patent Application Serial Number 10/243,642, filed on September 10, 2002 and entitled "Architecture and Method for Controlling Features and Services in Packet-Based Networks."

Note that other protocols could be used to transfer authorization information to the SIP-aware firewall 712. For example, a remote control protocol, such as MGCP or MEGACO protocol, could be used to transfer the information, and even instruct the firewall 712 how to behave. In this case, the SIP Proxy server 714 would function in conjunction with a control element that communicates with the firewall 712. This is only a partial list of possible methods for communication between the SIP Proxy server 714 and the SIP-aware firewall 712.

Once the service or feature associated with a given signaling or call control message is identified (as explained above), the service or feature is checked against the authorized services and features for the sender and/or the intended recipient of the message. The choice of sender or intended recipient is based upon which is a recognized user, in combination with the specific service. That is, whether the specific type of service or feature is designed for delivery to the sender and/or intended recipient of the message, and whether the sender and/or intended recipient is authorized for that service. For example, if the feature or service is to be delivered to the user who sent the message, then this user should be authorized. If the feature or service is to be delivered to the user who is the intended recipient of the message, then this user should be authorized. If the feature or service is to be delivered to both sender and intended recipient of the message, then both should be authorized to invoke the service. Once the party to whom the feature or service is to be delivered is identified, then authorization for the service or feature can be made by checking against the authorizations discovered during authentication and authorization, *e.g.*, SIP Proxy registration. Based on the outcome of this step, the system either

allows or denies the forwarding of the message. As noted, the specific actions that apply to either decision constitute the filtering rules and actions (described more fully below).

Note that some of the implementations for services or features may be hosted in the network. Any such features that are invoked by, or on behalf of, a subscriber using the network implementation can automatically be subject to an authorization check. That is, if the service or feature is being requested from the network itself, then the network has the guaranteed opportunity to check for authorization prior to delivering the service or feature. However, for any service or feature that can be implemented in an intelligent end-user client, the check provided nevertheless allows the network to verify authorization prior to allowing the signaling and call control messages to travel any further.

The determination as to whether the feature or service is to be delivered to the sender, intended recipient, or both, depends upon the specific feature or service. The following list provides some examples.

1. *Caller ID.* Caller ID is a feature that is delivered to the intended recipient of a SIP INVITE. Therefore, if any of the fields in the SIP INVITE indicate that caller ID could be delivered, the authorization check should be made for the intended recipient.
2. *Call waiting and n-way calling.* Call waiting is a feature that is delivered to the intended recipient. Therefore, if an inbound (*e.g.*, from the core network to a subscriber in a local network) SIP INVITE is received while the intended recipient is already in an active call, then the intended recipient should be authorized to receive a second call session initiation to invoke this service. N-way calling is initiated by the sender of the message. Therefore, if an outbound (*e.g.*, toward the core network from a subscriber in a local network) SIP INVITE is received while the sender is already in an active call, then the

sender should be authorized to have multiple (up to n) simultaneous sessions to invoke this service.

3. *Multi-line service.* Multi-line service applies to both inbound and outbound calling of the subscriber. Therefore, if a subscriber sends an outbound SIP INVITE, or is the intended recipient of an inbound SIP INVITE, while already in an active call, then that subscriber should be authorized to have multiple call sessions in order to be allowed to invoke this service.
4. *Codec specification.* Codec specification can be checked against authorizations of the sender and/or intended recipient. If either is a subscriber, then the authorizations will have been discovered during SIP registration. If either is a foreign user, then authorizations may be pre-configured or provisioned.

## FILTERING RULES AND ACTIONS

Once the decision to allow or deny forwarding of the signaling/call control message is made, a filtering action may be performed resulting in one of the following:

1. Forwarding the message on, unaltered, to the next hop in the path to the intended recipient.
2. Forwarding the message on, with alterations, to the next hop in the path to the intended recipient. The alterations will depend upon the message type and the policy in place for the sender and/or intended recipient.
3. Discarding the message and returning an error indication message to the sender.
4. Discarding the message and returning no indication of that action, or any other error indication, to the sender.
5. Discarding or holding the message and returning an option message to the sender.

The first possible action of forwarding the message on, unaltered, applies to the case of a fully allowed message, *i.e.*, one that is unconditionally cleared. For example, if the message is intended for a user that is authorized to invoke the service, then the message may be forwarded to this user.

5           The second possible action of altering the message and then forwarding the message on, applies to the case of a conditionally allowed message. For example, this applies to a message in which removal or alteration of a parameter restrains the scope of a requested service or feature within allowable or authorized limits. Alternatively, the alteration may disable an unauthorized service, while maintaining a required message in an authorized call flow. Other uses of this  
10 action may be possible.

The third possible action of discarding the message and returning an error message applies to the case of an unauthorized service or feature, in which the sender should receive an error notification. For example, this applies if the signaling or call control protocol specifically requires an error message in the case of failure to deliver the message. An error message may  
15 also be returned if the sender is a trusted network element, and the error message aids or improves network performance. Other uses of this action may be possible as well.

The fourth possible action of discarding the message and returning no indication of that action applies to the case of an unauthorized service or feature, in which the sender should not receive an error notification. For example, if the signaling or call control protocol may  
20 specifically forbid an error message in the case of failure to deliver the message. Such an approach may be taken to help ward off denial-of-service attacks, for instance.

The fifth possible action of discarding or holding the message and returning an option message to the sender applies to the case of an unauthorized service or feature, in which the



network may choose to offer to the sender. For example, the sender may be attempting to initiate a 3-way calling feature, but the sender may not be authorized to use this feature. The network, or elements in the network such as SIP-aware firewall 712 or other policy enforcement point, may send an option message to the sender asking the sender if he/she would like to utilize this service  
5 for the present call. The policy enforcement point may then grant the unauthorized sender use of the feature for the present call. Depending on any service agreements between the sender and the network, the sender may be charged an additional fee for this feature, for example.

Other filtering actions may be performed as well depending on the service or feature requested and/or based on a user's authorization privileges. For example, after receiving  
10 notification of a user's authorized services, the network policy enforcement point could query additional databases in the event that a user has multiple user profiles to determine whether to allow or deny usage of a requested service. Other examples are possible as well.

The filtering action performed depends on the application of the filtering rules to the outcome of the authorization check. For example, the actions taken depend upon the specific  
15 feature or service, and whether or not it is allowed. In the case of a denial, the actions performed may also depend upon any protocol requirements imposed by SIP as to how to handle discarded messages. Specifically, whether the error response to the particular SIP method calls for silent discarding, discarding with an error indication back to the sender, or possibly offering the feature for use by the sender for the present call. The sample features and services listed above serve as  
20 examples below.

1. *Caller ID*. If a SIP INVITE is identified as capable of delivering caller identity information, and the intended recipient is authorized for caller ID, then the SIP INVITE is forwarded unaltered to the intended recipient. This is the first of the possible filtering

actions. If a SIP INVITE is identified as capable of delivering caller identity information, and the intended recipient is not authorized for caller ID, then the caller identity information is removed from the SIP INVITE before it is forwarded to the intended recipient. This is the second of the possible filtering actions, and it effectively disables caller ID while permitting the call setup to proceed.

5  
2. *Call waiting and n-way calling.* If a SIP INVITE is identified as destined to a subscriber who is already in a call, and the subscriber is authorized to receive a second call setup initiation, then the SIP INVITE is forwarded unaltered to the intended recipient (the subscriber). This is the first of the possible filtering actions. If a SIP INVITE is identified as destined to a subscriber who is already in a call, and the subscriber is not authorized to receive a second call setup initiation, then the SIP INVITE is not forwarded to the intended recipient (the subscriber), and a busy indication is returned to the sender. This is the third of the possible filtering actions.

10  
For n-way calling, if a SIP INVITE is identified as sent from a subscriber who is already in a call, and the subscriber is authorized to have multiple sessions, then the SIP INVITE is forwarded unaltered. This is the first of the possible filtering actions. If a SIP INVITE is identified as sent from a subscriber who is already in a call, and the subscriber is not authorized to have multiple call sessions, then the SIP INVITE is not forwarded, and an error indication is returned to the sender. This is the third of the possible filtering actions. Alternatively, according to the fifth possible filtering action, a SIP INVITE message may be sent back to the unauthorized subscriber asking the subscriber whether he/she would like to utilize n-way calling for the present call. If so, the unauthorized

subscriber may return the SIP INVITE message and the SIP INVITE message may then be forwarded unaltered.

3. *Multi-line service.* If a SIP INVITE is identified as destined to a subscriber who is already in a call, or if a SIP INVITE is identified as sent from a subscriber who is already  
5 in a call, and the subscriber is authorized to have multiple, simultaneous call sessions, then the SIP INVITE is forwarded unaltered. If either of these feature/service identifications is made, and the subscriber is not authorized to have multiple, simultaneous call sessions, then the SIP INVITE is not forwarded, and an error notification is returned to the sender. In the case of an inbound call, the notification may  
10 be a busy indication, for example.

4. *Codec specification.* If a subscriber attempts to negotiate a codec for which the subscriber is not authorized, then the SIP message or messages that facilitate the negotiation may be altered to specify a codec that is authorized. Alternatively, the SIP transaction(s) that attempts the unauthorized codec negotiation may be disabled by the  
15 filtering actions. In this case, presence or absence of error notification may be determined on the basis of local policy.

Once a successful negotiation is complete, the media monitoring and regulation component(s) of the SIP-aware firewall are notified as to the selected codec. This information may be used, *e.g.*, to set a bandwidth allocation for the call to prevent the  
20 unauthorized substitution of a different codec that might consume more bandwidth.

## MEDIA RESOURCE MONITORING AND REGULATION

If a given service or feature consumes or uses any network media resources, then the size or amount may be subject to negotiation or network assignment during call control and/or signaling of the service or feature. For example, a basic call consumes network media bandwidth. The amount allocated by the network may be assigned based upon preset values in a user profile, or dynamically negotiated in a real-time network-user interaction. In such cases, there may be network entities that actively monitor and/or regulate resource usage to ensure compliance with the negotiated or assigned level.

While policing resource usage may already be carried out as part of the function of a network entity, such as a border element, the system and method of the present invention still assists in the process by providing information required to carry out the monitoring and/or regulation. For instance, by observing the codec negotiated between endpoints for a given call, the requisite bandwidth can be determined. This value, in turn, can be supplied to the appropriate border element in the call's path, and used to ensure that the media traffic of the call remains within the negotiated limits.

In one embodiment, a firewall in an IP network may already provide bandwidth-limiting functions based upon RTP streams, and require as input only information regarding a bandwidth value and an RTP stream identity. Alternatively, a network border element might implement a control protocol that allows remote instructions to be received.

In one example, during the call control and signaling phase, the network policy enforcement entity can determine: (i) which call, session, service, or feature will utilize network media resources; and (ii) the expected level, size, or amount of network media resources required. As another example, during network support of the call or session, or delivery of the

feature or service, the network policy enforcement entity can ensure that the actual consumption or usage of network media resources remains within the expected limits.

As noted, the need for the network policy enforcement entity to perform the actions and tasks associated with monitoring and regulation is determined on a call-by-call basis (where “call” refers to any of: call, session, feature, or service). The actions and tasks apply to those calls, sessions, features, or services which consume network media resources.

One example of monitoring and regulation of media is based on methods of handling RTP traffic. The network policy enforcement entity, e.g., firewall, may include such capabilities as collecting RTP statistics, opening and closing RTP pinholes, and imposing control over RTP streams based upon a combination of external commands and internal logic that compares actual and expected usage.

The sample features and services listed above serve as additional examples explained below.

1. *Caller ID*. Caller ID does not utilize any network media resources, so there are no associated resource monitoring or regulation tasks.
2. *Call waiting and n-way calling*. Call waiting and n-way calling can be subject to policy enforcement without involving network resource monitoring and regulation. This can be done by maintaining sufficient call state information to determine if a particular subscriber is in an active call when a new SIP INVITE is issued or received, then allowing or denying any relevant call signaling based upon the call state. Alternatively, discovery of whether or not a particular subscriber is in an active call could be determined by querying the media elements, e.g., to determine if there are active RTP ports associated with a particular subscriber. Similarly, the policy enforcement could be

realized by informing and/or instructing the media regulation components as to the permissibility of opening multiple RTP sessions for a particular subscriber.

3. *Multi-line service.* The comments for call waiting and n-way calling apply for multi-line service, as well.

5 4. *Codec specification.* Policy enforcement in the context of codec specification amounts to ensuring that the actual bandwidth consumed by a session does not exceed that expected on the basis of the codec selected during codec negotiation. This can be achieved by informing the network resource monitoring and regulation entity (*e.g.*, the SIP-aware firewall) of the codec selection and/or the associated bandwidth consumption expected.

10 Unauthorized substitution of a higher bandwidth codec can then be prevented by regulating the bandwidth usage on the call session. The corresponding information determined is then passed to the network policy enforcement entity, *e.g.*, SIP-aware firewall, so that the entity may ensure that the agreed-to usage levels are not exceeded.

15 While exemplary embodiments have been described, persons of skill in the art will appreciate that variations may be made without departure from the scope and spirit of the invention. The true scope and spirit of the invention is defined by the appended claims, which may be interpreted in light of the foregoing.

## CLAIMS

What is claimed is:

1. A method for controlling services in packet-based networks, the method  
5 comprising:
  - receiving signaling messages within a communication path between a sender device and  
an intended recipient device, wherein the signaling messages include an indication of a type of  
service which the messages are intended to invoke;
  - making a determination of whether the sender or the intended recipient device of the  
10 messages is authorized to invoke the type of service; and
  - filtering the signaling messages based on the determination so as to pass to the intended  
recipient device signaling messages having an indication of services that are authorized.
2. The method of claim 1, wherein filtering the signaling messages comprises  
15 altering the signaling messages based on the authorized services of the sender or the intended  
recipient device.
3. The method of claim 2, wherein altering the signaling messages comprises  
modifying the signaling messages so that the indication of the type of service is within  
20 authorized limits.
4. The method of claim 1, wherein filtering the messages comprises discarding the  
signaling messages having an indication of services which the sender or the intended recipient  
devices are unauthorized to use.

5. The method of claim 1, further comprising communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services.

5

6. A method for controlling services in packet-based networks, the method comprising:

receiving a message;

recognizing that the message includes at least part of an indication of a service;

10 determining whether a beneficiary of the service is authorized to invoke or receive the service; and

processing the message based on whether the beneficiary of the service is authorized to invoke or receive the service.

15 7. The method of claim 6, wherein recognizing that the message includes at least part of the indication of the service comprises:

accessing a database including information indicating implementations of services; and

comparing the indication of the service to the information in the database.

20 8. The method of claim 6, wherein the beneficiary is a sender of the message.

9. The method of claim 6, wherein the beneficiary is an intended recipient of the message.



10. The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the service comprises:

receiving from an authentication server a user profile of the beneficiary that specifies

5 which services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the service indicated in the message.

11. The method of claim 6, wherein the message is a session initiation protocol (SIP)

10 message.

12. The method of claim 6, wherein the service is selected from the group consisting of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.

15 13. The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service.

14. The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to an intended recipient.

20

15. The method of claim 14, wherein altering the message comprises altering the message so as to disable the service.

16. The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service.

17. The method of claim 16, further comprising returning an error indication message  
5 to a sender of the message.

18. The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the service, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke  
10 or receive the service.

19. A method for controlling services in packet-based networks, the method comprising:

receiving a message, the message configured according to a protocol;  
15 associating the message with a known service that is defined within the protocol;  
requesting a user profile of a user associated with the message, wherein the user profile specifies which services the user is authorized to use;

determining from the user profile whether the user is authorized to invoke or receive the known service; and

20 filtering the message based on whether the user is authorized to invoke or receive the known service.

20. The method of claim 19, wherein the user is a sender of the message.

21. The method of claim 19, wherein the user is an intended recipient of the message.

22. The method of claim 19, wherein the message is a session initiation protocol (SIP)  
5 message.

23. The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use.

10 24. A system for controlling services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;

a processor;

15 data storage; and

program logic stored in the data storage and executable by the processor to associate the messages with known services that are defined within the protocol, to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the services, and to filter the messages based on whether the at least one of the first end device and  
20 the second end device is authorized to invoke or receive the services.

25. A system comprising:

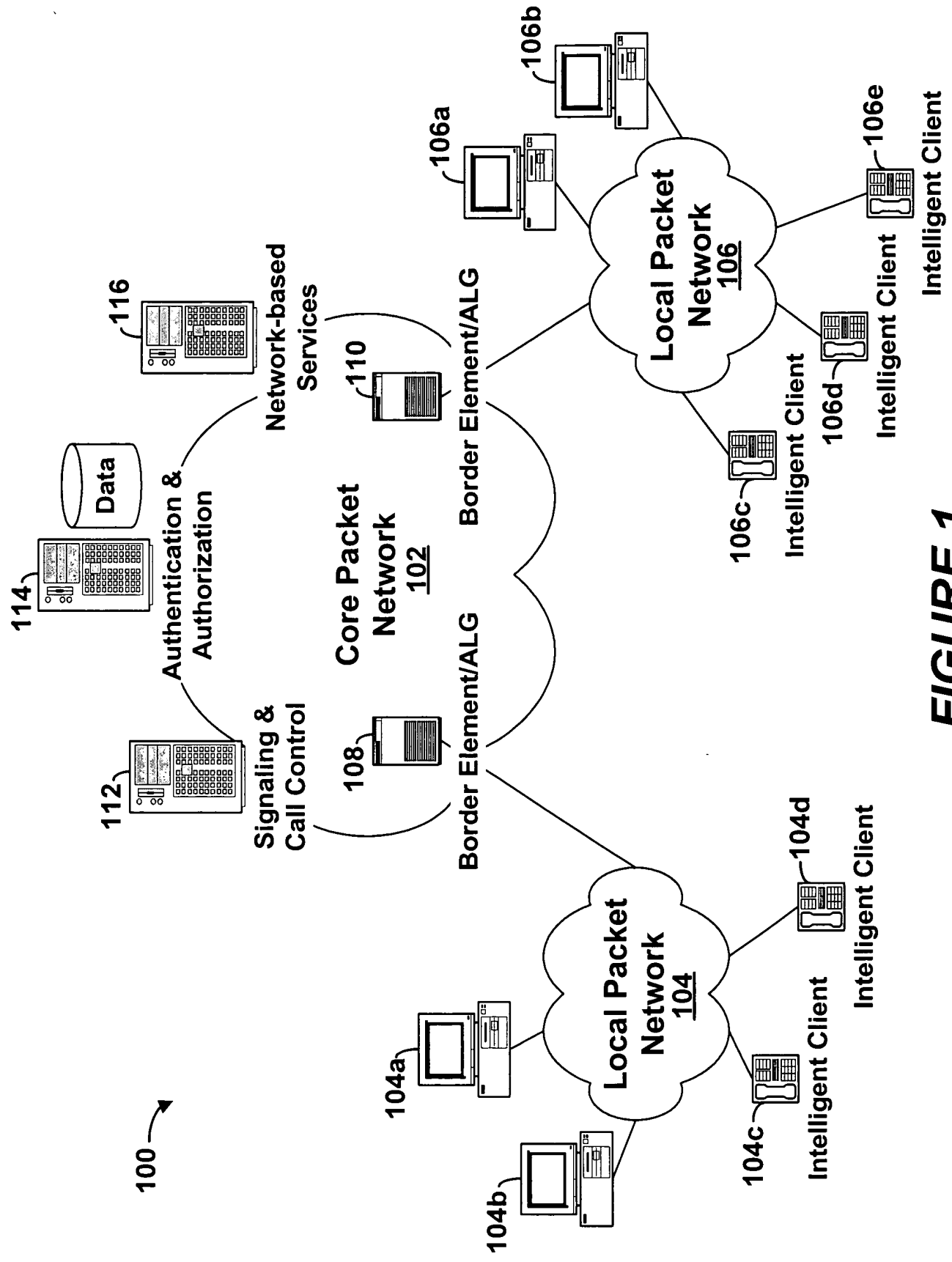
a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices, and in response, for sending the user profile to the border element, wherein the user profile specifies which services the at least one end device is authorized to use.

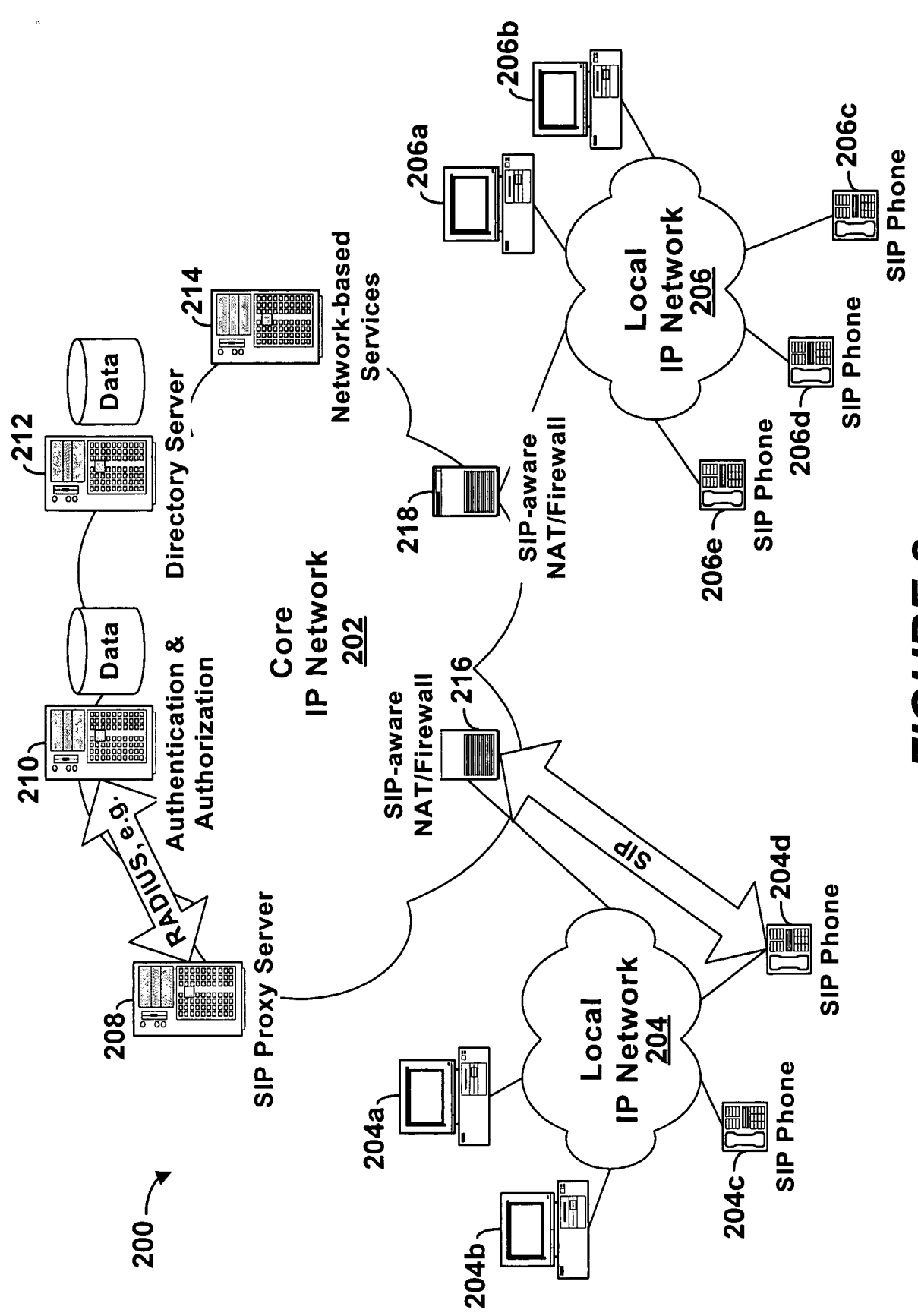
26. The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

## ABSTRACT OF THE DISCLOSURE

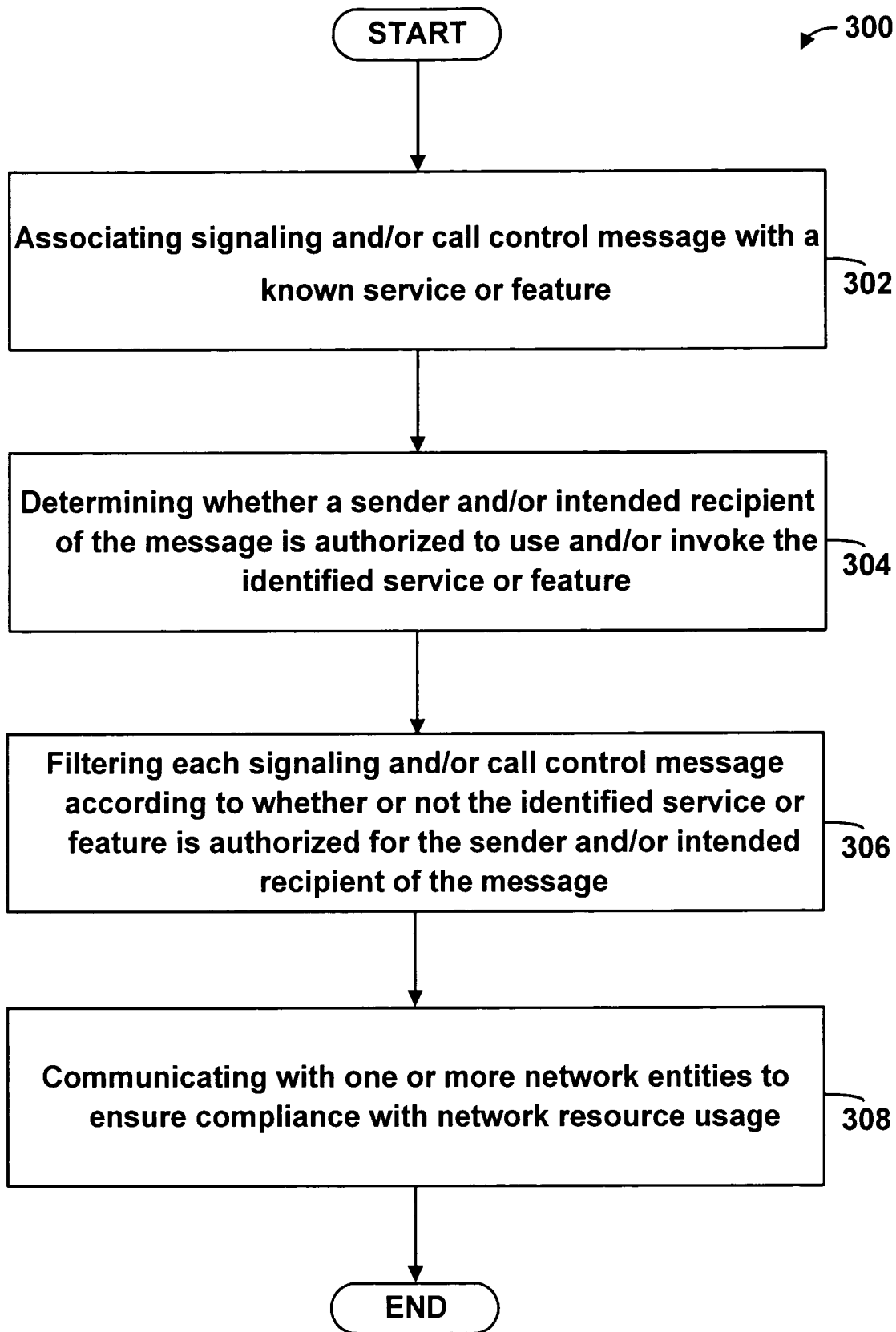
A system and method for network based policy enforcement of intelligent-client features is provided. An operator of an IP telephony and/or IP multimedia network may enforce authorization or privileges of intelligent end-user clients to utilize or invoke services in the  
5 network. A network policy enforcement point is maintained in the network by elements that are under control of the network operator. The network policy enforcement point controls access to, and invocation of, features and services that may otherwise be delivered to subscribers without the knowledge or authorization of the network. The network policy enforcement point receives  
10 messages, associates the message with a known service, makes a determination as to whether a beneficiary of the service is authorized to invoke the service, and then filters the messages based on the determination.



**FIGURE 1**

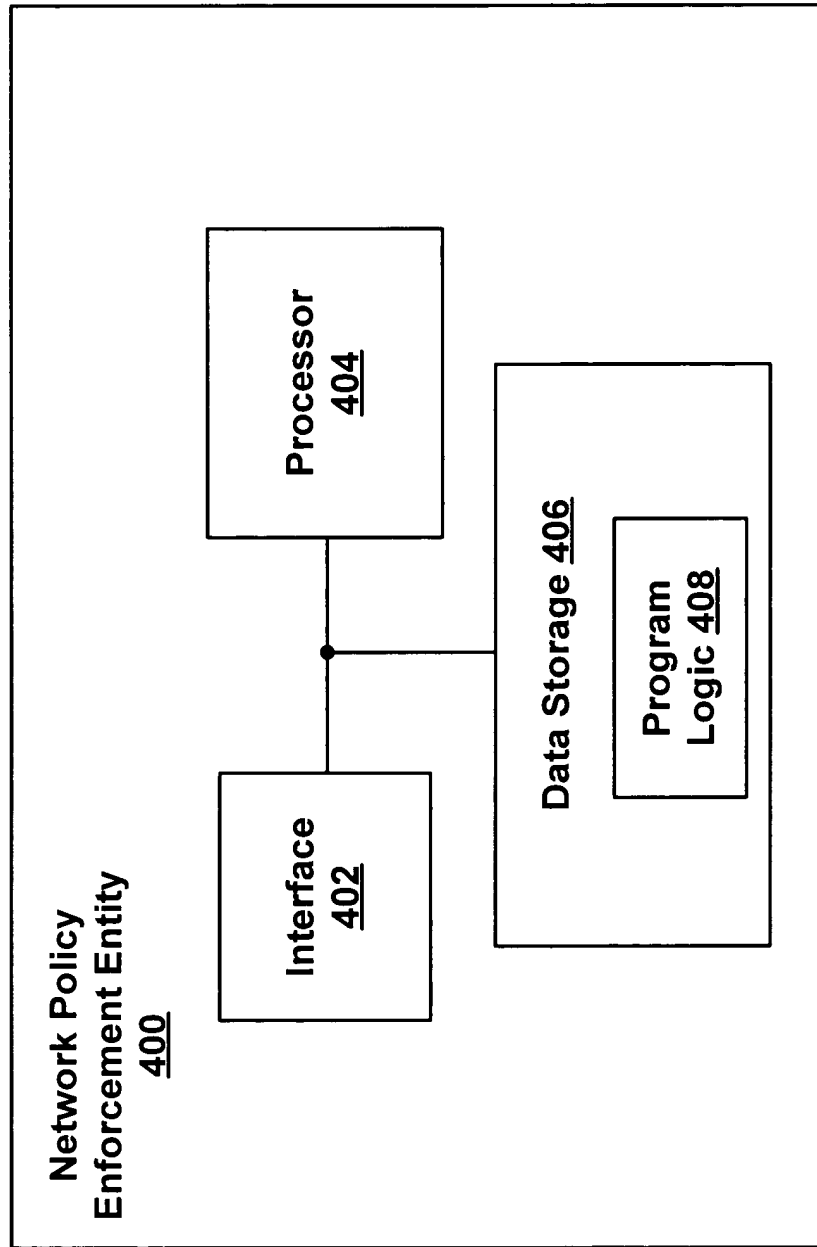


**FIGURE 2**

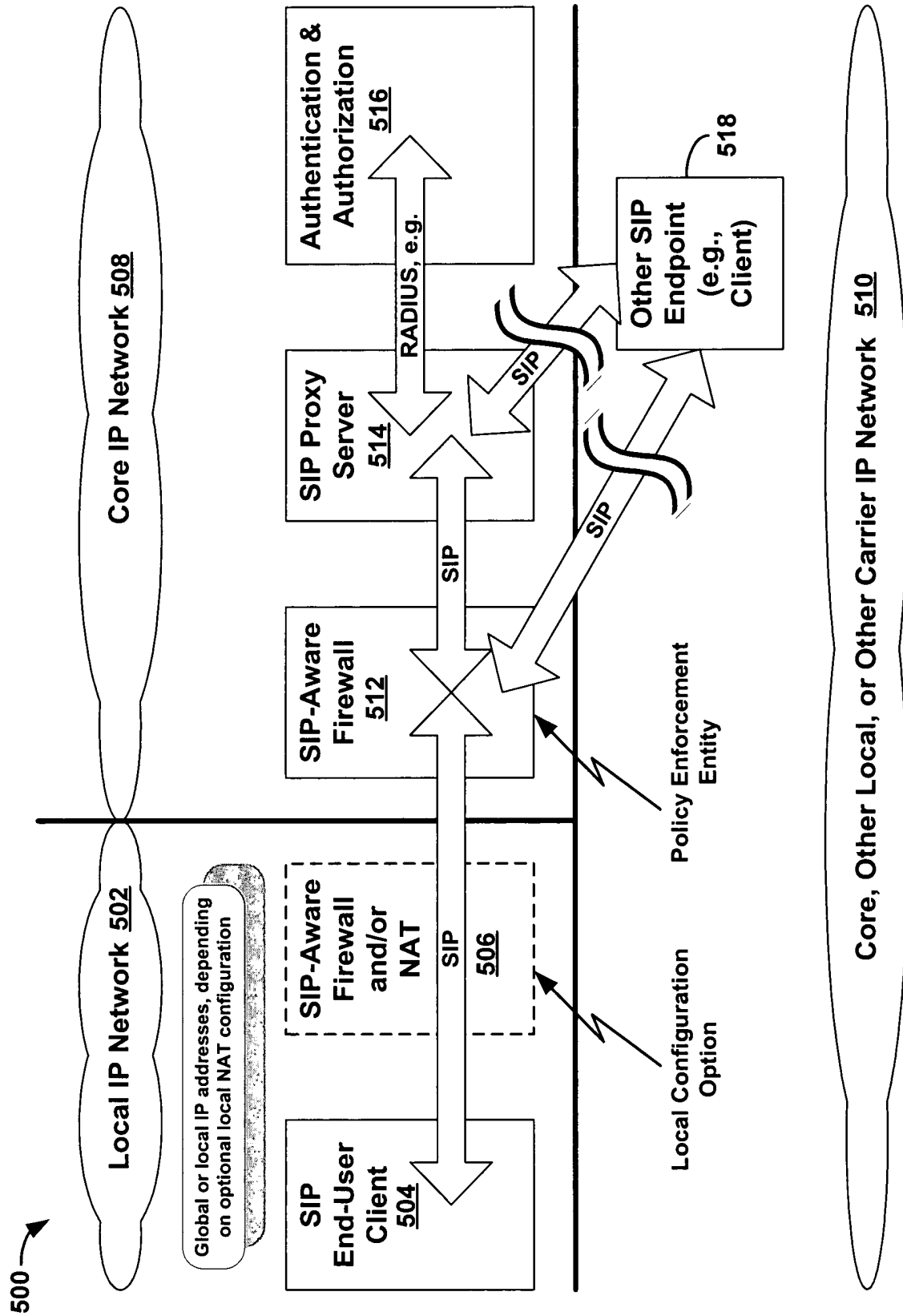


**FIGURE 3**

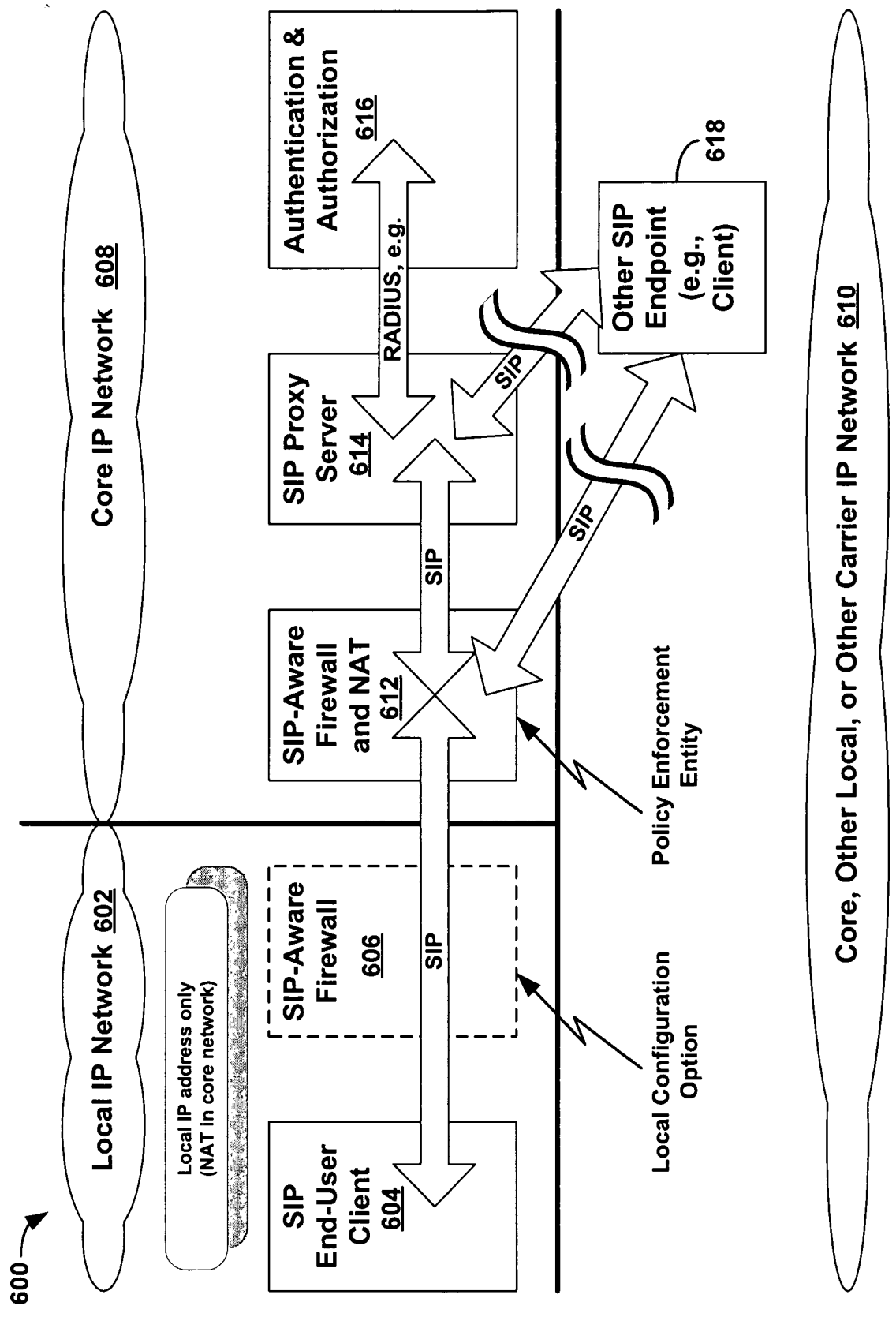




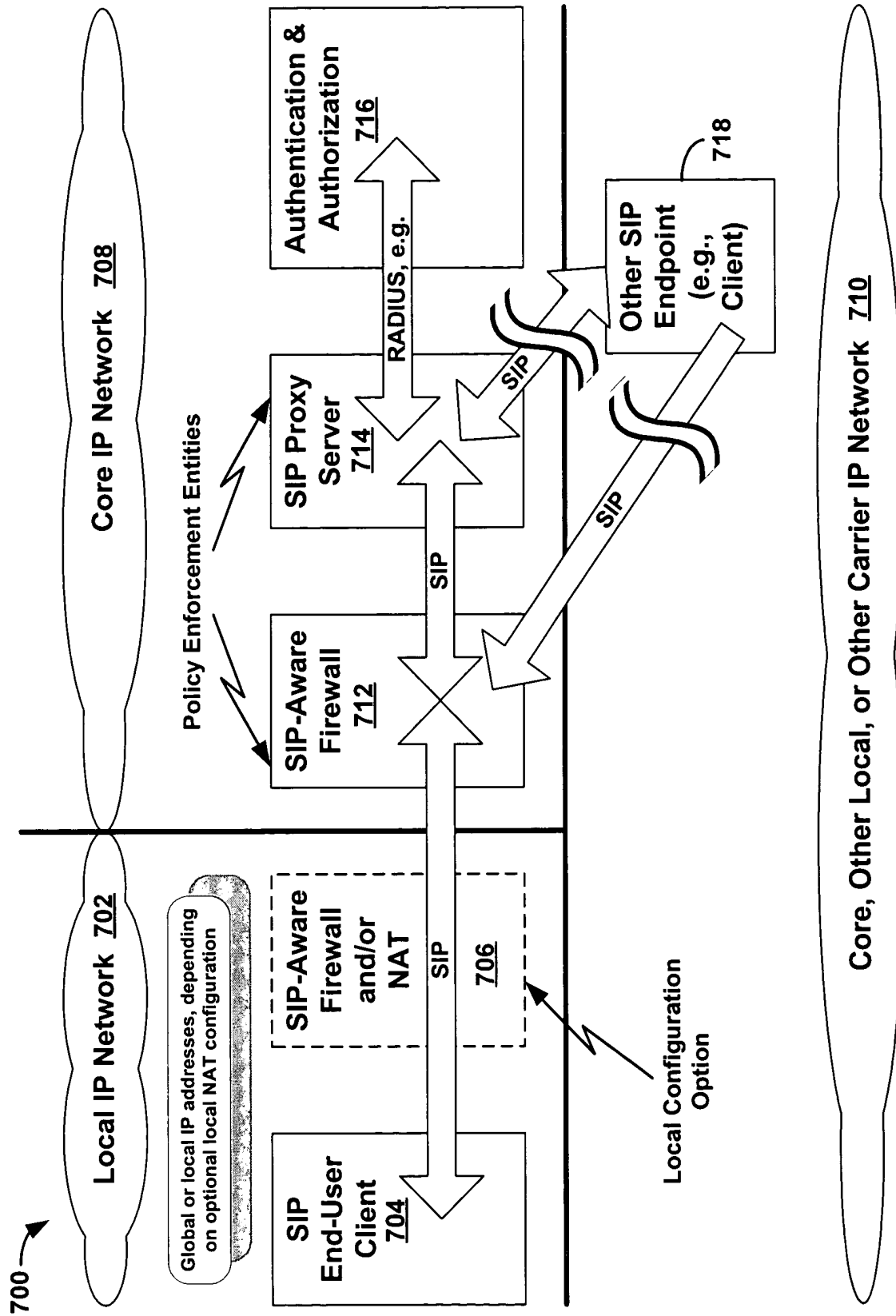
**FIGURE 4**



**FIGURE 5**



**FIGURE 6**



**FIGURE 7**

**DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SYSTEM AND METHOD FOR NETWORK BASED POLICY  
ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES**

the specification of which is attached hereto.

I believe the following persons to be inventors of the above-referenced application: (1) David Grabelsky, of Skokie, Illinois; (2) Anoop Tripathi, of Lake Zurich, Illinois; (3) Michael Homeier, of Lake Forest, Illinois; and (4) Guanglu Wang, of Buffalo Grove, Illinois.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s):

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>
1.		

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

<u>Application Number</u>	<u>Filing Date</u>
1.	

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>Application Number</u>	<u>Filing Date</u>	<u>Status: patented, pending, abandoned</u>
1.		

I hereby appoint the practitioners associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and I direct that all correspondence be addressed to that Customer Number.

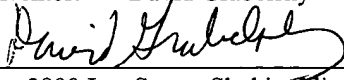
Customer Number: **020306**

Principal attorney or agent: Joseph A. Herndon

Telephone number: 312-913-0001

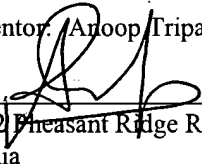
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, 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.

Full name of first joint inventor: David Grabelsky

Inventor's signature:   
Residence: 3800 Lee Street, Skokie, Illinois 60076  
Citizenship: United States of America  
Post Office Address: 3800 Lee Street, Skokie, Illinois 60076

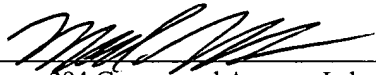
Date: 5 Sept. 2003

Full name of second joint inventor: Anoop Tripathi

Inventor's signature:   
Residence: 462 Pheasant Ridge Road, Lake Zurich, Illinois 60047  
Citizenship: India  
Post Office Address: 462 Pheasant Ridge Road, Lake Zurich, Illinois 60047

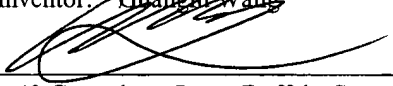
Date: 05 Sept 2003

Full name of third joint inventor: Michael Homeier

Inventor's signature:   
Residence: 284 Greenwood Avenue, Lake Forest, Illinois 60045  
Citizenship: United States of America  
Post Office Address: 284 Greenwood Avenue, Lake Forest, Illinois 60045

Date: 05 Sep 03

Full name of fourth joint inventor: Guangli Wang

Inventor's signature:   
Residence: 43 Canterbury Lane, Buffalo Grove, Illinois 60089  
Citizenship: China  
Post Office Address: 43 Canterbury Lane, Buffalo Grove, Illinois 60089

Date: 9/5/2003

## **Application Data Sheet**

### **Application Information**

Application Type:: Utility

Subject Matter::

Suggested Classification::

Suggested Group Art Unit::

CD-Rom or CD-R?

Title:: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

Attorney Docket Number:: 03,395

Request for Early Publication?::

Request for Non-Publication?:: Yes

Suggested Drawing Figure::

Total Drawing Sheets:: 7

Small Entity:: No

Petition Included?::

Secrecy Order in Parent Appl.?::

### **Applicant Information**

Applicant Authority type::

Primary Citizenship Country:: U.S.A.

Status::

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Country of Residence:: U.S.A.

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Primary Citizenship Country:: India

Status::

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State or Providence of mailing address:: Illinois

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Applicant Authority type::

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Status::

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Family Name:: Homeier

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State or Providence of mailing address:: Illinois

Postal or Zip Code of mailing address:: 60045



Applicant Authority type::

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Status::

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Family Name:: Wang

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State of Residence:: Illinois

Country of Residence:: U.S.A.

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State or Providence of mailing address:: Illinois

Postal or Zip Code of mailing address:: 60089

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Street of Mailing Address:: 300 S. Wacker Drive

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State or Providence of Mailing Address:: IL

Country of Mailing Address:: USA

Postal or Zip Code of Mailing Address:: 60606

Phone Number:: (312) 913-0001

Fax Number:: (312) 913-0002

E-Mail Address:: docketing@mbhb.com

**Representative Information**

Representative Customer Number::	020306
----------------------------------	--------

**Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::

**Foreign Priority Information**

Country::	Application Number::	Filing Date::	Priority Claimed::

**Assignee Information**

Assignee Name:: 3Com Corporation

**PATENT APPLICATION FEE DETERMINATION RECORD**

Effective January 1, 2003

Application or Docket Number

03, 395

**CLAIMS AS FILED - PART I**

SMALL ENTITY TYPE  OR OTHER THAN SMALL ENTITY

RATE	FEE	RATE	FEE
BASIC FEE	375.00	BASIC FEE	750.00
X\$ 9=		X\$18=	108
X42=		X84=	168
+140=		+280=	
TOTAL		TOTAL	1026

	(Column 1)	(Column 2)
TOTAL CLAIMS	26	
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	26 minus 20=	* 6
INDEPENDENT CLAIMS	5 minus 3 =	* 2
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**

SMALL ENTITY OR OTHER THAN SMALL ENTITY

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

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

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

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

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

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



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In re Application of:	)	
	)	Group Art Unit: TBA
David Grabelsky, et al.	)	
	)	Examiner: TBA
Serial No.:    10/671,375	)	
	)	Confirmation No.: 1853
Filed:          September 25, 2003	)	
	)	
For:    System and Method for Network Based	)	
Policy Enforcement of Intelligent-Client	)	
Features	)	

**INFORMATION DISCLOSURE STATEMENT**

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

Dear Sir:

Pursuant to the duty of disclosure provided by 35 C.F.R. § 1.56 and §§ 1.97-98, the applicants wish to make the following references of record in the above-identified application. Copies of the references are enclosed. Copies of the references are also listed in the PTO-1449 form enclosed herewith. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of

McDonnell Boehnen Hulbert & Berghoff  
300 South Wacker Drive, Suite 3200  
Chicago, IL 60606  
Telephone: 312-913-0001  
Fax: 312-913-0002

the references. This Statement is not a representation that the cited references have effective dates early enough to be "prior art" within the meaning of 35 U.S.C. sections 102 or 103.

### CITED REFERENCES

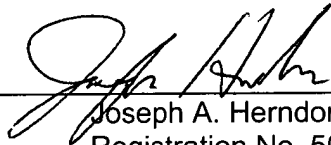
#### Other Documents

1. Request for Comments: 3303, "Middlebox communication architecture and framework," *MIDCOM Architecture and Framework*, p. 1-34 August 2002.
2. U.S. Patent Application 10/243,642, "Architecture and Method for Controlling Features and Services in Packet-Based Networks, p. 1-48, Sept. 2002.

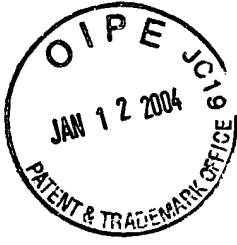
Respectfully submitted,

Date: January 8, 2004

By: \_\_\_\_\_



Joseph A. Herndon  
Registration No. 50,469

<p><b>FORM PTO-1449</b> (Rev. 2-32)</p>  <p style="text-align: center;"><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)</p>	<p><b>U.S. Department of Commerce Patent and Trademark Office</b></p>	<p><b>Atty. Dock t No.</b> 03-395</p>	<p><b>S rial No.</b> 10/671,375</p>
		<p><b>Applicants:</b> David Grabelsky, et al.</p>	
		<p><b>Filing Date:</b> Sep-25-2003</p>	<p><b>Group:</b> TBA</p>

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Dat if Appropria

**FOREIGN PATENT DOCUMENTS**

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No

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

	1.	Request for Comments: 3303, "Middlebox communication architecture and framework," <i>MIDCOM Architecture and Framework</i> , p. 1-34 August 2002.
	2.	U.S. Patent Application 10/243,642, "Architecture and Method for Controlling Features and Services in Packet-Based Networks, p. 1-48, Sept. 2002.

