AO 120 (Rev. 08/10)

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

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 CENTRAL DISTRICT OF CALIFORNIA on the following

☐ Trademarks or ☒ Patents. (☐ the patent action involves 35 U.S.C. § 292.):

DOCKET NO.	DATE FILED	U.S. DISTRICT COURT
PLAINTIFF HID GLOBAL CORPORATION, a Delaware corporation; and ASSA ABLOY AB, a Swedish Limited Liability Company, **SACV14-00947 CJC (DFMx)**		DEFENDANT KWIKSET CORPORATION, a Delaware corporation; and DOES 1 through 10, inclusive,

PATENT OR TRADEMARK NO.	DATE OF PATENT OR TRADEMARK	HOLDER OF PATENT OR TRADEMARK
1 US 7,706,778	April 27, 2010	ASSA ABLOY AB
2 US 8,150,374	April 3, 2012	ASSA ABLOY AB
3		
4		
5		

FILED
2014 JUN 19 PM 3:34
CLERK U.S. DISTRICT COURT
CENT. DIST. OF CALIF.
SANTA ANA
BY (JMV)

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

DATE INCLUDED	INCLUDED BY ☐ Amendment ☐ Answer ☐ Cross Bill ☐ 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	(BY) DEPUTY CLERK	DATE

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

SPECTRUM EX. 1005
Spectrum Brands v. Assa Abloy
US Patent No. 7,706,778

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.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/397,542	04/27/2010	7706778	2943-106	5973

22442 7590 04/07/2010

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

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 600 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):

Peter R. Lowe, Peyton, CO;

PTO/SB/08a (08-03)
Approved for use through 07/31/2006. 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 contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	11397542
Filing Date	2006-04-03
First Named Inventor	LOWE, Peter R.
Art Unit	2617
Examiner Name	To Be Determined
Attorney Docket Number	2943-106

U.S.PATENTS Remove

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/K.D./	1	6859650	B1	2005-02-22	Ritter	
/K.D./	2	6,577,229 ~~6577299~~	B1	2003-06-10	Bonneau et al.	GE 3/9/10

If you wish to add additional U.S. Patent citation information please click the Add button. Add

U.S.PATENT APPLICATION PUBLICATIONS Remove

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information please click the Add button. Add

FOREIGN PATENT DOCUMENTS Remove

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

If you wish to add additional Foreign Patent Document citation information please click the Add button Add

NON-PATENT LITERATURE DOCUMENTS Remove

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)

22442 7590 02/18/2010

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

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.

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.

Leslie M. Frankel	(Depositor's name)
Leslie M. Frankel	(Signature)
2010-03-05	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

TITLE OF INVENTION: SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	05/18/2010

EXAMINER	ART UNIT	CLASS-SUBCLASS
DOAN, KIET M	2617	455-411000

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,
(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.
1 Sheridan Ross P.C.
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: Assa Abloy AB

(B) RESIDENCE: (CITY and STATE OR COUNTRY): Stockholm, Sweden

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.
☒ Payment made via EFS-Web
☐ 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 March 5, 2010

Typed or printed name Matthew R. Ellsworth Registration No. 56,345

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.

Electronic Patent Application Fee Transmittal

Application Number:	11397542
Filing Date:	03-Apr-2006
Title of Invention:	SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE
First Named Inventor/Applicant Name:	Peter R. Lowe
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Attorney Docket Number:	2943-106

Filed as Large 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:				
Post-Allowance-and-Post-Issuance:				
Utility Appl issue fee	1501	1	1510	1510
Publ. Fee- early, voluntary, or normal	1504	1	300	300

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Extension-of-Time:				
Miscellaneous:				
			Total in USD ($)	**1810**

Electronic Acknowledgement Receipt

EFS ID:	7149845
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	05-MAR-2010
Filing Date:	03-APR-2006
Time Stamp:	13:51:39
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$1810
RAM confirmation Number	112
Deposit Account	191970
Authorized User	

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

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

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

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Issue Fee Payment (PTO-85B)	ISSUE_FEE.pdf	159653 5df2d4696aa5b2d13efd55a8b1cf0a33fc928109	no	1
Warnings:					
Information:					
2	Fee Worksheet (PTO-875)	fee-info.pdf	32329 2333a35d57d88fa4bede97f56e2d9a5511bf3448	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	191982		

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

NOTICE OF ALLOWANCE AND FEE(S) DUE

22442 7590 02/18/2010

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

EXAMINER	
DOAN, KIET M	
ART UNIT	PAPER NUMBER
2617	

DATE MAILED: 02/18/2010

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

TITLE OF INVENTION: SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	05/18/2010

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)

22442 7590 02/18/2010

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

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.

