

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO. : 8,374,956 B2
APPLICATION NO. : 12/589645
DATED : February 12, 2013
INVENTOR(S) : Robert S. Alvin

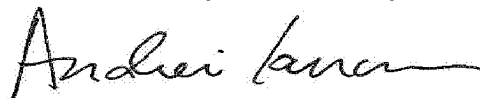
Page 1 of 1

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In the Specification

Column	Line	
1	10	Please insert the following at the end of the sentence: --, which claims the benefit of U.S. Prov. No. 60/104,831, filed Oct. 19, 1998.--

Signed and Sealed this
Twentieth Day of February, 2018



Andrei Iancu
Director of the United States Patent and Trademark Office



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/589,645	10/26/2009	Robert S. Alvin	IMS-007	8317
134688	7590	02/05/2018	EXAMINER	
Devlin Law Firm 1306 North Broom Street 1ST Floor Wilmington, DE 19806			HOLLY, JOHN H	
			ART UNIT	PAPER NUMBER
			3694	
			NOTIFICATION DATE	DELIVERY MODE
			02/05/2018	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):

uspto@devlinlawfirm.com
correspondence@devlinlawfirm.com
uspto@dockettrak.com



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
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In re Patent No. 8,374,956 : DECISION ON PETITION
Robert Alvin : UNDER 37 CFR 1.78
Issue Date: February 12, 2013 : and
Application No. 12/589,645 : REQUEST FOR CERTIFICATE
Filed: October 26, 2009 : OF CORRECTION
Attorney Docket No. IMS-007 :

This is in response to the "PETITION FOR CERTIFICATE OF CORRECTION PURSUANT TO 37 C.F.R. §§ 1.121, 1.78, 35 U.S.C. § 119(e)," filed October 11, 2017, requesting acceptance of an unintentionally delayed domestic priority claim to provisional application No. 60/104,831 filed October 19, 1998 with relief by way of issuance of a certificate of correction reflecting the priority claim.

Receipt of the petition fee and of the certificate of correction fee is acknowledged.

The petition under 37 CFR 1.78(c) is GRANTED.

This application was filed before September 16, 2012. The rules applicable to such applications are being applied in this case.

Effective December 18, 2013, 37 CFR 1.78(c) provides:

Delayed claims under 35 U.S.C. 119(e) for the benefit of a prior-filed provisional application. If the reference required by 35 U.S.C. 119(e) and paragraph (a)(3) of this section is presented in a nonprovisional application after the time period provided by paragraph (a)(4) of this section, the claim under 35 U.S.C. 119(e) for the benefit of a prior-filed provisional application may be accepted if submitted during the pendency of the later-filed application and if the reference identifying the prior-filed application by provisional application number was unintentionally delayed. A petition to accept an unintentionally delayed claim under 35 U.S.C. 119(e) for

Art Unit: OPET

the benefit of a prior-filed provisional application must be accompanied by:

- (1) The reference required by 35 U.S.C. 119(e) and paragraph (a)(3) of this section to the prior-filed provisional application, unless previously submitted;
- (2) The petition fee set forth in § 1.17(m); and
- (3) A statement that the entire delay between the date the benefit claim was due under paragraph (a)(4) of this section and the date the benefit claim was filed was unintentional. The Director may require additional information where there is a question whether the delay was unintentional.

37 CFR 1.78(h) further provides that:

Notwithstanding the requirement in paragraphs (a)(3) and (d)(2) of this section that any specific reference to a prior-filed application be presented in an application data sheet (§ 1.76), this requirement in paragraph (a)(3) and (d)(2) of this section will be satisfied by the presentation of such specific reference in the first sentence(s) of the specification following the title in a nonprovisional application filed under 35 U.S.C. 111(a) before September 16, 2012, or resulting from an international application filed under 35 U.S.C. 363 before September 16, 2012. The provisions of this paragraph do not apply to any specific reference submitted for a petition under paragraph (b) of this section to restore the benefit of a provisional application.

A review of the application as filed reveals that the claim for priority to the provisional application was omitted on filing. See filing receipt mailed November 17, 2009. The four and sixteen-month periods specified in 37 CFR § 1.78(a)(4) expired without the claims for priority being submitted in an application data sheet in compliance with 37 CFR § 1.76 or an amendment in compliance with 37 CFR § 1.121. Thus, the instant petition is appropriate.

In addition, the petition includes the required petition fee and an acceptable statement of unintentional delay.

Art Unit: OPET

The petition further includes an amendment containing the reference to the prior-filed provisional application (and a draft certificate of correction containing the reference).

The provisional application filed October 19, 1998 was filed within one year of intermediate application No. 60/104,831 filed June 30, 1999. By decision mailed January 24, 2018, petition under 37 CFR 1.182 and request for certificate of correction were granted to entry the claim for priority in the intermediate application (filed prior to November 29, 2000).

The provisional application filing fee was paid in the prior-filed provisional application.

All of the above requirements having been satisfied, the late claim for benefit of priority to the prior-filed application under 35 U.S.C. § 119(e) is accepted as being unintentionally delayed.

Petitioner is advised that this decision grants the petition to accept the unintentionally delayed domestic benefit claim to the prior filed application(s) because the petition requirements of 37 CFR 1.78(c) and the formal requirements for claiming domestic benefit (see MPEP 211.01 et. seq.) have been met. This acceptance should not be construed as meaning that any claim in this patent is entitled to the benefit of the prior-filed application(s). See MPEP 211.05 for more information regarding entitlement to domestic benefit.

The application is being forwarded to the Certificate of Corrections branch for action consistent with this decision.

Any questions concerning this matter may be directed to the undersigned at (571) 272-3219.

/Nancy Johnson/

Nancy Johnson
Attorney Advisor
Office of Petitions

Enclosure: Corrected Filing Receipt



UNITED STATES PATENT AND TRADEMARK OFFICE

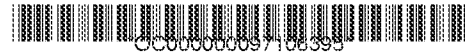
UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
12/589,645	10/26/2009	3694	875	IMS-007	20	2

CONFIRMATION NO. 8317

CORRECTED FILING RECEIPT

134688
Devlin Law Firm
1306 North Broom Street
1ST Floor
Wilmington, DE 19806



0000000097106395

Date Mailed: 02/01/2018

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

Inventor(s)

Robert S. Alvin, Boulder Creek, CA;

Applicant(s)

Robert S. Alvin, Boulder Creek, CA;

Power of Attorney: The patent practitioners associated with Customer Number 134688

Domestic Priority data as claimed by applicant

This application is a CON of 11/603,282 11/20/2006 ABN
which is a CON of 09/343,550 06/30/1999 PAT 7139731
which claims benefit of 60/104,831 10/19/1998

Foreign Applications for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see <http://www.uspto.gov> for more information.) - None.

Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.

Permission to Access Application via Priority Document Exchange: No

Permission to Access Search Results: No

Applicant may provide or rescind an authorization for access using Form PTO/SB/39 or Form PTO/SB/69 as appropriate.

If Required, Foreign Filing License Granted: 11/10/2009

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/589,645**

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

Preliminary Class

705

Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications:

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

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For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4258).

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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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 U.S. offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to promote and facilitate business investment. SelectUSA provides information assistance to the international investor community; serves as an ombudsman for existing and potential investors; advocates on behalf of U.S. cities, states, and regions competing for global investment; and counsels U.S. economic development organizations on investment attraction best practices. To learn more about why the United States is the best country in the world to develop technology, manufacture products, deliver services, and grow your business, visit <http://www.SelectUSA.gov> or call +1-202-482-6800.

Office of Petitions: Decision Count Sheet

Mailing Month

1

Application No.

12589645



1 2 5 8 9 6 4 5

For US serial numbers: enter number only, no slashes or commas. Ex: 10123456

For PCT: enter "51+single digit of year of filing+last 5 numbers", Ex. for PCT/US05/12345, enter 51512345

Deciding Official:

Nancy Johnson

Count (1) - Palm Credit

12589645

Decision: GRANT

FINANCE WORK NEEDED

☐ Select Check Box for YES

* G R A N T *

Decision Type: 535 - 37 CFR 1.78(a)(3) & (a)(6) UNINTENTIONAL DELAY



* 5 3 5 *

Notes:

Count (2)

Decision: n/a

FINANCE WORK NEEDED

☐ Select Check Box for YES

Decision Type: NONE

Notes:

Count (3)

Decision: n/a

FINANCE WORK NEEDED

☐ Select Check Box for YES

Decision Type: NONE

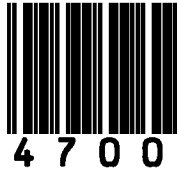
Notes:

Initials of Approving Official (if required)

If more than 3 decisions, attach
2nd count sheet & mark this box ☐

Printed on: 1/31/2018

Office of Petitions: Routing Sheet



Application No.

This application is being forwarded to your office for further processing. A decision has been rendered on a petition filed in this application, as indicated below. For details of this decision, please see the document PET.OP.DEC filed on the same date as this document.

☒ **GRANTED**

☐ **DISMISSED**

☐ **DENIED**



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UNITED STATES DEPARTMENT OF COMMERCE
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Inventor(s)

Robert S. Alvin, Boulder Creek, CA;

Applicant(s)

Robert S. Alvin, Boulder Creek, CA;

Power of Attorney: The patent practitioners associated with Customer Number 134688

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This application is a CON of 11/603,282 11/20/2006 ABN
which is a CON of 09/343,550 06/30/1999 PAT 7139731
which claims benefit of 60/104,831 10/19/1998

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Permission to Access Application via Priority Document Exchange: No

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Non-Publication Request: No

Early Publication Request: No

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NOT GRANTED

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Robert S. Alvin
Patent No. : 8,374,956
Filed : October 26, 2009
For : Internet Transactions Based on User-Specific Information
Examiner : John H Holly
Art Unit : 3694
Confirmation No. : 8317

Mail Stop PETITIONS

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

**PETITION FOR CERTIFICATE OF CORRECTION PURSUANT TO
37 C.F.R. §§ 1.121, 1.78, 35 U.S.C. § 119(e)**

The patent owner-assignee (Consolidated Transaction Processing LLC) respectfully requests that a Certificate of Correction be issued for the above-identified patent; or in the alternative, to grant an amendment for an unintentional delay in a domestic benefit claim. The correction sought is to perfect the benefit claim to the earlier U.S. provisional patent application, a correction that does not involve new matter or require reexamination and is believed allowable under 37 C.F.R. §1.121, 37 C.F.R. §1.78, 35 U.S.C. § 119(e), and/or 35 U.S.C. § 120 - or any other procedure.

We have submitted the petition fee and the certificate of correction fee. If any additional fee is required, would the Petition department kindly let us know by phone (302-449-7676). This is time sensitive. The Commissioner is also authorized to charge any other necessary fees or to credit any overpayments to **Deposit Account No. 601918**.

Facts:

1. The U.S. provisional patent application (60/104,831, titled "Multilevel Fraud Check With Dynamic Feedback") was filed on October 19, 1998.
2. The application for the above-identified patent, 8,374,956, was filed on October 26, 2009. The specification contains a section, titled "Related Applications," which claims priority to two

previously filed applications, which the above-identified patent is a continuation of: namely U.S. Application Ser. No. 11/603,282, filed Nov. 20, 2006, which a continuation of U.S. Application Ser. No. 09/343,550, filed Jun. 30, 1999. Application Ser. No. 11/603,282, filed Nov. 20, 2006, does claim priority to provisional application 60/104,831. However, U.S. Application Ser. No. 09/343,550, filed Jun. 30, 1999, inadvertently does not claim priority to provisional application 60/104,831, and we are filing a separate Petition to correct the claim of priority for that patent. And the provisional patent application was in fact made public by the USPTO. But, the issued patent 8,374,956 does not show any priority to provisional application 60/104,831.

3. A series of continuation patent applications were subsequently filed by different law firms and they claimed priority to the provisional patent application (60/104,831).

4. Presently, continuation patent application (14/290,954) is still pending at the USPTO; it also has a claim of priority to the provisional patent application (60/104,831). During the prosecution of this latest continuation patent application (14/290,954), the examiner used a reference that post-dates the provisional patent application (60/104,831). This triggered an investigation as to the dates and priority claim, which leads to this instant petition to perfect the claim of priority - pursuant to any of the possible patent rules and administrative procedures that may apply.

Petition:

5. U.S. Patent 8,374,956 claims the benefit of the U.S. provisional patent application 60/104,831 titled "Multilevel Fraud Check with Dynamic Feedback" pursuant to 35 U.S.C. § 119.

6. The entire delay to perfect the claim of priority is both inadvertent and unintentional.

7. An amended specification for U.S. patent 8,374,956 is filed with this petition. The amendment includes a cross reference and claim of benefit to the provisional patent application (60/104,831).

The requested revision is indicated on the attached form PTO/SB/44. An amendment is also submitted. Again, if there are any missing fees, petitioner would be very grateful if the Petition department would kindly call 302-449-7676 because this is time sensitive. The

Commissioner is also authorized to charge any other necessary fees or to credit any overpayments to **Deposit Account No. 601918**.

Respectfully submitted,

DEVLIN LAW FIRM LLC

Dated: October 11, 2017

By: /James Lennon/
James Lennon, Reg. No. 56,815
1306 North Broom Street,
1ST Floor
Wilmington DE 19806

CUSTOMER NO. 134688

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Robert S. Alvin
Patent No. : 8,374,956
Filed : October 26, 2009
For : Internet Transactions Based on User-Specific Information
Examiner : John H Holly
Art Unit : 3694
Confirmation No. : 8317

Mail Stop PETITIONS

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

AMENDMENT

Dear Commissioner:

In conjunction with the petition to perfect the benefit claim to the earlier provisional patent application, please amend the above-identified patent as follows:

Amendments to the Specification begin on page 2.

Amendments to the Specification

Please amend the following paragraph:

RELATED APPLICATIONS

[001] This application is a continuation of U.S. Application Ser. No. 11/603,282, filed November 20 2006, now abandoned which is hereby incorporated by reference in its entirety, and which is a continuation of U.S. Application Ser. No. 09/343,550, filed June 30 1999, and issued as US Patent 7,139,731, which claims the benefit of U.S. Prov. No. 60/104,831, filed Oct. 19, 1998.

Petitioner respectfully requests timely grant to enter this Amendment. If there are any missing fees, petitioner would be very grateful if the Petition department would kindly call 302-449-7676 because this is time sensitive. The Commissioner is also authorized to charge any other necessary fees or to credit any overpayments to **Deposit Account No. 601918**.

Respectfully submitted,

DEVLIN LAW FIRM LLC

Dated: October 11, 2017

By: /James Lennon/
James Lennon, Reg. No. 56,815
1306 North Broom Street,
1ST Floor
Wilmington DE 19806

CUSTOMER NO. 134688

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**Page 1 of 1

PATENT NO. : 8,374,956

APPLICATION NO.: 12/589,645

ISSUE DATE : Feb. 12, 2013

INVENTOR(S) : Robert S. Alvin

It is certified that an error appears or errors appear in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

Patent

Col. Line

1	10	Please insert the following at the end of the sentence: ",which claims the benefit of U.S. Prov. No. 60/104,831, filed Oct. 19, 1998."
---	----	--

MAILING ADDRESS OF SENDER (Please do not use Customer Number below):

James Lennon
Devlin Law Firm LLC, 1306 North Broom Street, 1ST Floor
Wilmington, DE 19806 (phone: 302-449-7676)

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. 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 1.0 hour 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: Attention Certificate of Corrections Branch, 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.
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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.
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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

Application Number:	12589645			
Filing Date:	26-Oct-2009			
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION			
First Named Inventor/Applicant Name:	Robert S. Alvin			
Filer:	James Michael Lennon/Feng Xu			
Attorney Docket Number:	IMS-007			
Filed as Large Entity				
Filing Fees for Utility under 35 USC 111(a)				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
PET. DELAY SUB OR RESTORE PRIORITY-CLAIM	1454	1	1700	1700
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Certificate of correction	1811	1	100	100
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				1800

Electronic Acknowledgement Receipt

EFS ID:	30627955
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	134688
Filer:	James Michael Lennon/Feng Xu
Filer Authorized By:	James Michael Lennon
Attorney Docket Number:	IMS-007
Receipt Date:	11-OCT-2017
Filing Date:	26-OCT-2009
Time Stamp:	16:14:48
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	DA
Payment was successfully received in RAM	\$ 1800
RAM confirmation Number	101217INTEFSW00003112601918
Deposit Account	601918
Authorized User	Timothy Devlin

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

37 CFR 1.16 (National application filing, search, and examination fees)

37 CFR 1.17 (Patent application and reexamination processing fees)

37 CFR 1.19 (Document supply fees)
37 CFR 1.20 (Post Issuance fees)
37 CFR 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		CC_956_patent.pdf	303856	yes	5
			c3bb829def88a5ce7d126ccb4ac2962ebc34875f		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Petition for review by the Office of Petitions		1	3	
	Specification		4	5	
Warnings:					
Information:					
2	Request for Certificate of Correction	sb0044-Patent_8374956.pdf	162790	no	2
			1f066b514b15203ef9a6a92cd2fb607f7e86f1fc		
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	32342	no	2
			dad679730fc9e13ac6a17c1c20b64c834fa0d85a		
Warnings:					
Information:					
Total Files Size (in bytes):			498988		

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
12/589,645	10/26/2009	Robert S. Alvin	IMS-007

134688
Devlin Law Firm
1306 North Broom Street
1ST Floor
Wilmington, DE 19806

CONFIRMATION NO. 8317
POA ACCEPTANCE LETTER



Date Mailed: 06/13/2017

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 06/07/2017.

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.

/yfeferra/



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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P.O. Box 1450
Alexandria, Virginia 22313-1450
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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	IMS-007

134688
Devlin Law Firm
1306 North Broom Street
1ST Floor
Wilmington, DE 19806

CONFIRMATION NO. 8317
POWER OF ATTORNEY NOTICE



Date Mailed: 06/13/2017

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 06/07/2017.

- 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.

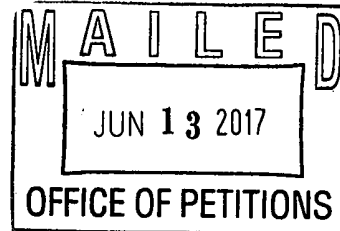
/yfeferra/



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United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

Devlin Law Firm
1306 North Broom Street
1ST Floor
Wilmington DE 19806



In re Patent No. 8,374,956	:	
Issue Date: February 12, 2013	:	DECISION ON PETITION
Application No. 12/589,645	:	TO ACCEPT DELAYED
Filed: October 26, 2009	:	MAINTENANCE FEE PAYMENT
Attorney Docket No.: IMS-007	:	

This is a decision on the Petition To Accept Unintentionally Delayed Payment of Maintenance Fee in an Expired Patent (37 CFR 1.378(b)), filed May 10, 2017.

The petition is **DISMISSED AS MOOT**.

The petition filed by EFS is **dismissed as moot** because an e-petition on Petition To Accept Unintentionally Delayed Payment of Maintenance Fee in an Expired Patent (37 CFR 1.37(b)), was also filed electronically and auto-granted on June 2, 2017.

Any questions concerning this decision may be directed to the undersigned at (571) 272-3213.

/Cheryl Gibson-Baylor/
Cheryl Gibson-Baylor
Petitions Paralegal Specialist
Office of Petitions



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
12/589,645	10/26/2009	Robert S. Alvin	IMS-007

134688
Devlin Law Firm
1306 North Broom Street
1ST Floor
Wilmington, DE 19806

CONFIRMATION NO. 8317
IMPROPER CPOA LETTER



Date Mailed: 06/07/2017

NOTICE REGARDING POWER OF ATTORNEY

This is in response to the power of attorney filed 06/01/2017. The power of attorney in this application is not accepted for the reason(s) listed below:

- The power of attorney is from an assignee and the statement required by 37 CFR 3.73(c) has not been received.

/cnguyen/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101

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

PATENT - POWER OF ATTORNEY OR REVOCATION OF POWER OF ATTORNEY WITH A NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS	Patent Number	8374956
	Issue Date	February 12, 2013
	First Named Inventor	Alvin, Robert S.
	Title	Internet Transactions based on user-specific information
	Attorney Docket No.	IMS-007

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 Customer Number identified in the box at right 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:

134688

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-identified Customer Number.

OR

☐ The address associated with the Customer Number identified in the box at right:

OR


<input type="checkbox"/> Firm or Individual Name				
Address				
City		State		Zip
Country				
Telephone		Email		

I am the:

☐ Applicant.

OR

☒ Patent owner.Statement under 37 CFR 3.73(c) (Form PTO/AIA/96) submitted herewith or filed on ~~May 10, 2017~~ **XXXXXXX****SIGNATURE of Applicant or Patent Owner**

Signature		Date	May 10, 2017
Name	Erik Stamell	Telephone	302-449-9010
Title and Company	CEO, Consolidated Transactions Processing LLC		

NOTE: Signatures of all the applicants or patent owners of the entire interest or their representative(s) are required. If more than one signature is required, submit multiple forms, check the box below, and identify the total number of forms submitted in the blank below.☐ A 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 update (and by the USPTO to process) the file of a patent or reexamination proceeding. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 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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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.
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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)).
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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.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Consolidated Transaction Processing LLCApplication No./Patent No.: 8374956Filed/Issue Date: February 12, 2013

Titled:

Internet transactions based on user-specific informationConsolidated Transaction Processing LLC, 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: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at

Reel _____, Frame _____, or for which a copy thereof is attached.

2. 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.

3. 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(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.

Signature

May 8, 2017

Date

Erik Stamell

CEO

Printed or Typed Name

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.

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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).
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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.
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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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STATEMENT UNDER 37 CFR 3.73(c)Applicant/Patent Owner: Consolidated Transaction Processing LLCApplication No./Patent No.: 8374956 Filed/Issue Date: February 12, 2013Titled: Internet Transactions Based on User-Specific InformationConsolidated Transaction Processing LLC, 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: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. 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.

[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.**

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

STATEMENT UNDER 37 CFR 3.73(c)

3. 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.

4. 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.

5. 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.

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.

/Dolly Y. Wu/

Signature

Dolly Wu

Printed or Typed Name

June 7, 2017

Date

59,192

Title or Registration Number

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.

Electronic Acknowledgement Receipt

EFS ID:	29423692
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	134688
Filer:	DOLLY Y. WU
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	07-JUN-2017
Filing Date:	26-OCT-2009
Time Stamp:	14:57:29
Application Type:	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	POAaia0081a8374956fixedfor m.pdf	357114	no	4
			7ba09eb8fca4f9db3d2ada7db44d931293a 19e78		

Warnings:

Information:					
2	Power of Attorney	aia0096new.pdf	117228	no	3
			83f301942ae15261524693d3f88bf714220ab918		
Warnings:					
Information:					
Total Files Size (in bytes):			474342		
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Robert S. ALVIN

Confirmation No.: 8317

Serial No.: 12/589,645

Group Art Unit: 3694

Filed: 10/26/2009

Patent: 8,374,956

For: INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

MAIL STOP REFUNDS 16
Director for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

REFUND REQUEST

Dear Director:

On May 10, 2017, I filed a petition ("manual petition") to revive this patent that unintentionally went abandoned. As shown in PAIR, I paid the manual petition fee of \$850. We also attempted to pay the late patent maintenance fee which got rejected. See attached, below. The petition department would not grant the manual petition until the patent maintenance fee was paid; meanwhile the patent maintenance department would not accept the fee, all of which resulted in a catch-22 situation. After many frustrating hours and phone calls to the two departments, we were able to speak with the director of the patent maintenance fee department, Matthew Lee at 571-272-6343. He instructed us to instead file an automatic epetition to revive the abandoned patent, which in fact did succeed. I had to pay an additional \$850 petition fee for the epetition as shown in PAIR, WFEE on June 2, 2017.

I request a refund of \$850 for the manual petition of May 10, 2017 that was never processed by the petition department. Matthew Lee said that if there are any problems

in getting a refund to please contact him at 571-272-6343. Please refund the money back to the charge card that I used to pay for filing the manual petition.

Respectfully submitted,

June 5, 2017

/Dolly Y. Wu/

Dolly Wu, Ph.D.
Reg. No. 59,192

323-605-4773



UNITED STATES PATENT AND TRADEMARK OFFICE

PTO-2142 (09-05)

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

TIMOTHY DEVLIN
1306 N. BROOM STREET
SUITE 1
WILMINGTON, DE 19806

May 17, 2017

NOTICE OF NON-ACCEPTANCE OF PATENT MAINTENANCE FEE

REGARDING PATENT NUMBER: 8374956

PAYMENT STATUS:

Payment Amount Received: \$ 880.00
Payment Year 3.5 (e.g., 3.5, 7.5, 11.5)

No charge was applied to your credit card account.

PAYMENT RECEIPT DATE 05/11/2017
(Mailroom Date Stamp)

Your payment was not accepted for the following reason(s):

- ☐ 1. The maintenance fee for the above-identified patent was previously paid on _____.
☐ Information regarding the previous payment is stated in item 8 below.
- ☒ 2. The patent expired on 02/12/2017. See "Patent Expiration" section below.
- ☐ 3. The fee was paid too early. See 37 CFR 1.366(b). Pursuant to 37 CFR 1.362(d), the payment window will open for the above-identified patent on _____.
- ☐ 4. Your payment was not sufficient to cover the maintenance fee and any required surcharge for the above-identified patent. An additional amount of \$ _____ is/was required.
- ☐ 5. The above-identified patent was reissued. In accordance with 37 CFR 1.366(d), the reissue patent number and reissue application number must be provided.
- ☐ 6. The payment did not include corresponding patent and application numbers, and was not specially accepted.
- ☐ 7. The above-identified patent is not subject to maintenance fees. No maintenance fees are due on utility patents filed before 12/11/80. No maintenance fees are due on design patents or on plant patents. See 37 CFR 1.362(a) and (b). (The "Resubmitting Maintenance Fee Payment" and "Patent Expiration" sections below do not apply.)
- ☐ 8. Other: _____.

Resubmitting Maintenance Fee Payment

The six (6) month "grace period" for paying the maintenance fee for the above-identified patent begins on _____ and ends on _____. In addition to the maintenance fee of \$ _____, a resubmitted payment filed in the USPTO during the 6 month "grace period" is required to include a surcharge of \$ _____. (See "Note" at the bottom of this Notice.)

To avoid patent expiration, the maintenance fee plus any required surcharge must be resubmitted in a manner that rectifies all of the indicated reason(s) for payment non-acceptance and *must be filed on or before the date the 6 month "grace period" ends*. Send by facsimile to the Office of Finance, Maintenance Fee Branch at (571) 273-6500, or by mail to the following address: Mail Stop M Correspondence, Director of the USPTO, P.O. Box 1450, Alexandria, VA 22313-1450, to the attention of the individual who has signed below.

Patent Expiration

The date the six (6) month "grace period" ends becomes the expiration date of the above-identified patent if the required amount for paying the maintenance fee is not filed in the USPTO by that date. See 37 CFR 1.362(g). Expired patents may be reinstated if a petition as set forth in 37 CFR 1.378 is granted. If the above-identified patent has expired and reason number 5 or 6 above is the only reason indicated for payment non-acceptance, it is possible that the payment may be accepted if resubmitted with a petition as set forth in 37 CFR 1.377, rather than 37 CFR 1.378.

If you have any questions regarding this Notice, contact the Office of Finance, Maintenance Fee Branch at (571) 272-6500. Please ask for the individual who has signed below.

T. Kieu Tran (571) 272-6322
Printed Name of USPTO Representative

Kieu Tran
Signature of USPTO Representative

NOTE: All USPTO fees (including patent maintenance fees) are subject to change. If you are making a payment, visit the www.uspto.gov website or contact the Office of Finance to verify the amount due on the date payment is to be made. A maintenance fee payment can be timely made using the certificate of mailing or transmission procedure set forth in 37 CFR 1.8.

Electronic Acknowledgement Receipt

EFS ID:	29402773
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	134688
Filer:	DOLLY Y. WU
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	05-JUN-2017
Filing Date:	26-OCT-2009
Time Stamp:	21:12:48
Application Type:	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	Refund Request	Refund-2017-06-05.pdf	167943	no	3
			894d22aa067aa40fc389600b054d92b5d21 fac7a		

Warnings:

Information:	
Total Files Size (in bytes):	167943
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>	

PETITION TO ACCEPT UNINTENTIONALLY DELAYED PAYMENT OF MAINTENANCE FEE IN AN EXPIRED PATENT (37 CFR 1.378(b))

Patent Number	Issue Date	Application Number	Filing Date	Docket Number (if applicable)
8374956	12-Feb-2013	12589645	26-Oct-2009	

CAUTION: Maintenance fee (and surcharge, if any) payment must correctly identify: (1) the patent number and (2) the application number of the actual U.S. application leading to issuance of that patent to ensure the fee(s) is/are associated with the correct patent. 37 CFR 1.366(c) and (d).

Applicants claims the following fee status:

☒ Small Entity

☐ Micro Entity

☐ Regular Undiscounted

Applicants selects the following :

☒ 3 1/2

☐ 7 1/2

☐ 11 1/2

PETITION FEE

The petition fee required by 37 CFR 1.17(m) (Fee Code 1558/2558) must be paid as a condition of accepting unintentionally delayed payment of the maintenance fee.

MAINTENANCE FEE (37 CFR 1.20(e)-(g))

The appropriate maintenance fee must be submitted with this petition.

STATEMENT

THE UNDERSIGNED CERTIFIES THAT THE DELAY IN PAYMENT OF THE MAINTENANCE FEE TO THIS PATENT WAS UNINTENTIONAL

PETITIONER(S) REQUEST THAT THE DELAYED PAYMENT OF THE MAINTENANCE FEE BE ACCEPTED AND THE PATENT REINSTATED

THIS PORTION MUST BE COMPLETED BY THE SIGNATORY OR SIGNATORIES

37 CFR 1.378(c) states: "Any petition under this section must be signed in compliance with 37 CFR 1.33(b) ."

I certify, in accordance with 37 CFR 1.4(d)(4) that I am

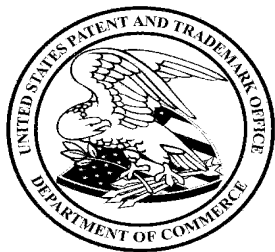
- ☐ An attorney or agent registered to practice before the Patent and Trademark Office who has been given power of attorney in this application.
- ☒ An attorney or agent registered to practice before the Patent and Trademark Office
- ☐ A sole patentee
- ☐ A joint patentee; I certify that I am authorized to sign this submission on behalf of all the other patentees as evidenced by the power of attorney in the application
- ☐ A joint patentee; all of whom are signing this e-petition
- ☐ The assignee of record of the entire interest that qualifies as an authorized party under 37 CFR 1.33(b)

Patent Practitioner			
A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the form of the signature			
Signature	/dolly wu/		
Name	dolly wu	Registration Number	59192

Electronic Patent Application Fee Transmittal

Application Number:	12589645			
Filing Date:	26-Oct-2009			
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION			
First Named Inventor/Applicant Name:	Robert S. Alvin			
Filer:	dolly wu			
Attorney Docket Number:	IMS-007			
Filed as Small Entity				
Filing Fees for Utility under 35 USC 111(a)				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
MAINTENANCE FEE DUE AT 3.5 YEARS	2551	1	800	800
PET. DELAY PYMT MAINTAIN PATENT IN FORCE	2558	1	850	850
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				1650



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

In re Patent No.	8374956	:
Issue Date:	February 12, 2013	:
Application No.	12589645	:DECISION GRANTING PETITION
Filed:	October 26, 2009	:UNDER 37 CFR 1.378(b)
Attorney Docket No.	IMS-007	:

This is a decision on the electronic petition, filed June 2, 2017, under 37 CFR 1.378(b) to accept the unintentionally delayed payment of the 3.5 year maintenance fee for the above-identified patent.

The petition is **GRANTED**.

The maintenance fee is accepted, and the above-identified patent reinstated as of June 2, 2017. This decision also constitutes notice that the fee has been accepted. An electronic copy of the petition and this decision has been created as an entry in the Image File Wrapper. Nevertheless, petitioner should print and retain an independent copy.

Telephone inquiries related to this electronic decision should be directed to the Electronic Business Center at 1-866-217-9197.

Electronic Acknowledgement Receipt

EFS ID:	29385540
Application Number:	12589645
Patent Number:	8374956
Confirmation Number:	8317
Petition Issued Date:	June 2,2017
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	134688
Filer:	dolly wu
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	02-JUN-2017
Filing Date:	26-OCT-2009
Time Stamp:	16:50:04
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	\$ 1650
RAM confirmation Number	060517INTEFSW16535900
Deposit Account	
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:	

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Petition automatically granted by EFS	petition-request.pdf	32574	no	2
			f76d501d892cf6357f6dd37a1ac13ad30278e f356		
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	31902	no	2
			426b41154e217bbf0b3b5277ae2728379d 769ee6		
Warnings:					
Information:					
Total Files Size (in bytes):			64476		
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>					

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.