EXAMINER	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.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In re Application of: )  
David Grabelsky, et al. )  
Serial No.: 10/671,375 )  
Filed: September 25, 2003 )  
For: System and Method for Network Based )  
Policy Enforcement of Intelligent-Client )  
Features )

Group Art Unit: TBA  
Examiner: TBA  
Confirmation No.: 1853

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

Sir:

**TRANSMITTAL LETTER**

In regard to the above identified application:

1. We are transmitting herewith the attached:

- a. Information Disclosure Statement;
- b. PTO Form 1449; and two cited references;
- c. Post card.

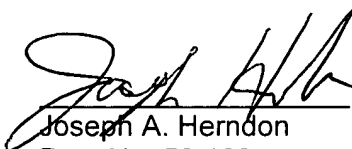
2. With respect to additional fees:

- A. No additional fee is required.
- B. Attached is a check in the amount of \$\_\_\_\_\_.

3. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2490. A duplicate copy of this sheet is enclosed.

4. CERTIFICATE OF MAILING UNDER 37 CFR § 1.8: The undersigned hereby certifies that this Transmittal Letter and the paper, as described in paragraph 1 hereinabove, are 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, Alexandria, Virginia 22313-1450 on this 8th day of January, 2004.

Date: January 8, 2004

By:   
Joseph A. Herndon  
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## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	4380310	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2007/03/04 10:09
S2	49	S1 and (message near3 service near3 filter\$3)	US-PGPUB; USPAT	OR	OFF	2007/03/04 10:13
S3	131	S1 and ((service near3 authoriz\$5) with messages)	US-PGPUB; USPAT	OR	OFF	2007/03/04 10:14
S4	5	S3 and (SIP (session adj initiation adj protocol))	US-PGPUB; USPAT	OR	OFF	2007/03/04 12:09
S5	13	S1 and (service near4 authorized near4 limits)	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:10
S6	0	S1 and (messages near4 (authorized adj services))	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:10
S7	1	S1 and (messages with (authorized adj services))	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:29
S8	86	S1 and (authorizing near3 messages)	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:34
S9	1	S8 and (SIP (session adj initiation adj protocol))	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:32
S10	2	S1 and ((alter\$3 near3 messages) with authoriz\$5)	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:43
S11	481	S1 and (network adj policy)	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:43
S12	201	S11 and (access near3 control)	US-PGPUB; USPAT	OR	OFF	2007/03/04 12:07
S13	0	S12 and (filter near3 messages)	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:59
S14	0	S12 and (filter\$3 near3 messages)	US-PGPUB; USPAT	OR	OFF	2007/03/04 11:59
S15	0	S12 and (alter\$4 near4 messages)	US-PGPUB; USPAT	OR	OFF	2007/03/04 12:07
S16	15	S12 and (SIP (session adj initiation adj protocol))	US-PGPUB; USPAT	OR	OFF	2007/03/04 12:50
S17	2	S11 and (filter near4 unauthorized)	US-PGPUB; USPAT	OR	OFF	2007/03/04 12:57
S18	102	S1 and (filter near4 unauthorized)	US-PGPUB; USPAT	OR	OFF	2007/03/04 12:57
S19	5	S1 and ((filter near4 unauthorized) with service)	US-PGPUB; USPAT	OR	OFF	2007/03/04 13:01
S20	8	S11 and (authorized near2 services)	US-PGPUB; USPAT	OR	OFF	2007/03/04 13:23
S21	0	S1 and (((alter\$3 modify) near4 meessages) with author\$4)	US-PGPUB; USPAT	OR	OFF	2007/03/04 13:29



## EAST Search History

S22	0	S1 and (((alter\$3 modify) near4 meassages))	US-PGPUB; USPAT	OR	OFF	2007/03/04 13:29
S23	16	S1 and (((alter\$3 modify) near4 messages) with author\$4)	US-PGPUB; USPAT	OR	OFF	2007/03/04 14:14
S24	10	S1 and ((authoriza\$5 adj server) near6 (approve approval))	US-PGPUB; USPAT	OR	OFF	2007/03/04 14:11
S25	3	S1 and (((alter\$3 modify) near4 messages) with forward)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:25
S26	42	S1 and (message near4 forwarding near4 SIP)	US-PGPUB; USPAT	OR	OFF	2007/03/04 14:19
S27	4385288	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2007/03/28 15:47
S28	302	S27 and ((user client) with (authorized near4 services))	USPAT	OR	OFF	2007/03/28 15:47
S29	119	S27 and ((user client) with (authorized near4 services) same network)	USPAT	OR	OFF	2007/03/28 15:48
S30	15	S27 and ((user client) with (authorized near4 services) same network same packet)	USPAT	OR	OFF	2007/03/28 15:48
S31	18	S27 and ((user client) with (authorized near4 services) same network same packet)	US-PGPUB; USPAT	OR	OFF	2007/03/28 15:48
S32	4385288	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:25
S33	1	S32 and (((alter\$3 modify) near4 messages) with (disable deny))	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:35
S34	8	S32 and ((alter\$3 modify) near4 (disable deny) near4 services)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:28
S35	0	S32 and (unauthorized near4 request near4 error near4 message)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:28
S36	2	S32 and (unauthorized near4 request near4 error near4 message)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:30
S37	199	S32 and (message near4 (invoke run) near4 service)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:31
S38	0	S32 and (message near4 (invoke run) near4 receive near4 service)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:32
S39	195	S32 and (message near4 (invoke run) near4 application)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:32
S40	0	S32 and (message near4 (invoke run) near4 application near4 asking)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:32
S41	12	S32 and (message near4 (invoke run) near4 application near4 request\$3)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:34
S42	10	S32 and ((alter\$3 modify) near4 service near4 (disable deny))	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:36

## EAST Search History

S43	1	S32 and ((callerid caller-id (Caller adj id)) with (call adj waiting) with codec)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:39
S44	4	S32 and (SIP with firewall with ALG)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:39
S45	3	S32 and (SIP Near4 firewall near4 ALG)	US-PGPUB; USPAT	OR	OFF	2007/03/28 18:39



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YB

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853

20306 7590 04/03/2007  
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EXAMINER
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TOLENTINO, RODERICK

ART UNIT	PAPER NUMBER
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2134

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	04/03/2007	PAPER

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

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> Roderick Tolentino	<b>Art Unit</b> 2134	

-- 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 25 September 2003.
- 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) 1-26 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) 1-26 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 25 September 2003 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) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>01/12/2004</u> . | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. Claims 1 – 26 are pending.

#### ***Claim Rejections - 35 USC § 102***

2. 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 –

(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.

3. Claims 1, 4 – 10, 13, 16, 20, 21, 23 and 24 are rejected under 35 U.S.C. 102(e) as being anticipated by Dar et al. U.S. PG-Publication No. (2004/0193906).
4. As per claims 1, 6, 19 and 24, Dar discloses receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke (Dar, Paragraph 0011 and 0027, client requested services in the header) making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service (Dar, Paragraph 0011, system determines if client is authorized to use requested services) and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are

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authorized (Dar, Paragraph 0011, Inhibits the communication if client requests unauthorized access).

5. As per claim 4, Dar discloses filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use. (Dar, Paragraph 0033, discards the communication if client requests unauthorized access).

6. As per claim 5, Dar discloses communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Dar, Paragraph 0005, plurality of servers).

7. As per claim 7, Dar discloses accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Dar, Paragraph 0012, database of authorized services).

8. As per claims 8 and 20, Dar discloses the beneficiary is a sender of the message (Dar, Paragraph 0011).

9. As per claims 9 and 21, Dar discloses the beneficiary is the recipient of the message (Dar, Paragraph 0011).

10. As per claim 10, Dar discloses receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Dar, Paragraph 0022) and comparing the authorized services for the beneficiary to the service indicated in the message (Dar, Paragraph 0012, database of authorized services).

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11. As per claim 13, Dar discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Dar, Paragraph 0011, authorized client).

12. As per claim 16, Dar discloses processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Dar, Paragraph 0033, discards the communication if client requests unauthorized access).

13. As per claim 23, Dar discloses monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Dar, Paragraph 0011, checks for authorized services a client is allowed to use).

***Claim Rejections - 35 USC § 103***

14. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

15. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Tso U.S. PG-Publication No. (2002/0124112).

16. As per claim 2, Dar fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the

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signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Dar's network security service security because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011).

17. As per claim 3, Dar as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

18. As per claim 14, Dar fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011).

19. As per claim 3, Dar as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

20. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Barraclough et al. U.S. PG-Publication No. (2001/0024436).

21. As per claim 12, Dar fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec



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specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Dar's network security service security because it offers the advantage of using a cost-effective way to communicate of channels (Barraclough, Paragraph 0004).

22. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Orton et al. U.S. Patent No. (6,678,735).

23. As per claims 11 and 22, Dar fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 – 22 and Col. 3 Lines 18 – 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Dar's network security service security because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 – 50).

24. As per claim 25, Dar teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Dar, Paragraph 0011) but fails to teach the

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use of SIP signaling and proxy servers. However, in an analogous art Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 – 22 and Col. 3 Lines 18 – 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Dar's network security service security because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 – 50).

25. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

26. As per claim 15, Dar fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Dar's network security service security because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

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27. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Pereira et al. U.S. Patent No. (5,809,230).

28. As per claim 17, Dar fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 – 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Dar's network security service security because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 – 53).

29. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

30. As per claim 18, Dar fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 – 58).

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At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Dar's network security service security because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 – 67).

31. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Young et al. U.S. PG-Publication No. (2003/0093563).

32. As per claim 26, Dar fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Dar's network security service security because it offers the advantage of being a more secure system.

### ***Conclusion***

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33. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on 8:00am - 5:30pm.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Zand can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
Roderick Tolentino

  
KAMBIZ ZAND  
PRIMARY EXAMINER

Roderick Tolentino  
Examiner  
Art Unit 2134

FORM PTO-1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Dock t No. 03-395	Serial No. 10/671,375
 INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicants: David Grabelsky, et al.	
		Filing Date: Sep-25-2003	Group: TBA

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate

**FOREIGN PATENT DOCUMENTS**

Document Number	Date	Country	Class	Subclass	Translation	
					Yes	No

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

/RT/	1.	Request for Comments: 3303, "Middlebox communication architecture and framework," <i>MIDCOM Architecture and Framework</i> , p. 1-34 August 2002.
/RT/	2.	U.S. Patent Application 10/243,642, "Architecture and Method for Controlling Features and Services in Packet-Based Networks, p. 1-48, Sept. 2002.

EXAMINER /Roderick Tolentino/ (03/29/2007)	DATE CONSIDERED <b>3/29/07</b>
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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.

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2134	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barraclough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
	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.


<b>Search Notes</b> 	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2134

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>



<b>Index of Claims</b>  	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2134

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE									
Final	Original	03/29/2007									
	1	✓									
	2	✓									
	3	✓									
	4	✓									
	5	✓									
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CONFIRMATION NO. 1853

SERIAL NUMBER	FILING OR 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
10/671,375	09/25/2003	713	2134	03,395
	RULE			

**APPLICANTS**  
 David Grabelsky, Skokie, IL;  
 Anoop Tripathi, Lake Zurich, IL;  
 Michael Homeier, Lake Forest, IL;  
 Guanglu Wang, Buffalo Grove, IL;

*RT*  
**\*\* CONTINUING DATA \*\*\*\*\***

*RT*  
**\*\* FOREIGN APPLICATIONS \*\*\*\*\***

*RT*  
**IF REQUIRED, FOREIGN FILING LICENSE GRANTED**  
**\*\* 12/20/2003 *RT***

Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no	STATE OR COUNTRY IL	SHEETS DRAWING 7	TOTAL CLAIMS 26	INDEPENDENT CLAIMS 5
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after met				
Verified and Acknowledged <i>Allowance</i>	Examiner's Signature <i>[Signature]</i>	Initials <i>RT</i>		

**ADDRESS**  
 20306

**TITLE**  
 System and method for network based policy enforcement of intelligent-client features

<b>FILING FEE RECEIVED</b> 1026	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees
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		<input type="checkbox"/> Other _____
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In the Application of:	)	
	)	
David Grabelsky et al.	)	Examiner: Tolentino, Roderick
	)	
Serial No. 10/671,375	)	Group Art Unit: 2134
	)	
Filed: September 25, 2003	)	Confirmation No.: 1853
	)	
For: System and Method for Network Based	)	Customer No.: 20306
Policy Enforcement of Intelligent-Client	)	
Features	)	

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

**RESPONSE TO THE OFFICE ACTION MAILED APRIL 3, 2007**

Dear Sir:

This paper is submitted in response to the Office Action mailed April 3, 2007. Please enter the following remarks and amendments into the record for this application. Also enclosed is a Petition for Extension of Time under 35 bC.F.R. 1.136(a) ( 3 month), along with requisite fees.

**Amendments to the Claims (if any)** are reflected in the listing of claims that begins on page 2 of this paper.

**Remarks/Arguments** begin on page 8 of this paper.

## AMENDMENTS

### IN THE CLAIMS

1. (currently amended) A method for controlling services in packet-based networks, the method comprising:

receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke;

making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile;

and

filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are authorized.

2. (Original) The method of claim 1, wherein filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device.

3. (Original) The method of claim 2, wherein altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits.

4. (Original) The method of claim 1, wherein filtering the messages comprises discarding the signaling messages having an indication of services which the sender or the intended recipient devices are unauthorized to use.

5. (Original) The method of claim 1, further comprising communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services.

6. (currently amended) A method for controlling services in packet-based networks, the method comprising:

receiving a message;

recognizing that the message includes at least part of an indication of a service;

determining whether a beneficiary of the service is authorized to invoke or receive the service based on a beneficiary profile; and

processing the message based on whether the beneficiary of the service is authorized to invoke or receive the service.

7. (Original) The method of claim 6, wherein recognizing that the message includes at least part of the indication of the service comprises:

accessing a database including information indicating implementations of services; and

comparing the indication of the service to the information in the database.

8. (Original) The method of claim 6, wherein the beneficiary is a sender of the message.

9. (Original) The method of claim 6, wherein the beneficiary is an intended recipient of the message.

10. (Original) The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the service comprises:

receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the service indicated in the message.

11. (Original) The method of claim 6, wherein the message is a session initiation protocol (SIP) message.

12. (Original) The method of claim 6, wherein the service is selected from the group consisting of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.

13. (Original) The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service.

14. (Original) The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to an intended recipient.

15. (Original) The method of claim 14, wherein altering the message comprises altering the message so as to disable the service.

16. (Original) The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service.

17. (Original) The method of claim 16, further comprising returning an error indication message to a sender of the message.

18. (Original) The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the service, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke or receive the service.

19. (Original) A method for controlling services in packet-based networks, the method comprising:

receiving a message, the message configured according to a protocol;

associating the message with a known service that is defined within the protocol;

requesting a user profile of a user associated with the message, wherein the user profile specifies which services the user is authorized to use;

determining from the user profile whether the user is authorized to invoke or receive the known service; and

filtering the message based on whether the user is authorized to invoke or receive the known service.

20. (Original) The method of claim 19, wherein the user is a sender of the message.

21. (Original) The method of claim 19, wherein the user is an intended recipient of the message.

22. (Original) The method of claim 19, wherein the message is a session initiation protocol (SIP) message.

23. (Original) The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use.

24. (currently amended) A system for controlling services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;



a processor;

data storage; and

program logic stored in the data storage and executable by the processor to associate the messages with known services that are defined within the protocol, to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the services according to a user profile, and to filter the messages based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the services.

25. (Original) A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices, and in response, for sending the user profile to the border element, wherein the user profile specifies which services the at least one end device is authorized to use.

26. (Original) The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

## REMARKS

In the Office Action mailed April 3, 2007 Claims 1-26 are currently pending. Claims 1, 4-10, 13, 16, 20, 21, 23 and 24 stand rejected under 35 U.S.C. § 102(e) as being allegedly anticipated by Dar et al. (US Publication No. 2004/0193906). Claims 2, 3 and 14 stand rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Tso (US Publication No. 2002/0124112). Claim 12, stands rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Barraclough et al. (US Publication No. 2001/0024436). Claims 11, 22 and 25 stand rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Orton et al. (US Patent No. 6,678,735). Claim 15 stands rejected 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Hodge et al. (US Publication No. 2004/0029564). Claim 17 is rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Pereira et al. (US Patent No. 5,809,230). Claim 18 stands rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Feldbaum et al. (US Patent No. 6,446,206). Claim 26 stands rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Young e et al. (US Publication No. 2003/0093563).

Applicants respectively traverse. After a careful review of the Office Action, the cited portions of the references, and Applicants' claim clarifications, Applicants respectively request reconsideration in view of the following remarks.

### **I. CLAIM REJECTIONS UNDER 35 U.S.C. § 102(e)**

Claims 1, 4-10, 13, 16, 20, 21, 23 and 24 stand rejected under 35 U.S.C. § 102(e) as

being allegedly anticipated by Dar et al. (US Publication No. 2004/0193906) (“Dar 906”). Applicants respectively traverse.

*A. Applicants’ Presently Claimed Invention*

The present invention relates to policy enforcement of network services and, more particularly, to a system and method for network based policy enforcement of intelligent-client features. Applicants’ Specification at Page 2 Lines 2-4.

As Applicants explain in the Specification section entitled, “NETWORK-BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES” and with respect to Applicants’ Figure 2, in an exemplary embodiment, an entity of the network 200 is the policy enforcement point on behalf of the core IP network 202. The entity is a core-network-based policy enforcement point that is (1) in the communications path of substantially each and every call control and signaling message between any end-user client and any call control and signaling entity of the network 202 (including, possibly, another client device); and (2) able to communicate with, and set parameters of, network elements that monitor and control media data flow across network boundaries (*e.g.*, border elements 216 and 218). The policy enforcement point may recognize all call control and signaling messages that pass through it, and filter them according to their content, including, but not limited to, sender, intended recipient, and meaning within the particular call control and signaling protocol (*e.g.*, message type). In addition, the policy enforcement point may control media data flow, or augment and/or assist other network elements that have this function. Such control of media data flow may include, but is not limited to, ensuring compliance of media streams with agreed-to bandwidth and other network resource usage. Applicants’ Specification at Page 15 Line 19 – Page 16 Line 10.

The policy enforcement point may facilitate network-based enforcement of service and feature privileges on a call-by-call basis, (1) during an initial setup phase of the call or session, based upon the filtering of call control and signaling messages; and (2) once the call, session, service, or feature is allowed and/or established, based upon both filtering of subsequent call control messages, and the monitoring and enforcement of any relevant, negotiated media bandwidth and/or other network resource usage. Note that the term policy enforcement point is a reference to a logical localization of a set of tasks and functions that may actually be embodied in one or more physical devices, and/or in a distributed manner. Applicants' Specification at Page 16 Lines 11-18.

The network policy enforcement point may use information, if known, regarding authorized services and features of the sender, and/or information, if known, regarding authorized services and features of the intended recipient, to process each call control and signaling message according to a policy or policies prescribed by the core IP network. The filtering of call control and signaling messages constitutes policy enforcement, and for each message may result in the message being forwarded on with or without alterations, the message being discarded with or without return of an error indication message to the sender, or the message being discarded with return of an option message to the sender, for example. Applicants' Specification at Page 16 Line 19 – Page 17 Line 3.

For any given message for which the sender is an authorized subscriber to the core network, the sender's user profile will be known to the network and thus available to the policy enforcement entity. In this case, policy enforcement will be applied according to the sender's authorized services and features, even if the intended recipient is not a subscriber to the core

network, or is a trusted endpoint within the core network. For example, the intended recipient could be a service element within the core network, or subscriber in another core network.

For any given message for which the intended recipient is an authorized subscriber to the core network, the intended recipient's user profile will be known to the network and thus be available to the policy enforcement entity. In this case, policy enforcement will be applied according to the intended recipient's authorized services and features, even if the sender is not a subscriber to the core network, or is a trusted endpoint within the core network. For example, the sender could be a service element within the core network, or a subscriber in another core network.

A policy enforcement point(s) is (are) the network entity (or entities) at which policy is set. This could be accomplished at the authentication and authorization server 210, the call control and signaling server (*e.g.*, the SIP proxy server 208), or any other element that can communicate, directly or indirectly, with a policy enforcement point. Applicants' Specification at Page 17 Lines 4 - 20.

Enforcement of bandwidth and/or other network resource usage according to the authorized services on a given call, session, service, or feature may be accomplished by monitoring the associated media stream(s), and comparing statistics compiled with relevant parameters established during the call control and signaling phase. The actions taken on calls or sessions found to be in violation of negotiated bandwidth or other resource usage may range from dropping excess media data associated with the call or session, to terminating the call or session. The specific actions may depend upon local policy. If such actions are already encompassed within the functions of existing network entities, such as border elements (*e.g.*, NAT firewalls 216 and 218), then the system and method of the present invention may assist

these entities by supplying relevant information collected during the setup of calls and sessions. Applicants' Specification at Page 17 Line 21 – Page 18 Line 7.

Figure 3 is a flowchart depicting one embodiment of a method 300 of network-based policy enforcement of intelligent client features. Initially, signaling and call control messages are received or intercepted by the policy enforcement point. The policy enforcement point may be a border element between a local network and a core network, for example, that intercepts all signaling messages sent in between. Each signaling and/or call control message is then associated with a known service or feature, or a call-flow segment of a known service or feature, as shown at block 302. The policy enforcement point then determines whether the sender and/or intended recipient of the message is authorized to use and/or invoke the identified service or feature, as shown at block 304. The policy enforcement point then filters each signaling and/or call control message according to whether or not the identified service or feature is authorized for the sender and/or intended recipient of the message, as shown at block 306. The policy enforcement point may then communicate with and/or control one or more network entities responsible for monitoring and regulating media data flow across network boundaries in order to ensure compliance with the authorization of usage of services and negotiated bandwidth, as shown at block 308. Note that the step of communicating with network entities to monitor network resource usage is optional on a call-by-call basis, depending upon whether or not the call or session is allowed, and whether any associated services or features consume or depend upon media resources of the network. Applicants' Specification at Page 18 Line 8 – Page 19 Line 3.

Applicants' presently pending claims are generally directed to such a method and system for policy enforcement. For example, independent claim 1 now expressly recites a method for

controlling services in packet-based networks comprising the steps of “receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke” and “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile.” The remaining independent claims recite similar limitations.

B. *Dar 906 Does Not Teach or Suggest Applicants’ Presently Claimed Invention*

Dar 906 does not anticipate Applicants’ presently claimed invention. Unlike Applicants’ presently claimed invention, Dar 906 does not teach or suggest a method and system for policy enforcement that utilizes “a recipient device profile.” Dar 906, naturally therefore, does not teach or suggest the step of “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile.”

Rather, Dar 906 appears generally related to a method and/or system generally directed to network service security and regulating accessibility to server-provided services. Dar 90 Paragraph 0001. The April 4, 2007 Office Action appears to rely on Paragraph 0011 of Dar 906 as allegedly teaching or suggesting Applicants’ presently claimed invention. For reference, Paragraph 11 of Dar 906 reads as follows:

[0011] Implementations of the invention may include one or more of the following features. The communication comprises a packet of data including header information and payload data and where the determining means performs the determining based only on the header information. The determining means performs the determining using stored authorization associations of indicia of client identifiers and indicia of corresponding authorized services. The determining means performs the determining using stored authorization associations of indicia of at least one of client network address and port numbers. The system further comprises means for inhibiting the communication from reaching the intended service if the client from which the communication came is

unauthorized to access the intended service.

Dar 906 Paragraph 0011 (emphasis added).

According to the portion of Dar 906 relied upon in the presently pending Office Action, the “determining means performs the determining based only on the header information.” Dar 906 is completely silent at to maintaining or establishing a “user profile.” This cited portion of Dar 906 naturally, therefore; does not teach the step of “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile” as expressly recited in Applicants’ presently pending claims.

Clearly, as evident by the cited and relied upon portions of the Dar 906 reference provided above, Dar 906 is merely directed to establishing a “determining means” that “performs the determining based only on the header information.” Consequently, Dar 906 does not teach, either expressly or inherently “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile.”

To anticipate a claim, “each and every element set forth in the claim [must be] found, either expressly or inherently described, in a single . . . reference.” *Vergall Bros. V. Union Oil Co. of California*, 814 F.2f 628, 631 (Fed. Cir. 1987) (M.P.E.P. Section 2131). Consequently, since Dar 906 does not teach or suggest creating/maintaining or utilizing “a recipient device profile,” Dar 906 simply also does not teach or suggest the step of ““making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile. Consequently, Dar 906 further fails to teach the subsequent step of “filtering the signaling messages based on the determination so as to



pass to the intended recipient device signaling messages having an indication of services that are authorized.” As such, Dar 906 does not teach every element of the claimed invention and, therefore does not anticipate Applicant’s presently pending independent claims 1, 6, 19, 24, and 25.

For at least those reasons identified above, Dar 906 fails to teach or suggest all of the limitations expressly recited in Applicants’ presently pending independent claims 1, 6, 19, and 24. For at least these reasons, Dar 906 in combination with the references cited above fail to teach or suggest Applicants’ presently pending dependent claims 2-5, 7-18, 20-23, and 26.

### **III. SUMMARY**

Applicants respectfully submit that, in view of the remarks above, the present application, including claims 1-26, is in condition for allowance and solicit action to that end.

If there are any matters that may be resolved or clarified through a telephone interview, the Examiner is respectfully requested to contact Applicants’ undersigned representative at (312) 913-0001.

Respectfully submitted,

**McDonnell Boehnen Hulbert & Berghoff LLP**

Date: September 26, 2007

By: /Thomas E. Wettermann/  
Thomas E. Wettermann  
Reg. No. 41,523

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>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)                  FY 2006</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>	Docket Number (Optional) 03-395																								
Application Number 10/671,375	Filed September 25, 2003																								
For System and Method for Network Based Policy Enforcement of Intelligent-Client Features																									
Art Unit 2134	Examiner Tolentino, Roderick																								
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.																									
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):																									
	<table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:40%;"></th> <th style="width:15%; text-align: center;"><u>Fee</u></th> <th style="width:15%; text-align: center;"><u>Small Entity Fee</u></th> <th style="width:30%;"></th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> One month (37 CFR 1.17(a)(1))</td> <td style="text-align: center;">\$120</td> <td style="text-align: center;">\$60</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td><input type="checkbox"/> Two months (37 CFR 1.17(a)(2))</td> <td style="text-align: center;">\$450</td> <td style="text-align: center;">\$225</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td><input checked="" type="checkbox"/> Three months (37 CFR 1.17(a)(3))</td> <td style="text-align: center;">\$1020</td> <td style="text-align: center;">\$510</td> <td style="text-align: right;">\$ <u>1,020.00</u></td> </tr> <tr> <td><input type="checkbox"/> Four months (37 CFR 1.17(a)(4))</td> <td style="text-align: center;">\$1590</td> <td style="text-align: center;">\$795</td> <td style="text-align: right;">\$ _____</td> </tr> <tr> <td><input type="checkbox"/> Five months (37 CFR 1.17(a)(5))</td> <td style="text-align: center;">\$2160</td> <td style="text-align: center;">\$1080</td> <td style="text-align: right;">\$ _____</td> </tr> </tbody> </table>		<u>Fee</u>	<u>Small Entity Fee</u>		<input type="checkbox"/> One month (37 CFR 1.17(a)(1))	\$120	\$60	\$ _____	<input type="checkbox"/> Two months (37 CFR 1.17(a)(2))	\$450	\$225	\$ _____	<input checked="" type="checkbox"/> Three months (37 CFR 1.17(a)(3))	\$1020	\$510	\$ <u>1,020.00</u>	<input type="checkbox"/> Four months (37 CFR 1.17(a)(4))	\$1590	\$795	\$ _____	<input type="checkbox"/> Five months (37 CFR 1.17(a)(5))	\$2160	\$1080	\$ _____
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<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.																									
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<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).																									
<input checked="" type="checkbox"/> attorney or agent of record. Registration Number <u>41,523</u>																									
<input type="checkbox"/> attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____.																									
<u>/Thomas E. Wettermann/</u> Signature	<u>September 26, 2007</u> Date																								
<u>Thomas E. Wettermann</u> Typed or printed name	<u>312-913-2138</u> Telephone Number																								
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.																									
<input type="checkbox"/> Total of _____ forms are submitted.																									

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 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.**

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IPR2018-00884

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
First Named Inventor/Applicant Name:	David Grabelsky
<b>Filer:</b>	Thomas E. Wettermann
<b>Attorney Docket Number:</b>	03,395

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:				
<b>Extension-of-Time:</b>				
Extension - 3 months with \$0 paid	1253	1	1020	1020

IPR2018-00884

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1020</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2242778
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Thomas E. Wettermann
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	26-SEP-2007
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	13:10:37
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 1020
RAM confirmation Number	7454
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	03_395_OA_Transmittal_2007_09_26.pdf	87477 9d3db13e617deedca7d1908d7aff58f6480871ab	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Amendment - After Non-Final Rejection	03_395_OA_Response_2007_09_26.pdf	149557 6b905776006738cd4ca45fb1b92a9b7dd9e1725a	no	15
<b>Warnings:</b>					
<b>Information:</b>					
3	Extension of Time	03_395_3Mo_Ext_2007_09_26.pdf	112861 0943e7a3e87769237643861df14d13a46bbb393e	no	1
<b>Warnings:</b>					
<b>Information:</b>					
4	Fee Worksheet (PTO-06)	fee-info.pdf	8176 e1537578d7abef849166b33b55d4216a6e11f961	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			358071		
<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>  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.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></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.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  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.</p>					

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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/671,375
	Filing Date	September 25, 2003
	First Named Inventor	David Grabelsky et al.
	Art Unit	2134
	Examiner Name	Tolentino, Roderick
Total Number of Pages in This Submission	Attorney Docket Number	03-395

<b>ENCLOSURES (Check all that apply)</b>		
<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 <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply 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"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC <b>(Appeal Notice, Brief, Reply Brief)</b> <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please Identify below):
Remarks		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Firm Name	McDonnell Boehnen Hulbert & Berghoff LLP		
Signature	/Thomas E. Wettermann/		
Printed name	Thomas E. Wettermann		
Date	September 26, 2007	Reg. No.	41,523

<b>CERTIFICATE OF TRANSMISSION/MAILING</b>			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or 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, VA 22313-1450 on the date shown below:			
Signature	/Thomas E. Wettermann/		
Typed or printed name	Thomas E. Wettermann	Date	September 26, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours 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.**

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IPR2018-00884

Apple Inc. EX1002 Page 107

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>10/671,375</b>	Filing Date <b>09/25/2003</b>	<input type="checkbox"/> To be Mailed
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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 (\$)	OR	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A			N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A			N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A			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 \$ =			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).						
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>							
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL			TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	09/26/2007	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 26	Minus	** 26 = 0	X \$ =		OR	X \$50=	0
	Independent <small>(37 CFR 1.16(h))</small>	* 5	Minus	***5 = 0	X \$ =		OR	X \$200=	0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	0

	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	*	Minus	** =	X \$ =		OR	X \$ =	
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	*** =	X \$ =		OR	X \$ =	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					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:  
margaret byars

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.**

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853
20306	7590	11/30/2007	EXAMINER	
MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP			TOLENTINO, RODERICK	
300 S. WACKER DRIVE			ART UNIT	PAPER NUMBER
32ND FLOOR			2134	
CHICAGO, IL 60606			MAIL DATE	DELIVERY MODE
			11/30/2007	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.



### DETAILED ACTION

1. Claims 1 – 26 are pending.

#### *Response to Arguments*

2. Applicant's arguments filed 09/26/2007 have been fully considered but they are not persuasive.
3. Applicant argues that Dar fails to disclose, teach or even suggest making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile. Examiner respectfully disagrees. As per claims 1, 6, 19 and 24, Dar discloses receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke (Dar, Paragraph 0011 and 0027, client requested services in the header) making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile (Dar, Paragraphs 0008 and 0011, system determines if client is authorized to use requested services) and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are authorized (Dar, Paragraph 0011, Inhibits the communication if client requests unauthorized access). Dar teaches that a client is associated with a source identifier, and in combination Dar's system will determine if the source is authorized. Dar includes both a device and a

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profile used to determine the authorization by the server. Thus Dar teaches the claimed limitation.

***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 –

(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, 4 - 10, 13, 16, 20, 21, 23 and 24 are rejected under 35 U.S.C. 102(e) as being anticipate by Dar et al. U.S. PG-Publication No. (2004/0193906).

6. As per claims 1, 6, 19 and 24, Dar discloses receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke (Dar, Paragraph 0011 and 0027, client requested services in the header) making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile (Dar, Paragraphs 0008 and 0011, system determines if client is authorized to use requested services) and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling

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messages having an indication of services that are authorized (Dar, Paragraph 0011, Inhibits the communication if client requests unauthorized access).

7. As per claim 4, Dar discloses filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use. (Dar, Paragraph 0033, discards the communication if client requests unauthorized access).

8. As per claim 5, Dar discloses communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Dar, Paragraph 0005, plurality of servers).

9. As per claim 7, Dar discloses accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Dar, Paragraph 0012, database of authorized services).

10. As per claims 8 and 20, Dar discloses the beneficiary is a sender of the message (Dar, Paragraph 0011 ).

11. As per claims 9 and 21, Dar discloses the beneficiary is the recipient of the message (Dar, Paragraph 0011 ).

12. As per claim 10, Dar discloses receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Dar, Paragraph 0022)and comparing the authorized services for the beneficiary to the service indicated in the message (Dar, Paragraph 0012, database of authorized services).

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13. As per claim 13, Dar discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Dar, Paragraph 0011, authorized client).

14. As per claim 16, Dar discloses processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Dar, Paragraph 0033, discards the communication if client requests unauthorized access).

15. As per claim 23, Dar discloses monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Dar, Paragraph 0011, checks for authorized services a client is allowed to use).

***Claim Rejections - 35 USC § 103***

16. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

17. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Tso U.S. PG-Publication No. (2002/0124112).

18. As per claim 2, Dar fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized

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services of the sender or the intended recipient device (Tso, Paragraph 0011 ).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Dar's network security service security because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

19. As per claim 3, Dar as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

20. As per claim 14, Dar fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Dar as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

21. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Barraclough et al. U.S. PG-Publication No. (2001/0024436).

22. As per claim 12, Dar fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected

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from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barracough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barracough's VO-IP Audio-data terminal processor with Dar's network security service security because it offers the advantage of using a cost-effective way to communicate of channels (Barracough, Paragraph 0004).

23. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Orton et al. U.S. Patent No. (6,678,735).

24. As per claims 11 and 22, Dar fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Dar's network security service security because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

25. As per claim 25, Dar teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Dar, Paragraph 0011 ) but fails to teach the use of SIP signaling and proxy servers. However, in an analogous art Orton teaches the



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use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Dar's network security service security because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

26. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

27. As per claim 15, Dar fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Dar's network security service security because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

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28. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Pereira et al. U.S. Patent No. (5,809,230).

29. As per claim 17, Dar fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Dar's network security service security because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5-Lines 49 - 53).

30. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

31. As per claim 18, Dar fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

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At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Dar's network security service security because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

32. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Dar et al. U.S. PG-Publication No. (2004/0193906) in view of Young e et al. U.S. PG-Publication No. (2003/0093563).

33. As per claim 26, Dar fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Dar's network security service security because it offers the advantage of being a more secure system.

### ***Conclusion***

34. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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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 mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Zand can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2134

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
Roderick Tolentino

Roderick Tolentino  
Examiner  
Art Unit 2134

  
KAMBIZ ZAND  
SUPERVISORY PATENT EXAMINER

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2134	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-2004/0193906	09-2004	Dar et al.	713/200
*	B US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F US-2001/0024436	09-2001	Barraclough et al.	370/352
*	G US-6,678,735	01-2004	Orton et al.	709/230
*	H US-2003/0093563	05-2003	Young et al.	709/245
	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.

<b>Index of Claims</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2134

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

<b>N</b>	<b>Non-Elected</b>
<b>I</b>	<b>Interference</b>

<b>A</b>	<b>Appeal</b>
<b>O</b>	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	03/29/2007	11/26/2007						
	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	✓	✓						

## REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL (Submitted Only via EFS-Web)

Application Number	10/671,375	Filing Date	2003-09-25	Docket Number (if applicable)	03-395	Art Unit	2134
First Named Inventor	David Grabelsky et al.			Examiner Name	Tolentino, Roderick		

**This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.**

Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV

### SUBMISSION REQUIRED UNDER 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_

Other \_\_\_\_\_

Enclosed

Amendment/Reply

Information Disclosure Statement (IDS)

Affidavit(s)/ Declaration(s)

Other \_\_\_\_\_

### MISCELLANEOUS

Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months \_\_\_\_\_  
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

Other \_\_\_\_\_  
General Authorization

### FEES

**The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**

The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 132490

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Patent Practitioner Signature

Applicant Signature



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.

Signature of Registered U.S. Patent Practitioner			
Signature	/Thomas E. Wettermann/	Date (YYYY-MM-DD)	2008-09-25
Name	Thomas E. Wettermann	Registration Number	41523

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 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.

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

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The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In the Application of:	)	
	)	
David Grabelsky et al.	)	Examiner: Tolentino, Roderick
	)	
Serial No.    10/671,375	)	Group Art Unit: 2134
	)	
Filed:        September 25, 2003	)	Confirmation No.: 1853
	)	
For:    System and Method for Network Based	)	Customer No.: 20306
Policy Enforcement of Intelligent-Client	)	
Features	)	

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

**REQUEST FOR CONTINUED EXAMINATION: SUBMISSION IN RESPONSE TO  
THE FINAL OFFICE ACTION MAILED NOVEMBER 30, 2007**

Dear Sir:

This Request for Continued is submitted in response to the Final Office Action mailed November 30, 2007. Please enter the following remarks and amendments into the record for this application.

**Amendments to the Claims (if any)** are reflected in the listing of claims that begins on page 2 of this paper.

**Remarks/Arguments** begin on page 8 of this paper.

## AMENDMENTS

### IN THE CLAIMS

1. (currently amended) A method for controlling services in packet-based networks, the method comprising:

receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke;

making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point; and

filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are authorized.

2. (Original) The method of claim 1, wherein filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device.

3. (Original) The method of claim 2, wherein altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits.

4. (Original) The method of claim 1, wherein filtering the messages comprises discarding the signaling messages having an indication of services which the sender or the intended recipient devices are unauthorized to use.

5. (Original) The method of claim 1, further comprising communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services.

6. (currently amended) A method for controlling services in packet-based networks, the method comprising:

receiving a message;

recognizing that the message includes at least part of an indication of a service;

determining whether a beneficiary of the service is authorized to invoke or receive the service based on a beneficiary profile stored in part on a remote enforcement point; and

processing the message based on whether the beneficiary of the service is authorized to invoke or receive the service.

7. (Original) The method of claim 6, wherein recognizing that the message includes at least part of the indication of the service comprises:

accessing a database including information indicating implementations of services; and

comparing the indication of the service to the information in the database.

8. (Original) The method of claim 6, wherein the beneficiary is a sender of the message.

9. (Original) The method of claim 6, wherein the beneficiary is an intended recipient of the message.

10. (Original) The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the service comprises:

receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the service indicated in the message.

11. (Original) The method of claim 6, wherein the message is a session initiation protocol (SIP) message.

12. (Original) The method of claim 6, wherein the service is selected from the group consisting of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.

13. (Original) The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service.

14. (Original) The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to an intended recipient.

15. (Original) The method of claim 14, wherein altering the message comprises altering the message so as to disable the service.

16. (Original) The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service.

17. (Original) The method of claim 16, further comprising returning an error indication message to a sender of the message.

18. (Original) The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the service, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke or receive the service.

19. (Currently amended) A method for controlling services in packet-based networks, the method comprising:

receiving a message, the message configured according to a protocol;

associating the message with a known service that is defined within the protocol;

requesting a user profile of a user associated with the message, wherein the user profile specifies which services the user is authorized to use and is stored in part on a remote server;

determining from the user profile whether the user is authorized to invoke or receive the known service; and

filtering the message based on whether the user is authorized to invoke or receive the known service.

20. (Original) The method of claim 19, wherein the user is a sender of the message.

21. (Original) The method of claim 19, wherein the user is an intended recipient of the message.

22. (Original) The method of claim 19, wherein the message is a session initiation protocol (SIP) message.

23. (Original) The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use.

24. (Currently amended) A system for controlling services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;



a processor;

data storage; and

program logic stored in the data storage and executable by the processor to associate the messages with known services that are defined within the protocol, to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the services according to a user profile maintained on a remote enforcement point, and to filter the messages based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the services.

25. (currently amended) A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services the at least one end device is authorized to use.

26. (Original) The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

## REMARKS

In the Office Action mailed November 30, 2007, Claims 1-26 are currently pending. Claims 1, 4-10, 13, 16, 20, 21 and 23-25 are rejected under 35 U.S.C. § 102(e) as being allegedly anticipated by Dar et al. (US Publication No. 2004/0193906). Claims 2, 3 and 14 are rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Tso (US Publication No. 2002/0124112). Claim 12 is rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Barraclough et al. (US Publication No. 2001/0024436). Claims 11, 22 and 25 are rejected under 35 U.S.C. § 103 (a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Orton et al. (US Patent No. 6,678,735). Claim 15 is rejected 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Hodge et al. (US Publication No. 2004/0029564). Claim 17 is rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Pereira et al. (US Patent No. 5,809,230). Claim 18 is rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Feldbaum et al. (US Patent No. 6,446,206). Claim 26 is rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Dar et al. (US Publication No. 2004/0193906) in view of Young e et al. (US Publication No. 2003/0093563).

Applicants respectively traverse. After a careful review of the Office Action, the cited portions of the references, and Applicants' claim clarifications, Applicants respectively request reconsideration in view of the following remarks.

### **I. CLAIM REJECTIONS UNDER 35 U.S.C. § 102(e)**

Claims 1, 4-10, 13, 16, 20, 21, and 23-25 stand rejected under 35 U.S.C. § 102(e) as

being allegedly anticipated by Dar et al. (US Publication No. 2004/0193906) (“Dar 906”). Applicants respectively traverse.

*A. Applicants’ Presently Claimed Invention*

As Applicants explain in the background section of its Patent Specification, in practice, certain next-generation services depend upon network-based servers and support, so network providers are probably in no danger of losing their ability to sell services. But the trend toward intelligent, IP-based clients is a new dimension in the space of creation and delivery of telephony and media services. At best, carriers, service providers, and device manufacturers may have to work together to ensure interoperability. At worst, carriers and service providers may need to deal with unauthorized delivery of services by intelligent clients in their networks. Either way, maintaining relevance as providers of services, and not just transport of the services, is no longer a given for network providers in a world shared with intelligent clients.

Therefore, if carriers and service providers are to maintain their ability to generate revenue for services offered or supported in their networks, then the service providers’ ability to enforce the authorization of service usage is important. This is particularly important in next-generation IP telephony and IP multimedia networks, where many basic and advanced services may be signaled, controlled, and/or delivered by intelligent end-user clients that are not owned or controlled by the network providers, thereby enabling the potential bypassing by the end user of service agreements or other subscription accounting mechanisms. Applicants’ Specification at Page 2 Line 18 – Page 3 Line 10.

Applicant’s presently claimed invention is generally directed to meeting the needs of service providers’ ability to enforce the authorization of service usage. To this end, the present invention relates to policy enforcement of network services and, more particularly, to a system

and method for network based policy enforcement of intelligent-client features. Applicants' Specification at Page 2 Lines 2-4.

Referring to Figure 2 of Applicants' Specification, the network 200 includes a core IP network 202, and local IP networks 204 and 206. In this case, end-user clients are SIP user agents, such as SIP user agents 204a-b and 206a-b, and SIP phones, such as SIP phone 204c-d and 206c-e. The core IP network 202 includes a SIP Proxy server 208, an authentication/authorization server 210, a directory server 212, and a network-based services server 214. Border elements in the core IP network 202 are NAT firewalls 216 and 218, which incorporate functionality specific to SIP. Such devices are commonly referred to as SIP-aware firewalls, as illustrated. The NAT firewalls 216 and 218 make it possible, for example, for a SIP client with only a local address within the local area network to initiate and receive SIP-based calls to and from SIP endpoints in the core IP network 202, or other local networks connected (directly or indirectly) to the core IP network 202.

In order for a SIP phone, *e.g.*, 204c, to establish connectivity beyond its local IP network 204, its user registers with the SIP proxy server 208 in the core IP network 202. The registration process will typically include some sort of verification that authenticates the user and authorizes use of a set of services. This authentication usually involves communications between the SIP proxy server 208 and the authentication and authorization server 210 via an additional protocol. For example, Remote Authentication Dial In User Service (RADIUS) might be used for this purpose. Assuming the user is successfully authenticated, authorization for use of services could be determined according to a user profile stored in the authentication and authorization server 210. The user profile might list services and features to which the user has subscribed, *e.g.*, basic calls, call waiting, call forwarding, etc. Once registration is complete, the user may invoke

services within the core IP network 202. Note that the user could be a specific person, group, or generic identity (*e.g.*, “cafeteria phone”). Applicants’ Specification at Page 14 Line 7 – Page 15 Line 17.

While lists of authorized services and features may be stored in the user profile, it is possible for many of the features themselves to be fully or partially realized directly within the SIP phone 204c. Thus, a user could decline to subscribe to a certain service in the core IP network 202, but still obtain that service using the implementation on the SIP phone 204c. Assuming that a carrier or service provider of the network 200 normally charges for that service, then this user would be acquiring it for free. As noted, one way to attempt to prevent this from happening is to extend or enhance the SIP protocol to support passing the information about the user’s authorized services to the SIP phone, as described in U.S. Patent Application Serial Number 10/243,642, entitled “Architecture and Method for Controlling Features and Services in Packet-Based Networks.” The SIP phone would then only invoke those services for which authorization has been received, *i.e.*, the SIP phone becomes the policy enforcement point on behalf of the core IP network 202.

As Applicants explain in the Specification section entitled, “NETWORK-BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES” and with respect to Applicants’ Figure 2, in an exemplary embodiment, an entity of the network 200 is the policy enforcement point on behalf of the core IP network 202. The entity is a core-network-based policy enforcement point that is (1) in the communications path of substantially each and every call control and signaling message between any end-user client and any call control and signaling entity of the network 202 (including, possibly, another client device); and (2) able to communicate with, and set parameters of, network elements that monitor and control media data

flow across network boundaries (*e.g.*, border elements 216 and 218). The policy enforcement point may recognize all call control and signaling messages that pass through it, and filter them according to their content, including, but not limited to, sender, intended recipient, and meaning within the particular call control and signaling protocol (*e.g.*, message type). In addition, the policy enforcement point may control media data flow, or augment and/or assist other network elements that have this function. Such control of media data flow may include, but is not limited to, ensuring compliance of media streams with agreed-to bandwidth and other network resource usage. Applicants' Specification at Page 15 Line 19 – Page 16 Line 10.

The policy enforcement point may facilitate network-based enforcement of service and feature privileges on a call-by-call basis, (1) during an initial setup phase of the call or session, based upon the filtering of call control and signaling messages; and (2) once the call, session, service, or feature is allowed and/or established, based upon both filtering of subsequent call control messages, and the monitoring and enforcement of any relevant, negotiated media bandwidth and/or other network resource usage. Note that the term policy enforcement point is a reference to a logical localization of a set of tasks and functions that may actually be embodied in one or more physical devices, and/or in a distributed manner. Applicants' Specification at Page 16 Lines 11-18.

The network policy enforcement point may use information, if known, regarding authorized services and features of the sender, and/or information, if known, regarding authorized services and features of the intended recipient, to process each call control and signaling message according to a policy or policies prescribed by the core IP network. The filtering of call control and signaling messages constitutes policy enforcement, and for each message may result in the message being forwarded on with or without alterations, the message

being discarded with or without return of an error indication message to the sender, or the message being discarded with return of an option message to the sender, for example. Applicants' Specification at Page 16 Line 19 – Page 17 Line 3.

For any given message for which the sender is an authorized subscriber to the core network, the sender's user profile will be known to the network and thus available to the policy enforcement entity. In this case, policy enforcement will be applied according to the sender's authorized services and features, even if the intended recipient is not a subscriber to the core network, or is a trusted endpoint within the core network. For example, the intended recipient could be a service element within the core network, or subscriber in another core network.

A policy enforcement point(s) is (are) the network entity (or entities) at which policy is set. This could be accomplished at the authentication and authorization server 210, the call control and signaling server (*e.g.*, the SIP proxy server 208), or any other element that can communicate, directly or indirectly, with a policy enforcement point. Applicants' Specification at Page 17 Lines 4 - 20.

Enforcement of bandwidth and/or other network resource usage according to the authorized services on a given call, session, service, or feature may be accomplished by monitoring the associated media stream(s), and comparing statistics compiled with relevant parameters established during the call control and signaling phase. The actions taken on calls or sessions found to be in violation of negotiated bandwidth or other resource usage may range from dropping excess media data associated with the call or session, to terminating the call or session. The specific actions may depend upon local policy. If such actions are already encompassed within the functions of existing network entities, such as border elements (*e.g.*, NAT firewalls 216 and 218), then the system and method of the present invention may assist

these entities by supplying relevant information collected during the setup of calls and sessions. Applicants' Specification at Page 17 Line 21 – Page 18 Line 7.