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.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

TITLE OF INVENTION: SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	$1510	$300	$0	$1810	05/18/2010

EXAMINER	ART UNIT	CLASS-SUBCLASS
DOAN, KIET M	2617	455-411000

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,

(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.

1 _____

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.

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.

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.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

22442 7590 02/18/2010

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

EXAMINER	
DOAN, KIET M	
ART UNIT	PAPER NUMBER
2617	

DATE MAILED: 02/18/2010

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 512 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 512 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.

Notice of Allowability	Application No.	Applicant(s)	
	11/397,542	LOWE, PETER R.	
	Examiner	Art Unit	
	KIET DOAN	2617	

-- 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 *amendment filed on 12/01/09*.

2. ☒ The allowed claim(s) is/are *1,2,4,6-19,21,23-39 and 41-47*.

3. ☐ 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.

4. ☐ 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.

5. ☐ 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).

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date 10/09/09
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413), Paper No./Mail Date _____ .
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

DETAILED ACTION

1. This office action is in response to Applicant's Remarks filed on 12/01/2009.

Claims 1, 16 and 33 are amended.

Claims 3, 5, 20, 22 and 40 are canceled.

Claims 45-47 are new.

Information Disclosure Statement

2. The information disclosure statement (IDS) submitted on 10/09/2009. The submission is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

Allowable Subject Matter

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

Claims 1, 2, 4, 6-19, 21, 23-39, 41-47 are allowed based on applicant's amendment and remarks filed on 12/01/2009.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to KIET DOAN whose telephone number is (571)272-7863. The examiner can normally be reached on 9-5.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Charles Appiah can be reached on 571-272-7904. 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.

/Kiet Doan/
Examiner, Art Unit 2617

/Charles N. Appiah/
Supervisory Patent Examiner, Art Unit 2617

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	**Art Unit**
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008	03/25/2009	09/05/2009	02/08/2010					
1	1	✓	✓	✓	=					
2	2	✓	✓	✓	=					
	3	✓	✓	✓	-					
3	4	✓	✓	✓	=					
	5	✓	✓	✓	-					
4	6	✓	✓	✓	=					
5	7	✓	✓	✓	=					
6	8	✓	✓	✓	=					
7	9	✓	✓	✓	=					
8	10	✓	✓	✓	=					
9	11	✓	✓	✓	=					
10	12	✓	✓	✓	=					
11	13	✓	✓	✓	=					
12	14	✓	✓	✓	=					
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20	21	✓	✓	✓	=					
	22	✓	✓	✓	-					
21	23	✓	✓	✓	=					
22	24	✓	✓	✓	=					
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24	26	✓	✓	✓	=					
25	27	✓	✓	✓	=					
25	28	✓	✓	✓	=					
27	29	✓	✓	✓	=					
28	30	✓	✓	✓	=					
29	31	✓	✓	✓	=					
30	32	✓	✓	✓	=					
33	33	✓	✓	✓	=					
34	34	✓	✓	✓	=					
35	35	✓	✓	✓	=					
36	36	✓	✓	✓	=					

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	**Art Unit**
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008	03/25/2009	09/05/2009	02/08/2010					
37	37	✓	✓	✓	=					
38	38	✓	✓	✓	=					
39	39	✓	✓	✓	=					
	40	✓	✓	✓	-					
40	41	✓	✓	✓	=					
41	42	✓	✓	✓	=					
14	43			✓	=					
31	44			✓	=					
15	45				=					
32	46				=					
42	47				=					