**CHANGE OF
CORRESPONDENCE ADDRESS**
Patent

Address to:
Mail Stop Post Issue
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Patent Number	8374956
Issue Date	February 12, 2013
Application Number	12/589,645
Filing Date	October 26, 2009
First Named Inventor	Alvin, Robert S.
Attorney Docket Number	IMS-007

Please change the Correspondence Address for the above-identified patent to:

☒ The address associated with Customer Number:

134688 ~~134688~~

OR

☐ Firm or
Individual Name

Address

City

State

ZIP

Country

Telephone

Email

This form cannot be used to change the data associated with a Customer Number. To change the data associated with an existing Customer Number use "Request for Customer Number Data Change" (PTO/SB/124).

This form will not affect any "fee address" provided for the above-identified patent. To change a "fee address" use the "Fee Address Indication Form" (PTO/SB/47).

I am the:

☐ Patentee.

☒ 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 _____

Signature

Typed or
Printed Name Erik Stamell (CEO of Consolidated Transaction Processing LLC)

Date May 8, 2017

Telephone 302-449-9010

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 1.33. 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: Mail Stop Post Issue, 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:

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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.
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.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Consolidated Transaction Processing LLCApplication No./Patent No.: 8374956Filed/Issue Date: February 12, 2013

Titled:

Internet transactions based on user-specific information

Consolidated Transaction Processing LLC, 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: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at

Reel _____, Frame _____, or for which a copy thereof is attached.

2. 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.

3. 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(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.

Signature

May 8, 2017

Date

Erik Stamell

CEO

Printed or Typed Name

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.

Privacy Act Statement

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Electronic Acknowledgement Receipt

EFS ID:	29374563
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	134688
Filer:	DOLLY Y. WU
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	01-JUN-2017
Filing Date:	26-OCT-2009
Time Stamp:	19:04:42
Application Type:	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	pat8374956POA.pdf	381210	no	4
			c54d5bc2f1a96f4bf2f25bdb4e33bc3dea9997ae		

Warnings:

Information:	
Total Files Size (in bytes):	381210
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>	

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

PATENT - POWER OF ATTORNEY OR REVOCATION OF POWER OF ATTORNEY WITH A NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS	Patent Number	8374956
	Issue Date	February 12, 2013
	First Named Inventor	Alvin, Robert S.
	Title	Internet Transactions based on user-specific information
	Attorney Docket No.	IMS-007

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 Customer Number identified in the box at right 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:

134688

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-identified Customer Number.

OR

☐ The address associated with the Customer Number identified in the box at right:

OR

<input type="checkbox"/> Firm or Individual Name				
Address				
City		State		Zip
Country				
Telephone		Email		

I am the:


☐ Applicant.

OR

☒ Patent owner.

Statement under 37 CFR 3.73(c) (Form PTO/AIA/96) submitted herewith or filed on May 10, 2017 PTO/SB/96

SIGNATURE of Applicant or Patent Owner

Signature		Date	May 10, 2017
Name	Erik Stamell	Telephone	302-449-9010
Title and Company	CEO, Consolidated Transactions Processing LLC		

NOTE: Signatures of all the applicants or patent owners of the entire interest or their representative(s) are required. If more than one signature is required, submit multiple forms, check the box below, and identify the total number of forms submitted in the blank below.

☐ A 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 update (and by the USPTO to process) the file of a patent or reexamination proceeding. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 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.**

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

Privacy Act Statement

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Consolidated Transaction Processing LLCApplication No./Patent No.: 8374956Filed/Issue Date: February 12, 2013

Titled:

Internet transactions based on user-specific information

Consolidated Transaction Processing LLC, 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: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at

Reel _____, Frame _____, or for which a copy thereof is attached.

2. 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.

3. 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(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.

Signature

May 8, 2017

Date

Erik Stamell

CEO

Printed or Typed Name

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.

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Electronic Acknowledgement Receipt

EFS ID:	29374868
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	134688
Filer:	DOLLY Y. WU
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	01-JUN-2017
Filing Date:	26-OCT-2009
Time Stamp:	19:49:41
Application Type:	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	POAaia0081a8374956fixedfor m.pdf	298202	no	4
			66a4948b9e8c28b5018e097d2dd878dc82 638afa		

Warnings:

Information:	
Total Files Size (in bytes):	298202
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>	

AO 120 (Rev. 3/04)

TO: Mail Stop 8 Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450	REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK
---	--

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been
 filed in the U.S. District Court District of Nevada on the following ☒ Patents or ☐ Trademarks:

DOCKET NO. 2:16cv01752-RFB-VCF	DATE FILED 7/25/2016	U.S. DISTRICT COURT District of Nevada
PLAINTIFF Consolidated Transaction Processing LLC		DEFENDANT Jet.com, Inc.
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 see Complaint		
2 8374956		
3 8396743		
4 8533047		
5 8712846		

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY <input type="checkbox"/> Amendment <input type="checkbox"/> Answer <input type="checkbox"/> Cross Bill <input type="checkbox"/> Other Pleading			
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK		
1 8775255				
2				
3				
4				
5				

In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT Dismissed 12/29/2016- See Attached Order

CLERK /s/ Lance S. Wilson	(BY) DEPUTY CLERK /s/ M. Morrison	DATE 7/25/2016
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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.

**CHANGE OF
CORRESPONDENCE ADDRESS**
Patent

Address to:
Mail Stop Post Issue
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Patent Number	8374956
Issue Date	February 12, 2013
Application Number	12/589,645
Filing Date	October 26, 2009
First Named Inventor	Alvin, Robert S.
Attorney Docket Number	IMS-007

Please change the Correspondence Address for the above-identified patent to:

☒ The address associated with Customer Number:

134688

OR

☐ Firm or
Individual Name

Address

City

State

ZIP

Country

Telephone

Email

This form cannot be used to change the data associated with a Customer Number. To change the data associated with an existing Customer Number use "Request for Customer Number Data Change" (PTO/SB/124).

This form will not affect any "fee address" provided for the above-identified patent. To change a "fee address" use the "Fee Address Indication Form" (PTO/SB/47).

I am the:

☐ Patentee.

☒ 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 _____

Signature

Typed or
Printed Name Erik Stamell (CEO of Consolidated Transaction Processing LLC)

Date May 8, 2017

Telephone 302-449-9010

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 1.33. 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: Mail Stop Post Issue, 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.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Consolidated Transaction Processing LLCApplication No./Patent No.: 8374956Filed/Issue Date: February 12, 2013

Titled:

Internet transactions based on user-specific information

Consolidated Transaction Processing LLC, 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: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at

Reel _____, Frame _____, or for which a copy thereof is attached.

2. 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.

3. 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(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.

Signature

May 8, 2017

Date

Erik Stamell

CEO

Printed or Typed Name

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.

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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.
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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.
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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 Acknowledgement Receipt

EFS ID:	29168957
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	88268
Filer:	DOLLY Y. WU
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	10-MAY-2017
Filing Date:	26-OCT-2009
Time Stamp:	12:47:26
Application Type:	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	correspondencechange956and insert.pdf	313945	no	4
			b4e7ad9619f0792e09c3f3d8e4e26042354 92671		

Warnings:

Information:	
Total Files Size (in bytes):	313945
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>	

PETITION TO ACCEPT UNINTENTIONALLY DELAYED PAYMENT OF MAINTENANCE FEE IN AN EXPIRED PATENT (37 CFR 1.378(c))

Patent Number	Issue Date (YYYY-MM-DD)	Application Number	Filing Date (YYYY-MM-DD)	Docket Number (if applicable)
8374956	2013-02-12	12589645	2009-10-26	IMS-007

CAUTION: Maintenance fee (and surcharge, if any) payment must correctly identify: (1) the patent number and (2) the application number of the actual U.S. application leading to issuance of that patent to ensure the fee(s) is/are associated with the correct patent. 37 CFR 1.366(c) and (d).

SMALL ENTITY

☒ Patentee claims, or has previously claimed, small entity status. See 37 CFR 1.27.

LOSS OF ENTITLEMENT TO SMALL ENTITY STATUS

☐ Patentee is no longer entitled to small entity status. See 37 CFR 1.27(g)

NOT Small Entity

	Fee	Code
<input type="radio"/>	3 ½ year	(1551)
<input type="radio"/>	7 ½ year	(1552)
<input type="radio"/>	11 ½ year	(1553)

Small Entity

	Fee	Code
<input checked="" type="radio"/>	3 ½ year	(2551)
<input type="radio"/>	7 ½ year	(2552)
<input type="radio"/>	11 ½ year	(2553)

SURCHARGE

The surcharge required by 37 CFR 1.20(i)(2) (Fee Code 1558) must be paid as a condition of accepting unintentionally delayed payment of the maintenance fee.

MAINTENANCE FEE (37 CFR 1.20(e)-(g))

The appropriate maintenance fee must be submitted with this petition.

STATEMENT

THE UNDERSIGNED CERTIFIES THAT THE DELAY IN PAYMENT OF THE MAINTENANCE FEE TO THIS PATENT WAS UNINTENTIONAL

PETITIONER(S) REQUEST THAT THE DELAYED PAYMENT OF THE MAINTENANCE FEE BE ACCEPTED AND THE PATENT REINSTATED

THIS PORTION MUST BE COMPLETED BY THE SIGNATORY OR SIGNATORIES

37 CFR 1.378(d) states: "Any petition under this section must be signed by an attorney or agent registered to practice before the Patent and Trademark Office, or by the patentee, the assignee, or other party in interest."

I certify, in accordance with 37 CFR 1.4(d)(4) that I am

- ☒ An attorney or agent registered to practice before the Patent and Trademark Office
- ☐ A sole patentee
- ☐ A joint patentee; I certify that I am authorized to sign this submission on behalf of all the other patentees.
- ☐ A joint patentee; all of whom are signing this e-petition
- ☐ The assignee of record of the entire interest

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays valid OMB control number.

Patent Practitioner			
A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the form of the signature			
Signature	/Dolly Y. Wu/	Date (YYYY-MM-DD)	2017-05-10
Name	Dolly Wu	Registration Number	59192
<p>This collection of information is required by 37 CFR 1.378(c). 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 1 hour 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. This form can only be used when in conjunction with EFS-Web. If this form is mailed to the USPTO, it may cause delays in reinstating the patent.</p>			

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.

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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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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.
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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

Application Number:	12589645			
Filing Date:	26-Oct-2009			
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION			
First Named Inventor/Applicant Name:	Robert S. Alvin			
Filer:	DOLLY Y. WU			
Attorney Docket Number:	IMS-007			
Filed as Small Entity				
Filing Fees for Utility under 35 USC 111(a)				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
PET. REVIVE ABANDON APP, DELAY PYMT-RESP	2453	1	850	850
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				850

Electronic Acknowledgement Receipt

EFS ID:	29169416
Application Number:	12589645
International Application Number:	
Confirmation Number:	
Title of Invention:	INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	88268
Filer:	DOLLY Y. WU
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	10-MAY-2017
Filing Date:	26-OCT-2009
Time Stamp:	13:24:54
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	CARD
Payment was successfully received in RAM	\$850
RAM confirmation Number	051017INTEFSW13265300
Deposit Account	
Authorized User	

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

File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Petition for review by the Office of Petitions	sb0066e_fill_Atty_pdf.pdf	71028	no	3
			bc53b05b353d02ff05122c0578682c49e697d940		
Warnings:					
Information:					
2	Fee Worksheet (SB06)	fee-info.pdf	30483	no	2
			8da582930fd67707c977a133cfc75c7e072cf683		
Warnings:					
Information:					
Total Files Size (in bytes):			101511		
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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>					

AO 120 (Rev. 3/04)

TO: Mail Stop 8 Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450	REPORT ON THE FILING OR DETERMINATION OF AN ACTION REGARDING A PATENT OR TRADEMARK
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In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been
 filed in the U.S. District Court District of Nevada on the following ☒ Patents or ☐ Trademarks:

DOCKET NO. 2:16cv01752-RFB-VCF	DATE FILED 7/25/2016	U.S. DISTRICT COURT District of Nevada
PLAINTIFF Consolidated Transaction Processing LLC		DEFENDANT Jet.com, Inc.
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 see Complaint		
2 8374956		
3 8396743		
4 8533047		
5 8775255		

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

DATE INCLUDED	INCLUDED BY			
	<input type="checkbox"/> Amendment	<input type="checkbox"/> Answer	<input type="checkbox"/> Cross Bill	<input type="checkbox"/> Other Pleading
PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK		
1				
2				
3				
4				
5				

In the above—entitled case, the following decision has been rendered or judgement issued:

DECISION/JUDGEMENT

CLERK /s/ Lance S. Wilson	(BY) DEPUTY CLERK /s/ M. Morrison	DATE 7/25/2016
------------------------------	--------------------------------------	-------------------

Copy 1—Upon initiation of action, mail this copy to Director Copy 3—Upon termination of action, mail this copy to Director
 Copy 2—Upon filing document adding patent(s), mail this copy to Director Copy 4—Case file copy



RECEIVED
CENTRAL FAX CENTER
FEB 25 2013

UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

Law Office of Dorian Cartwright
P.O. Box 7617
San Jose CA 95150

Application No.: 12589645
Date Mailed: 01/14/12

NOTICE TO PAY BALANCE OF ISSUE FEE

The issue fee payment filed on 12/20/12 has been received. Although the fee was paid in response to the Notice of Allowance and Fees Due, new patent fees went into effect on October 5, 2012, after the mailing date of the Notice. See CPI Adjustment of Patent Fees for Fiscal Year 2013, 77 Fed. Reg. 54360, which adjusts certain patent fees, including the issue fee, to reflect fluctuations in the Consumer Price Index (CPI). Because the issue fee was paid on or after October 5, 2012, the new issue fee was due instead of the amount specified in the Notice of Allowance and Fees Due.

Applicant is given a time period of **THREE (3) MONTHS** from the mailing date of this notice during which to pay the **BALANCE DUE** indicated below. The balance due is the difference between the issue fee required on the date that the correct issue fee is paid and the amount that was previously paid. This three-month time period may not be extended. If the balance due is not paid before the expiration of the three-month period, the application will become abandoned (if not issued) or the patent will lapse (if issued) at the termination of the three-month period.

Application Type	Column A		Column B	Balance Due
	Issue Fee Required		Issue Fee Paid	Column A - Column B
	Small Entity	Large Entity		
UTILITY	\$885.00	\$1,770.00	\$870.00	\$15.00
REISSUE	\$885.00	\$1,770.00		
DESIGN	\$505.00	\$1,010.00		
PLANT	\$695.00	\$1,390.00		

/Kimberly Terrell/
Office of Data Management
571-272-4100

Adjustment date: 02/25/2013 APEREZA1
12/21/2012 CNGUYEN3 00000027 12589645
02 FC:1506 -870.00 OP

How to Pay:

Currently payments cannot be made via the Electronic Filing System

Submit payment by fax at 571-273-8300 – Include a copy of the letter and authorization to charge a deposit account or credit card on file.

Submit payment by mail – Include a copy of the letter, and either authorization to charge a deposit account/credit card or submit a check/ money order.

02/25/2013 APEREZA1 00000001 12589645

01 FC:2501

885.00 OP

RECEIVED
CENTRAL FAX CENTER
FEB 25 2013

FAX

Date 2/23/2013

Number of pages including cover sheet: 3

To:

+15712738300

Phone

Fax Phone +15712738300

From:

Dorian Cartwright

P.O. Box 7617

San Jose CA

95150

Phone (800) 810-8030

Fax Phone (800) 810-8030

REMARKS:

Fwd: \$15 payment - balance of Issue Fee due for App No. 12589645

FEB 06 2013



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

Law Office of Dorian Cartwright
P.O. Box 7617
San Jose CA 95150

Application No.: 12589645
Date Mailed: 01/14/12

NOTICE TO PAY BALANCE OF ISSUE FEE

The issue fee payment filed on 12/20/12 has been received. Although the fee was paid in response to the Notice of Allowance and Fees Due, new patent fees went into effect on October 5, 2012, after the mailing date of the Notice. See CPI Adjustment of Patent Fees for Fiscal Year 2013, 77 Fed. Reg. 54360, which adjusts certain patent fees, including the issue fee, to reflect fluctuations in the Consumer Price Index (CPI). Because the issue fee was paid on or after October 5, 2012, the new issue fee was due instead of the amount specified in the Notice of Allowance and Fees Due.

Applicant is given a time period of **THREE (3) MONTHS** from the mailing date of this notice during which to pay the **BALANCE DUE** indicated below. The balance due is the difference between the issue fee required on the date that the correct issue fee is paid and the amount that was previously paid. This three-month time period may not be extended. If the balance due is not paid before the expiration of the three-month period, the application will become abandoned (if not issued) or the patent will lapse (if issued) at the termination of the three-month period.

Application Type	Column A		Column B	Balance Due
	Issue Fee Required		Issue Fee Paid	Column A - Column B
	Small Entity	Large Entity		
UTILITY	\$885.00	\$1,770.00	\$870.00	\$15.00
REISSUE	\$885.00	\$1,770.00		
DESIGN	\$505.00	\$1,010.00		
PLANT	\$695.00	\$1,390.00		

/Kimberly Terrell/
Office of Data Management
571-272-4100

How to Pay:

Currently payments cannot be made via the Electronic Filing System

Submit payment by fax at 571-273-8300 – Include a copy of the letter and authorization to charge a deposit account or credit card on file.

Submit payment by mail – Include a copy of the letter, and either authorization to charge a deposit account/credit card or submit a check/ money order.

FEB 06 2013

FAX

Date 2/6/2013

Number of pages including cover sheet: 4

To:

+15712738300

Phone

Fax Phone +15712738300

From:

Dorian Cartwright

P.O. Box 7617

San Jose CA

95150

Phone (800) 810-8030

Fax Phone (800) 810-8030

REMARKS:

Fwd: IMS-007 Fax for Notice to Pay Balance of Issue Fee

FEB 06 2013

Fax

To:

USPTO

Fax number:

571-273-8300

From:

Law Office of Dorian Cartwright

Fax number:

(800)810-8030

Date:

2/3/2013

Regarding:

Response to Notice to Pay Balance of Issue Fee

Phone number for follow up:

(800)810-8030

Please find attached:

1. Copy of Notice to Pay Balance of Issue Fee mailed January 14, 2013
2. Credit Card Authorization form

Date: _____

Document Code: IMIS

Office of Patent Application Process
Office of Initial Processing Division

Original Application Number: 12/589645
Name of Contact: Dorian Cartwright
Phone Number: 850 810-8030

NO telephone conversation with the applicant on _____
The following instructions have been given:

CREDIT CARD With out Signature , SO SEND OUT NOTICE OF MISSING PARTS LETTER.

M. Evans-Terrell

(Please print name)

Office of Initial Processing Division



UNITED STATES PATENT AND TRADEMARK OFFICE

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

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/589,645	10/26/2009	Robert S. Alvin	IMS-007	8317
88268	7590	01/31/2013		
Law Office of Dorian Cartwright			EXAMINER	
P.O. Box 7617			HOLLY, JOHN H	
San Jose, CA 95150				
			ART UNIT	PAPER NUMBER
			3694	
			NOTIFICATION DATE	DELIVERY MODE
			01/31/2013	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):

uspto@cartwrightesq.com
vibrantnet@yahoo.com



UNITED STATES PATENT AND TRADEMARK OFFICE

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Law Office of Dorian Cartwright
P.O. Box 7617
San Jose CA 95150

Application No.: 12589645
Date Mailed: 01/14/12

NOTICE TO PAY BALANCE OF ISSUE FEE

The issue fee payment filed on 12/20/12 has been received. Although the fee was paid in response to the Notice of Allowance and Fees Due, new patent fees went into effect on October 5, 2012, after the mailing date of the Notice. See CPI Adjustment of Patent Fees for Fiscal Year 2013, 77 Fed. Reg. 54360, which adjusts certain patent fees, including the issue fee, to reflect fluctuations in the Consumer Price Index (CPI). Because the issue fee was paid on or after October 5, 2012, the new issue fee was due instead of the amount specified in the Notice of Allowance and Fees Due.

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Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/589,645	02/12/2013	8374956	IMS-007	8317

88268 7590 01/23/2013

Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

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 0 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):

Robert S. Alvin, Boulder Creek, CA;

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.



1fu/17

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.

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.

88268 7590 09/25/2012
Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

Certificate of Mailing or Transmittal
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.

HANNAH TRAN	(Depositor's name)
<i>[Signature]</i>	(Signature)
12/20/12	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/589,645	10/26/2009	Robert S. Alvin	IMS-007	8317

TITLE OF INVENTION: INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$870	\$300	\$0	\$1170	12/26/2012

EXAMINER	ART UNIT	CLASS-SUBCLASS
HOLLY, JOHN H	3694	705-038000

12/21/2012 CHGUYEN3 00000027 12589645
01 FC:1504 300.00 OF
02 FC:1506 870.00 OF

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).
☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
☐ "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.

2. For printing on the patent front page, list
(1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____
(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 _____
3 _____

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

4a. The following fee(s) are submitted:

- ☒ Issue Fee
☐ Publication Fee (No small entity discount permitted)
☐ Advance Order - # of Copies _____

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ Check is enclosed.
☒ Payment by credit card. Form PTO-2038 is attached.
☐ 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).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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

[Signature]

Date

12/20/12

Typed or printed name

RAKESH RAMDE

Registration No.

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.

Notice of Fee Due

Date: 12/21/12

Application Number: 121589,645

A fee is due for the attached document for the reason indicated below. Please check the application for the appropriate authorization to charge a deposit account. If an authorization is present, please charge the appropriate fee*. If an authorization is not present, notify the applicant of the fee deficiency.

***If the fee due is for any of the filing fees, check for authorization to charge the surcharge. If authorization is present, charge the surcharge for late payment of the filing fees as well.**

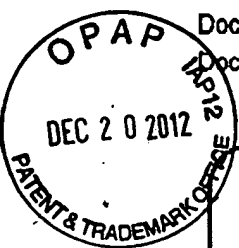
- ☐ Insufficient payment by check or money order.
- ☐ Insufficient funds in deposit account _____ at _____:_____ (time).
- ☒ Insufficient payment by credit card.
- ☐ Declined credit card _____:_____ (time).
- ☒ No authorization to charge a deposit account.

Fee code(s) to be applied: 2501 \$885

Amount in holding fee code: 1506 \$870
1622/2622
1999

Total remaining due from applicant: \$15

RAM Operator Cm



Doc Code: TRAN.LET

Document Description: Transmittal Letter

PTO/SB/21 (07-09)

Approved for use through 07/31/2012. OMB 0651-0031
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	12/589,645
	Filing Date	10/26/2009
	First Named Inventor	Alvin, Robert S.
	Art Unit	3894
	Examiner Name	Holly, John H.
	Attorney Docket Number	IMS-007
Total Number of Pages in This Submission		3

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO/SB/2038
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	DIVAN INDUSTRIES, LLC		
Signature			
Printed name	RAKESH RAMDE		
Date	Dec. 20, 2012	Reg. No.	

CERTIFICATE OF TRANSMISSION/MAILING			
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			
Typed or printed name	HANNAH TRAN	Date	12/20/12

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.

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



UNITED STATES PATENT AND TRADEMARK OFFICE

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

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

12/589,645

10/26/2009

Robert S. Alvin

IMS-007

8317

88268 7590 10/10/2012

Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

EXAMINER

HOLLY, JOHN H

ART UNIT

PAPER NUMBER

3694

MAIL DATE

DELIVERY MODE

10/10/2012

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

Application No.

12/589,645

Applicant(s)

ALVIN, ROBERT S.

Examiner

JOHN H. HOLLY

Art Unit

3694

This is in response to the Pre-Appeal Brief Request for Review filed 02 August, 2012.

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) JOHN H. HOLLY.

(2) Kambiz Abdi.

(3) /Vincent Millin/.

(4) ____.

/JOHN H. HOLLY/
Primary Examiner, Art Unit 3694

/Kambiz Abdi/
Supervisory Patent Examiner, Art
Unit 3694



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
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NOTICE OF ALLOWANCE AND FEE(S) DUE

88268 7590 09/25/2012
Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

EXAMINER

HOLLY, JOHN H

ART UNIT

PAPER NUMBER

3694

DATE MAILED: 09/25/2012

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

12/589,645

10/26/2009

Robert S. Alvin

IMS-007

8317

TITLE OF INVENTION: INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$870	\$300	\$0	\$1170	12/26/2012

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 SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

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.

88268 7590 09/25/2012
Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

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.
-----------------	-------------	----------------------	---------------------	------------------

12/589,645	10/26/2009	Robert S. Alvin	IMS-007	8317
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TITLE OF INVENTION: INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
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nonprovisional	YES	\$870	\$300	\$0	\$1170	12/26/2012
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EXAMINER	ART UNIT	CLASS-SUBCLASS
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HOLLY, JOHN H	3694	705-038000
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1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
- ☐ "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.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____
- (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 _____
- 3 _____

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

4a. The following fee(s) are submitted:

- ☐ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies _____

4b. Payment of Fee(s); (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ 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).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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 _____ Date _____

Typed or printed name _____ Registration No. _____

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.

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/589,645	10/26/2009	Robert S. Alvin	IMS-007	8317
88268	7590	09/25/2012	EXAMINER	
Law Office of Dorian Cartwright P.O. Box 7617 San Jose, CA 95150			HOLLY, JOHN H	
			ART UNIT	PAPER NUMBER
			3694	
DATE MAILED: 09/25/2012				

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 0 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 0 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.

Notice of Allowability	Application No.	Applicant(s)	
	12/589,645	ALVIN, ROBERT S.	
	Examiner	Art Unit	
	JOHN H. HOLLY	3694	

-- 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 Amendments filed on September 13, 2012.
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 1-21.
4. ☐ 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 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. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
 6. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
 - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
 - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date ____.
 - (b) ☐ 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).**
7. ☐ 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)

- | | |
|---|--|
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) 2. <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) 3. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date ____ 4. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit
of Biological Material | <ol style="list-style-type: none"> 5. <input type="checkbox"/> Notice of Informal Patent Application 6. <input checked="" type="checkbox"/> Interview Summary (PTO-413),
Paper No./Mail Date <u>September 10, 2012</u>. 7. <input type="checkbox"/> Examiner's Amendment/Comment 8. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance 9. <input type="checkbox"/> Other ____. |
|---|--|

/JOHN H. HOLLY/
Primary Examiner, Art Unit 3694

Art Unit: 3694

Allowable Subject Matter

Claims 1 - 21 are allowed over prior art of record.

Reasons for Allowance

The following is an examiner's statement of reasons for allowance:

The prior art of record neither anticipates nor renders obvious the claimed subject matter of the instant application as a whole either taken alone or in combination, in particular, prior art of record does not teach a database having stored therein product data for a plurality of products and customer data, the product data comprising data electronically transmitted from a plurality of distributors of the plurality of products, the data corresponding to similar products for sale by more than one of the distributors, and the customer data comprising personal information about customers; a catalog builder for generating electronic catalogs having user-specific product offerings for the plurality of product, the catalog builder dynamically placing the user-specific product offerings in electronic catalogs based on at least in part the personal information.

Patentable weight was given to all limitations in the claims.

The following prior art references have been deemed most relevant to the allowed claim(s):

The closest prior art Conklin et al. (Pat. # US 6,141,653) teaches a multivariate negotiations engine for iterative bargaining which: enables a sponsor to create and administer a community between participants such as buyers and sellers having similar interests; allows a buyer / participant to search and evaluate seller information, propose

Art Unit: 3694

and negotiate orders and counteroffers that include all desired terms, request sample quantities, and track activity; allows a seller¹ participant to use remote authoring templates to create a complete Website for immediate integration and activation in the community, to evaluate proposed buyer orders and counteroffers, and to negotiate multiple variables such as prices, terms, conditions etc., iteratively with a buyer. The system provides secure databases, search engines, and other tools for use by the sponsor, which enable the sponsor to define the terms of community participation, establish standards, help promote the visibility of participating companies, monitor activity, collect fees, and promote successes. All this is done through a multivariate negotiations engine system operated at the system provider's Internetsite, thus requiring no additional software at the sponsors', or participant sellers', or buyer's sites. This also allows buyers and sellers to use and negotiate payment options and methods that are accepted internationally. The system maintains internal databases that contain the history of all transactions in each community, so that sponsors, buyers and sellers may retrieve appropriate records to document each stage of interaction and negotiation. Documents are created by the system during the negotiation process.

The closest prior art Eric Pianin: NPL – ("Warner Campaign Donors Reportedly Reimbursed; Unisys Review Finds 5 Executives Were Repaid \$3,800 After Submitting Phony Vouchers") discusses - At least five executives of the Sperry Corp. were told to contribute to the 1984 campaign of Sen. John W. Warner (R-Va.) and later obtained \$3,800 in reimbursements from the company by submitting phony expense vouchers with the approval of their superiors, according to a report of an internal review completed last fall by Sperry's successor, the Unisys Corp. A marketing director at Sperry's Great Neck, N.Y., plant also was reimbursed by the company in this manner after being instructed to contribute a total of \$1,500 to Sen. Alfonse M. D'Amato (R-N.Y.) in 1983 or 1984, according to the report, which was confirmed this week by William Beckham, a spokesman for Unisys. Warner and D'Amato said yesterday that they had been unaware of the reimbursements--which are prohibited by federal election

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law--and condemned any attempt by a corporation to coerce its workers to contribute. "It's a tough story and I'm the innocent victim of it," Warner said. The report, which was turned over to the Justice and Defense departments last November, also said that four executives at the Great Neck plant collected \$77,500 from the company between 1983 and 1987 by means of phony travel expense claims, which were then submitted to the federal government for reimbursement. The report, according to one company official, proved to be a "forerunner" of Unisys's full-blown internal probe of suspected wrongdoing by present and former employees and consultants--including illegal diversion of corporate funds to influence congressional or Defense Department actions. The internal Unisys report was first reported by Newsday last weekend. Unisys is among scores of major defense contractors under scrutiny in the federal government's investigation of allegations of fraud, bribery and misconduct in Pentagon contracting. Unisys disclosed last month that it had suspended six managers and forced a vice president of the Great Neck facility to resign in March after turning up evidence of wrongdoing. Last week, Unisys ceased doing business with Armtec Inc., a Florida defense subcontractor also under investigation in the federal procurement probe. That action was taken hours after The Washington Post reported that federal investigators are probing whether three executives diverted money illegally from Unisys through Armtec to Rep. Bill Chappell (D-Fla.) and others influential in defense contracting. Armtec was set up in Chappell's north Florida district in the fall of 1986 by William W. Roberts, a retired Sperry/Unisys executive, and William M. Galvin, a defense procurement consultant, to assemble wire harnesses for a shipboard electronic warfare system manufactured at the Great Neck plant. Charles F. Gardner, the Great Neck vice president who later was forced to retire, arranged for the noncompetitive contract with Armtec.

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Conclusion

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."

Contact Information

Any inquiry concerning this communication or earlier communications from the examiner should be directed to John H. Holly whose telephone number is 571.270.3461. The examiner can normally be reached on Monday - Friday 9:00-5:30 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Abdi can be reached on 571-272-6702. The fax phone number for the organization where this application or proceeding is assigned is 571-272-6126.

/JOHN H. HOLLY/

Primary Examiner, Art Unit 3694

Notice of References Cited	Application/Control No. 12/589,645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.	
	Examiner JOHN H. HOLLY	Art Unit 3694	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-			
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			


FOREIGN PATENT DOCUMENTS

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

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Pianin, Warner campaign donors reportedly reimbursed; Unisys review finds 5 executives were repaid \$3,88.00 after submitting phony vouchers, The Washington Post -Final Edition, a section, page. 06, August 10, 1988
	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.