Figure 3 is a flowchart depicting one embodiment of a method 300 of network-based policy enforcement of intelligent client features. Initially, signaling and call control messages are received or intercepted by the policy enforcement point. The policy enforcement point may be a border element between a local network and a core network, for example, that intercepts all signaling messages sent in between. Each signaling and/or call control message is then associated with a known service or feature, or a call-flow segment of a known service or feature, as shown at block 302. The policy enforcement point then determines whether the sender and/or intended recipient of the message is authorized to use and/or invoke the identified service or feature, as shown at block 304. The policy enforcement point then filters each signaling and/or call control message according to whether or not the identified service or feature is authorized for the sender and/or intended recipient of the message, as shown at block 306. The policy enforcement point may then communicate with and/or control one or more network entities responsible for monitoring and regulating media data flow across network boundaries in order to ensure compliance with the authorization of usage of services and negotiated bandwidth, as shown at block 308. Note that the step of communicating with network entities to monitor network resource usage is optional on a call-by-call basis, depending upon whether or not the call or session is allowed, and whether any associated services or features consume or depend upon media resources of the network. Applicants' Specification at Page 18 Line 8 – Page 19 Line 3.



Applicants' presently pending claims are generally directed to such a method and system for policy enforcement. For example, independent claim 1 now expressly recites a method for controlling services in packet-based networks comprising the steps of "receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke" and "making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part at a policy enforcement point." (emphasis added). As Applicants explain above, a policy enforcement point(s) is (are) the network entity (or entities) at which policy is set. This could be accomplished at the authentication and authorization server 210, the call control and signaling server (*e.g.*, the SIP proxy server 208), or any other element that can communicate, directly or indirectly, with a policy enforcement point. Applicants' Specification at Page 17 Lines 4 - 20. The remaining independent claims recite similar limitations.

*B. Dar 906 Does Not Teach or Suggest Applicants' Presently Claimed Invention*

Dar 906 does not anticipate Applicants' presently claimed invention. Unlike Applicants' presently claimed invention, Dar 906 does not teach or suggest a method and system for policy enforcement that utilizes "a recipient device profile maintained at a policy enforcement point." Dar 906, naturally therefore, does not teach or suggest the step of "making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile."

Rather, Dar 906 appears generally related to a method and/or system generally directed to network service security and regulating accessibility to server-provided services. Dar 90

Paragraph 0001. The November 30, 2007 Final Office Action appears to rely on Paragraphs [0008], [0011] and [0027] of Dar 906 as allegedly teaching or suggesting Applicants' previously claimed invention. Applicants have now revised all of its independent claims to further distinguish Dar 906 from Applicants presently claimed invention.

For example, Paragraph [0008] describes that the method of Dar “comprises receiving a data packet, determining, from the header of the packet, a source identifier and a destination service provider.” (emphasis added) Therefore, according to Paragraph [0008] of Dar 906, this method of Dar uses only packet header information for determining corresponding authorized services. This is consistent with the description that Dar 906 provides in Paragraphs [0011] and [0027].

For reference, Paragraph 11 of Dar 906 reads as follows:

[0011] Implementations of the invention may include one or more of the following features. The communication comprises a packet of data including header information and payload data and where the determining means performs the determining based only on the header information. The determining means performs the determining using stored authorization associations of indicia of client identifiers and indicia of corresponding authorized services. The determining means performs the determining using stored authorization associations of indicia of at least one of client network address and port numbers. The system further comprises means for inhibiting the communication from reaching the intended service if the client from which the communication came is unauthorized to access the intended service.

Dar 906 Paragraph 0011 (emphasis added).

According to Paragraph 0011 of Dar 906, the “determining means performs the determining based only on the header information.” Dar 906 is completely silent at to maintaining or establishing a “user profile maintained at a policy enforcement point.” This cited portion of Dar 906 naturally, therefore; does not teach the step of “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the

type of service based in part on a recipient device profile” as expressly recited in Applicants’ presently pending claims. This is consistent with Paragraph [0027] of Dar 906 (“The client identifiers 42 and the service identifiers 44 can be determined from the headers of packets, as opposed to payloads of the packets.”)

Clearly, as evident by the cited and relied upon portions of the Dar 906, Dar 906 is merely directed to establishing a “determining means” that “performs the determining based only on the header information.” Consequently, Dar 906 does not teach, either expressly or inherently “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part at a policy enforcement point.”

To anticipate a claim, “each and every element set forth in the claim [must be] found, either expressly or inherently described, in a single . . . reference.” *Vergall Bros. V. Union Oil Co. of California*, 814 F.2d 628, 631 (Fed. Cir. 1987) (M.P.E.P. Section 2131). Consequently, since Dar 906 does not teach or suggest creating/maintaining or utilizing “a recipient device profile maintained in part at a policy enforcement point,” Dar 906 simply also does not teach or suggest the step of ““making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part at a policy enforcement point. Consequently, Dar 906 further fails to teach the subsequent step of “filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are authorized.” As such, Dar 906 does not to teach every element of the claimed invention and, therefore does not anticipate Applicant’s presently pending independent claims 1, 6, 19, 24, and 25.

For at least those reasons identified above, Dar 906 fails to teach or suggest all of the limitations expressly recited in Applicants' presently pending independent claims 1, 6, 19, and 24. For at least these reasons, Dar 906 in combination with the references cited above fail to teach or suggest Applicants' presently pending dependent claims 2-5, 7-18, 20-23, and 26.

### **III. SUMMARY**

Applicants respectfully submit that, in view of the remarks above, the present application, including claims 1-26, is in condition for allowance and solicit action to that end. If there are any matters that may be resolved or clarified through a telephone interview, the Examiner is respectfully requested to contact Applicants' undersigned representative at (312) 913-0001.

Respectfully submitted,

**McDonnell Boehnen Hulbert & Berghoff LLP**

Date: February 27, 2008

By: /Thomas E. Wettermann/  
Thomas E. Wettermann  
Reg. No. 41,523

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
**(MBHB Case No. 03-395)**

In re Application of:	)	
	)	
David Grabelsky et al.	)	
	)	Examiner: Tolentino, Roderick
Serial No.:    10/671,375	)	
	)	Group Art Unit: 2134
Filed:    September 25, 2003	)	
	)	Confirmation No.: 1853
For:    System and Method for Network Based	)	
Policy Enforcement of Intelligent-Client	)	
Features	)	

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

**GENERAL AUTHORIZATION UNDER 37 C.F.R. § 1.136(a)(3)**

Sir:

The Commissioner is hereby generally authorized under 37 C.F.R. § 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 C.F.R. § 1.53 requiring an extension of time as incorporating a request therefore, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 13-2490 for any fee that may be due in connection with such a request for an extension of time.

Respectfully submitted,  
**McDonnell Boehnen Hulbert & Berghoff LLP**

Date: February 27, 2008

By: Thomas E. Wettermann/  
Thomas E. Wettermann  
Reg. No. 41,523

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375			
<b>Filing Date:</b>	25-Sep-2003			
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features			
First Named Inventor/Applicant Name:	David Grabelsky			
<b>Filer:</b>	Thomas E. Wettermann			
<b>Attorney Docket Number:</b>	03,395			
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>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Request for continued examination	1801	1	810	810
<b>Total in USD (\$)</b>				<b>810</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2916197
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Thomas E. Wettermann
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	27-FEB-2008
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	13:58:05
<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	\$ 810
RAM confirmation Number	7964
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

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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	Request for Continued Examination (RCE)	03_395_RCE_Transmittal_2008_02_27.pdf	747502 153a0a7527ca1a55339628a58fb7542d9b60fbc0	no	3
<b>Warnings:</b>					
<b>Information:</b>					
2	Amendment Submitted/Entered with Filing of CPA/RCE	03_395_RCE_Response_2008_02_27.pdf	159186 522b10ca3d9679003007e778a4c42a70d34295	no	18
<b>Warnings:</b>					
<b>Information:</b>					
3	Authorization for Extension of Time all replies	03_395_General_Authorization_2008_02_27.pdf	24881 34e28bf782abf98b87501441407fa2a291961362	no	1
<b>Warnings:</b>					
<b>Information:</b>					
4	Fee Worksheet (PTO-06)	fee-info.pdf	8199 8af4b789336f5147c9fb436b3bdac997bb9f04bd	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			939768		

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>10/671,375</b>	Filing Date <b>09/25/2003</b>	<input type="checkbox"/> To be Mailed
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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		N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		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).					
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>						
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY			
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR		
AMENDMENT	02/27/2008	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 26	Minus	** 26 = 0	X \$ =		OR	X \$50= 0
	Independent <small>(37 CFR 1.16(h))</small>	* 5	Minus	***5 = 0	X \$ =		OR	X \$210= 0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR	
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE 0

	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR		
AMENDMENT	Total <small>(37 CFR 1.16(i))</small>	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	*	Minus	**	=	X \$ =		OR	X \$ =
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	***	X \$ =		OR	X \$ =
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR	
					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:  
 /PAMELA YOUNG/

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.**

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853

20306 7590 05/09/2008  
MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP  
300 S. WACKER DRIVE  
32ND FLOOR  
CHICAGO, IL 60606

EXAMINER
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TOLENTINO, RODERICK

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

2134

MAIL DATE	DELIVERY MODE
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05/09/2008

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> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> Roderick Tolentino	<b>Art Unit</b> 2134	

-- 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 02/27/2008.
- 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) 1-26 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) 1-26 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 25 September 2003 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. Claims 1 – 26 are pending.

#### ***Continued Examination Under 37 CFR 1.114***

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 2/27/2008 has been entered.

#### ***Response to Arguments***

3. Applicant's arguments with respect to claims 1, 6, 19 and 24 have been considered but are moot in view of the new ground(s) of rejection, as necessitated by amendment made by applicant on 2/27/2008.

#### ***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 –

(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, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C. 102(e) as being anticipated by Schneider et al. U.S. Patent No. (6,785,728).
6. As per claims 1, 6, 19 and 24, Schneider discloses receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of a type of service which the messages are intended to invoke (Schneider, Col. 16 Lines 15 – 26, Communications involving access requests), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access) and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of services that are authorized (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).
7. As per claim 4, Schneider discloses filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).
8. As per claim 5, Schneider discloses communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).

9. As per claim 7, Schneider discloses accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).

10. As per claims 8 and 20, Schneider discloses the beneficiary is a sender of the message (Schneider, Col. 8 Lines 30 – 39, all users access requests checked by access filter).

11. As per claims 9 and 21, Schneider discloses the beneficiary is the recipient of the message (Schneider, Col. 8 Lines 30 – 39, all users access requests checked by access filter).

12. As per claim 10, Schneider discloses receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access) and comparing the authorized services for the beneficiary to the service indicated in the message (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).

13. As per claim 13, Schneider discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).

14. As per claim 16, Schneider discloses processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the

Art Unit: 2132

service (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).

15. As per claim 23, Schneider discloses monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Schneider, Col. 8 Lines 35 – 45, analyzing through the filter to allow access or reject access).

***Claim Rejections - 35 USC § 103***

16. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

17. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al. U.S. Patent No. (6,785,728) in view of Tso U.S. PG- Publication No. (2002/0124112).

18. As per claim 2, Schneider fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011 ).



At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Schneider's distributed administration of access to information because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

20. As per claim 14, Schneider fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient.

However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

21. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over D Schneider et al. U.S. Patent No. (6,785,728) in view of Barraclough et al. U.S. PG-Publication No. (2001/0024436).

22. As per claim 12, Schneider fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected

from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barracough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barracough's VO-IP Audio-data terminal processor with Schneider's distributed administration of access to information because it offers the advantage of using a cost-effective way to communicate of channels (Barracough, Paragraph 0004).

23. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al. U.S. Patent No. (6,785,728) in view of Orton et al. U.S. Patent No. (6,678,735).

24. As per claims 11 and 22, Schneider fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Schneider's distributed administration of access to information because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

25. As per claim 25, Schneider teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Schneider, Col. 8 Lines 35 - 45,

analyzing through the filter to allow access or reject access) but fails to teach the use of SIP signaling and proxy servers. However, in an analogous art Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Schneider's distributed administration of access to information because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

26. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al. U.S. Patent No. (6,785,728) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

27. As per claim 15, Schneider fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Schneider's distributed administration of access to information because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

28. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al. U.S. Patent No. (6,785,728) in view of Pereira et al. U.S. Patent No. (5,809,230).

29. As per claim 17, Schneider fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Schneider's distributed administration of access to information because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

30. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al. U.S. Patent No. (6,785,728) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

31. As per claim 18, Schneider fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Schneider's distributed administration of access to information because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

32. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider et al. U.S. Patent No. (6,785,728) in view of Young e et al. U.S. PG-Publication No. (2003/0093563).

33. As per claim 26, Schneider fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Schneider's distributed administration of access to information because it offers the advantage of being a more secure system.

### ***Conclusion***

Art Unit: 2132

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Zand can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2134

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2134

/Benjamin E Lanier/  
Primary Examiner, Art Unit 2132

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2134	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barracrough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
*	I	US-6,785,728	08-2004	Schneider et al.	709/229
	J	US-			
	K	US-			
	L	US-			
	M	US-			

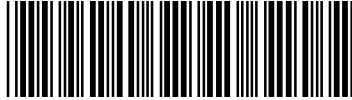
**FOREIGN PATENT DOCUMENTS**

*		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.

<b>Index of Claims</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2134

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	03/29/2007	11/26/2007	05/06/2008					
	1	✓	✓	✓					
	2	✓	✓	✓					
	3	✓	✓	✓					
	4	✓	✓	✓					
	5	✓	✓	✓					
	6	✓	✓	✓					
	7	✓	✓	✓					
	8	✓	✓	✓					
	9	✓	✓	✓					
	10	✓	✓	✓					
	11	✓	✓	✓					
	12	✓	✓	✓					
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	14	✓	✓	✓					
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	21	✓	✓	✓					
	22	✓	✓	✓					
	23	✓	✓	✓					
	24	✓	✓	✓					
	25	✓	✓	✓					
	26	✓	✓	✓					



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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/671,375
	Filing Date	September 25, 2003
	First Named Inventor	David Grabelsky et al.
	Art Unit	2134
	Examiner Name	Tolentino, Roderick
Total Number of Pages in This Submission	Attorney Docket Number	03-395

<b>ENCLOSURES (Check all that apply)</b>		
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Remarks		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Firm Name	McDonnell Boehnen Hulbert & Berghoff LLP		
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Date	October 31, 2008	Reg. No.	41,523

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In the Application of:	)	
	)	
David Grabelsky et al.	)	Examiner: Tolentino, Roderick
	)	
Serial No. 10/671,375	)	Group Art Unit: 2134
	)	
Filed: September 25, 2003	)	Confirmation No.: 1853
	)	
For: System and Method for Network Based	)	Customer No.: 20306
Policy Enforcement of Intelligent-Client	)	
Features	)	

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

**RESPONSE TO THE OFFICE ACTION MAILED MAY 5, 2008**

Dear Sir:

This paper is submitted in response to the Office Action mailed May 5, 2008. Please enter the following remarks and amendments into the record for this application. Also enclosed is a Petition for Extension of Time under 37 C.F.R. §1.136(a) (3 Months), along with requisite fees.

**Amendments to the Claims** are reflected in the listing of claims that begins on page 2 of this paper.

**Remarks/Arguments** begin on page 9 of this paper.

## AMENDMENTS

### IN THE CLAIMS

1. (currently amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

receiving a signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages includes an indication of one a type of the plurality of services which the messages ~~are~~ is intended to invoke;

making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point; and

filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized.

2. (Original) The method of claim 1, wherein filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device.

3. (Original) The method of claim 2, wherein altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits.

4. (Original) The method of claim 1, wherein filtering the messages comprises discarding the signaling messages having an indication of services which the sender or the intended recipient devices are unauthorized to use.

5. (Original) The method of claim 1, further comprising communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services.

6. (currently amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

receiving a message;

recognizing that the message includes at least part of an indication of at least one of the plurality of services;

determining whether a beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point; and

processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

7. (Original) The method of claim 6, wherein recognizing that the message includes at least part of the indication of the service comprises:

accessing a database including information indicating implementations of services; and

comparing the indication of the service to the information in the database.

8. (Original) The method of claim 6, wherein the beneficiary is a sender of the message.

9. (Original) The method of claim 6, wherein the beneficiary is an intended recipient of the message.

10. (Original) The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the service comprises:

receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the service indicated in the message.

11. (Original) The method of claim 6, wherein the message is a session initiation protocol (SIP) message.

12. (Original) The method of claim 6, wherein the service is selected from the group consisting of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.

13. (Original) The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service.

14. (Original) The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to an intended recipient.

15. (Original) The method of claim 14, wherein altering the message comprises altering the message so as to disable the service.

16. (Original) The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service.

17. (Original) The method of claim 16, further comprising returning an error indication message to a sender of the message.

18. (Original) The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the service, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke or receive the service.

19. (Currently amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

receiving a message, the message configured according to a protocol;

associating the message with at least one known service of said plurality of services that is defined within the protocol;

requesting a user profile of a user associated with the message, wherein the user profile specifies which of the plurality of services the user is authorized to use and is stored in part on a remote server;

determining from the user profile whether the user is authorized to invoke or receive the at least one known service of the plurality of services; and

filtering the message based on whether the user is authorized to invoke or receive the at least one known service of the plurality of services.

20. (Original) The method of claim 19, wherein the user is a sender of the message.

21. (Original) The method of claim 19, wherein the user is an intended recipient of the message.

22. (Original) The method of claim 19, wherein the message is a session initiation protocol (SIP) message.

23. (Original) The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use.

24. (Currently amended) A system for controlling a plurality of services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;

a processor;

data storage; and

program logic stored in the data storage and executable by the processor to associate the messages with known services of the plurality of services that are defined within the protocol, to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services according to a user profile maintained on a remote enforcement point, and to filter the messages based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services.

25. (currently amended) A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of at least one services of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one end device is authorized to use.



26. (Original) The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

## REMARKS

Claims 1-26 are currently pending. In the Office Action mailed May 9, 2008, claims 1, 4-10, 13, 16, 19-21 and 23-24 stand rejected under 35 U.S.C. § 102(e) as being allegedly anticipated by Schneider et al. (US Patent No. 6,785,728). Claims 2-3 and 14 stand rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Tso (US Publication No. 2002/0124112). Claim 12 stands rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Barraclough et al. (US Publication No. 2001/0024436). Claims 11, 22 and 25 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Orton et al. (US Patent No. 6,678,735). Claim 15 stands rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Hodge et al. (US Publication No. 2004/0029564). Claim 17 is rejected under 35 U.S.C. § 103(a) as being allegedly unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Pereira et al. (US Patent No. 5,809,230). Claim 18 stands rejected under 35 U.S.C. 103(a) as being allegedly unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Feldbaum et al. (US Patent No. 6,446,206). Claim 26 stands rejected under 35 U.S.C. 103(a) as being allegedly unpatentable over Schneider et al. (US Patent No. 6,785,728) in view of Young et al. (US Publication No. 2003/0093563).

Applicants respectively traverse. After a careful review of the Office Action, the cited portions of the references, and Applicants' claim clarifications, Applicants respectively request reconsideration in view of the following remarks.

### **I. CLAIM REJECTIONS UNDER 35 U.S.C. § 102(e)**

Claims 1, 4-10, 13, 16, 19-21 and 23-24 are rejected under 35 U.S.C. 102(e) as being

allegedly anticipated by Schneider et al. (US Patent No. 6,785,728). Applicants respectively traverse.

*A. Applicants' Presently Claimed Invention*

As Applicants explain in the background section of its Patent Specification, in practice, certain next-generation services depend upon network-based servers and support, so network providers are probably in no danger of losing their ability to sell services. But the trend toward intelligent, IP-based clients is a new dimension in the space of creation and delivery of telephony and media services. At best, carriers, service providers, and device manufacturers may have to work together to ensure interoperability. At worst, carriers and service providers may need to deal with unauthorized delivery of services by intelligent clients in their networks. Either way, maintaining relevance as providers of services, and not just transport of the services, is no longer a given for network providers in a world shared with intelligent clients.

Therefore, if carriers and service providers are to maintain their ability to generate revenue for services offered or supported in their networks, then the service providers' ability to enforce the authorization of service usage is important. This is particularly important in next-generation IP telephony and IP multimedia networks, where many basic and advanced services may be signaled, controlled, and/or delivered by intelligent end-user clients that are not owned or controlled by the network providers, thereby enabling the potential bypassing by the end user of service agreements or other subscription accounting mechanisms. Applicants' Specification at Page 2 Line 18 – Page 3 Line 10.

Applicant's presently claimed invention is generally directed to meeting the needs of service providers' ability to enforce the authorization of a plurality of services. To this end, the present invention relates to policy enforcement of network services and, more particularly, to a

system and method for network based policy enforcement of intelligent-client features. Applicants' Specification at Page 2 Lines 2-4 (emphasis added).

Referring to Figure 2 of Applicants' Specification, the network 200 includes a core IP network 202, and local IP networks 204 and 206. In this case, end-user clients are SIP user agents, such as SIP user agents 204a-b and 206a-b, and SIP phones, such as SIP phone 204c-d and 206c-e. The core IP network 202 includes a SIP Proxy server 208, an authentication/authorization server 210, a directory server 212, and a network-based services server 214. Border elements in the core IP network 202 are NAT firewalls 216 and 218, which incorporate functionality specific to SIP. Such devices are commonly referred to as SIP-aware firewalls, as illustrated. The NAT firewalls 216 and 218 make it possible, for example, for a SIP client with only a local address within the local area network to initiate and receive SIP-based calls to and from SIP endpoints in the core IP network 202, or other local networks connected (directly or indirectly) to the core IP network 202.

In order for a SIP phone, *e.g.*, 204c, to establish connectivity beyond its local IP network 204, its user registers with the SIP proxy server 208 in the core IP network 202. The registration process will typically include some sort of verification that authenticates the user and authorizes use of a set of services. This authentication usually involves communications between the SIP proxy server 208 and the authentication and authorization server 210 via an additional protocol. For example, Remote Authentication Dial In User Service (RADIUS) might be used for this purpose. Assuming the user is successfully authenticated, authorization for use of services could be determined according to a user profile stored in the authentication and authorization server 210. The user profile might list services and features to which the user has subscribed, *e.g.*, basic calls, call waiting, call forwarding, etc. Once registration is complete, the user may invoke

services within the core IP network 202. Note that the user could be a specific person, group, or generic identity (*e.g.*, “cafeteria phone”). Applicants’ Specification at Page 14 Line 7 – Page 15 Line 17.

While lists of authorized services and features may be stored in the user profile, it is possible for many of the features themselves to be fully or partially realized directly within the SIP phone 204c. Thus, a user could decline to subscribe to a certain service in the core IP network 202, but still obtain that service using the implementation on the SIP phone 204c. Assuming that a carrier or service provider of the network 200 normally charges for that service, then this user would be acquiring it for free. As noted, one way to attempt to prevent this from happening is to extend or enhance the SIP protocol to support passing the information about the user’s authorized services to the SIP phone, as described in U.S. Patent Application Serial Number 10/243,642, entitled “Architecture and Method for Controlling Features and Services in Packet-Based Networks.” The SIP phone would then only invoke those services for which authorization has been received, *i.e.*, the SIP phone becomes the policy enforcement point on behalf of the core IP network 202.

As Applicants explain in the Specification section entitled, “NETWORK-BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES” and with respect to Applicants’ Figure 2, in an exemplary embodiment, an entity of the network 200 is the policy enforcement point on behalf of the core IP network 202. The entity is a core-network-based policy enforcement point that is (1) in the communications path of substantially each and every call control and signaling message between any end-user client and any call control and signaling entity of the network 202 (including, possibly, another client device); and (2) able to communicate with, and set parameters of, network elements that monitor and control media data

flow across network boundaries (*e.g.*, border elements 216 and 218). The policy enforcement point may recognize all call control and signaling messages that pass through it, and filter them according to their content, including, but not limited to, sender, intended recipient, and meaning within the particular call control and signaling protocol (*e.g.*, message type). In addition, the policy enforcement point may control media data flow, or augment and/or assist other network elements that have this function. Such control of media data flow may include, but is not limited to, ensuring compliance of media streams with agreed-to bandwidth and other network resource usage. Applicants' Specification at Page 15 Line 19 – Page 16 Line 10.

The policy enforcement point may facilitate network-based enforcement of service and feature privileges on a call-by-call basis, (1) during an initial setup phase of the call or session, based upon the filtering of call control and signaling messages; and (2) once the call, session, service, or feature is allowed and/or established, based upon both filtering of subsequent call control messages, and the monitoring and enforcement of any relevant, negotiated media bandwidth and/or other network resource usage. Note that the term policy enforcement point is a reference to a logical localization of a set of tasks and functions that may actually be embodied in one or more physical devices, and/or in a distributed manner. Applicants' Specification at Page 16 Lines 11-18.

The network policy enforcement point may use information, if known, regarding authorized services and features of the sender, and/or information, if known, regarding authorized services and features of the intended recipient, to process each call control and signaling message according to a policy or policies prescribed by the core IP network. The filtering of call control and signaling messages constitutes policy enforcement, and for each message may result in the message being forwarded on with or without alterations, the message

being discarded with or without return of an error indication message to the sender, or the message being discarded with return of an option message to the sender, for example. Applicants' Specification at Page 16 Line 19 – Page 17 Line 3.

For any given message for which the sender is an authorized subscriber to the core network, the sender's user profile will be known to the network and thus available to the policy enforcement entity. In this case, policy enforcement will be applied according to the sender's authorized services and features, even if the intended recipient is not a subscriber to the core network, or is a trusted endpoint within the core network. For example, the intended recipient could be a service element within the core network, or subscriber in another core network.

A policy enforcement point(s) is (are) the network entity (or entities) at which policy is set. This could be accomplished at the authentication and authorization server 210, the call control and signaling server (*e.g.*, the SIP proxy server 208), or any other element that can communicate, directly or indirectly, with a policy enforcement point. Applicants' Specification at Page 17 Lines 4 - 20.

Enforcement of bandwidth and/or other network resource usage according to the authorized services on a given call, session, service, or feature may be accomplished by monitoring the associated media stream(s), and comparing statistics compiled with relevant parameters established during the call control and signaling phase. The actions taken on calls or sessions found to be in violation of negotiated bandwidth or other resource usage may range from dropping excess media data associated with the call or session, to terminating the call or session. The specific actions may depend upon local policy. If such actions are already encompassed within the functions of existing network entities, such as border elements (*e.g.*, NAT firewalls 216 and 218), then the system and method of the present invention may assist

these entities by supplying relevant information collected during the setup of calls and sessions. Applicants' Specification at Page 17 Line 21 – Page 18 Line 7.

Figure 3 is a flowchart depicting one embodiment of a method 300 of network-based policy enforcement of intelligent client features. Initially, signaling and call control messages are received or intercepted by the policy enforcement point. The policy enforcement point may be a border element between a local network and a core network, for example, that intercepts all signaling messages sent in between. Each signaling and/or call control message is then associated with a known service or feature, or a call-flow segment of a known service or feature, as shown at block 302. The policy enforcement point then determines whether the sender and/or intended recipient of the message is authorized to use and/or invoke the identified service or feature, as shown at block 304. The policy enforcement point then filters each signaling and/or call control message according to whether or not the identified service or feature is authorized for the sender and/or intended recipient of the message, as shown at block 306. The policy enforcement point may then communicate with and/or control one or more network entities responsible for monitoring and regulating media data flow across network boundaries in order to ensure compliance with the authorization of usage of services and negotiated bandwidth, as shown at block 308. Note that the step of communicating with network entities to monitor network resource usage is optional on a call-by-call basis, depending upon whether or not the call or session is allowed, and whether any associated services or features consume or depend upon media resources of the network. Applicants' Specification at Page 18 Line 8 – Page 19 Line 3.

Applicants' presently pending claims are generally directed to such a method and system for policy enforcement and control of a plurality of services. For example, independent claim 1



now expressly recites a method for controlling **a plurality of** services in packet-based networks comprising the steps of “receiving signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages include an indication of one type of the plurality of services which the messages are intended to invoke.” Claim 1 also now expressly recites the step of “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the one type of the plurality of services based in part on a recipient device profile maintained in part at a policy enforcement point.” (emphasis added). Applicants’ remaining independent claims recite similar limitations.

As Applicants explain above, a policy enforcement point(s) is (are) the network entity (or entities) at which policy is set. This could be accomplished at the authentication and authorization server 210, the call control and signaling server (*e.g.*, the SIP proxy server 208), or any other element that can communicate, directly or indirectly, with a policy enforcement point. Applicants’ Specification at Page 17 Lines 4 - 20.

Also, the plurality of services could comprise telephony and/or media services. Assuming the user is successfully authenticated, authorization for use of such plurality of services could be determined according to a user profile stored in the authentication and authorization server 210. The user profile might list services and features to which the user has subscribed, *e.g.*, basic calls, call waiting, call forwarding, etc. Once registration is complete, the user may invoke services within the core IP network 202. Note that the user could be a specific person, group, or generic identity (*e.g.*, “cafeteria phone”). Applicants’ Specification at Page 14 Line 7 – Page 15 Line 17. While lists of authorized services and features may be stored in the user profile, it is possible for many of the features themselves to be fully or partially realized directly within the SIP phone 204c.

B. *Schneider '728 Does Not Anticipate Applicants' Pending Claims*

Schneider '728 does not anticipate Applicants' presently claimed invention. Unlike Applicants' presently claimed invention, Schneider '728 is not directed to a system or method for controlling a plurality of services in packet-based networks, such services being telephony and/or media services. Schneider '728 therefore also does not teach or suggest a user profile that is stored in an authentication and authorization server and that lists what services and features from the plurality of services to which the user has subscribed, *e.g.*, basic calls, call waiting, call forwarding, etc.

Rather, Schneider '728 appears generally directed to the control of access to data in a distributed environment. Schneider '728 is not directed to "controlling a plurality of services in packet-based networks." Schneider '728 discusses an access filter 203 in that all references made by a user at a user system to a data item on a server must go through at least one access filter 203. Unlike Applicants' presently claimed invention, the access filter 203 taught by Schneider '728 does not equate to "controlling a plurality of services in packet based networks." The access filter 203 as taught by Schneider '728, therefore, does not teach or suggest a system or method for controlling a plurality of services in packet-based networks, such services being telephony and/or media services.

The presently pending Office Action relies on Col. 16 Lines 15 - 26 of Schneider '728 as disclosing Applicants' claimed limitation of "signaling messages include an indication of a type of service which the messages are intended to invoke." Office Action page 3. Applicants traverse. These relied upon portions of Schneider '728 merely discuss the access filter 203 that has a position in Virtual Private Network 201. This access filter 203 purportedly is able to control access by the user to the resource by interceding in the communication between a user

and a service on the server which is able to provide the user with access to the information resource. There is simply no teaching in this cited portion of Schneider ‘728 of Applicants’ “signaling message” that includes an indication of one type of the plurality of services. As detailed above, such plurality of services could include IP telephony IP multimedia services. These cited portions of Schneider ‘728 are completely silent as to such plurality of services and as such, completely silent as to a signaling message that includes “an indication one type of service of said plurality of services which the message is intended to invoke.”

In addition, the presently pending Office Action relies on Col. 8 Lines 35 – 45 of Schneider ‘728 as disclosing Applicants’ recited limitation of “making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a receipt device profile.” May 9, 2008 Office Action page 3. Again, Applicants traverse. First, as discussed above, Schneider ‘728 does not teach or suggest controlling a plurality of services in a packet-based network. There is simply no teaching or suggestion in Schneider ‘728 of a plurality of services comprising IP telephony and IP multimedia services. Rather, Schneider ‘728 merely mentions allowing access to a single service. In any event, Applicants have revised the pending independent claims to further distinguish Schneider ‘728.

Second, Schneider ‘728 does not teach or suggest “a recipient device profile maintained in part on a remote enforcement point.” As Applicants discuss above, with Applicants’ presently claimed “recipient device profile,” assuming a user is successfully authenticated, authorization for use of one of a plurality of services could be determined according to a user profile stored in the authentication and authorization server. As such, the user profile might list a plurality of services and features to which the user has subscribed, *e.g.*, basic calls, call waiting, call

forwarding, etc. Schneider '728 does not disclose such a "recipient device profile." Rather, the relied upon portion of Schneider '728 (Col. 8 Lines 35 – 45) merely mentions that a computer system or terminal 209 or roamer 217 is connected via an access filter 203 directly to a server 211. This cited portion further states that any attempt by a user at user system 209(i) to access data on server 211(i) must go through access filter 203(a). There is simply no mention of a user profile that lists a plurality of services and features to which the user has subscribed, *e.g.*, basic calls, call waiting, call forwarding, etc.

In addition, Schnieder '728 is completely silent as to Applicants' "a remote enforcement point." As discussed above, one such remote enforcement point is disclosed as an entity that is a core-network-based policy enforcement point that is (1) in the communications path of substantially each and every call control and signaling message between any end-user client and any call control and signaling entity of the network 202 (including, possibly, another client device); and (2) able to communicate with, and set parameters of, network elements that monitor and control media data flow across network boundaries (*e.g.*, border elements 216 and 218). There is simply no mention or teaching of such an enforcement point in Schneider '728.

To anticipate a claim, "each and every element set forth in the claim [must be] found, either expressly or inherently described, in a single . . . reference." *Vergall Bros. V. Union Oil Co. of California*, 814 F.2f 628, 631 (Fed. Cir. 1987) (M.P.E.P. Section 2131). Consequently, since Schneider '728 does not teach or suggest "controlling a plurality of services," Schneider '728 simply also does not teach or suggest a signaling message that "includes an indication of one type of the plurality of services which the message is intended to invoke." Schneider '728 therefore does not to teach every element of the claimed invention and, therefore does not anticipate Applicant's presently pending Independent Claims.

Consequently, amended Independent Claims 1, 6, 19, 24, and 25 are allowable for at least all of the reasons stated above. The remaining claims 2-5, 7-18, 20-23 and 26 are all dependent on these allowable independent claims and are therefore allowable for at least the reasons stated above.

If there are any matters that may be resolved or clarified through a telephone interview, the Examiner is respectfully requested to contact Applicants' undersigned representative at (312) 913-0001.

Respectfully submitted,

**McDonnell Boehnen Hulbert & Berghoff LLP**

Date: October 31, 2008

By: /Thomas E. Wettermann/

Thomas E. Wettermann

Reg. No. 41,523

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>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a) FY 2009</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>		Docket Number (Optional) 03-395	
Application Number 10/671,375		Filed September 25, 2003	
For System and Method for Network Based Policy Enforcement of Intelligent-Client Features			
Art Unit 2134		Examiner Tolentino, Roderick	
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.			
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):			
		<u>Fee</u>	<u>Small Entity Fee</u>
<input type="checkbox"/>	One month (37 CFR 1.17(a)(1))	\$130	\$65
<input type="checkbox"/>	Two months (37 CFR 1.17(a)(2))	\$490	\$245
<input checked="" type="checkbox"/>	Three months (37 CFR 1.17(a)(3))	\$1110	\$555
<input type="checkbox"/>	Four months (37 CFR 1.17(a)(4))	\$1730	\$865
<input type="checkbox"/>	Five months (37 CFR 1.17(a)(5))	\$2350	\$1175
<input type="checkbox"/>	Applicant claims small entity status. See 37 CFR 1.27.		
<input type="checkbox"/>	A check in the amount of the fee is enclosed.		
<input type="checkbox"/>	Payment by credit card. Form PTO-2038 is attached.		
<input checked="" type="checkbox"/>	The Director has already been authorized to charge fees in this application to a Deposit Account.		
<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>13-2490</u> .		
<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>			
I am the	<input type="checkbox"/>	applicant/inventor.	
	<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).	
	<input checked="" type="checkbox"/>	attorney or agent of record. Registration Number <u>41,523</u>	
	<input type="checkbox"/>	attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____.	
<u>/Thomas E. Wettermann/</u>		<u>October 31, 2008</u>	
Signature		Date	
<u>Thomas E. Wettermann</u>		<u>312-913-2138</u>	
Typed or printed name		Telephone Number	
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.			
<input type="checkbox"/>	Total of _____ forms are submitted.		

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 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.**

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IPR2018-00884

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
**(MBHB Case No. 03-395)**

In re Application of:	)	
	)	
David Grabelsky et al.	)	
	)	Examiner: Tolentino, Roderick
Serial No.: 10/671,375	)	
	)	Group Art Unit: 2134
Filed: September 25, 2003	)	
	)	Confirmation No.: 1853
For: System and Method for Network Based	)	
Policy Enforcement of Intelligent-Client	)	
Features	)	

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

**GENERAL AUTHORIZATION UNDER 37 C.F.R. § 1.136(a)(3)**

Sir:

The Commissioner is hereby generally authorized under 37 C.F.R. § 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 C.F.R. § 1.53 requiring an extension of time as incorporating a request therefore, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 13-2490 for any fee that may be due in connection with such a request for an extension of time.

Respectfully submitted,  
**McDonnell Boehnen Hulbert & Berghoff LLP**

Date: October 31, 2008

By: Thomas E. Wettermann/  
Thomas E. Wettermann  
Reg. No. 41,523

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Thomas E. Wettermann
<b>Attorney Docket Number:</b>	03,395

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				
Extension - 3 months with \$0 paid	1253	1		<sup>1110</sup> IPR2018-00884 <sup>1110</sup>



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1110</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	4215617
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Thomas E. Wettermann
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	01-NOV-2008
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	19:08:58
<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	\$1110
RAM confirmation Number	4453
Deposit Account	132490
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 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

IPR2018-00884

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	Miscellaneous Incoming Letter	03_395_OA_Transmittal_2008_10_31.pdf	88307 1d350f43ce00bf52d81604c5b9a49272de1ce131	no	1
<b>Warnings:</b>					
<b>Information:</b>					
2	Amendment Copy Claims/Response to Suggested Claims	03_395_OA_Response_2008_10_31.pdf	162502 de659623a8e18fc6181ee778e435062f2e908240	no	20
<b>Warnings:</b>					
<b>Information:</b>					
3	Extension of Time	03_395_3Mo_Ext_2008_10_31.pdf	113110 30ec61da0fc57af02547789885247bedc6c9b0d9	no	1
<b>Warnings:</b>					
<b>Information:</b>					
4	Authorization for Extension of Time all replies	03_395_General_Authorization_2008_10_31.pdf	24747 fdb87c9bc0f5e34f2cc42613b447832b3d47dfc	no	1
<b>Warnings:</b>					
<b>Information:</b>					
5	Fee Worksheet (PTO-06)	fee-info.pdf	29856 8a70cc98be58f91f00145af928a69670a754dd92	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			418522		

**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>10/671,375</b>	Filing Date <b>09/25/2003</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 (\$)	OR	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A			N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A			N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A			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 \$ =			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).						
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>							
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL			TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	11/01/2008	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	<small>Total (37 CFR 1.16(i))</small>	* 26	Minus ** 26	= 0	X \$ =		OR	X \$52=	0
	<small>Independent (37 CFR 1.16(h))</small>	* 5	Minus ***5	= 0	X \$ =		OR	X \$220=	0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	0

	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	Total (37 CFR 1.16(i))	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	*	Minus	**	=	X \$ =		OR	X \$ =	
	<small>Independent (37 CFR 1.16(h))</small>	*	Minus	***	X \$ =		OR	X \$ =	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					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".

Legal Instrument Examiner:  
 /JULIET MCMILLAN/

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

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.**

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UNITED STATES DEPARTMENT OF COMMERCE
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www.uspto.gov

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 03,395 1853

20306 7590 02/09/2009
MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP
300 S. WACKER DRIVE
32ND FLOOR
CHICAGO, IL 60606

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2434

MAIL DATE DELIVERY MODE

02/09/2009

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.

**Office Action Summary**

<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
<b>Examiner</b> Roderick Tolentino	<b>Art Unit</b> 2434	

-- 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 11/01/2008.
- 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) 1-26 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) 1-26 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 25 September 2003 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. Claims 1 – 26 are pending.

#### *Response to Arguments*

2. Applicant's arguments with respect to claims 1, 6, 19 and 24 have been considered but are moot in view of the new ground(s) of rejection, as necessitated by amendment made by applicant on 11/01/2008.

#### *Claim Rejections - 35 USC § 102*

3. 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 –

(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.

4. Claims 1, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C. 102(a) as being anticipated by Kavanagh U.S. PG-Publication No. (2003/0081607).

5. As per claim 1, 6, 19 and 24, Kavanagh discloses receiving a signaling messages within a communication path between a sender device and an intended recipient device, wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Kavanagh,



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Paragraph 0013, analyzing a signaling message), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria), and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

6. As per claim 4, Kavanagh discloses filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

7. As per claim 5, Kavanagh discloses communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

8. As per claim 7, Kavanagh discloses accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

9. As per claims 8 and 20, Kavanagh discloses the beneficiary is a sender of the message (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

10. As per claims 9 and 21, Kavanagh discloses the beneficiary is the recipient of the message (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

11. As per claim 10, Kavanagh discloses receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria) and comparing the authorized services for the beneficiary to the service indicated in the message (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

12. As per claim 13, Kavanagh discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

13. As per claim 16, Kavanagh discloses processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

14. As per claim 23, Kavanagh discloses monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use

(Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

***Claim Rejections - 35 USC § 103***

15. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

16. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Tso U.S. PG-Publication No. (2002/0124112).

17. As per claim 2, Kavanagh fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011 ).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

18. As per claim 3, Kavanagh as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

19. As per claim 14, Kavanagh fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient.

However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph

0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

20. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over D Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

21. As per claim 12, Kavanagh fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Kavanagh's general packet radio service tunneling protocol packet filter because it

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offers the advantage of using a cost- effective way to communicate of channels (Barracough, Paragraph 0004).

22. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Orton et al. U.S. Patent No. (6,678,735).

23. As per claims 11 and 22, Kavanagh fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

24. As per claim 25, Kavanagh teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria) but fails to teach the use of SIP signaling and proxy servers. However, in an analogous art Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18- 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

25. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

26. As per claim 15, Kavanagh fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

27. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Pereira et al. U.S. Patent No. (5,809,230).

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28. As per claim 17, Kavanagh fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

29. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

30. As per claim 18, Kavanagh fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Kavanagh's general packet radio service tunneling protocol packet filter

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because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

31. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Young e et al. U.S. PG-Publication No. (2003/0093563).

32. As per claim 26, Kavanagh fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of being a more secure system.

### ***Conclusion***

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).



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 concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Zand can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2434

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2434

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2434

/Kambiz Zand/  
Supervisory Patent Examiner, Art Unit 2434

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2434	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barracrough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
*	I	US-6,785,728	08-2004	Schneider et al.	709/229
*	J	US-2003/0081607	05-2003	Kavanagh, Alan	370/392
	K	US-			
	L	US-			
	M	US-			

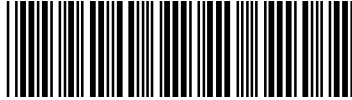
**FOREIGN PATENT DOCUMENTS**

*		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.

<b>Index of Claims</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2134

✓	<b>Rejected</b>
=	<b>Allowed</b>


-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	03/29/2007	11/26/2007	05/06/2008	02/02/2009				
	1	✓	✓	✓	✓				
	2	✓	✓	✓	✓				
	3	✓	✓	✓	✓				
	4	✓	✓	✓	✓				
	5	✓	✓	✓	✓				
	6	✓	✓	✓	✓				
	7	✓	✓	✓	✓				
	8	✓	✓	✓	✓				
	9	✓	✓	✓	✓				
	10	✓	✓	✓	✓				
	11	✓	✓	✓	✓				
	12	✓	✓	✓	✓				
	13	✓	✓	✓	✓				
	14	✓	✓	✓	✓				
	15	✓	✓	✓	✓				
	16	✓	✓	✓	✓				
	17	✓	✓	✓	✓				
	18	✓	✓	✓	✓				
	19	✓	✓	✓	✓				
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	22	✓	✓	✓	✓				
	23	✓	✓	✓	✓				
	24	✓	✓	✓	✓				
	25	✓	✓	✓	✓				
	26	✓	✓	✓	✓				

<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2134

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

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**REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL  
(Submitted Only via EFS-Web)**

Application Number	10671375	Filing Date	2003-09-25	Docket Number (if applicable)	03-395	Art Unit	2134
First Named Inventor	David Grabelsky			Examiner Name	Tolentino, Roderick		

**This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.**  
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV

**SUBMISSION REQUIRED UNDER 37 CFR 1.114**

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_

Other \_\_\_\_\_

Enclosed

Amendment/Reply

Information Disclosure Statement (IDS)

Affidavit(s)/ Declaration(s)

Other \_\_\_\_\_

**MISCELLANEOUS**

Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months \_\_\_\_\_  
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

Other \_\_\_\_\_

**FEES**

**The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**

The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 132490

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Patent Practitioner Signature

Applicant Signature

Signature of Registered U.S. Patent Practitioner			
Signature	/Rory P. Shea/	Date (YYYY-MM-DD)	2009-05-07
Name	Rory P. Shea	Registration Number	60529

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 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.

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

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In the Application of:	)	
	)	
David Grabelsky et al.	)	Examiner: Tolentino, Roderick
	)	
Serial No. 10/671,375	)	Group Art Unit: 2134
	)	
Filed: September 25, 2003	)	Confirmation No.: 1853
	)	
For: System and Method for Network	)	
Based Policy Enforcement of	)	
Intelligent-Client Features	)	

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**SUBMISSION WITH REQUEST FOR CONTINUED EXAMINATION**

Dear Sir:

With a Request for Continued Examination, Applicants respond to the Office Action  
mailed February 9, 2009 as follows.

## REMARKS

In the Office Action mailed February 9, 2009, the Examiner rejected:

- claims 1, 4-10, 14, 16, 19-21, 23, and 24 under 35 U.S.C. § 102(a) as being allegedly anticipated by U.S. Publication No. 2003/0081607 (*Kavanagh*);
- claims 2, 3, and 14 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Publication No. 2002/0124112 (*Tao*);
- claim 12 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Publication No. 2001/0024436 (*Barraclough*);
- claims 11, 22, and 25 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Patent No. 6,678,735 (*Orton*);
- claim 15 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Publication No. 2003/0081607 (*Hodge*);
- claim 17 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Patent No. 5,809,230 (*Pereira*);
- claim 18 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Patent No. 6,446,206 (*Feldbaum*); and
- claim 26 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of U.S. Publication No. 2003/0093563 (*Young*).

Applicants respectfully traverse the rejections of all pending claims and request reconsideration.

### 1. Status of the Claims

Presently pending are claims 1-26, of which claims 1, 6, 19, 24, and 25 are independent and the remainder are dependent. Claim 1 is directed to a method for controlling a plurality of services in packet-based networks. The method may include (a) receiving a signaling message within a communication path between a sender device and an intended recipient device, wherein the signaling message includes an indication of one type of the plurality of services which the message is intended to invoke, (b) making a determination of whether the sender or the intended recipient device of the message is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point; and (c)

filtering the signaling message based on the determination so as to pass to the intended recipient device signaling message having an indication of which of the plurality of services that are authorized.

Claim 6 is directed to a method for controlling a plurality of services in packet-based networks. The method may include (a) receiving a message, (b) recognizing that the message includes at least part of an indication of at least one of the plurality of services, (c) determining whether a beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point, and (d) processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

Claim 19 is directed to a method for controlling a plurality of services in packet-based networks. The method may include (a) receiving a message, the message configured according to a protocol, (b) associating the message with at least one known service of said plurality of services that is defined within the protocol, (c) requesting a user profile of a user associated with the message, wherein the user profile specifies which of the plurality of services the user is authorized to use and is stored in part on a remote server, (d) determining from the user profile whether the user is authorized to invoke or receive the at least one known service of the plurality of services, and (e) filtering the message based on whether the user is authorized to invoke or receive the at least one known service of the plurality of services.

Claim 24 is directed to a system for controlling a plurality of services in packet-based networks. The system may include (a) an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol, (b) a processor, (c) data storage, and (d) program logic stored in the data storage and executable by the processor (1) to associate the messages with known services of the plurality of services that are defined within the protocol, (2) to determine

whether at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services according to a user profile maintained on a remote enforcement point, and (3) to filter the messages based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services.

Claim 25 is directed to a system that includes (a) a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices, and (b) a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one end device is authorized to use.

## **2. Response to Rejections under 35 U.S.C. § 102(a)**

The Examiner rejected claims 1, 4-10, 14, 16, 19-21, 23, and 24 under 35 U.S.C. § 102(a) as being allegedly anticipated by *Kavanagh*. Applicants respectfully submit that *Kavanagh* does not anticipate the subject matter as set forth in independent claims 1, 6, 19, and 24.

*Kavanagh* discloses a method of filtering data packets in General Packet Radio Service (GPRS) Tunneling Protocol (GTP) signaling messages between service nodes in a GPRS network. See, e.g., *Kavanagh*, [0013]. The method includes analyzing GTP signaling messages, such as GTP Path Management messages, GTP Tunnel Management messages, GTP Mobility Management messages, and GTP Location Management messages, against a plurality of filtering criteria. See, e.g., *Kavanagh*, [0013]. This analysis step may include

assessing the validity of data in a GTP signaling message header, such as source, destination, and mask addresses, message type, and GTP version number. See, e.g., *Kavanagh*, [0013], [0034], [0047]-[0050], [0054]. The analysis step may additionally include assessing the validity of data in accompanying Information elements (IEs), such as End User Address, Access Point Name (APN), and GSN address. See, e.g., *Kavanagh*, [0013], [0047]-[0050], [0059]-[0060]. Responsive to the analysis step, the method then includes selectively dropping data packets from the GTP signaling message or allowing the packets to pass. See, e.g., *Kavanagh*, [0013].