Issue Classification

Application/Control No.	Applicant(s)/Patent Under Reexamination
11397542	LOWE, PETER R.
Examiner	**Art Unit**
KIET DOAN	2617

ORIGINAL		INTERNATIONAL CLASSIFICATION															
CLASS	SUBCLASS	CLAIMED										NON-CLAIMED					
455	411	H	0	4	M	1 / 66 (2006.0)											
CROSS REFERENCE(S)		H	0	4	L	29 / 06 (2006.0)											
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)																
713	200	158															

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

Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original
1	1	17	17	33	33										
2	2	18	18	34	34										
	3	19	19	35	35										
3	4		20	36	36										
	5	20	21	37	37										
4	6		22	38	38										
5	7	21	23	39	39										
6	8	22	24		40										
7	9	23	25	40	41										
8	10	24	26	41	42										
9	11	25	27	14	43										
10	12	26	28	31	44										
11	13	27	29	15	45										
12	14	28	30	32	46										
13	15	29	31	42	47										
16	16	30	32												

/KIET DOAN/ Examiner.Art Unit 2617	08/09/2010	**Total Claims Allowed:**	
(Assistant Examiner)	(Date)	42	
/CHARLES N APPIAH/ Supervisory Patent Examiner.Art Unit 2617	02/09/2010	O.G. Print Claim(s)	O.G. Print Figure
(Primary Examiner)	(Date)	1	1

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

SEARCHED

Class	Subclass	Date	Examiner
713	200	10/22/08	KD
455	403		KD
	461		KD
		03/24/09	
455	414		KD
	412		KD
		9/9/09	
705	1		KD
713	201		KD
		2/9/2010	
455	411		KD
713	158		
	200		

SEARCH NOTES

Search Notes	Date	Examiner
@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (mobile wireless pda $4phone)	10/22/08	KD
@ad<"20060404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information		KD
	03/24/09	
Using same reference and go Final		KD
	9/9/09	
utomat$6 near2 (updat$4 add$4 chang$3) and credential$4 and (sim (smart near card)) same (mobile wireless pda $4phone portable)		KD
@ad<"20050101" and updat$4 and credential$4 and (system server (base near station) computer) same (transmit$4 send$4) with message$1 same reader same database		KD
Update East Search		KD
	2/9/2010	
automat$7 near2 updat$3 and credent$4 and different$1 with (authenti$7 credent$4) and (mobile wireless pda $4phone) with ((sim near card) sim smart)		KD
automat$7 near2 updat$3 and credent$4 and different$1 with (authenti$7 credent$4) and (mobile wireless pda $4phone) with ((sim near card) sim smart).clm.		KD

SEARCH NOTES		
Search Notes	**Date**	**Examiner**
lowe.in. and automat$7 near2 updat$3 and credent$4 and (mobile wireless pda $4phone) with ((sim near card) sim smart)		KD
Update Search		KD

INTERFERENCE SEARCH			
Class	**Subclass**	**Date**	**Examiner**
705	201	9/9/09	KD
713	200	2/9/2010	KD
	158		KD

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known	
Application Number	11/397,542
Filing Date	April 3, 2006
First Named Inventor	Peter R. Lowe
Art Unit	2617
Examiner Name	Kiet M. Doan
Attorney Docket Number	2943-106

Sheet	1	of	1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-kind Code [2] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/K.D./	1	6374356	04/16/02	Daigneault et al.	
/K.D./	2	6719200	04/13/04	Wiebe	
/K.D./	3	6766450	07/20/04	Micali	
/K.D./	4	2008/0163361	07/03/08	Davis et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3]; Number[4]; Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
/K.D./	5	WO 04/025545	03/25/04	IVI SMART TECHNOLOGIES, INC.		
/K.D./	6	WO 05/024549	03/17/05	CORESTREET, LTD.		