<i>Index of Claims</i> 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

<input checked="" 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	
CLAIM		DATE									
Final	Original	01/07/2011	07/07/2011	02/24/2012	09/13/2012						
	1	✓	✓	✓	=						
	2	✓	✓	✓	=						
	3	✓	✓	✓	=						
	4	✓	✓	✓	=						
	5	✓	✓	✓	=						
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	18	✓	✓	✓	=						
	19	✓	✓	✓	=						
	20	✓	✓	✓	=						
	21			✓	=						

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	16681	705/1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/12/30 20:35
S2	3569	705/38	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/12/30 20:35
S3	378	(robert.in. and alvin.in.)	US-PGPUB; USPAT	OR	ON	2010/12/30 20:37
S4	50	(US-20100169163-\$ or US-20030028451-\$ or US-20060026089-\$ or US-20020007322-\$ or US-20010056379-\$ or US-20020099622-\$ or US-20020107761-\$ or US-20020111879-\$ or US-20080147507-\$ or US-20090113349-\$ or US-20050096968-\$ or US-20020147656-\$ or US-20030130900-\$ or US-20030033215-\$ or US-20040243485-\$ or US-20050049939-\$ or US-20090112772-\$ or US-20020156700-\$ or US-20060095320-\$ or US-20100138285-\$ or US-20100107093-\$ or US-20040199435-\$).did. or (US-7139731-\$ or US-6253193-\$ or US-6363488-\$ or US-6389402-\$ or US-6427140-\$ or US-7013290-\$ or US-6292830-\$ or US-6332135-\$ or US-6336105-\$ or US-6338050-\$ or US-7797195-\$ or US-5970472-\$ or US-5710887-\$ or US-7035817-\$ or US-7269645-\$ or US-5913202-\$ or US-5970475-\$ or US-6389337-\$ or US-7720745-\$ or US-6446045-\$ or US-6961713-\$ or US-6101485-\$ or US-7206757-\$ or US-7848948-\$ or US-6450407-\$ or US-6070798-\$).did. or (US-6119101-\$ or US-7844492-\$).did.	US-PGPUB; USPAT	OR	ON	2010/12/30 20:43
S5	1	"20100169163"	US-PGPUB; USPAT	OR	ON	2010/12/30 20:45
S7	16125	705/26	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:52
S8	7989	705/27	US-	OR	ON	2011/01/01

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S19	31	catalog adj builder	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 18:05
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S25	1	"4992940".pn.	USPAT	OR	ON	2011/06/28 16:46
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S31	48542	S28 and S29 and S30	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20
S32	17298	walker.inv.	US-PGPUB; USPAT	OR	ON	2011/07/07 19:20
S33	226	S31 and S32	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20
S34	92	S33 and (@ad<"19990630" or @rlad<"19990630")	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:21
S35	92	S34 and (distributor or product or catalog\$1)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:22
S36	575006	(distributor or product or catalog\$1).ti.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S37	2033264	(distributor or product or catalog\$1).ab.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S38	522175	(distributor or product or catalog\$1).clm.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S39	48542	S36 and S37 and S38	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S40	17298	walker.inv.	US-PGPUB; USPAT	OR	ON	2011/07/07 19:26
S41	226	S39 and S40	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S42	92	S41 and (@ad<"19990630" or @rlad<"19990630")	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S43	92	S42 and (distributor or product or catalog\$1)	US-PGPUB; USPAT; EPO; JPO;	OR	ON	2011/07/07 19:26


			DERWENT			
S44	17	S43 and (purchase adj order\$1)	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S45	47	(US-20020152134-\$ or US- 20100169163-\$ or US-20030130900-\$ or US-20050065856-\$ or US- 20080235630-\$ or US-20070284442-\$ or US-20030009392-\$ or US- 20050289017-\$ or US-20090063296-\$ or US-20030018524-\$ or US- 20050119939-\$ or US-20030033205-\$ or US-20030014317-\$ or US- 20050177461-\$ or US-20020111849-\$ or US-20020094868-\$ or US- 20110213704-\$ or US-20080208719-\$ or US-20020069110-\$ or US- 20100138285-\$ or US-20020133400-\$ or US-20060259941-\$ or US- 20100332356-\$ or US-20020128916-\$ or US-20020133424-\$ or US- 20090012908-\$).did. or (US- 20050027611-\$ or US-20080228545-\$ or US-20110264499-\$ or US- 20050076132-\$ or US-20090076905-\$ or US-20090167553-\$ or US- 20110071861-\$ or US-20030050857-\$ or US-20040049427-\$ or US- 20020194081-\$ or US-20050071252-\$).did. or (US-7139731-\$ or US- 7835977-\$ or US-7844492-\$ or US- 7896243-\$ or US-6601233-\$ or US- 7168087-\$ or US-7568211-\$ or US- 7324957-\$ or US-7346550-\$ or US- 8036951-\$).did.	US- PGPUB; USPAT	OR	OFF	2012/02/24 16:18
S52	1923	705/1.1	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2012/09/15 11:06
S53	5203	705/38	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2012/09/15 11:07
S54	107	S52 and S53	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2012/09/15 11:07

EAST Search History (I nterference)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S46	2625	distributor near4 product\$1	USPAT; UPAD	OR	ON	2012/09/08 11:31
S47	222	distributor near4 catalog\$1	USPAT; UPAD	OR	ON	2012/09/08 11:31

S48	93	S46 and S47	USPAT; UPAD	OR	ON	2012/09/08 11:31
S49	1808974	(distributor or product or catalog\$1)	USPAT; UPAD	OR	ON	2012/09/08 11:32
S50	9	S49 with (catalog adj1 builder\$1)	USPAT; UPAD	OR	ON	2012/09/08 11:34
S51	22	("20010047304" "20020077921" "20030115212" "5649185" "5740425" "5890175" "5896462" "5960411" "6052670" "6112242" "6213780" "6381607" "6499042" "6516337" "6532450" "6546388" "6721735" "7277931").PN. OR ("7698167").URPN.	US- PGPUB; USPAT	OR	OFF	2012/09/08 11:35

9/ 15/ 2012 11:10:40 AM
C:\ Users\ jholly\ Documents\ EAST\ Workspaces\ 12589645 Multi-level Fraud Check With
Dynamic Feedback For Internet Business Transaction Processor.wsp

Search Notes 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

SEARCHED			
Class	Subclass	Date	Examiner
705	1.1, 38, 26, 27, 76	January 2011	John H. Holly
705	14.23, 79, 18, 44, 35 ,39	September 2012	John H. Holly
380	287	September 2012	John H. Holly
709	224	September 2012	John H. Holly

SEARCH NOTES		
Search Notes	Date	Examiner
EAST, PLUS	January 2011	John H. Holly
EAST	July 2011	John H. Holly
Consulted the 101 Panel	July 2011	John H. Holly
Consulted with the 101 Panel (Janice Mooneyham)	February 2012	John H. Holly
Updated EAST search	February 2012	John H. Holly
Updated EAST search	September 2012	John H. Holly

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner
	Interference Databases	September 2012	John H. Holly

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Robert S. ALVIN

Confirmation No.: 8317

Serial No.: 12/589,645

Group Art Unit: 3694

Filed: 10/26/2009

Examiner: Holly, John H.

For: INTERNET TRANSACTIONS BASED ON USER-SPECIFIC
INFORMATION

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

INTERVIEW SUMMARY AND SUPPLEMENTAL AMENDMENT

Sir:

Further to the Response to Office Action filed on December 15, 2011 and
Notice of Appeal filed on August 2, 2012, Applicant submits the following
amendments and remarks:

Amendments to the Specification begins on page 2 of this paper.

Amendments to the Claims begin on page 3 of this paper.

Remarks begin on page 9 of this paper.

AMENDMENTS TO THE SPECIFICATION

Please change the title as shown below:

INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions of the claims in the present application:

Listing of Claims:

1. (Currently Amended) An internet-centric electronic transaction system for facilitating automated retail sale of products from distributors to customers via a web-site, the ~~processor~~ system comprising:
 - a database having stored therein product data for a plurality of products and customer data, the product data comprising data electronically transmitted from a plurality of distributors of the plurality of products, the data corresponding to similar products for sale by more than one of the distributors, and the customer data comprising personal information about customers;
 - a catalog builder for generating electronic catalogs having user-specific product offerings for the plurality of product , the catalog builder dynamically placing the user-specific product offerings in electronic catalogs based on at least in part the personal information;
 - a communication interface for permitting customers to access the electronic catalogs, to view the user-specific product offerings via a communications network, and to place purchase orders for one or more of the products;
 - a payment authorization processor for determining whether to accept the purchase orders for fulfillment based on at least in part information stored in the database;
 - a distributor authorization processor for authorizing the one or more distributors to directly ship the one or more products according to the purchase orders provided the purchase orders deemed accepted by the payment authorization processor; and

a customer service sub-system for sending automated messages to the one or more customers with information of about the accepted purchase orders.

2. (Currently Amended) The ~~processor~~ system of claim 1, wherein the data comprises product description, quantity available and price for each of the products for each of the distributors.

3. (Currently Amended) The ~~processor~~ system of claim 1, wherein the customer data comprises customer name, billing address, email address and purchase patterns.

4. (Currently Amended) The ~~processor~~ system of claim 3, wherein the customer service sub-system generates personalized promotional offers based on at least in part data stored in customer database.

5. (Currently Amended) The ~~processor~~ system of claim 4, wherein the personalized promotional offers comprise purchase incentives.

6. (Currently Amended) The ~~processor~~ system of claim 1, wherein the catalog builder dynamically adjusts pricing for the product offerings in the electronic catalogs based on at least in part information in database.

7. (Currently Amended) The ~~processor~~ system of claim 1, wherein the catalog builder dynamically adjusts pricing of the product offerings based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

8. (Currently Amended) The ~~processor~~ system of claim 1, further comprising a distributor selection sub-system for selecting a particular one of the plurality of distributors for filling a particular one of the purchase orders.

9. (Currently Amended) The processor system of claim 1, further comprising a secure web-site coupled to the database, the secure web-site for enabling the plurality of distributors to access the database and to update the catalog-type product data.

10. (Currently Amended) The processor system of claim 1, wherein the plurality of distributors comprise a plurality of individual vendors.

11. (Previously Presented) An internet-centric electronic transaction method executable by one or more computers for facilitating automated retail sales of products from distributors to customers, the method comprising:

- receiving product data for a plurality of products from a plurality of distributors for the products via a communications network, the product data comprising data corresponding to substantially similar products for sale by more than one of the distributors;
- receiving customer data from a plurality of customers, the customer data comprising personal information about customers;
- generating, based on at least in part from the personal information, electronic catalogs having user-specific product offerings for the plurality of products;
- permitting the customers to access the electronic catalog, to view the user-specific offerings, and to allow the customers to place purchase orders for one or more of the products via the communications network;
- determining whether to accept the purchase orders for fulfillment based on at least in part information stored in the database;
- authorizing the one or more distributors to ship the one or more products to according to the purchase orders provided the purchase orders are deemed acceptable; and

sending automated messages to the one or more customers with information of about the accepted purchase orders.

12. (Previously Presented) The method of claim 11, wherein the data comprises product description, quantity available and price for each of the products for each of the distributors.

13. (Previously Presented) The method of claim 11, wherein the customer data including customer name, billing address, email address and purchase patterns.

14. (Previously Presented) The method of claim 13, further comprising generating personalized promotional offers based on at least in part data stored in the customer database.

15. (Previously Presented) The method of claim 14, wherein the personalized promotional offers comprise purchase incentives.

16. (Previously Presented) The internet-centric electronic transaction method of claim 11, further comprising dynamically adjusting pricing of the product offerings in the electronic catalogs based on at least in part information stored in the database.

17. (Previously Presented) The method of claim 11, further comprising dynamically adjusting pricing of the product offerings in the electronic catalogs based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

18. (Previously Presented) The method of claim 11, further comprising selecting a particular one of the plurality of distributors for filling a particular one of the purchase orders.

19. (Previously Presented) The method of claim 11, further comprising providing secure web access to the database to enable the plurality of distributors to access the database and to update the product data.

20. (Previously Presented) The method of claim 11, wherein the plurality of distributors comprise a plurality of individual vendors.

21. (Previously Presented) A non-transitory computer-readable medium containing an internet-centric electronic transaction computer program product for, when executed by a processor, performing a method for facilitating automated retail sales of products from distributors to customers, the method comprising:

- receiving product data for a plurality of products from a plurality of distributors for the products via a communications network, the product data comprising data corresponding to identical products for sale by more than one of the distributors;
- receiving customer data from a plurality of customers, the customer data comprising personal information about customers;
- generating, at least in part from the personal information, electronic catalogs having user-specific product offerings for the plurality of products;
- permitting the customers to access the electronic catalog, to view the user-specific offerings, and to allow the customers to place purchase orders for one or more of the products via the communications network;
- determining whether to accept the purchase orders for fulfillment based on at least in part information stored in the database;
- authorizing the one or more distributors to ship the one or more products to according to the purchase orders provided the purchase orders are deemed acceptable; and

sending automated messages to the one or more customers with
information about the accepted purchase orders.

REMARKS

Examiner telephoned Applicant's representative on September 10, 2012.

The parties agreed to make amendments necessary to place the claims in condition for allowance. As a result, the title has been amended herein, and claims have been amended herein.

Conclusion

Accordingly, Applicant respectfully requests reconsideration and allowance of the claims as now presented. Applicant's attorney believes this application is in condition for allowance. Should any unresolved issues remain, Examiner is invited to call Applicant's attorney at the telephone number indicated below.

Respectfully submitted,

September 12, 2012

/Dorian Cartwright/

Dorian Cartwright
Reg. No. 53,853

Customer Number 88268
(800) 810-8030

Electronic Acknowledgement Receipt

EFS ID:	13729569
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	88268
Filer:	Dorian Cartwright/Kym Moore
Filer Authorized By:	Dorian Cartwright
Attorney Docket Number:	IMS-007
Receipt Date:	13-SEP-2012
Filing Date:	26-OCT-2009
Time Stamp:	00:05:44
Application Type:	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		IMS-007_2012_09_12_Supple mental_Amendment.pdf	74355 5c03a09afe8e0eeebac5f8b4d9ccb42a07fa 429b	yes	9

	Multipart Description/PDF files in .zip description		
	Document Description	Start	End
	Supplemental Response or Supplemental Amendment	1	1
	Specification	2	2
	Claims	3	8
	Applicant Arguments/Remarks Made in an Amendment	9	9

Warnings:

Information:

Total Files Size (in bytes):	74355
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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.

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.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number 12/589,645		Filing Date 10/26/2009		<input type="checkbox"/> To be Mailed	
APPLICATION AS FILED – PART I										
(Column 1)			(Column 2)			SMALL ENTITY <input checked="" type="checkbox"/> OR		OTHER THAN SMALL ENTITY		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)			
<input type="checkbox"/> BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A				
<input type="checkbox"/> SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A			N/A				
<input type="checkbox"/> EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A				
TOTAL CLAIMS (37 CFR 1.16(j))	minus 20 =	*	X \$	=	OR	X \$	=			
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$	=		X \$	=			
<input type="checkbox"/> APPLICATION SIZE FEE (37 CFR 1.16(s))	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 (37 CFR 1.16(j))										
			TOTAL			TOTAL				
APPLICATION AS AMENDED – PART II										
(Column 1)			(Column 2)			SMALL ENTITY OR		OTHER THAN SMALL ENTITY		
AMENDMENT	09/13/2012	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 21	Minus	** 21	= 0	X \$30 =	0	OR	X \$	=
	Independent (37 CFR 1.16(h))	* 3	Minus	***3	= 0	X \$125 =	0	OR	X \$	=
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
						TOTAL ADD'L FEE	0	OR	TOTAL ADD'L FEE	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X \$	=	OR	X \$	=
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X \$	=	OR	X \$	=
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
						TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	
<p>* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.</p> <p>** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".</p> <p>*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".</p> <p>The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.</p>										

Legal Instrument Examiner:
/KELLY HARRIS/

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.

PRE-APPEAL BRIEF REQUEST FOR REVIEW		Docket Number (Optional) IMS-007			
<p>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)]</p> <p>on <u>August 2, 2012 (via EFS)</u></p> <p>Signature <u>/Kym Moore/</u></p> <p>Typed or printed name <u>Kym Moore (via EFS)</u></p>	Application Number 12/589,645	Filed 10/26/2009			
	First Named Inventor Robert S. ALVIN				
	Art Unit 3694	Examiner HOLLY, JOHN H			
<p>Applicant requests review of the final rejection in the above-identified application. No amendments are being filed with this request.</p> <p>This request is being filed with a notice of appeal.</p> <p>The review is requested for the reason(s) stated on the attached sheet(s). Note: No more than five (5) pages may be provided.</p> <p>I am the</p> <table style="width: 100%; border: none;"><tr><td style="width: 50%; vertical-align: top; padding: 5px;"><p><input type="checkbox"/> applicant/inventor.</p><p><input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)</p><p><input checked="" type="checkbox"/> attorney or agent of record. Registration number <u>53,853</u></p><p><input type="checkbox"/> attorney or agent acting under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____</p></td><td style="width: 50%; vertical-align: top; padding: 5px;"><p><u>/Dorian Cartwright/</u> _____ Signature</p><p><u>Dorian Cartwright</u> _____ Typed or printed name</p><p><u>(800) 810-8030</u> _____ Telephone number</p><p><u>August 2, 2012</u> _____ Date</p></td></tr></table> <p>NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.</p>				<p><input type="checkbox"/> applicant/inventor.</p> <p><input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)</p> <p><input checked="" type="checkbox"/> attorney or agent of record. Registration number <u>53,853</u></p> <p><input type="checkbox"/> attorney or agent acting under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____</p>	<p><u>/Dorian Cartwright/</u> _____ Signature</p> <p><u>Dorian Cartwright</u> _____ Typed or printed name</p> <p><u>(800) 810-8030</u> _____ Telephone number</p> <p><u>August 2, 2012</u> _____ Date</p>
<p><input type="checkbox"/> applicant/inventor.</p> <p><input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)</p> <p><input checked="" type="checkbox"/> attorney or agent of record. Registration number <u>53,853</u></p> <p><input type="checkbox"/> attorney or agent acting under 37 CFR 1.34. Registration number if acting under 37 CFR 1.34 _____</p>	<p><u>/Dorian Cartwright/</u> _____ Signature</p> <p><u>Dorian Cartwright</u> _____ Typed or printed name</p> <p><u>(800) 810-8030</u> _____ Telephone number</p> <p><u>August 2, 2012</u> _____ Date</p>				
<p><input checked="" type="checkbox"/> *Total of <u>1</u> forms are submitted.</p>					

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.**

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

REQUEST FOR PRE-APPEAL PANEL REVIEW

Claim Rejections – 35 USC § 103

Claims 1-21 were rejected under 35 U.S.C. 103(a) as being obvious over Conklin et al. (US Pat. No. 6,141,653)(“Conklin”) in view of Walker et al. (US Pat. No. 6,754,636)(“Walker”).

Applicant submits that Examiner erred in maintaining the rejections.

Claim 1

More specifically, claim 1 is directed to an internet-centric electronic transaction processor comprising (in relevant part):

a database having stored therein product data for a plurality of products and customer data, the product data comprising data electronically transmitted from a plurality of distributors of the plurality of products, the data corresponding to similar products for sale by more than one of the distributors, and the customer data comprising personal information about customers;

a catalog builder for generating electronic catalogs having user-specific product offerings for the plurality of product, the catalog builder dynamically placing the user-specific product offerings in electronic catalogs based on at least in part the personal information;

a communication interface for permitting customers to access the electronic catalogs, to view the user-specific product offerings via a communications network, and to place purchase orders for one or more of the products;

a payment authorization processor for determining whether to accept the purchase orders for fulfillment based on at least in part information stored in the database;

a distributor authorization processor for authorizing the one or more distributors to directly ship the one or more products according to the purchase orders provided the purchase orders deemed accepted by the payment authorization processor; and

a customer service sub-system for sending automated messages to the one or more customers with information of about the accepted purchase orders.

However, Conklin and/ or Walker (either alone or in combination) both fail to teach or suggest the limitations as recited in claim 1 for at least the reasons discussed below. Therefore, Applicant respectfully submits that claim 1, similar claim 11, and all related claims, are patentable over Conklin and Walker.

A. Examiner Erred in Rejecting Claim 1 Because Conklin and Walker Both Fail to Disclose User-Specific Product Offerings Based On Personal Information

Amended claim 1 recites a catalogue builder that dynamically places user-specific product offerings in electronic catalogs based on at least in part personal information. The database stores personal information about customers.

Examiner relies upon Conklin to reject the limitation. In particular, Examiner alleges that Conklin's disclosure of "a seller's processing and administrative steps 214-04 (sic) includes such tasks as uploading product catalogs, customizing the Website from time to time (FOA, p. 5)" reads on the claim limitation.

Respectfully, the cited portions of Conklin have no reasonable correlation to the claim language. Whereas claim 1 recites a catalog builder that dynamically places user-specific product offerings in electronic catalogs, Conklin merely uploads a catalog. But the catalog is not specific to the customer. Nor is the catalog dynamically generated. Conklin customizes a website only to the seller specifications. However, there is no teaching in Conklin that the website has

products that are dynamically generated for a customer. Applicant discussed these points with the Examiner during an interview to which the Examiner could only respond that he was going to stick to the rejections, with no further reasoning.

Walker fails to cure the deficiencies of Conklin. Further, Examiner does not assert Walker against the limitation.

Claim 4

Claim 4 recites:

The processor of claim 3, wherein the customer service sub-system generates personalized promotional offers based on at least in part data stored in customer database (emphasis added).

However, Conklin and/ or Walker (either alone or in combination) both fail to teach or suggest the limitations as recited in claim 4 for at least the additional reasons discussed below. Therefore, Applicant respectfully submits that claim 4 is patentable over Conklin and Walker.

B. Examiner Erred in Rejecting Claim 4 Because Conklin and Walker Both Fail to Disclose Personalized Promotional Offers Based on Customer Database

Claim 4 is dependent upon claim 3 which is dependent upon claim 1.

Claim 3 recites customer data comprises customer name, billing address, email address and purchase patterns. Claim 4 recites a customer service sub-system that generates personalized promotional offers comprising purchase incentives.

Examiner again relies upon Conklin to reject the limitation. The citations again rely upon creating a website to include a seller's marketing and product information. The information is automatically integrated with community databases and listings. Promotion and brand identifying actions are automatically taken on behalf of the seller as well (see Conklin 19:14-27).

As with the rejection above, the cited language cannot even be broadly interpreted to read on the claim limitation. Customizations and promotions in Conklin are all based on seller specifications. There are no customizations contemplated for the customer. Applicant believes that there is no possible interpretation of website customizations for a seller that could read on using, for example, purchase patterns of an individual customer to generated a personalized promotional offer.

Walker fails to cure the deficiencies of Conklin. Further, Examiner does not assert Walker against the limitation.

Electronic Patent Application Fee Transmittal

Application Number:	12589645			
Filing Date:	26-Oct-2009			
Title of Invention:	INERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION			
First Named Inventor/Applicant Name:	Robert S. Alvin			
Filer:	Dorian Cartwright/Kym Moore			
Attorney Docket Number:	IMS-007			
Filed as Small Entity				
Utility under 35 USC 111(a) Filing Fees				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Notice of appeal	2401	1	310	310
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension - 2 months with \$0 paid	2252	1	280	280
Miscellaneous:				
Total in USD (\$)				590

Electronic Acknowledgement Receipt

EFS ID:	13409618
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	INERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	88268
Filer:	Dorian Cartwright/Kym Moore
Filer Authorized By:	Dorian Cartwright
Attorney Docket Number:	IMS-007
Receipt Date:	02-AUG-2012
Filing Date:	26-OCT-2009
Time Stamp:	23:45:54
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$ 590
RAM confirmation Number	6567
Deposit Account	
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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1	Notice of Appeal Filed	IMS007_2012_08_02_notice_of_appeal.pdf	105040 92f2e56672cd1d0bf3c601ca009d758b0be17f75	no	1
Warnings:					
Information:					
2	Pre-Brief Conference request	IMS007_2012_08_02_request.pdf	114457 0e5b579f65eeeba7b497691f0d0f9fff6232c9a1	no	1
Warnings:					
Information:					
3	Pre-Brief Conference request	IMS007_2012_08_02_comments.pdf	63350 2a29dafa477c5c3c85aa9c7cb425a979265ee94d	no	4
Warnings:					
Information:					
4	Fee Worksheet (SB06)	fee-info.pdf	32312 905ba1fa5e3c9bdc5dc342656066420ff4b88979	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			315159		

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.

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

Docket Number (Optional)

IMS-007

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)] August 2, 2012 (VIA EFS)
on _____

Signature /Kym Moore/Typed or printed name Kym Moore (VIA EFS)In re Application of
Robert S. ALVINApplication Number
12/589,645Filed
10/26/2009

For INTERNET TRANSACTIONS BASED ON USER-SPECIFIC INFORMATION

Art Unit
3694Examiner
HOLLY, JOHN HApplicant 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)) \$ 620

☒ Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by half, and the resulting fee is: \$ 310

☐ 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. _____.

☐ 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.

/Dorian Cartwright/

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)

Dorian Cartwright

Typed or printed name

☒ attorney or agent of record.
Registration number 53,853

(800) 810-8030

Telephone number

☐ attorney or agent acting under 37 CFR 1.34.
Registration number if acting under 37 CFR 1.34. _____

August 2, 2012

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 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.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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12/589,645

10/26/2009

Robert S. Alvin

IMS-007

8317

88268 7590 03/02/2012

Law Office of Dorian Cartwright

P.O. Box 7617

San Jose, CA 95150

EXAMINER

HOLLY, JOHN H

ART UNIT

PAPER NUMBER

3694

NOTIFICATION DATE

DELIVERY MODE

03/02/2012

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):

uspto@cartwrightesq.com

vibrantnet@yahoo.com

DETAILED ACTION

This Office Action is in response to an AMENDMENT entered December 15, 2011 for the patent application 12/589,645.

Status of Claims

1. Claims 1 – 21 are pending in the Application.
Claims 1 – 20 are amended in the Application.
Claim 21 is added in the Application.

Response to Arguments

2. Applicant's arguments filed with an amendment on 15 December 2011 have been fully considered but they are not persuasive.

Re: Claims 3 and 4 the applicant asserts that cited prior art do not teach – “customer data (claim 3) and personalized promotional offers based on data stored in customer database (claim 4)”, (see page 10 of the Remarks).

The Examiner respectfully disagrees, Conklin does disclose “customer data (claim 3) and personalized promotional offers based on data stored in customer database (claim 4)” at (Conklin, fig. 9, **610** – The Buyer may choose to create a “short list” by narrowing its list of Sellers.), col. 14, lines 3 – 21 – allows a buyer / participant to search and evaluate seller information, propose and negotiate orders and counter offers that include all desired terms, request sample quantities, and track activity.); (Conklin, fig. 15b, is a block diagram illustrating a buyer’s proposed terms.).

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For these reasons, Conklin clearly teaches “customer data (claim 3) and personalized promotional offers based on data stored in customer database (claim 4)“.

Specification

Content of Specification

3. Title of the Invention: See 37 CFR 1.72(a) and MPEP § 606. The title of the invention should be placed at the top of the first page of the specification unless the title is provided in an application data sheet. The title of the invention should be brief but technically accurate and descriptive, preferably from two to seven words may not contain more than 500 characters.
4. The amended title of the Invention is misspelled, should be “Internet” not “Inernet”. Appropriate correction is required.

Claim Rejections - 35 USC § 112

5. 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.

6. **Claims 1 – 10 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.

With respect to claims 1 - 10

Claim1 is 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 1 recites “An internet-centric electronic transaction

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system for facilitating automated retail sale of products from distributors to customers via a web-site, the processor comprising:”, It is unclear whether a “system” or a “processor” is being claimed. **“Microsoft Computer Dictionary, Fifth Edition”** defines a processor as “The computational and control unit of a computer. The CPU is the device that interprets and executes instructions. By definition, the CPU is the chip that functions as the “brain” of a computer.” The claim limitations lacks antecedent bases.

Claims 2 - 10 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. Claims 2 - 10 recite “The processor of claim 1”, as oppose to recites “The system of claim 1”. The claims limitations lack antecedent bases. The Examiner should take the “processor” of claims 2 - 10 to read on the “system” of claim 1. Appropriate corrections are required.

Claim Rejections - 35 USC § 103

7. 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 through 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.

8. **Claims 1 – 21 are rejected under 35 U.S.C. 103(a)** as being obvious over Jeffrey Conklin et al. (Pat. # US 6,141,653 – herein referred to as Conklin) in view of Jay S. Walker et al. (Pat. # US 6,754,636 B1 – herein referred to as Walker).

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Re: Claim 1, Conklin discloses an internet-centric electronic transaction system for facilitating automated retail sale of products from distributors to customers via a website, the processor comprising:

- a database having stored therein product data for a plurality of products and customer data, the product data comprising data electronically transmitted from a plurality of distributors of the plurality of products, the data corresponding to similar products for sale by more than one of the distributors, and the customer data comprising personal information about customers (Conklin, fig. 1g, cols. 19 - 20, lines 58 - 22 – search and evaluate processes 70, enables a prospective buyer to find companies and their products in the community and investigate their prices, terms and service offerings. If a buyer is interested in opening negotiations with a particular seller, the propose orders processes can be based on catalog prices or desired price and other terms, special orders for samples or small quantities, proposed payment vehicles, and can include information about the buyer.);
- a catalog builder for generating electronic catalogs having user-specific product offerings for the plurality of product, the catalog builder dynamically placing the user-specific product offerings in electronic catalogs based on at least in part the personal information (Conklin, fig. 32, col. 5, lines 5 - 33 – A seller's processing and administrative steps 214-04 includes such tasks as uploading product catalogs, customizing the Website from time to time.); (Conklin, col. 28, lines 9 – 22);
- a payment authorization processor for determining whether to accept the purchase orders for fulfillment based on at least in part information stored in the database (Conklin, col. 15, lines 17 - 24 – transaction data is stored in a secure database at the negotiations engine system's site, the system provides multiple levels of privacy and access for each individual company, so that the records of transactions between a given buyer and

seller are available only on a protected basis at appropriate levels of authorization for the buyer, the seller and the sponsor.);

- a distributor authorization processor for authorizing the one or more distributors to directly ship the one or more products according to the purchase orders provided the purchase orders deemed accepted by the payment authorization processor (Conklin, col. 31, lines 40 - 53 – agreed payment terms); and
- a customer service sub-system for sending automated messages to the one or more customers with information about the accepted purchase orders (Conklin, fig. 23 & 31c, col. 31, lines 40 - 53); (Conklin, col. 32, lines 8 – 16 – at step S03, the sponsored community displays to the buyer the sellers with goods meeting the needs. At step S06 the buyer can link to the sites of the sellers listed in the display, and either send email inquiries to them or directly order sample quantities from them.)

However, Conklin does not expressly disclose:

- a communication interface for permitting customers to access the electronic catalogs, to view the user-specific product offerings via a communications network, and to place purchase orders for one or more of the products.

In a similar field of endeavor, Walker discloses:

- a communication interface for permitting customers to access the electronic catalogs, to view the user-specific product offerings via a communications network, and to place purchase orders for one or more of the products (Walker, col. 10, lines 8 - 28); (Walker, col. 18, lines 5 - 11 – when a new class or category of product is to be offered to buyers, the purchasing system device 310 stores a new entry or field describing the class of products. Once such information is stored, it may be retrieved as needed by the purchasing system device 310, such as to display a list of

product classes to a potential buyer or to determine if a product meets the requirements of a buyer offer.); (Walker, col. 18, lines 48 – 56).

Therefore, in light of the teachings of Walker, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method of Conklin in order to disclose:

- a communication interface for permitting customers to access the electronic catalogs, to view the user-specific product offerings via a communications network, and to place purchase orders for one or more of the products,

motivated by the desire to provide a processor that use the capabilities and convenience of online shopping to provide buyers with reasonable pricing for products and satisfy the needs of an individual buyer more effectively.

Re: Claim 2, Conklin discloses the processor of claim 1,

- wherein the data comprises product description, quantity available and price for each of the products for each of said distributors (Conklin, fig. 32, col. 19, lines 14 - 27); (Conklin, fig. 31b, col. 20, lines 23 - 34).

Re: Claim 3, Conklin discloses the processor of claim 1,

- wherein the customer data comprises customer name, billing address, email address and purchase patterns (Conklin, fig. 7 & 11b, col. 20, lines 49 - 63); (Conklin, fig. 11b, fig. 13, col. 26, lines 11 - 18).

Re: Claim 4, Conklin discloses the processor of claim 3,

- wherein the customer service sub-system generates personalized promotional offers based on at least in part data stored in customer database (Conklin, fig. 6, col. 19, lines 14 - 27).

Re: Claim 5, Conklin discloses the processor of claim 4,

- wherein the personalized promotional offers comprise purchase incentives (Conklin, col. 14, lines 27 - 46).

Re: Claim 6, Conklin discloses the processor of claim 1,

- wherein the catalog builder dynamically adjusts pricing for the product offerings in the electronic catalogs based on at least in part information in database (Conklin, col. 20, lines 23 - 33).