Thus, at best, *Kavanagh* discloses filtering data packets in GTP signaling messages based on the validity of data carried within the packets. *Kavanagh*, however, fails to disclose or suggest controlling a plurality of services indicated by or associated with signaling messages, as recited in claims 1, 6, 19, and 24. Indeed, *Kavanagh* does not even disclose or suggest identifying a service indicated by or associated with a signaling message, let alone determining whether a user or device is authorized to invoke or receive the service. Accordingly, *Kavanagh* fails to disclose or suggest at least the recited elements of:

- "making a determination of whether the sender or the intended recipient device of [a] message is authorized to invoke [one] type of service [indicated by the message] based in part on a recipient device profile maintained in part on a remote enforcement point," as recited in claim 1;
- "determining whether a beneficiary of . . . at least one of [a] plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point," as recited in claim 6;
- "associating [a] message with at least one known service of [a] plurality of services that is defined within a protocol" or "determining from [a] user profile whether [a] user is authorized to invoke or receive the at least one known service of the plurality of services," as recited in claim 19; or
- "program logic stored in the data storage and executable by the processor to associate . . . messages with known services of [a] plurality of services that are defined within [a] protocol [and] to determine whether at least one of [a] first end

device and [a] second end device is authorized to invoke or receive the services of the plurality of services according to a user profile maintained on a remote enforcement point," as recited in claim 24.

For at least these reasons, *Kavanagh* fails to disclose or suggest claims 1, 6, 19, and 24 as a whole, and as such *Kavanagh* does not anticipate claims 1, 6, 19, and 24. Additionally, without conceding the Examiner's additional assertions, Applicants submit that dependant claims 4, 5, 7-10, 14, 16, 20, 21, and 23 are allowable for at least the reasonable that they depend from claims 1, 6, 19, and 24.

Accordingly, Applicant respectfully requests withdrawal of the rejections under 35 U.S.C. 102(a).

### **3. Response to Rejections under 35 U.S.C. § 103(a)**

The Examiner rejected claims 2, 3, 11-13, 15, 17, 18, 22, 25, and 26 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of either *Tao*, *Barraclough*, *Orton*, *Hodge*, *Pereira*, *Feldbaum*, or *Young*. Claim 25 is independent, while claims 2 and 3 depend from claim 1, claims 11-13, 15, 17, and 18 depend from claim 6, claim 22 depends from claim 19, and claim 26 depends from claim 25. As previously described, *Kavanagh* fails to disclose or suggest controlling a plurality of services indicated by or associated with signaling messages, as recited in claims 1, 6, 19, and 24. For similar reasons, *Kavanagh* fails to disclose or suggest a system that includes a border element operable to filter signaling messages based on authorized services of end devices, as recited in independent claim 25.

Moreover, the other teachings cited by the Examiner fail to disclose or suggest controlling a plurality of services indicated by or associated with signaling messages. The Examiner cites:

- *Tao* for a teaching of altering signaling messages and forwarding the message to an intended recipient;

- *Barracrough* for a teaching of a service being selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification;
- *Orton* for a teaching of using SIP signaling messages;
- *Hodge* for a teaching of altering a message so as to disable a service;
- *Pereira* for a teaching of returning an error indication message to a sender of a message;
- *Feldbaum* for a teaching of returning an option message to a sender asking the sender of it wants to invoke or receive a service; and
- *Young* for a teaching of a border element being selected from a group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

See Office Action, p. 5-10. None of these teachings, however, overcome the deficiencies of *Kavanagh*. For at least this reason, Applicants submit that claims 2, 3, 11-13, 15, 17, 18, 22, 25, and 26 are not obvious in light of the combination of *Kavanagh* and either *Tao*, *Barracrough*, *Orton*, *Hodge*, *Pereira*, *Feldbaum*, or *Young*.

Accordingly, Applicants respectfully request withdrawal of the Examiner's rejections under 35 U.S.C. § 103(a).

## CONCLUSION

In light of the above remarks, the Applicants submit that the present application is in condition for allowance and respectfully requests notice to this effect. The Examiner is requested to contact the Applicants' representative below if any questions arise or if he may be of assistance to the Examiner.

Respectfully submitted,

Dated: May 7, 2009

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## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Rory Patrick Shea
<b>Attorney Docket Number:</b>	03,395

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Request for continued examination	1801	1	810	810
<b>Total in USD (\$)</b>				<b>810</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	5295364
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Rory Patrick Shea
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	07-MAY-2009
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	17:34:06
<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	\$810
RAM confirmation Number	3513
Deposit Account	132490
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

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IPR2018-00884

**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	03-395_RCE.pdf	783928 7d4313934ebdc2b473521601d193eb8d7a4a842d	no	3

**Warnings:**

**Information:**

2		03-395_OA.pdf	130087 aece159547af05fa9a64e8998be8ed10c6c8c554	yes	8
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**Multipart Description/PDF files in .zip description**

Document Description	Start	End
Amendment After Final	1	1
Applicant Arguments/Remarks Made in an Amendment	2	8

**Warnings:**

**Information:**

3	Fee Worksheet (PTO-875)	fee-info.pdf	30117 9ee49886df7278ebd8feac71d05259441f20f873	no	2
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**Warnings:**

**Information:**

**Total Files Size (in bytes):** 944132

**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>10/671,375</b>	Filing Date <b>09/25/2003</b>	<input type="checkbox"/> To be Mailed
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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		N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		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).					
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>						
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY			
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR		
AMENDMENT	05/07/2009	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 26	Minus	** 26 = 0	X \$ =		OR	X \$52= 0
	Independent <small>(37 CFR 1.16(h))</small>	* 5	Minus	***5 = 0	X \$ =		OR	X \$220= 0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR	
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE 0

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY			
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR		
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	*	Minus	** =	X \$ =		OR	X \$ =
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	*** =	X \$ =		OR	X \$ =
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR	
					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:  
 /DIANE WILLIAMS/

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.**

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853

20306 7590 07/06/2009  
MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP  
300 S. WACKER DRIVE  
32ND FLOOR  
CHICAGO, IL 60606

EXAMINER
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TOLENTINO, RODERICK

ART UNIT	PAPER NUMBER
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2439

MAIL DATE	DELIVERY MODE
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07/06/2009

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> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> Roderick Tolentino	<b>Art Unit</b> 2439	

-- 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 05/07/2009.
- 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) 1-26 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) 1-26 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 25 September 2003 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**

Claims 1 – 26 are pending.

#### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 05/07/2009 has been entered.

#### ***Response to Arguments***

Applicant's arguments with respect to claims 1, 6, 19 and 24 have been considered but are moot in view of the new ground(s) of rejection.

#### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.



Claims 1, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) in view of Modarressi et al. U.S. Patent No. (6,667,971).

As per claim 1, 6, 19 and 24, Kavanagh teaches receiving a signaling messages within a communication path between a sender device and an intended recipient device, (Kavanagh, Paragraph 0013, analyzing a signaling message), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria), and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria) but fails to teach wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Modarressi's system for enhanced adsl architecture and service concepts with Kavanagh's general packet radio service tunneling protocol

packet filter because it offers the advantage of having the services provided at any time (Modarressi, Col. 4 Lines 47 – 55).

As per claim 4, Kavanagh teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claim 5, Kavanagh teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claim 7, Kavanagh teaches accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claims 8 and 20, Kavanagh teaches the beneficiary is a sender of the message (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claims 9 and 21, Kavanagh teaches the beneficiary is the recipient of the message (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claim 10, Kavanagh teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized

to invoke or receive (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria) and comparing the authorized services for the beneficiary to the service indicated in the message (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claim 13, Kavanagh discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claim 16, Kavanagh teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

As per claim 23, Kavanagh teaches monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria).

Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Tso U.S. PG- Publication No. (2002/0124112).

As per claim 2, Kavanagh fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the

intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011 ).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

As per claim 3, Kavanagh as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

As per claim 14, Kavanagh fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over D Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

As per claim 12, Kavanagh fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Orton et al. U.S. Patent No. (6,678,735).

As per claims 11 and 22, Kavanagh fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

As per claim 25, Kavanagh teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Kavanagh, Paragraph 0013, analyzing a signaling message and looking for filtering criteria) but fails to teach herein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke and the use of SIP signaling and proxy servers. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services) and Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Modarressi's system for enhanced adsl architecture and service concepts with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of having the services provided at any time (Modarressi, Col. 4 Lines 47 – 55).

Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

As per claim 15, Kavanagh fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Pereira et al. U.S. Patent No. (5,809,230).

As per claim 17, Kavanagh fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal

computer resources with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

As per claim 18, Kavanagh fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Kavanagh U.S. PG-Publication No. (2003/0081607) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Young e et al. U.S. PG- Publication No. (2003/0093563).



As per claim 26, Kavanagh fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Kavanagh's general packet radio service tunneling protocol packet filter because it offers the advantage of being a more secure system.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Christian LaForgia/  
Primary Examiner, Art Unit 2439

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2439	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barracrough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
*	I	US-6,785,728	08-2004	Schneider et al.	709/229
*	J	US-2003/0081607	05-2003	Kavanagh, Alan	370/392
*	K	US-6,667,971	12-2003	Modarressi et al.	370/352
	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.

## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	4453998	@ad< "20030925"	US-PGPUB; USPAT	OR	OFF	2009/02/02 12:15
L2	17	1 and (filter\$3 near3 type near3 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:35
L3	427	1 and (message near4 (security trust) near4 level)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:43
L4	6	1 and ((message near4 (security trust) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:44
L5	2	1 and ((message near4 (service) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:47
L6	49	3 and (filter\$3 near4 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:51
L7	2	6 and (authorizes near4 (services level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:52
L8	50	1 and (message near3 contains near3 type near4 (service trust security level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:53
L9	0	8 and (filer\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
L10	7	8 and (filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
L11	0	1 and ((signaling adj2 messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
L12	19	1 and ((messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
L13	5603	1 and (signaling adj2 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
L14	30	1 and ((signaling adj2 messages) near5 filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03

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 \ Amendment\_10671375.wsp**

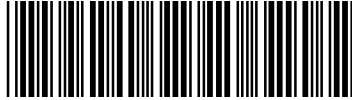
<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

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<b>Index of Claims</b>  	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE										
Final	Original	03/29/2007	11/26/2007	05/06/2008	02/02/2009	06/24/2009						
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	26	✓	✓	✓	✓	✓						

## EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L3	4461670	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/06/24 18:18
L4	152	L3 and (messages near4 plurality near4 services)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19
L5	15	L3 and (messages near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19
L6	2	L3 and (choos\$3 near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:23
L7	62	L3 and (type near4 (plurality adj2 services))	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
L8	7	L3 and (type near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
L9	3	L3 and (choos\$3 near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:26
L10	6	L3 and (choos\$3 near4 type near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:27
L11	29	L3 and ((client user) near4 choos\$3 near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:28
S1	4453998	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/02/02 12:15
S2	17	S1 and (filter\$3 near3 type near3 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:35
S3	427	S1 and (message near4 (security trust) near4 level)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:43
S4	6	S1 and ((message near4 (security trust) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:44
S5	2	S1 and ((message near4 (service) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:47



S6	49	S3 and (filter\$3 near4 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:51
S7	2	S6 and (authorizes near4 (services level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:52
S8	50	S1 and (message near3 contains near3 type near4 (service trust security level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:53
S9	0	S8 and (filer\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S10	7	S8 and (filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S11	0	S1 and ((signaling adj2 messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S12	19	S1 and ((messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S13	5603	S1 and (signaling adj2 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S14	30	S1 and ((signaling adj2 messages) near5 filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In the Application of:	)	
	)	
David Grabelsky et al.	)	Examiner: Tolentino, Roderick
	)	
Serial No. 10/671,375	)	Group Art Unit: 2134
	)	
Filed: September 25, 2003	)	Confirmation No.: 1853
	)	
For: System and Method for Network	)	
Based Policy Enforcement of	)	
Intelligent-Client Features	)	

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**RESPONSE TO OFFICE ACTION MAILED JUNE 6, 2009**

Dear Sir:

With a Petition for a Two Month Extension of Time, Applicants respond to the Office

Action mailed June 6, 2009 as follows.

## REMARKS

In the Office Action mailed June 6, 2009, the Examiner rejected all claims under 35 U.S.C. § 103(a). In particular, the Examiner rejected (a) claims 1, 4-10, 14, 16, 19-21, 23, and 24 as being allegedly unpatentable over U.S. Publication No. 2003/0081607 (*Kavanagh*) in view of U.S. Patent No. 6,667,971 (*Modarressi*), (b) claims 2, 3, and 14 as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of U.S. Publication No. 2002/0124112 (*Tao*), (c) claim 12 as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of U.S. Publication No. 2001/0024436 (*Barracrough*), (d) claims 11, 22, and 25 as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of U.S. Patent No. 6,678,735 (*Orton*), (e) claim 15 as being allegedly unpatentable over *Kavanagh* in view of U.S. Publication No. 2003/0081607 (*Hodge*), (f) claim 17 as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of U.S. Patent No. 5,809,230 (*Pereira*), (g) claim 18 as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of U.S. Patent No. 6,446,206 (*Feldbaum*), and (h) claim 26 as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of U.S. Publication No. 2003/0093563 (*Young*). Applicants respectfully traverse the rejections of all pending claims and request reconsideration.

### 1. Status of the Claims

Presently pending are claims 1-26, of which claims 1, 6, 19, 24, and 25 are independent and the remainder are dependent. Claims 1, 6, and 19 are directed to methods for controlling a plurality of services in packet-based networks. Claim 1 recites (a) receiving a signaling message within a communication path between a sender device and an intended recipient device, wherein the signaling message includes an indication of one type of the plurality of services which the message is intended to invoke, (b) making a determination of whether the sender or the intended recipient device of the message is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement

point; and (c) filtering the signaling message based on the determination so as to pass to the intended recipient device signaling message having an indication of which of the plurality of services that are authorized.

Claim 6 recites (a) receiving a message, (b) recognizing that the message includes at least part of an indication of at least one of the plurality of services, (c) determining whether a beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point, and (d) processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

Claim 19 recites (a) receiving a message, the message configured according to a protocol, (b) associating the message with at least one known service of said plurality of services that is defined within the protocol, (c) requesting a user profile of a user associated with the message, wherein the user profile specifies which of the plurality of services the user is authorized to use and is stored in part on a remote server, (d) determining from the user profile whether the user is authorized to invoke or receive the at least one known service of the plurality of services, and (e) filtering the message based on whether the user is authorized to invoke or receive the at least one known service of the plurality of services.

Claim 24 is directed to a system for controlling a plurality of services in packet-based networks that includes (a) an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol, (b) a processor, (c) data storage, and (d) program logic stored in the data storage and executable by the processor (1) to associate the messages with known services of the plurality of services that are defined within the protocol, (2) to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services according to a user profile maintained on a remote

enforcement point, and (3) to filter the messages based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services.

Claim 25 is directed to a system that includes (a) a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices, and (b) a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one end device is authorized to use.

## **2. Response to § 103 Rejections based on *Kavanagh/Modarressi***

The Examiner rejected claims 1, 4-10, 14, 16, 19-21, 23, and 24 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* in view of *Modarressi*. The Examiner clearly erred in setting forth these rejections, however, because at a minimum Examiner relied exclusively on *Kavanagh* for teachings that are clearly not present in that reference.

*Kavanagh* discloses a method of filtering data packets in General Packet Radio Service (GPRS) Tunneling Protocol (GTP) signaling messages between service nodes in a GPRS network, to limit attacks on GPRS networks. See, e.g., *Kavanagh*, [0012] - [0013]. The method includes analyzing GTP signaling messages against a plurality of filtering criteria. See, e.g., *Kavanagh*, [0013]. This analysis step may include assessing the validity of data in a GTP signaling message header, such as source, destination, and mask addresses, message type, and GTP version number. See, e.g., *Kavanagh*, [0013], [0034], [0047]-[0050], [0054]. The analysis step may additionally include assessing the validity of data in accompanying

Information elements (IEs), such as End User Address, Access Point Name (APN), and GSN address. See, e.g., *Kavanagh*, [0013], [0047]-[0050], [0059]-[0060]. Responsive to the analysis step, the method then includes selectively dropping data packets from the GTP signaling message or allowing the packets to pass. See, e.g., *Kavanagh*, [0013].

The Examiner conceded that *Kavanagh* fails to teach signaling messages that include an indication of one type of a plurality of services which the messages are intended to invoke. See Office Action, p. 3. Despite the Examiner's assertions to the contrary, however, *Kavanagh* also fails to disclose or suggest (a) determining whether a user or device is authorized to invoke or receive a service based on a user or device profile stored at a remote device and (b) filtering or processing messages based on such a determination, as recited in claims 1, 6, 19, and 24.

First, *Kavanagh* does not teach determining whether a **user or device is authorized to invoke or receive a service**. Instead, *Kavanagh* teaches determining whether **data within GTP packets is valid**. See, e.g., *Kavanagh*, [0013]. Second, *Kavanagh* does not teach determining whether a user or device is authorized to invoke or receive a service based on a **user or device profile stored at a remote device**. Instead, *Kavanagh* teaches determining whether data within GTP packets is valid based on **filtering criteria**, which is not associated with a user or device. See, e.g., *Kavanagh*, [0013]. Third, *Kavanagh* does not teach filtering or processing messages based on whether a user or device is authorized to invoke or receive a service. Instead, *Kavanagh* teaches dropping packets based on whether data within the packets is valid. See, e.g., *Kavanagh*, [0013].

For at least these reasons, *Kavanagh* fails to disclose or suggest these elements recited in claims 1, 6, 19, and 24. Because the Examiner relied exclusively on *Kavanagh* for allegedly teaching these elements, the factual basis for the Examiner's obviousness rejection was fundamentally flawed. Consequently, under M.P.E.P § 2142, the Examiner clearly did not establish *prima facie* obviousness of claims 1, 6, 19, and 24 over *Kavanagh* in view of *Modarressi*, and Applicants respectfully submit that claims 1, 6, 19, and 24 are allowable.

Additionally, without conceding the Examiner's additional assertions, Applicants submit that dependant claims 4, 5, 7-10, 14, 16, 20, 21, and 23 are allowable for at least the reason that they depend from claims 1, 6, 19, and 24. Accordingly, Applicants respectfully request withdrawal of these rejections under 35 U.S.C. 103(a).

### 3. Response to Other § 103 Rejections

The Examiner rejected claims 2, 3, 11-13, 15, 17, 18, 22, 25, and 26 under 35 U.S.C. § 103(a) as being allegedly unpatentable over *Kavanagh* and *Modarressi* in view of either *Tao*, *Barraclough*, *Orton*, *Hodge*, *Pereira*, *Feldbaum*, or *Young*. Claim 25 is independent, while claims 2 and 3 depend from claim 1, claims 11-13, 15, 17, and 18 depend from claim 6, claim 22 depends from claim 19, and claim 26 depends from claim 25. As previously described, Applicants respectfully submit that claims 1, 6, 19, and 24 are allowable. Accordingly, Applicants submit that dependent claims 2, 3, 11-13, 15, 17, 18, and 22 are allowable for at least the reason that they depend from claims 1, 6, and 19.

For reasons similar to those described above with respect to claims 1, 6, 19, and 24, Applicants also submit that *Kavanagh* fails to disclose or suggest a system that includes a border element operable to filter signaling messages based on **authorized services of end devices**, where a **user profile** specifies which services of the plurality of services at least one end device is authorized to use, as recited in claim 25. Because the Examiner relied exclusively on *Kavanagh* for allegedly teaching these elements, the factual basis for the Examiner's obviousness rejection was fundamentally flawed. Consequently, under M.P.E.P § 2142, the Examiner clearly did not establish *prima facie* obviousness of claim 25 over *Kavanagh* in view of *Modarressi* and *Orton*, and Applicants respectfully submit that claim 25 is allowable. Additionally, without conceding the Examiner's additional assertions, Applicants submit that dependant claim 26 is allowable for at least the reason that it depends from claim 25.

Accordingly, Applicants respectfully request withdrawal of these rejections under 35 U.S.C. 103(a).

### CONCLUSION

In light of the above remarks, the Applicants submit that the present application is in condition for allowance and respectfully requests notice to this effect. The Examiner is requested to contact the Applicants' representative below if any questions arise or if he may be of assistance to the Examiner.

Respectfully submitted,

Dated: November 24, 2009

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## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Rory Patrick Shea
<b>Attorney Docket Number:</b>	03,395

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				
Extension - 2 months with \$0 paid	1252	1	490	490
<b>IPR2018-00884</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>490</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	6517685
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Rory Patrick Shea
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	24-NOV-2009
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	15:15:13
<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	\$490
RAM confirmation Number	1744
Deposit Account	132490
Authorized User	

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IPR2018-00884

**File Listing:**

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Extension of Time	03-395_Extension.pdf	324169 d8b70c84358180f31d756b96ceecb13187a db423	no	2

**Warnings:****Information:**

2		03-395_OA_Response.pdf	136380 eedb57a1a11179eabfd14ad40cd527e7f1 bea6	yes	7
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**Multipart Description/PDF files in .zip description**

Document Description	Start	End
Amendment/Req. Reconsideration-After Non-Final Reject	1	1
Applicant Arguments/Remarks Made in an Amendment	2	7

**Warnings:****Information:**

3	Fee Worksheet (PTO-875)	fee-info.pdf	30111 db132625b06bf486bee3b02e42cda22e8ec d3b9e	no	2
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**Warnings:****Information:**

<b>Total Files Size (in bytes):</b>	490660
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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>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)</b> <b>FY 2009</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>		Docket Number (Optional) 03-395	
Application Number 10671375		Filed September 25, 2003	
For System and Method for Network Based Policy Enforcement of Intelligent-Client Features			
Art Unit 2134		Examiner Tolentino, Roderick	
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.			
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):			
		<u>Fee</u>	<u>Small Entity Fee</u>
<input type="checkbox"/>	One month (37 CFR 1.17(a)(1))	\$130	\$65      \$ _____
<input checked="" type="checkbox"/>	Two months (37 CFR 1.17(a)(2))	\$490	\$245      \$ <u>490.00</u>
<input type="checkbox"/>	Three months (37 CFR 1.17(a)(3))	\$1110	\$555      \$ _____
<input type="checkbox"/>	Four months (37 CFR 1.17(a)(4))	\$1730	\$865      \$ _____
<input type="checkbox"/>	Five months (37 CFR 1.17(a)(5))	\$2350	\$1175      \$ _____
<input type="checkbox"/>	Applicant claims small entity status. See 37 CFR 1.27.		
<input type="checkbox"/>	A check in the amount of the fee is enclosed.		
<input type="checkbox"/>	Payment by credit card. Form PTO-2038 is attached.		
<input checked="" type="checkbox"/>	The Director has already been authorized to charge fees in this application to a Deposit Account.		
<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>132490</u> .		
<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>			
I am the	<input type="checkbox"/>	applicant/inventor.	
	<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).	
	<input checked="" type="checkbox"/>	attorney or agent of record. Registration Number <u>60529</u>	
	<input type="checkbox"/>	attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____	
<u>/Rory P. Shea/</u>		<u>November 24, 2009</u>	
Signature		Date	
<u>Rory P. Shea</u>		<u>312 913 3337</u>	
Typed or printed name		Telephone Number	
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.			
<input type="checkbox"/>	Total of _____ forms are submitted.		

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 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.**

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5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853

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CHICAGO, IL 60606

EXAMINER
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TOLENTINO, RODERICK

ART UNIT	PAPER NUMBER
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2439

MAIL DATE	DELIVERY MODE
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02/16/2010

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.





### DETAILED ACTION

1. Claims 1 – 26 are pending.

#### *Response to Arguments*

2. Applicant's arguments with respect to claims 1, 6, 19 and 24 have been considered but are moot in view of the new ground(s) of rejection.

#### *Claim Rejections - 35 USC § 103*

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) in view of Modarressi et al. U.S. Patent No. (6,667,971).
5. As per claim 1, 6, 19 and 24, Phillips teaches receiving a signaling messages within a communication path between a sender device and an intended recipient device (Phillips, Paragraph 0004, telecommunications network), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point (Phillips, Paragraph 0025, filter circuit designed to pass

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and block data based on service), and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service), but fails to teach wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Modarressi's system for enhanced adsl architecture and service concepts with Phillips system for providing telephone service restrictions because it offers the advantage of having the services provided at any time (Modarressi, Col. 4 Lines 47 – 55).

6. As per claim 4, Phillips teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

7. As per claim 5, Phillips teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

8. As per claim 7, Phillips teaches accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

9. As per claims 8 and 20, Phillips teaches the beneficiary is a sender of the message (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

10. As per claims 9 and 21, Phillips teaches the beneficiary is the recipient of the message (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

11. As per claim 10, Phillips teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service) and comparing the authorized services for the beneficiary to the service indicated in the message (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

12. As per claim 13, Phillips discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

13. As per claim 16, Phillips teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service

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(Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

14. As per claim 23, Phillips teaches monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

15. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Tso U.S. PG- Publication No. (2002/0124112).

16. As per claim 2, Kavangh fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011 ).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Phillips system for providing telephone service restrictions because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

17. As per claim 3, Phillips as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

18. As per claim 14, Phillips fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

19. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over D Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

20. As per claim 12, Phillips fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Phillips system for providing telephone service restrictions because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

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21. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Orton et al. U.S. Patent No. (6,678,735).

22. As per claims 11 and 22, Phillips fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Phillips system for providing telephone service restrictions because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

23. As per claim 25, Phillips teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service) but fails to teach herein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke and the use of SIP signaling and proxy servers. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services) and Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Phillips system for providing telephone service restrictions because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Modarressi's system for enhanced adsl architecture and service concepts with Phillips system for providing telephone service restrictions because it offers the advantage of having the services provided at any time (Modarressi, Col. 4 Lines 47 – 55).

24. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

25. As per claim 15, Phillips fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Phillips system for providing telephone service restrictions because it offers the

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advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

26. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Pereira et al. U.S. Patent No. (5,809,230).

27. As per claim 17, Phillips fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Phillips system for providing telephone service restrictions because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

28. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

29. As per claim 18, Phillips fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the



sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Phillips system for providing telephone service restrictions because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

30. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Young et al. U.S. PG- Publication No. (2003/0093563).

31. As per claim 26, Phillips fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Phillips system for providing telephone service restrictions because it offers the advantage of being a more secure system.

### ***Conclusion***

Art Unit: 2439

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

/Edan Orgad/  
Supervisory Patent Examiner, Art Unit 2439

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2439	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barracrough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
*	I	US-6,785,728	08-2004	Schneider et al.	709/229
*	J	US-2003/0081607	05-2003	Kavanagh, Alan	370/392
*	K	US-6,667,971	12-2003	Modarressi et al.	370/352
*	L	US-2004/0057188	03-2004	Phillips et al.	361/119
	M	US-			

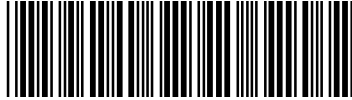
**FOREIGN PATENT DOCUMENTS**

*		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.

<b>Index of Claims</b>  	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2439

✓	<b>Rejected</b>
=	<b>Allowed</b>


-	<b>Cancelled</b>
÷	<b>Restricted</b>

<b>N</b>	<b>Non-Elected</b>
<b>I</b>	<b>Interference</b>

<b>A</b>	<b>Appeal</b>
<b>O</b>	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE							
Final	Original	03/29/2007	11/26/2007	05/06/2008	02/02/2009	06/24/2009	02/01/2010		
	1	✓	✓	✓	✓	✓	✓		
	2	✓	✓	✓	✓	✓	✓		
	3	✓	✓	✓	✓	✓	✓		
	4	✓	✓	✓	✓	✓	✓		
	5	✓	✓	✓	✓	✓	✓		
	6	✓	✓	✓	✓	✓	✓		
	7	✓	✓	✓	✓	✓	✓		
	8	✓	✓	✓	✓	✓	✓		
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	10	✓	✓	✓	✓	✓	✓		
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	23	✓	✓	✓	✓	✓	✓		
	24	✓	✓	✓	✓	✓	✓		
	25	✓	✓	✓	✓	✓	✓		
	26	✓	✓	✓	✓	✓	✓		

<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT
Updated EAST Keyword Search	2/1/2010	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

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S23	29	S15 and ((client user) near4 choos\$3 near4 (services) with network)	US- PGPUB; USPAT	OR	ON	2009/06/24 18:28
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**EAST Search History (I nterference)**

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\ Amendment\_10671375.wsp**



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)**

<b>In the Application of:</b>	)	
	)	
<b>David Grabelsky et al.</b>	)	<b>Examiner: Tolentino, Roderick</b>
	)	
<b>Serial No. 10/671,375</b>	)	<b>Group Art Unit: 2134</b>
	)	
<b>Filed: September 25, 2003</b>	)	<b>Confirmation No.: 1853</b>
	)	
<b>For: System and Method for Network     Based Policy Enforcement of     Intelligent-Client Features</b>	)	

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**RESPONSE TO OFFICE ACTION MAILED FEBRAURY 16, 2010**

Dear Sir:

In response to the non-final office action mailed February 16, 2010, Applicant requests favorable reconsideration in view of the following remarks. Applicant believes that no fee is required at this time. However, please charge any underpayment or credit any overpayment to Deposit Account No. 132490. In addition, please treat any filing in this matter that requires an extension of time as incorporating a request for such an extension.

## REMARKS

### 1. Summary of the Office Action

In the non-final office action mailed February 16, 2010, the Examiner rejected all claims under 35 U.S.C. § 103(a). In particular, the Examiner rejected (a) claims 1, 4-10, 13, 16, 19-21, 23, and 24 as being allegedly unpatentable over U.S. Publication No. 2004/0057188 (Phillips) in view of U.S. Patent No. 6,667,971 (Modarressi), (b) claims 2, 3, and 14 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Publication No. 2002/0124112 (Tao), (c) claim 12 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Publication No. 2001/0024436 (Barracrough), (d) claims 11, 22, and 25 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Patent No. 6,678,735 (Orton), (e) claim 15 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Publication No. 2003/0081607 (Hodge), (f) claim 17 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Patent No. 5,809,230 (Pereira), (g) claim 18 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Patent No. 6,446,206 (Feldbaum), and (h) claim 26 as being allegedly unpatentable over Phillips in view of Modarressi in view of U.S. Publication No. 2003/0093563 (Young).

### 2. Status of the Claims

Presently pending are claims 1-26, of which claims 1, 6, 19, 24, and 25 are independent and the remainder are dependent. Claims 1, 6, and 19 are directed to methods for controlling a plurality of services in packet-based networks. Claim 1 recites (a) receiving a signaling message within a communication path between a sender device and an intended recipient device, wherein the signaling message includes an indication of one type of the plurality of services which the message is intended to invoke, (b) making a determination of whether the sender or the intended recipient device of the message is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement

point; and (c) filtering the signaling message based on the determination so as to pass to the intended recipient device signaling message having an indication of which of the plurality of services that are authorized.

Claim 6 recites (a) receiving a message, (b) recognizing that the message includes at least part of an indication of at least one of the plurality of services, (c) determining whether a beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point, and (d) processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

Claim 19 recites (a) receiving a message, the message configured according to a protocol, (b) associating the message with at least one known service of said plurality of services that is defined within the protocol, (c) requesting a user profile of a user associated with the message, wherein the user profile specifies which of the plurality of services the user is authorized to use and is stored in part on a remote server, (d) determining from the user profile whether the user is authorized to invoke or receive the at least one known service of the plurality of services, and (e) filtering the message based on whether the user is authorized to invoke or receive the at least one known service of the plurality of services.

Claim 24 is directed to a system for controlling a plurality of services in packet-based networks that includes (a) an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol, (b) a processor, (c) data storage, and (d) program logic stored in the data storage and executable by the processor (1) to associate the messages with known services of the plurality of services that are defined within the protocol, (2) to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services according to a user profile maintained on a remote

enforcement point, and (3) to filter the messages based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the services of the plurality of services.

Claim 25 is directed to a system that includes (a) a border element being in a communications path of session initiation protocol (SIP) signaling messages between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of the end devices, and (b) a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one end device is authorized to use.

### **3. Response to Rejections**

#### **a. Claims 1-24**

Of these claims, claims 1, 6, 19, and 24 are independent and the remainder are dependent. As noted above, the Examiner rejected independent claims 1, 6, 19, and 24 under 35 U.S.C. § 103(a) as being allegedly unpatentable over Phillips in view of Modarressi. Applicant submits that the Examiner did not establish a *prima facie* case of obviousness of claims 1, 6, 19, and 24, however, because at a minimum the Examiner based the conclusion of obviousness on alleged teachings of Phillips that are clearly not present in that reference.

At best, Phillips teaches an incumbent local exchange carrier pre-configuring or designing a filter circuit to pass or block particular frequencies on a telecommunications line based whether a competitive local exchange carrier is authorized (i.e., purchased the right) to provide a class of service (e.g., POTS, ISDN, ADSL, VDSL, etc.) on the incumbent local exchange carrier's line. See, e.g., Phillips, ¶¶ 0005-0006, 0024-0028, Table 1. Despite the

Examiner's assertions to the contrary, however, Phillips fails to teach (a) determining whether a sender or intended recipient of a received message (or a beneficiary of a service) is authorized to invoke or receive a service based in part on a sender or intended recipient (or beneficiary) profile stored in part at a remote enforcement point (or server) and (b) filtering (or processing) messages based on the authorization determination.

As an initial matter, Phillips fails to teach determining whether a **sender or an intended recipient of a received message** is authorized to invoke or receive a service. Instead, Phillips at best teaches pre-configuring or designing the filter circuit based on whether a **competitive local exchange carrier**—which is neither a sender or an intended recipient of a received message—is authorized to provide a class of service on a line. Further, Phillips fails to teach making an authorization determination based on any profile stored at a remote enforcement point, let alone a **sender or intended recipient profile**. Indeed, being that Phillips at best teaches pre-configuring or designing the filter circuit based on whether a **competitive local exchange carrier** is authorized to provide a class of service on a line, it would not be reasonable or logical to rely on a **sender or intended recipient** profile. Further yet, because Phillips fails to teach determining whether a sender or intended recipient of a received message is authorized to invoke or receive a service, Phillips also fails teach filtering messages based on that authorization determination. In fact, Phillips fails to teach filtering messages based on any **authorization determination**. Instead, Phillips at best teaches pre-configuring or designing a filter circuit based on an authorization determination, and then the filter circuit passing or blocking signals based on **frequency**.

In erroneously asserting that Phillips teaches the recited features, the Examiner relied solely on paragraph 25 of the reference. There, Phillips teaches that a "[f]ilter circuit . . . can be readily designed to pass or block frequencies depending on the class of service authorized to pass through the telecommunications lines to or from the subscriber." See Phillips, ¶ 25. As discussed above, however, the filter circuit is designed depending on the class of service that

the **competitive local exchange carrier** is authorized to pass through the telecommunications line—not services that **a sender or intended receiver of a received message** is authorized to invoke or receive as recited in the claims. Moreover, as discussed above, it is the design of the filter circuit—and not the passing or blocking of signals—that depends on the class of service authorization. Accordingly, consistent with the other portions of Phillips, paragraph 25 fails to teach (a) determining whether a sender or intended recipient of a received message is authorized to invoke or receive a service based in part on a sender or intended recipient profile stored in part at a remote enforcement point and (b) filtering messages based on the authorization determination.

Because the Examiner relied exclusively on Phillips for teachings that are clearly not present in Phillips to reject claims 1, 6, 19, and 24, the factual underpinnings of the Examiner's obviousness conclusion are flawed. For this reason alone, the Examiner did not establish a *prima facie* case of obviousness of independent claims 1, 6, 19, and 24 over Phillips in view of Modarressi, and Applicant respectfully requests withdrawal of these §103 rejections.

Additionally, without conceding the Examiner's additional assertions, Applicant submits that the Examiner did not establish a *prima facie* case of obviousness of dependant claims 2-5, 7-18, and 20-23 for at least the reason that they depend from claims 1, 6, 19, and 24, and Applicant respectfully requests withdrawal of these §103 rejections as well.

**b. Claims 25-26**

Of these claims, claim 25 is independent and claim 26 is dependent. As noted above, the Examiner rejected claim 25 under 35 U.S.C. § 103(a) as being allegedly unpatentable over Phillips in view of Modarressi in view of Orton.

As with claims 1, 6, 19, and 24, Applicant submits that the Examiner did not establish a *prima facie* case of obviousness of claim 25, because at a minimum the Examiner based the conclusion of obviousness on alleged teachings of Phillips that are clearly not present in that

reference. For example, despite the Examiner's assertions to the contrary, Phillips fails to teach filtering messages **based on authorized services of end devices** for largely the same reasons that Phillips fails to teach the features discussed above.

Because the Examiner relied exclusively on Phillips for teachings that are clearly not present in Phillips to reject claim 25, the factual underpinnings of the Examiner's obviousness conclusion are flawed. For this reason alone, the Examiner failed to establish a *prima facie* case of obviousness of independent claim 25 over Phillips in view of Modarressi in view or Orton, and Applicant respectfully requests withdrawal of this §103 rejection. Additionally, without conceding the Examiner's additional assertions, Applicant submits that he Examiner failed to establish a *prima facie* case of obviousness of dependant claim 26 for at least the reason that it depends from claim 25, and Applicant respectfully requests withdrawal of this §103 rejection as well.

### CONCLUSION

In view of the foregoing, Application respectfully requests favorable action. The Examiner is requested to contact the Applicant's representative below if any questions arise or if he may be of further assistance to the Examiner.

Respectfully submitted,

Dated: June 15, 2010

By: /Rory P. Shea/  
Rory P. Shea  
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Chicago, Illinois 60606-6709  
312 913 3337  
shea@mbhb.com

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>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)</b> <b>FY 2009</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>		Docket Number (Optional) 03-395	
Application Number 10671375		Filed September 25, 2003	
For System and Method for Network Based Policy Enforcement of Intelligent-Client Features			
Art Unit 2134		Examiner Tolentino, Roderick	
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.			
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):			
		<u>Fee</u>	<u>Small Entity Fee</u>
<input checked="" type="checkbox"/>	One month (37 CFR 1.17(a)(1))	\$130	\$65      \$ <u>130.00</u>
<input type="checkbox"/>	Two months (37 CFR 1.17(a)(2))	\$490	\$245      \$ _____
<input type="checkbox"/>	Three months (37 CFR 1.17(a)(3))	\$1110	\$555      \$ _____
<input type="checkbox"/>	Four months (37 CFR 1.17(a)(4))	\$1730	\$865      \$ _____
<input type="checkbox"/>	Five months (37 CFR 1.17(a)(5))	\$2350	\$1175      \$ _____
<input type="checkbox"/>	Applicant claims small entity status. See 37 CFR 1.27.		
<input type="checkbox"/>	A check in the amount of the fee is enclosed.		
<input type="checkbox"/>	Payment by credit card. Form PTO-2038 is attached.		
<input checked="" type="checkbox"/>	The Director has already been authorized to charge fees in this application to a Deposit Account.		
<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>132490</u> .		
<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>			
I am the	<input type="checkbox"/>	applicant/inventor.	
	<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).	
	<input checked="" type="checkbox"/>	attorney or agent of record. Registration Number <u>60529</u>	
	<input type="checkbox"/>	attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____	
<u>/Rory P. Shea/</u>		<u>June 15, 2010</u>	
Signature		Date	
<u>Rory P. Shea</u>		<u>312 913 3337</u>	
Typed or printed name		Telephone Number	
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.			
<input type="checkbox"/>	Total of _____ forms are submitted.		

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 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.



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**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Rory Patrick Shea
<b>Attorney Docket Number:</b>	03,395

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				
Extension - 1 month with \$0 paid	1251	1	130	130
<b>IPR2018-00884</b>				

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>	7816721
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Rory Patrick Shea
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	15-JUN-2010
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	16:52:36
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
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Payment was successfully received in RAM	\$130
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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 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges) IPR2018-00884

<b>File Listing:</b>					
<b>Document Number</b>	<b>Document Description</b>	<b>File Name</b>	<b>File Size(Bytes)/ Message Digest</b>	<b>Multi Part /.zip</b>	<b>Pages (if appl.)</b>
1		03-395_OA_Response_2.pdf	130802  cbfbc9f0d66ade8856abb0f44f07bfa6de95a7c1	yes	7
<b>Multipart Description/PDF files in .zip description</b>					
<b>Document Description</b>			<b>Start</b>	<b>End</b>	
Amendment/Req. Reconsideration-After Non-Final Reject			1	1	
Applicant Arguments/Remarks Made in an Amendment			2	7	
<b>Warnings:</b>					
<b>Information:</b>					
2	Extension of Time	03-395_Extension.pdf	315207  8976fd74cfd094b0f47c5d444a626c1a97277031	no	2
<b>Warnings:</b>					
<b>Information:</b>					
3	Fee Worksheet (PTO-875)	fee-info.pdf	29851  7e6126fe675c1bb537109ae43e0dbf590ffb7c17	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			475860		
<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> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>  <b>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></p>					



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853

20306 7590 08/25/2010  
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EXAMINER
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TOLENTINO, RODERICK

ART UNIT	PAPER NUMBER
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2439

MAIL DATE	DELIVERY MODE
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08/25/2010

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.



### **DETAILED ACTION**

1. Claims 1 – 26 are pending.

#### ***Response to Arguments***

2. Applicant's arguments filed 06/15/2010 have been fully considered but they are not persuasive.

3. Applicant argues that Phillips in view of Modarressi fails to disclose, teach or even suggest, "receiving a signaling message within a communication path between a sender device and an intended recipient device, wherein the signaling message includes an indication of one type of the plurality of services which the messages is intended to invoke; making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point; and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized," recited in claim 1. Examiner respectfully disagrees. Phillips teaches receiving a signaling messages within a communication path between a sender device and an intended recipient device (Phillips, Paragraph 0004, telecommunications network), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on



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service), and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service), but fails to teach wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services).

4. Applicant focuses their argument on how Phillips frequency is different from being a type of service, in the claim language itself, the claim only states a type of service. Phillips has made it clear that the type of frequency is a type of service on Paragraph 0025. Phillips shows that a subscriber will have information passed to them or blocked from them based on what type of service they are authorized to have. Phillips in the broadest reasonable interpretation reads on the claim language as stated. Types of service and class or service would be deemed synonymous by one of ordinary skill in the art.

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

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(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 1, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) in view of Modarressi et al. U.S. Patent No. (6,667,971).

7. As per claim 1, 6, 19 and 24, Phillips teaches receiving a signaling messages within a communication path between a sender device and an intended recipient device (Phillips, Paragraph 0004, telecommunications network), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service), and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service), but fails to teach wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Modarressi's system for enhanced adsl architecture and

service concepts with Phillips system for providing telephone service restrictions because it offers the advantage of having the services provided at any time (Modarressi, Col. 4 Lines 47 – 55).

8. As per claim 4, Phillips teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

9. As per claim 5, Phillips teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

10. As per claim 7, Phillips teaches accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

11. As per claims 8 and 20, Phillips teaches the beneficiary is a sender of the message (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

12. As per claims 9 and 21, Phillips teaches the beneficiary is the recipient of the message (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

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13. As per claim 10, Phillips teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service) and comparing the authorized services for the beneficiary to the service indicated in the message (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

14. As per claim 13, Phillips discloses processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

15. As per claim 16, Phillips teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

16. As per claim 23, Phillips teaches monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service).

17. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S. PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Tso U.S. PG- Publication No. (2002/0124112).

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18. As per claim 2, Kavangh fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011 ).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Phillips system for providing telephone service restrictions because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

19. As per claim 3, Phillips as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

20. As per claim 14, Phillips fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

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21. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over D Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

22. As per claim 12, Phillips fails to disclose the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Phillips system for providing telephone service restrictions because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

23. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Orton et al. U.S. Patent No. (6,678,735).

24. As per claims 11 and 22, Phillips fails to disclose the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Phillips

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system for providing telephone service restrictions because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

25. As per claim 25, Phillips teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Phillips, Paragraph 0025, filter circuit designed to pass and block data based on service) but fails to teach herein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke and the use of SIP signaling and proxy servers. However, in an analogous art Modarressi teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Modarressi, Col. 1 Lines 26 – 34 and Col. 7 Lines 1 – 5, user selects using an interface types of services) and Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Phillips system for providing telephone service restrictions because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Modarressi's system for enhanced adsl architecture and service concepts with Phillips system for providing telephone service restrictions

because it offers the advantage of having the services provided at any time (Modarressi, Col. 4 Lines 47 – 55).

26. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

27. As per claim 15, Phillips fails to disclose altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Phillips system for providing telephone service restrictions because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

28. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Pereira et al. U.S. Patent No. (5,809,230).

29. As per claim 17, Phillips fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches



comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Phillips system for providing telephone service restrictions because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

30. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

31. As per claim 18, Phillips fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Phillips system for providing telephone service restrictions because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

32. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Phillips U.S PG-Publication No. (2004/0057188) and Modarressi et al. U.S. Patent No. (6,667,971) in view of Young et al. U.S. PG- Publication No. (2003/0093563).

33. As per claim 26, Phillips fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Phillips system for providing telephone service restrictions because it offers the advantage of being a more secure system.

### ***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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 mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

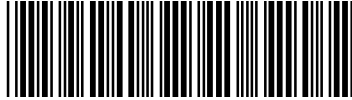
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Christian LaForgia/  
Primary Examiner, Art Unit 2439

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

<b>Index of Claims</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

<b>N</b>	<b>Non-Elected</b>
<b>I</b>	<b>Interference</b>

<b>A</b>	<b>Appeal</b>
<b>O</b>	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE								
Final	Original	03/29/2007	11/26/2007	05/06/2008	02/02/2009	06/24/2009	02/01/2010	08/23/2010		
	1	✓	✓	✓	✓	✓	✓	✓		
	2	✓	✓	✓	✓	✓	✓	✓		
	3	✓	✓	✓	✓	✓	✓	✓		
	4	✓	✓	✓	✓	✓	✓	✓		
	5	✓	✓	✓	✓	✓	✓	✓		
	6	✓	✓	✓	✓	✓	✓	✓		
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	25	✓	✓	✓	✓	✓	✓	✓		
	26	✓	✓	✓	✓	✓	✓	✓		



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	03,395	1853

20306                      7590                      11/23/2010  
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EXAMINER

TOLENTINO, RODERICK

ART UNIT	PAPER NUMBER
2439	

MAIL DATE	DELIVERY MODE
11/23/2010	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>Interview Summary</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> Roderick Tolentino	<b>Art Unit</b> 2439	

All participants (applicant, applicant's representative, PTO personnel):

(1) Roderick Tolentino. (3)\_\_\_\_\_.

(2) Rory Shea. (4)\_\_\_\_\_.

Date of Interview: 19 November 2010.

Type: a)  Telephonic b)  Video Conference  
c)  Personal [copy given to: 1)  applicant 2)  applicant's representative]

Exhibit shown or demonstration conducted: d)  Yes e)  No.  
If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 1.

Identification of prior art discussed: Phillips and Modarressi.

Agreement with respect to the claims f)  was reached. g)  was not reached. h)  N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Discussed amendments regarding the profile definition and the determination methods of the filter would most likely overcome the current art but would still require further search and consideration.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

/Christian LaForgia/  
Primary Examiner, Art Unit 2439

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

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>NOTICE OF APPEAL FROM THE EXAMINER TO THE BOARD OF PATENT APPEALS AND INTERFERENCES</b>		Docket Number (Optional)  03-395	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or 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, VA 22313-1450" [37 CFR 1.8(a)] on _____  Signature _____  Typed or printed name _____		In re Application of <b>David Grabelsky et al.</b>	
		Application Number <b>10671375</b>	Filed <b>September 25, 2003</b>
		FOR System and Method for Network Based Policy Enforcement of Intelligent-Client Features	
		Art Unit <b>2134</b>	Examiner <b>Tolentino, Roderick</b>

Applicant hereby **appeals** to the Board of Patent Appeals and Interferences from the last decision of the examiner.The fee for this Notice of Appeal is (37 CFR 41.20(b)(1)) \$ 540.00

- 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 Director has already been authorized to charge fees in this application to a Deposit Account.
- The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 132490.
- 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. \_\_\_\_\_  
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) \_\_\_\_\_  
Typed or printed name
- attorney or agent of record. \_\_\_\_\_  
Registration number 60,529 \_\_\_\_\_  
312 913 3337  
Telephone number
- attorney or agent acting under 37 CFR 1.34.  
Registration number if acting under 37 CFR 1.34. \_\_\_\_\_  
December 27, 2010  
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.

This collection of information is required by 37 CFR 41.31. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11, 1.14 and 41.6. 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.



## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

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>PRE-APPEAL BRIEF REQUEST FOR REVIEW</b>	Docket Number (Optional) 03-395
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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 "Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)]  on _____  Signature _____  Typed or printed name _____	Application Number 10671375	Filed September 25, 2003
	First Named Inventor David Grabelsky et al.	
	Art Unit 2134	Examiner Tolentino, Roderick

Applicant requests review of the final rejection in the above-identified application. No amendments are being filed with this request.

This request is being filed with a notice of appeal.

The review is requested for the reason(s) stated on the attached sheet(s).

Note: No more than five (5) pages may be provided.

I am the

- applicant/inventor.
- 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.  
Registration number 60,529
- attorney or agent acting under 37 CFR 1.34.  
Registration number if acting under 37 CFR 1.34 \_\_\_\_\_

/Rory P. Shea/  
Signature

Rory P. Shea  
Typed or printed name

312 913 3337  
Telephone number

December 27, 2010  
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.

This collection of information is required by 35 U.S.C. 132. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11, 1.14 and 41.6. 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: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)**

<b>In the Application of:</b>	)	
	)	
<b>David Grabelsky et al.</b>	)	<b>Examiner: Tolentino, Roderick</b>
	)	
<b>Serial No. 10/671,375</b>	)	<b>Group Art Unit: 2134</b>
	)	
<b>Filed: September 25, 2003</b>	)	<b>Confirmation No.: 1853</b>
	)	
<b>For: System and Method for Network     Based Policy Enforcement of     Intelligent-Client Features</b>	)	

Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**REASONS FOR REVIEW OF FINAL REJECTION**

Applicant requests review and withdrawal of the final rejection mailed August 25, 2010, and allowance of the claims, because the Examiner clearly erred in rejecting the claims. In particular, Applicant submits that the Examiner clearly erred in rejecting the claimed invention under 35 U.S.C. § 103(a) as being allegedly obvious over U.S. Publication No. 2004/0057188 (Phillips) in view of U.S. Patent No. 6,667,971 (Modarressi), among other references.