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

Examiner Initials*	Cite No.[1]	

Examiner Signature	/Kiet Doan/	Date Considered	02/08/2010

*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	2	"6374356".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	OFF	2010/02/08 23:56
L2	16	("3926021" | "4223403" | "4415893" | "4727369" | "4816658" | "4849614" | "4988987" | "5140317" | "5319362" | "5475378" | "5477041" | "5541583" | "5610981" | "5623258" | "RE35336" | "RE36426").PN.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/08 23:57
L3	1	"6719200".pn.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/08 23:57
L4	4	("4582985" | "5144680" | "5239166" | "5869822").PN.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/08 23:58
L5	1	"6766450".pn.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/08 23:58
L6	17	("5261002" | "5659616" | "5666416" | "5799086" | "5825880" | "5841865" | "5850451" | "5857022" | "5867578" | "5875894" | "5903651" | "5903882" | "5995625" | "6009177" | "6209091" | "6442689" | "6532540").PN.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/08 23:58
L7	1	"20080163361"	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/08 23:59
L8	0	automat$7 same updat$3 near credent$4 and target near2 message$1 and different$1 near1 authenti $7 and (first second) near1 credent$4	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:04
L9	0	automat$7 same updat$3 near credent$4 and target near2 message$1 and different$1 near1 authenti $7 and credent$4	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:04

L10	0	automat$7 same updat$3 near credent$4 and different$1 near1 authenti $7 and credent$4	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:05
L11	3	automat$7 near2 updat$3 and credent$4 and different$1 with (authenti $7 credent$4) and (mobile wireless pda $4phone) with ((sim near card) sim smart).clm.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:07
L12	51	automat$7 near2 updat$3 and credent$4 and different$1 with (authenti $7 credent$4) and (mobile wireless pda $4phone) with ((sim near card) sim smart)	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:07
L13	24	("20020038422" | "20020112186" | "20020194473" | "20030144959" | "20040103324" | "20040162998" | "4993068" | "5428663" | "6067621" | "6091956" | "6393271" | "6493550" | "6883095" | "6909903" | "6915123" | "6928166" | "6928558" | "6934848" | "6968179" | "6976164" | "6987948" | "7016666" | "7039392" | "H002120").PN.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:14
L14	11	("5252951" | "5265014" | "6012098" | "6021403" | "6327608" | "6356933" | "6418448" | "6457066" | "6557026" | "6697849" | "6772216").PN.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:15
L15	3	automat$7 near2 updat$3 and credent$4 and different$1 with (authenti $7 credent$4) and (mobile wireless pda $4phone) with ((sim near card) sim smart).clm.	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:35

L16	1	lowe.in. and automat$7 near2 updat$3 and credent$4 and different$1 with (authenti$7 credent $4) and (mobile wireless pda $4phone) with ((sim near card) sim smart)	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:37
L17	1	lowe.in. and automat$7 near2 updat$3 and credent$4 and (mobile wireless pda $4phone) with ((sim near card) sim smart)	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:37
L18	244	automat$7 near2 updat$3 and credent$4 and (mobile wireless pda $4phone) with ((sim near card) sim smart)	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:40
L19	147	18 and @ad<"20051010"	US-PGPUB; USPAT; USOCR	OR	OFF	2010/02/09 00:41

2/9/2010 12:43:21 AM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No.: 11/397,542	)	Confirmation No.: 5973
Applicant: LOWE	)	Group Art Unit: 2617
Filed: April 3, 2006	)	Examiner: DOAN, KIET M
Docket No.: 2943-106	)	
For: "SYSTEM AND METHOD FOR REVOCABLY ASSIGNING AND REVOKING ACCESS CREDENTIALS…"	)	***Filed Electronically***

AMENDMENT AND RESPONSE

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

Sir:

Applicant submits this Amendment and Response to address the final Office Action having a mailing date of September 14, 2009. Although the Applicant believes that no fees are due for filing this Amendment and Response, please charge any fees deemed necessary to Deposit Account No. 19-1970.