Re: Claim 7, Conklin discloses the processor of claim 1,

- wherein the catalog builder dynamically adjusts pricing of the product offerings based on a plurality of factors including at least one of:
 - an amount of web-site traffic, sales for a particular category, and sales for a particular product (Conklin, col. 19, lines 7 - 27).

Re: Claim 8, Conklin discloses the processor of claim 1,

- further comprising a distributor selection sub-system for selecting a particular one of the plurality of distributors for filling a particular one of the purchase orders (Conklin, fig. 9, col. 6, lines 5 - 15); (Conklin, col. 8, lines 18 – 24 – the selection of a new supplier for production purchases usually involve the creation of a team from purchasing. The team evaluate capabilities and production facilities, obtain samples and make evaluation.).

Re: Claim 9, Conklin discloses the processor of claim 1,

- further comprising a secure web-site coupled to the database, the secure web-site for enabling the plurality of distributors to access the database and to update the catalog-type product data (Conklin, cols. 13 - 14, lines 66 - 26).

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Re: Claim 10, Conklin discloses the processor of claim 1,

- wherein the plurality of distributors comprise a plurality of individual vendors (Conklin, col. 8, lines 18 - 24); (Conklin, col. 31, lines 28 - 39).

Re: Claims 11 - 20, they are method claims which repeat the same limitations of claims 1 - 10, the corresponding system claims, as a series of process steps as opposed to a collection of elements. Since the teachings of Conklin and Walker disclose the structural elements that constitute the system of claims 1 - 10, it is respectfully submitted that they perform the underlying process steps, as well. As such, the limitations of claims 11 - 20 are rejected for the same reasons given above for claims 1 - 10.

Re: Claim 21, is an apparatus claim which repeat the same limitations of claim 11, the corresponding method claim, as a series of process steps as opposed to a collection of elements. Since the teachings of Conklin and Walker disclose the method steps that constitute the method of claim 11, it is respectfully submitted that they perform the underlying structural elements that constitute the apparatus, as well. As such, the limitations of claim 21 are rejected for the same reasons given above for claim 11.

Conclusion

Prior Art of Record

NPL - "Cashing in on e-commerce" PurchaseSoft Procurement Intelligence" discloses a PurchaseSmart System and Competitive Analysis.

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 JOHN H. HOLLY whose telephone number is (571)270-3461. The examiner can normally be reached on Mon. - Fri. 8 AM to 5 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Abdi can be reached on (571)272-6702. 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

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Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/JOHN H. HOLLY/

Primary Examiner, Art Unit 3694

Notice of References Cited	Application/Control No. 12/589,645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.	
	Examiner JOHN H. HOLLY	Art Unit 3694	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-			
*	B	US-6,141,653 A	10-2000	Conklin et al.	705/80
	C	US-			
*	D	US-6,754,636 B1	06-2004	Walker et al.	705/50
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			


FOREIGN PATENT DOCUMENTS

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

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Microsoft Computer Dictionary, Fifth Edition
	V	"Cashing in on e-commerce" - PurchaseSoft Procurement Intelligence (TM), 2000
	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.

Search Notes 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

SEARCHED			
Class	Subclass	Date	Examiner
705	1.1, 38	January 2011	John H. Holly

SEARCH NOTES		
Search Notes	Date	Examiner
EAST, PLUS	January 2011	John H. Holly
EAST	July 2011	John H. Holly
Consulted the 101 Panel	July 2011	John H. Holly
Consulted with the 101 Panel (Janice Mooneyham)	February 2012	John H. Holly
Updated EAST search	February 2012	John H. Holly

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner

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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	16681	705/1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/12/30 20:35
S2	3569	705/38	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/12/30 20:35
S3	378	(robert.in. and alvin.in.)	US-PGPUB; USPAT	OR	ON	2010/12/30 20:37
S4	50	(US-20100169163-\$ or US-20030028451-\$ or US-20060026089-\$ or US-20020007322-\$ or US-20010056379-\$ or US-20020099622-\$ or US-20020107761-\$ or US-20020111879-\$ or US-20080147507-\$ or US-20090113349-\$ or US-20050096968-\$ or US-20020147656-\$ or US-20030130900-\$ or US-20030033215-\$ or US-20040243485-\$ or US-20050049939-\$ or US-20090112772-\$ or US-20020156700-\$ or US-20060095320-\$ or US-20100138285-\$ or US-20100107093-\$ or US-20040199435-\$).did. or (US-7139731-\$ or US-6253193-\$ or US-6363488-\$ or US-6389402-\$ or US-6427140-\$ or US-7013290-\$ or US-6292830-\$ or US-6332135-\$ or US-6336105-\$ or US-6338050-\$ or US-7797195-\$ or US-5970472-\$ or US-5710887-\$ or US-7035817-\$ or US-7269645-\$ or US-5913202-\$ or US-5970475-\$ or US-6389337-\$ or US-7720745-\$ or US-6446045-\$ or US-6961713-\$ or US-6101485-\$ or US-7206757-\$ or US-7848948-\$ or US-6450407-\$ or US-6070798-\$).did. or (US-6119101-\$ or US-7844492-\$).did.	US-PGPUB; USPAT	OR	ON	2010/12/30 20:43
S5	1	"20100169163"	US-PGPUB; USPAT	OR	ON	2010/12/30 20:45
S7	16125	705/26	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:52
S8	7989	705/27	US-	OR	ON	2011/01/01

			PGPUB; USPAT; EPO; JPO; DERWENT			17:52
S9	5985	distributor near4 product\$1	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:53
S10	471	distributor near4 catalog\$1	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:56
S11	549210	(distributor or product or catalog\$1).ti.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:57
S12	1946797	(distributor or product or catalog\$1).ab.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:57
S13	499517	(distributor or product or catalog\$1).clm.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:57
S14	549210	(distributor or product or catalog\$1).ti.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S15	1946797	(distributor or product or catalog\$1).ab.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S16	499517	(distributor or product or catalog\$1).clm.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S17	46572	S14 and S15 and S16	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S18	17770	S17 and (@ad<"19990630" or @rlad<"19990630")	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 18:01
S19	31	catalog adj builder	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 18:05
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S23	1	"5319542".pn.	USPAT	OR	ON	2011/01/06 17:35
S24	1	"5870721".pn.	USPAT	OR	ON	2011/01/09 05:48
S25	1	"4992940".pn.	USPAT	OR	ON	2011/06/28 16:46
S26	1	"6141653".pn.	USPAT	OR	ON	2011/06/28 16:48
S27	17298	walker.inv.	US- PGPUB; USPAT	OR	ON	2011/07/07 19:18
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S30	522175	(distributor or product or catalog\$1).clm.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20


S31	48542	S28 and S29 and S30	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20
S32	17298	walker.inv.	US- PGPUB; USPAT	OR	ON	2011/07/07 19:20
S33	226	S31 and S32	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20
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S35	92	S34 and (distributor or product or catalog\$1)	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:22
S36	575006	(distributor or product or catalog\$1).ti.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S37	2033264	(distributor or product or catalog\$1).ab.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S38	522175	(distributor or product or catalog\$1).clm.	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S39	48542	S36 and S37 and S38	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S40	17298	walker.inv.	US- PGPUB; USPAT	OR	ON	2011/07/07 19:26
S41	226	S39 and S40	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
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S43	92	S42 and (distributor or product or catalog\$1)	US- PGPUB; USPAT; EPO; JPO;	OR	ON	2011/07/07 19:26

			DERWENT			
S44	17	S43 and (purchase adj order\$1)	US- PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:26
S45	47	(US-20020152134-\$ or US- 20100169163-\$ or US-20030130900-\$ or US-20050065856-\$ or US- 20080235630-\$ or US-20070284442-\$ or US-20030009392-\$ or US- 20050289017-\$ or US-20090063296-\$ or US-20030018524-\$ or US- 20050119939-\$ or US-20030033205-\$ or US-20030014317-\$ or US- 20050177461-\$ or US-20020111849-\$ or US-20020094868-\$ or US- 20110213704-\$ or US-20080208719-\$ or US-20020069110-\$ or US- 20100138285-\$ or US-20020133400-\$ or US-20060259941-\$ or US- 20100332356-\$ or US-20020128916-\$ or US-20020133424-\$ or US- 20090012908-\$).did. or (US- 20050027611-\$ or US-20080228545-\$ or US-20110264499-\$ or US- 20050076132-\$ or US-20090076905-\$ or US-20090167553-\$ or US- 20110071861-\$ or US-20030050857-\$ or US-20040049427-\$ or US- 20020194081-\$ or US-20050071252-\$).did. or (US-7139731-\$ or US- 7835977-\$ or US-7844492-\$ or US- 7896243-\$ or US-6601233-\$ or US- 7168087-\$ or US-7568211-\$ or US- 7324957-\$ or US-7346550-\$ or US- 8036951-\$).did.	US- PGPUB; USPAT	OR	OFF	2012/02/24 16:18

EAST Search History (Interference)

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2/ 25/ 2012 11:44:26 AM
C:\ Users\ jholly\ Documents\ EAST\ Workspaces\ 12589645 Multi-level Fraud Check With
Dynamic Feedback For Internet Business Transaction Processor.wsp

<p align="center"><i>Index of Claims</i></p> 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

<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			
CLAIM		DATE							
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PLUS Search Results for S/N 12589645, Searched Fri Feb 24 16:13:27 EST 2012

The Patent Linguistics Utility System (PLUS) is a USPTO automated search system for U.S. Patents from 1971 to the present PLUS is a query-by-example search system which produces a list of patents that are most closely related linguistically to the application searched. This search was prepared by the staff of the Scientific and Technical Information Center, SIRA.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Robert S. ALVIN

Confirmation No.: 8317

Serial No.: 12/589,645

Group Art Unit: 3694

Filed: 10/26/2009

Examiner: Holly, John H.

For: INTERNET TRANSACTIONS BASED ON USER-SPECIFIC
INFORMATION

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

AMENDMENT IN RESPONSE TO OFFICE ACTION

Sir:

In response to the Office Action (non-final) of July 15, 2011, Applicant
submits the following amendments and remarks:

Amendments to the Specific begin on page 2 of this paper.

Amendments to the Claims begin on page 3 of this paper.

Remarks begin on page 9 of this paper.

AMENDMENTS TO THE SPECIFICATION

Please change the title as shown below:

-- ~~MULTI-LEVEL FRAUD CHECK WITH DYNAMIC FEEDBACK FOR INTERNET~~
~~BUSINESS TRANSACTION PROCESSOR INERNET TRANSACTIONS BASED~~
ON USER-SPECIFIC INFORMATION --

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions of the claims in the present application:

Listing of Claims:

1. (Currently Amended) An internet-centric electronic transaction ~~processor~~ system for facilitating automated retail sale of products from distributors to customers via a web-site, the processor comprising:
 - a database having stored therein product data for a plurality of products and customer data, ~~wherein said~~ the product data ~~comprises~~ comprising data electronically transmitted from a plurality of distributors of ~~said~~ the plurality of products, ~~wherein said~~ the data corresponding to ~~identical~~ similar products for sale by more than one of ~~said~~ the distributors, and the customer data comprising personal information about customers;
 - a catalog builder for generating electronic catalogs having user-specific product offerings for ~~said~~ the plurality of product_, ~~said wherein said~~ the catalog builder dynamically ~~places said~~ placing the user-specific product offerings in ~~said~~ electronic catalogs based on at least in part the personal information ~~stored in said database;~~
 - a communication interface for permitting customers to access ~~said~~ the electronic catalogs, to view ~~said~~ the user-specific product offerings via a communications network, and to place purchase orders for one or more of ~~said~~ the products;
 - a payment authorization processor for determining whether to accept ~~said~~ the purchase orders for fulfillment based on at least in part information stored in ~~said~~ the database[[,]];
 - a distributor authorization processor for authorizing ~~said~~ the one or more distributors to directly ship ~~said~~ the one or more products according to ~~said~~ the purchase orders provided ~~said~~ the purchase orders are

deemed accepted by ~~said~~ the payment authorization processor;
and

a customer service sub-system for sending automated messages to ~~said~~
the one or more customers with information ~~of~~ about the accepted
purchase orders.

2. (Currently Amended) The ~~internet-centric electronic~~
~~transaction~~ processor of claim 1, wherein ~~said~~ the data comprises product
description, quantity available and price for each of ~~said~~ the products for each of
~~said~~ the distributors.

3. (Currently Amended) The ~~internet-centric electronic~~
~~transaction~~ processor of claim 1, wherein ~~said~~ the customer data ~~including~~
comprises customer name, billing address, email address and purchase patterns.

4. (Currently Amended) The ~~internet-centric electronic~~
~~transaction~~ processor of claim 3, wherein ~~said~~ the customer service sub-system
generates personalized promotional offers based on at least in part data stored in
~~said~~ customer database.

5. (Currently Amended) The ~~internet-centric electronic~~
~~transaction~~ processor of claim 4, wherein ~~said~~ the personalized promotional
offers comprise purchase incentives.

6. (Currently Amended) The ~~internet-centric electronic~~
~~transaction~~ processor of claim 1, wherein ~~said~~ the catalog builder dynamically
adjusts pricing for ~~said~~ the product offerings in ~~said~~ the electronic catalogs based
on at least in part information in database.

7. (Currently Amended) The ~~internet-centric electronic~~
~~transaction~~ processor of claim 1, wherein ~~said~~ the catalog builder dynamically

adjusts pricing of ~~said the~~ product offerings based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

8. (Currently Amended) The ~~internet-centric electronic transaction~~ processor of claim 1, further comprising a distributor selection sub-system for selecting a particular one of ~~said the~~ plurality of distributors for filling a particular one of ~~said the~~ purchase orders.

9. (Currently Amended) The ~~internet-centric electronic transaction~~ processor of claim 1, further comprising a secure web-site coupled to ~~said the~~ database, ~~said the~~ secure web-site for enabling ~~said the~~ plurality of distributors to access ~~said the~~ database and to update ~~said the~~ catalog-type product data.

10. (Currently Amended) The ~~internet-centric electronic transaction~~ processor of claim 1, wherein ~~said the~~ plurality of distributors comprise a plurality of individual vendors.

11. (Currently Amended) An internet-centric electronic transaction method executable by one or more computers for facilitating automated retail sales of products from distributors to customers, the method comprising:

~~obtaining~~ receiving product data for a plurality of products from a plurality of distributors for ~~said the~~ products via a communications network, wherein ~~said the~~ product data ~~comprises~~ comprising data corresponding to ~~identical~~ substantially similar products for sale by more than one of ~~said the~~ distributors;
~~storing said product data in a database;~~

~~obtaining~~ receiving customer data from a plurality of customers, the customer data comprising personal information about customers and ~~storing said customer data in said database;~~
generating, based on at least in part from ~~data in said database~~ the personal information, electronic catalogs having user-specific product offerings for ~~said~~ the plurality of products;
permitting ~~said~~ the customers to access ~~said~~ the electronic catalog, to view ~~said~~ the user-specific offerings, and to allow ~~said~~ the customers to place purchase orders for one or more of ~~said~~ the products via ~~said~~ the communications network;
determining whether to accept ~~said~~ the purchase orders for fulfillment based on at least in part information stored in ~~said~~ the database;
authorizing ~~said~~ the one or more distributors to ship ~~said~~ the one or more products to according to ~~said~~ the purchase orders provided ~~said~~ the purchase orders are deemed acceptable; and
sending automated messages to ~~said~~ the one or more customers with information ~~of~~ about the accepted purchase orders.

12. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 11, wherein ~~said~~ the data comprises product description, quantity available and price for each of ~~said~~ the products for each of ~~said~~ the distributors.

13. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 11, wherein ~~said~~ the customer data including customer name, billing address, email address and purchase patterns.

14. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 13, further comprising generating personalized promotional offers based on at least in part data stored in ~~said~~ the customer database.

15. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 14, wherein ~~said the~~ personalized promotional offers comprise purchase incentives.

16. (Currently Amended) The internet-centric electronic transaction method of claim 11, further comprising dynamically adjusting pricing of ~~said the~~ product offerings in ~~said the~~ electronic catalogs based on at least in part information stored in ~~said the~~ database.

17. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 11, further comprising dynamically adjusting pricing of ~~said the~~ product offerings in ~~said the~~ electronic catalogs based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

18. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 11, further comprising selecting a particular one of ~~said the~~ plurality of distributors for filling a particular one of ~~said the~~ purchase orders.

19. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 11, further comprising providing secure web access to ~~said the~~ database to enable ~~said the~~ plurality of distributors to access ~~said the~~ database and to update ~~said the~~ product data.

20. (Currently Amended) The ~~internet-centric electronic transaction~~ method of claim 11, wherein ~~said the~~ plurality of distributors comprise a plurality of individual vendors.

21. (New) A non-transitory computer-readable medium containing an internet-centric electronic transaction computer program product for, when executed by a processor, performing a method for facilitating automated retail sales of products from distributors to customers, the method comprising:

- receiving product data for a plurality of products from a plurality of distributors for the products via a communications network, the product data comprising data corresponding to identical products for sale by more than one of the distributors;
- receiving customer data from a plurality of customers, the customer data comprising personal information about customers;
- generating, at least in part from the personal information, electronic catalogs having user-specific product offerings for the plurality of products;
- permitting the customers to access the electronic catalog, to view the user-specific offerings, and to allow the customers to place purchase orders for one or more of the products via the communications network;
- determining whether to accept the purchase orders for fulfillment based on at least in part information stored in the database;
- authorizing the one or more distributors to ship the one or more products to according to the purchase orders provided the purchase orders are deemed acceptable; and
- sending automated messages to the one or more customers with information about the accepted purchase orders.

REMARKS

Claims 1-20 were pending in the present application. In the Office Action (non-final) of July 15, 2011, claims 1-20 were rejected. The claims, as amended, are listed above. No claims have been added or deleted. Accordingly, claims 1-20 remain pending in the present application.

Applicant requests entry of the amendments and responds to the Office Action with the following remarks:

Claim Rejections – 35 USC § 103

Claims 1-20 were rejected under 35 U.S.C. 103(a) as being obvious over Conklin et al. (US Pat. No. 6,141,653)(“Conklin”) in view of Walker et al. (US Pat. No. 6,754,636)(“Walker”).

Applicant respectfully traverses the rejections.

Claim 1

More specifically, claim 1 is directed to an internet-centric electronic transaction processor comprising (in relevant part):

a database having stored therein product data for a plurality of products and customer data, the product data comprising data electronically transmitted from a plurality of distributors of the plurality of products, the data corresponding to identical products for sale by more than one of the distributors, and the customer data comprising personal information about customers;

a catalog builder for generating electronic catalogs having user-specific product offerings for the plurality of products based on , the catalog builder dynamically placing the user-specific product offerings in electronic catalogs based on at least in part the personal information.

The claim amendments are fully disclosed by the Specification (see e.g., claims 3 and 4 as originally filed). Because the subject matter of the amendments is

similar to the claims as previously presented, Applicant respectfully submits that rejections based on a new reference cannot result in a final office action.

Conklin generally discloses multivariate negotiations over a network.

Walker generally discloses a buyer taking possession of a product purchased using a communication network.

However, Conklin and/ or Walker (either alone or in combination) both fail to teach or suggest the limitations as recited in claim 1 for at least the reasons discussed below. Therefore, Applicant respectfully submits that claim 1, similar claim 11, and all related claims, are patentable over Conklin and Walker.

A. User-Specific Product Offerings Based On Personal Information

Amended claim 1 recites a catalogue builder that dynamically places user-specific product offerings in electronic catalogs based on at least in part personal information. The database stores personal information about customers.

On page 5 of the Office Action of 7/15/11, Examiner cited portions of Walker with respect to the limitations of claims 3 and 4 which recite customer data (claim 3) and personalized promotional offers based on data stored in customer database (claim 4), respectively. Respectfully, these citations have no correlation to the claim language. One citation (Walker 20:49-63) is concerned with a password for final documents in a negotiation. Another citation (19:14-27) is concerned with a remote web site authoring process. Clearly, neither citation amounts to user-specific product offerings based on personal information. Furthermore, the remainder of Walker is silent with respect to the limitations.

Thus, Walker fails to teach or suggest the user-specific product offerings of amended claim 1. Moreover, Conklin fails to cure the deficiencies of Walker.

Claims 3 and 4

Claim 3 recites customer data comprises customer name, billing address, email address and purchase patterns.

Claim 4 recites a customer service sub-system that generates personalized promotional offers comprising purchase incentives.

As discussed above, Walker, in disclosing a password for final documents and remote web site authoring, fails to teach or suggest any of the recited limitations. Thus, claims 3 and 4 are patentable for these additional reasons. Further, Conklin fails to cure the deficiencies of Walker.

Conclusion

Accordingly, Applicant respectfully requests reconsideration and allowance of the claims as now presented. Applicant's attorney believes this application is in condition for allowance. Should any unresolved issues remain, Examiner is invited to call Applicant's attorney at the telephone number indicated below.

Respectfully submitted,

December 15, 2011

/Dorian Cartwright/

Dorian Cartwright
Reg. No. 53,853

Customer Number 88268
(800) 810-8030

Electronic Patent Application Fee Transmittal

Application Number:	12589645			
Filing Date:	26-Oct-2009			
Title of Invention:	Multi-level fraud check with dynamic feedback for internet business transaction processor			
First Named Inventor/Applicant Name:	Robert S. Alvin			
Filer:	Dorian Cartwright			
Attorney Docket Number:	IMS-007			
Filed as Small Entity				
Utility under 35 USC 111(a) Filing Fees				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Claims in excess of 20	2202	1	30	30
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension - 2 months with \$0 paid	2252	1	280	280
Miscellaneous:				
Total in USD (\$)				310

Electronic Acknowledgement Receipt

EFS ID:	11622198
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	Multi-level fraud check with dynamic feedback for internet business transaction processor
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	88268
Filer:	Dorian Cartwright
Filer Authorized By:	
Attorney Docket Number:	IMS-007
Receipt Date:	15-DEC-2011
Filing Date:	26-OCT-2009
Time Stamp:	06:11:21
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$310
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Deposit Account	
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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	Claims		3	8	
	Applicant Arguments/Remarks Made in an Amendment		9	12	
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Information:					
Total Files Size (in bytes):			117612		
<p>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.</p> <p><u>New Applications Under 35 U.S.C. 111</u> 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><u>National Stage of an International Application under 35 U.S.C. 371</u> 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><u>New International Application Filed with the USPTO as a Receiving Office</u> 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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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number 12/589,645		Filing Date 10/26/2009		<input type="checkbox"/> To be Mailed	
APPLICATION AS FILED – PART I										
(Column 1)			(Column 2)			SMALL ENTITY <input checked="" type="checkbox"/> OR		OTHER THAN SMALL ENTITY		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)			
<input type="checkbox"/> BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A				
<input type="checkbox"/> SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A			N/A				
<input type="checkbox"/> EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A				
TOTAL CLAIMS (37 CFR 1.16(j))	minus 20 =	*	X \$	=	OR	X \$	=			
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$	=		X \$	=			
<input type="checkbox"/> APPLICATION SIZE FEE (37 CFR 1.16(s))	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 (37 CFR 1.16(j))										
			TOTAL			TOTAL				
APPLICATION AS AMENDED – PART II										
(Column 1)			(Column 2)			SMALL ENTITY OR		OTHER THAN SMALL ENTITY		
AMENDMENT	12/15/2011	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 21	Minus	** 20	= 1	X \$30 =	30	OR	X \$	=
	Independent (37 CFR 1.16(h))	* 3	Minus	***3	= 0	X \$125 =	0	OR	X \$	=
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
						TOTAL ADD'L FEE	30	OR	TOTAL ADD'L FEE	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X \$	=	OR	X \$	=
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X \$	=	OR	X \$	=
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
						TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	
<p>* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.</p> <p>** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".</p> <p>*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".</p> <p>The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.</p>										

Legal Instrument Examiner:
/JACQUELYN 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.
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12/589,645

10/26/2009

Robert S. Alvin

DC2510

8317

88268 7590 07/15/2011

Law Office of Dorian Cartwright

P.O. Box 7617

San Jose, CA 95150

EXAMINER

HOLLY, JOHN H

ART UNIT

PAPER NUMBER

3694

NOTIFICATION DATE

DELIVERY MODE

07/15/2011

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):

dorian.cartwright@gmail.com

Office Action Summary	Application No. 12/589,645	Applicant(s) ALVIN, ROBERT S.	
	Examiner JOHN H. HOLLY	Art Unit 3694	

-- 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 April 20, 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) 1-20 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) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

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

Priority under 35 U.S.C. § 119

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

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

Attachment(s)

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

DETAILED ACTION

This Office Action is in response to an AMENDMENT entered April 20, 2011 for the patent application 12/589,645. Claims 1 – 20 are pending in the Application.

Response to Arguments

1. Applicant's arguments filed April 20, 2011 with respect to claims 1 – 20 have been fully considered but are moot in view of the new ground(s) of rejections.

A review of the claims and updated search necessitated the rejections below.

Claim Rejections - 35 USC § 103

2. 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.

3. **Claims 1 – 20 are rejected under 35 U.S.C. 103(a)** as being obvious over Jeffrey Conklin et al. (Pat. # US 6,141,653 – herein referred to as Conklin) in view of Jay S. Walker et al. (Pat. # US 6,754,636 B1 – herein referred to as Walker).

Re: Claim 1, Conklin discloses an internet-centric electronic transaction processor for facilitating automated retail sale of products from distributors to customers via a website, comprising:

- a database having stored therein product data for a plurality of products and customer data, wherein said product data comprises data electronically transmitted from a plurality of distributors of said plurality of products, wherein said data corresponding to identical products for sale by more than one of said distributors (Conklin, fig. 1g, cols. 19 - 20, lines 58 - 22 – search and evaluate processes 70, enables a prospective buyer to find companies and their products in the community and investigate their prices, terms and service offerings. If a buyer is interested in opening negotiations with a particular seller, the proposed orders processes can be based on catalog prices or desired price and other terms, special orders for samples or small quantities, proposed payment vehicles, and can include information about the buyer.);
- a payment authorization processor for determining whether to accept said purchase orders for fulfillment based on at least in part information stored in said database (Conklin, col. 15, lines 17 - 24 – transaction data is stored in a secure database at the negotiations engine system's site, the system provides multiple levels of privacy and access for each individual company, so that the records of transactions between a given buyer and seller are available only on a protected basis at appropriate levels of authorization for the buyer, the seller and the sponsor.);
- a distributor authorization processor for authorizing said one or more distributors to directly ship said one or more products according to said purchase orders provided said purchase orders are accepted by said payment authorization processor (Conklin, col. 31, lines 40 - 53 – agreed payment terms); and
- a customer service sub-system for sending automated messages to said one or more customers with information of accepted purchase orders (Conklin, fig. 23 & 31c, col. 31, lines 40 - 53); (Conklin, col. 32, lines 8 – 16 – at step S03, the sponsored community displays to the buyer the

sellers with goods meeting the needs. At step S06 the buyer can link to the sites of the sellers listed in the display, and either send email inquires to them or directly order sample quantities from them.)

However, Conklin does not expressly disclose:

- a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products.

In a similar field of endeavor, Walker discloses:

- a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products (Walker, col. 10, lines 8 - 28); (Walker, col. 18, lines 5 - 11 – when a new class or category of product is to be offered to buyers, the purchasing system device 310 stores a new entry or field describing the class of products. Once such information is stored, it may be retrieved as needed by the purchasing system device 310, such as to display a list of product classes to a potential buyer or to determine if a product meets the requirements of a buyer offer.); (Walker, col. 18, lines 48 – 56).

Therefore, in light of the teachings of Walker, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method of Conklin in order to discloses:

- a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products.

motivated by the desire to provide a processor that use the capabilities and convenience of online shopping to provide buyers with reasonable pricing for products and satisfy the needs of an individual buyer more effectively.

Re: Claim 2, Conklin discloses the internet-centric electronic transaction processor of claim 1,

- wherein said data comprises product description, quantity available and price for each of said products for each of said distributors (Conklin, fig. 32, col. 19, lines 14 - 27); (Conklin, fig. 31b, col. 20, lines 23 - 34).

Re: Claim 3, Conklin discloses the internet-centric electronic transaction processor of claim 1,

- wherein said customer data including customer name, billing address, email address and purchase patterns (Conklin, fig. 7 & 11b, col. 20, lines 49 - 63).

Re: Claim 4, Conklin discloses the internet-centric electronic transaction processor of claim 3,

- wherein said customer service sub-system generates personalized promotional offers based on at least in part data stored in said customer database (Conklin, fig. 6, col. 19, lines 14 - 27).

Re: Claim 5, Conklin in view of Spiegelhoff discloses the internet-centric electronic transaction processor of claim 4,

- wherein said personalized promotional offers comprise purchase incentives (Conklin, col. 14, lines 27 - 46).

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Re: Claim 6, Conklin discloses the internet-centric electronic transaction processor of claim 1,

- wherein said catalog builder dynamically adjusts pricing for said product offerings in said electronic catalogs based on at least in part information in database (Conklin, col. 20, lines 23 - 33).

Re: Claim 7, Conklin discloses the internet-centric electronic transaction processor of claim 1,

- wherein said catalog builder dynamically adjusts pricing of said product offerings based on a plurality of factors including at least one of:
 - an amount of web-site traffic, sales for a particular category, and sales for a particular product (Conklin, col. 19, lines 7 - 27).

Re: Claim 8, Conklin in view of Spiegelhoff discloses the internet-centric electronic transaction processor of claim 1,

- further comprising a distributor selection sub-system for selecting a particular one of said plurality of distributors for filling a particular one of said purchase orders (Conklin, fig. 9, col. 6, lines 5 - 15); (Conklin, col. 8, lines 18 – 24 – the selection of a new supplier for production purchases usually involve the creation of a team from purchasing. The team evaluate capabilities and production facilities, obtain samples and make evaluation.).

Re: Claim 9, Conklin discloses the internet-centric electronic transaction processor of claim 1,

- further comprising a secure web-site coupled to said database, said secure web-site for enabling said plurality of distributors to access said database and to update said catalog-type product data (Conklin, cols. 13 -

Art Unit: 3694

14, lines 66 - 26).

Re: Claim 10, Conklin discloses the internet-centric electronic transaction processor of claim 1,

- wherein said plurality of distributors comprise a plurality of individual vendors (Conklin, col. 8, lines 18 - 24); (Conklin, col. 31, lines 28 - 39).

Re: Claims 11 - 20, they are method claims which repeat the same limitations of claims 1 - 10, the corresponding apparatus claims, as a series of process steps as opposed to a collection of elements. Since the teachings of **Conklin and Walker** disclose the structural elements that constitute the apparatus of claims 1 - 10, it is respectfully submitted that they perform the underlying process steps, as well. As such, the limitations of claims 11 - 20 are rejected for the same reasons given above for claims 1 - 10.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JOHN H. HOLLY whose telephone number is (571)270-3461. The examiner can normally be reached on Mon. - Fri. 8 AM to 5 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, KAMBIZ ABDI can be reached on (571)272-6702. 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.