Applicant's claimed invention involves a specific combination of interrelated features for controlling a plurality of services in packet-based networks. In particular, the claimed invention involves (a) receiving a message that indicates at least one service of a plurality of services, (b) determining whether a beneficiary of the at least one service (e.g., a sender, intended recipient, or other user or device associated with the message) is authorized to invoke or receive the at least one service based on a beneficiary profile stored in part on a remote enforcement point, and (c) filtering (or processing) the message based on whether the beneficiary is authorized to invoke or receive the at least one service. The Examiner did not

establish *prima facie* obviousness of this specific combination of interrelated functions over the cited art, because such art—whether considered alone or in combination—does not disclose, suggest, or reasonably lead to the recited invention, and because the Examiner did not satisfy the M.P.E.P. § 2142 requirement to justify the conclusion of obviousness with clearly articulated reasoning having rational underpinnings.

In rejecting the claimed invention, the Examiner relied exclusively on the primary Phillips reference for an alleged teaching of determining whether a beneficiary of a service indicated by a received message is authorized to invoke or receive that service based on a beneficiary profile stored in part on a remote enforcement point. See, e.g., Final Office Action, p. 2-4, 9. At best, a Phillips teaches a filter circuit that is pre-configured to pass or block particular frequencies on an incumbent local exchange carrier's telecommunications line based on which class of service (e.g., POTS, ISDN, DSL, etc.) a competitive local exchange carrier is authorized to provide on that telecommunications line. See, e.g., Phillips, ¶¶ 0005-0006, 0024-0028, Table 1. For various reasons, however, Phillips fails to disclose, suggest, or reasonably lead to the recited feature of the claimed invention.

As an initial matter, Phillips fails to teach determining whether **a beneficiary of a service indicated by a received message** is authorized to invoke or receive that service. Indeed, as described above, Phillips at best teaches passing or blocking frequencies based on the authorization of a **competitive local exchange carrier** (i.e., a telephone company), which is clearly not a beneficiary of a service indicated by a received message (e.g., a sender, intended recipient, or other user or device associated with the message). Instead, a competitive local exchange carrier is at best a provider of such service.

Moreover, Phillips fails to teach determining whether a beneficiary of a service indicated by a received message is authorized to invoke or receive that service **based on a beneficiary profile** (e.g., a profile that includes a list of authorized services for the particular beneficiary associated with the message) stored in part at a remote enforcement point. Indeed, as

described above, Phillips at best teaches a filter circuit that is **pre-configured** to pass or block particular frequencies of **all communications** that pass through it, regardless of the type of service indicated by a received message or the type(s) of services that a beneficiary is authorized to receive or invoke. As such, the filter circuit in Phillips has no need to make an authorization determination for a particular beneficiary based on a beneficiary profile, let alone a beneficiary profile stored at another device.

For at least these reasons, the combination of Phillips and Modarressi fails to teach every feature of the claimed invention. Accordingly, the Examiner did not establish *prima facie* obviousness of the claims. See, e.g., *Honeywell Int'l v. United States*, 609 F.3d 1292, 1300-01 (Fed. Cir. 2010) (“Given the failure to prove that the cited references disclose [claim] element (a)(3), the government has failed to carry its burden of proving by clear and convincing evidence that the claimed invention would have been obvious to one of skill in the art.”)

Notwithstanding the clear deficiencies of Phillips, the Examiner continues to rely on paragraph 25 of that reference as the primary support for the obviousness conclusion. There, Phillips teaches that a “[f]ilter circuit . . . can be readily designed to pass or block frequencies depending on the class of service authorized to pass through the telecommunications lines to or from the subscriber.” See Phillips, ¶ 25. Consistent with the discussion above, however, paragraph 25 of Phillips teaches that the filter circuit is pre-configured based on the class of service that the **competitive local exchange carrier** is authorized to pass through the telecommunications line—not services that **a beneficiary of a service indicated by a received message** is authorized to invoke or receive as in the claimed invention. Moreover, consistent with the discussion above, paragraph 25 of Phillips fails to make any reference to the filter circuit making an authorization determination of a particular beneficiary based on a beneficiary profile, let alone a beneficiary profile stored at another device. Accordingly, paragraph 25 of Phillips clearly fails to support the Examiner’s obviousness conclusion.

Applicant also directs the panel to the remarks set forth at pages 4-7 of Applicant's Response to the Non-Final Office Action mailed February 16, 2010, which are incorporated by reference herein as additional explanation for how the Examiner clearly erred in rejecting the claims.

### **CONCLUSION**

In view of the foregoing, Applicant submits that the Examiner clearly erred in rejecting the claims, and Applicant therefore respectfully requests the panel to withdraw the rejections and to direct that a notice of allowance be mailed.

Respectfully submitted,

Dated: December 27, 2010

By: /Rory P. Shea/  
Rory P. Shea  
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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>PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)</b> <b>FY 2009</b> <i>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</i>		Docket Number (Optional) 03-395	
Application Number 10671375		Filed September 25, 2003	
For System and Method for Network Based Policy Enforcement of Intelligent-Client Features			
Art Unit 2134		Examiner Tolentino, Roderick	
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.			
The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):			
		<u>Fee</u>	<u>Small Entity Fee</u>
<input checked="" type="checkbox"/>	One month (37 CFR 1.17(a)(1))	\$130	\$65      \$ <u>130.00</u>
<input type="checkbox"/>	Two months (37 CFR 1.17(a)(2))	\$490	\$245      \$ _____
<input type="checkbox"/>	Three months (37 CFR 1.17(a)(3))	\$1110	\$555      \$ _____
<input type="checkbox"/>	Four months (37 CFR 1.17(a)(4))	\$1730	\$865      \$ _____
<input type="checkbox"/>	Five months (37 CFR 1.17(a)(5))	\$2350	\$1175      \$ _____
<input type="checkbox"/>	Applicant claims small entity status. See 37 CFR 1.27.		
<input type="checkbox"/>	A check in the amount of the fee is enclosed.		
<input type="checkbox"/>	Payment by credit card. Form PTO-2038 is attached.		
<input checked="" type="checkbox"/>	The Director has already been authorized to charge fees in this application to a Deposit Account.		
<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>13-2490</u> .		
<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>			
I am the	<input type="checkbox"/>	applicant/inventor.	
	<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).	
	<input checked="" type="checkbox"/>	attorney or agent of record. Registration Number <u>60,529</u>	
	<input type="checkbox"/>	attorney or agent under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____	
<u>/Rory P. Shea/</u>		<u>December 27, 2010</u>	
Signature		Date	
<u>Rory P. Shea</u>		<u>312 913 3337</u>	
Typed or printed name		Telephone Number	
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.			
<input type="checkbox"/>	Total of _____ forms are submitted.		

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 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.**

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2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
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4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Rory Patrick Shea
<b>Attorney Docket Number:</b>	03,395

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
Notice of appeal	1401	1	540	540

### Post-Allowance-and-Post-Issuance:

**Extension-of-Time:**

IPR2018-00884

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension - 1 month with \$0 paid	1251	1	130	130
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>670</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	9118511
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Rory Patrick Shea
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	27-DEC-2010
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	17:09:12
<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	\$670
RAM confirmation Number	2359
Deposit Account	132490
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 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

IPR2018-00884

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	Miscellaneous Incoming Letter	Interview_Summary.pdf	81179 d611126b3dfa94b7dfcd71e10f8f0b4804f7f9ac	no	2
<b>Warnings:</b>					
<b>Information:</b>					
2	Amendment/Argument after Notice of Appeal	Notice_Of_Appeal.pdf	284954 2624143de5f018d2870315229250cf82720d935c	no	2
<b>Warnings:</b>					
<b>Information:</b>					
3	Pre-Brief Conference request	Preappeal_Brief.pdf	268135 59ecf8dab9f445177a634dd650943e2754174b94	no	2
<b>Warnings:</b>					
<b>Information:</b>					
4	Pre-Brief Conference request	Preappeal_Reasons_for_Review.pdf	123559 f5d2c693f37265ed8ae8fb247b7cfc1efa8d5992	no	4
<b>Warnings:</b>					
<b>Information:</b>					
5	Extension of Time	Extension_of_time.pdf	332613 ff6cb6e572c320cfc7f4ac9f806a9713b13be1dc	no	2
<b>Warnings:</b>					
<b>Information:</b>					
6	Fee Worksheet (PTO-875)	fee-info.pdf	31831 80c2887900ddced9308bd33b1439144bab962e7e	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			1122271		

**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.**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)**

<b>In the Application of:</b>	)	
	)	
<b>David Grabelsky et al.</b>	)	<b>Examiner: Tolentino, Roderick</b>
	)	
<b>Serial No. 10/671,375</b>	)	<b>Group Art Unit: 2134</b>
	)	
<b>Filed: September 25, 2003</b>	)	<b>Confirmation No.: 1853</b>
	)	
<b>For: System and Method for Network     Based Policy Enforcement of     Intelligent-Client Features</b>	)	

Mailstop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INTERVIEW SUMMARY**

On November 19, 2010, Applicant's representative, Rory Shea, discussed the above-referenced application by telephone with Examiner Roderick Tolentino. During the discussion, no exhibits were shown nor demonstrations conducted. The participants conferred regarding the § 103 rejection of independent claim 1 based on U.S. Publication No. 2004/0057188 (Phillips) in view of U.S. Patent No. 6,667,971 (Modarressi). Applicant submitted that the combination of Phillips and Modarressi clearly fails to disclose, suggest, or reasonably lead to at least the claimed feature of making a determination of whether the sender or the intended recipient device of the message is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point. In response, Examiner Tolentino suggested that Applicant make amendments to claim 1 regarding the recited recipient device profile and the techniques used to make the recited determination. Examiner Tolentino stated that such amendments would likely overcome the present § 103 rejections based on Phillips and Modarressi, but no agreement was reached.

Applicant thanks Examiner Tolentino for his time and his suggestions. After further consideration, however, Applicant has decided to file a notice of appeal and a pre-appeal brief request for review.

Respectfully submitted,

Dated: December 27, 2010

By: /Rory P. Shea/  
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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 03,395 1853

20306 7590 01/28/2011
MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP
300 S. WACKER DRIVE
32ND FLOOR
CHICAGO, IL 60606

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2439

MAIL DATE DELIVERY MODE

01/28/2011

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>Notice of Panel Decision from Pre-Appeal Brief Review</b>	<b>Application/Control No.</b>	<b>Applicant(s)/Patent under Reexamination</b>	
	10/671,375	GRABELSKY ET AL.	
	Roderick Tolentino	<b>Art Unit</b>	
		2439	

This is in response to the Pre-Appeal Brief Request for Review filed .

1.  **Improper Request** – The Request is improper and a conference will not be held for the following reason(s):

- The Notice of Appeal has not been filed concurrent with the Pre-Appeal Brief Request.
- The request does not include reasons why a review is appropriate.
- A proposed amendment is included with the Pre-Appeal Brief request.
- Other: .

The time period for filing a response continues to run from the receipt date of the Notice of Appeal or from the mail date of the last Office communication, if no Notice of Appeal has been received.

2.  **Proceed to Board of Patent Appeals and Interferences** – A Pre-Appeal Brief conference has been held. The application remains under appeal because there is at least one actual issue for appeal. Applicant is required to submit an appeal brief in accordance with 37 CFR 41.37. The time period for filing an appeal brief will be reset to be one month from mailing this decision, or the balance of the two-month time period running from the receipt of the notice of appeal, whichever is greater. Further, the time period for filing of the appeal brief is extendible under 37 CFR 1.136 based upon the mail date of this decision or the receipt date of the notice of appeal, as applicable.

- The panel has determined the status of the claim(s) is as follows:  
 Claim(s) allowed: \_\_\_\_\_.  
 Claim(s) objected to: \_\_\_\_\_.  
 Claim(s) rejected: \_\_\_\_\_.  
 Claim(s) withdrawn from consideration: \_\_\_\_\_.

3.  **Allowable application** – A conference has been held. The rejection is withdrawn and a Notice of Allowance will be mailed. Prosecution on the merits remains closed. No further action is required by applicant at this time.

4.  **Reopen Prosecution** – A conference has been held. The rejection is withdrawn and a new Office action will be mailed. No further action is required by applicant at this time.

All participants:

(1) Roderick Tolentino.

(3) Edan Orgad.

(2) Christian LaForgia.

(4) \_\_\_\_\_.

/Christian LaForgia/  
Primary Examiner, Art Unit 2439

/Edan Orgad/  
Supervisory Patent Examiner, Art  
Unit 2439



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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 03,395 1853

20306 7590 03/31/2011
MCDONNELL BOEHNEN HULBERT & BERGHOFF LLP
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CHICAGO, IL 60606

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2439

MAIL DATE DELIVERY MODE

03/31/2011

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> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> Roderick Tolentino	<b>Art Unit</b> 2439	

**-- 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 12/27/2010.
- 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) 1-26 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) 1-26 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 25 September 2003 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. Claims 1 – 26 are pending.

#### *Response to Arguments*

2. Applicant's arguments with respect to claim 1 have been considered but are moot in view of the new ground(s) of rejection.

#### *Claim Rejections - 35 USC § 103*

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically taught or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C.

103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No.

(2003/0177363) in view of Rowe U.S. Patent No. (7,207,057).

5. As per claims 1, 6, 19 and 24, Yokota teaches, receiving a signaling messages within a communication path between a sender device and an intended recipient device (Yokota, Paragraph 0016, service request between a user and a provider with a verification apparatus via a network), making a determination of whether the sender or the intended recipient device of the messages is authorized to invoke the type of service

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based in part on a recipient device profile maintained in part on a remote enforcement point (Yokota, Paragraph 0016, provide services if verification is successful), but fails to teach wherein the signaling messages includes an indication of one a type of the plurality of services which the message is intended to invoke and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized. However, in an analogous art Rowe teaches wherein the signaling messages includes an indication of one a type of the plurality of services which the message is intended to invoke (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request) and filtering the signaling messages based on the determination so as to pass to the intended recipient device signaling messages having an indication of which of the plurality of services that are authorized (Rowe, Col. 12 Lines 26 – 44, user request authorized based on security level).

6. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Rowe's System and method for collaborative, peer-to-peer creation, management & synchronous, multi-platform distribution of profile-specified media objects with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of giving a user customizable viewing experience (Rowe, Col. 4 Lines 3 – 7).

7. As per claim 4, Yokota teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Rowe, Col. 12 Lines 26 – 44, user request authorized based on security level).
8. As per claim 5, Yokota teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request).
9. As per claim 7, Yokota teaches accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request).
10. As per claims 8 and 20, Yokota teaches the beneficiary is a sender of the message (Yokota, Paragraph 0016, service request between a user and a provider with a verification apparatus via a network).
11. As per claims 9 and 21, Yokota teaches the beneficiary is the recipient of the message (Yokota, Paragraph 0016, service request between a user and a provider with a verification apparatus via a network).
12. As per claim 10, Yokota as modified teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is

authorized to invoke or receive (Yokota, Paragraph 0050, authentication server) and comparing the authorized services for the beneficiary to the service indicated in the message (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request).

13. As per claim 13, Yokota as modified teaches processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request).

14. As per claim 16, Yokota as modified teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request).

15. As per claim 23, Yokota as modified teaches monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request).

16. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Tso U.S. PG- Publication No. (2002/0124112).

17. As per claim 2, Kavangh fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the



signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011 ).

18. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

19. As per claim 3, Yokota as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

20. As per claim 14, Yokota fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

21. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

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22. As per claim 12, Yokota fails to teach the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

23. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

24. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Orton et al. U.S. Patent No. (6,678,735).

25. As per claims 11 and 22, Yokota fails to teach the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

26. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of

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managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

As per claim 25, Yokota teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Yokota, Paragraph 0016, service request between a user and a provider with a verification apparatus via a network), but fails to teach herein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke and the use of SIP signaling and proxy servers. However, in an analogous art Rowe teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request) and Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

27. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

28. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Rowe's System and method for collaborative, peer-to-peer

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creation, management & synchronous, multi-platform distribution of profile-specified media objects with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of giving a user customizable viewing experience (Rowe, Col. 4 Lines 3 – 7).

29. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

30. As per claim 15, Yokota fails to teach altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

31. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

32. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Pereira et al. U.S. Patent No. (5,809,230).

33. As per claim 17, Yokota fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

34. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

35. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

36. As per claim 18, Yokota fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

37. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

38. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Yokota et al. U.S. PG-Publication No. (2003/0177363) and Rowe U.S. Patent No. (7,207,057) in view of Young e et al. U.S. PG- Publication No. (2003/0093563).

39. As per claim 26, Yokota fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

40. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Yokota's Service providing system in which services are provided from service provider apparatus to service user apparatus via network because it offers the advantage of being a more secure system.

### ***Conclusion***

Art Unit: 2439

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Roderick Tolentino whose telephone number is (571) 272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-3811. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

/Edan Orgad/  
Supervisory Patent Examiner, Art Unit 2439

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2439	Page 1 of 2

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barracrough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
*	I	US-6,785,728	08-2004	Schneider et al.	709/229
*	J	US-2003/0081607	05-2003	Kavanagh, Alan	370/392
*	K	US-6,667,971	12-2003	Modarressi et al.	370/352
*	L	US-2004/0057188	03-2004	Phillips et al.	361/119
*	M	US-20030177363			

**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.



<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner Roderick Tolentino	Art Unit 2439	Page 2 of 2

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-7,207,057	04-2007	Rowe, Lynn T.	725/144
	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
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	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.

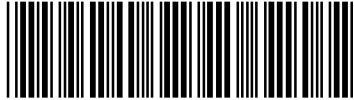
<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT
Updated EAST Keyword Search	2/1/2010	RT
Updated EAST Keyword Search	3/24/2011	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

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<b>Index of Claims</b>  	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE									
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## EAST Search History

## EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
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L2	293	L1 and (packet near3 filter \$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:41
L3	0	L1 and (packet near3 filter \$3 near3 authorized near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42
L4	9	L1 and (packet near3 filter \$3 near3 type near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42
L5	3	L1 and (packet near3 filter \$3 near3 controll\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:44
L6	35	L1 and (packet near3 filter \$3 near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:51
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L8	12	L1 and (filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
L9	2	L1 and (filter\$3 near3 unauthorized with service with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:34
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L13	331	L1 and (services near3 provider near3 types)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
L14	62	L1 and (services near3 provider near3 types near3 different)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:28

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L19	7	L1 and (deny\$3 near4 service near3 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:47
L20	75	L1 and (deny\$3 near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:52
L21	95	L1 and (service near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:26
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L26	0	L1 and (user near3 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
L27	0	L1 and (service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
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L41	69	L1 and (service near3 request near3 (unauthorized den\$4) with network)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:53
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L46	1	L1 and (user near3 service near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:59
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L48	3	L1 and (user near3 (unauthorized den\$4) with cable with services)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
L49	14	L1 and (user near3 (unauthorized den\$4) with adult)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
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S4	6	S1 and ((message near4 (security trust) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:44
S5	2	S1 and ((message near4 (service) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:47
S6	49	S3 and (filter\$3 near4 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:51
S7	2	S6 and (authorizes near4 (services level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:52
S8	50	S1 and (message near3 contains near3 type near4 (service trust security level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:53
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S10	7	S8 and (filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
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S12	19	S1 and ((messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00

S13	5603	S1 and (signaling adj2 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S14	30	S1 and ((signaling adj2 messages) near5 filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
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S18	2	S15 and (choos\$3 near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:23
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S22	6	S15 and (choos\$3 near4 type near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:27
S23	29	S15 and ((client user) near4 choos\$3 near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:28
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S25	11	S24 and (messages near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 12:56
S26	33	S24 and (types near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 13:59
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S28	174	S24 and (types near4 service near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12



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S31	50	S24 and ((service near4 authoriz\$3) with filter\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:13

### EAST Search History (Interference)

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**3/ 24/ 2011 3:05:39 PM**

**C:\ Documents and Settings\ rtolentino\ My Documents\ EAST\ Workspaces  
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**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:



Practitioners associated with the Customer Number:

022879

**OR**

Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:



The address associated with Customer Number:

022879

**OR**

<input type="checkbox"/>	Firm or Individual Name			
Address				
City		State		Zip
Country				
Telephone		Email		

Assignee Name and Address:

Hewlett-Packard Development Company, L.P.  
11445 Compaq Center Drive West  
Houston, Texas 77070**A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.****SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature	/Catherine M. Voisinet/	Date	May 5, 2011
Name	Catherine M. Voisinet	Telephone	(703) 742-1276
Title	Senior Patent Counsel - Hewlett-Packard Development Company, L.P.		

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Hewlett-Packard Company

Application No./Patent No.: 10/671,375 Filed/Issue Date: September 25, 2003

Titled: System And Method For Network Based Policy Enforcement Of Intelligent-Client Features

Hewlett-Packard Company, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- 1.  the assignee of the entire right, title, and interest in;
- 2.  an assignee of less than the entire right, title, and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
- 3.  the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: David Grabelsky et al. To: 3Com Corporation

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Additional documents in the chain of title are listed on a supplemental sheet(s).

As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Catherine M. Voisinet/  
Signature

May 31, 2011  
Date

Catherine M. Voisinet  
Printed or Typed Name

Senior Patent Counsel, HP  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 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.

IPR2018-00884

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	10199619
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	20306
<b>Filer:</b>	Steven L. Webb/Andrew Graff
<b>Filer Authorized By:</b>	Steven L. Webb
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	31-MAY-2011
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	17:34:03
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Power of Attorney	10671375.pdf	59137 <small>865679b6ac77de00d4880db324b6708c39 b14468</small>	no	2

### Warnings:

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IPR2018-00884

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**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.



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/671,375	09/25/2003	David Grabelsky	03,395

**CONFIRMATION NO. 1853**

**POA ACCEPTANCE LETTER**



22879  
HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
3404 E. Harmony Road  
Mail Stop 35  
FORT COLLINS, CO 80528

Date Mailed: 06/08/2011

**NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 05/31/2011.

The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the above address as provided by 37 CFR 1.33.

/s/brahim/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/671,375	09/25/2003	David Grabelsky	03,395

**CONFIRMATION NO. 1853**

**POWER OF ATTORNEY NOTICE**

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Date Mailed: 06/08/2011

**NOTICE REGARDING CHANGE OF POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 05/31/2011.

- The Power of Attorney to you in this application has been revoked by the assignee who has intervened as provided by 37 CFR 3.71. Future correspondence will be mailed to the new address of record(37 CFR 1.33).

/s/ibrahim/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Case No. 03-395)

In the Application of:	)	
	)	
David Grabelsky et al.	)	Examiner: Tolentino, Roderick
	)	
Serial No. 10/671,375	)	Group Art Unit: 2134
	)	
Filed: September 25, 2003	)	Confirmation No.: 1853
	)	
For: System and Method for Network	)	
Based Policy Enforcement of	)	
Intelligent-Client Features	)	

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**RESPONSE TO OFFICE ACTION MARCH 31, 2011**

Dear Sir:

In response to the non-final office action mailed March 31, 2011, Applicant submits the following amendments and remarks. Amendments begin on page 2, and remarks begin on page 9.

Please charge any underpayment or credit any overpayment to Deposit Account No. 132490. In addition, please treat any filing in this matter that requires an extension of time as incorporating a request for such an extension.



## AMENDMENTS TO CLAIMS

1. (Currently Amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

~~a network entity receiving intercepting a signaling message within a communication path associated with a call between a sender device of the message and an intended recipient device of the message, wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke;~~

~~the network entity making a determination of whether the sender device or the intended recipient device of the message is authorized to invoke the type of service based in part on a recipient device profile maintained in part on a remote enforcement point; and~~

~~the network entity filtering the signaling message based on the determination so as to pass to the intended recipient device signaling message having an indication of which of the plurality of services that are authorized.~~

2. (Currently Amended) The method of claim 1, wherein filtering the signaling messages message comprises altering the signaling messages message based on the authorized services of the sender device or the intended recipient device.

3. (Currently Amended) The method of claim 2, wherein altering the signaling messages message comprises modifying the signaling messages message so that the indication of the type of service is within authorized limits.

4. (Currently Amended) The method of claim 1, wherein filtering the messages signaling message comprises discarding the signaling messages message having an indication of services which the sender device or the intended recipient devices are is unauthorized to use.

5. (Currently Amended) The method of claim 1, further comprising the network entity communicating with one or more other network entities responsible for monitoring media data flow within the communication path associated with the call between the sender device and the intended recipient device to ensure compliance the authorized services.

6. (Currently Amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity receiving intercepting a message associated with a call between a sender of the message and an intended recipient of the message;

the network entity recognizing that the message includes at least part of an indication of at least one of the plurality of services;

the network entity determining whether a beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point; and

the network entity processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

7. (Currently Amended) The method of claim 6, wherein recognizing that the message includes at least part of the indication of the service at least one of the plurality of services comprises:

accessing a database including information indicating implementations of services; and

comparing the indication of the service at least one of the plurality of services to the information in the database.

8. (Currently Amended) The method of claim 6, wherein the beneficiary is [[a]] the sender of the message.

9. (Currently Amended) The method of claim 6, wherein the beneficiary is [[an]] the intended recipient of the message.

10. (Currently Amended) The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the service at least one of the plurality of services comprises:

receiving from an authentication server a user profile of the beneficiary that specifies which of the plurality of services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the service at least one of the plurality of services indicated in the message.

11. (Original) The method of claim 6, wherein the message is a session initiation protocol (SIP) message.

12. (Currently Amended) The method of claim 6, wherein the service at least one of the plurality of services is selected from the group consisting of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.

13. (Currently Amended) The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service at least one of the plurality of services.

14. (Currently Amended) The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to ~~[[an]]~~ the intended recipient.

15. (Currently Amended) The method of claim 14, wherein altering the message comprises altering the message so as to disable the ~~service~~ at least one of the plurality of services.

16. (Currently Amended) The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the ~~service~~ at least one of the plurality of services.

17. (Currently Amended) The method of claim 16, further comprising the network entity returning an error indication message to ~~[[a]]~~ the sender of the message.

18. (Currently Amended) The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the ~~service~~ at least one of the plurality of services, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke or receive the ~~service~~ at least one of the plurality of services.

19. (Currently Amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity receiving intercepting a message associated with a call between a sender of the message and an intended recipient of the message, the message configured according to a protocol;

the network entity associating the message with at least one known service of said a plurality of services that [[is]] are defined within the protocol;

the network entity requesting a user profile of a user associated with the message, wherein the user profile specifies which of the plurality of services the user is authorized to use and is stored in part on a remote server;

the network entity determining from the user profile whether the user is authorized to invoke or receive the at least one known service of the plurality of services; and

the network entity filtering the message based on whether the user is authorized to invoke or receive the at least one known service of the plurality of services.

20. (Currently Amended) The method of claim 19, wherein the user is [[a]] the sender of the message.

21. (Currently Amended) The method of claim 19, wherein the user is [[an]] the intended recipient of the message.

22. (Original) The method of claim 19, wherein the message is a session initiation protocol (SIP) message.

23. (Original) The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use.

24. (Currently Amended) A system for controlling a plurality of services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;

a processor;

data storage; and

program logic stored in the data storage and executable by the processor to intercept at least one message associated with a call between the first end device and the second end device, to associate the ~~messages~~ at least one message with at least one known services service of ~~the~~ a plurality of services that are defined within the protocol, to determine whether at least one of the first end device and the second end device is authorized to invoke or receive the ~~services~~ at least one known service of the plurality of services according to a user profile maintained on a remote enforcement point, and to filter the ~~messages~~ at least one message based on whether the at least one of the first end device and the second end device is authorized to invoke or receive the ~~services~~ at least one known service of the plurality of services.

25. (Currently Amended) A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages associated with a call between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of at least one of the end devices; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one of the end device devices is authorized to use.

26. (Original) The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

## REMARKS

### 1. Summary of the Office Action

In the non-final office action mailed March 31, 2011, the Examiner rejected all claims under 35 U.S.C. § 103(a). In particular, the Examiner rejected (a) claims 1, 4-10, 13, 16, 19-21, and 23-24 as being allegedly unpatentable over U.S. Publication No. 2003/0177363 (Yokota) in view of U.S. Patent No. 7,207,057 (Rowe), (b) claims 2, 3, and 14 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Publication No. 2002/0124112 (Tao), (c) claim 12 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Publication No. 2001/0024436 (Barraclough), (d) claims 11, 22, and 25 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Patent No. 6,678,735 (Orton), (e) claim 15 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Publication No. 2003/0081607 (Hodge), (f) claim 17 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Patent No. 5,809,230 (Pereira), (g) claim 18 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Patent No. 6,446,206 (Feldbaum), and (h) claim 26 as being allegedly unpatentable over Yokota in view of Rowe in view of U.S. Publication No. 2003/0093563 (Young).

### 2. Interview Summary

On June 21, 2011, Applicant's representative, Rory Shea, discussed the above-referenced application by telephone with Examiner Roderick Tolentino. No exhibits were shown nor demonstrations conducted. During the discussion, the participants conferred regarding Applicant's proposed amendments to the independent claims and the pending § 103 rejection of those claims based Yokota and Rowe. In particular, the Applicant submitted that the proposed amendments—which clarified that the independent claims involve a network entity receiving and filtering messages that are **sent between two end users**—patentably distinguish over the cited



art. In response, the Examiner suggested that the Applicant further clarify that the independent claims involve a network entity *intercepting* messages that are *associated with a call between two end users*. According to the Examiner, such an amendment would overcome the art of record, but no agreement was reached.

### 3. Status of the Claims

Presently pending are claims 1-26, of which claims 1, 6, 19, 24, and 25 are independent and the remainder are dependent. Applicant has now amended independent claims 1, 6, 19, 24, and 25 in accordance with the Examiner's suggestion, to clarify that the claimed invention involves a network entity *intercepting* messages that are *associated with a call between two end users* (e.g., a sender and intended recipient of the message). Applicant has also made other clarifying amendments to claims 1-5, 7-10, 12-16, 18, 19-21, and 24-25. By making these amendments, Applicant does not acquiesce in any rejections or assertions made by the Examiner. Rather, Applicant is making these amendments to expedite prosecution.

The claimed invention involves a specific combination of interrelated features for controlling a plurality of services in packet-based networks. According to an embodiment, the claimed invention involves a network entity (a) intercepting a message associated with a call between two end users (e.g., a sender and intended recipient of the message), the message indicating at least one service of a plurality of services, (b) determining whether a beneficiary of the at least one service (e.g., the sender or intended recipient) is authorized to invoke or receive the at least one service based on a beneficiary profile stored in part on a remote enforcement point, and (c) filtering the message based on the determination of whether the beneficiary is authorized to invoke or receive the at least one service. Advantageously, the claimed invention may thus enable a network operator to retain control over features and services invoked by intelligent end-user devices during a call conducted over the network.

#### 4. Response to Rejections

As noted above, claims 1, 6, 19, 24, and 25 are independent and stand rejected as being allegedly obvious over Yokota in view of Rowe, among other references. Further, as noted above, independent claims 1, 6, 19, 24, and 25 have been amended herein to, *inter alia*, clarify that the claimed invention involves a network entity intercepting and filtering messages that are associated with a call between two end users.

Applicant submits that claims 1, 6, 19, 24, and 25 patentably distinguish over the cited art, and that claims 1, 6, 19, 24, and 25 are thus allowable, for at least the reason that the cited art fails to disclose, suggest, or reasonably lead to the claimed invention. At a minimum, for instance, the cited art fails to disclose, suggest, or reasonably lead to a network entity intercepting a message associated with a call between two end users and then filtering the message based on a determination of whether a beneficiary of a service indicated by the message (e.g., one of the end users) is authorized to invoke or receive that service.

The primary Yokota reference is directed to a service-providing system that facilitates enhanced security in managing personal information. See, e.g., Yokota, ¶ 15. This service-providing system includes a verification apparatus, a service-user apparatus, and a service-provider apparatus interconnected via a network. See, e.g., Yokota, ¶¶ 16, 49. In operation, the service-providing system carries out two procedures: (1) a personal-information verification procedure executed between the verification apparatus and the service-user apparatus, and then (2) a service-provision procedure executed between the service-user apparatus and the service-provider apparatus. See, e.g., Yokota, ¶¶ 16, 59.

According to Yokota's personal-information verification procedure, the service-user apparatus first sends a user's personal information to the verification apparatus via the network. See, e.g., Yokota, ¶ 64. In turn, the verification apparatus verifies the user's personal information by comparing such information to information about the user obtained from a

reliable external source. See, e.g., Yokota, ¶ 67. Upon verification of the user's personal information, the verification apparatus then generates signed-personal information for the user and transmits that signed-personal information back to the service-user apparatus. See, e.g., Yokota, ¶¶ 69-72. Finally, the service-user apparatus stores the signed-personal information for future reference. See, e.g., Yokota, ¶ 75.

After the personal-information verification procedure is complete, the service-user apparatus and the service-provider apparatus can then execute the service-provision procedure. According to Yokota's service-provision procedure, the service-user apparatus first issues a service request to the service-provider apparatus via the network. See, e.g., Yokota, ¶ 80. Upon receipt of this service request, the service-provider apparatus then issues a personal-information request to the service-user apparatus. See, e.g., Yokota, ¶ 82. In turn, the service-user apparatus transmits the requested personal information back to the service-provider apparatus. See, e.g., Yokota, ¶ 84. The service-provider apparatus then verifies the personal information, and if this verification is successful, provides the requested service to the service-user apparatus (e.g., distribution of digital music content). See, e.g., Yokota, ¶¶ 87, 89.

Thus, at best, Yokota discloses a service-provider apparatus receiving a service request from a service-user apparatus, verifying the authenticity of signed-personal information obtained from the service-user apparatus, and then providing the requested service to the service-user apparatus. Yokota, however, fails to disclose, suggest, or reasonably lead to *any* features of the claimed invention.

As an initial matter, Yokota fails to disclose, suggest, or reasonably lead to a network entity *intercepting* messages that are *associated with a call between two end users* (e.g., a sender and intended recipient of the message). Indeed, Yokota never discloses an intermediate entity intercepting any communication between two other devices, let alone a message

associated with a call between two other devices. Instead, Yokota at best discloses a service-provider apparatus receiving a service request from the service-user apparatus. But this service request is sent from the service-used apparatus directly to the service-provider apparatus, not to some other apparatus.

Because Yokota fails to disclose, suggest, or reasonably lead to a network entity intercepting messages that are associated with a call between two end users, Yokota also fails to disclose, suggest, or reasonably lead to a network entity performing *any* recited function with respect to the intercepted messages. For instance, Yokota fails to disclose, suggest, or reasonably lead to a network entity recognizing a service indicated by a message associated with a call between two end users. Further, Yokota fails to disclose, suggest, or reasonably lead to a network entity determining whether a beneficiary of a service indicated by a message associated with a call between two end users (e.g., a sender or intended recipient of the message) is authorized to invoke or receive that service based on a beneficiary profile stored in part on a remote enforcement point. Further yet, Yokota fails to disclose, suggest, or reasonably lead to a network entity filtering a message associated with a call between two end users based on whether the beneficiary of the service indicated by the message is authorized to invoke or receive that service.

The second Rowe reference also fails to overcome the gross deficiencies of Yokota. At best, Rowe discloses a television-management programming system that can employ security levels to limit distribution access to certain users. See, e.g., Rowe, Abstract, col. 12, ln. 26-44. As with Yokota, however, Rowe fails to disclose, suggest, or reasonably lead to a network entity *intercepting* messages that are *associated with a call between two end users* (e.g., a sender and intended recipient of the messages), let alone the networking entity performing any other functions with respect to such messages.

Similarly, the other references cited by the Examiner fail to overcome the gross deficiencies of Yokota. At a minimum, for instance, the other cited references—whether considered alone or in combination—fail to disclose, suggest, or reasonably lead to a network entity intercepting a message associated with a call between two end users and then filtering the message based on whether a beneficiary of a service indicated by the message (e.g., one of the end users) is authorized to invoke or receive that service.

For at least these reasons, Applicant submits that independent claims 1, 6, 19, 24, and 25 patentably distinguish over the cited art, and are thus allowable. Additionally, without conceding the Examiner's other assertions, Applicant submits that dependent claims 2-5, 7-18, 20-23, and 26 are patentably distinguish over the cited art, and are thus allowable, for at least the reason that they each depend from an allowable claim.

### CONCLUSION

In view of the foregoing, Application respectfully requests favorable action. The Examiner is requested to contact the Applicant's representative below if any questions arise or if he may be of further assistance to the Examiner.

Respectfully submitted,

Dated: June 24, 2011

By: /Rory P. Shea/  
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## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	10383328
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	22879
<b>Filer:</b>	Rory Patrick Shea
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	03,395
<b>Receipt Date:</b>	24-JUN-2011
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	16:30:47
<b>Application Type:</b>	Utility under 35 USC 111(a)

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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		03-395_Resp.pdf	150350 <small>dd52ca765cafb5cd379ca3fa8994455efad7b088</small>	yes	14

<b>Multipart Description/PDF files in .zip description</b>			
<b>Document Description</b>		<b>Start</b>	<b>End</b>
Amendment/Req. Reconsideration-After Non-Final Reject		1	1
Claims		2	8
Applicant Arguments/Remarks Made in an Amendment		9	14

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

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**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.



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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO. Includes application details for David Grabelsky and examiner information for Tolentino, Roderick.

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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

JERRY.SHORMA@HP.COM
ipa.mail@hp.com
laura.m.clark@hp.com



<b>Interview Summary</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439	

All participants (applicant, applicant's representative, PTO personnel):

(1) RODERICK TOLENTINO. (3)\_\_\_\_\_.

(2) Rory Shea. (4)\_\_\_\_\_.

Date of Interview: 21 June 2011.

Type: a)  Telephonic b)  Video Conference  
c)  Personal [copy given to: 1)  applicant 2)  applicant's representative]

Exhibit shown or demonstration conducted: d)  Yes e)  No.  
If Yes, brief description: \_\_\_\_\_.

Claim(s) discussed: 1.

Identification of prior art discussed: Yokota in view of Rowe.

Agreement with respect to the claims f)  was reached. g)  was not reached. h)  N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Discussed possible amendments to the claims where the language would distinguish itself from generic service requests. Which would most likely overcome the prior art.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

	/Edan Orgad/ Supervisory Patent Examiner, Art Unit 2439
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## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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Alexandria, Virginia 22313-1450
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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 03,395 1853

22879 7590 09/14/2011
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
3404 E. Harmony Road
Mail Stop 35
FORT COLLINS, CO 80528

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2439

NOTIFICATION DATE DELIVERY MODE

09/14/2011

ELECTRONIC

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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

JERRY.SHORMA@HP.COM
ipa.mail@hp.com
laura.m.clark@hp.com



### DETAILED ACTION

1. Claims 1 – 26 are pending.

#### *Response to Arguments*

2. Applicant's arguments with respect to claim 1 have been considered but are moot in view of the new ground(s) of rejection, as necessitated by amendment by applicant on 06/24/2011.

#### *Claim Rejections - 35 USC § 103*

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically taught or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1, 4 – 10, 13, 16, 19, 20, 21, 23 and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643).
5. As per claims 1, 6, 19 and 24, Ma teaches a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message (Ma, Col. 2 Lines 19 – 37, selectively intercepting messages between a network and an interactive voice response unit) but fails to teach wherein the signaling message includes an indication of one type of the

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plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point; and the network entity filtering the signaling message based on the determination. However, in an analogous art Raanan teaches wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized) and the network entity filtering the signaling message based on the determination (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

6. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Raanan's system for extracting application protocol characteristics with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of preventing clients from performing disallowable actions (Raanan, Paragraph 0007).

7. As per claim 4, Ma as modified teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Raanan, Paragraph 0016, filter

module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

8. As per claim 5, Ma as modified teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

9. As per claim 7, Ma as modified teaches accessing a database including information indicating implementations of services and comparing the indication of the service to the information in the database (Raanan, Paragraph 0016, protocol database to store each individual client/server policy).

10. As per claims 8 and 20, Ma as modified teaches the beneficiary is a sender of the message (Ma, Col. 2 Lines 19 – 37, selectively intercepting messages between a network and an interactive voice response unit).

11. As per claims 9 and 21, Ma as modified teaches the beneficiary is the recipient of the message (Ma, Col. 2 Lines 19 – 37, selectively intercepting messages between a network and an interactive voice response unit).

12. As per claim 10, Ma as modified as modified teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Raanan, Paragraph 0016, protocol database to store each individual client/server policy) and comparing the authorized services for the beneficiary to the service indicated in the message (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

13. As per claim 13, Ma as modified teaches processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Raanan, Paragraph 0027, if allowable the filtering module will not filter out the message).

14. As per claim 16, Ma as modified teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

15. As per claim 23, Ma as modified teaches monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

16. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Tso U.S. PG- Publication No. (2002/0124112).

17. As per claim 2, Ma fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011).

18. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Ma's Interception



call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

19. As per claim 3, Ma as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

20. As per claim 14, Ma fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

21. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

22. As per claim 12, Ma fails to teach the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

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23. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

24. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Orton et al. U.S. Patent No. (6,678,735).

25. As per claims 11 and 22, Ma fails to teach the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

26. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

27. As per claim 25, Ma as modified teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized) but fails to teach herein the signaling messages includes an indication of one type of the plurality of services which

the messages is intended to invoke and the use of SIP signaling and proxy servers.

However, in an analogous art Rowe teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request) and Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

28. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

29. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Rowe's System and method for collaborative, peer-to-peer creation, management & synchronous, multi-platform distribution of profile-specified media objects with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of giving a user customizable viewing experience (Rowe, Col. 4 Lines 3 – 7).

30. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

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31. As per claim 15, Ma fails to teach altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

32. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

33. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Pereira et al. U.S. Patent No. (5,809,230).

34. As per claim 17, Ma fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

35. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

36. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

37. As per claim 18, Ma fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

38. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

39. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Ma U.S. Patent No. (7,136,373) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Young e et al. U.S. PG- Publication No. (2003/0093563).

40. As per claim 26, Ma fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the

group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

41. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Ma's Interception call signaling between a gatekeepers and an intelligent peripheral in a voice frame network because it offers the advantage of being a more secure system.

### ***Conclusion***

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).

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 concerning this communication or earlier communications from the examiner should be directed to RODERICK TOLENTINO whose telephone number is (571)272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-7884. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

/Edan Orgad/  
Supervisory Patent Examiner, Art Unit 2439

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner RODERICK TOLENTINO	Art Unit 2439	Page 1 of 2

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2004/0193906	Dar et al.	713/200
*	B	US-2002/0124112	Tso, Michael M.	709/246
*	C	US-6,446,206	Feldbaum, Boaz	713/175
*	D	US-5,809,230	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	Barracrough et al.	370/352
*	G	US-6,678,735	Orton et al.	709/230
*	H	US-2003/0093563	Young et al.	709/245
*	I	US-6,785,728	Schneider et al.	709/229
*	J	US-2003/0081607	Kavanagh, Alan	370/392
*	K	US-6,667,971	Modarressi et al.	370/352
*	L	US-2004/0057188	Phillips et al.	361/119
*	M	US-2003/0177363	Yokota et al.	713/176

**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.



<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner RODERICK TOLENTINO	Art Unit 2439	Page 2 of 2

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-7,207,057	04-2007	Rowe, Lynn T.	725/144
*	B US-7,136,373	11-2006	Ma, Gene	370/352
*	C US-2002/0116643	08-2002	Raanan et al.	713/201
	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				
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**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.

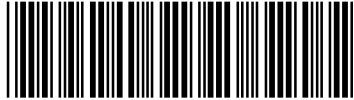
<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT
Updated EAST Keyword Search	2/1/2010	RT
Updated EAST Keyword Search	3/24/2011	RT
Updated EAST Keyword Search	9/8/2011	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

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<b>Index of Claims</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE								
Final	Original	03/29/2007	11/26/2007	05/06/2008	02/02/2009	06/24/2009	02/01/2010	08/23/2010	03/24/2011	09/08/2011
	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	✓	✓	✓	✓	✓	✓	✓	✓	✓

## EAST Search History

## EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	4453998	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/02/02 12:15
S2	17	S1 and (filter\$3 near3 type near3 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:35
S3	427	S1 and (message near4 (security trust) near4 level)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:43
S4	6	S1 and ((message near4 (security trust) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:44
S5	2	S1 and ((message near4 (service) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:47
S6	49	S3 and (filter\$3 near4 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:51
S7	2	S6 and (authorizes near4 (services level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:52
S8	50	S1 and (message near3 contains near3 type near4 (service trust security level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:53
S9	0	S8 and (filer\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S10	7	S8 and (filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S11	0	S1 and ((signaling adj2 messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S12	19	S1 and ((messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S13	5603	S1 and (signaling adj2 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S14	30	S1 and ((signaling adj2 messages) near5 filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S15	4461670	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/06/24 18:18
S16	152	S15 and (messages near4 plurality near4 services)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19
S17	15	S15 and (messages near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19

S18	2	S15 and (choos\$3 near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:23
S19	62	S15 and (type near4 (plurality adj2 services))	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
S20	7	S15 and (type near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
S21	3	S15 and (choos\$3 near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:26
S22	6	S15 and (choos\$3 near4 type near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:27
S23	29	S15 and ((client user) near4 choos\$3 near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:28
S24	4470529	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2010/02/01 12:56
S25	11	S24 and (messages near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 12:56
S26	33	S24 and (types near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 13:59
S27	4	S26 not vehicle	US-PGPUB; USPAT	OR	ON	2010/02/01 14:00
S28	174	S24 and (types near4 service near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12
S29	0	S24 and ((types near4 service near4 authoriz\$3) with filter)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12
S30	0	S24 and ((types near4 service near4 authoriz\$3) with filter\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:13
S31	50	S24 and ((service near4 authoriz\$3) with filter\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:13
S32	4483862	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2011/03/24 10:41
S33	293	S32 and (packet near3 filter\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:41
S34	0	S32 and (packet near3 filter\$3 near3 authorized near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42
S35	9	S32 and (packet near3 filter\$3 near3 type near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42

S36	3	S32 and (packet near3 filter\$3 near3 controll\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:44
S37	35	S32 and (packet near3 filter\$3 near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:51
S38	1	S32 and (packet near3 filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
S39	12	S32 and (filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
S40	2	S32 and (filter\$3 near3 unauthorized with service with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:34
S41	34	S32 and (unauthorized near3 request near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:44
S42	0	S32 and (unauthorized near3 request near3 service with filter\$3)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:44
S43	0	S32 and (service near3 types near3 various)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
S44	331	S32 and (services near3 provider near3 types)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
S45	62	S32 and (services near3 provider near3 types near3 different)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:28
S46	28	S32 and (services near3 provider near3 request\$3 near3 particular)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:35
S47	192	S32 and (deny\$3 near4 service near3 request)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:44
S48	0	S32 and (deny\$3 near3 type near4 service near3 request)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:46
S49	6	S32 and (deny\$3 near4 service near3 request with provider)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:47
S50	7	S32 and (deny\$3 near4 service near3 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:47
S51	75	S32 and (deny\$3 near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:52
S52	95	S32 and (service near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:26

S53	40	S32 and (service near4 request near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:27
S54	18	S32 and (user near3 service near4 request near3 denied)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:29
S55	5	S32 and (user near3 service near4 request near3 denied with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:37
S56	0	S32 and (user near3 service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S57	0	S32 and (user near3 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S58	0	S32 and (service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S59	11	S32 and (request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S60	46	S32 and (service near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:42
S61	15	S32 and (service near3 level near3 denied)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:44
S62	2	S32 and (service near3 level near3 access near3 prevent\$3 )	US-PGPUB; USPAT	OR	ON	2011/03/24 13:45
S63	6	S32 and (service near3 level near3 access near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:45
S64	2	S32 and (service near3 level near3 access near3 prevent\$3)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:46
S65	9	S32 and (service near3 level near3 access near3 den\$4)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:46
S66	17	S32 and (service near3 level near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:47
S67	14	S32 and (service near3 level near3 request\$3 near3 (unauthorized den \$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:48
S68	642	S32 and (service near3 request\$3 near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:50

S69	481	S32 and (service near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:51
S70	14	S32 and (service near3 type near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:51
S71	284	S32 and (service near3 type near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:52
S72	69	S32 and (service near3 request near3 (unauthorized den\$4) with network)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:53
S73	31	S32 and (user near3 service near3 request near3 (unauthorized den \$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:54
S74	4	S32 and (user near3 service near3 request near3 (unauthorized den \$4) with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S75	0	S32 and (user near3 service near3 request near3 (unauthorized den \$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S76	3	S32 and (user near3 request near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S77	1	S32 and (user near3 service near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:59
S78	92	S32 and (user near3 (unauthorized den\$4) with cable)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S79	3	S32 and (user near3 (unauthorized den\$4) with cable with services)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S80	14	S32 and (user near3 (unauthorized den\$4) with adult)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03



S81	9	((("7890749") or ("7069432") or ("6584562") or ("7606923") or ("7406324") or ("7369539") or ("7155528") or ("6614784") or ("7136373")).PN.	USPAT; USOCR	OR	OFF	2011/09/08 09:43
S82	4486766	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:49
S83	12	S82 and (filter\$3 near3 call near3 waiting)	USPAT	OR	OFF	2011/09/08 10:49
S84	12	S82 and (filter\$3 near3 call near3 waiting)	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:50
S85	54	S82 and (intercept\$3 near3 messages with filter \$3)	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:51
S86	30	S85 and call	US-PGPUB; USPAT	OR	OFF	2011/09/08 11:02
S87	0	S82 and (intercept\$3 near3 messages with filter \$3 with call)	US-PGPUB; USPAT	OR	OFF	2011/09/08 11:03

### EAST Search History (Interference)

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9/ 8/ 2011 12:55:25 PM

C:\ Documents and Settings\ rtolentino\ My Documents\ EAST\ Workspaces  
 \ Amendment\_10671375.wsp



UNITED STATES PATENT AND TRADEMARK OFFICE

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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO. Includes details for application 10/671,375 filed 09/25/2003 by David Grabelsky, attorney docket no. 82274342, confirmation no. 1853. Also includes examiner TOLENTINO, RODERICK, art unit 2439, notification date 11/10/2011, and delivery mode ELECTRONIC.