CLAIM AMENDMENTS

1. (Currently Amended) A method of remotely maintaining a secure access system, comprising:

receiving, at a secure access system controller, a credential update for at least one user of the secure access system; ~~and~~

in response to receiving the credential update, said controller automatically initiating a system update process, the system update process comprising:

generating a message comprising information representing the credential update;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device associated with the at least one user; and

transmitting said message to said at least one target; and

wherein said at least one mobile device has a first set of credential data stored thereon, wherein upon receiving said message from said controller, said first set of credential data is changed to a second different set of credential data, wherein said message is transmitted to said at least one mobile device without receiving a request for said message from said at least one user, wherein said at least one mobile device is a smart mobile device, wherein said first set of credential data comprises self-authenticating data, wherein said second set of credential data comprises different self-authenticating data, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with respect to an asset.

2. (Previously Presented) The method of claim 1, wherein the system update process further comprises transmitting said message to at least one of a reader and a database.

3. (Canceled)

4. (Currently Amended) The method of claim ~~3~~1, wherein said first set of credential data has at least one of a key, password, unique ID, encryption scheme, and transmission protocol that is different in said second set of credential data.

5. (Canceled)

6. (Previously Presented) The method of claim 1, further comprising, in the event that said at least one mobile device does not receive said message and is subsequently presented to a reader, determining, by said reader, that said at least one mobile device is invalid.

7. (Previously Presented) The method of claim 1, wherein said credential updates are received at the controller on a periodic basis.

8. (Original) The method of claim 1, further comprising:

receiving said message at said at least one mobile device; and

modifying at least a portion of memory of said at least one mobile device according to said updated credential information.

9. (Previously Presented) The method of claim 8, wherein said modifying comprises at least one of disabling and revoking at least a portion of said memory.

10. (Original) The method of claim 8, further comprising:

disabling at least a portion of said memory unless an enabling message is received.

11. (Previously Presented) The method of claim 1, further comprising de-enrolling a user of at least one mobile device from an access list, wherein said credential update is generated in response to de-enrolling said user from said access list.

12. (Original) The method of claim 1, wherein said message is transmitted over a cellular communication network.

13. (Original) The method of claim 1, wherein said message is transmitted by at least one of a radio frequency signal and a near field communication signal.

14. (Previously Presented) The method of claim 1, further comprising:

presenting said at least one mobile device to a reader;

generating a second message comprising information related to said at least one mobile device being presented to said reader; and

sending said second message to at least one of a database, controller, and another mobile device.

15. (Original) The method of claim 14, wherein said second message is sent via a short message service (SMS) message.

16. (Currently Amended) A secure access system, comprising:

at least one mobile device comprising memory, wherein said memory comprises credential information;

a controller that is operable to receive a credential update for at least one user of the secure access system and in response to receiving the credential update automatically initiate a system update process, wherein during the system update process the controller is operable to automatically cause a message to be generated that comprises said updated credential, and cause said message to be transmitted to said at least one mobile device associated with said at least one user, wherein credential information on said memory is altered in response to receiving said message, wherein said credential update is initiated by an entity other than said at least one user, wherein said at least one mobile device is a smart mobile device, wherein said credential information comprises self-authenticating data, wherein said self-authenticating data is altered, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with respect to an asset.

17. (Previously Presented) The system of claim 16, further comprising:

at least one reader for determining an authenticity of said at least one mobile device; and

a database for maintaining information related to said system, wherein said controller is further operable to cause a second message to be generated that comprises said updated credential and cause said second message to be transmitted to at least one of said reader and said database.

18. (Previously Presented) The system of claim 17, wherein, in the event that said at least one mobile device does not receive said message, credentials of said at least one mobile device become obsolete.

19. (Original) The system of claim 18, wherein, upon presentation of said at least one mobile device to said at least one reader, the authenticity of said at least one mobile device is determined to be invalid.

20. (Canceled)

21. (Currently Amended) The system of claim ~~20~~16, wherein said credential information altered on said memory comprises at least one of a key, password, unique ID, encryption scheme, and transmission protocol.

22. (Canceled)

23. (Previously Presented) The system of claim 16, wherein credential updates are received at said controller on a periodic basis.

24. (Previously Presented) The system of claim 16, wherein credential information on said memory is at least one of disabled and revoked in response to receiving said message.

25. (Original) The system of claim 16, wherein said mobile device comprises a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received from said controller.

