

Exhibit 4



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/164,777	10/01/1998	MIKI MULLOR	REINC4237.01	7068

7590 01/15/2002

SPENCER AND FRANK
SUITE 300 EAST
1100 NEW YORK AVENUE NW
WASHINGTON, DC 200053955

EXAMINER

HEWITT II, CALVIN L

ART UNIT	PAPER NUMBER
2161	12

DATE MAILED: 01/15/2002

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

H.G



Office Action Summary	Application No. 09/164,777	Applicant(s) MULLOR ET AL.	
	Examiner Calvin L Hewitt II	Art Unit 2161	

-- 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) 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 the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- 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 14 November 2001.
- 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) 1-23 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- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.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) 1-23 is/are rejected.
- 7) Claim(s) _____ is/are objected to.
- 8) Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on _____ is/are: a) accepted or b) objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) The proposed drawing correction filed on _____ is: a) approved b) disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) 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.
- 14) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) The translation of the foreign language provisional application has been received.
- 15) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) Notice of References Cited (PTO-892) 4) Interview Summary (PTO-413) Paper No(s). _____
- 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) Notice of Informal Patent Application (PTO-152)
- 3) Information Disclosure Statement(s) (PTO-1449) Paper No(s) 11. 6) Other:

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Status of Claims

1. Claims 1-23 have been examined.

Claim Rejections - 35 USC § 112

2. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

3. Claims 11, 12, 15 and 16 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention.

Claims 11, 12 and 15 are rejected as flash memory is a type of EEPROM.

Flash memory can be used as a computer BIOS. Therefore, a computer BIOS would not contain an EEPROM and/or ROM section.

Claim 16 is rejected because a key cannot be simultaneously "unique" and "pseudo-unique".

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4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

5. Claims 20 and 21 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 20 recites, "loading a software program residing in volatile memory area of the computer". This limitation would not be clear to one of ordinary skill as the software would have to be loaded a priori in order to reside in volatile memory.

Claim 21 is rejected because it depends from claim 20.

Claim Rejections - 35 USC § 103

6. 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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7. Claims 1-23 have been rejected under 35 U.S.C. 103(a) as being unpatentable over Misra et al., U.S. Patent No. 6,189,146, Goldman et al., U.S. Patent No. 5,684,951. and Ewertz et al., U.S. Patent No. 5,479,639.

Misra et al. teach a system and method for software licensing that comprises:

- selecting a program from volatile memory (figure 2)
- using data stored in various memory locations to implement the system (figure 2; column 5, lines 2-67)
- using an agent to set up a verification structure in computer memory where structure data includes a license record (column 4, lines 14-20 and 49-67; column 11, lines 45-59; column 12, lines 8-31)
- verifying and acting on the program according to the verification structure (e.g. software license) (column/line 13/65-14/53; column/line 14/54-17/40)
- a licensing authentication bureau in a two-way connection with a computer that handles requests for licenses (where license data includes computer identification and license record contents), encrypts a request for license (e.g. license) using computer identification, performs license validation and transfers a license to a computer (figures 1 and 3-8; column 6, lines 50-64; column 9,

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- lines 40-50; column/line 11/60-12/27; column/line 13/65-14/52; column 15, lines 37-49)
- a license that contains predetermined information (column 10, lines 60-67; column 11, lines 1-24)
- storing a license record in non-volatile memory (column 12, lines 8-27)
- comparing licenses to determine validity and restricting the program's operations if a license is determined to be invalid (column 14, lines 30-51)
- encryption using an identification of a computer that is a unique key (column 15, lines 37-49)

Regarding the storage of encrypted licenses, Misra et al. teach licenses that are encrypted using a unique key as they are placed in storage (column 8, lines 35-52). Therefore, it would have been obvious to one of ordinary skill of the art to allow user nodes to store licenses in encrypted form for additional security. In addition, as Misra et al. implement their system using various computer system memory such as RAM (e.g. volatile), ROM (which houses a BIOS), portable and hard disk memory (column 5, lines 37-67) it would have been obvious to perform encryption processes using the appropriate memory given the characteristics of the target system (figures 1 and 2). Misra et al. also teach

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encryption keys and programs ("agent") used in the license collation process that belong to various parties (column 8, lines 35-52; column 15, lines 37-54).

Therefore, it would have been obvious to one of ordinary skill of the art to store these keys in non-volatile memory as these keys are used to securely communicate between and identify parties, as well as access encrypted data.