/JOHN H. HOLLY/

Examiner, Art Unit 3694

Notice of References Cited	Application/Control No. 12/589,645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.	
	Examiner JOHN H. HOLLY	Art Unit 3694	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-			
*	B	US-6,141,653 A	10-2000	Conklin et al.	705/80
	C	US-			
*	D	US-6,754,636 B1	06-2004	Walker et al.	705/50
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			


FOREIGN PATENT DOCUMENTS

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

NON-PATENT DOCUMENTS


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

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

<i>Index of Claims</i> 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

<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	
CLAIM		DATE							
Final	Original	01/07/2011	07/07/2011						
	1	✓	✓						
	2	✓	✓						
	3	✓	✓						
	4	✓	✓						
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	19	✓	✓						
	20	✓	✓						

Search Notes 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

SEARCHED			
Class	Subclass	Date	Examiner
705	1, 38	January 2011	John H. Holly

SEARCH NOTES		
Search Notes	Date	Examiner
EAST, PLUS	January 2011	John H. Holly
EAST	July 2011	John H. Holly
Consulted the 101 Panel	July 2011	John H. Holly

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner

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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	16681	705/ 1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/ 12/ 30 20:35
S2	3569	705/ 38	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/ 12/ 30 20:35
S3	378	(robert.in. and alvin.in.)	US-PGPUB; USPAT	OR	ON	2010/ 12/ 30 20:37
S4	50	(US-20100169163-\$ or US- 20030028451-\$ or US- 20060026089-\$ or US- 20020007322-\$ or US- 20010056379-\$ or US- 20020099622-\$ or US- 20020107761-\$ or US- 20020111879-\$ or US- 20080147507-\$ or US- 20090113349-\$ or US- 20050096968-\$ or US- 20020147656-\$ or US- 20030130900-\$ or US- 20030033215-\$ or US- 20040243485-\$ or US- 20050049939-\$ or US- 20090112772-\$ or US- 20020156700-\$ or US-	US-PGPUB; USPAT	OR	ON	2010/ 12/ 30 20:43

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S8	7989	705/ 27	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 01/ 01 17:52

S9	5985	distributor near4 product\$1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:53
S10	471	distributor near4 catalog\$1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:56
S11	549210	(distributor or product or catalog\$1).ti.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:57
S12	1946797	(distributor or product or catalog\$1).ab.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:57
S13	499517	(distributor or product or catalog\$1).clm.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:57
S14	549210	(distributor or product or catalog\$1).ti.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S15	1946797	(distributor or product or catalog\$1).ab.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S16	499517	(distributor or product or catalog\$1).clm.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S17	46572	S14 and S15 and S16	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 17:59
S18	17770	S17 and (@ad<"19990630" or @rlad<"19990630")	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 18:01

S19	31	catalog adj builder	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 18:05
S20	6	S19 and (@ad<"19990630" or @rlad<"19990630")	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/01/01 18:06
S21	44	("5256863" "5261044" "5295244" "5436909" "5504921" "5559955" "5691524" "5727249" "5742931" "5751933" "5799284" "5812668" "5812750" "5850446" "5870721" "5870725" "5889863" "5895455" "5915019" "5940811" "5943424" "5966698" "5982891" "5983208" "5987132" "5256863" "5261044" "5295244" "5436909" "5504921" "5559955" "5691524" "5727249" "5751933" "5812668" "5812750" "5850446" "5870721" "5870725" "5889863" "5895455" "5915019" "5940811" "5943424" "5966698" "5982891" "5983208" "5987132" "6002767" "6029379" "6041315" "6049828" "6070141" "6072870" "6088686" "6105010"	US-PGPUB; USPAT	OR	ON	2011/01/01 18:21

		"6119103" "6119105" "6122624" "6163771" "6178409" "6253027" "6336098" "6374293" "6460020" "6002767" "6026379" "6029154" "6041315" "6049828" "6070141" "6072870" "6088686" "6105010" "6119105" "6122624" "6163771" "6178409" "6253027" "6336098" "6374293" "6460020").PN.				
S22	1	"5983208".pn.	USPAT	OR	ON	2011/01/01 19:36
S23	1	"5319542".pn.	USPAT	OR	ON	2011/01/06 17:35
S24	1	"5870721".pn.	USPAT	OR	ON	2011/01/09 05:48
S25	1	"4992940".pn.	USPAT	OR	ON	2011/06/28 16:46
S26	1	"6141653".pn.	USPAT	OR	ON	2011/06/28 16:48
S27	17298	walker.inv.	US-PGPUB; USPAT	OR	ON	2011/07/07 19:18
S28	575006	(distributor or product or catalog\$1).ti.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20
S29	2033264	(distributor or product or catalog\$1).ab.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/07/07 19:20

S30	522175	(distributor or product or catalog\$1).clm.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:20
S31	48542	S28 and S29 and S30	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:20
S32	17298	walker.inv.	US-PGPUB; USPAT	OR	ON	2011/ 07/ 07 19:20
S33	226	S31 and S32	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:20
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S35	92	S34 and (distributor or product or catalog\$1)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:22
S36	575006	(distributor or product or catalog\$1).ti.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26
S37	2033264	(distributor or product or catalog\$1).ab.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26
S38	522175	(distributor or product or catalog\$1).clm.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26
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S40	17298	walker.inv.	US-PGPUB; USPAT	OR	ON	2011/ 07/ 07 19:26

S41	226	S39 and S40	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26
S42	92	S41 and (@ad< "19990630" or @rlad< "19990630")	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26
S43	92	S42 and (distributor or product or catalog\$1)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26
S44	17	S43 and (purchase adj order \$1)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2011/ 07/ 07 19:26

EAST Search History (Interference)

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7/ 8/ 2011 9:13:26 AM

C:\ Documents and Settings\ jholly\ My Documents\ EAST\ Workspaces\ 12589645 Multi-level Fraud Check
With Dynamic Feedback For Internet Business Transaction Processor.wsp

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Robert S. ALVIN

Confirmation No.: 8317

Serial No.: 12/589,645

Group Art Unit: 3694

Filed: 10/26/2009

Examiner: Holly, John H.

For: MULTI-LEVEL FRAUD CHECK WITH DYNAMIC FEEDBACK FOR
INTERNET BUSINESS TRANSACTION PROCESSOR

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

AMENDMENT IN RESPONSE TO OFFICE ACTION

Sir:

In response to the Office Action (non-final) of January 20, 2011, Applicant submits the following amendments and remarks:

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

Remarks begin on page 7 of this paper.

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions of the claims in the present application:

Listing of Claims:

1. (Original) An internet-centric electronic transaction processor for facilitating automated retail sale of products from distributors to customers via a web-site, comprising:
 - a database having stored therein product data for a plurality of products and customer data, wherein said product data comprises data electronically transmitted from a plurality of distributors of said plurality of products, wherein said data corresponding to identical products for sale by more than one of said distributors;
 - a catalog builder for generating electronic catalogs having user-specific product offerings for said plurality of products, said wherein said catalog builder dynamically places said user-specific product offerings in said electronic catalogs based on information stored in said database;
 - a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products;
 - a payment authorization processor for determining whether to accept said purchase orders for fulfillment based on at least in part information stored in said database, a distributor authorization processor for authorizing said one or more distributors to directly ship said one or more products according to said purchase orders provided said purchase orders are accepted by said payment authorization processor; and

a customer service sub-system for sending automated messages to said one or more customers with information of accepted purchase orders.

2. (Original) The internet-centric electronic transaction processor of claim 1, wherein said data comprises product description, quantity available and price for each of said products for each of said distributors.

3. (Original) The internet-centric electronic transaction processor of claim 1, wherein said customer data including customer name, billing address, email address and purchase patterns.

4. (Original) The internet-centric electronic transaction processor of claim 3, wherein said customer service sub-system generates personalized promotional offers based on at least in part data stored in said customer database.

5. (Original) The internet-centric electronic transaction processor of claim 4, wherein said personalized promotional offers comprise purchase incentives.

6. (Original) The internet-centric electronic transaction processor of claim 1, wherein said catalog builder dynamically adjusts pricing for said product offerings in said electronic catalogs based on at least in part information in database.

7. (Original) The internet-centric electronic transaction processor of claim 1, wherein said catalog builder dynamically adjusts pricing of said product offerings based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

8. (Original) The internet-centric electronic transaction processor of claim 1, further comprising a distributor selection sub-system for selecting a particular one of said plurality of distributors for filling a particular one of said purchase orders.

9. (Original) The internet-centric electronic transaction processor of claim 1, further comprising a secure web-site coupled to said database, said secure web-site for enabling said plurality of distributors to access said database and to update said catalog-type product data.

10. (Original) The internet-centric electronic transaction processor of claim 1, wherein said plurality of distributors comprise a plurality of individual vendors.

11. (Original) An internet-centric electronic transaction method executable by one or more computers for facilitating automated retail sales of products from distributors to customers, comprising:

- obtaining product data for a plurality of products from a plurality of distributors for said products via a communications network, wherein said product data comprises data corresponding to identical products for sale by more than one of said distributors;
- storing said product data in a database;
- obtaining customer data from a plurality of customers and storing said customer data in said database;
- generating, at least in part from data in said database, electronic catalogs having user-specific product offerings for said plurality of products;
- permitting said customers to access said electronic catalog, to view said userspecific offerings, and to allow said customers to place purchase orders for one or more of said products via said communications network;

determining whether to accept said purchase orders based on at least in part information stored in said database;
authorizing said one or more distributors to ship said one or more products to according to said purchase orders provided said purchase orders are deemed acceptable; and
sending automated messages to said one or more customers with information of accepted purchase orders.

12. (Original) The internet-centric electronic transaction method of claim 11, wherein said data comprises product description, quantity available and price for each of said products for each of said distributors.

13. (Original) The internet-centric electronic transaction method of claim 11, wherein said customer data including customer name, billing address, email address and purchase patterns.

14. (Original) The internet-centric electronic transaction method of claim 13, further comprising generating personalized promotional offers based on at least in part data stored in said customer database.

15. (Original) The internet-centric electronic transaction method of claim 14, wherein said personalized promotional offers comprise purchase incentives.

16. (Original) The internet-centric electronic transaction method of claim 11, further comprising dynamically adjusting pricing of said product offerings in said electronic catalogs based on at least in part information stored in said database.

17. (Original) The internet-centric electronic transaction method of claim 11, further comprising dynamically adjusting pricing of said product

offerings in said electronic catalogs based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

18. (Original) The internet-centric electronic transaction method of claim II, further comprising selecting a particular one of said plurality of distributors for filling a particular one of said purchase orders.

19. (Original) The internet-centric electronic transaction method of claim 11, further comprising providing secure web access to said database to enable said plurality of distributors to access said database and to update said product data.

20. (Original) The internet-centric electronic transaction method of claim 11, wherein said plurality of distributors comprise a plurality of individual vendors.

REMARKS

Claims 1-20 were pending in the present application. In the Office Action (non-final) of January 20, 2011, claims 1-20 were rejected. The claims, as amended, are listed above. No claims have been added or deleted. Accordingly, claims 1-20 remain pending in the present application.

Applicant requests entry of the amendments and responds to the Office Action with the following remarks:

Claim Rejections – 35 USC § 103

Claims 1-20 were rejected under 35 U.S.C. 103(a) as being obvious over Pool et al. (US Pat. No. 6,460,020) (“Pool”) in view of Spiegelhoff et al. (US Pat. No. 5,742,931) (“Spiegelhoff”).

Applicant respectfully traverses the rejections.

More specifically, claim 1 is directed to an internet-centric electronic transaction processor comprising (in relevant part):

a database having stored therein product data for a plurality of products and customer data, wherein said product data comprises data electronically transmitted from a plurality of distributors of said plurality of products, wherein said data corresponding to identical products for sale by more than one of said distributors;

a catalog builder for generating electronic catalogs having user-specific product offerings for said plurality of products, said wherein said catalog builder dynamically places said user-specific product offerings in said electronic catalogs based on information stored in said database;

a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products; and

a customer service sub-system for sending automated messages to said one or more customers with information of accepted purchase orders.

The claim has not been amended. Therefore, rejections based on a new reference cannot result in a final office action.

Pool generally discloses a universal shopping center for international operation. Further, Spiegelhoff generally discloses allocating resources of a retailer among multiple wholesalers.

However, Pool and/ or Spiegelhoff fail to teach or disclose the limitations as recited in claim 1 for at least the reasons discussed below. Therefore, Applicant respectfully submits that claim 1, similar claim 11, and all related claims, are patentable over Pool and Spiegelhoff.

Database Having Identical Products From More Than One Distributor

Claim 1 recites a database storing product data corresponding to identical products for sale by more than one distributor.

Pool does disclose a plurality of catalogues translated into a plurality of languages which are downloaded for access by a user (4:55-59). Examiner also argues that Pool discloses that databases interact to “provide[] all of the necessary information to complete a transaction” (OA, p. 2).

As can be seen, neither citation, nor any other disclosure of Pool, discloses a database having identical products from more than one distributor, as claimed. No further details are given about the multiple catalogues of Pool which may contain mutually exclusive offerings. Moreover, the general statement relied upon by Examiner is even more vague. Unfortunately, a user and e-commerce

vendor are unable to shop amongst distributors for preferences such as best price or shipping times. Spiegelhoff fails to cure this deficiency. Thus, Pool and Spiegelhoff fail to disclose or suggest at least the database with identical products as recited.

Catalog Builder Having User-Specific Product Offerings

Claim 1 recites a catalog builder that generates electronic catalogs having user-specific product offerings. The offerings are dynamically placed in the electronic catalogs.

Pool does disclose a plurality of catalogues translated into a plurality of languages which are downloaded for access by a user (4:55-59). Examiner also argues that Pool discloses a “credit authorization database” (OA, p. 3).

Firstly, the translated catalogs, while offering a variety of language presentations, do not customize specific product offerings to a user. The Specification gives an example of a student being presented a catalog of products appropriate for a student with academic pricing (see para. 35). Pool has no such information about a user other than a preferred language, which does not amount to product offerings. Secondly, Applicant respectfully submits that a credit authorization database, which completes the financial part of a transaction for selected products, is completely irrelevant to product offerings that are catered to a user. Spiegelhoff fails to cure this deficiency. Thus, Pool and Spiegelhoff fail to disclose or suggest the catalog builder having user-specific product offerings, as recited.

Communication Interface To View User-Specific Product Offerings

Claim 1 recites a communication interface for permitting customers to view user-specific product offerings.

Spiegelhoff does disclose a modem 40 and a data entry device 32 (Fig. 2).

However, a modem and a data entry device are merely hardware for accessing and interacting with a communication channel. There is no disclosure of content viewed over the communication channel, specifically, user-specific product offerings, as recited. Pool fails to cure this deficiency, as discussed more thoroughly above with respect to user-specific product offerings. Thus, Spiegelhoff and Pool also fail to disclose or suggest the communication interface to view user-specific product offerings.

Customer Service Sub-System To Send Automated Messages To Customers

Claim 1 recites a customer service sub-system for sending automated messages to customers with information of accepted purchase orders.

Pool does disclose sending an electronic copy of a commercial invoice with authorization to an official of an international carrier (12:8-12). Examiner alleges that step 187, which discloses transferring information to a national customs department of a destination country at a receiving port, reads on the present element.

But neither citation involves a message to a customer. Pool is directed to international shipping and easing the related process. On the other hand, Pool

fails to contemplate, and thus fails to disclose, a system to communicate with the ultimate customer. Spiegelhoff fails to cure this deficiency. Thus, Pool and Spiegelhoff additionally fail to disclose or suggest the customer sub-system sending automated messages to at least one customer.

Conclusion

Accordingly, Applicant respectfully requests reconsideration and allowance of the claims as now presented. Applicant's attorney believes this application is in condition for allowance. Should any unresolved issues remain, Examiner is invited to call Applicant's attorney at the telephone number indicated below.

Respectfully submitted,

April 20, 2011

/Dorian Cartwright/

Dorian Cartwright

Reg. No. 53,853

Customer Number 88268
(800) 810-8030

Electronic Acknowledgement Receipt

EFS ID:	9925019
Application Number:	12589645
International Application Number:	
Confirmation Number:	8317
Title of Invention:	Multi-level fraud check with dynamic feedback for internet business transaction processor
First Named Inventor/Applicant Name:	Robert S. Alvin
Customer Number:	88268
Filer:	Dorian Cartwright
Filer Authorized By:	
Attorney Docket Number:	DC2510
Receipt Date:	20-APR-2011
Filing Date:	26-OCT-2009
Time Stamp:	22:50:33
Application Type:	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		DC2510_OAR_re_01_20_11.pdf	39548 20559cacee1fdc1e0051aea904f5d1e2e45c db89	yes	12

	Multipart Description/PDF files in .zip description		
	Document Description	Start	End
	Amendment/Req. Reconsideration-After Non-Final Reject	1	1
	Claims	2	6
	Applicant Arguments/Remarks Made in an Amendment	7	12

Warnings:

Information:

Total Files Size (in bytes):	39548
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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.

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.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number 12/589,645		Filing Date 10/26/2009		<input type="checkbox"/> To be Mailed	
APPLICATION AS FILED – PART I										
(Column 1)			(Column 2)			SMALL ENTITY <input checked="" type="checkbox"/> OR		OTHER THAN SMALL ENTITY		
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)			
<input type="checkbox"/> BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A				
<input type="checkbox"/> SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A			N/A				
<input type="checkbox"/> EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A				
TOTAL CLAIMS (37 CFR 1.16(j))	minus 20 =	*	X \$	=	OR	X \$	=			
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$	=		X \$	=			
<input type="checkbox"/> APPLICATION SIZE FEE (37 CFR 1.16(s))	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 (37 CFR 1.16(j))										
			TOTAL			TOTAL				
APPLICATION AS AMENDED – PART II										
(Column 1)			(Column 2)			SMALL ENTITY OR		OTHER THAN SMALL ENTITY		
AMENDMENT	04/20/2011	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 20	Minus	** 20	= 0	X \$26 =	0	OR	X \$	=
	Independent (37 CFR 1.16(h))	* 2	Minus	*** 3	= 0	X \$110 =	0	OR	X \$	=
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
						TOTAL ADD'L FEE	0	OR	TOTAL ADD'L FEE	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X \$	=	OR	X \$	=
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X \$	=	OR	X \$	=
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
						TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	
<p>* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.</p> <p>** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".</p> <p>*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".</p> <p>The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.</p>										

Legal Instrument Examiner:
/AMANDA FORD/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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12/589,645

10/26/2009

Robert S. Alvin

DC2510

8317

88268 7590 01/20/2011

Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

EXAMINER

HOLLY, JOHN H

ART UNIT

PAPER NUMBER

3694

NOTIFICATION DATE

DELIVERY MODE

01/20/2011

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):

dorian.cartwright@gmail.com

Office Action Summary	Application No.	Applicant(s)	
	12/589,645	ALVIN, ROBERT S.	
	Examiner	Art Unit	
	JOHN H. HOLLY	3694	

-- 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 26 October 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) 1-20 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) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

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

Priority under 35 U.S.C. § 119

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

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

Attachment(s)

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

DETAILED ACTION

This Office Action is in response to Applicant's communication filed on October 26, 2009 for the patent application 12/589,645. Claims 1 – 20 are pending in the application.

Claim Rejections - 35 USC § 103

1. 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.

2. **Claims 1 – 20 are rejected under 35 U.S.C. 103(a)** as being obvious over Ed Pool et al. (Pat. # US 6,460,020 B1 – herein referred to as Pool) in view of Steven P. Spiegelhoff et al. (Pat. # US 5,742,931 – herein referred to as Spiegelhoff).

Re: Claim 1, Pool discloses an internet-centric electronic transaction processor for facilitating automated retail sale of products from distributors to customers via a web-site, comprising:

- a database having stored therein product data for a plurality of products and customer data, wherein said product data comprises data electronically transmitted from a plurality of distributors of said plurality of products, wherein said data corresponding to identical products for sale by more than one of said distributors (Pool, fig. 1, col. 4, lines 20 – 31 – provides all of the information to complete a transaction.);

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- a catalog builder for generating electronic catalogs having user-specific product offerings for said plurality of products, said wherein said catalog builder dynamically places said user-specific product offerings in said electronic catalogs based on information stored in said database (Pool, col. 5, lines 10 - 23 – specific currency conversion.);
- a payment authorization processor for determining whether to accept said purchase orders for fulfillment based on at least in part information stored in said database (Pool, col. 4, lines 20 - 31 – credit authorization database **6.**);
- a distributor authorization processor for authorizing said one or more distributors to directly ship said one or more products according to said purchase orders provided said purchase orders are accepted by said payment authorization processor (Pool, col. 6, lines 37 - 50); (Pool, col. 8, lines 12 - 33); and
- a customer service sub-system for sending automated messages to said one or more customers with information of accepted purchase orders (Pool, cols. 11 - 12, lines 53 – 21, step **187.**).

However, Pool does not expressly disclose:

- a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products.

In a similar field of endeavor, Spiegelhoff discloses:

- a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of

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said products (Spiegelhoff, cols. 5 - 6, lines 47 - 7 – Modem **40**, communication interface and Data entry device **32**.).

Therefore, in light of the teachings of Spiegelhoff, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify the method of Pool in order to disclose:

- a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products.

motivated by the desire to provide a processor that is fully automated including automatic generation of an electronic catalog, competitive pricing engine based on flexible rule-based algorithms, and automatic feedback to the customer.

Re: Claim 2, Pool discloses the internet-centric electronic transaction processor of claim 1,

- wherein said data comprises product description, quantity available and price for each of said products for each of said distributors (Pool, col. 5, lines 46 - 57 – description of the product, shipping weight, cost and other information about ordering options.).

Re: Claim 3, Pool discloses the internet-centric electronic transaction processor of claim 1,

- wherein said customer data including customer name, billing address, email address and purchase patterns (Pool, col. 12, lines 46 – 53 – customer information is loaded into customer database at step **140**.).

Re: Claim 4, Pool discloses the internet-centric electronic transaction processor of claim 3,

- wherein said customer service sub-system generates personalized promotional offers based on at least in part data stored in said customer database (Pool, col. 6, lines 19 – 36); (Pool, col. 12, lines 46 – 53).

Re: Claim 5, Pool in view of Spiegelhoff discloses the internet-centric electronic transaction processor of claim 4,

- wherein said personalized promotional offers comprise purchase incentives (Spiegelhoff, cols. 12, lines 27 - 47).
The rationale for support of motivation, obviousness and reason to combine see claim 1 above.

Re: Claim 6, Pool discloses the internet-centric electronic transaction processor of claim 1,

- wherein said catalog builder dynamically adjusts pricing for said product offerings in said electronic catalogs based on at least in part information in database (Pool, col. 6, lines 19 - 36 – step 118, alarm is activated when wide fluctuations in currency.).

Re: Claim 7, Pool discloses the internet-centric electronic transaction processor of claim 1,

- wherein said catalog builder dynamically adjusts pricing of said product offerings based on a plurality of factors including at least one of:
 - an amount of web-site traffic, sales for a particular category, and sales for a particular product (Pool, col. 6, lines 36 - 50).

Re: Claim 8, Pool in view of Spiegelhoff discloses the internet-centric electronic transaction processor of claim 1,

- further comprising a distributor selection sub-system for selecting a particular one of said plurality of distributors for filling a particular one of said purchase orders (Spiegelhoff, Abs, fig. 1, col. 4, lines 13 - 37).
The rationale for support of motivation, obviousness and reason to combine see claim 1 above.

Re: Claim 9, Pool discloses the internet-centric electronic transaction processor of claim 1,

- further comprising a secure web-site coupled to said database, said secure web-site for enabling said plurality of distributors to access said database and to update said catalog-type product data (Pool, cols. 5 - 6, lines 33 - 18 – step **108.**).

Re: Claim 10, Pool in view of Spiegelhoff discloses the internet-centric electronic transaction processor of claim 1,

- wherein said plurality of distributors comprise a plurality of individual vendors (Spiegelhoff, col. 16, lines 55 - 65).
The rationale for support of motivation, obviousness and reason to combine see claim 1 above.

Re: Claims 11 - 20, they are method claims which repeat the same limitations of claims 1 - 10, the corresponding apparatus claims, as a series of process steps as opposed to a collection of elements. Since the teachings of **Pool and Spiegelhoff** disclose the structural elements that constitute the apparatus of claims 1 - 10, it is respectfully submitted that they perform the underlying process steps, as well. As such, the limitations of claims 11 - 20 are rejected for the same reasons given above for claims 1 - 10.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JOHN H. HOLLY whose telephone number is (571)270-3461. The examiner can normally be reached on Mon. - Fri. 8 AM to 5 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James P. Trammell can be reached on (571)272-6712. 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.

/JOHN H. HOLLY/

Examiner, Art Unit 3694

Notice of References Cited	Application/Control No. 12/589,645		Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.	
	Examiner JOHN H. HOLLY		Art Unit 3694	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-5,742,931 A	04-1998	Spiegelhoff et al.	705/8
*	B	US-6,460,020 B1	10-2002	Pool et al.	705/10
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			


FOREIGN PATENT DOCUMENTS

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

NON-PATENT DOCUMENTS


*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
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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.

<i>Index of Claims</i> 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

✓	Rejected	-	Cancelled	N	Non-Elected	A	Appeal
=	Allowed	÷	Restricted	I	Interference	O	Objected

<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			
CLAIM		DATE							
Final	Original	01/07/2011							
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	19	✓							
	20	✓							

Search Notes 	Application/Control No. 12589645	Applicant(s)/Patent Under Reexamination ALVIN, ROBERT S.
	Examiner JOHN H HOLLY	Art Unit 3694

SEARCHED			
Class	Subclass	Date	Examiner
705	1, 38	January 2011	John H. Holly

SEARCH NOTES		
Search Notes	Date	Examiner
EAST, PLUS	January 2011	John H. Holly

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner

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BIB DATA SHEET

CONFIRMATION NO. 8317

SERIAL NUMBER 12/589,645	FILING or 371(c) DATE 10/26/2009 RULE	CLASS 705	GROUP ART UNIT 3694	ATTORNEY DOCKET NO. DC2510		
APPLICANTS Robert S. Alvin, Boulder Creek, CA; ** CONTINUING DATA ***** This application is a CON of 11/603,282 11/20/2006 ABN which is a CON of 09/343,550 06/30/1999 PAT 7,139,731 ** FOREIGN APPLICATIONS ***** ** IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** ** SMALL ENTITY ** 11/10/2009						
Foreign Priority claimed <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 35 USC 119(a-d) conditions met <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Verified and Acknowledged <u>/JOHN H HOLLY/</u> Examiner's Signature		<input type="checkbox"/> Met after Allowance JHH Initials	STATE OR COUNTRY CA	SHEETS DRAWINGS 5	TOTAL CLAIMS 20	INDEPENDENT CLAIMS 2
ADDRESS Law Office of Dorian Cartwright P.O. Box 7617 San Jose, CA 95150 UNITED STATES						
TITLE Multi-level fraud check with dynamic feedback for internet business transaction processor						
FILING FEE RECEIVED 545	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit			

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	16681	705/ 1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/ 12/ 30 20:35
S2	3569	705/ 38	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2010/ 12/ 30 20:35
S3	378	(robert.in. and alvin.in.)	US-PGPUB; USPAT	OR	ON	2010/ 12/ 30 20:37
S4	50	(US-20100169163-\$ or US- 20030028451-\$ or US- 20060026089-\$ or US- 20020007322-\$ or US- 20010056379-\$ or US- 20020099622-\$ or US- 20020107761-\$ or US- 20020111879-\$ or US- 20080147507-\$ or US- 20090113349-\$ or US- 20050096968-\$ or US- 20020147656-\$ or US- 20030130900-\$ or US- 20030033215-\$ or US- 20040243485-\$ or US- 20050049939-\$ or US- 20090112772-\$ or US- 20020156700-\$ or US-	US-PGPUB; USPAT	OR	ON	2010/ 12/ 30 20:43

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S23	1	"5319542".pn.	USPAT	OR	ON	2011/01/06 17:35
S24	1	"5870721".pn.	USPAT	OR	ON	2011/01/09 05:48

EAST Search History (Interference)

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With Dynamic Feedback For Internet Business Transaction Processor.wsp

PLUS Search Results for S/N 12589645, Searched Wed Dec 22 08:25:18 EST 2010
The Patent Linguistics Utility System (PLUS) is a USPTO automated search system for U.S. Patents from 1971 to the present PLUS is a query-by-example search system which produces a list of patents that are most closely related linguistically to the application searched. This search was prepared by the staff of the Scientific and Technical Information Center, SIRA.

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	DC2510

CONFIRMATION NO. 8317

PUBLICATION NOTICE



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88268
Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

Title:Multi-level fraud check with dynamic feedback for internet business transaction processor

Publication No.US-2010-0169163-A1

Publication Date:07/01/2010

NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at www.uspto.gov. The direct link to access the publication is currently <http://www.uspto.gov/patft/>.

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	HWST-001-999

88268
Law Office of Dorian Cartwright
P.O. Box 7617
San Jose, CA 95150

CONFIRMATION NO. 8317
POA ACCEPTANCE LETTER



Date Mailed: 04/27/2010

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 04/14/2010.

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.

/atesfai/

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
12/589,645	10/26/2009	Robert S. Alvin	HWST-001-999

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169

CONFIRMATION NO. 8317
POWER OF ATTORNEY NOTICE



Date Mailed: 04/27/2010

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 04/14/2010.

- 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).

/atesfai/

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POWER OF ATTORNEY OR REVOCATION OF POWER OF ATTORNEY WITH A NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS	Application Number	12/589,645
	Filing Date	10/26/2009
	First Named Inventor	Robert S. Alvin
	Title	Multi-level fraud check with dynamic...
	Art Unit	3694
	Examiner Name	TBD
	Attorney Docket Number	HWST-001-999

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

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I am the:

☐ Applicant/Inventor.

OR

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) (Form PTO/SB/98) submitted herewith or filed on _____

SIGNATURE of Applicant or Assignee of Record

Signature

Date

Name

Telephone

Title and Company

Member, Mount Hamilton Partners, LLC

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 1.31, 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 or 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 1460, Alexandria, VA 22313-1460.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/~~Robert S. Alvin~~: Robert S. AlvinApplication No./~~12/589,645~~: 12/589,645Filed/~~10/26/2009~~ Date: 10/26/2009

Titled:

Multi-level fraud check with dynamic feedback for internet business transaction processor

Mount Hamilton Partners, LLC

, a limited liability company

(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: Robert S. Alvin To: Hardwarestreet.com, Inc.

The document was recorded in the United States Patent and Trademark Office at

Reel 010074, Frame 0838, or for which a copy thereof is attached.

TRUSTEE OF CHAPTER 7

2. From: Bankruptcy Estate of Hardware Street.com To: Innovation Management Sciences

The document was recorded in the United States Patent and Trademark Office at

Reel 018078, Frame 0559, or for which a copy thereof is attached.

3. From: Innovation Management Sciences To: Mount Hamilton Partners, LLC

The document was recorded in the United States Patent and Trademark Office at

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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.

Signature

Wilfred Lam

Printed or Typed Name

Date

Member

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.

APR 14 2010

Doc Code: TRAN.LET

Document Description: Transmittal Letter

PTO/SB/21 (07-09)

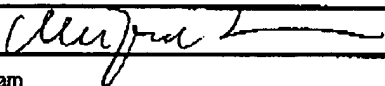
Approved for use through 07/31/2012. OMB 0651-0031


U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	12/589,845	
	Filing Date	10/28/2009	
	First Named Inventor	Robert S. Alvin	
	Art Unit	3894	
	Examiner Name	TBD	
Total Number of Pages in This Submission	3	Attorney Docket Number	HWST-001-999

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO/SB/96
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Mount Hamilton Partners, LLC		
Signature			
Printed name	Wilfred Lam		
Date	4/14/10	Reg. No.	41,923

CERTIFICATE OF TRANSMISSION/MAILING			
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Signature			
Typed or printed name	Hannah Tran	Date	4/14/2010

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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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
12/589,645	10/26/2009	3694	545	HWST-001-999	20	2

CONFIRMATION NO. 8317

UPDATED FILING RECEIPT

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169



Date Mailed: 03/22/2010

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

Applicant(s)

Robert S. Alvin, Boulder Creek, CA;

Power of Attorney: The patent practitioners associated with Customer Number 42179

Domestic Priority data as claimed by applicant

This application is a CON of 11/603,282 11/20/2006 ABN
which is a CON of 09/343,550 06/30/1999 PAT 7,139,731

Foreign Applications

If Required, Foreign Filing License Granted: 11/10/2009

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/589,645**

Projected Publication Date: 07/01/2010

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Multi-level fraud check with dynamic feedback for internet business transaction processor

Preliminary Class

705

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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NOT GRANTED

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PATENT APPLICATION
Attorney Docket No. **HWST-001-999**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Robert S. Alvin)	
)	
Appl. No. : 12/589,645)	TC/A.U. : TBD
)	
Filed: 10/26/2009)	Examiner: TBD

Title: Multi-level Fraud Check with Dynamic Feedback for Internet
Business Transaction Processor

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

CERTIFICATE OF MAILING	
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on <u>3/12/2010</u>	<u>Hannah Tran</u>
Date	By: Hannah Tran

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS AND
SUBMISSION OF DRAWING REPLACEMENT SHEETS**

Sir:

In response to Notice to File Corrected Application Papers dated 2/1/2010, copy attached, the Applicant hereby submits 3 sheets of REPLACEMENT DRAWINGS, which include FIGS. 1, 4 and 5 and which replace the original FIGS. 1, 4 and 5.

AMENDMENTS TO THE DRAWINGS:

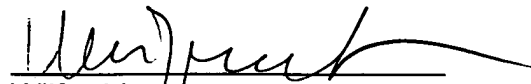
The attached sheets of drawings, which include FIGS. 1, 4 and 5, replace the original sheets including FIGS. 1, 4 and 5.

Attachment: Replacement Drawing Sheets (5)

REMARKS

Applicant hereby submits twelve REPLACEMENT DRAWING SHEETS for FIGS. 1, 4 and 5, in compliance with 37 CFR 1.84 and 37 CFR 1.121(d).