26. (Original) The system of claim 16, wherein said controller causes said message to be transmitted to said mobile device via at least one of a global system for mobile communications, a digital cellular system, and a personal communications system.

27. (Original) The system of claim 16, wherein said at least one mobile device is at

least one of a cellular phone, and personal digital assistant.

28. (Previously Presented) The system of claim 16, wherein said credential update is initiated in response to de-enrolling at least one user from a list of authorized users.

29. (Original) The system of claim 16, wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in each one of the plurality of mobile devices is altered.

30. (Original) The system of claim 16, wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in less than all of the plurality of mobile devices is altered.

31. (Original) The system of claim 16, wherein said message is transmitted via at least one of a radio frequency and near field communication signal.

32. (Original) The system of claim 16, wherein said message is transmitted via a cellular communications network.

33. (Currently Amended) A mobile device for use by a user in a secure access system, comprising:

a memory, wherein said memory comprises credential information; and

an interface operable to communicate with a reader and further operable to receive messages relating to updated-credential information, wherein, upon receipt of a first message, said credential information for the user is automatically changed from a first state to a second state, ~~and~~ wherein said messages relating to updated-credential information are received without said at least one user transmitting a request for said messages, wherein said credential information comprises self-authenticating data, wherein said self-authenticating data is different between said first state and said second state, and wherein said self-authenticating data enables said mobile device to make a determination of its own access rights with respect to an asset.

34. (Original) The device of claim 33, wherein, in the event that said first message is not received, said credential information is maintained in said first state and as a result becomes obsolete.

35. (Original) The device of claim 34, wherein said reader is operable to determine an authenticity of said mobile device based at least in part upon said credential information, and upon presentation of said mobile device to said reader, the authenticity of said mobile device is determined to be invalid.

36. (Original) The device of claim 33, wherein said reader is associated with a controller and the controller is operable to determine an authenticity of said mobile device based at least in part upon said credential information.

37. (Original) The device of claim 36, wherein said reader is operable to determine an authenticity of said mobile device based at least in part upon said credential information.

38. (Original) The device of claim 33, wherein said credential information comprises at least one of a key, password, unique ID, encryption scheme, and transmission protocol.

39. (Original) The device of claim 33, wherein said at least one of a key, password, unique ID, encryption scheme, and transmission protocol is different in said first state than in said second state.

40. (Canceled)

41. (Original) The device of claim 33, further comprising a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received.

42. (Original) The device of claim 33, wherein a near field communications protocol is used by said first interface to communicate with said reader.

43. (Previously Presented) The method of claim 1, wherein said credential update is pushed toward said at least one mobile device without any solicitation by said at least one mobile device or a user of said at least one mobile device.

44. (Previously Presented) The system of claim 16, wherein said credential update is pushed toward said at least one mobile device without any solicitation by said at least one mobile device or a user of said at least one mobile device.

45. (New) The method of claim 1, further comprising:

determining, by said at least one mobile device, that said at least one mobile device is not allowed access to the asset; and

in response to determining that said at least one mobile device is not allowed access to the asset, performing one of the following substeps:

(i) sending a signal back to a reader; and

(ii) doing nothing.

46. (New) The system of claim 16, wherein said at least one mobile device is adapted to make a self-determination that it is not allowed access to the asset and, in response to determining that it is not allowed access to the asset, either (i) send a signal indicating the self-determination or (ii) do nothing.

47. (New) The device of claim 33, wherein said mobile device is adapted to make a self-determination that it is not allowed access to the asset and, in response to determining that it is not allowed access to the asset, either (i) send a signal indicating the self-determination or (ii) do nothing.

REMARKS

Applicant submits this Amendment and Response to respond to the Office Action dated September 14, 2009. Claims 1, 4, 16, 21, and 33 have been amended and claims 3, 5, 20, 22, and 40 have been canceled without intending to abandon or to dedicate to the public any patentable subject matter. Claims 45-47 have been added. Accordingly, claims 1, 2, 4, 6-19, 21, 23-39, and 41-47 are currently pending.