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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

JERRY.SHORMA@HP.COM
ipa.mail@hp.com
laura.m.clark@hp.com

<b>Applicant-Initiated Interview Summary</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439	

All participants (applicant, applicant's representative, PTO personnel):

- (1) RODERICK TOLENTINO. (3) Steve Nichols.  
(2) Christian LaForgia. (4) \_\_\_\_\_.

Date of Interview: 02 November 2011.

Type:  Telephonic  Video Conference  
 Personal [copy given to:  applicant  applicant's representative]

Exhibit shown or demonstration conducted:  Yes  No.  
If Yes, brief description: \_\_\_\_\_.

Issues Discussed 101 112 102 103 Others  
(For each of the checked box(es) above, please describe below the issue and detailed description of the discussion)

Claim(s) discussed: 1.

Identification of prior art discussed: Raanan.

**Substance of Interview**

(For each issue discussed, provide a detailed description and indicate if agreement was reached. Some topics may include: identification or clarification of a reference or a portion thereof, claim interpretation, proposed amendments, arguments of any applied references etc...)

Interview started with letting the Atty. know that we was not of record and that we were granting the interview however could only use the Agenda submitted. The primary subject of the interview was the interpretation of the limitation "whether the sender device of the intended recipient device is authorized in invoke the type of service." The Examiners' interpretation of the claim is that only one of the devices the sender or recipient needs to be checked. However, Applicant argued that both needed to be checked. It was explained that with the recitation of the term "or" and how the claim was written, the interpretation only needed to teach the checking of one device. Atty. still felt that both needed to be checked, in the end both parties had to agree to disagree on the interpretation of the claim language. Atty asked if there was any subject matter that could be discussed to advance prosecution, however, since Atty Nichols was not on record we could not discuss any possible advancement of prosecution .

**Applicant recordation instructions:** The formal written reply to the last Office action must include the substance of the interview. (See MPEP section 713.04). If a reply to the last Office action has already been filed, applicant is given a non-extendable period of the longer of one month or thirty days from this interview date, or the mailing date of this interview summary form, whichever is later, to file a statement of the substance of the interview

**Examiner recordation instructions:** Examiners must summarize the substance of any interview of record. A complete and proper recordation of the substance of an interview should include the items listed in MPEP 713.04 for complete and proper recordation including the identification of the general thrust of each argument or issue discussed, a general indication of any other pertinent matters discussed regarding patentability and the general results or outcome of the interview, to include an indication as to whether or not agreement was reached on the issues raised.

Attachment

/Edan Orgad/  
Supervisory Patent Examiner, Art Unit 2439

## Summary of Record of Interview Requirements

### Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

### Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,  
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

### Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
3404 E. Harmony Road  
Mail Stop 35  
Fort Collins, Colorado 80528

PATENT APPLICATION

RECORD ID: 82274342

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): David A. Grabelsky

Confirmation No.: 1853

Application No.: 10/671,375

Examiner: TOLENTINO, RODERICK

Filing Date: September 25, 2003

Group Art Unit: 2439

Title: **SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES**

Mail Stop RCE  
Commissioner For Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CONTINUED EXAMINATION (RCE) 37 CFR 1.114**

Subsection (b) of 35 U.S.C. 132, effective on May 29, 2000, provides for continued examination of a utility or plant application filed on or after June 8, 1995.

See The American Inventors Protection Act of 1999 (AIPA).

This is a Request for Continued Examination (RCE) under CFR 1.114 of the above-identified application.

**NOTE:** 37 CFR 1.114 is effective on May 20, 2000. If the above- application was filed prior to May 29, 2000, applicant may wish to consider filing a continued prosecution application (CPA) under CFR 1.53(d) (PTO/SB/29) instead of a RCE to be eligible for the patent term adjustment provisions of the AIPA. See Changes to Application Examination and Provisional Application Practice, Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 off. Gaz. Pat. Office

**Submission under 37 CFR 1.114**

Previously submitted

Consider the amendment(s)/reply under 37 CFR 1.116 previously filed on \_\_\_\_\_ .  
(Any unentered amendment(s) referred to above will be entered).

Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_ .

Other \_\_\_\_\_

Enclosed

Amendment/Reply

Affidavit(s)/Declaration(s)

Information Disclosure Statement (IDS)

Other \_\_\_\_\_

**Miscellaneous**

Suspension of action is requested under 37 CFR 1.103(c) for a period of \_\_\_\_\_ months.  
The fee for this Suspension is (37 CFR 1.17(i)) \$130.00

Other \_\_\_\_\_

**CONTINUED EXAMINATION TRANSMITTAL  
(RCE) (37 CFR 1.114) (continued)**

**PATENT APPLICATION**

**RECORD ID: 82274342**

RCE filing fee \$930.00

A Petition for Extension of Time

1st Month  
\$150

2nd Month  
\$560

3rd Month  
\$1270

4th Month  
\$1980

Please charge to Deposit Account 08-2025 the sum of \$ 930. At any time during the pendency of this application, please charge any fees required or credit any over payment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees.

Respectfully submitted,

David A. Grabelsky

By: /Steven L. Nichols/

Steven L. Nichols

Attorney/Agent for Applicant(s)

Reg No. : 40,326

Date : Dec 14, 2011

Telephone : 801-237-0251

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Steven L. Nichols/Mindy McClelland
<b>Attorney Docket Number:</b>	82274342

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
<b>Post-Allowance-and-Post-Issuance:</b>				
<b>Extension-of-Time:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
Request for continued examination	1801	1	930	930
<b>Total in USD (\$)</b>				<b>930</b>



## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	11618842
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	22879
<b>Filer:</b>	Steven L. Nichols/Mindy McClelland
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		82274342-Resp.pdf	224479 <small>5c130ea1b3067fbabb4fc1e9044b279a8f3c b90</small>	yes	24

Multipart Description/PDF files in .zip description			
Document Description	Start	End	
Amendment Submitted/Entered with Filing of CPA/RCE	1	2	
Claims	3	10	
Applicant Arguments/Remarks Made in an Amendment	11	22	
Request for Continued Examination (RCE)	23	24	

**Warnings:**

**Information:**

2	Fee Worksheet (SB06)	fee-info.pdf	30378	no	2
			58dd3c809e633915e279adfafd384e828e243277		

**Warnings:**

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**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.**

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**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.**

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 Intellectual Property Administration  
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 Fort Collins, Colorado 80528

PATENT APPLICATION

RECORD ID: 82274342

IN THE  
 UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): David A. Grabelsky

Confirmation No.: 1853

Application No.: 10/671,375

Examiner: TOLENTINO, RODERICK

Filing Date: September 25, 2003

Group Art Unit: 2439

Title: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

Mail Stop After Final  
 Commissioner For Patents  
 PO Box 1450  
 Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT

Transmitted herewith is/are the following in the above-identified application:

- Response/Amendment  Petition to extend time to respond  
 New fee as calculated below  Supplemental Declaration  
 No additional fee  
 Other Request for Continued Examination Fee\$ \_\_\_\_\_

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS	26	MINUS	26	= 0	X \$60	\$ 0
INDEP. CLAIMS	5	MINUS	5	= 0	X \$250	\$ 0
<input type="checkbox"/> FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM					+ \$450	\$ 0
EXTENSION FEE	<input type="checkbox"/> 1st Month \$150	<input type="checkbox"/> 2nd Month \$560	<input type="checkbox"/> 3rd Month \$1270	<input type="checkbox"/> 4th Month \$1980		\$ 0
OTHER FEES						\$
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Charge \$ 0 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any over payment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally charge any fees to Deposit Account 08-2025 under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees. A duplicate copy of this sheet is enclosed.

Respectfully submitted,  
 David A. Grabelsky

By: /Steven L. Nichols/  
 Steven L. Nichols  
 Attorney/Agent for Applicant(s)

Reg No. : 40,326

Date : Dec 14, 2011

Telephone : 801-237-0251

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Patent Application of

David A. Grabelsky

Application No. 10/671,375

Filed: September 25, 2003

For: System and Method for Network Based  
Policy Enforcement of Intelligent-  
Client Features.

Group Art Unit: 2439

Examiner: Roderick Tolentino

Confirmation No.: 1853

AMENDMENT

WITH REQUEST FOR CONTINUED EXAMINATION

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

Dear Commissioner:

In response to the final Official Action mailed on September 14, 2011, please consider the following.

A Listing of Claims begins on Page 2 of this response.

Remarks begin on Page 10 of this response.

IN THE CLAIMS:

The status and content of each claim follows.

1. (Currently Amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message, wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke;

the network entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point; and

the network entity filtering the signaling message based on the determination such that the signaling message is transmitted to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message.

2. (Previously Presented) The method of claim 1, wherein filtering the signaling message comprises altering the signaling message based on the authorized services of the sender device or the intended recipient device.

3. (Previously Presented) The method of claim 2, wherein altering the signaling message comprises modifying the signaling message so that the indication of the type of service is within authorized limits.

4. (Previously Presented) The method of claim 1, wherein filtering the signaling message comprises discarding the signaling message having an indication of services which the sender device or the intended recipient devices is unauthorized to use.

5. (Previously Presented) The method of claim 1, further comprising the network entity communicating with one or more other network entities responsible for monitoring media data flow associated with the call between the sender device and the intended recipient device to ensure compliance the authorized services.

6. (Currently Amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity intercepting a message associated with a call between a sender of the message and an intended recipient of the message;

the network entity recognizing that the message includes at least part of an indication of at least one of the plurality of services;

the network entity determining whether ~~[[a]]~~ any beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point; and

the network entity processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

7. (Previously Presented) The method of claim 6, wherein recognizing that the message includes at least part of the indication of the at least one of the plurality of services comprises:

accessing a database including information indicating implementations of services;

and

comparing the indication of the at least one of the plurality of services to the information in the database.

8. (Previously Presented) The method of claim 6, wherein the beneficiary is the sender of the message.

9. (Previously Presented) The method of claim 6, wherein the beneficiary is the intended recipient of the message.

10. (Previously Presented) The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the at least one of the plurality of services comprises:

receiving from an authentication server a user profile of the beneficiary that specifies which of the plurality of services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the at least one of the plurality of services indicated in the message.

11. (Original) The method of claim 6, wherein the message is a session initiation protocol (SIP) message.

12. (Previously Presented) The method of claim 6, wherein the at least one of the plurality of services is selected from the group consisting of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.

13. (Previously Presented) The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the at least one of the plurality of services.

14. (Previously Presented) The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to the intended recipient.

15. (Previously Presented) The method of claim 14, wherein altering the message comprises altering the message so as to disable the at least one of the plurality of services.



16. (Previously Presented) The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the at least one of the plurality of services.

17. (Previously Presented) The method of claim 16, further comprising the network entity returning an error indication message to the sender of the message.

18. (Previously Presented) The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the at least one of the plurality of services, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke or receive the at least one of the plurality of services.

19. (Currently Amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity intercepting a message associated with [[a]] establishing an Internet Protocol (IP) telephony call between a sender of the message and an intended recipient of the message, the message configured according to a protocol;

~~the network entity associating the message with at least one known service of a plurality of services that are defined within the protocol;~~

the network entity requesting a user profile of a user associated with the message, wherein the user profile specifies which of [[the]] a plurality of services the user is authorized to use, including IP telephony services ~~and is stored in part on a remote server;~~

the network entity determining from the user profile whether the user is authorized to invoke or receive the ~~at least one known service of the plurality of services~~ IP telephone services; and

the network entity filtering the message based on whether the user is authorized to invoke or receive the ~~at least one known service of the plurality of services~~ IP telephone services.

20. (Previously Presented) The method of claim 19, wherein the user is the sender of the message.

21. (Previously Presented) The method of claim 19, wherein the user is the intended recipient of the message.

22. (Original) The method of claim 19, wherein the message is a session initiation protocol (SIP) message.

23. (Original) The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use.

24. (Currently Amended) A system for controlling a plurality of services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;

a processor;

data storage; and

program logic stored in the data storage and executable by the processor to intercept at least one message associated with a call between the first end device and the second end device, to associate the at least one message with at least one known service of a plurality of services that are defined within the protocol, to determine whether ~~at least one~~ either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services according to a user profile maintained on a remote enforcement point, and to filter the at least one message based on whether ~~[[the]]~~ at least one of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services.

25. (Currently Amended) A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages associated with a call between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of ~~at least one~~ either of the end devices, wherein an SIP signaling message is

transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one of the end devices is authorized to use.

26. (Original) The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

REMARKS

This is a full and timely response to the final Official Action mailed September 14, 2011 (the "Office Action" or "Action"). Reconsideration of the application in light of the above amendments and the following remarks is respectfully requested.

Request for Continued Examination (RCE):

Applicant hereby requests Continued Examination for this application and entry and consideration of this amendment consequent thereto.

Interview Summary:

On November 2, 2011, the undersigned conducted a telephonic interview with the Examiner regarding this application. The undersigned thanks the Examiner for this courtesy. The references cited in the final Office Action were discussed relative to the claims. However, no agreement was reached.

Claim Status:

By the preceding amendment, the various claims have been amended. No claims are added or cancelled. Thus, claims 1-26 are currently pending for further action.

35 U.S.C. § 103:

(1) Claims 1, 4-10, 13, 16, 19-21, 23 and 24 were rejected under 35 U.S.C. §103(a) over the combined teachings of U.S. Patent No. 7,136,373 to Ma (“Ma”) and U.S. Patent App. Pub. No. 2002/0116643 to Raanan et al. (“Raanan”). For at least the following reasons, this rejection should be reconsidered and withdrawn.

Claim 1:

Claim 1 recites:

A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message, wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke;

the network entity making *a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message* based in part on a device profile maintained in part on a remote enforcement point; and

the network entity filtering the signaling message based on the determination such that *the signaling message is transmitted to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message.*

(Emphasis added).

Support for the amendment to claim 1 can be found in Applicant’s originally filed specification at, for example, p. 16, line 19 to p. 17, line 20.

Applicant wishes to note that claim 1, as highlighted above, specifically recites “the network entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message.” (Claim 1). In this regard, the Action concedes that Ma “fails to teach ... making a determination of whether the sender device or the intended recipient device is authorized to

invoke the type of service.” (Action, pp. 2-3, paragraph 5). Consequently, the Action cites to Raanan for this subject matter.

However, Raanan does not teach or suggest determining whether *either* the sender device or the intended recipient device is authorized to invoke the indicated type of service. Raanan only mentions determining if the sender, also referred to as the requester, is allowed to request a particular action or command. (Raanan, paragraph 0027). Thus, determining whether *either* the sender device *or* the intended recipient device is authorized to invoke the indicated type of service is beyond the scope and content of the cited references.

The Supreme Court has addressed the issue of obviousness in *KSR Int'l Co. v. Teleflex Inc.*, 550 U.S. 398 (2007). The Court stated that the *Graham v. John Deere Co. of Kansas City*, 383, U.S. 1 (1966), factors still control an obviousness inquiry. Under the analysis required by *Graham* to support a rejection under § 103, the scope and content of the prior art must first be determined, followed by an assessment of the differences between the prior art and the claim at issue in view of the ordinary skill in the art. In the present case, the scope and content of the cited references does not include the claimed subject matter, particularly ...

the network entity making *a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message* based in part on a device profile maintained in part on a remote enforcement point; and

the network entity filtering the signaling message based on the determination such that *the signaling message is transmitted to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message.*

(Emphasis added).

Thus, the claimed subject matter provides features and advantages not known or available in the cited references. Consequently, the cited references will not support a rejection of claim 1 and its dependent claims under 35 U.S.C. § 103 and *Graham*.

Claim 6:

Claim 6 recites:

A method for controlling a plurality of services in packet-based networks, the method comprising:

- a network entity intercepting a message associated with a call between a sender of the message and an intended recipient of the message;
- the network entity recognizing that the message includes at least part of an indication of at least one of the plurality of services;
- the network entity *determining whether any beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point*; and
- the network entity processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

(Emphasis added).

Support for the amendment to claim 6 can be found in Applicant's originally filed specification at, for example, p. 16, line 19 to p. 17, line 20.

The final Office Action rejects claim 6 on the same discussion addressed above in the comments regarding claim 1. (Action, p. 2). However, claim 6 recites "determining whether any beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services." (Claim 6) (emphasis added).

As noted above, the Action concedes that Ma "fails to teach ... making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service." (Action, pp. 2-3, paragraph 5). On the other hand, Raanan only mentions determining if the sender, also referred to as the requester, is allowed to request a particular action or command. (Raanan, paragraph 0027). Consequently, "determining whether any beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services" is beyond the scope and content of the cited references. (Claim 6) (emphasis added).



Again, under the analysis required by *Graham* to support a rejection under § 103, the scope and content of the prior art must first be determined, followed by an assessment of the differences between the prior art and the claim at issue in view of the ordinary skill in the art.

In the present case, the scope and content of the cited references does not include the claimed subject matter, particularly “the network entity *determining whether any beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point.*” (Claim 6) (emphasis added).

Thus, the claimed subject matter provides features and advantages not known or available in the cited references. Consequently, the cited references will not support a rejection of claim 6 and its dependent claims under 35 U.S.C. § 103 and *Graham*.

Claim 19:

Claim 19 recites:

A method for controlling a plurality of services in packet-based networks, the method comprising:

*a network entity intercepting a message associated with [[a]] establishing an Internet Protocol (IP) telephony call between a sender of the message and an intended recipient of the message, the message configured according to a protocol;*

*the network entity requesting a user profile of a user associated with the message, wherein the user profile specifies which of a plurality of services the user is authorized to use, including IP telephony services;*

*the network entity determining from the user profile whether the user is authorized to invoke or receive the IP telephone services; and*

*the network entity filtering the message based on whether the user is authorized to invoke or receive the IP telephone services.*

(Emphasis added).

Support for the amendment to claim 19 can be found in Applicant’s originally filed specification at, for example, p. 20, lines 1-7.

The cited references do not teach or suggest the claimed method including “the network entity determining from the user profile whether the user is authorized to invoke or receive the IP telephone services; and the network entity filtering the message based on whether the user is authorized to invoke or receive the IP telephone services.” (Claim 19).

As noted above, the Action concedes that Ma “fails to teach ... making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service.” (Action, pp. 2-3, paragraph 5). Consequently, the Action cites to Raanan for this subject matter. However, Raanan addresses network communications of commands from a client to server. (Raanan, paragraph 0030). Raanan does not teach or suggest a “the network entity determining from the user profile whether the user is authorized to invoke or receive the IP telephone services; and the network entity filtering the message based on whether the user is authorized to invoke or receive the IP telephone services.” (Claim 19). This subject matter is beyond the scope and content of the cited references.

Again, under the analysis required by *Graham* to support a rejection under § 103, the scope and content of the prior art must first be determined, followed by an assessment of the differences between the prior art and the claim at issue in view of the ordinary skill in the art. In the present case, the scope and content of the cited references does not include the claimed subject matter, particularly “the network entity determining from the user profile whether the user is authorized to invoke or receive the IP telephone services; and the network entity filtering the message based on whether the user is authorized to invoke or receive the IP telephone services.” (Claim 19).

Thus, the claimed subject matter provides features and advantages not known or available in the cited references. Consequently, the cited references will not support a rejection of claim 19 and its dependent claims under 35 U.S.C. § 103 and *Graham*.

Claim 24:

Claim 24 recites:

A system for controlling a plurality of services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;

a processor;

data storage; and

program logic stored in the data storage and executable by the processor to intercept at least one message associated with a call between the first end device and the second end device, to associate the at least one message with at least one known service of a plurality of services that are defined within the protocol, to determine whether either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services according to a user profile maintained on a remote enforcement point, and to filter the at least one message based on whether at least one of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services.

(Emphasis added).

Support for the amendment to claim 24 can be found in Applicant's originally filed specification at, for example, p. 20, lines 1-7.

The cited references do not teach or suggest the claimed system including program logic “to *determine whether either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services* according to a user profile maintained on a remote enforcement point, and to filter the at least one message based on whether at least one of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services.”

(Claim 24) (emphasis added).

As noted above, the Action concedes that Ma “fails to teach ... making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service.” (Action, pp. 2-3, paragraph 5). Consequently, the Action cites to

Raanan for this subject matter. However, Raanan only mentions determining if the sender, also referred to as the requester, is allowed to request a particular action or command.

(Raanan, paragraph 0027).

Raanan does not teach or suggest program logic “to *determine whether either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services* according to a user profile maintained on a remote enforcement point, and to filter the at least one message based on whether at least one of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services.” (Claim 24) (emphasis added). This subject matter is beyond the scope and content of the cited references.

Again, under the analysis required by *Graham* to support a rejection under § 103, the scope and content of the prior art must first be determined, followed by an assessment of the differences between the prior art and the claim at issue in view of the ordinary skill in the art.

In the present case, the scope and content of the cited references does not include the claimed subject matter, particularly program logic “to *determine whether either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services* according to a user profile maintained on a remote enforcement point, and to filter the at least one message based on whether at least one of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services.” (Claim 24) (emphasis added).

Thus, the claimed subject matter provides features and advantages not known or available in the cited references. Consequently, the cited references will not support a rejection of claim 24 under 35 U.S.C. § 103 and *Graham*.

(2) Claims 2, 3 and 14 were rejected under 35 U.S.C. §103(a) over the combined teachings of Ma, Raanan and U.S. Patent App. Pub. No. 2002/0124112 to Tso (“Tso”). This rejection should be reconsidered and withdrawn for at least the same reasons given above in favor of the patentability of the corresponding independent claims.

(3) Claim 12 was rejected under 35 U.S.C. §103(a) over the combined teachings of Ma, Raanan and U.S. Patent App. Pub. No. 2001/0024436 to Barraclough et al. (“Barraclough”). This rejection should be reconsidered and withdrawn for at least the same reasons given above in favor of the patentability of the corresponding independent claims.

(4) Claims 11, 22 and 25 were rejected under 35 U.S.C. §103(a) over the combined teachings of Ma, Raanan and U.S. Patent No. 6,678,735 to Orton et al. (“Orton”). This rejection should be reconsidered and withdrawn for at least the same reasons given above in favor of the patentability of the corresponding independent claims.

Claim 25:

Claim 25 recites;

A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages associated with a call between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and *wherein the border element is operable to filter the SIP signaling messages based on authorized services of either of the end devices, wherein an SIP signaling message is transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message;* and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one of the

end devices is authorized to use.  
(Emphasis added).

Support for the amendment to claim 25 can be found in Applicant's originally filed specification at, for example, p. 20, lines 1-7.

The cited references do not teach or suggest the claimed border element "wherein the border element is operable to filter the SIP signaling messages based on authorized services of either of the end devices, wherein an SIP signaling message is transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message." (Claim 25)

As noted above, the Action concedes that Ma "fails to teach ... making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service." (Action, pp. 2-3, paragraph 5). Consequently, the Action cites to Raanan for this subject matter. However, Raanan only mentions determining if the sender, also referred to as the requester, is allowed to request a particular action or command. (Raanan, paragraph 0027). Raanan does not teach or suggest a border element "wherein the border element is operable to filter the SIP signaling messages based on authorized services of *either* of the end devices, wherein an SIP signaling message is transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message." (Claim 25) (emphasis added). This subject matter is beyond the scope and content of the cited references.

The citation to Orton does not remedy the deficiencies of Ma and Raanan indicated above. Orton is cited merely for teaching "the use of SIP signaling and proxy servers." (Action, p. 8). Thus, the addition of Orton does not render obvious the claimed subject matter for the same reasons given above.

Applicant further notes that the rejection of claim 25 mentions a reference to Rowe. (Action, p. 8). However, Rowe was not cited in the rejection of claim 25. Clarification is requested.

Again, under the analysis required by *Graham* to support a rejection under § 103, the scope and content of the prior art must first be determined, followed by an assessment of the differences between the prior art and the claim at issue in view of the ordinary skill in the art. In the present case, the scope and content of the cited references does not include the claimed subject matter, particularly a border element “*wherein the border element is operable to filter the SIP signaling messages based on authorized services of either of the end devices, wherein an SIP signaling message is transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message.*” (Claim 25) (emphasis added).

Thus, the claimed subject matter provides features and advantages not known or available in the cited references. Consequently, the cited references will not support a rejection of claim 25 and its dependent claims under 35 U.S.C. § 103 and *Graham*.

Conclusion:

In view of the preceding arguments, all claims are believed to be in condition for allowance over the references of record. Therefore, this response is believed to be a complete response to the Office Action. However, Applicant reserves the right to set forth further arguments in future papers supporting the patentability of any of the claims, including the separate patentability of the dependent claims not explicitly addressed herein. In addition,

because the arguments made above may not be exhaustive, there may be reasons for patentability of any or all pending claims (or other claims) that have not been expressed.

The absence of a reply to a specific rejection, issue or comment in the Office Action does not signify agreement with or concession of that rejection, issue or comment. Finally, nothing in this paper should be construed as an intent to concede any issue with regard to any claim, except as specifically stated in this paper, and the amendment of any claim does not necessarily signify concession of unpatentability of the claim prior to its amendment. Further, for any instances in which the Examiner may wish to take Official Notice in the Office Action, Applicants expressly do not acquiesce to the taking of Official Notice, and respectfully request that the Examiner provide an affidavit to support the Official Notice taken in the next Office Action, as required by 37 CFR 1.104(d)(2) and MPEP § 2144.03.

If the Examiner has any comments or suggestions which could place this application in better form, the Examiner is requested to telephone the undersigned attorney at the number listed below.

Respectfully submitted,

DATE: 14 December 2011

/Steven L. Nichols/  
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<b>PATENT APPLICATION FEE DETERMINATION RECORD</b> Substitute for Form PTO-875	Application or Docket Number <b>10/671,375</b>	Filing Date <b>09/25/2003</b>	<input type="checkbox"/> To be Mailed
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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 (\$)	OR	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), (j), 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(j))</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		
			TOTAL		OR	TOTAL	

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

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	<b>06/24/2011</b>	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 26	Minus	** 26	=	0	OR	X \$52=	0
	Independent <small>(37 CFR 1.16(h))</small>	* 5	Minus	***5	=	0	OR	X \$220=	0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR		
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	<b>0</b>

	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	<b>12/14/2011</b>	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 26	Minus	** 26	=	0	OR	X \$60 =	0
	Independent <small>(37 CFR 1.16(h))</small>	* 5	Minus	*** 5	=	0	OR	X \$250 =	0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR		
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	<b>0</b>

\* 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:  
/JEFFERY L. OLSEN/

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.**

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Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 82274342 1853

22879 7590 08/29/2012
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
3404 E. Harmony Road
Mail Stop 35
FORT COLLINS, CO 80528

Table with 1 column: EXAMINER

TOLENTINO, RODERICK

Table with 2 columns: ART UNIT, PAPER NUMBER

2439

Table with 2 columns: NOTIFICATION DATE, DELIVERY MODE

08/29/2012

ELECTRONIC

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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

JERRY.SHORMA@HP.COM
ipa.mail@hp.com
brandon.serwan@hp.com

<b>Office Action Summary</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439	

-- 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 12/14/2011.
- 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) 1-26 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) 1-26 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 25 September 2003 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. Claims 1 – 26 are pending.

#### ***Continued Examination Under 37 CFR 1.114***

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 12/14/2011 has been entered.

#### ***Response to Arguments***

3. Applicant's arguments with respect to claim 1 have been considered but are moot in view of the new ground(s) of rejection, as necessitated by amendment by applicant on 12/14/2011.

#### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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5. Claims 1, 4 – 10, 13, 16, 19 – 21, 23 and 24, is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643)

6. As per claim 1, 6, 19 and 24 Glitho teaches a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users) the signaling message is transmitted and filtered based on a profile maintained in part by the remote enforcement point, to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based on the filtering (Glitho, column 9 lines 17-27 where the profile of the sender or the receiver is retrieved) but fails to teach wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point; and the network entity filtering the signaling message based on the determination. However, in an analogous art Raanan teaches wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote

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enforcement point (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized) and the network entity filtering the signaling message based on the determination (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

7. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Raanan's system for extracting application protocol characteristics with Glitho's interception of SIP messages between callers because it offers the advantage of preventing clients from performing disallowable actions (Raanan, Paragraph 0007).

8. As per claim 4, Glitho as modified teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

9. As per claim 5, Glitho as modified teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance the authorized services (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

10. As per claim 7, Glitho as modified teaches accessing a database including information indicating implementations of services and comparing the indication of the

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service to the information in the database (Raanan, Paragraph 0016, protocol database to store each individual client/server policy).

11. As per claims 8 and 20, Glitho as modified teaches the beneficiary is a sender of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users).

12. As per claims 9 and 21, Glitho as modified teaches the beneficiary is the recipient of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users).

13. As per claim 10, Glitho as modified as modified teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Raanan, Paragraph 0016, protocol database to store each individual client/server policy) and comparing the authorized services for the beneficiary to the service indicated in the message (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

14. As per claim 13, Glitho as modified teaches processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Raanan, Paragraph 0027, if allowable the filtering module will not filter out the message).

15. As per claim 16, Glitho as modified teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).



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16. As per claim 23, Glitho as modified teaches monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

17. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Tso U.S. PG- Publication No. (2002/0124112).

18. As per claim 2, Glitho fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011).

19. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Glitho's interception of SIP messages between callers because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

20. As per claim 3, Glitho as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011 ).

21. As per claim 14, Glitho fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an

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analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

22. Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Barraclough et al. U.S. PG- Publication No. (2001/0024436).

23. As per claim 12, Glitho fails to teach the service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Barraclough teaches service is selected from the group consisting of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021).

24. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Glitho's interception of SIP messages between callers because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

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25. Claims 11, 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Orton et al. U.S. Patent No. (6,678,735).

26. As per claims 11 and 22, Glitho fails to teach the use of SIP signal messaging. However, in an analogous art Orton teaches (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

27. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Glitho's interception of SIP messages between callers because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

28. As per claim 25, Glitho as modified teaches messages sent to a recipient device with requested services and filtering unauthorized requests from authorized requests based on authorized services relating to the sender (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized) but fails to teach herein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke and the use of SIP signaling and proxy servers. However, in an analogous art Rowe teaches wherein the signaling messages includes an indication of one type of the plurality of services which the messages is intended to invoke (Rowe, Col. 12 Lines 26 – 44, user request a type of service such as adult programming and based on security level whether to deny or allow the request) and

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Orton teaches the use of SIP signaling and proxy servers (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18-23).

29. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Glitho's interception of SIP messages between callers because it offers the advantage of managing non-essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

30. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Rowe's System and method for collaborative, peer-to-peer creation, management & synchronous, multi-platform distribution of profile-specified media objects with Glitho's interception of SIP messages between callers because it offers the advantage of giving a user customizable viewing experience (Rowe, Col. 4 Lines 3 - 7).

31. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

32. As per claim 15, Glitho fails to teach altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

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33. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Glitho's interception of SIP messages between callers because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

34. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Pereira et al. U.S. Patent No. (5,809,230).

35. As per claim 17, Glitho fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

36. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Glitho's interception of SIP messages between callers because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

37. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Feldbaum et al. U.S. Patent No. (6,446,206).

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38. As per claim 18, Glitho fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

39. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Glitho's interception of SIP messages between callers because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

40. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) in view of Young e et al. U.S. PG- Publication No. (2003/0093563).

41. As per claim 26, Glitho fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

42. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Glitho's interception of SIP messages between callers because it offers the advantage of being a more secure system.

**Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to RODERICK TOLENTINO whose telephone number is (571)272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-7884. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

Application/Control Number: 10/671,375  
Art Unit: 2439

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/Yin-Chen Shaw/  
Primary Examiner, Art Unit 2439



<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
	Examiner RODERICK TOLENTINO	Art Unit 2439	Page 1 of 2

**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification	
*	A	US-2004/0193906	09-2004	Dar et al.	713/200
*	B	US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C	US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D	US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E	US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F	US-2001/0024436	09-2001	Barracrough et al.	370/352
*	G	US-6,678,735	01-2004	Orton et al.	709/230
*	H	US-2003/0093563	05-2003	Young et al.	709/245
*	I	US-6,785,728	08-2004	Schneider et al.	709/229
*	J	US-2003/0081607	05-2003	Kavanagh, Alan	370/392
*	K	US-6,667,971	12-2003	Modarressi et al.	370/352
*	L	US-2004/0057188	03-2004	Phillips et al.	361/119
*	M	US-2003/0177363	09-2003	Yokota et al.	713/176

**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.

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
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**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-7,207,057	04-2007	Rowe, Lynn T.	725/144
*	B US-7,136,373	11-2006	Ma, Gene	370/352
*	C US-2002/0116643	08-2002	Raanan et al.	713/201
*	D US-6,625,141	09-2003	Glitho et al.	370/352
	E US-			
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
	K US-			
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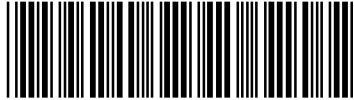
**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
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**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				
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	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.

<b>Index of Claims</b>  	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE								
Final	Original	08/06/2012	11/26/2007	05/06/2008	02/02/2009	06/24/2009	02/01/2010	08/23/2010	03/24/2011	09/08/2011
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	25	✓	✓	✓	✓	✓	✓	✓	✓	✓
	26	✓	✓	✓	✓	✓	✓	✓	✓	✓





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S8	198	SIP near (request invite) same authoriz\$6 with service	US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2012/08/01 13:52
S9	47	S8 and @ad<"20030925"	US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2012/08/01 13:52
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S38	8	S37 and @ad<"20030925"	US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2012/08/01 14:46
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S41	379	(allow\$4 grant\$4 authoriz\$6) near4 service same SIP near2 (request\$4 invit\$6)	US-PGPUB; USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2012/08/01 14:49
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S49	29	S48 and @ad<"20030925"	US-PGPUB; USPAT; EPO; JPO;	OR	ON	2012/08/01 15:01


			DERWENT; IBM_TDB			
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**EAST Search History (Interference)**

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<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

<b>SEARCHED</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

<b>SEARCH NOTES</b>		
<b>Search Notes</b>	<b>Date</b>	<b>Examiner</b>
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT
Updated EAST Keyword Search	2/1/2010	RT
Updated EAST Keyword Search	3/24/2011	RT
Updated EAST Keyword Search	9/8/2011	RT
Updated EAST Keyword Search	8/6/2012	RT
Michael Pyzocha consulted on case	8/6/2012	RT

<b>INTERFERENCE SEARCH</b>			
<b>Class</b>	<b>Subclass</b>	<b>Date</b>	<b>Examiner</b>

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**HEWLETT-PACKARD COMPANY**  
Intellectual Property Administration  
P.O. Box 272400  
Fort Collins, Colorado 80527-2400

Atty Docket No.: 82274342

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

**Inventor(s):** David A. GRABELSKY                      **Confirmation No.:** 1853  
**Serial No.:** 10/671,375                                      **Examiner:** Roderick Tolentino  
**Filed:** September 25, 2003                                **Group Art Unit:** 2439  
**Title:** SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT  
OF INTELLIGENT-CLIENT FEATURES

**MAIL STOP AMENDMENT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**AMENDMENT UNDER 37 CFR § 1.111**

Sir:

In response to the Office Action dated August 29, 2012, kindly amend the application identified above as follows. In the following, underlines indicate insertions and strikethroughs and double brackets indicate deletions.

**IN THE CLAIMS**

*Please find below a listing of all of the pending claims. The status of each claim is set forth in parentheses. This listing will replace all prior versions, and listings, of claims in the present application.*

1. (Currently amended) A method for controlling a plurality of services in packet-based networks, the method comprising:
  - a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message, wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke;
  - the network entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point, wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification; and
  - the network entity filtering the signaling message based on the determination such that the signaling message is transmitted to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message.

2. (Previously presented) The method of claim 1, wherein filtering the signaling message comprises altering the signaling message based on the authorized services of the sender device or the intended recipient device.

3. (Previously presented) The method of claim 2, wherein altering the signaling message comprises modifying the signaling message so that the indication of the type of service is within authorized limits.

4. (Previously presented) The method of claim 1, wherein filtering the signaling message comprises discarding the signaling message having an indication of services which the sender device or the intended recipient devices is unauthorized to use.

5. (Currently amended) The method of claim 1, further comprising the network entity communicating with one or more other network entities responsible for monitoring media data flow associated with the call between the sender device and the intended recipient device to ensure compliance with the authorized services and an authorized amount of bandwidth.

6. (Currently amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity intercepting a message associated with a call between a sender of the message and an intended recipient of the message;

the network entity recognizing that the message includes at least part of an indication of at least one of the plurality of services;

the network entity determining whether any beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services based on a beneficiary profile stored in part on a remote enforcement point, wherein the plurality of services comprise at least two of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification; and

the network entity processing the message based on whether the beneficiary of the at least one of the plurality of services is authorized to invoke or receive the at least one of the plurality of services.

7. (Previously presented) The method of claim 6, wherein recognizing that the message includes at least part of the indication of the at least one of the plurality of services comprises:

accessing a database including information indicating implementations of services;

and

comparing the indication of the at least one of the plurality of services to the information in the database.

8. (Previously presented) The method of claim 6, wherein the beneficiary is the sender of the message.

9. (Previously presented) The method of claim 6, wherein the beneficiary is the intended recipient of the message.

10. (Previously presented) The method of claim 6, wherein determining whether the beneficiary of the service is authorized to invoke or receive the at least one of the plurality of services comprises:

receiving from an authentication server a user profile of the beneficiary that specifies which of the plurality of services the beneficiary is authorized to invoke or receive; and

comparing the authorized services for the beneficiary to the at least one of the plurality of services indicated in the message.

11. (Currently amended) The method of claim 6, ~~wherein the message is a session initiation protocol (SIP) message~~ further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use and is utilizing an authorized amount of bandwidth.

12. (Canceled).

13. (Previously presented) The method of claim 6, wherein processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the at least one of the plurality of services.



14. (Previously presented) The method of claim 6, wherein processing the message comprises altering the message and then forwarding the message to the intended recipient.

15. (Previously presented) The method of claim 14, wherein altering the message comprises altering the message so as to disable the at least one of the plurality of services.

16. (Previously presented) The method of claim 6, wherein processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the at least one of the plurality of services.

17. (Previously presented) The method of claim 16, further comprising the network entity returning an error indication message to the sender of the message.

18. (Previously presented) The method of claim 6, wherein if the beneficiary is not authorized to invoke or receive the at least one of the plurality of services, processing the message comprises:

returning an option message to the sender asking the sender if the sender wants to invoke or receive the at least one of the plurality of services.

19. (Currently amended) A method for controlling a plurality of services in packet-based networks, the method comprising:

a network entity intercepting a message associated with establishing an Internet Protocol (IP) telephony call between a sender of the message and an intended recipient of the message, the message configured according to a protocol;

the network entity requesting a user profile of a user associated with the message, wherein the user profile specifies which of a plurality of services the user is authorized to use, including IP telephony services;

the network entity determining from the user profile whether the user is authorized to invoke or receive the IP telephone services, wherein the IP telephone services comprise at least two of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification; and

the network entity filtering the message based on whether the user is authorized to invoke or receive the IP telephone services.

20. (Previously presented) The method of claim 19, wherein the user is the sender of the message.

21. (Previously presented) The method of claim 19, wherein the user is the intended recipient of the message.

22. (Original) The method of claim 19, wherein the message is a session initiation protocol (SIP) message.

23. (Currently amended) The method of claim 19, further comprising monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use and is utilizing an authorized amount of bandwidth.

24. (Currently amended) A system for controlling a plurality of services in packet-based networks, the system comprising:

an interface that is in a communications path of signaling messages between a first end device and a second end device, wherein the interface receives messages according to a protocol;

a processor;

data storage; and

program logic stored in the data storage and executable by the processor to intercept at least one message associated with a call between the first end device and the second end device, to associate the at least one message with at least one known service of a plurality of services that are defined within the protocol, to determine whether either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services according to a user profile maintained on a remote enforcement point, wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification, and to filter the at least one message based on whether at least one of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services.

25. (Currently amended) A system comprising:

a border element being in a communications path of session initiation protocol (SIP) signaling messages associated with a call between end devices, wherein the SIP signaling messages include an indication of at least one service of a plurality of services, and wherein the border element is operable to filter the SIP signaling messages based on authorized services of either of the end devices, wherein an SIP signaling message is transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message, wherein the service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification; and

a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one of the end devices is authorized to use.

26. (Original) The system of claim 25, wherein the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall.

**PATENT**

Atty Docket No.: 82274342

App. Ser. No.: 10/671,375

**REMARKS**

Favorable reconsideration of this application is respectfully requested in view of the claim amendments and following remarks.

*Statement of Amendments*

Claims 1, 5, 6, 19, and 23-25 are amended. Claim 12 is canceled without prejudice or disclaimer of the subject matter contained therein.

Claims 1-11 and 13-26 are pending in the application of which claims 1, 6, 19, 24, and 25 are independent.

No new matter has been introduced by way of the amendments above. Entry thereof is therefore respectfully requested.

*Summary of the Office Action*

Claims 1, 4-10, 13, 16, 19-21, 23, and 24 are rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over U.S. Patent No. 6,625,141 to Glitho et al. (hereinafter “Glitho”) in view of U.S. Patent Application Publication No. 2002/0116643 to Raanan et al. (hereinafter “Raanan”).

Claims 2, 3, and 14 are rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent Application Publication No. 2002/0124112 to Tso (hereinafter “Tso”).

Claim 12 is rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent Application Publication No. 2001/0024436 to Barraclough et al. (hereinafter “Barraclough”).

**PATENT**

Atty Docket No.: 82274342

App. Ser. No.: 10/671,375

Claims 11, 22, and 25 are rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent No. 6,678,735 to Orton et al. (hereinafter “Orton”).

Claim 15 is rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent Application Publication No. 2004/0029564 to Hodge et al. (hereinafter “Hodge”).

Claim 17 is rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent No. 5,809,230 to Pereira et al. (hereinafter “Pereira”).

Claim 18 is rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent No. 6,446,206 to Feldbaum et al. (hereinafter “Feldbaum”).

Claim 26 is rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of U.S. Patent Application Publication No. 2003/0093563 to Young et al. (hereinafter “Young”).

Drawings

The indication that the drawings submitted on September 25, 2003 have been accepted by the Examiner is noted with appreciation.

Claim Rejections Under 35 U.S.C. §103(a)

The test for determining if a claim is rendered obvious by one or more references for purposes of a rejection under 35 U.S.C. § 103 is set forth in *KSR International Co. v. Teleflex Inc.*, 550 U.S. 398, 82 USPQ2d 1385 (2007):

“Under §103, the scope and content of the prior art are to be determined; differences between the prior art and the claims at issue are to be ascertained; and the level of ordinary skill in the pertinent art resolved. Against this background the obviousness or nonobviousness of the subject matter is determined. Such secondary considerations as commercial success, long felt but unsolved needs, failure of others, etc., might be utilized to give light to the circumstances surrounding the origin of the subject matter sought to be patented.” Quoting *Graham v. John Deere Co. of Kansas City*, 383 U.S. 1 (1966).

As set forth in MPEP 2143.03, to ascertain the differences between the prior art and the claims at issue, “[a]ll claim limitations must be considered” because “all words in a claim must be considered in judging the patentability of that claim against the prior art.” *In re Wilson*, 424 F.2d 1382, 1385. According to the Examination Guidelines for Determining Obviousness Under 35 U.S.C. 103 in view of *KSR International Co. v. Teleflex Inc.*, Federal Register, Vol. 72, No. 195, 57526, 57529 (October 10, 2007), once the *Graham* factual inquiries are resolved, there must be a determination of whether the claims would have been obvious to one of ordinary skill in the art based on any one of the following proper rationales:

(A) Combining prior art elements according to known methods to yield predictable results; (B) Simple substitution of one known element for another to obtain predictable results; (C) Use of known technique to improve similar devices (methods, or products) in the same way; (D) Applying a known technique to a known device (method, or product) ready for improvement to yield predictable results; (E) “Obvious to try”—choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success; (F) Known work in one field of endeavor may prompt variations of it for use in either the same field or a different one based on design incentives or other market forces if the variations would have been predictable to one of ordinary skill in the art; (G) Some teaching, suggestion, or motivation in the prior art that would have led one of ordinary skill to modify the prior art

reference or to combine prior art reference teachings to arrive at the claimed invention. *KSR International Co. v. Teleflex Inc.*, 550 U.S. 398, 82 USPQ2d 1385 (2007).

Furthermore, as set forth in *KSR International Co. v. Teleflex Inc.*, quoting from *In re Kahn*, 441 F.3d 977, 988 (CA Fed. 2006), “[R]ejections on obviousness grounds cannot be sustained by mere conclusory statements; instead, there must be some articulated reasonings with some rational underpinning to support the legal conclusion of obviousness.”

Therefore, if the above-identified criteria and rationales are not met, then the cited reference(s) fails to render the claims obvious and, thus, the claims are distinguishable over the cited reference(s).

***Claims 1, 4-10, 13, 16, 19-21, 23, and 24***

Claims 1, 4-10, 13, 16, 19-21, 23, and 24 are rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan.

Independent Claim 1

Independent claim 1 recites *inter alia*:

the network entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point, wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification...

Independent claim 1 has been amended in certain respects to incorporate the features of now-cancelled claim 12. The Office Action acknowledges that Glitho fails to disclose the features discussed above. *Office Action*, pages 3 and 7. In an effort to make up for the failure in Glitho to disclose “the network entity making a determination of whether either the sender



device or the intended recipient device is authorized...,” the Office Action cites to paragraph [0027] of Raanan. *Id.*, pages 3-4. Paragraph [0027] of Raanan states:

The filter module 14 intercepts messages such as requests from the client 12 and queries the protocol database 16 to determine whether the actions or commands in the request are authorized or allowed for the client 12. The protocol database 16 contains a list of the allowable actions, either for a given client/server session, for a “stage” or segment of the application program, or as a static list of actions allowable for a give application program.

As discussed throughout the Raanan document, the messages discussed in Raanan pertain to communications between a client 12 and a server 10. The “allowable actions” discussed in paragraph [0027] of Raanan therefore pertain to an application program residing in the server. *Raanan*, claim 1. As such, Raanan fails to disclose that a determination is made of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message, in which the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification, as recited in independent claim 1 of the present application.

In addition, Raanan discusses that application protocol data is extracted from a “server message to thereby retrieve the set of allowable actions which may be taken in response to the server message.” *Raanan*, claim 1. In Raanan, therefore, the determination as to which actions are allowable are identified in the application protocol data. As such, Raanan fails to disclose that a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message is based in part on a device profile maintained in part on a remote enforcement point as also recited in independent claim 1 of the present application.

The Office Action, in an effort to make up for the failure in Glitho to disclose that “the service is selected from the group consisting of caller-ID, call waiting, multi-way calling,

multi-line service, and codec specification” with respect to claim 12, asserts that paragraph [0021] of Barraclough discloses this feature. *Office Action*, page 7. That paragraph states, in part, that:

...The VoIP gateway device 100 supports the features expected from commercial PSTN switch provider such as: BORSCHT (Battery, Over-voltage, Ringing, Supervision, Codec, Hybrid and Testing), Caller-ID, Three-way calling...

The Office Action also asserts that “it would have been obvious to a person of ordinary skill in the art to use Barraclough’s VO-IP Audio-data terminal processor with Glitho’s interception of SIP messages between callers because it offers the advantage of using a cost-effective way to communicate to channels (Barraclough, Paragraph 0004).” *Office Action*, page 7. Initially, it is not understood as to how communicating to channels would be an improvement to Glitho and thus, this reasoning is insufficient to establish that the proposed combination would have been obvious. Secondly, as the Office Action acknowledges, Glitho fails to disclose that “the networking entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point.” As such, the proposed modification to Glitho to include the features discussed above in Barraclough would still fail to disclose this feature. In addition, because Raanan pertains to messages between a client and a server, it would not have been obvious to modify Raanan to include features discussed above in Barraclough.

Accordingly, even assuming for the sake of argument that one of ordinary skill in the art were somehow motivated to combine Glitho, Raanan, and Barraclough as suggested in the Office Action, the proposed combination would still fail to result in each and every element

recited in independent claim 1. The proposed combination therefore fails to render this claim *prima facie* obvious.

The Examiner is therefore respectfully requested to withdraw the rejection of independent claim 1 and to allow this claim.

***Independent Claims 6, 19, and 24***

Independent claim 6, 19, and 24, as amended, recites “to determine whether either of the first end device and the second end device is authorized to invoke or receive the at least one known service of the plurality of services according to a user profile maintained on a remote enforcement point, wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.” As such, for at least the reasons discussed above with respect to independent claim 1, the proposed combination of Glitho, Raanan, and Barraclough fails to render independent claims 6, 19, and 24 *prima facie* obvious.

The Examiner is therefore respectfully requested to withdraw the rejection of independent claims 6, 19, 24, and 25 and to allow these claims.

***Dependent Claims 4-10, 13, 16, 20, 21, and 23***

Claims 4-10, 13, 16, 20, 21, and 23 depend upon one of allowable independent claims 1, 6, and 19 and are therefore allowable over the proposed combination of Glitho, Raanan, and Barraclough at least by virtue of these dependencies. These claims are also allowable for additional reasons.