Respectfully submitted,



Wilfred Lam
Attorney for Applicant(s)
Registration No. 41,923
Telephone: 650-969-8300

P.O. Box 1169
Los Altos, CA 94023-1169
Date: 9/2/2010

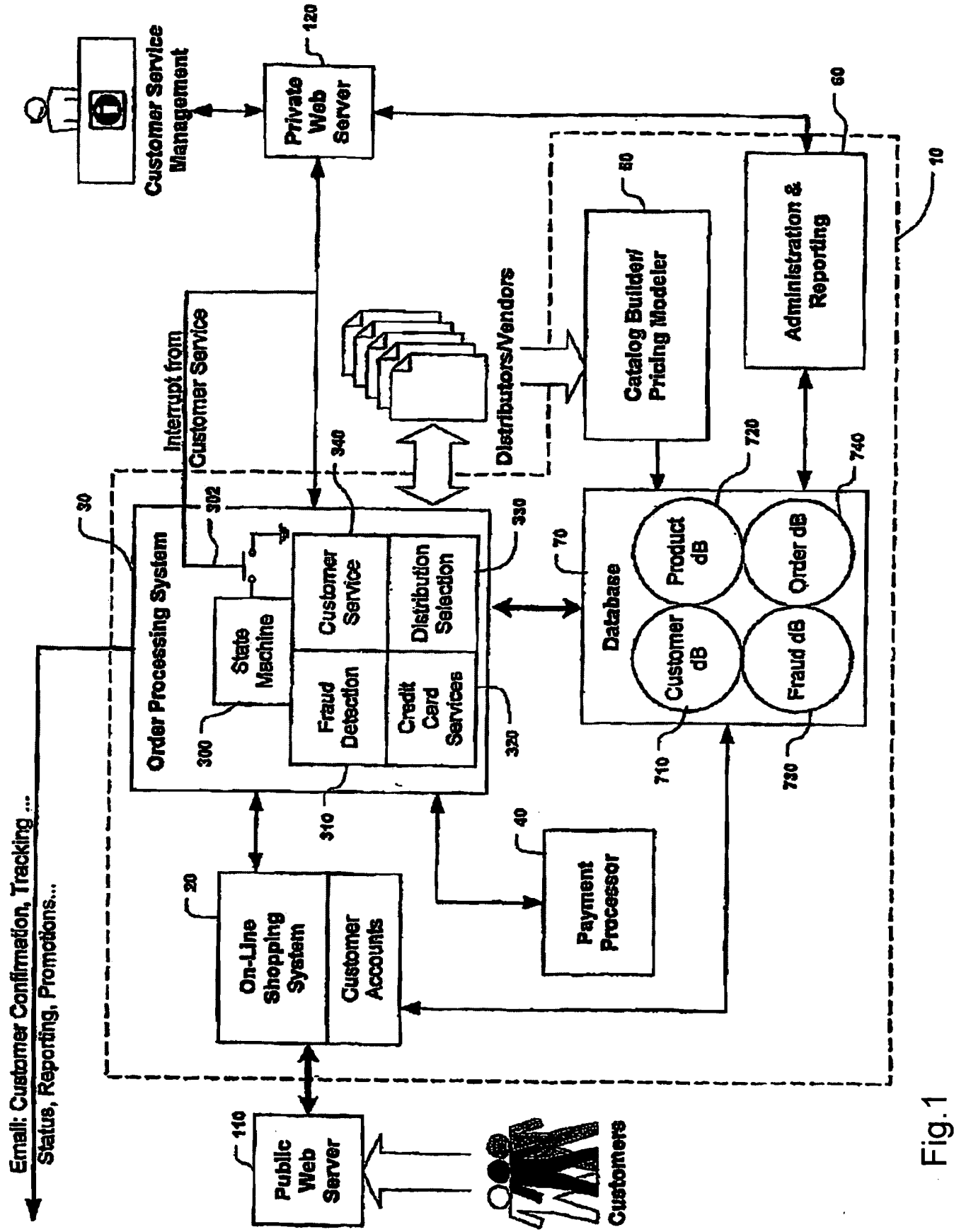


Fig.1

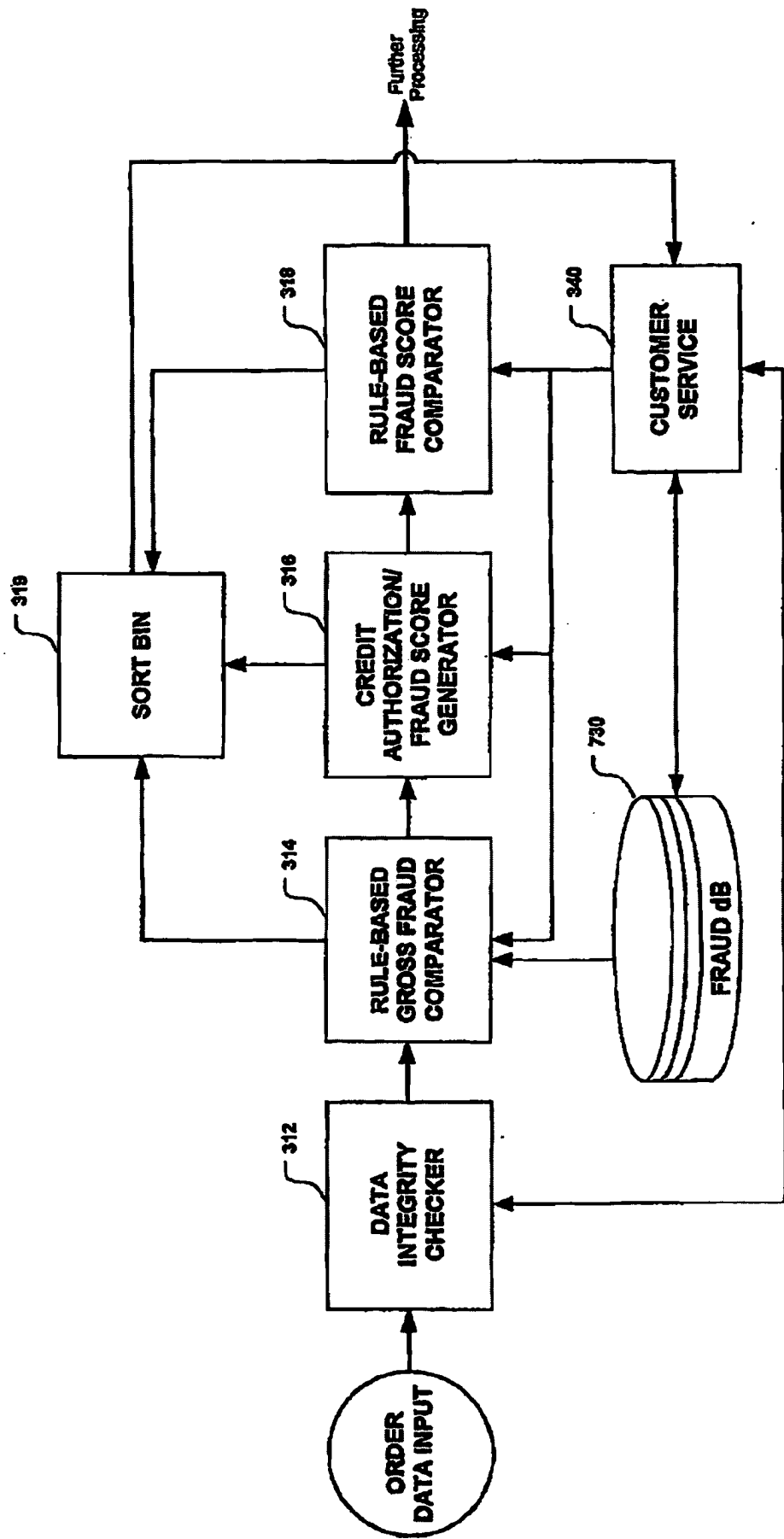


Fig. 4

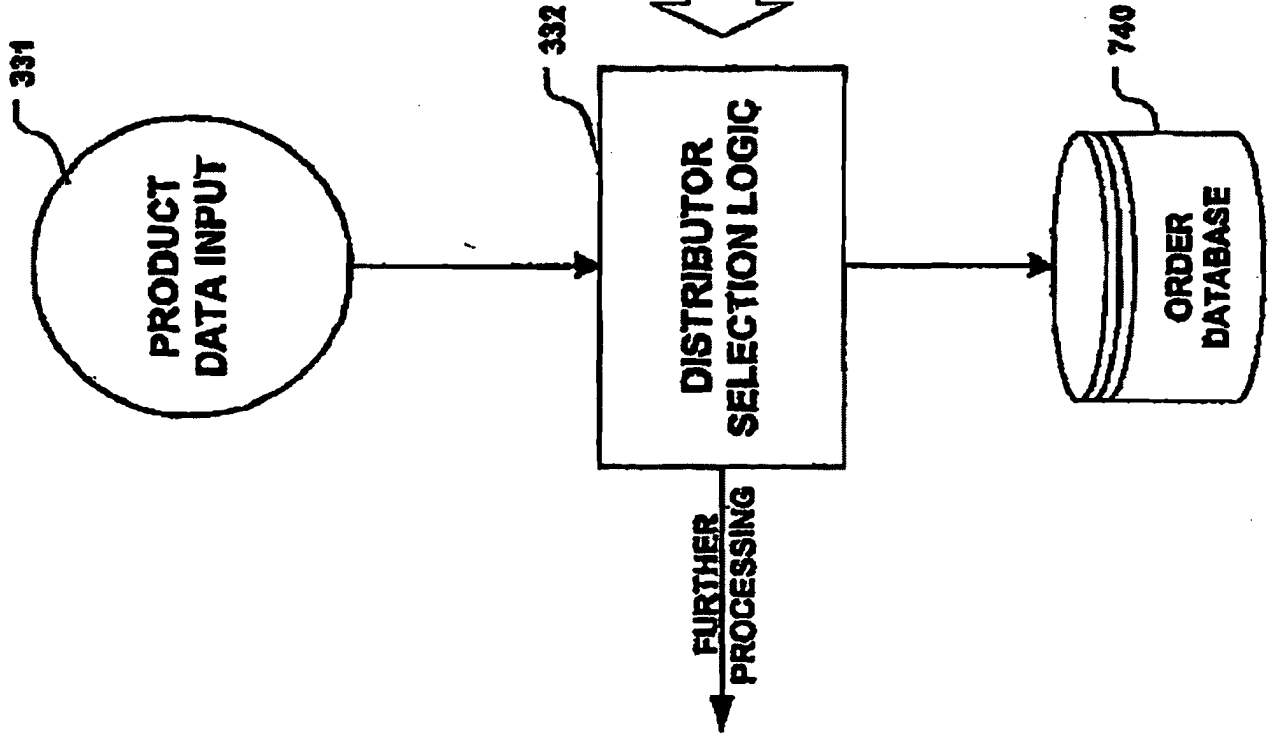


Fig. 5



Doc Code: TRAN.LET

Document Description: Transmittal Letter

PTO/SB/21 (07-09)

Approved for use through 07/31/2012. OMB 0651-0031

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	12/589,645
Filing Date	10/26/2009
First Named Inventor	Robert S. Alvin
Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	HWST-001-999

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
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<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Innovation Management Sciences		
Signature			
Printed name	Wilfred Lam		
Date	26 February 2010	Reg. No.	41,923

CERTIFICATE OF TRANSMISSION/MAILING

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Signature			
Typed or printed name	HANNAH TRAN	Date	3/2/2010

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	HWST-001-999

CONFIRMATION NO. 8317

WITHDRAWAL NOTICE



OC000000039906454

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169

Date Mailed: 02/01/2010

Letter Regarding a New Notice and/or the Status of the Application

If a new notice or Filing Receipt is enclosed, applicant may disregard the previous notice mailed on 11/17/2009. The time period for reply runs from the mail date of the new notice. Within the time period for reply, applicant is required to file a reply in compliance with the requirements set forth in the new notice to avoid abandonment of the application.

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.
<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at
1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

If the reply is not filed electronically via EFS-Web, the reply must be accompanied by a copy of the new notice.

If the Office previously granted a petition to withdraw the holding of abandonment or a petition to revive under 37 CFR 1.137, the status of the application has been returned to pending status.

/hteffer/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or
1-888-786-0101



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UNITED STATES DEPARTMENT OF COMMERCE
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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
12/589,645	10/26/2009	3694	545	HWST-001-999	20	2

CONFIRMATION NO. 8317

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169

FILING RECEIPT



OC000000039906526

Date Mailed: 02/01/2010

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Applicant(s)

Robert S. Alvin, Boulder Creek, CA;

Power of Attorney: The patent practitioners associated with Customer Number 42179

Domestic Priority data as claimed by applicant

This application is a CON of 11/603,282 11/20/2006 ABN
which is a CON of 09/343,550 06/30/1999 PAT 7,139,731

Foreign Applications

If Required, Foreign Filing License Granted: 11/10/2009

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/589,645**

Projected Publication Date: To Be Determined - pending completion of Corrected Papers

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Multi-level fraud check with dynamic feedback for internet business transaction processor

Preliminary Class

705

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

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set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	HWST-001-999

CONFIRMATION NO. 8317

FORMALITIES LETTER

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169



Date Mailed: 02/01/2010

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121(d) are required. The drawings submitted are not acceptable because:
 - The drawings are not in compliance with 37 CFR 1.84 because figures 1, 4, 5 contain figure or view numbers that have incorrect orientation. Reference characters, sheet numbers, and view numbers must be oriented in the same direction as the view. See 37 CFR 1.84(p)(1).

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

Replies should be mailed to:

Mail Stop Missing Parts
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/hteffer/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101



PATENT APPLICATION
Attorney Docket No. **HWST-001-999**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Robert S. Alvin)	
)	
Appl. No. : 12/589,645)	TC/A.U. : TBD
)	
Filed: 10/26/2009)	Examiner: TBD

Title: Multi-level Fraud Check with Dynamic Feedback for Internet
Business Transaction Processor

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

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office	
on <u>1/12/2010</u>	By: <u>Hannah Tran</u>
Date	

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS AND
SUBMISSION OF DRAWING REPLACEMENT SHEETS**

Sir:

In response to Notice to File Corrected Application Papers dated 11/17/2009, copy attached, the Applicant hereby submits 5 sheets of REPLACEMENT DRAWINGS, which include FIGS. 1-5 and which replace the original FIGS. 1-5.

AMENDMENTS TO THE DRAWINGS:

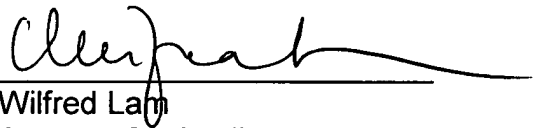
The attached sheets of drawings, which include FIGS. 1-5, replace the original sheets including FIGS. 1-5.

Attachment: Replacement Sheets (5)

REMARKS

Applicant hereby submits twelve REPLACEMENT SHEETS for FIGS. 1-5, in compliance with 37 CFR 1.84 and 37 CFR 1.121(d).

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Wilfred Lam', written over a horizontal line.

Wilfred Lam
Attorney for Applicant(s)
Registration No. 41,923
Telephone: 650-969-8300

P.O. Box 1169
Los Altos, CA 94023-1169
Date: January 11, 2010

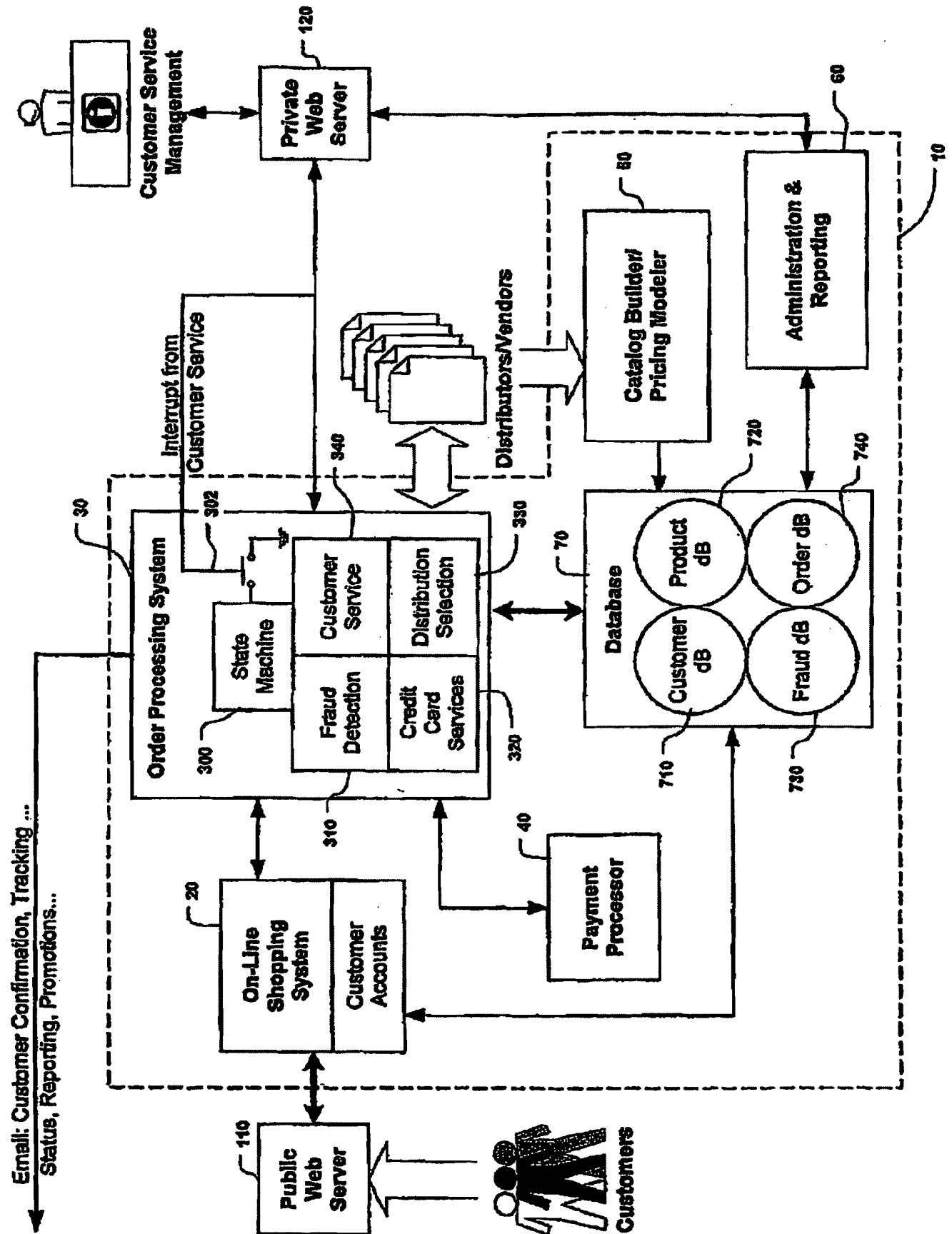


Fig. 1

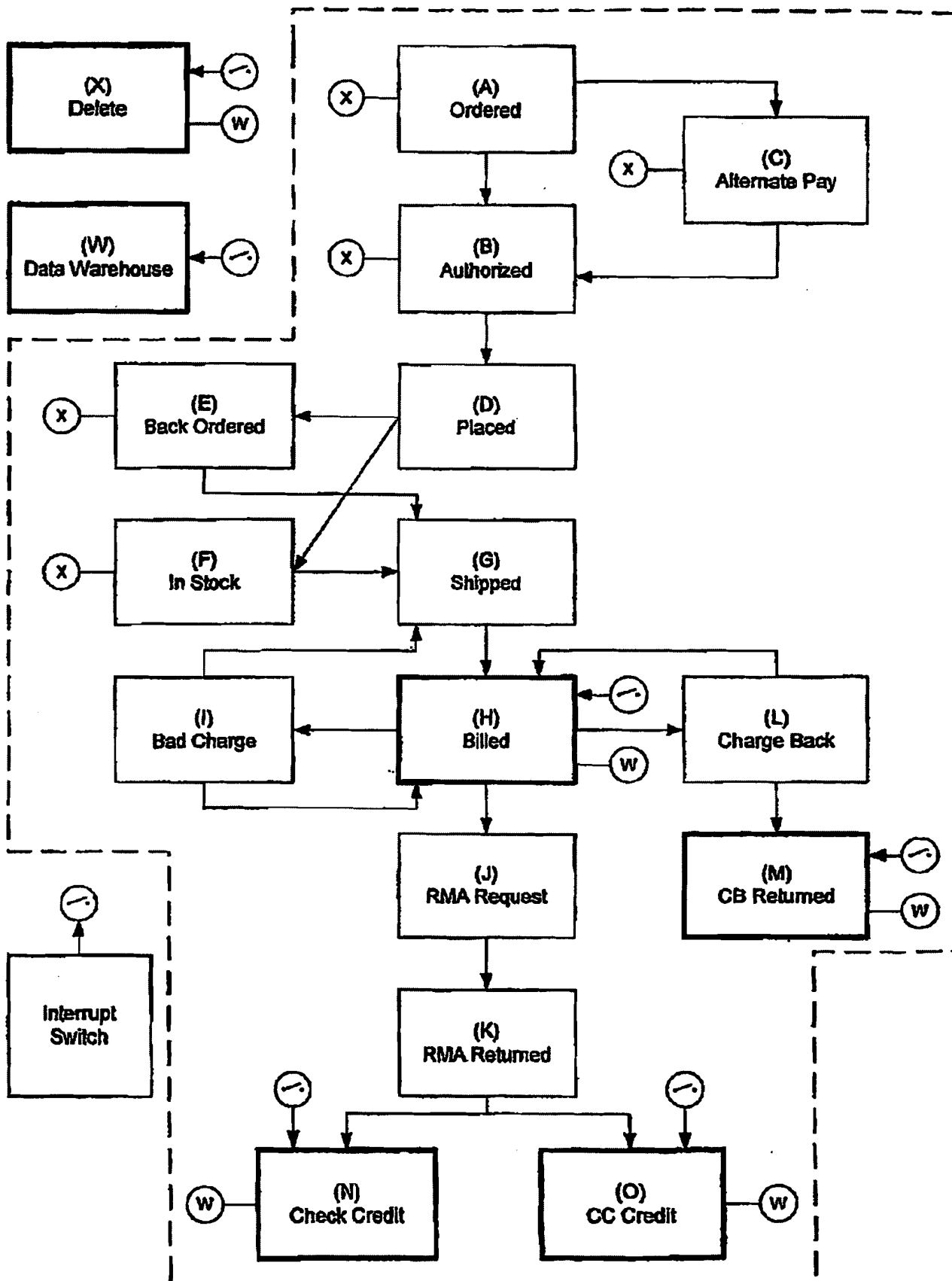


Fig. 2

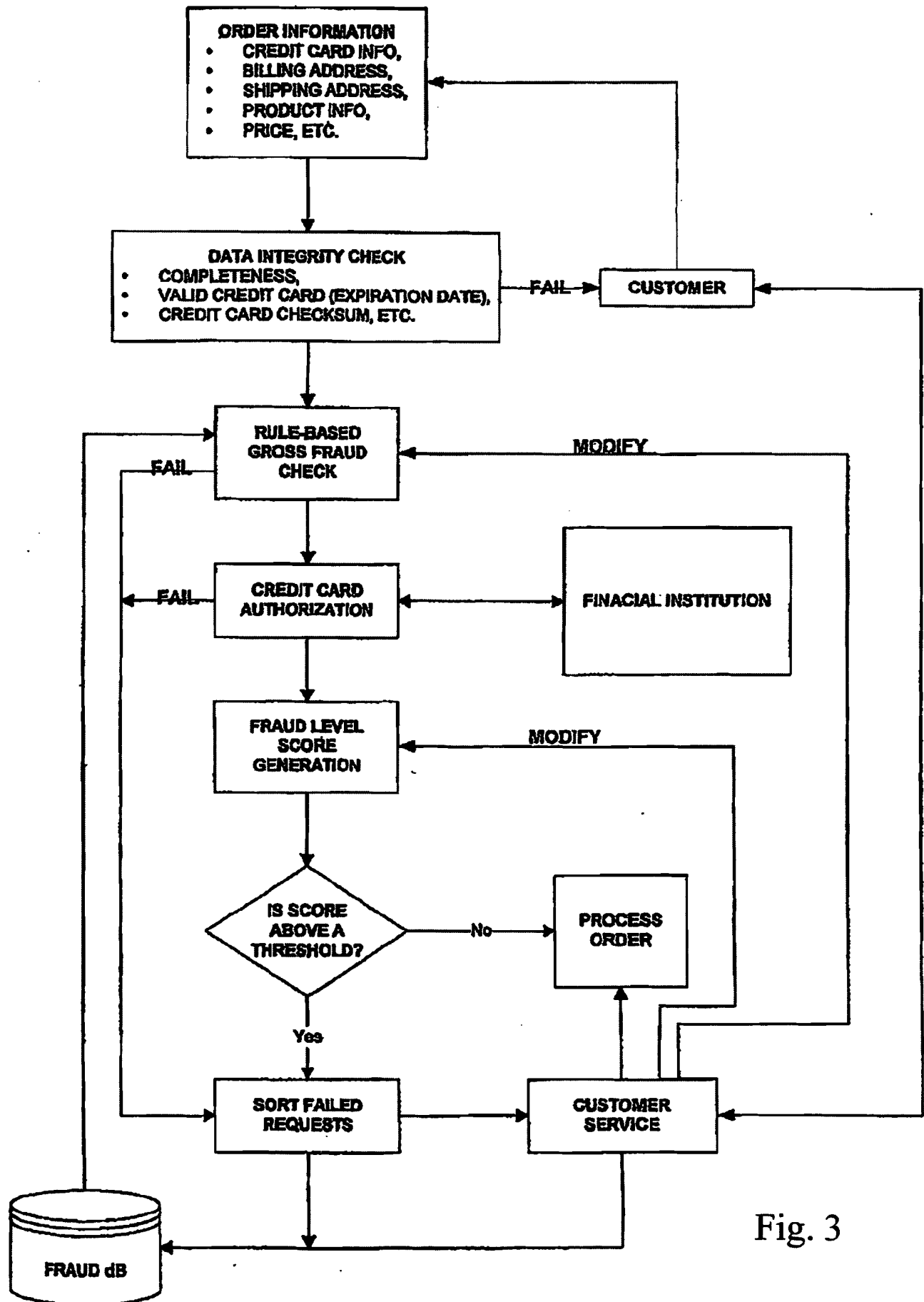


Fig. 3

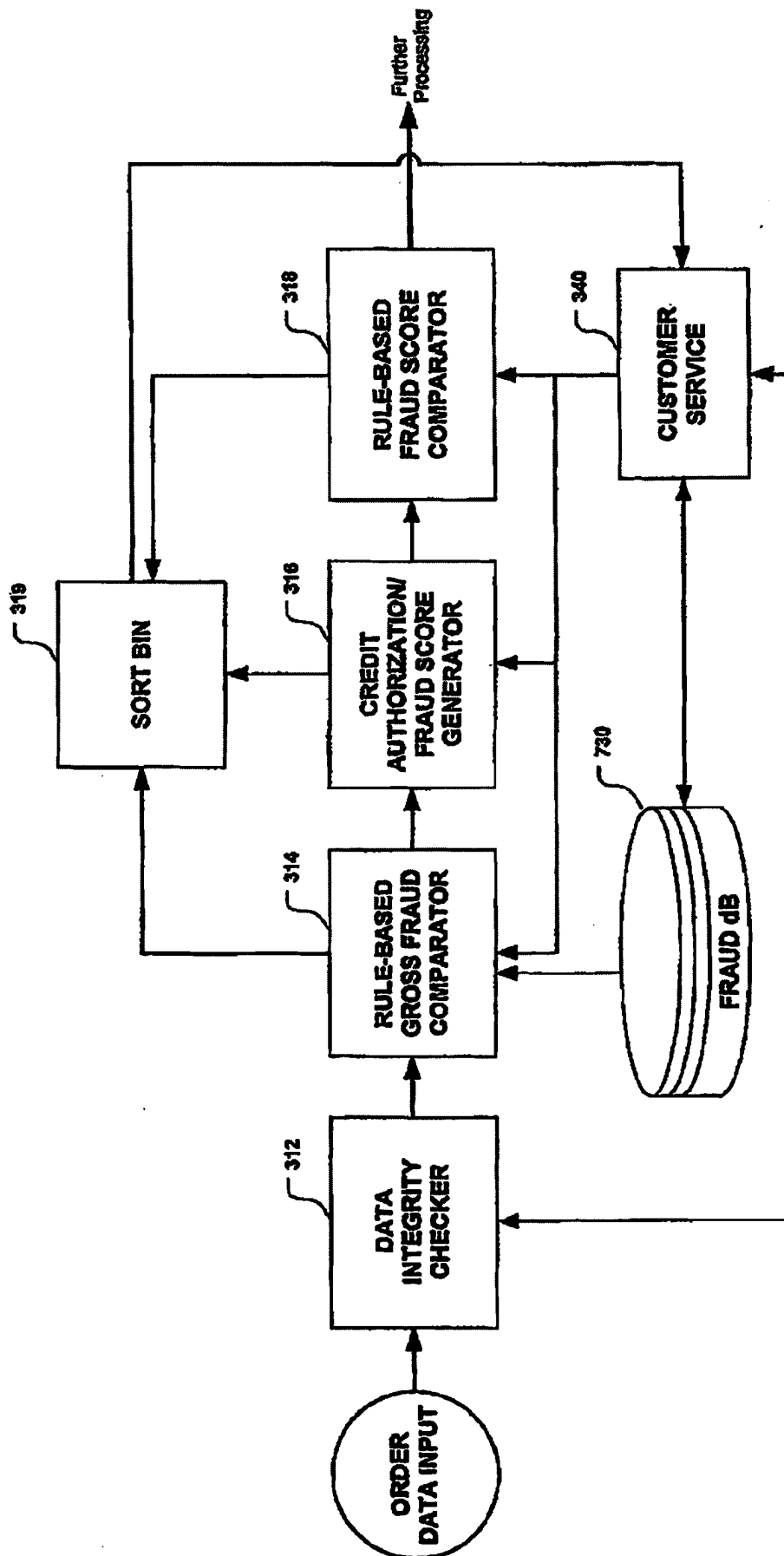


Fig. 4

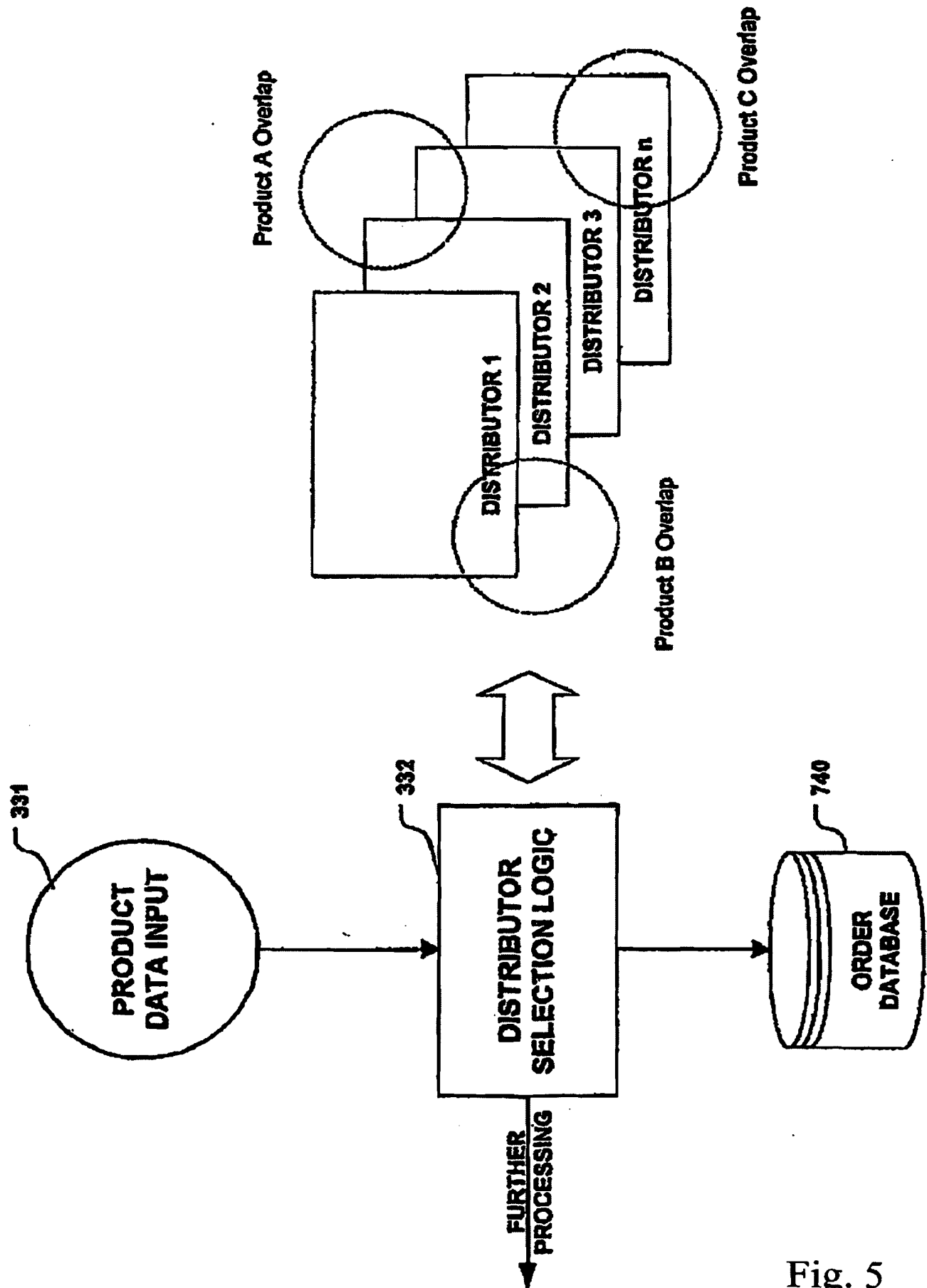


Fig. 5

Doc Code: TRAN.LET

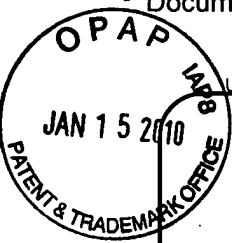
Document Description: Transmittal Letter

PTO/SB/21 (07-09)

Approved for use through 07/31/2012. OMB 0651-0031

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	12/589,645
Filing Date	10/26/2009
First Named Inventor	Robert S. Alvin
Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	HWST-001-999

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="text"/> Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Innovation Management Sciences		
Signature			
Printed name	Wilfred Lam		
Date	January 11, 2010	Reg. No.	41,923

CERTIFICATE OF TRANSMISSION/MAILING

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Signature			
Typed or printed name	Hannah Tran	Date	1/12/2010

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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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
12/589,645	10/26/2009	3694	545	HWST-001-999	20	2

CONFIRMATION NO. 8317

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169

FILING RECEIPT



Date Mailed: 11/17/2009

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

Applicant(s)

Robert S. Alvin, Boulder Creek, CA;

Power of Attorney: The patent practitioners associated with Customer Number 42179

Domestic Priority data as claimed by applicant

This application is a CON of 11/603,282 11/20/2006
which is a CON of 09/343,550 06/30/1999 PAT 7,139,731

Foreign Applications

If Required, Foreign Filing License Granted: 11/10/2009

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/589,645**

Projected Publication Date: To Be Determined - pending completion of Corrected Papers

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Multi-level fraud check with dynamic feedback for internet business transaction processor

Preliminary Class

705

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER**Title 35, United States Code, Section 184****Title 37, Code of Federal Regulations, 5.11 & 5.15****GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	HWST-001-999

CONFIRMATION NO. 8317

FORMALITIES LETTER



OC000000038752015

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169

Date Mailed: 11/17/2009

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121(d) are required. The drawings submitted are not acceptable because:
 - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) All.
 - Numbers, letters, and reference characters on the drawings must measure at least 0.32 cm (1/8 inch) in height. See Figure(s) 5.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/589,645	10/26/2009	Robert S. Alvin	HWST-001-999

42179
INNOVATION MANAGEMENT SCIENCES
P. O. BOX 1169
LOS ALTOS, CA 94023-1169

CONFIRMATION NO. 8317
POA ACCEPTANCE LETTER



Date Mailed: 11/17/2009

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 10/26/2009.