(I) Claim Rejections under 35 U.S.C. §103

Claims 1-6, 8-22, and 24-44 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Donley et al. (US 2004/0180646) in view of Prokupets et al. (US 2003/0023874). Claims 7 and 23 are rejected under 35 U.S.C. § 103(a) as being unpatentable over Denley et al. in view of Prokupets et al. and further in view of Mercredi et al. (US 2004/0059590). In order for a rejection under 35 U.S.C. §103 to be proper, clear articulation of the reason(s) why the claimed invention would have been obvious should be stated by the Examiner and must be supported by some rationale which may include one of the following: A) Combining prior art elements according to known methods to yield predictable results; (B) Simple substitution of one known element for another to obtain predictable results; (C) Use of known technique to improve similar devices (methods, or products) in the same way; (D) Applying a known technique to a known device (method, or product) ready for improvement to yield predictable results; (E) "Obvious to try" - choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success; (F) Known work in one field of endeavor may prompt variations of it for use in either the same field or a different one based on design incentives or other market forces if the variations are predictable to one of ordinary skill

in the art; or (G) Some teaching, suggestion, or motivation in the prior art that would have led one of ordinary skill to modify the prior art reference or to combine prior art reference teachings to arrive at the claimed invention. The Supreme Court noted in *KSR v. Teleflex* that the analysis supporting a rejection under 35 U.S.C. 103 should be made explicit. (MPEP §2143). The Examiner has not, however, shown that the pending claims are obvious in view of any of the above-listed rationales. Accordingly, reconsideration and withdrawal of the rejections are respectfully requested.

More specifically, Applicant respectfully submits that none of the cited prior art references teach, suggest, or make obvious at least the following italicized features of the rejected independent claims:

> 1. A method of remotely maintaining a secure access system, comprising:
>
> receiving, at a secure access system controller, a credential update for at least one user of the secure access system;
>
> in response to receiving the credential update, *said controller automatically initiating a system update process, the system update process comprising:*
>
> *generating a message comprising information representing the credential update;*
>
> *determining at least one target for said message, wherein said at least one target comprises at least one mobile device associated with the at least one user; and*
>
> *transmitting said message to said at least one target; and*
>
> *wherein said at least one mobile device has a first set of credential data stored thereon, wherein upon receiving said message from said controller, said first set of credential data is changed to a second different set of credential data, wherein said message is transmitted to said at least one mobile device without receiving a request for said message from said at least one user, wherein said at least one mobile device is a smart mobile device, wherein said first set of credential data comprises self-authenticating data, wherein said second set of credential data comprises different self-authenticating data, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with respect to an asset.*

16. A secure access system, comprising:

at least one mobile device comprising memory, wherein said memory comprises credential information;

a controller that is operable to receive a credential update for at least one user of the secure access system and *in response to receiving the credential update automatically initiate a system update process, wherein during the system update process the controller is operable to automatically cause a message to be generated that comprises said updated credential, and cause said message to be transmitted to said at least one mobile device associated with said at least one user, wherein credential information on said memory is altered in response to receiving said message, wherein said credential update is initiated by an entity other than said at least one user, wherein said at least one mobile device is a smart mobile device, wherein said credential information comprises self-authenticating data, wherein said self-authenticating data is altered, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with respect to an asset.*

33. A mobile device for use by a user in a secure access system, comprising:

a memory, wherein said memory comprises credential information; and

an interface operable to communicate with a reader and further operable to receive messages relating to updated-credential information, wherein, upon receipt of a first message, said credential information for the user is automatically changed from a first state to a second state, *wherein said messages relating to updated-credential information are received without said at least one user transmitting a request for said messages, wherein said credential information comprises self-authenticating data, wherein said self-authenticating data is different between said first state and said second state, and wherein said self-authenticating data enables said mobile device to make a determination of its own access rights with respect to an asset.*

The present invention is directed toward a mechanism for automatically updating credentials on a mobile communication device, such as a user's mobile communication device. Updates to the mobile communication device may be achieved by sending a message from a centralized authority responsible for maintaining security of a particular area to the communication device that either assigns, revokes, or renews credentials stored on the communication device. Although Applicant believes that the previously presented version of the independent claims was allowable in view of the prior art, Applicant has amended the

independent claims to include, *inter alia*, that credential information stored on a mobile device includes, at least partially, self-authenticating data, that the self-authenticating data is different after it has been changed or altered and that the self-authenticating data enables the mobile device to make a determination of its own access rights with respect to an asset. Applicant has included this limitation from the previously presented dependent claims (*e.g.*, claims 3 and 5, 20 and 22, and 40) in an effort to expedite prosecution of the present application since Applicant believes that these particular features are clearly not taught or made obvious by the cited prior art.