Misra et al., however, do not teach pseudo-unique keys nor constructing license records within a computer BIOS. Goldman et al. teach pseudo-unique keys (abstract) while, Ewertz et al. teach of expanding BIOS memory to store identification and/or configuration data such as software licenses (column 3, lines 15-40; column/line 11/3-12/14). Therefore, it would have been obvious for one of ordinary skill of the art to combine the teachings of Misra et al., Goldman et al. and Ewertz et al.. Recall, Ewertz et al. teach of expanding non-volatile memory (e.g. BIOS) ('639, column 3, lines 15-40) for maintaining data such as software licenses. Hence, it would have been obvious to one of ordinary skill to use the BIOS to store licenses in the Misra et al. system as they teach of users storing license data in persistent- non-volatile storage ('146, column 12, lines 8-27). Also pseudo unique keys can be issued, on a temporary basis (say), ('951, abstract), to encrypt licenses ('146, column 13, lines 42-48). This allows a client to access secured data without comprising the security of the larger system.

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Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

- Edenson et al. teach a system for protecting copyrighted program material using a BIOS
- Fette et al. teach a programmable radio and operating software in accordance with a license
- Steinberg et al. teach software branding
- Smith et al. teach a system for distributing, registering and purchasing software over a network using an agent program embedded in each software application

9. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Calvin Loyd Hewitt II whose telephone number is (703) 308-8057. The Examiner can normally be reached on Monday-Friday from 8:30 AM-5:00 PM.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, James P. Trammell, can be reached at (703) 305-9768.

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Any response to this action should be mailed to:

Commissioner of Patents and Trademarks
c/o Technology Center 2100
Washington, D.C. 20231

or faxed to :

(703) 746-7239 (for formal communications intended for entry),
(703) 746-7238 (for after-final communications),

or:

(703) 746-7240 (for informal or draft communications, please label
"PROPOSED" or "DRAFT")

Hand-delivered responses should be brought to Crystal Park II, 2121
Crystal Drive, Arlington, VA, Sixth Floor (Receptionist).

Any inquiry of a general nature or relating to the status of this application
should be directed to the Group receptionist whose telephone number is (703)
305-3900.

Calvin Loyd Hewitt II
January 7, 2002



Hyung Sub Sough
Primary Examiner

Notice of References Cited	Application/Control No. 09/164,777	Applicant(s)/Patent Under Reexamination MULLOR ET AL.	
	Examiner Calvin L Hewitt II	Art Unit 2161	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification	
	A	US-5,479,639-A	12-1995	Ewertz et al.	395	430
	B	US-6,189,146-A	02-2001	Misra et al.	717	11
	C	US-6,067,582-A	05-2000	Smith et al.	710	5
	D	US-6,000,030	12-1999	Steinberg et al.	713	200
	E	US-6,052,600-A	04-2000	Fette et al.	455	509
	F	US-6,198,875-A	03-2001	Edenson et al.	386	94
	G	US-				
	H	US-				
	I	US-				
	J	US-				
	K	US-				
	L	US-				
	M	US-				

FOREIGN PATENT DOCUMENTS

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

NON-PATENT DOCUMENTS

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

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

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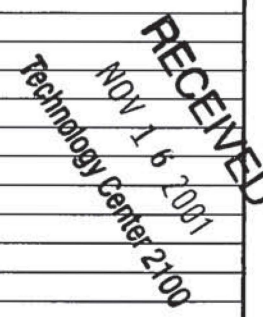
Sheet 1 of 2

Application Number	09/164,777
Filing Date	October 1, 1998
First Named Inventor	Miki MULLOR et al.
Group Art Unit	2161
Examiner Name	J. Trammell
Attorney Docket Number	39636-176166



U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		5,754,763		Bereiter	5/19/1998	
		5,758,068		Brandt et al.	5/26/1998	
		5,790,664		Coley et al.	8/4/1998	
		5,758,069		Olsen	5/26/1998	
		5,905,860		Olsen et al.	5/18/1999	
		5,390,297		Barber et al.	2/14/1995	
		6,173,446		Khan et al.	1/9/2001	
		4,903,296		Chandra et al.	2/20/1990	
		6,298,138		Gotoh et al.	10/2/2001	
		6,192,475		Wallance	2/20/2001	
		6,272,636		Neville et al.	8/77/2001	
		6,055,503		Horstmann	4/25/2000	
		6,073,256		Sesma	6/6/2000	
		6,006,190		Baena-Arnaiz et al.	12/21/1999	
		6,078,909		Knutson	6/20/2000	
		6,243,468		Pearce et al.	6/5/2001	
		6,189,146		Misra et al.	2/13/2001	
		5,671,412		Christiano	9/23/1997	
		5,826,011		Chou et al.	10/20/1998	
		6,023,763		Grumpstrup et al.	2/8/2000	



FOREIGN PATENT DOCUMENTS

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				

Examiner Signature

[Handwritten Signature]

Date Considered

[Handwritten Date]

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Sheet 2 of 2

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		Number	Kind Code ² (if known)			
		6,226,747		Larsson et al.	5/1/2001	
		6,128,741		Goetz et al.	10/3/2000	
		4,924,378		Hershey et al.	5/8/1990	
		5,386,369		Christiano	1/31/1995	
		6,233,567		Cohen	5/15/2001	
		4,866,769		Karp	9/12/1989	
		6,021,438		Duvvoori et al.	2/1/2000	

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