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.

/abalcha/

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102609

17414

U.S. PTO

U.S. PTO
12/589645
10/26/2009

PTO/SB/05 (08-08)

Approved for use through 06/30/2010. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY
PATENT APPLICATION
TRANSMITTAL

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

Attorney Docket No.

HWST-001-999

First Inventor

Alvin, Robert S.

Title

Multi-level fraud check with...

Express Mail Label No.

EG059375860US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 20]
Both the claims and abstract must start on a new page
(For information on the preferred arrangement, see MPEP 608.01(a))
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Sheets 15]
 - a. ☒ Newly executed (original or copy)
 - b. ☒ A copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
name in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
☐ Landscape Table on CD
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, items a. - c. are required)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ Paper
 - c. ☐ Statements verifying identity of above copies

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ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
Name of Assignee _____
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (PTO/SB/08 or PTO-1449)
☐ Copies of citations attached
13. ☐ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or equivalent.
17. ☒ Other: Petition for Extension of Time (11/603,282)

PTO-2038 (2)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 11/603,282

Prior application information:

Examiner Holly J.Art Unit: 3694

19. CORRESPONDENCE ADDRESS

☒ The address associated with Customer Number: 42,179 OR ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Email

Signature

Date

26 October 2009

Name
(Print/Type)

Wilfred Lam

Registration No.
(Attorney/Agent)

41,923

This collection of information is required by 37 CFR 1.53(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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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2009☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 545**Complete if Known**

Application Number	TBD
Filing Date	Herewith
First Named Inventor	Alvin, Robert S.
Examiner Name	TBD
Art Unit	TBD
Attorney Docket No.	HWST-001-999

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☐ Deposit Account Deposit Account Number: _____ Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, **except for the filing fee**
☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	330	165	540	270	220	110	545
Design	220	110	100	50	140	70	
Plant	220	110	330	165	170	85	
Reissue	330	165	540	270	650	325	
Provisional	220	110	0	0	0	0	

2. EXCESS CLAIM FEES**Fee Description**

	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	52	26
Each independent claim over 3 (including Reissues)	220	110
Multiple dependent claims	390	195

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
20 - 20 or HP = 0	x		0

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
2 - 3 or HP = 0	x		0

HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$270 (\$135 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

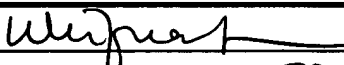
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
25	- 100 =	150 =	(round up to a whole number) x	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): _____

Fees Paid (\$)**SUBMITTED BY**

Signature		Registration No. (Attorney/Agent) 41,923	Telephone 650-969-8300
Name (Print/Type)	WILFRED LAM		Date 26 October 2009

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MULTI-LEVEL FRAUD CHECK WITH DYNAMIC FEEDBACK FOR INTERNET BUSINESS TRANSACTION PROCESSOR

RELATED APPLICATIONS

[001] This application is a continuation of U.S. Application No. 11/603,282, filed November 20 2006, which is hereby incorporated by reference in its entirety, and which is a continuation of U.S. Application No. 09/343,550, filed June 30 1999, and issued as US Patent 7,139,731.

FIELD OF INVENTION

[002] The present invention relates to business transactions conducted over the Internet and in particular to a transaction processor to conducting the same.

BACKGROUND OF THE INVENTION

[003] Traditionally, commodities such as computer related products, for example, have been sold primarily through retail stores and catalogs and, more recently, through telephone sales supported by infomercials and other print and media advertising. However these traditional models for selling computer related products suffer significant disadvantages.

[004] Store-based retailers have limited shelf space due to costly inventory and real estate investment considerations. This limits the number of products store-based retailers can offer to their customers. Also, the personnel required to operate stores are expensive and can be difficult to hire and train. The physical store's need for personnel also limits the flexibility and efficiency of the sales process. The number of customers that can be served and the quality of service is dependent on the number of personnel dedicated to the sales process.

[005] Store-based retailers also face the financial risk of carrying inventory that may quickly become obsolete. Physical possession of inventory also limits the speed at which these retailers can change their merchandise mix and offer new products. This is because

a store must physically obtain, set up and display the products. Physical stores also can only serve customers in a limited geographic area because the customers must travel to the store to shop. To extend this limited reach, new stores must be opened in different geographic locations. However, the time required and the significant investments in inventory, real estate and personnel required at each new location, make it difficult to expand quickly into new geographic regions.

[006] Catalog-based (e.g., mail-order) retailing provides only a partial solution to the disadvantages of store-based retailing. Catalogs do provide customers with the convenience of shopping from home or the office at flexible times. However, catalog merchandising is costly and wasteful because paper, printing, and postage are increasingly expensive and a large percentage of people to whom catalogs are sent will not use them. Also, the number of products catalogs can feature and the product information they can provide are limited due to catalog mailing, printing and other related expenses.

[007] Catalogs are also very inflexible and provide only limited accessibility. In order to change products or prices, the catalog must be reprinted and redistributed which is both costly and time consuming. Furthermore, catalogs' accessibility is limited in that they are available only to those people to whom they are sent. Also, the catalog shopping experience is, in general, neither interactive nor personalized, yet requires extensive personnel support and manual intervention on behalf of the retailer to take and process orders.

[008] The more recent advent of the combination of infomercials and other advertising supporting telephone sales also provides only a partial solution. The ability to order by phone provides the same inconvenience that the catalog does. However, infomercial and other advertising is extremely expensive. They are also limited in their geographic scope. Typical media outlets serve only a relatively small geographic area. To expand the geographic scope of advertising, additional media outlets in different locations must be used. This greatly increases expenses. Advertising is also limited in duration. Expense increases drastically upon extending the term of the advertising.

[009] The advertisements and infomercials that describe the products are also limited in the scope of products they can cover. The expense limits the size of print

advertising and the duration of radio and television advertising. These limitations restrict the number of products that can be covered. They also restrict the amount of information that can be provided for the products.

[0010] Recently, the Internet has emerged as a powerful new global communications and commerce medium that represents a radical new way for people to share information and conduct business electronically. Though the Internet has been well known for several years, it has been mainly used for research and as an educational medium. Hence people were initially slow to adopt it as a common means of conducting retail commerce.

However, with technology advancing such that personal computers are now an affordable commodity for the average household, more and more personal computers are being acquired for home usage. In conjunction with increased computer awareness and usage, affordability and ease of accessibility to the Internet from an average household has given birth to a new type of commercial medium referred to as Electronic Commerce (i.e., E-Commerce).

[0011] The increasing functionality, accessibility and overall usage of the Internet have made it an attractive commercial medium that can offer solutions to many of the shortcomings of the traditional retail models. For instance, the Internet has radically changed the relationship between customers. Online retailers can, from a single remote computer, interact directly and simultaneously with customers across the globe.

[0012] The Internet also eliminates the traditional retail models' limited availability and barriers to expansion. On the Internet, a store is accessible throughout the world around the clock. The limitations associated with printed catalogs are eliminated as well. There is no incremental cost associated with making Internet content available to people who will not use it. Internet also provides easy adaptability to changing market conditions and allowing an interactive, customizable retail experience.

[0013] Online retailers can respond more rapidly to customer demand by frequently modifying their product offerings, shopping interfaces and pricing, simply by modifying their Web site. Additionally, the Internet improves on the limited amount of information that can be conveyed in the catalog and advertising/telephone sales models of retail sales. Web sites are inexpensive relative to the number of potential customers they reach,

allowing much more information can be provided on a Web site than in any advertisement.

[0014] However, even with the advantages that are associated with the usage of the Internet as a commercial medium, there are still drawbacks in the currently existing E-Commerce retail businesses. In particular, most E-Commerce retail businesses mainly use the Internet and Web pages as an advertising medium to replace the previous catalog/infomercial type advertisements. Although some of the businesses have begun accepting product orders online via email or Web pages, the current E-Commerce businesses for the most part have adopted a hybrid business model in which the traditional business models are coupled with E-Commerce business practices.

[0015] For instance, the usage of the Internet has replaced a few of the traditional business practices such as advertising and order processing, but most of the so-called E-Commerce retail businesses of the prior art still operate by maintaining an inventory. That is to say, the current online businesses still maintain inventories in warehouses that store the merchandise to be sold. As described above, the costs associated with such business practices are high, especially in the computer related products market where their relatively short life cycle and the rapid adoption of new technologies and products make the traditional inventory store and catalog sales models particularly problematic. If the computer products are not sold in a relatively short period of time, the unsold merchandise will become obsolete due to the fast pace in which technology is evolving.

[0016] Furthermore, some of the prior art E-Commerce systems are prone to unnecessary down-time due to dependence of out-sourced services resulting in loss of sales during the down-time period. In particular, the primary use of credit cards as the preferred method of payment over the Internet has made checking for credit card fraud a necessity. To that end, almost all E-Commerce businesses are connected to a financial service center for processing fraud checks. However, if the connection to the service center is down for any reason, process of sales is halted until a fraud check can be performed. Additionally, most E-Commerce businesses rely exclusively on the results of the commercially available fraud check institutions. If the criteria set by the fraud check institution are too high, then sales that would otherwise have been profitable are lost.

SUMMARY OF THE INVENTION

[0017] It is the object of the present invention to meet the above-identified needs and others. Specifically, the present invention provides an Internet based E-Commerce business transaction processor that overcome the disadvantages of the prior art systems by creating a virtual store front having "other people's warehouse" approach to avoid maintaining physical stores and operating warehouses while maintaining such practices transparent to the customer.

[0018] The business transaction processor of the present invention has a modular design comprising a plurality of distributed transaction processing systems, allowing the processing load to be distributed among multiple parallel servers thereby providing faster processing of transactions while providing expandability for future growth.

[0019] The business transaction processor of the present invention interacts with multiple distributors thereby providing a larger selection of products with higher availability with aggressively competitive pricing all the while maintaining gross company margins.

[0020] The business transaction processor of the present invention utilizes multi-level fraud checking system that incorporates propriety as well as commercially available fraud checking system thereby providing a higher level of risk management while providing a fraud check system that is not exclusively dependent on commercially available services.

[0021] The business transaction processor of the present invention is fully automated including automatic generation of an electronic catalog, competitive pricing engine based on flexible rule-based algorithms, and automatic feedback to the customer.

[0022] Additional objects, advantages and novel features of the invention will be set forth in the description which follows or may be learned by those skilled in the art through reading these materials or practicing the invention. The objects and advantages of the invention may be achieved through the means recited in the attached claims.

BRIEF DESCRIPTION OF THE DRAWINGS

[0023] The accompanying drawings illustrate the present invention and are a part of the specification. Together with the following description, the drawings demonstrate and explain the principles of the present invention.

FIG. 1 is a block diagram showing the overall system of the present invention.

FIG. 2 is a state diagram of the order processing of the present invention.

FIG. 3 is a flow diagram showing the fraud processing according to the present invention.

FIG. 4 is a logic block diagram for performing the multilevel fraud processing according to the present invention.

FIG. 5 is a flow diagram showing the distributor selection processing according to the present invention.

DETAILED DESCRIPTION OF THE INVENTION

[0024] Using the drawings, the preferred embodiments of the present invention will now be explained. As shown in FIG. 1, the Internet business transaction processor 10 of the present invention has a distributed processing design allowing the processing load to be distributed among multiple parallel servers. The Internet business transaction processor according to the present invention is comprised of an Online Shopping System 20, Order Processing System 30, Payment Processing System 40, Catalog Builder/Price Modeler 50, and Administration System 60. The transaction processor 10 of the present invention also includes a main database 70 comprised of a Customer Database 710, Products Database 720, Fraud Database 730, and Order Database 740.

[0025] According to the present invention, a customer accesses the Online Shopping System 20 via a public Web server 110 to obtain product information available for purchases, set up a customer account, check order status, etc. The Order Processing System 30 receives the product order requests and processes the orders to check for availability with multiple distributors, orders the products based on pricing information, performs credit card validations, etc. The Payment Processing System 40 processes the method of payment once the orders have been properly processed. The Catalog Builder/Price Modeler 50 builds information of the products offered by the distributors to

be made available by the Online Shopping System 20 to the customer as well as the prices at which these products will be offered based on a pricing model to be described in detail below. Customer service representatives and managers have access to all of the information in the database via the Administration System 60 through a dedicated secure Web server 120 available only to authorized personnel. The Administration System 60 is used to produce reports of sales, reconcile order discrepancies, manually adjust prices, approve credit, etc. Functionality of each of the sub-systems will now be explained in detail.

Online Shopping System

[0026] The Online Shopping System 20 is the main interface between the customer and the E-Commerce business and is primarily responsible for providing the overall online shopping experience to the customer. The Online Shopping System 20 of the present invention provides an electronic catalog of available products stored in the Products Database 720 along with the price of the product. This information is generated by the Catalog Builder/Price Modeler 50 to be described in detail below.

[0027] The electronic catalog is a Web page, for example, that dynamically displays product information from the Products Database 720. Consequently, the electronic catalog is always up to date with the most recent product information and does not suffer from the same shortcomings as that of the prior art cataloging systems. Furthermore, because each product is displayed as a dynamic variable, a new catalog does not have to be generated every time the Product Database 70 is updated. Only the updated product information will be changed in the catalog.

[0028] In conjunction with the electronic catalog, the Online Shopping System 20 provides an electronic shopping cart that keeps record of each item marked to be purchased by the customer and provides a finalized shopping list and the total amount purchased at the end of a shopping session which may include appropriate taxes and shipping/handling charges.

[0029] The Online Shopping System 20 is also used to create customer accounts with such information as customer name, billing address, telephone number, email address,

etc. and this information is stored in the Customer Database 710. Such information is used by the transaction processor 10 for billing, order notification, promotional/incentive distribution, etc. A customer may also access the Online Shopping System 20 to track the status of previous orders and returned merchandise, send inquiries to Customer Service, etc. Furthermore, customer accounts can be used to generate customized portfolios based on purchase patterns of individuals to provide targeted advertising, purchase incentives such as electronic coupons and rebates, specialized promotions and competitive pricing of high demand products.

Catalog Builder/Price Modeler

[0030] As described generally above, the Catalog Builder/Price Modeler 50 builds the Products Database 720 with available products from the distributors as well as the sales price for each product. With regard to the catalog generation, the Catalog Builder/Price Modeler 50 receives product information from multiple distributors. The product information includes but are not limited to product description, quantity available, and price for the product.

[0031] Access to the product information from the distributors may be accomplished by Telnet, FTP (File Transfer Protocol), industry standard EDI (Electronic Data Interchange), or any other appropriate communication protocol including specialized client/server software provided used by the distributors.

[0032] Downloading of the product information from the distributors is scheduled to run automatically by the Catalog Builder/Price Modeler 50 so that no human interaction is necessary unless it is desired to do so. The product information is preferably updated continually throughout the day as updated product information becomes available from the distributors or based on other preselected triggers. For example, all the distributor data may be updated during certain times of the day. Data for some selected distributors may be updated hourly while product data of others may be updated every time the web page is viewed for that product or after the product is ordered. As the communications technology becomes more advanced, it may be possible to maintain a continuous

connection to the distributors' network thereby obtaining real-time status of each product offered by the distributor.

[0033] For other suppliers of products that may not have such communication capabilities or does not make economic sense to provide such continuous update of product information, an alternative system may be provided for updating/accessing product information. For instance, small distributors or individual vendors may operate through a secure web site to update their product information, receive order information from the transaction processor of the present invention, and provide shipping/tracking information of their products from their companies.

[0034] Once the product information from each of the distributors is collected, the Catalog Builder/Price Modeler 50 sorts the product information to generate the electronic catalog. The Catalog Builder/Price Modeler 50 of the present invention generates multiple catalogs from the same system and allows the Online Shopping System 20 to dynamically display user specific interfaces. The Catalog Builder/Price Modeler 50 generates catalogs with different visual presentations (e.g., color, fonts, graphics, advertising, etc.) and product offerings depending on the user accessing the Online Shopping System 20 based on the user-specific information via criteria-specific templates.

[0035] For example, when a student accesses the Online Shopping System 20 of the present invention as a potential customer, the Online Shopping System 20 displays a catalog of mixed products appropriate for students with academic pricing. Alternatively, a business person who accesses the Online Shopping System 20 of the present invention may see a catalog of products appropriate for his or her business with available corporate discounts for that product. This way, a single system is maintained that looks and functions like many different catalog shopping systems.

[0036] The pricing model used by the Catalog Builder/Price Modeler 50 of the present invention is an intelligent rule-based algorithm such as an AI (i.e., Artificial Intelligence) program generates a competitive price for a product based on price of the product offered from the distributors, any specials that are being promoted for the product, and cost/profit margins from the sale of the product to the customer. Simply stated, the price of the product is a function of the profit margin. Default margins are set

in the rule-based programming of the pricing model, but due to its adaptability the Catalog Builder/Price Modeler 50 may automatically adjust the margins based on the rules of the pricing model and the pricing information obtained from the distributors. Further, the rules of the pricing model and setting of margins may be manually modified using the Administration System 60 to be explained in detail below.

[0037] The Catalog Builder/Price Modeler 50 of the present invention uses a plurality of margins to determine the sales price of a product depending on which category the product is in. For instance, the margin for the products in the first category may be set to 10%+cost since this is a category of products that the customer would most likely buy even though the price may be a little bit high. On the other hand, the margin for the products in the second category may be set to 2.5%+cost in order to provide a competitive price for high demand products. Further, the margin for the products in the third category may be set to 0%+cost due to promotionals of discontinued products, for example.

[0038] The Catalog Builder/Price Modeler 50 may be used to obtain initial sale prices of the products to be listed in the electronic catalog. Furthermore, the Catalog Builder/Price Modeler 50 may also adjust the pricing dynamically based on other system data that may change throughout the day. For example, the price may be adjusted based on the amount of web site traffic, sales for a particular vendor, category, or SKU, and even the time of day. Subsequently, the Catalog Builder/Price Modeler 50 may be used in conjunction with the Order Processing System 30 to be described in detail hereinafter to select a distributor to fill the order for a selected product using real-time data at the time of purchase. In this way, prices of the products in the electronic catalog can be dynamically changed based on the current market for these products.

Order Processing System

[0039] The Order Processing System 30 of the present invention processes the orders passed from the Online Shopping System 20. The Order Processing System 30 of the present invention is comprised of four basic sub-systems: Fraud Detection 310, Credit

Card Services 320, Distributor Selection 330, and Customer Service 340. The overall functionality of the Order Processing System 30 is described hereinafter.

[0040] When an order for a selected product is received, the Order Processing System 30 first determines whether the order is a valid order by the Fraud Detection sub-system 310. If the order is valid, then the order is sent to the Distributor Selection sub-system 330 to determine firstly if the product ordered is available and secondly from which distributor the product will be supplied. Once a distributor is chosen the order is fulfilled with the distributor. After confirmation of product shipment, the order is sent to the Payment Processing System 40 via the Credit Card Services sub-system 320 to charge the customer's credit card for the purchase. The Customer Service sub-system 340 monitors each of the ordering processes and can intervene anywhere in the process if warranted.

[0041] Moreover, the Order Processing System 30 of the present invention is driven as a state machine 300. As such, a purchase order during processing enters predetermined states as shown in FIG. 2. Interrupt switch 302 is operable to interrupt state machine 300 to facilitate selective tracking of an order during processing to determine the status of any purchase order during processing. The intervention of the state machine 300 also allows the ability to force an order into a particular state or manually set certain flags by hand. As such, the state machine 300 of the present invention allows enhancements to the state diagram for manageable changes to the Order Processing System 30. Additions or deletions of new states, arcs, and conditions change the paths an order takes through the order processing operation. As will be hereinafter more fully explained, a purchase order during processing under control of state machine 300 can only come to rest at a predetermined number of processing stations or states (e.g., H, M, N, O, X, etc.) as shown in FIG. 2.

[0042] Each block represents a state in which a purchase order being processed by the Order Processing System 30 can occupy. According to the present invention, a purchase order being processed by the Order Processing System 30 must move from one state to the other except in the states indicated in bold, e.g., states (H), (M), (N), (O), (X), and (W). These are the only states according to the present invention in which a purchase order can be at rest at a final destination. All other states are transient and the order will eventually move to the next state, or eventually flagged with an error condition which

triggers an alarm to customer service indicating an abnormality in the order processing. For example, an order that has been placed for a product in stock but never shows up as being shipped (i.e., stuck in the "in-stock" state) times out after a predetermined time period and is flagged as an error. With the Order Processing System 30 of the present invention functioning as a state machine as described above, a purchase order can only be in predetermined states at any given time thereby facilitating ease of tracking of the status of an order.

[0043] A detailed description of each of the sub-systems is provided hereinafter.

Multi-Level Fraud Detection

[0044] The Fraud Detection sub-system 310 of the present invention is a multi-level fraud checking system used to determine if an order is a valid order. As shown in FIG. 1, when an order is passed from the Online Shopping System 20, the Order Processing System 30 receives the order information such as credit card information, billing address, shipping address, quantity of selected products, sales prices of the products, etc. This order information is initially passed through the Fraud Detection sub-system 310.

[0045] As shown in FIG. 4, the logic blocks of the Fraud Detection sub-system 310 includes a data integrity checker 312, a rule-based gross fraud comparator 314, a credit authorization/fraud score generator 316, and rule-based fraud score comparator 318. The interaction of these logic blocks will be explained with reference to the flow diagram as shown in FIG. 3.

[0046] Once the order data is input into the Fraud Detection sub-system 310, the data integrity checker 312 initially performs a data integrity check on the order information for completeness such as billing address information, shipping address information, and method of payment. For example, credit card information is checked to verify that the credit card is not yet expired for credit card purchases. If the data integrity check fails on the order, the customer is notified of the incomplete portions of the order for correction. Once the order passes the data integrity check, the order then proceeds to the gross fraud comparator 314.

[0047] Gross fraud check involves searching the Fraud Database 730 internal to the transaction processor 10 of the present invention for history of bad credit by the customer submitting the order. The gross fraud check of the present invention acts as an initial filter for rejecting obvious fraudulent orders such as orders from "black-listed" customers in the Fraud Database 730 with previous histories of bad credit, orders from countries other than the United States under economic crisis, etc. If an order fails the gross fraud check, the order is passed to Customer Service 340 and the customer is immediately notified of the reasons why the order cannot be processed. If, on the other hand, the order passes the gross fraud check, the order is then checked for credit card authorization from a financial institution, such as a commercially available fraud check service and AVS (Address Verification Service).

[0048] Based on the information received from the financial institution, a fraud level score, for example, is generated by the credit authorization/fraud score generator 316. The fraud level score is a grading system that indicates the level of risk the order will pose to the business by processing the order. The score is then compared with several predetermined thresholds by the rule-based fraud score comparator 318 and takes different actions based on the comparison to these multiple thresholds. If the score is below the minimal threshold, the order is sent for further processing. If the score is above the maximum threshold, the order is sent into sorting bin 319. The intermediate thresholds allow the order to pass through various intermediate steps while triggering flags for each failed threshold comparison. This allows the failed order to be characterized by several types of failures given a total overall score. The sorting bin 319 of the present invention acts as a buffer to minimize discarded orders. According to the present invention, a dynamic sorting procedure is performed on the rejected orders stored in the sorting bin 319.

[0049] The failed orders in the sorting bin 319 are analyzed for reasons why the fraud level score was so high. Failed orders are analyzed for previous purchases by the customer, whether the customer is an account holder, etc. and sorted between high risk and low risk orders. For instance, orders from repeat customers who otherwise have a good history of previous purchases, for example, are low risk orders even though the fraud score is high and orders from customers who have no previous purchase history

pose a high risk on defaulting on payments. Subsequently, the sorted orders are either sent to Customer Service 340 to be altered and resubmitted for validation or stored in a list of bad names in the Fraud Database 730 to be used in the gross fraud check of subsequent orders.

[0050] Alternatively, if there are generally a high number of failed orders in the sorting bin preventing sales of products, the fraud scores are analyzed and either the rules for generating the fraud score is altered or the thresholds are dynamically modified to reduce the number of orders being rejected. Furthermore, the comparator parameters in the data integrity checker 312 and gross fraud comparator may also be modified based on the results of the rejected orders to optimize order validations. By incorporating multi-level fraud checking system in the manner of the present invention, orders that would otherwise be lost can be recovered thereby increasing business transactions.

Distributor Selection

[0051] Once an order has been checked for fraud and passes as a valid order, the products in the order are checked by the Distributor Selection sub-system 330 to determine which distributor will be used to fill the order. The selection of a distributor may be determined by several different methods.

[0052] Preferably, as shown in FIG. 5, when an order is received by the Distributor Selection sub-system 330, the product information such as the product SKU (i.e., Stock-Keeping Unit) number and quantity is determined from the order and sent to the data input 331. This information is then sent to each of the distributors and the distributors are polled for availability, quantity available by the distributor, and the current price for the product, for example. The information received from each of the distributors are then used by the distribution selection logic 332 to determine which distributor will fill the order. When more than one distributor can fill the order, the product information from each of the available distributors is processed by the distribution logic 332 based on the rule-based algorithm to determine which distributor will be able to best fill the order.

[0053] For example, the rules for selecting a distributor may be set to select the distributor providing the product with the maximum profit margin or within a range of

margins. Alternatively, the rules may also take into consideration the type of shipping available from the distributor. For instance, if one distributor provides the product with the maximum profit margin but only has ground shipping available that may take weeks for delivery but another distributor provides next-day delivery with a lesser profit margin and the customer indicated speedy delivery, then the second distributor is selected since the first distributor, although providing the maximum profit margin, cannot fulfill the speedy delivery indicated by the customer. In other situations, the Distributor Selection sub-system 330 may be forced to select a particular distributor for a certain product regardless of other factors because of special relations with that particular distributor.

[0054] Alternatively, if the connection between some or all of the distributors cannot be established during an ordering processes, the product information stored in the Product Database 720 may be used instead of delaying the processing of the orders. As explained above, the products information is updated preferably three times during a business day. Therefore, although the data in the Product Database 720 is not as accurate as real-time data, the information is generally recent enough to fill the order.

[0055] Once a distributor selection is made, the Distribution Selection sub-system 330 forwards the order electronically to the selected distributor to fill the order. The Distributor Selection sub-system 330 then receives verification from the distributor such as customer number, warehouse information, shipment date, invoice amount, shipping cost, tracking number, etc. and stores the order information in the Order Database 740 to make it immediately available to the customer service and the customer's online account.

Credit Card Services

[0056] Credit Card Services sub-system 320 receives the orders forwarded to the distributor by the Distributor Selection sub-system 330 and forwards the total cost of the order to the Payment Processing System 40 to be charged to the customer's credit card. Alternatively, if a product has been returned, the Credit Card Services sub-system 320 processes the RMA (i.e., Returned Merchandise Authorization) and sends the request to the Payment Processing System 40 to refund the amount to the customer.

Customer Service

[0057] Customer Service sub-system 340 provides a feedback interface between the E-Commerce business using the transaction processor 10 of the present invention with the customers. Customer Service sub-system 340 allows the customer service representatives to access any part of the order processing being performed by the Order Processing System. Customer Service 340 provides the interface into the Order Processing System 30 by handling failed orders, sorted orders from failed orders, customer inquires to order/RMA status, and other customer service issues.

[0058] In particular, Customer Service sub-system 340 provides automated feedback to the customer. For instance, once an order has been properly processed, the Customer Service sub-system 340 will send an automated message to the customer with the order information such as customer number, shipment number, tracking number, etc. In cases where orders have failed during the processing period, Customer Service sub-system 340 automatically generates notices to the customer and/or customer service relaying that the order has failed and provides further instructions on how to correct the problem. Additionally, Customer Service sub-system 340 may be programmed to send customers in the Customer Database 710 periodic newsletters, promotional offers, exclusive sales, coupons and incentive, etc. Moreover, this periodic feedback to the customer can be highly personalized based on the information stored in the Customer Database 710 such as the customer's buying patterns.

Payment Processing System

[0059] The Payment Processing System 40 receives order/RMA information from the Order Processing System 30 in conjunction with the payment method information. For credit card orders, the Payment Processing System 40 contacts the financial institution issuing the credit card and charge the account holder for purchases or credit the account for processed RMAs. For non-credit card orders, the Payment Processing System 40 may issue bills, receive CODs (i.e., cash-on-delivery) and checks, issue refunds, process wire-

transfers, etc. Moreover, the present invention may also take advantage of online leases and loans, a relatively new service in the area of e-commerce.

[0060] With respect to the online loans, once a customer is finished shopping with the Online Shopping System 20 of the present invention, the customer applies electronically to a financial institution for a loan. When the loan has been approved, the financial institution sends a loan number and the loan balance limit to the Order Processing System 30. The Payment Processor 40 then proceeds to use the loan number as a credit card number and finishes the transaction by drawing on the approved loan from the financial institution.