For instance, with respect to claim 5, the Office Action asserts that Raanan, in paragraph [0027], discloses the features recited therein. However, that paragraph discusses making a determination as to whether the actions or commands in a request are authorized for a client and thus does not include any type of communication “with one or more other network entities that are responsible for monitoring media data flow associated with the call between the sender device and the intended recipient device” as recited in claim 5.

Likewise, the rejection of claim 23 is improper because paragraph [0027] of Raanan fails to disclose that the filter module 14 actually monitors “network resource usage...” as recited in that claim.

***Claims 2, 3, 11, 12, 14, 15, 22, and 25***

Claims 2, 3, 11, 12, 14, 15, 22, and 25 are rejected under 35 U.S.C. §103(a) as allegedly being unpatentable over Glitho in view of Raanan, and further in view of one of Tso, Barraclough, Orton, Hodge, Pereira, Feldbaum, and Young. Claim 12 has been canceled without prejudice or disclaimer of the subject matter contained therein and will thus not be addressed further herein.

Independent claim 25, as amended, recites “wherein an SIP signaling message is authorized for a service indicated in that SIP signaling message, wherein the service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification.” As such, for at least the reasons discussed above with respect to independent claim 1, the proposed combination of Glitho, Raanan, and Barraclough fails to render independent claim 25 *prima facie* obvious.

In addition, claims 2, 3, 11, 14, 15, and 22 depend upon one of allowable independent claims 1, 6, and 19 and are therefore allowable over the proposed combination of Glitho, Raanan, and Barraclough at least by virtue of these dependencies. The Office Action cites to Tso, Orton, Hodge, Pereira, Feldbaum, and Young as allegedly disclosing the features of these dependent claims. The Office Action therefore has not and cannot reasonably assert that any of these cited documents makes up for the deficiencies in the proposed combination of Glitho, Raanan, and Barraclough discussed above with respect to independent claims 1, 6, and 19.

Accordingly, even assuming for the sake of argument that one of ordinary skill in the art were somehow motivated to combine Glitho, Raanan, Barraclough, and any of Tso, Orton, Hodge, Pereira, Feldbaum, and Young as suggested in the Office Action, the proposed combinations would still fail to result in each and every element recited in claims 2, 3, 11, 14, 15, 22, and 25. The proposed combinations therefore fail to render these claims *prima facie* obvious.

The Examiner is therefore respectfully requested to withdraw the rejection of and to allow these claims.

**PATENT**

Atty Docket No.: 82274342

App. Ser. No.: 10/671,375

Conclusion

In light of the foregoing, withdrawal of the rejections of record and allowance of this application are earnestly solicited. Should the Examiner believe that a telephone conference with the undersigned would assist in resolving any issues pertaining to the allowability of the above-identified application, please contact the undersigned at the telephone number listed below. Please grant any required extensions of time and charge any fees due in connection with this request to Deposit Account No. 08-2025.

Respectfully submitted,

Dated: November 29, 2012

By /Timothy B. Kang/  
Timothy B. Kang  
Registration No. 46,423  
(703) 652-3817

MANNAVA & KANG, P.C.  
11240 Waples Mill Road  
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(703) 865-5150 (facsimile)

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	14344514
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	22879
<b>Filer:</b>	Timothy B. Kang/Jennifer Vo
<b>Filer Authorized By:</b>	Timothy B. Kang
<b>Attorney Docket Number:</b>	82274342
<b>Receipt Date:</b>	29-NOV-2012
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	17:40:41
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		82274342-Resp.pdf	194766 <small>40203563434ce427527476768c437cb30e6a1638</small>	yes	20

<b>Multipart Description/PDF files in .zip description</b>			
<b>Document Description</b>		<b>Start</b>	<b>End</b>
Transmittal Letter		1	1
Amendment/Req. Reconsideration-After Non-Final Reject		2	20

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>	194766
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**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.**



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

Inventor(s): **David A. GRABELSKY**

Confirmation No.: **1853**

Application No.: **10/671,375**

Examiner: **Roderick Tolentino**

Filing Date: **September 25, 2003**

Group Art Unit: **2439**

Title: **SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES**

**Mail Stop Amendment  
 Commissioner For Patents  
 PO Box 1450  
 Alexandria, VA 22313-1450**

**TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT**

Transmitted herewith is/are the following in the above-identified application:

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Response/Amendment | <input type="checkbox"/> Petition to extend time to respond |
| <input type="checkbox"/> New fee as calculated below   | <input type="checkbox"/> Supplemental Declaration           |
| <input checked="" type="checkbox"/> No additional fee  |   |
| <input type="checkbox"/> Other _____                   | Fee\$ _____   |

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS	25	MINUS	26	= 0	X \$60	\$ 0
INDEP. CLAIMS	5	MINUS	5	= 0	X \$250	\$ 0
<input type="checkbox"/>	FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM				+ \$450	\$ 0
EXTENSION FEE	<input type="checkbox"/> 1st Month \$150	<input type="checkbox"/> 2nd Month \$560	<input type="checkbox"/> 3rd Month \$1270	<input type="checkbox"/> 4th Month \$1980		\$ 0
OTHER FEES						\$
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Charge \$ 0 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any over payment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally charge any fees to Deposit Account 08-2025 under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees. A duplicate copy of this sheet is enclosed.

Respectfully submitted,  
 David A. GRABELSKY

By: /Timothy B. Kang/  
 Timothy B. Kang  
 Attorney/Agent for Applicant(s)

Reg No. : 46,423

Date : November 29, 2012

Telephone : (703) 652-3817

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>10/671,375</b>	Filing Date <b>09/25/2003</b>	<input type="checkbox"/> To be Mailed
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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 (\$)	OR	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), (j), 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(j))</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		
			TOTAL		OR	TOTAL	

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

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	11/29/2012	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	* 25	Minus ** 26	= 0	X \$ =		OR	X \$62=	0
	Independent <small>(37 CFR 1.16(h))</small>	* 5	Minus ***5	= 0	X \$ =		OR	X \$250=	0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR		
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	0

	(Column 1)	(Column 2)	(Column 3)						
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total <small>(37 CFR 1.16(i))</small>	*	Minus **	=	X \$ =		OR	X \$ =	
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus ***	=	X \$ =		OR	X \$ =	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						OR		
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						OR		
					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:  
 /KIM DOWNING/

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.

<b>Examiner-Initiated Interview Summary</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439	

All participants (applicant, applicant's representative, PTO personnel):

- (1) RODERICK TOLENTINO. (3)\_\_\_\_\_.
- (2) Timothy Kang. (4)\_\_\_\_\_.

Date of Interview: 06 February 2013.

Type:  Telephonic  Video Conference  
 Personal [copy given to:  applicant  applicant's representative]

Exhibit shown or demonstration conducted:  Yes  No.  
If Yes, brief description: \_\_\_\_\_.

Issues Discussed 101 112 102 103 Others  
(For each of the checked box(es) above, please describe below the issue and detailed description of the discussion)

Claim(s) discussed: 1.

Identification of prior art discussed: \_\_\_\_\_.

**Substance of Interview**

(For each issue discussed, provide a detailed description and indicate if agreement was reached. Some topics may include: identification or clarification of a reference or a portion thereof, claim interpretation, proposed amendments, arguments of any applied references etc...)

Examiner contacted Applicant to attempt to amend claim language to advance prosecution. Examiner made Applicant aware that the office was prepared to make a Final rejection. Examiner explained that the claim language was looked at by a primary examiner and that the language as written did not contain allowable subject matter, including dependent claims. Examiner, looked at the specification but could not come up with amendment, being the specification being large. Examiner offered Applicant a few days to look at the case and attempt an amendment. Applicant declined and said to go forward with the Final rejection.

**Applicant recordation instructions:** It is not necessary for applicant to provide a separate record of the substance of interview.

**Examiner recordation instructions:** Examiners must summarize the substance of any interview of record. A complete and proper recordation of the substance of an interview should include the items listed in MPEP 713.04 for complete and proper recordation including the identification of the general thrust of each argument or issue discussed, a general indication of any other pertinent matters discussed regarding patentability and the general results or outcome of the interview, to include an indication as to whether or not agreement was reached on the issues raised.

Attachment



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

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 82274342 1853

22879 7590 02/15/2013
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
3404 E. Harmony Road
Mail Stop 35
FORT COLLINS, CO 80528

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2439

NOTIFICATION DATE DELIVERY MODE

02/15/2013

ELECTRONIC

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.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

JERRY.SHORMA@HP.COM
ipa.mail@hp.com
brandon.serwan@hp.com



### **DETAILED ACTION**

1. Claims 1 – 11 and 13 – 26 are pending.

### ***Response to Arguments***

2. Applicant's arguments with respect to claims 11 and 23 have been considered but are moot because the arguments do not apply to any of the references being used in the current rejection.
3. Applicant's arguments filed 11/29/2012 have been fully considered but they are not persuasive.
4. Applicant argues that Glitho in view of Raanan and Barraclough fail to disclose, teach or even suggest, "a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message, wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point wherein the type of service comprises at least one of caller-D, call waiting, multi-way calling, multi-line service, and codec specification; and the network entity filtering the signaling message based on the determination such that the signaling message is transmitted to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling

Art Unit: 2439

message,” regarding claim 1. Examiner respectfully disagrees. Glitho teaches a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users) the signaling message is transmitted and filtered based on a profile maintained in part by the remote enforcement point, to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based on the filtering (Glitho, column 9 lines 17-27 where the profile of the sender or the receiver is retrieved) but fails to teach wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point, wherein the type of service comprises at least one of caller-D, call waiting, multi-way calling, multi-line service, and codec specification; and the network entity filtering the signaling message based on the determination.

5. However, in an analogous art Raanan teaches wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point (Raanan, Paragraph 0027, filtering module determines if actions or commands are

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authorized) and the network entity filtering the signaling message based on the determination (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions). And Barraclough teaches wherein the type of service comprises at least one of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021, teaches the VoIP gateway device supports the features expected from a commercial PSTN switch provider such as: BORSCHT, Caller-ID, Three-way calling; Detect DTMF, Call Waiting, Last number redial, and Call Return).

6. Applicant focuses on the claim language “the network entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification,” in claim 1. Applicant argues that Ranaan fails to teach determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification. However, Ranaan was never relied upon to teach the types of services. Ranaan was relied upon to teach the determining step which it does so in Paragraph 0027. Paragraph 0027 of Ranaan recites *“The filter module intercepts messages such as requests from the client and queries the protocol database*



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*to determine whether the actions or commands in the request are authorized or allowed for the client,*" where it is being made clear that the filter is intercepting messages and determining if an action is allowed by a client. Thus Ranaan does properly read on the claim language of determining if a sender or recipient is authorized to perform a type of service. It does fall short in teaching the type of actions, but was again never relied upon to teach. Barraclough is relied upon to teach the type of actions that would exist in a telecommunications network that would be combined with Ranaan's determining step. Barraclough teaches these options on Paragraph 0021, where it discloses, "*the VoIP gateway device supports the features expected from a commercial PSTN switch provider such as: BORSCHT, Caller-ID, Three-way calling; Detect DTMF, Call Waiting, Last number redial, and Call Return.*" The actions listed in Barraclough would be common and obvious to have/combine in any telecommunications network such as the one taught by Glitho, which would be known to one of ordinary skill in the art.

7. The inventive concept of the claim language, is a telecommunications network, where it is determined if certain actions are allowed by clients in the network. The combination of Glitho in view of Ranaan and Barraclough, teach the inventive concept and read on the claim language as written. Examiner would be open to discuss amendments in the interest of compact prosecution.

8. Examiner apologizes for the confusion with claim 25, which was supposed to reflect a similar rejection as the other independent claims in the previous office action. However, an accidental copy and paste had gone awry. Claim 25, has been re-written

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to reflect only the rejection which is now similar to its other independent claims in this case, without adding any new rejection outside from the other independent claims.

***Claim Rejections - 35 USC § 103***

9. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

10. Claims 1, 4 – 10, 13, 16, 19 – 21, 23 and 24, is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) and Barraclough et al. U.S. PG-Publication No. (2001/0024436).

11. As per claim 1, 6, 19 and 24 Glitho teaches a network entity intercepting a signaling message associated with a call between a sender device of the message and an intended recipient device of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users) the signaling message based in part on a device profile maintained in part by the remote enforcement point, to the intended recipient device if either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based on the filtering (Glitho, column 9 lines 17-27 where the profile of the sender or the receiver is retrieved) but fails to teach wherein the signaling message

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includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point, wherein the type of service comprises at least one of caller-D, call waiting, multi-way calling, multi-line service, and codec specification; and the network entity filtering the signaling message based on the determination. However, in an analogous art Raanan teaches wherein the signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke; the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service based in part on a device profile maintained in part on a remote enforcement point (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized) and the network entity filtering the signaling message based on the determination (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions). And Barraclough teaches wherein the type of service comprises at least one of caller-D, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021, teaches the VoIP gateway device supports the features expected from a commercial PSTN switch provider such as: BORSCHT, Caller-ID, Three-way calling; Detect DTMF, Call Waiting, Last number redial, and Call Return).

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12. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Raanan's system for extracting application protocol characteristics with Glitho's interception of SIP messages between callers because it offers the advantage of preventing clients from performing disallowable actions (Raanan, Paragraph 0007).

13. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Glitho's interception of SIP messages between callers because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

14. As per claim 4, Glitho as modified teaches filtering the messages comprises discarding the signaling messages having an indication of services, which the sender or the intended recipient devices are unauthorized to use (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

15. As per claim 5, Glitho as modified teaches communicating with one or more network entities responsible for monitoring media data flow within the communication path to ensure compliance with the authorized services and an authorized amount of and bandwidth (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

16. As per claim 7, Glitho as modified teaches accessing a database including information indicating implementations of services and comparing the indication of the

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service to the information in the database (Raanan, Paragraph 0016, protocol database to store each individual client/server policy).

17. As per claims 8 and 20, Glitho as modified teaches the beneficiary is a sender of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users).

18. As per claims 9 and 21, Glitho as modified teaches the beneficiary is the recipient of the message (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users).

19. As per claim 10, Glitho as modified as modified teaches receiving from an authentication server a user profile of the beneficiary that specifies which services the beneficiary is authorized to invoke or receive (Raanan, Paragraph 0016, protocol database to store each individual client/server policy) and comparing the authorized services for the beneficiary to the service indicated in the message (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized).

20. As per claim 13, Glitho as modified teaches processing the message comprises forwarding the message to the beneficiary if the beneficiary is authorized to invoke or receive the service (Raanan, Paragraph 0027, if allowable the filtering module will not filter out the message).

21. As per claim 16, Glitho as modified teaches processing the message comprises discarding the message if the beneficiary is not authorized to invoke or receive the service (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions).

22. Claims 2, 3 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) and Barraclough et al. U.S. PG-Publication No. (2001/0024436) and in view of Tso U.S. PG-Publication No. (2002/0124112).

23. As per claim 2, Glitho fails to teach filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device. However, in an analogous art Tso teaches filtering the signaling messages comprises altering the signaling messages based on the authorized services of the sender or the intended recipient device (Tso, Paragraph 0011).

24. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Tso' Header-based Network API with Glitho's interception of SIP messages between callers because it offers the advantage of successfully receiving the original message sent by a sender (Tso, Paragraph 0011 ).

25. As per claim 3, Glitho as modified teaches altering the signaling messages comprises modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

26. As per claim 14, Glitho fails to teach processing the message comprises altering the message and then forwarding the message to an intended recipient. However, in an analogous Tso teaches processing the message comprises altering the message and then forwarding the message to an intended recipient (Tso, Paragraph 0011). 19. As per claim 3, Schneider as modified teaches altering the signaling messages comprises

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modifying the signaling messages so that the indication of the type of service is within authorized limits (Tso, Paragraph 0011).

27. Claims 11 and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) and Barraclough et al. U.S. PG-Publication No. (2001/0024436) and in view of Hagen U.S. PG-Publication No. (2002/0075844).

28. As per claims 11 and 23, Glitho fails to teach monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use and is utilizing an authorized amount of bandwidth. However, in an analogous art monitoring network resource usage to ensure that the user is only utilizing services that the user is authorized to use and is utilizing an authorized amount of bandwidth (Hagen, Paragraph 0012, teaches monitoring and control of bandwidth useage by authorized subscribers).

29. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hagen's Integrating public and private network resources for optimized broadband wireless access and method with Glitho's interception of SIP messages between callers because it offers the advantage of provides a system and method that enables terminals to access public networks, such as the Internet, at broadband data rates (Hagen, Paragraph 0010).

30. Claims 22 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-

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Publication No. (2002/0116643) and Barraclough et al. U.S. PG- Publication No. (2001/0024436) and in view of Orton et al. U.S. Patent No. (6,678,735).

31. As per claims 22, Glitho fails to teach wherein the message is a SIP signal messaging. However, in an analogous art Orton teaches wherein the message is a SIP signal messaging (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

32. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Glitho's interception of SIP messages between callers because it offers the advantage of managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

33. As per claim 25, Glitho teaches a border element being in a communications path of signaling messages associated with a call between end devices (Glitho, column 8 lines 45-65 where the SIPext SSP node intercepts SIP messages used in a call between users) and a proxy server for receiving a request from the border element for a user profile of at least one of the end devices the user profile maintained on a storage device, and in response, for sending the user profile to the border element, wherein the user profile specifies which services of the plurality of services the at least one of the end devices is authorized to use (Glitho, column 9 lines 17-27 where the profile of the sender or the receiver is retrieved) but fails to teach wherein the SIP signaling messages include an indication of at least one service of a plurality of services, wherein the border element is to filter the SIP signaling messages based on authorized services of at either of the end devices, wherein an SIP signaling message is transmitted if either



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of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message, indicated in that SIP signaling message, wherein the service comprises at least one of caller- ID, call waiting, multi-way calling, multi-line service, and codec specification. However, in an analogous art Ranaan teaches wherein the border element is to filter the SIP signaling messages based on authorized services of at either of the end devices (Raanan, Paragraph 0027, filtering module determines if actions or commands are authorized), wherein an SIP signaling message is transmitted if either of the end devices associated with that SIP signaling message is authorized for a service indicated in that SIP signaling message, indicated in that SIP signaling message (Raanan, Paragraph 0016, filter module to enforce a protocol policy for each client, obvious that the filter module would filter out the unauthorized actions). And Barraclough teaches wherein the service comprises at least one of caller- ID, call waiting, multi-way calling, multi-line service, and codec specification (Barraclough, Paragraph 0021, teaches the VoIP gateway device supports the features expected from a commercial PSTN switch provider such as: BORSCHT, Caller-ID, Three-way calling; Detect DTMF, Call Waiting, Last number redial, and Call Return). And Orton teaches message is a SIP signal messaging (Orton, Col. 3 Lines 10 - 22 and Col. 3 Lines 18 - 23).

34. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Orton's method for a SIP client manager with Glitho's interception of SIP messages between callers because it offers the advantage of

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managing non- essential routing information using an SIP environment (Orton, Col. 1 Lines 46 - 50).

35. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Raanan's system for extracting application protocol characteristics with Glitho's interception of SIP messages between callers because it offers the advantage of preventing clients from performing disallowable actions (Raanan, Paragraph 0007).

36. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Barraclough's VO-IP Audio-data terminal processor with Glitho's interception of SIP messages between callers because it offers the advantage of using a cost- effective way to communicate of channels (Barraclough, Paragraph 0004).

37. Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) and Barraclough et al. U.S. PG- Publication No. (2001/0024436) and in view of Hodge et al. U.S. PG-Publication No. (2004/0029564).

38. As per claim 15, Glitho fails to teach altering the message comprises altering the message so as to disable the service. However, in an analogous art Hodge teaches altering the message comprises altering the message so as to disable the service (Hodge, Paragraph 0253).

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39. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Hodge's telecommunication call management system with Glitho's interception of SIP messages between callers because it offers the advantage of disabling unaccountable systems from access to services in order to keep costs down (Hodge, Paragraph 0002).

40. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) and Barraclough et al. U.S. PG- Publication No. (2001/0024436) and in view of Pereira et al. U.S. Patent No. (5,809,230).

41. As per claim 17, Glitho fails to teach comprising returning an error indication message to a sender of the message. However, in an analogous art Pereira teaches comprising returning an error indication message to a sender of the message (Pereira, Col. 5 Lines 49 - 53).

42. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Pereira's system for controlling access to personal computer resources with Glitho's interception of SIP messages between callers because it offers the advantage of protecting unauthorized accesses to resources (Pereira, Col. 5 Lines 49 - 53).

43. Claim 18 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No.

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(2002/0116643) and Barraclough et al. U.S. PG- Publication No. (2001/0024436) and in view of Feldbaum et al. U.S. Patent No. (6,446,206).

44. As per claim 18, Glitho fails to teach returning an option message to the sender asking the sender if the sender wants to invoke or receive the service. However, in an analogous art Feldbaum teaches returning an option message to the sender asking the sender if the sender wants to invoke or receive the service (Feldbaum, Col. 5 Lines 45 - 58).

45. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Feldbaum's method for access to control of a message queue with Glitho's interception of SIP messages between callers because it offers the advantage of ensuring a request is authorized or not (Feldbaum, Col. 5 Lines 60 - 67).

46. Claim 26 is rejected under 35 U.S.C. 103(a) as being unpatentable over Glitho et al. U.S. PG-Patent No. (6,625,141) in view of Raanan et al. U.S. PG-Publication No. (2002/0116643) and Barraclough et al. U.S. PG- Publication No. (2001/0024436) and in view of Young e et al. U.S. PG- Publication No. (2003/0093563).

47. As per claim 26, Glitho fails to teach the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall. However, in an analogous art Young teaches the border element is selected from the group consisting of a firewall, an application layer gateway (ALG), and a SIP-aware firewall (Young, Paragraph 0018).

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48. At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to use Young's method for implementing and managing an access network device with Glitho's interception of SIP messages between callers because it offers the advantage of being a more secure system.

### ***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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 mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to RODERICK TOLENTINO whose telephone number is (571)272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-7884. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2439

Roderick Tolentino  
/R. T./  
Examiner, Art Unit 2439

/Christopher J Brown/  
Primary Examiner, Art Unit 2439

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
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**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-2004/0193906	09-2004	Dar et al.	713/200
*	B US-2002/0124112	09-2002	Tso, Michael M.	709/246
*	C US-6,446,206	09-2002	Feldbaum, Boaz	713/175
*	D US-5,809,230	09-1998	Pereira, J. L. A.	726/35
*	E US-2004/0029564	02-2004	Hodge, Stephen Lee	455/411
*	F US-2001/0024436	09-2001	Barraclough et al.	370/352
*	G US-6,678,735	01-2004	Orton et al.	709/230
*	H US-2003/0093563	05-2003	Young et al.	709/245
*	I US-6,785,728	08-2004	Schneider et al.	709/229
*	J US-2003/0081607	05-2003	Kavanagh, Alan	370/392
*	K US-6,667,971	12-2003	Modarressi et al.	370/352
*	L US-2004/0057188	03-2004	Phillips et al.	361/119
*	M US-2003/0177363	09-2003	Yokota et al.	713/176

**FOREIGN PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
N					
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**NON-PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
U	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)				
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.

<b>Notice of References Cited</b>	Application/Control No. 10/671,375	Applicant(s)/Patent Under Reexamination GRABELSKY ET AL.	
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**U.S. PATENT DOCUMENTS**

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-7,207,057	04-2007	Rowe, Lynn T.	725/144
*	B US-7,136,373	11-2006	Ma, Gene	370/352
*	C US-2002/0116643	08-2002	Raanan et al.	713/201
*	D US-6,625,141	09-2003	Glitho et al.	370/352
*	E US-2002/0075844	06-2002	Hagen, W. Alexander	370/351
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
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	L US-			
	M US-			

**FOREIGN PATENT DOCUMENTS**

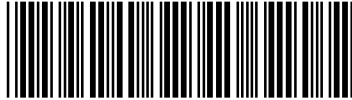
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**NON-PATENT DOCUMENTS**

*	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)				
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	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.



<b>Index of Claims</b> 	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> Tolentino, Roderick	<b>Art Unit</b> 2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

<b>N</b>	<b>Non-Elected</b>
<b>I</b>	<b>Interference</b>

<b>A</b>	<b>Appeal</b>
<b>O</b>	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE								
Final	Original	02/06/2013	11/26/2007	05/06/2008	02/02/2009	06/24/2009	02/01/2010	08/23/2010	03/24/2011	09/08/2011
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	17	✓	✓	✓	✓	✓	✓	✓	✓	✓
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	19	✓	✓	✓	✓	✓	✓	✓	✓	✓
	20	✓	✓	✓	✓	✓	✓	✓	✓	✓
	21	✓	✓	✓	✓	✓	✓	✓	✓	✓
	22	✓	✓	✓	✓	✓	✓	✓	✓	✓
	23	✓	✓	✓	✓	✓	✓	✓	✓	✓
	24	✓	✓	✓	✓	✓	✓	✓	✓	✓
	25	✓	✓	✓	✓	✓	✓	✓	✓	✓
	26	✓	✓	✓	✓	✓	✓	✓	✓	✓

## EAST Search History

## EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	4453998	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/02/02 12:15
S2	17	S1 and (filter\$3 near3 type near3 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:35
S3	427	S1 and (message near4 (security trust) near4 level)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:43
S4	6	S1 and ((message near4 (security trust) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:44
S5	2	S1 and ((message near4 (service) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:47
S6	49	S3 and (filter\$3 near4 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:51
S7	2	S6 and (authorizes near4 (services level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:52
S8	50	S1 and (message near3 contains near3 type near4 (service trust security level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:53
S9	0	S8 and (filer\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S10	7	S8 and (filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S11	0	S1 and ((signaling adj2 messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S12	19	S1 and ((messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S13	5603	S1 and (signaling adj2 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S14	30	S1 and ((signaling adj2 messages) near5 filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S15	4461670	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/06/24 18:18
S16	152	S15 and (messages near4 plurality near4 services)	US-PGPUB;	OR	ON	2009/06/24 18:19

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			USPAT			
S17	15	S15 and (messages near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19
S18	2	S15 and (choos\$3 near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:23
S19	62	S15 and (type near4 (plurality adj2 services))	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
S20	7	S15 and (type near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
S21	3	S15 and (choos\$3 near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:26
S22	6	S15 and (choos\$3 near4 type near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:27
S23	29	S15 and ((client user) near4 choos\$3 near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:28
S24	4470529	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2010/02/01 12:56
S25	11	S24 and (messages near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 12:56
S26	33	S24 and (types near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 13:59
S27	4	S26 not vehicle	US-PGPUB; USPAT	OR	ON	2010/02/01 14:00
S28	174	S24 and (types near4 service near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12
S29	0	S24 and ((types near4 service near4 authoriz\$3) with filter)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12
S30	0	S24 and ((types near4 service near4 authoriz\$3) with filter\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:13
S31	50	S24 and ((service near4 authoriz\$3) with filter\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:13
S32	4483862	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2011/03/24 10:41
S33	293	S32 and (packet near3 filter\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:41
S34	0	S32 and (packet near3 filter\$3 near3 authorized near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42
S35	9	S32 and (packet near3 filter\$3 near3 type near3 service)	US-PGPUB;	OR	ON	2011/03/24 10:42

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			USPAT			
S36	3	S32 and (packet near3 filter\$3 near3 controll\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:44
S37	35	S32 and (packet near3 filter\$3 near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:51
S38	1	S32 and (packet near3 filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
S39	12	S32 and (filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
S40	2	S32 and (filter\$3 near3 unauthorized with service with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:34
S41	34	S32 and (unauthorized near3 request near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:44
S42	0	S32 and (unauthorized near3 request near3 service with filter\$3)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:44
S43	0	S32 and (service near3 types near3 various)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
S44	331	S32 and (services near3 provider near3 types)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
S45	62	S32 and (services near3 provider near3 types near3 different)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:28
S46	28	S32 and (services near3 provider near3 request\$3 near3 particular)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:35
S47	192	S32 and (deny\$3 near4 service near3 request)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:44
S48	0	S32 and (deny\$3 near3 type near4 service near3 request)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:46
S49	6	S32 and (deny\$3 near4 service near3 request with provider)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:47
S50	7	S32 and (deny\$3 near4 service near3 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:47
S51	75	S32 and (deny\$3 near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:52
S52	95	S32 and (service near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:26
S53	40	S32 and (service near4 request near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:27
S54	18	S32 and (user near3 service near4 request near3 denied)	US-PGPUB;	OR	ON	2011/03/24 13:29

			USPAT			
S55	5	S32 and (user near3 service near4 request near3 denied with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:37
S56	0	S32 and (user near3 service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S57	0	S32 and (user near3 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S58	0	S32 and (service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S59	11	S32 and (request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S60	46	S32 and (service near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:42
S61	15	S32 and (service near3 level near3 denied)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:44
S62	2	S32 and (service near3 level near3 access near3 prevent\$3 )	US-PGPUB; USPAT	OR	ON	2011/03/24 13:45
S63	6	S32 and (service near3 level near3 access near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:45
S64	2	S32 and (service near3 level near3 access near3 prevent\$3)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:46
S65	9	S32 and (service near3 level near3 access near3 den\$4)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:46
S66	17	S32 and (service near3 level near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:47
S67	14	S32 and (service near3 level near3 request\$3 near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:48
S68	642	S32 and (service near3 request\$3 near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:50
S69	481	S32 and (service near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:51
S70	14	S32 and (service near3 type near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:51
S71	284	S32 and (service near3 type near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:52
S72	69	S32 and (service near3 request near3 (unauthorized den\$4) with network)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:53
S73	31	S32 and (user near3 service near3 request near3 (unauthorized den\$4))	US-PGPUB;	OR	ON	2011/03/24 13:54

			USPAT			
S74	4	S32 and (user near3 service near3 request near3 (unauthorized den\$4) with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S75	0	S32 and (user near3 service near3 request near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S76	3	S32 and (user near3 request near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S77	1	S32 and (user near3 service near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:59
S78	92	S32 and (user near3 (unauthorized den\$4) with cable)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S79	3	S32 and (user near3 (unauthorized den\$4) with cable with services)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S80	14	S32 and (user near3 (unauthorized den\$4) with adult)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S81	9	("7890749") or ("7069432") or ("6584562") or ("7606923") or ("7406324") or ("7369539") or ("7155528") or ("6614784") or ("7136373").PN.	USPAT; USOCR	OR	OFF	2011/09/08 09:43
S82	4486766	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:49
S83	12	S82 and (filter\$3 near3 call near3 waiting)	USPAT	OR	OFF	2011/09/08 10:49
S84	12	S82 and (filter\$3 near3 call near3 waiting)	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:50
S85	54	S82 and (intercept\$3 near3 messages with filter\$3)	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:51
S86	30	S85 and call	US-PGPUB; USPAT	OR	OFF	2011/09/08 11:02
S87	0	S82 and (intercept\$3 near3 messages with filter\$3 with call)	US-PGPUB; USPAT	OR	OFF	2011/09/08 11:03
S88	552	grabelsky	USPAT	OR	OFF	2013/02/05 10:06
S89	37	grabelsky.inv.	USPAT	OR	OFF	2013/02/05 10:06
S90	2	S89 and (type and service).clm.	USPAT	OR	OFF	2013/02/05 10:07
S91	0	S89 and (intercept\$3).clm.	USPAT	OR	OFF	2013/02/05 10:07
S92	4491746	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2013/02/05 10:11
S93	146	S92 and (filter\$3 near4 type near4	US-	OR	OFF	2013/02/05

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		service)	PGPUB; USPAT			10:11
S94	0	S92 and (filter\$3 near4 type near4 service with call)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:11
S95	0	S92 and (filter\$3 near4 type near4 service and callerid)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:12
S96	0	S92 and (filter\$3 near4 type near4 service and caller-id)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:12
S97	2	S92 and (filter\$3 near4 type near4 service and (call near2 waiting))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:12
S98	31	S92 and (filter\$3 with (call near2 waiting))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:13
S99	13	S92 and (filter\$3 with (telephone near3 services))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:19
S100	6	S92 and (filter\$3 with (calling near3 services))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:20
S101	1	("20010024436").PN.	US- PGPUB; USPAT; USOCR	OR	OFF	2013/02/05 11:01
S102	602	glitho	USPAT	OR	OFF	2013/02/06 12:46
S103	26	glitho.inv.	USPAT	OR	OFF	2013/02/06 12:46
S104	4491746	@ad<"20030925"	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:14
S105	99	S104 and (authorized near3 bandwidth)	USPAT	OR	OFF	2013/02/06 13:14
S106	0	S104 and (authorized near3 bandwidth with telecommunications)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:14
S107	1	S104 and (authorized near3 bandwidth with telecommunication)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:15
S108	0	S104 and (unauthorized near3 bandwidth with telecommunication)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:15
S109	21	S104 and (unauthorized near3 bandwidth)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:15
S110	0	S104 and (authorized near3 bandwidth with (resource near3 monitor\$3))	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:18
S111	80	S104 and (bandwidth with (resource near3 monitor\$3))	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:18
S112	28	S111 and telecommunications	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:19

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S113	2	S104 and (bandwidth near4 authorized near3 monitor\$3)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:26
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**EAST Search History (Interference)**

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**2/ 6/ 2013 4:06:43 PM**

**C:\Users\rtolentino\Documents\EAST\Workspaces\Amendment\_10671375.wsp**



<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner

SEARCH NOTES		
Search Notes	Date	Examiner
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT
Updated EAST Keyword Search	2/1/2010	RT
Updated EAST Keyword Search	3/24/2011	RT
Updated EAST Keyword Search	9/8/2011	RT
Updated EAST Keyword Search	8/6/2012	RT
Michael Pyzocha consulted on case	8/6/2012	RT
Updated EAST Keyword Search	2/6/2013	RT

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

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<b>PRE-APPEAL BRIEF REQUEST FOR REVIEW</b>	Docket Number (Optional) 82274342
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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 "Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)]  on _____  Signature _____  Typed or printed name _____	Application Number 10/671,375	Filed September 25, 2003
	First Named Inventor David A. GRABELSKY	
	Art Unit 2439	Examiner Roderick Tolentino

Applicant requests review of the final rejection in the above-identified application. No amendments are being filed with this request.

This request is being filed with a notice of appeal.

The review is requested for the reason(s) stated on the attached sheet(s).

Note: No more than five (5) pages may be provided.

I am the

- applicant/inventor.
- 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.  
Registration number \_\_\_\_\_
- attorney or agent acting under 37 CFR 1.34.  
Registration number if acting under 37 CFR 1.34 46,423

/Timothy B. Kang/  
Signature

Timothy B. Kang  
Typed or printed name

(703) 652-3817  
Telephone number

May 15, 2013  
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 1 forms are submitted.

This collection of information is required by 35 U.S.C. 132. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11, 1.14 and 41.6. 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: Mail Stop AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**HEWLETT-PACKARD COMPANY**  
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Fort Collins, Colorado 80527-2400

Atty Docket No.: 82274342

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

**Inventor(s):** David A. GRABELSKY      **Confirmation No.:** 1853  
**Serial No.:** 10/671,375      **Examiner:** Roderick Tolentino  
**Filed:** September 25, 2003      **Group Art Unit:** 2439  
**Title:** SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT  
OF INTELLIGENT-CLIENT FEATURES

**MAIL STOP AF**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PRE-APPEAL BRIEF REQUEST FOR REVIEW**

Sir:

Review of the final rejection in the Final Office Action dated February 15, 2013 (hereinafter the "FOA") in the above-identified application is respectfully requested. This request is being filed concurrently with a Notice of Appeal and is submitted for the reasons stated on the attached sheets. No amendments are being filed with this request.

Favorable reconsideration of this application is respectfully requested in view of the following remarks. Claims 1-11 and 13-26 are pending in the application of which claims 1, 6, 19, 24, and 25 are independent.

Independent Claim 1

*The Examiner clearly erred in asserting that Raanan discloses “the network entity making a determination of whether the sender device or the intended recipient device is authorized to invoke the type of service **based in part on a device profile maintained in part on a remote enforcement point**” as recited in independent claim 1*

The Examiner asserts that paragraph [0027] of Raanan discloses the above-identified features of independent claim 1. *FOA*, page 7. Particularly, the Office Action asserts that that paragraph discusses that a “filtering module determines if actions or commands are authorized.” *Id.* Contrary to the features of independent claim 1 discussed above, however, Raanan discusses that the determination of whether a client request is allowable is based upon a comparison of the request with actions contained in **an application protocol** database. See, *Raanan*, par. [0033]. That is, instead of basing the decision as to whether a client request is allowable upon a device profile, Raanan discloses that the decision is based upon an application protocol that is extracted from messages directed from a server 10 to the client. *Id.*, par. [0030].

Particularly, in paragraph [0030], Raanan discusses that at step 32, the application protocol data is extracted from the server message “in a number of ways, including through the use of known techniques to identify a low level or communication protocol, such as TCP/IP, stripping such protocol while retaining required data such as IP source data, and searching the remainder of the message for allowed commands or other authorized user actions.” In addition, in paragraph [0031], Raanan discusses that:

The protocol data may be added to a permanent file relating to the current version of the application, to a temporary, session-based file used for a particular client/server session only, or to a temporary file used only for a particular server message and then overwritten. All of these options allow for the automatic adaptation to changes in an application and for the continuous modification of the protocol database to account for allowable actions in different segments or stages of an application. These options differ to the extent that protocols from prior messages remain relevant for future messages.

Likewise, in paragraph [0027], Raanan discusses that “The protocol database 16 contains a list of the allowable actions, either for a given client/server session, for a ‘stage’ or segment of

the application program, or as a static list of actions allowable for a given application program.” Clearly, therefore, the application protocol upon which a request by a client is determined to be allowable pertains to the application program on the server itself and not to a profile of a device. In other words, Raanan does not appear to disclose that a determination as to whether a sender device or an intended recipient device is authorized to invoke the type of service indicated in a signaling message is based in part on a **device profile**. Accordingly, the Examiner clearly erred in asserting that Raanan discloses the above-identified features of independent claim 1.

*The Examiner clearly erred in asserting that Barraclough discloses “wherein the type of service comprises at least one of caller-ID, call waiting, multi-way calling, multi-line service, and codec specification” as recited in independent claim 1.*

The Examiner cites to paragraph [0021] of Barraclough as disclosing the above-identified features of independent claim 1. That paragraph states in part that:

...The VoIP gateway device 100 supports the features expected from commercial PSTN switch provider such as: BORSCHT (Battery, Over-voltage, Ringing, Supervision, Codec, Hybrid and Testing), Caller-ID, Three-way calling...

The Examiner appears to have cited to the above-identified section of Barraclough for its discussion that the VoIP gateway supports codec, caller-ID, and three way calling. However, the mere assertion that Barraclough discloses that the VoIP gateway device supports these functions is insufficient to establish that Barraclough discloses “wherein the type of service...” comprises these functions as recited in independent claim 1. That is, independent claim 1 recites that “the signaling message includes an indication of one type of the plurality of services...” As such, “the type of service” recited in the above-identified section of independent claim 1 pertains to the type of service indicated in a signaling message. However, Barraclough clearly fails to disclose any sort of signaling message or that the features supported by the VoIP gateway device 100 are indicated in a signaling message.

Therefore, contrary to the Examiner’s assertions, Barraclough fails to make up for the deficiency in the signaling message of Glitho as noted on page 7 of the FOA. That is,

Barraclough fails to disclose that a “signaling message includes an indication of one type of the plurality of services which the signaling message is intended to invoke” as recited in independent claim 1.

*The Examiner clearly erred in asserting that the proposed combination of Glitho, Raanan, and Barraclough renders independent claim 1 prima facie obvious*

As discussed above, Raanan and Barraclough fail to disclose the features that the Examiner alleges are disclosed by these documents. Accordingly, even assuming for the sake of argument that one of ordinary skill in the art were somehow motivated to combine Glitho, Raanan, and Barraclough as suggested by the Examiner, the proposed combination would still fail to result in each and every element recited in independent claim 1.

The Examiner also asserts that “it would have been obvious to a person of ordinary skill in the art to use Barraclough’s VO-IP Audio-data terminal processor with Glitho’s interception of SIP messages between callers because it offers the advantage of using a cost-effective way to communicate to channels (Barraclough, Paragraph 0004).” *FOA*, page 7. Initially, it is not understood as to how communicating to channels would be an improvement to Glitho and thus, this reasoning is insufficient to establish that the proposed combination would have been obvious. Secondly, as the Examiner acknowledges, Glitho fails to disclose that “the networking entity making a determination of whether either the sender device or the intended recipient device is authorized to invoke the type of service indicated in the signaling message based in part on a device profile maintained in part on a remote enforcement point.” As such, the proposed modification to Glitho to include the features discussed above in Barraclough would still fail to disclose this feature.

For at least the foregoing reasons, the proposed combination of Glitho, Raanan, and Barraclough fails to render independent claim 1 *prima facie* obvious.

Withdrawal of the rejection of independent claim 1 is therefore respectfully requested.

Independent Claims 6, 19, 24, and 25

Independent claims 6, 19, 24, and 25 recite features similar to those recited in independent claim 1 discussed above. Particularly, these claims recite, in various manners, that a beneficiary profile (claim 6) or a user profile (claims 19, 24, and 25) is used to determine whether the service indicated in a signaling message is authorized. As discussed above, none of the cited documents appears to disclose this feature.

Withdrawal of the rejection of independent claims 6, 19, 24, and 25 is therefore respectfully requested.

Conclusion

In light of the foregoing, withdrawal of the rejections of record and allowance of this application are earnestly solicited. Please grant any required extensions of time and charge any fees due in connection with this request to Deposit Account No. 08-2025.

Respectfully submitted,

Dated: May 15, 2013

By /Timothy B. Kang/  
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Suite 300  
Fairfax, VA 22030  
(703) 865-5150 (facsimile)

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	15790251
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	System and method for network based policy enforcement of intelligent-client features
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	22879
<b>Filer:</b>	ASHOK K MANNAVA/Judy Chung
<b>Filer Authorized By:</b>	ASHOK K MANNAVA
<b>Attorney Docket Number:</b>	82274342
<b>Receipt Date:</b>	15-MAY-2013
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	22:36:56
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		82274342- NOA_PreAppealBrief.pdf	185830  <small>9e860c9606c56779111b3eae3f1b6f22e6b d6c0a</small>	yes	7



<b>Multipart Description/PDF files in .zip description</b>			
<b>Document Description</b>		<b>Start</b>	<b>End</b>
Notice of Appeal Filed		1	1
Pre-Brief Conference request		2	7

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>	185830
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**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.**

HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
3404 E. Harmony Road  
Mail Stop 35  
Fort Collins, Colorado 80528

PATENT APPLICATION

RECORD ID: 82274342

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): David A. GRABELSKY

Confirmation No.: 1853

Application No.: 10/671,375

Examiner: Roderick Tolentino

Filing Date: September 25, 2003

Group Art Unit: 2439

Title: **SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES**

Commissioner For Patents  
PO Box 1450  
Alexandria, VA 22313-1450

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

Applicant hereby appeals to the Board of Patent Appeals and Interferences from the decision of the examiner date, Feb. 15, 2013, rejecting the following claims 1-11 and 13-26

The fee for filing this Notice of Appeal is \$800.00 (37 CFR 41.20).

No Additional Fee Required.

(complete (a) or (b) as applicable )

The proceedings herein are for a patent application and the provisions of 37 CFR 1.13 6(a) apply.

(a) Applicant petitions for an extension of time under 37 CFR 1.136 (FEES: 37 CFR 1.17 (a)-(d) for the total number of months checked below:

1st Month  
\$200

2nd Month  
\$600

3rd Month  
\$1400

4th Month  
\$2200

The extension fee has already been filed in this application

(b) Applicant believes that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

Please charge to Deposit Account **08-2025** the sum of \$ 0.00. At any time during the pendency of this application, please charge any fees required or credit any over payment to Deposit Account **08-2025** pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

David A. GRABELSKY

By: /Timothy B. Kang/

Timothy B. Kang

Attorney/Agent for Applicant(s)

Reg No. : 46,423

Date : May 15, 2013

Telephone : 703-652-3817

Document code: WFEE

United States Patent and Trademark Office  
Sales Receipt for Accounting Date: 05/16/2013

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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

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 82274342 1853

22879 7590 06/25/2013
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
3404 E. Harmony Road
Mail Stop 35
FORT COLLINS, CO 80528

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2439

MAIL DATE DELIVERY MODE

06/25/2013

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.

# Notice of Panel Decision from Pre-Appeal Brief Review

<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.
<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439

This is in response to the Pre-Appeal Brief Request for Review filed 15 May, 2013.

1.  **Improper Request** – The Request is improper and a conference will not be held for the following reason(s):

- The Notice of Appeal has not been filed concurrent with the Pre-Appeal Brief Request.
- The request does not include reasons why a review is appropriate.
- A proposed amendment is included with the Pre-Appeal Brief request.
- Other: .

The time period for filing a response continues to run from the receipt date of the Notice of Appeal or from the mail date of the last Office communication, if no Notice of Appeal has been received.

2.  **Proceed to Board of Patent Appeals and Interferences** – A Pre-Appeal Brief conference has been held. The application remains under appeal because there is at least one actual issue for appeal. Applicant is required to submit an appeal brief in accordance with 37 CFR 41.37. The time period for filing an appeal brief will be reset to be one month from mailing this decision, or the balance of the two-month time period running from the receipt of the notice of appeal, whichever is greater. Further, the time period for filing of the appeal brief is extendible under 37 CFR 1.136 based upon the mail date of this decision or the receipt date of the notice of appeal, as applicable.

- The panel has determined the status of the claim(s) is as follows:  
 Claim(s) allowed: \_\_\_\_\_.  
 Claim(s) objected to: \_\_\_\_\_.  
 Claim(s) rejected: \_\_\_\_\_.  
 Claim(s) withdrawn from consideration: \_\_\_\_\_.

3.  **Allowable application** – A conference has been held. The rejection is withdrawn and a Notice of Allowance will be mailed. Prosecution on the merits remains closed. No further action is required by applicant at this time.

4.  **Reopen Prosecution** – A conference has been held. The rejection is withdrawn and a new Office action will be mailed. No further action is required by applicant at this time.

All participants:

(1) GILBERTO BARRON JR.

(2) Roderick Tolentino, Patent Examiner, Art Unit 2439.

(3) Yin-Chen Shaw, Primary Examiner, Art Unit 2439.

(4) \_\_\_\_\_.

/Gilberto Barron Jr./  
Supervisory Patent Examiner, Art Unit 2432



NOTICE OF ALLOWANCE AND FEE(S) DUE

22879 7590 07/08/2013
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
3404 E. Harmony Road
Mail Stop 35
FORT COLLINS, CO 80528

Table with 2 columns: EXAMINER (TOLENTINO, RODERICK), ART UNIT (2439), PAPER NUMBER (1853)

DATE MAILED: 07/08/2013

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.

10/671,375 09/25/2003 David Grabelsky 82274342 1853
TITLE OF INVENTION: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

Table with 7 columns: APPLN. TYPE, ENTITY STATUS, ISSUE FEE DUE, PUBLICATION FEE DUE, PREV. PAID ISSUE FEE, TOTAL FEE(S) DUE, DATE DUE

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.
If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.
If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".
For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

**PART B - FEE(S) TRANSMITTAL**

**Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 or Fax (571)-273-2885**

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

22879                      7590                      07/08/2013  
**HEWLETT-PACKARD COMPANY**  
 Intellectual Property Administration  
 3404 E. Harmony Road  
 Mail Stop 35  
 FORT COLLINS, CO 80528

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	82274342	1853

TITLE OF INVENTION: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	UNDISCOUNTED	\$1780	\$0	\$0	\$1780	10/08/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
TOLENTINO, RODERICK	2439	713-201000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. <b>Use of a Customer Number is required.</b></p>	<p>2. For printing on the patent front page, list</p> <p>(1) the names of up to 3 registered patent attorneys or agents OR, alternatively, _____ 1</p> <p>(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. _____ 2</p> <p>_____ 3</p>
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3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE \_\_\_\_\_ (B) RESIDENCE: (CITY and STATE OR COUNTRY) \_\_\_\_\_

Please check the appropriate assignee category or categories (will not be printed on the patent) :  Individual  Corporation or other private group entity  Government

<p>4a. The following fee(s) are submitted:</p> <p><input type="checkbox"/> Issue Fee</p> <p><input type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies _____</p>	<p>4b. Payment of Fee(s): (<b>Please first reapply any previously paid issue fee shown above</b>)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).</p>
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5. **Change in Entity Status** (from status indicated above)

- Applicant certifying micro entity status. See 37 CFR 1.29
- Applicant asserting small entity status. See 37 CFR 1.27
- Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see form PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

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NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

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Authorized Signature \_\_\_\_\_

Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_

Registration No. \_\_\_\_\_

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This collection of information is required by 37 CFR 1.311. 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, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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.