[0061] With regard to the online lease, once a customer is finished shopping, the customer applies for a lease from a financial institution. When the application is approved, the financial institution sends a lease number to the Order Processing System 30. The Payment Processor 40 then proceeds to use the lease number as a credit card number and finishes the transaction drawing on the approved balance from the leasing institution. The purchase is then shipped directly to the customer, but as with all leases, the leasing institution owns the products.

Example of Ordering Online

[0062] The transaction processor 10 of the present invention will be described with specific embodiments to more clearly describe the functionality of the present invention. However, equivalent components and obvious modifications within the ability of one with ordinary skill in the art may be used without departing from the scope of the present invention.

[0063] The transaction processor 10 of the present invention is built on industry standard equipment including Sun UltraSparc servers, Solaris operating system, Apache Web servers, and Oracle databases. Preferably, each of the systems and sub-systems are installed on a dedicated server running in parallel in a distributed processing architecture.

[0064] A customer accesses the Online Shopping System 20 via the company's Web page through a public Web server 110, such as the customer's ISP (i.e., Internet Service Provider). Once on the company's Web page, the customer is issued a unique

identification number using various techniques such as using the customer's IP (i.e., Internet Protocol) address, IP host name, personal information, etc. so that others accessing the Online Shopping System 20 do not share each others' shopping information. The customer then browses/searches the Web site (i.e., electronic catalog) for a particular product. The customer selects the product or products and the Online Shopping System 20 places the selected products in an electronic shopping cart.

[0065] At the time of checkout, the customer is asked to create a customer account asking for personal information such as name, billing address, telephone number, email address, as well as some profile information (all of which may be optional) to generate a customer account. If the customer already has an account, then the account ID is used to identify the customer and the customer is prompted for their password.

[0066] Once a customer account has been established, the order is filled out for the products to be purchased including quantity, method of payment (the credit card number may be established in the customer account so that it does not have to be inputted every time), shipping address, and method of shipment. When the order is completed, the order is passed onto the Order Processing system 30.

[0067] The Fraud Detection sub-system 310 performs a data integrity check such as whether each of the required fields of the order form are filled out, checksum test of the credit card number, etc. If the order fails the integrity check, the customer is prompted with an error message requiring to resubmit the order with the corrections. If the order passes the integrity check, then the order undergoes the gross fraud check.

[0068] The gross fraud check determines whether the customer has a history of defaulting on payments, whether the credit card number is a valid number, or is ordering from a "black-listed" location such as Romania or Russia. If the order fails the gross fraud check, the order is sent into a sorting bin. If the order passes the gross fraud check, the order is sent to a commercially available fraud checking service such as CyberSource.RTM.. CyberSource.RTM. processes the order information and returns a fraud score. The fraud score is then compared to a plurality of predetermined threshold 340 and used in conjunction with other fraud rule based checks. If the order fails, it is placed into the sorting bin. If the order passes, it is sent to the Distributor Selection sub-system 330 for further processing.

[0069] As for the orders in the sort bin, the failed orders are sorted between high risk and low risk orders such as whether the order was from an account holder who has good credit history from past purchases, whether the fraud score was too high because the billing address did not match the address of the credit card, etc. The plausible orders are then forwarded to the Customer Service sub-system 340 from which the Customer service representatives either contact the customer to clarify the discrepancies or override the fraud checks and place them into the processing bin to be sent to the Distributor Selection sub-system 330 for further processing. The rest of the failed orders are placed in the Fraud Database 730.

[0070] The Distributor Selection sub-system 330 sends the product information (i.e., SKU and quantity) to each of the distributors such as independent pick, pack, and ship distributors and receives information on the products such as availability and cost. The Distributor Selection sub-system 330 forwards this information to the Catalog Builder/Price Modeler 50 and profit margins are calculated. The Distributor Selection sub-system 330 then selects the distributor with, for example, the highest margin or other selected criteria for particular products and forwards the order electronically. Once the distributor fills the order, the Customer Service sub-system 340 receives or retrieves the order information such as the customer number, warehouse number, shipment date, shipment tracking information, invoice amounts, etc.

[0071] Customer Service sub-system 340 emails the customer within minutes after a valid order is received with a confirmation number. The Customer Service sub-system 340 emails the customer again when the order is shipped by the distributor or notifies the customer that the product is not available and has been placed on back order.

[0072] The preceding description has been presented only to illustrate and describe the invention. It is not intended to be exhaustive or to limit the invention to any precise form disclosed. Many modifications and variations are possible in light of the above teaching.

[0073] The preferred embodiment was chosen and described in order to best explain the principles of the invention and its practical application. The preceding description is intended to enable others skilled in the art to best utilize the invention in various embodiments and with various modifications as are suited to the particular use

contemplated. It is intended that the scope of the invention be defined by the following claims.

What is claimed is:

1. An internet-centric electronic transaction processor for facilitating automated retail sale of products from distributors to customers via a web-site, comprising:

a database having stored therein product data for a plurality of products and customer data, wherein said product data comprises data electronically transmitted from a plurality of distributors of said plurality of products, wherein said data corresponding to identical products for sale by more than one of said distributors;

a catalog builder for generating electronic catalogs having user-specific product offerings for said plurality of products, said wherein said catalog builder dynamically places said user-specific product offerings in said electronic catalogs based on information stored in said database;

a communication interface for permitting customers to access said electronic catalogs, to view said user-specific product offerings via a communications network, and to place purchase orders for one or more of said products;

a payment authorization processor for determining whether to accept said purchase orders for fulfillment based on at least in part information stored in said database,

a distributor authorization processor for authorizing said one or more distributors to directly ship said one or more products according to said purchase orders provided said purchase orders are accepted by said payment authorization processor; and

a customer service sub-system for sending automated messages to said one or more customers with information of accepted purchase orders.

2. The internet-centric electronic transaction processor of claim 1, wherein said data comprises product description, quantity available and price for each of said products for each of said distributors.

3. The internet-centric electronic transaction processor of claim 1, wherein said customer data including customer name, billing address, email address and purchase patterns.

4. The internet-centric electronic transaction processor of claim 3, wherein said customer service sub-system generates personalized promotional offers based on at least in part data stored in said customer database.

5. The internet-centric electronic transaction processor of claim 4, wherein said personalized promotional offers comprise purchase incentives.

6. The internet-centric electronic transaction processor of claim 1, wherein said catalog builder dynamically adjusts pricing for said product offerings in said electronic catalogs based on at least in part information in database.

7. The internet-centric electronic transaction processor of claim 1, wherein said catalog builder dynamically adjusts pricing of said product offerings based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

8. The internet-centric electronic transaction processor of claim 1, further comprising a distributor selection sub-system for selecting a particular one of said plurality of distributors for filling a particular one of said purchase orders.

9. The internet-centric electronic transaction processor of claim 1, further comprising a secure web-site coupled to said database, said secure web-site for enabling said plurality of distributors to access said database and to update said catalog-type product data.

10. The internet-centric electronic transaction processor of claim 1, wherein said plurality of distributors comprise a plurality of individual vendors.

11. An internet-centric electronic transaction method executable by one or more computers for facilitating automated retail sales of products from distributors to customers, comprising:

obtaining product data for a plurality of products from a plurality of distributors for said products via a communications network, wherein said product data comprises data corresponding to identical products for sale by more than one of said distributors;

storing said product data in a database;

obtaining customer data from a plurality of customers and storing said customer data in said database;

generating, at least in part from data in said database, electronic catalogs having user-specific product offerings for said plurality of products;

permitting said customers to access said electronic catalog, to view said user-specific offerings, and to allow said customers to place purchase orders for one or more of said products via said communications network;

determining whether to accept said purchase orders based on at least in part information stored in said database;

authorizing said one or more distributors to ship said one or more products to according to said purchase orders provided said purchase orders are deemed acceptable; and

sending automated messages to said one or more customers with information of accepted purchase orders.

12. The internet-centric electronic transaction method of claim 11, wherein said data comprises product description, quantity available and price for each of said products for each of said distributors.

13. The internet-centric electronic transaction method of claim 11, wherein said customer data including customer name, billing address, email address and purchase patterns.

14. The internet-centric electronic transaction method of claim 13, further comprising generating personalized promotional offers based on at least in part data stored in said customer database.

15. The internet-centric electronic transaction method of claim 14, wherein said personalized promotional offers comprise purchase incentives.

16. The internet-centric electronic transaction method of claim 11, further comprising dynamically adjusting pricing of said product offerings in said electronic catalogs based on at least in part information stored in said database.

17. The internet-centric electronic transaction method of claim 11, further comprising dynamically adjusting pricing of said product offerings in said electronic catalogs based on a plurality of factors including at least one of: an amount of web-site traffic, sales for a particular category, and sales for a particular product.

18. The internet-centric electronic transaction method of claim 11, further comprising selecting a particular one of said plurality of distributors for filling a particular one of said purchase orders.

19. The internet-centric electronic transaction method of claim 11, further comprising providing secure web access to said database to enable said plurality of distributors to access said database and to update said product data.

20. The internet-centric electronic transaction method of claim 11, wherein said plurality of distributors comprise a plurality of individual vendors.

ABSTRACT

An Internet business transaction processor of the present invention has a distributed processing architecture which allows the processing load to be distributed among multiple parallel servers. The transaction processor of the present invention provides a virtual store front utilizing "others people's warehouse" approach by using a dynamic distributor selection processing system to select among a plurality of distributors based on flexible rule-based algorithm.

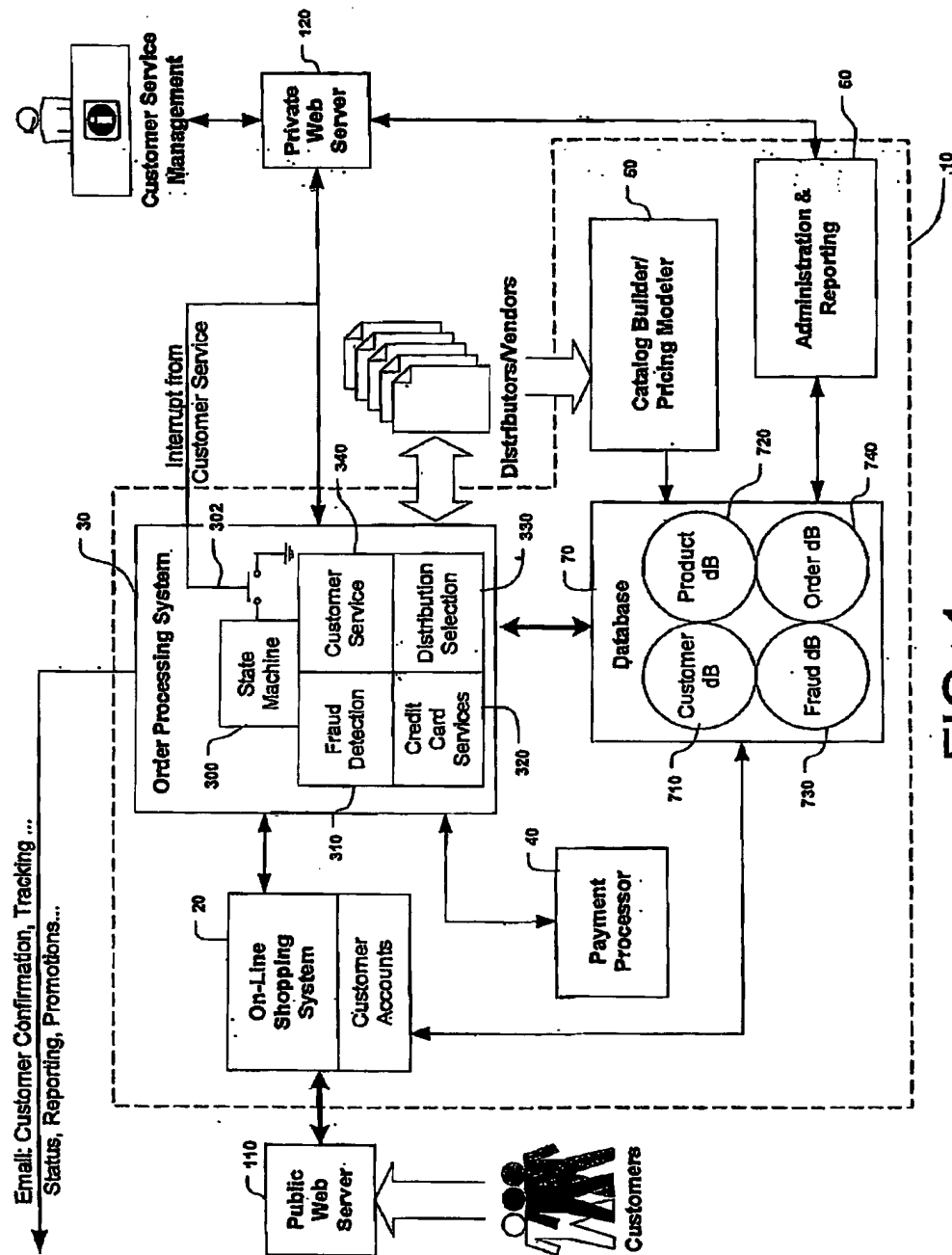


FIG. 1

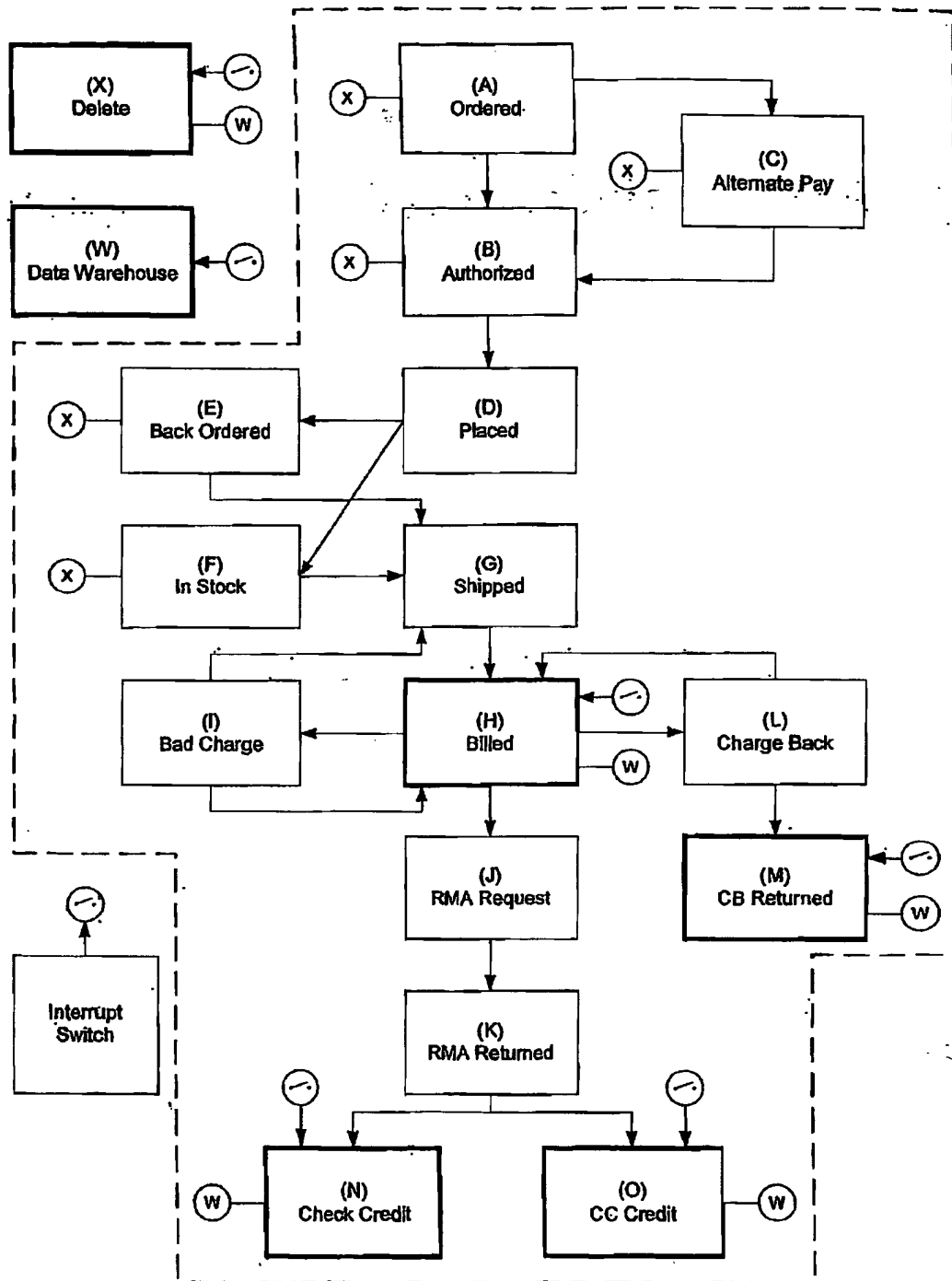


FIG. 2

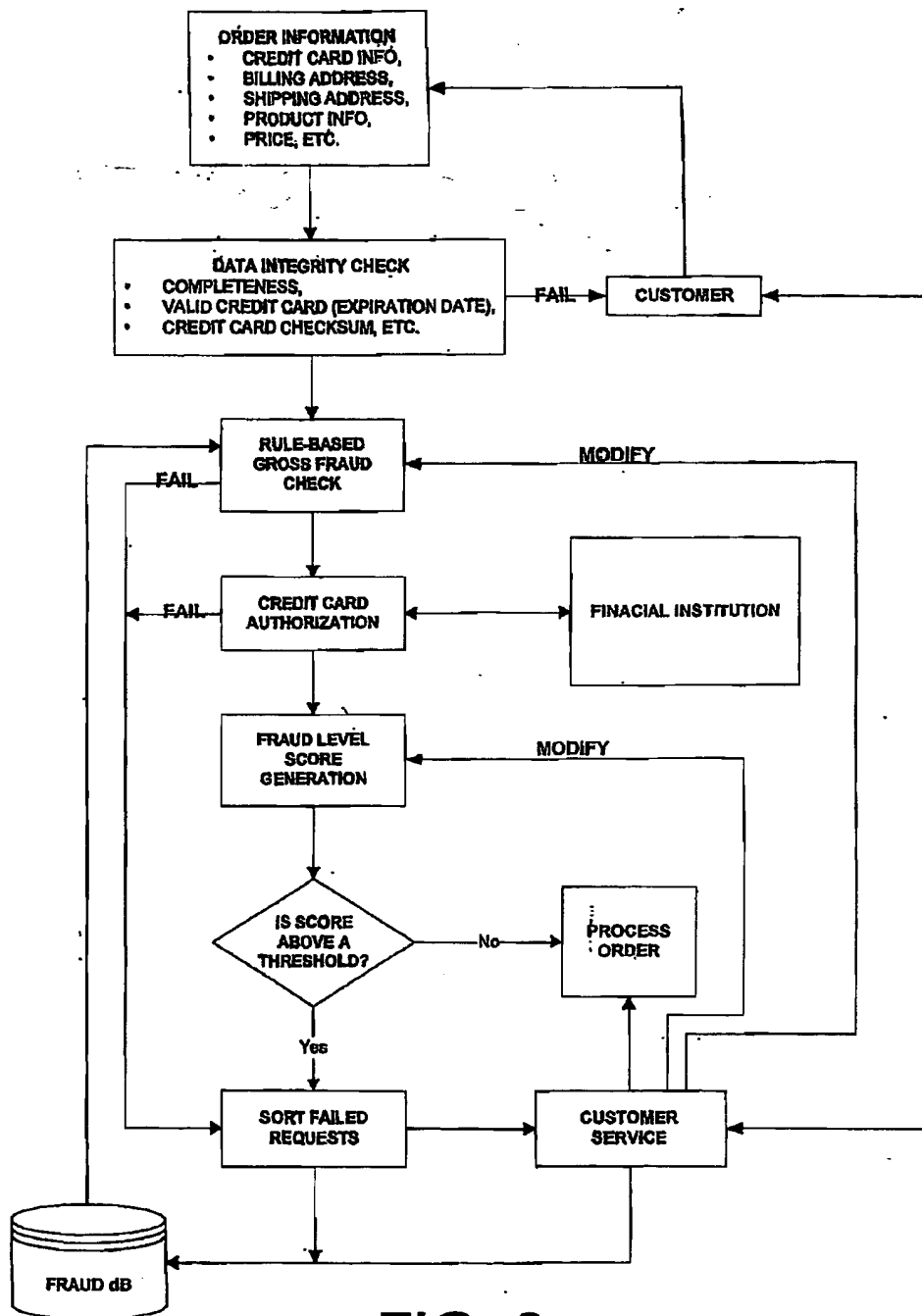


FIG. 3

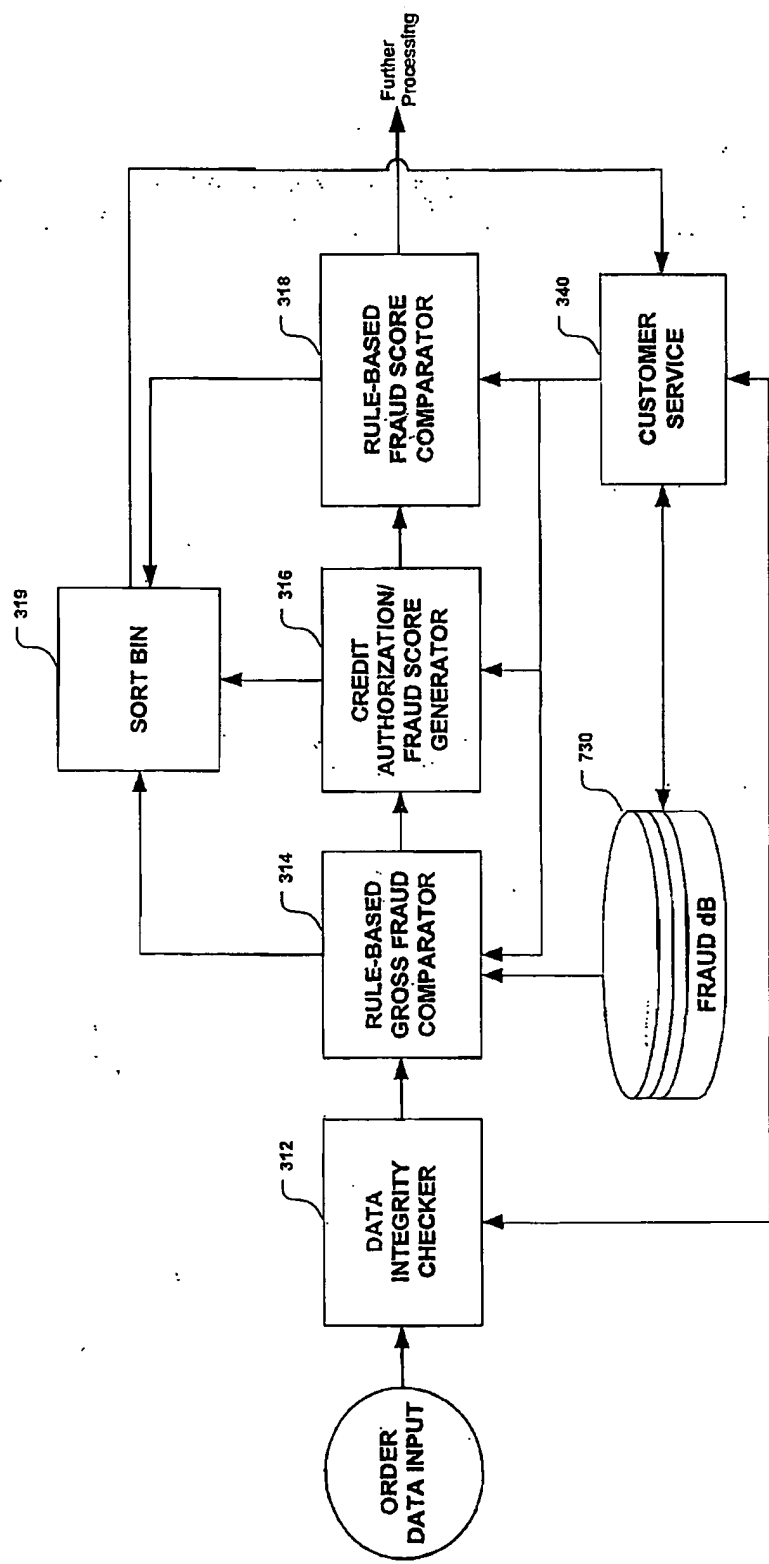


FIG. 4

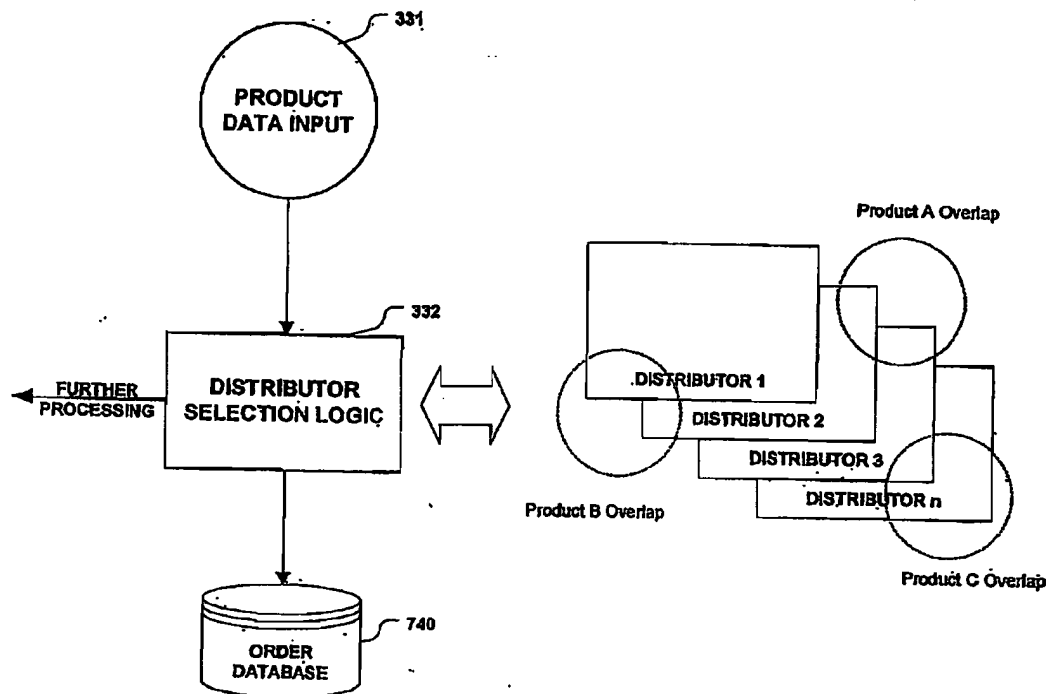


FIG. 5

English Language Declaration

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 the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

MULTI-LEVEL FRAUD CHECK WITH DYNAMIC FEEDBACK FOR INTERNET BUSINESS TRANSACTION PROCESSOR

the specification of which

(check one)

X is attached hereto.

was filed on _____ as

Application Serial No.

and was amended on

(if applicable)

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 Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent of inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material to patentability as defined in Title 37, Code of Federal Regulations, §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>60/104,831</u> (Application Serial No.)	<u>October 19, 1999</u> (Filing Date)	<u>pending</u> (Status)
		(patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status)
		(patented, pending, abandoned)

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.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

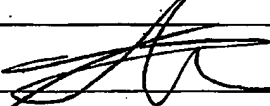
Ronald P. Kananen, Reg. No. 24,104; Ralph T. Rader, Reg. No. 28,772; Michael D. Fishman, Reg. No. 31,951; Richard D. Grauer, Reg. No. 22,388; Joseph V. Coppola, Sr., Reg. No. 33,373; Michael B. Stewart, Reg. No. 36,018; Steven L. Nichols, Reg. No. 40,326; Jeffrey L. Thompson, Reg. No. 37,025; David K. Benson, Reg. No. 42,314; and Paul W. Fish, Reg. No. 22,435.

Send Correspondence to:

Ronald P. Kananen, Esq.
RADER, FISHMAN & GRAUER PLLC
Suite 501
1233 20TH Street, N.W.
Washington, D.C. 20036

Direct telephone calls to:

Ronald P. Kananen, Esq.
(202) 955-3750

Full name of sole or first inventor Robert S. ALVIN	
Inventor's signature 	6/25/99 Date
Residence Boulder Creek, CA	
Citizenship US	
Post Office Address 187 Redwood Drive	
Boulder Creek, CA 95006	
Full name of second joint inventor	
Second Inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

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**POWER OF ATTORNEY
OR
REVOCATION OF POWER OF ATTORNEY
WITH A NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	TBD
Filing Date	Herewith
First Named Inventor	Alvin, Robert S.
Title	Multi-level fraud check...
Art Unit	TBD
Examiner Name	TBD
Attorney Docket Number	HWST-001-999

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ 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) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith:

42,179

OR

☐ I hereby appoint Practitioner(s) named below as my/our attorney(s) or agent(s) to prosecute the application 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 application 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:

☐ Applicant/Inventor.

OR

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) (Form PTO/SB/96) submitted herewith or filed on _____

SIGNATURE of Applicant or Assignee of Record

Signature

Rakesh Ramde

Date

Oct. 26, 2009

Name

Rakesh Ramde

Telephone

650-969-8300

Title and Company

Mount Hamilton Partners, LLC

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 1.31, 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.

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

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Mount Hamilton Partners, LLC

Application No./Patent No.: TBD

Filed/~~Issue~~ Date: Herewith

Titled: Multi-level fraud check with dynamic feedback for internet business transaction processor

Mount Hamilton Partners, LLC, a limited liability company

(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: Robert Alvin To: HardwareStreet.com, Inc.

The document was recorded in the United States Patent and Trademark Office at
Reel 010074, Frame 0838, or for which a copy thereof is attached.

2. From: HardwareStreet.com To: Innovation Management Sciences

The document was recorded in the United States Patent and Trademark Office at
Reel 016078, Frame 0559, or for which a copy thereof is attached.

3. From: Innovation Management Sciences To: Mount Hamilton Partners, LLC

The document was recorded in the United States Patent and Trademark Office at
Reel 018310, Frame 0095, 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(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.

Rakesh Ramde
Signature

26 October 2009

Date

Rakesh Ramde

Member

Printed or Typed Name

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.

PATENT APPLICATION SERIAL NO. _____

**U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET**

10/28/2009 HDESTA1 00000027 12589645

01 FC:2011	165.00 OP
02 FC:2111	270.00 OP
03 FC:2311	110.00 OP

PTO-1556
(5/87)

Filing Date: 102609

Approved for use through 7/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

12/589,645**APPLICATION AS FILED – PART I**

(Column 1) (Column 2)

SMALL ENTITY**OTHER THAN
SMALL ENTITY**

FOR	NUMBER FILED	NUMBER EXTRA
BASIC FEE (37 CFR 1.16(a), (b), or (c))		
SEARCH FEE (37 CFR 1.16(k), (l), or (m))		
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))		
TOTAL CLAIMS (37 CFR 1.16(i))	20	minus 20 =
INDEPENDENT CLAIMS (37 CFR 1.16(h))	2	minus 3 =
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$270 (\$135 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).	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))		

RATE (\$)	FEE (\$)
	165
	270
	110
X 26 =	
X 110 =	
N/A	
TOTAL	545

OR

RATE (\$)	FEE (\$)
X 52 =	
X 220 =	
N/A	
TOTAL	

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

APPLICATION AS AMENDED – PART II

(Column 1) (Column 2) (Column 3)

SMALL ENTITY**OTHER THAN
SMALL ENTITY**

AMENDMENT A		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total (37 CFR 1.16(i))	*	Minus	**	=
	Independent (37 CFR 1.16(h))	*	Minus	***	=
	Application Size Fee (37 CFR 1.16(s))				
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					

RATE (\$)	ADDI- TIONAL FEE (\$)
X =	
X =	
N/A	
TOTAL ADD'T FEE	

OR

OR

OR

OR

OR

RATE (\$)	ADDI- TIONAL FEE (\$)
X =	
X =	
N/A	
TOTAL ADD'T FEE	

(Column 1) (Column 2) (Column 3)

AMENDMENT B		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
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	Independent (37 CFR 1.16(h))	*	Minus	***	=
	Application Size Fee (37 CFR 1.16(s))				
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					

RATE (\$)	ADDI- TIONAL FEE (\$)
X =	
X =	
N/A	
TOTAL ADD'T FEE	

OR

OR

OR

OR

OR

RATE (\$)	ADDI- TIONAL FEE (\$)
X =	
X =	
N/A	
TOTAL ADD'T 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.

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.