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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

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
10/671,375 09/25/2003 David Grabelsky 82274342 1853

22879 7590 07/08/2013
HEWLETT-PACKARD COMPANY
Intellectual Property Administration
3404 E. Harmony Road
Mail Stop 35
FORT COLLINS, CO 80528

EXAMINER

TOLENTINO, RODERICK

ART UNIT PAPER NUMBER

2439

DATE MAILED: 07/08/2013

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)
(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 716 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 716 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

## Privacy Act Statement

**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

<b>Notice of Allowability</b>	<b>Application No.</b> 10/671,375	<b>Applicant(s)</b> GRABELSKY ET AL.	
	<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439	<b>AIA (First Inventor to File) Status</b> No

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1.  This communication is responsive to 5/15/2013.  
 A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on \_\_\_\_\_.
2.  An election was made by the applicant in response to a restriction requirement set forth during the interview on \_\_\_\_\_; the restriction requirement and election have been incorporated into this action.
3.  The allowed claim(s) is/are 1-11 and 13-26. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see [http://www.uspto.gov/patents/init\\_events/oph/index.jsp](http://www.uspto.gov/patents/init_events/oph/index.jsp) or send an inquiry to [PPHfeedback@uspto.gov](mailto:PPHfeedback@uspto.gov).
4.  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

**Certified copies:**

- a)  All    b)  Some    \*c)  None of the:
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)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5.  CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.  
 including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.  
**Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6.  DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |  |  |
|--|--|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)   | 5. <input type="checkbox"/> Examiner's Amendment/Comment                             |
| 2. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date _____    | 6. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| 3. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material | 7. <input type="checkbox"/> Other _____.   |
| 4. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____.                     |  |

/Roderick Tolentino/  
Examiner, Art Unit 2439

/Gilberto Barron Jr./  
Supervisory Patent Examiner, Art Unit 2432

### **DETAILED ACTION**

1. Claims 1 – 11 and 13 – 26 are pending.

#### ***Allowable Subject Matter***

2. Claims 1 – 11 and 13 – 26 are allowed.
3. The following is an examiner's statement of reasons for allowance:
4. Applicant's arguments filed in Pre-Appeal on 5/15/2013 have been considered and have been deemed persuasive.
5. Claim limitation of a "filtering module determines if actions or commands are authorized." Is not described in Raanan which discusses that the determination of whether a client request is allowable is based upon a comparison of the request with actions contained in an application protocol database. See, Raanan, par. [0033]. That is, instead of basing the decision as to whether a client request is allowable upon a device profile, Raanan discloses that the decision is based upon an application protocol that is extracted from messages directed from a server 10 to the client. Id., par. [0030].
6. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

#### ***Conclusion***

Art Unit: 2439

Any inquiry concerning this communication or earlier communications from the examiner should be directed to RODERICK TOLENTINO whose telephone number is (571)272-2661. The examiner can normally be reached on Monday - Friday 9am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Edan Orgad can be reached on (571) 272-7884. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Roderick Tolentino  
Examiner  
Art Unit 2439

/Roderick Tolentino/  
Examiner, Art Unit 2439

/Gilberto Barron Jr./  
Supervisory Patent Examiner, Art Unit 2432


Application/Control Number: 10/671,375  
Art Unit: 2439

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<b>Issue Classification</b> 	<b>Application/Control No.</b> 10671375	<b>Applicant(s)/Patent Under Reexamination</b> GRABELSKY ET AL.
	<b>Examiner</b> RODERICK TOLENTINO	<b>Art Unit</b> 2439

<input type="checkbox"/> Claims renumbered in the same order as presented by applicant		<input type="checkbox"/> CPA		<input type="checkbox"/> T.D.		<input type="checkbox"/> R.1.47									
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
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/RODERICK TOLENTINO/ Examiner.Art Unit 2439  (Assistant Examiner)	6/27/2013  (Date)	<b>Total Claims Allowed:</b>  25	
/GILBERTO BARRON JR/ Supervisory Patent Examiner.Art Unit 2432  (Primary Examiner)	06/28/2013  (Date)	O.G. Print Claim(s)  1	O.G. Print Figure  1



authorized invoke service filter caller ID

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Articles

[Method for translating an object attribute converter in an information services patterns environment](#)

Legal documents

MK Bowman-Amuah - US Patent 6,529,909, 2003 - Google Patents  
 ... 23 Message Transport 2404 Packet Forwarding/Internetworking 2406 Circuit Switching 2408 Transport Security 2410 Network Address Allocation 2412 Quality of **Service** 2414 Network Media **Services** 2416 Physical Media 2420 Media Access 2418 Fig. 24 Page 16. ...  
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MK Bowman-Amuah - US Patent 6,550,057, 2003 - Google Patents  
 ... 23 Transport **Services** 2402 Message Transport 2404 Packet Forwarding/Internetworking 24qq Transport Security 2410 Circuit Switching 2408 Network Address Allocation 2412 Quality of **Service** 2414 Network Media **Services** 2416 Media Access 2418 Physical Media 2420 Fig ...  
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 ... 23 Transport **Services** 2402 Message Transport 2404 Packet Forwarding/Internetworking ^qq Circuit Switching 2408 Transport Security 2410 Network Address Allocation 2412 Quality of **Service** 2414 Network Media **Services** 2416 Media Access 2418 Physical Media 2420 Fig ...  
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[Multi-object identifier system and method for information service pattern environment](#)

MK Bowman-Amuah - US Patent 6,539,396, 2003 - Google Patents  
 ... 25,2003 (54) MULTI-OBJECT IDENTIFIER SYSTEM AND METHOD FOR INFORMATION **SERVICE** PATTERN ENVIRONMENT (75) Inventor: Michel K. Bowman-Amuah, Colorado Springs, CO (US) (73) Assignee: Accenture LLP, Palo Alto, CA (US) ( \* ) Notice: Subject to any ...  
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[Caller ID system](#)

Gl. Horne - US Patent 6,298,122, 2001 - Google Patents  
 ... Existing devices and **service** also typically lack the capacity for customization, so that different calling ... only ring through to a handset if **authorized**, while others are **authorized** to ring ... A single call screening device having several ports thus **filters** calls to multiple communications ...  
 Cited by 51 Related articles All 2 versions Cite

[Apparatus and method for calendar based call routing](#)

S Shaffer, WJ Beyda - US Patent 6,477,374, 2002 - Google Patents  
 ... The **caller ID** information is 5>263>177 A \* 11/ 1993 Schieve 6191- checked to determine Whether the **caller** is **authorized** for 5,268,957 A 12 ... s, 2002 Sheet 7 of 23 US 6,477,374 B1 L2 / I Transfer to 1 MTSO 422 Initiate call w/ WPBX in 104 :1: Exit 1 10a **service** area 81 ...  
 Cited by 81 Related articles All 2 versions Cite

[Systems and methods for call processing](#)

DS Trandaf, DJ Brahm, LS Jeggelian, ... - US Patent App. 10/ ..., 2003 - Google Patents  
 ... an unavailable **caller ID**, and/or **caller ID** private will allow **callers** whose **service** does not ... a centralized, publicly avail- able telemarketer database can be maintained or **authorized** by a ... with information identifying the call as being from a telemarketer to the call processing system ...  
 Cited by 38 Related articles All 2 versions Cite

[The social impact of emerging telephone services](#)

WH Dutton - Telecommunications policy, 1992 - Elsevier  
 ... The industry can also claim that public utility commissions have **authorized** them to transmit the **caller's** number. ... Call identification will be used in the same way. ... Only the more well-to-do can easily afford all of the telephones, lines, identification **services** and answering machine ...  
 Cited by 18 Related articles All 4 versions Cite

[Apparatus and method for regrouping voice messages for convenient playback](#)

SS Aii, JA Johanson, JM Cannon, ... - EP Patent ..., 1999 - freepatentsonline.com  
 ... Voice messages may be played back locally at the TAD 11, or a **caller** remote from the TAD 11 may key-in predefined user **ID** information into the TAD 11 via DTMF tones indicating that the **caller** is **authorized** to remotely ... Type II **caller ID**/call waiting **service** is abbreviated ...


Cited by 8 Related articles Cite More ▾

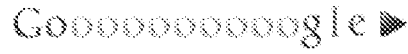
Method, apparatus, and system for filtering incoming telephone calls

TC Barwell, A Dori, KM Mistry, TJ Robe - US Patent 6,625,270, 2003 - Google Patents

... The line supporting the destination modem/ phone is equipped with **caller** identification box 104 and supports the **caller** identification feature provided by a telephone **service** provider via the PSTN 106. ... By our invention, only **authorized** calling parties can complete a call. ...

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5 [Non-functional Capability-Based Access Control in the Java Environment](#)

[Daniel Hagimont](#), [Noel De Palma](#)

September 2002 **OIS '02**: Proceedings of the 8th International Conference on Object-Oriented Information Systems

**Publisher**: Springer-Verlag

**Bibliometrics**: Downloads (6 Weeks): n/a, Downloads (12 Months): n/a, Downloads (Overall): n/a, Citation Count:

This paper describes a capability-based access control mechanism implemented on a Java environment. In this scheme, access to objects is controlled by means of software capabilities that can be exchanged between mutually suspicious interacting applications. ...

6 [Generic Security Service API Version 2 : C-bindings](#)

[J. Wray](#)

January 2000 Generic Security Service API Version 2 : C-bindings

**Publisher**: RFC Editor

Full text available: [Pdf](#) (218.57 KB)

**Bibliometrics**: Downloads (6 Weeks): 0, Downloads (12 Months): 1, Downloads (Overall): 15, Citation Count: 3

This document specifies C language bindings for Version 2, Update 1 of the Generic Security Service Application Program Interface (GSS- API), which is described at a language-independent conceptual level in RFC-2743 [GSSAPI]. It obsoletes RFC-1509, ...

7 [Detecting malicious java code using virtual machine auditing](#)

[Sunil Soman](#), [Chandra Krintz](#), [Giovanni Vigna](#)

August 2003 **SSYM'03: Proceedings of the 12th conference on USENIX Security Symposium - Volume 12**, Volume 12

**Publisher**: USENIX Association

**Bibliometrics**: Downloads (6 Weeks): 0, Downloads (12 Months): 0, Downloads (Overall): 40, Citation Count: 2

The Java Virtual Machine (JVM) is evolving as an infrastructure for the efficient execution of large-scale, network-based applications. To enable secure execution in this environment, industrial and academic efforts have implemented extensive support ...

8 [Proceedings of the Second International Workshop on Persistence and Java](#)

[Malcolm Atkinson](#), [Mick Jordan](#)

December 1997 Proceedings of the Second International Workshop on Persistence and Java

**Publisher**: Sun Microsystems, Inc.

Full text available: [Pdf](#) (1.23 MB)

**Bibliometrics**: Downloads (6 Weeks): 2, Downloads (12 Months): 8, Downloads (Overall): 296, Citation Count: 2

These proceedings record the Second International Workshop on Persistence and Java, that was held in Half Moon Bay in the San Francisco Bay Area, in August 1997. The focus of the workshop series is the relationship between the Java platform and longterm ...

9 [Toward the PSTN/Internet Inter-Networking--Pre-PINT Implementations](#)

[H. Lu](#), [M. Krishnaswamy](#), [L. Conroy](#), [S. Bellioin](#), [E. Burg](#), [A. DeSimone](#), [K. Tewari](#), [P. Davidson](#), [H. Schulzrinne](#), [K. Vishwanathan](#)

November 1998 Toward the PSTN/Internet Inter-Networking--Pre-PINT Implementations

**Publisher**: RFC Editor

Full text available: [Pdf](#) (139.15 KB)

**Bibliometrics**: Downloads (6 Weeks): 1, Downloads (12 Months): 3, Downloads (Overall): 32, Citation Count: 1

This document contains the information relevant to the development of the inter-networking interfaces underway in the Public Switched Telephone Network (PSTN)/Internet Inter-Networking (PINT) Working Group. It addresses technologies, architectures, ...

10 [Access Control: Policies, Models, and Mechanisms](#)

[Eirangeela Samarati](#), [Sabrina De Capitani di Vimercati](#)

September 2000 **FOSAD '00**: Revised versions of lectures given during the IFIP WG 1.7 International School on





authorized invoke service filter



Scholar

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Articles

[\[HTML\] Terminology for policy-based management](#)

[HTML] from hjp.at

A Westerinen, J Schnitzlein, J Strassner, M Scheding... - 2001 - hjp.at

Legal documents

... Policy is implied in both the authentication, which can be restricted by time of day, number of sessions, calling number, etc., and the attribute-values **authorized**. ... Policy can be used to configure a **"service"** in a network or on a network element/host, **invoke** its functionality ...

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--  2003

[\[BOOK\] Web services essentials: distributed applications with XML-RPC, SOAP, UDDI & WSDL](#)

[PDF] from ed.ac.uk

E. Cerami - 2002 - books.google.com

... **Service** registry | Discover **services Invoke service Service** provider Figure 1 - 6. Web **service** roles Web **Service** Protocol Stack A second option for viewing the web **service** architecture is to examine the emerging web **service** protocol stack. ...

Cited by 729 Related articles All 173 versions Cite More »

[Fine grained access control for SOAP E-services](#)

[HTML] from www10.org

E. Damiani, S.D.C. di Vimercati, S. Paraboschi... - Proceedings of the 10th ... - 2001 - dl.acm.org

... instance, the HTTP POST request in Figure 1 encodes the invocation of a quote **service** using the ... gateway behind the URI to decide how to activate the corresponding local component and **invoke** lo- cally ... by firewalls that, by looking at the URI value of the field, could **filter** out all ...

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[\[HTML\] Middlebox communication architecture and framework](#)

[HTML] from hjp.at

P. Suresh, J. Kuthan, J. Rosenberg, A. Molitor... - 2002 - hjp.at

... and deregistration of MIDCOM agents Prior to allowing MIDCOM agents to **invoke services** of the ... authorization policy (ie, session tuples for which the agent is **authorized** to act as ... For example, MIDCOM agent authorization policy for a middlebox **service** may be preconfigured by ...

Cited by 216 Related articles All 4 versions Cite More »

[\[PDF\] Web services conceptual architecture \(WSCA 1.0\)](#)

[PDF] from ucc.gr

H. Kregar - IBM Software Group, 2001 - csdl.ucc.gr

... Bind. Eventually, a **service** needs to be invoked. In the bind operation the **service** requestor **invokes** or initiates an interaction with the **service** at runtime using the binding details in the **service** description to locate, contact and **invoke** the **service**. Artifacts of a Web **Service** ...

Cited by 558 Related articles All 29 versions Cite More »

[Designing a distributed access control processor for network services on the Web](#)

[PDF] from aminet.org

R. Kraft - Proceedings of the 2002 ACM workshop on XML ... - 2002 - dl.acm.org

... 2.6 Single Sign-on Once a principal is authenticated and **authorized** to access a par- ticular resource of a Web **service** provider, the requested resource itself may have to **invoke** other Web **services** (**service** aggregation). The ...

Cited by 48 Related articles All 11 versions Cite

[Infrastructure for e-government web services](#)

[PDF] from u-aizu.ac.jp

B. Medjahed, A. Bezgué, A. Bouguettaya... - Internet Computing... - 2003 - ieeeexplore.ieee.org

... To protect privacy, requests for **services** contain users' privacy credentials, which filtering mechanisms use to ensure that only **authorized** entities can access sensitive information. ... Once the request handler discovers a **service**, it **invokes** the **service's** operations through a ...

Cited by 168 Related articles All 26 versions Cite

[Programming the grid: Distributed software components, p2p and grid web services for scientific applications](#)

[PDF] from csuchico.edu

D. Gannon, R. Bramley, Q. Fox, S. Smalen, A. Rossi... - Cluster... - 2002 - Springer

... to submit a job to any compute resource that the user is **authorized** to use ... framework would allow businesses to provide **services** that other client businesses could **invoke** remotely and ... Furthermore, it would be possible to build automated **service** brokers that would give users a ...

Cited by 129 Related articles All 44 versions Cite

[Preserving privacy in web services](#)

[PDF] from purdue.edu

A. Bezgué, M. Cuzzocri, A. Bouguettaya... - Proceedings of the 4th ... - 2002 - dl.acm.org

... When an entity is **authorized** to deliver an information to another entity, mobile privacy enforcement agents guarantee that the remote entity does not violate the local entity's privacy ... **Service** Invocation (credential ... (query, credential) Checks user's right to **invoke** operations Checks ...

Cited by 89 Related articles All 13 versions Cite

[Internet-enabled service management system and method](#)

C. Lim, J.K. Hui, W.W. Wu, T.W. Lee, H.M. Look - US Patent 6,434,819, 2002 - Google Patents

... The CGI parser provides a lightweight CGI program to parse incoming parameters and **invoke** the corresponding WEB **Services** API. It ... This API is a set of class methods that WEB **Services** APIs **invoke** to build HTML pages. Each ...

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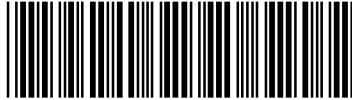
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<b>Index of Claims</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

✓	<b>Rejected</b>
=	<b>Allowed</b>

-	<b>Cancelled</b>
÷	<b>Restricted</b>

N	<b>Non-Elected</b>
I	<b>Interference</b>

A	<b>Appeal</b>
O	<b>Objected</b>

Claims renumbered in the same order as presented by applicant
  CPA
  T.D.
  R.1.47

CLAIM		DATE								
Final	Original	02/06/2013	06/27/2013	05/06/2008	02/02/2009	06/24/2009	02/01/2010	08/23/2010	03/24/2011	09/08/2011
1	1	✓	=	✓	✓	✓	✓	✓	✓	✓
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3	3	✓	=	✓	✓	✓	✓	✓	✓	✓
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22	23	✓	=	✓	✓	✓	✓	✓	✓	✓
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24	25	✓	=	✓	✓	✓	✓	✓	✓	✓
25	26	✓	=	✓	✓	✓	✓	✓	✓	✓

## EAST Search History

## EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	60515	("726".clas. "713".clas. "380".clas.)	USPAT	OR	OFF	2013/06/26 14:53
L2	19	1 and (filter\$3 with authorized with service)	USPAT	OR	OFF	2013/06/26 14:59
L3	12	1 and (filter\$3 with authorized with services)	USPAT	OR	OFF	2013/06/26 15:00
L4	4492538	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2013/06/26 15:06
L5	5775	L4 and (713/166.ccls. 726/26.ccls. 379/201.01.ccls. 370/338.ccls. 370/332.ccls.)	US-PGPUB; USPAT	OR	OFF	2013/06/26 15:06
L6	1	5 and (authorized near3 invoke near3 service)	US-PGPUB; USPAT	OR	ON	2013/06/26 15:07
S1	4453998	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/02/02 12:15
S2	17	S1 and (filter\$3 near3 type near3 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:35
S3	427	S1 and (message near4 (security trust) near4 level)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:43
S4	6	S1 and ((message near4 (security trust) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:44
S5	2	S1 and ((message near4 (service) near4 level) with filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:47
S6	49	S3 and (filter\$3 near4 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:51
S7	2	S6 and (authorizes near4 (services level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:52
S8	50	S1 and (message near3 contains near3 type near4 (service trust security level))	US-PGPUB; USPAT	OR	ON	2009/02/02 12:53
S9	0	S8 and (filer\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S10	7	S8 and (filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 12:54
S11	0	S1 and ((signaling adj2 messages) near4 authorized near4 services)	US-PGPUB;	OR	ON	2009/02/02 13:00

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			USPAT			
S12	19	S1 and ((messages) near4 authorized near4 services)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:00
S13	5603	S1 and (signaling adj2 messages)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S14	30	S1 and ((signaling adj2 messages) near5 filter\$3)	US-PGPUB; USPAT	OR	ON	2009/02/02 13:03
S15	4461670	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2009/06/24 18:18
S16	152	S15 and (messages near4 plurality near4 services)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19
S17	15	S15 and (messages near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:19
S18	2	S15 and (choos\$3 near4 plurality near4 services near4 network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:23
S19	62	S15 and (type near4 (plurality adj2 services))	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
S20	7	S15 and (type near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:24
S21	3	S15 and (choos\$3 near4 (plurality adj2 services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:26
S22	6	S15 and (choos\$3 near4 type near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:27
S23	29	S15 and ((client user) near4 choos\$3 near4 (services) with network)	US-PGPUB; USPAT	OR	ON	2009/06/24 18:28
S24	4470529	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2010/02/01 12:56
S25	11	S24 and (messages near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 12:56
S26	33	S24 and (types near4 service near4 based near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 13:59
S27	4	S26 not vehicle	US-PGPUB; USPAT	OR	ON	2010/02/01 14:00
S28	174	S24 and (types near4 service near4 authoriz\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12
S29	0	S24 and ((types near4 service near4 authoriz\$3) with filter)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:12
S30	0	S24 and ((types near4 service near4 authoriz\$3) with filter\$3)	US-PGPUB;	OR	ON	2010/02/01 14:13

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			USPAT			
S31	50	S24 and ((service near4 authoriz\$3) with filter\$3)	US-PGPUB; USPAT	OR	ON	2010/02/01 14:13
S32	4483862	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2011/03/24 10:41
S33	293	S32 and (packet near3 filter\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:41
S34	0	S32 and (packet near3 filter\$3 near3 authorized near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42
S35	9	S32 and (packet near3 filter\$3 near3 type near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:42
S36	3	S32 and (packet near3 filter\$3 near3 controll\$3 near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:44
S37	35	S32 and (packet near3 filter\$3 near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 10:51
S38	1	S32 and (packet near3 filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
S39	12	S32 and (filter\$3 near3 unauthorized with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:33
S40	2	S32 and (filter\$3 near3 unauthorized with service with request)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:34
S41	34	S32 and (unauthorized near3 request near3 service)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:44
S42	0	S32 and (unauthorized near3 request near3 service with filter\$3)	US-PGPUB; USPAT	OR	ON	2011/03/24 11:44
S43	0	S32 and (service near3 types near3 various)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
S44	331	S32 and (services near3 provider near3 types)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:27
S45	62	S32 and (services near3 provider near3 types near3 different)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:28
S46	28	S32 and (services near3 provider near3 request\$3 near3 particular)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:35
S47	192	S32 and (deny\$3 near4 service near3 request)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:44
S48	0	S32 and (deny\$3 near3 type near4 service near3 request)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:46
S49	6	S32 and (deny\$3 near4 service near3 request with provider)	US-PGPUB;	OR	ON	2011/03/24 12:47

			USPAT			
S50	7	S32 and (deny\$3 near4 service near3 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:47
S51	75	S32 and (deny\$3 near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 12:52
S52	95	S32 and (service near4 request with unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:26
S53	40	S32 and (service near4 request near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:27
S54	18	S32 and (user near3 service near4 request near3 denied)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:29
S55	5	S32 and (user near3 service near4 request near3 denied with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:37
S56	0	S32 and (user near3 service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S57	0	S32 and (user near3 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S58	0	S32 and (service near4 request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S59	11	S32 and (request near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:38
S60	46	S32 and (service near3 unauthorized with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:42
S61	15	S32 and (service near3 level near3 denied)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:44
S62	2	S32 and (service near3 level near3 access near3 prevent\$3 )	US-PGPUB; USPAT	OR	ON	2011/03/24 13:45
S63	6	S32 and (service near3 level near3 access near3 unauthorized)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:45
S64	2	S32 and (service near3 level near3 access near3 prevent\$3)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:46
S65	9	S32 and (service near3 level near3 access near3 den\$4)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:46
S66	17	S32 and (service near3 level near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:47
S67	14	S32 and (service near3 level near3 request\$3 near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:48
S68	642	S32 and (service near3 request\$3 near3 (unauthorized den\$4))	US-PGPUB;	OR	ON	2011/03/24 13:50

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			USPAT			
S69	481	S32 and (service near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:51
S70	14	S32 and (service near3 type near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:51
S71	284	S32 and (service near3 type near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:52
S72	69	S32 and (service near3 request near3 (unauthorized den\$4) with network)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:53
S73	31	S32 and (user near3 service near3 request near3 (unauthorized den\$4))	US-PGPUB; USPAT	OR	ON	2011/03/24 13:54
S74	4	S32 and (user near3 service near3 request near3 (unauthorized den\$4) with level)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S75	0	S32 and (user near3 service near3 request near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S76	3	S32 and (user near3 request near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:56
S77	1	S32 and (user near3 service near3 (unauthorized den\$4) with video)	US-PGPUB; USPAT	OR	ON	2011/03/24 13:59
S78	92	S32 and (user near3 (unauthorized den\$4) with cable)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S79	3	S32 and (user near3 (unauthorized den\$4) with cable with services)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S80	14	S32 and (user near3 (unauthorized den\$4) with adult)	US-PGPUB; USPAT	OR	ON	2011/03/24 14:03
S81	9	(("7890749") or ("7069432") or ("6584562") or ("7606923") or ("7406324") or ("7369539") or ("7155528") or ("6614784") or ("7136373")).PN.	USPAT; USOCR	OR	OFF	2011/09/08 09:43
S82	4486766	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:49
S83	12	S82 and (filter\$3 near3 call near3 waiting)	USPAT	OR	OFF	2011/09/08 10:49
S84	12	S82 and (filter\$3 near3 call near3 waiting)	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:50
S85	54	S82 and (intercept\$3 near3 messages with filter\$3)	US-PGPUB; USPAT	OR	OFF	2011/09/08 10:51
S86	30	S85 and call	US-PGPUB; USPAT	OR	OFF	2011/09/08 11:02
S87	0	S82 and (intercept\$3 near3 messages	US-	OR	OFF	2011/09/08

		with filter\$3 with call)	PGPUB; USPAT			11:03
S88	552	grabelsky	USPAT	OR	OFF	2013/02/05 10:06
S89	37	grabelsky.inv.	USPAT	OR	OFF	2013/02/05 10:06
S90	2	S89 and (type and service).clm.	USPAT	OR	OFF	2013/02/05 10:07
S91	0	S89 and (intercept\$3).clm.	USPAT	OR	OFF	2013/02/05 10:07
S92	4491746	@ad< "20030925"	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:11
S93	146	S92 and (filter\$3 near4 type near4 service)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:11
S94	0	S92 and (filter\$3 near4 type near4 service with call)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:11
S95	0	S92 and (filter\$3 near4 type near4 service and callerid)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:12
S96	0	S92 and (filter\$3 near4 type near4 service and caller-id)	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:12
S97	2	S92 and (filter\$3 near4 type near4 service and (call near2 waiting))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:12
S98	31	S92 and (filter\$3 with (call near2 waiting))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:13
S99	13	S92 and (filter\$3 with (telephone near3 services))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:19
S100	6	S92 and (filter\$3 with (calling near3 services))	US- PGPUB; USPAT	OR	OFF	2013/02/05 10:20
S101	1	("20010024436").PN.	US- PGPUB; USPAT; USOCR	OR	OFF	2013/02/05 11:01
S102	602	glitho	USPAT	OR	OFF	2013/02/06 12:46
S103	26	glitho.inv.	USPAT	OR	OFF	2013/02/06 12:46
S104	4491746	@ad< "20030925"	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:14
S105	99	S104 and (authorized near3 bandwidth)	USPAT	OR	OFF	2013/02/06 13:14
S106	0	S104 and (authorized near3 bandwidth with telecommunications)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:14
S107	1	S104 and (authorized near3 bandwidth with telecommunication)	US- PGPUB; USPAT	OR	OFF	2013/02/06 13:15

S108	0	S104 and (unauthorized near3 bandwidth with telecommunication)	US-PGPUB; USPAT	OR	OFF	2013/02/06 13:15
S109	21	S104 and (unauthorized near3 bandwidth)	US-PGPUB; USPAT	OR	OFF	2013/02/06 13:15
S110	0	S104 and (authorized near3 bandwidth with (resource near3 monitor\$3))	US-PGPUB; USPAT	OR	OFF	2013/02/06 13:18
S111	80	S104 and (bandwidth with (resource near3 monitor\$3))	US-PGPUB; USPAT	OR	OFF	2013/02/06 13:18
S112	28	S111 and telecommunications	US-PGPUB; USPAT	OR	OFF	2013/02/06 13:19
S113	2	S104 and (bandwidth near4 authorized near3 monitor\$3)	US-PGPUB; USPAT	OR	OFF	2013/02/06 13:26
S114	232	CALEA	USPAT	OR	OFF	2013/06/17 13:05
S115	329	CALEA	US-PGPUB	OR	OFF	2013/06/17 13:06
S116	0	CALEA and Tolentino	US-PGPUB; USPAT	OR	OFF	2013/06/17 13:07
S117	4492466	@ad<"20030925"	US-PGPUB; USPAT	OR	OFF	2013/06/17 13:54
S118	1	S117 and (authoriz\$3 near3 service near3 filter)	US-PGPUB; USPAT	OR	ON	2013/06/17 13:54
S119	4	S117 and (filter\$3 near3 call with (call-waiting))	US-PGPUB; USPAT	OR	ON	2013/06/17 13:55
S120	209	S117 and (authoriz\$3 near3 service with (profile))	US-PGPUB; USPAT	OR	ON	2013/06/17 13:56
S121	34	S117 and (authoriz\$3 near3 service with (profile) with call)	US-PGPUB; USPAT	OR	ON	2013/06/17 13:57
S122	0	S117 and (authoriz\$3 near3 service with (device adj profile))	US-PGPUB; USPAT	OR	ON	2013/06/17 13:59
S123	1	S117 and (filter\$4 near3 service with (device adj profile))	US-PGPUB; USPAT	OR	ON	2013/06/17 13:59
S124	1	S117 and (authoriz\$3 near3 (device adj profile) with service)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:02
S125	114	S117 and (authoriz\$3 near3 service with (IP))	US-PGPUB; USPAT	OR	ON	2013/06/17 14:06
S126	0	S117 and (filter\$3 near3 IP with (call-waiting))	US-PGPUB; USPAT	OR	ON	2013/06/17 14:07
S127	0	S117 and (Authoriz\$3 near3 IP with (call-waiting))	US-PGPUB;	OR	ON	2013/06/17 14:07

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			USPAT			
S128	20	S117 and ( IP with (call-waiting))	US-PGPUB; USPAT	OR	ON	2013/06/17 14:07
S129	20	S117 and ( IP adj profile)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:09
S130	46	S117 and ((device adj profile) near3 service)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:09
S131	0	S117 and ((device adj profile) near3 level near3 service)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:14
S132	10	S117 and ((device adj profile) near3 level)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:15
S133	0	S117 and ((device adj profile) near3 requested near3 service)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:33
S134	1	S117 and ((device adj profile) near3 requested)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:33
S135	10	S117 and ((client adj profile) near3 requested)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:34
S136	20	S117 and ((client adj profile) near3 services)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:35
S137	15	S117 and ((device adj profile) with telecommunications)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:39
S138	2	S117 and ((client adj profile) with telecommunications)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:43
S139	3	S137 and filter\$3	US-PGPUB; USPAT	OR	ON	2013/06/17 14:47
S140	64	S117 and ((client adj profile) with filter\$3)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:48
S141	6	S140 and telecommunications	US-PGPUB; USPAT	OR	ON	2013/06/17 14:48
S142	47	S117 and ((device adj profile) with filter\$3)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:48
S143	3	S142 and telecommunications	US-PGPUB; USPAT	OR	ON	2013/06/17 14:49
S144	0	S117 and ((device adj profile) with unauthorized with services)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:51
S145	70	S117 and ((device adj profile) with services)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:51
S146	0	S117 and ((device adj profile) with authorized with services)	US-PGPUB;	OR	ON	2013/06/17 14:51

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			USPAT			
S147	15	S117 and ((device adj profile) with telecommunications)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:52
S148	0	S147 and (authorized near3 services)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:52
S149	47	S117 and ((device adj profile) with filter\$3)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:52
S150	0	S149 and (authorized near3 services)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:52
S151	1	("20030221100").PN.	US-PGPUB; USPAT; USOCR	OR	OFF	2013/06/17 14:57
S152	60093	S117 and (authorized near3 services with telecommunications)	US-PGPUB; USPAT	OR	OFF	2013/06/17 14:58
S153	0	S117 and (authorized near3 services with telecommunications)	US-PGPUB; USPAT	OR	OFF	2013/06/17 14:59
S154	0	S117 and (authorized near3 services with telecommunications)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:59
S155	35	S117 and (authorized near3 services with telecommunications)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:59
S156	0	S117 and (filter\$3 with authorized near3 services with telecommunications)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:59
S157	14	S117 and (filter\$3 with authorized near3 services)	US-PGPUB; USPAT	OR	ON	2013/06/17 14:59
S158	2	S157 and telecommunications	US-PGPUB; USPAT	OR	ON	2013/06/17 15:00
S159	4	S117 and (filter\$3 near3 caller-id)	US-PGPUB; USPAT	OR	ON	2013/06/17 15:03
S160	707	S117 and (filter\$3 near3 invok\$3)	US-PGPUB; USPAT	OR	ON	2013/06/17 15:04
S161	1	S117 and (filter\$3 near3 unauthorized near3 services)	US-PGPUB; USPAT	OR	ON	2013/06/17 15:07
S162	3	S117 and (filter\$3 near3 unauthorized near3 service)	US-PGPUB; USPAT	OR	ON	2013/06/17 15:07
S163	5	S117 and (prevent\$3 near3 unauthorized near3 service near3 requests)	US-PGPUB; USPAT	OR	ON	2013/06/17 15:08
S164	24	S117 and (profile near3 authorized near3 services)	US-PGPUB; USPAT	OR	ON	2013/06/17 15:08
S165	45	S117 and (client near3 profile near3	US-	OR	ON	2013/06/17

		services)	PGPUB; USPAT			15:15
S166	15	S165 and telecommunications	US- PGPUB; USPAT	OR	ON	2013/06/17 15:15
S167	2	S117 and (filter\$3 near3 requested near3 services)	US- PGPUB; USPAT	OR	ON	2013/06/17 15:17
S168	0	S117 and (filter\$3 near3 authorized near3 services)	US- PGPUB; USPAT	OR	OFF	2013/06/17 15:18
S169	2	S117 and (filter\$3 near3 services with authorized)	US- PGPUB; USPAT	OR	OFF	2013/06/17 15:18
S170	1	S117 and (filter\$3 near3 services with telecommunications)	US- PGPUB; USPAT	OR	ON	2013/06/17 15:20
S171	20	S117 and (authorized near3 invoke near3 service)	US- PGPUB; USPAT	OR	ON	2013/06/17 15:22
S172	15	S171 and profile	US- PGPUB; USPAT	OR	ON	2013/06/17 15:23
S173	1	S171 and telecommunications	US- PGPUB; USPAT	OR	ON	2013/06/17 15:24

**EAST Search History (Interference)**

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**6/ 26/ 2013 3:08:01 PM****C:\Users\rtolentino\Documents\EAST\Workspaces\Amendment\_10671375.wsp**

<b>Search Notes</b>  	<b>Application/Control No.</b>  10671375	<b>Applicant(s)/Patent Under Reexamination</b>  GRABELSKY ET AL.
	<b>Examiner</b>  Tolentino, Roderick	<b>Art Unit</b>  2439

CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
713	166	6/27/2013	RT
455	432.3, 433	6/27/2013	RT
726	26	6/27/2013	RT
379	201.01	6/27/2013	RT
370	338, 332	6/27/2013	RT

SEARCH NOTES		
Search Notes	Date	Examiner
EAST Keyword Search	03/29/2007	RT
Text Search (EAST) Class 713 Subclass 201	03/29/2007	RT
Updated EAST Keyword Search	2/2/2009	RT
Updated EAST Keyword Search	6/24/2009	RT
Updated EAST Keyword Search	2/1/2010	RT
Updated EAST Keyword Search	3/24/2011	RT
Updated EAST Keyword Search	9/8/2011	RT
Updated EAST Keyword Search	8/6/2012	RT
Michael Pyzocha consulted on case	8/6/2012	RT
Updated EAST Keyword Search	2/6/2013	RT
Updated EAST Keyword Search	6/27/2013	RT
EAST Search Class 455 Subclasses 432.3, 433	6/27/2013	RT
EAST Search Class 713 Subclass 166	6/27/2013	RT
EAST Search Class 726 Subclass 26	6/27/2013	RT
EAST Search Class 379 Subclass 201.01	6/27/2013	RT

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### SEARCH NOTES

Search Notes	Date	Examiner
EAST Search Class 370 Subclasses 338, 332	6/27/2013	RT
ACM Database Keyword Search	6/27/2013	RT
Google Scholar Keyword Search	6/27/2013	RT

### INTERFERENCE SEARCH

US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner
713	166	6/27/2013	RT
726	26	6/27/2013	RT
455	432.3, 433	6/27/2013	RT
379	201.01	6/27/2013	RT
370	338, 332	6/27/2013	RT

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**PART B - FEE(S) TRANSMITTAL**

Complete and send this form, together with applicable fee(s), to: **Mail** Mail Stop ISSUE FEE  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
**or Fax** (571)-273-2885

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

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22879 7591 07/08/2013  
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 FORT COLLINS, CO 80528

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

_____ (Depositor's name)
_____ (Signature)
_____ (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grabelsky	82274342	1853

TITLE OF INVENTION: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	UNDISCOUNTED	\$1780	\$0	\$0	\$1780	10/08/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
TOLENTINO, RODERICK	2439	713-201000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a <b>Customer Number is required.</b></p>	<p>2. For printing on the patent front page, list</p> <p>(1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1.....</p> <p>(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2.....</p> <p>3.....</p>
---	--

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Hewlett-Packard Development Company, L.P. Houston, TX

Please check the appropriate assignee category or categories (will not be printed on the patent):  Individual  Corporation or other private group entity  Government

<p>4a. The following fee(s) are submitted:</p> <p><input checked="" type="checkbox"/> Issue Fee</p> <p><input checked="" type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies .....</p>	<p>4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input checked="" type="checkbox"/> The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number <u>08-2025</u> (enclose an extra copy of this form).</p>
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5. Change in Entity Status (from status indicated above)

- Applicant certifying micro entity status. See 37 CFR 1.29
- Applicant asserting small entity status. See 37 CFR 1.27
- Applicant changing to regular undiscounted fee status.

**NOTE:** Absent a valid certification of Micro Entity Status (see form PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

**NOTE:** If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

**NOTE:** Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

**NOTE:** The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature /Benjamin M. Searle/

Date August 9, 2013

Typed or printed name Benjamin M. Searle

Registration No. 59,540

This collection of information is required by 37 CFR 1.111. 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, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	10671375
<b>Filing Date:</b>	25-Sep-2003
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Filer:</b>	Benjamin M. Searle/Denise Henning-Wilson
<b>Attorney Docket Number:</b>	82274342

Filed as Large Entity

### Utility under 35 USC 111(a) 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>				
<b>Post-Allowance-and-Post-Issuance:</b>				
Utility Appl Issue Fee	1501	1	1780	1780

**Extension-of-Time:**

IPR2018-00884



Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Miscellaneous:</b>				
<b>Total in USD (\$)</b>				<b>1780</b>

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	16548301
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	22879
<b>Filer:</b>	Benjamin M. Searle/Denise Henning-Wilson
<b>Filer Authorized By:</b>	Benjamin M. Searle
<b>Attorney Docket Number:</b>	82274342
<b>Receipt Date:</b>	09-AUG-2013
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	13:23:53
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Issue Fee Payment (PTO-85B)	82274342TransmittalForSignature.pdf	359803 <small>64fad6896df9c99f5c267bed817a5f933ad05dbf</small>	no	2

### Warnings:

### Information:

IPR2018-00884

2	Fee Worksheet (SB06)	fee-info.pdf	30652 8a27c737e472a75d5a0a9b8d3187f9c434e c16fd	no	2
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**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>	390455
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**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.**

*1/2m*

**PART B - FEE(S) TRANSMITTAL**

Complete and send this form, together with applicable fee(s), to: **Mail Stop ISSUE FEE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450**  
or Fax **(571)-273-2885**

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

22879 7591 07/09/2013  
**HEWLETT-PACKARD COMPANY**  
Intellectual Property Administration  
3404 E. Harmony Road  
Mail Stop 35  
FORT COLLINS, CO 80528



**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/25/2003	David Grubelsky	82274342	1853

TITLE OF INVENTION: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT CLIENT FEATURES

APPL. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEES DUE	DATE DUE
nonprovisional	UNDISCOUNTED	\$1780	\$0	\$0	\$1780	10/08/2013

EXAMINER	ART UNIT	CLASS-SUBCLASS
TOLENTINO, RODERICK	2439	713-201000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.</p>	<p>2. For printing on the patent front page, list</p> <p>(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,</p> <p>(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.</p> <p>1.....</p> <p>2.....</p> <p>3.....</p>
--	--

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE: **Hewlett-Packard Development Company, L.P.** (B) RESIDENCE: (CITY and STATE OR COUNTRY) **Houston, TX**

Please check the appropriate assignee category or categories (will not be printed on the patent):  Individual  Corporation or other private group entity  Government

<p>4a. The following fee(s) are submitted:</p> <p><input checked="" type="checkbox"/> Issue Fee</p> <p><input checked="" type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies .....</p>	<p>4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input checked="" type="checkbox"/> The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number <b>08-2025</b> (enclose an extra copy of this form).</p>
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08/12/2013 EEKUBAY2 00000019 082025 10671375  
01 FC:1501 1780.00 DA

5. Change in Entity Status (from status indicated above)

- Applicant certifying micro entity status. See 37 CFR 1.29
- Applicant asserting small entity status. See 37 CFR 1.27
- Applicant changing to regular undiscounted fee status.

**NOTE:** Absent a valid certification of Micro Entity Status (see form PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

**NOTE:** If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

**NOTE:** Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

**NOTE:** The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant: a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature /Benjamin M. Searle/

Date August 9, 2013

Typed or printed name Benjamin M. Searle

Registration No. 59,540

This collection of information is required by 37 CFR 1.311. 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, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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.



APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/671,375	09/17/2013	8539552	82274342	1853

22879 7590 08/28/2013  
HEWLETT-PACKARD COMPANY  
Intellectual Property Administration  
3404 E. Harmony Road  
Mail Stop 35  
FORT COLLINS, CO 80528

### ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

#### Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment is 1045 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

David Grabelsky, Skokie, IL;  
Anoop Tripathi, Lake Zurich, IL;  
Michael Homeier, Lake Forest, IL;  
Guanglu Wang, Buffalo Grove, IL;

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The USA offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to encourage and facilitate business investment. To learn more about why the USA is the best country in the world to develop technology, manufacture products, and grow your business, visit [SelectUSA.gov](http://SelectUSA.gov).



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	PATENT NUMBER	GROUP ART UNIT	FILE WRAPPER LOCATION
10/671,375	8539552	2439	9200



**Correspondence Address/Fee Address Change**

The following fields have been set to Customer Number 56436 on 03/18/2016

- Correspondence Address
- Maintenance Fee Address

The address of record for Customer Number 56436 is:

56436  
Hewlett Packard Enterprise  
3404 E. Harmony Road  
Mail Stop 79  
Fort Collins, CO 80528

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.

**"FEE ADDRESS" INDICATION FORM**

**Address to:**  
**Mail Stop M Correspondence**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**Fax to:**  
**571-273-6500**

- OR -

**INSTRUCTIONS:** The issue fee must have been paid for application(s) listed on this form. In addition, only an address represented by a Customer Number can be established as the fee address for maintenance fee purposes (hereafter, fee address). A fee address should be established when correspondence related to maintenance fees should be mailed to a different address than the correspondence address for the application. **When to check the first box below:** If you have a Customer Number to represent the fee address. **When to check the second box below:** If you have no Customer Number representing the desired fee address, in which case a completed Request for Customer Number (PTO/SB/125) must be attached to this form. For more information on Customer Numbers, see the Manual of Patent Examining Procedure (MPEP) § 403.

For the following listed application(s), please recognize as the "Fee Address" under the provisions of 37 CFR 1.363 the address associated with:

Customer Number:

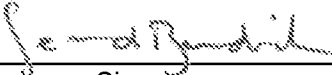
OR

The attached Request for Customer Number (PTO/SB/125) form.

PATENT NUMBER (if known)	APPLICATION NUMBER
8,539,552	10/671,375

Completed by (check one):

Applicant/Inventor

  
 \_\_\_\_\_  
 Signature

Attorney or Agent of record 51,513  
 (Reg. No.)

Sean D. Burdick  
 \_\_\_\_\_  
 Typed or printed name

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)

972-905-9580 x227  
 \_\_\_\_\_  
 Requester's telephone number

Assignee recorded at Reel \_\_\_\_\_ Frame \_\_\_\_\_

August 1, 2017  
 \_\_\_\_\_  
 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.

This collection of information is required by 37 CFR 1.363. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 5 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 COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Mail Stop M Correspondence, 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.



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 - POWER OF ATTORNEY OR REVOCAION OF POWER OF ATTORNEY WITH A NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS</b>	Patent Number	8,539,552
	Issue Date	September 17, 2003
	First Named Inventor	Philippe KAHN et al.
	Title	SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES
	Attorney Docket Number	UN-NP-NM-230

I hereby revoke all previous powers of attorney given in the above-identified patent.

 A Power of Attorney is submitted herewith.**OR** I hereby appoint Practitioner(s) associated with the following Customer Number as my/our attorney(s) or agent(s) with respect to the patent identified above, and to transact all business in the United States Patent and Trademark Office connected therewith:

96051

**OR** I hereby appoint Practitioner(s) named below as my/our attorney(s) or agent(s) with respect to the patent identified above, and to transact all business in the United States Patent and Trademark Office connected therewith:

Practitioner(s) Name	Registration Number

Please recognize or change the correspondence address for the above-identified patent to:

 The address associated with the above-mentioned Customer Number.**OR** The address associated with Customer Number:**OR** Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Email

I am the:

 Inventor, having ownership of the patent.**OR** Patent owner.

Statement under 37 CFR 3.73(b) (Form PTO/SB/96) submitted herewith or filed on \_\_\_\_\_.

**SIGNATURE of Inventor or Patent Owner**

Signature

Date

Name

Craig S. Etchegoyen

Telephone

Title and Company

CEO of Uniloc Luxembourg S.A.

**NOTE:** Signatures of all the inventors or patent owners 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.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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IPR2018-00884

Apple Inc. EX1002 Page 565

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.

**STATEMENT UNDER 37 CFR 3.73(c)**Applicant/Patent Owner: Uniloc Luxembourg S.A.Application No./Patent No.: 8,539,552 Filed/Issue Date: September 17, 2013Titled: SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES  
Uniloc Luxembourg S.A., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that, for the patent application/patent identified above, it is (choose **one** of options 1, 2, 3 or 4 below):1.  The assignee of the entire right, title, and interest.2.  An assignee of less than the entire right, title, and interest (check applicable box): The extent (by percentage) of its ownership interest is \_\_\_\_\_%. Additional Statement(s) by the owners holding the balance of the interest must be submitted to account for 100% of the ownership interest. There are unspecified percentages of ownership. The other parties, including inventors, who together own the entire right, title and interest are:Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.3.  The assignee of an undivided interest in the entirety (a complete assignment from one of the joint inventors was made). The other parties, including inventors, who together own the entire right, title, and interest are:Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.4.  The recipient, via a court proceeding or the like (e.g., bankruptcy, probate), of an undivided interest in the entirety (a complete transfer of ownership interest was made). The certified document(s) showing the transfer is attached.The interest identified in option 1, 2 or 3 above (not option 4) is evidenced by either (choose **one** of options A or B below):A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:1. From: Inventors To: 3com CorporationThe document was recorded in the United States Patent and Trademark Office at  
Reel 014568, Frame 0556, or for which a copy thereof is attached.2. From: 3com Corporation To: Hewlett-Packard CompanyThe document was recorded in the United States Patent and Trademark Office at  
Reel 025039, Frame 0844, or for which a copy thereof is attached.

[Page 1 of 2]

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 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.**

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IPR2018-00884

Apple Inc. EX1002 Page 566

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.

**STATEMENT UNDER 37 CFR 3.73(c)**3. From: Hewlett-Packard Company To: Hewlett-Packard Development Company, L.P.The document was recorded in the United States Patent and Trademark Office at  
Reel 028911, Frame 0846, or for which a copy thereof is attached.4. From: Hewlett-Packard Development Company, L.P. To: Hewlett Packard Enterprise Development LPThe document was recorded in the United States Patent and Trademark Office at  
Reel 037079, Frame 0001, or for which a copy thereof is attached.  
Hewlett Packard Enterprise Development LP5. From: Hewlett Packard Enterprise Co. To: Uniloc Luxembourg S.A.The document was recorded in the United States Patent and Trademark Office at  
Reel 042435, Frame 0769, or for which a copy thereof is attached.

6. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached. Additional documents in the chain of title are listed on a supplemental sheet(s).

As required by 37 CFR 3.73(c)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

August 1, 2017

Date

Sean D. Burdick

Printed or Typed Name

51,513

Title or Registration Number

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	29951891
<b>Application Number:</b>	10671375
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1853
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR NETWORK BASED POLICY ENFORCEMENT OF INTELLIGENT-CLIENT FEATURES
<b>First Named Inventor/Applicant Name:</b>	David Grabelsky
<b>Customer Number:</b>	56436
<b>Filer:</b>	Sean Dylan Burdick/Kris Pangan
<b>Filer Authorized By:</b>	Sean Dylan Burdick
<b>Attorney Docket Number:</b>	82274342
<b>Receipt Date:</b>	01-AUG-2017
<b>Filing Date:</b>	25-SEP-2003
<b>Time Stamp:</b>	16:35:42
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Change of Address	NM-230_Fee_Address_Indication_Form.pdf	167750  <small>7123f03a36f63161e2d04407424bb71606957f23</small>	no	1

### Warnings:

IPR2018-00884

Information:					
2	Power of Attorney	NM-230_POA.pdf	143905	no	1
			5d02bda6d113855e5e5efe56ede4d49b7eb750		

**Warnings:**

**Information:**

3	Assignee showing of ownership per 37 CFR 3.73	NM-230_Statement.pdf	115528	no	2
			d59cf2793f143702f1411094378cc2ab9c260e35		

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>			427183		
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**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.**



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/671,375	09/25/2003	David Grabelsky	UN-NP-NM-230

**CONFIRMATION NO. 1853**

**POA ACCEPTANCE LETTER**



96051  
Uniloc USA Inc.  
Legacy Town Center  
7160 Dallas Parkway  
Suite 380  
Plano, TX 75024

Date Mailed: 08/11/2017

**NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 08/01/2017.

The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the above address as provided by 37 CFR 1.33.

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

/jtfitzhugh sr/



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/671,375	09/25/2003	David Grabelsky	82274342

**CONFIRMATION NO. 1853**

**POWER OF ATTORNEY NOTICE**



56436  
Hewlett Packard Enterprise  
3404 E. Harmony Road  
Mail Stop 79  
Fort Collins, CO 80528

Date Mailed: 08/11/2017

**NOTICE REGARDING CHANGE OF POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 08/01/2017.

- The Power of Attorney to you in this application has been revoked by the assignee who has intervened as provided by 37 CFR 3.71. Future correspondence will be mailed to the new address of record(37 CFR 1.33).

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

/jtfitzhugh sr/