Specifically, no prior art document teaches or even suggests a mobile device that receives self-authenticating data which enables the mobile device to make a determination of its own access rights with respect to an asset.

Rather, as the Examiner correctly indicates, Donley fails to teach many aspects of the independent claims such as the details of the claimed system update process as well as any details related to a mobile device which receives self-authenticating data which enables the mobile device to make a determination of its own access rights with respect to an asset.

Prokupets does not overcome the deficiencies of Donley. More specifically, Prokupets teaches a computer server system that is used in a facility protection system, where the facility protection system represents an access control system and is coupled to a security server in the computer server system. All discussions of credential updates in Prokupets are made and maintained in the security server. Prokupets also provides that each of the information systems and facility protection systems send data packets to the security server when an event occurs on ther system. Prokupets continues to explain that "the security server determines the action(s), if any, to take in response to the receive event data packets." (¶ 10). In other words, Prokupets

only discusses making action-based decisions at a central security server. This is a direct teaching away from the features of the independent claims in the present invention that provide, *inter alia*, a mobile device that receives self-authenticating data which enables the mobile device to make a determination of its own access rights with respect to an asset. A reference that "teaches away" from a given combination may negate a motivation to modify the prior art to meet the claimed invention. *Ormco Corp. v. Align Technology, Inc.*, 463 F.3d 1299, 1308 (Fed. Cir. 2006). A reference may be said to teach away when a person of ordinary skill, upon reading the reference, would be discouraged from following the path set out in the reference, or would be led in a direction divergent from the path that was taken by the applicant. *Ormco*, 463 F.3d at 1308 (citing *In re Kahn*, 441 F.3d 977, 990 (Fed. Cir. 2006)). This is precisely the case with Prokupets.

Furthermore, contrary to the Examiner's assertion, Prokupets does not appear to teach disseminating credential updates to mobile devices from the security server. Rather, Prokupets only teaches that the security server sends messages to output devices 16, which are taught to include automated calls to pagers, telephones, or email. There is no further discussion in Prokupets as to the content of the messages which are sent to output devices 16, but one is left to assume that the automated call is placed to alert security personnel carrying such output devices 16. Furthermore, again contrary to the Examiner's assertion, there is no teaching, either explicitly or inherently, that the messages sent to the output devices 16 from the security server include information representing the credential update nor is there any teaching that upon receiving such a message the output devices change their version of credential data. Absent such a teaching, Applicant respectfully submits that the rejections of the currently pending independent claims should be reconsidered and withdrawn.

Mercredi is relied upon to reject claims 7 and 24. Applicant respectfully submits that Mercredi fails to overcome the shortcomings of Donely and Prokupets. More particularly, Mercredi is relied upon to show that a credential update can be performed on a periodic basis. The paragraph of Mercredi relied upon by the Examiner to show this feature only provides a brief description of Fig. 3 in Mercredi, which is a dialog box having an application within the network environment. Applicant's further review of Mercredi fails to reveal any teachings that would cause one skilled in the art to find obvious the feature in claims 7 and 24 which provide, *inter alia*, that credential updates are received at the controller on a periodic basis.

Accordingly, all of the independent claims appear to be in condition for allowance and such disposition is respectfully requested.

Notwithstanding their dependence from an allowable independent claim, the dependent claims provide additional reasons for allowance. For instance, claims 8-10, 20-22, and 24 provide that in response to receiving the message comprising information representing the credential update, the memory of the mobile device is altered in some form. The Examiner has argued that paragraphs 50 and 51 of Donley teach the feature in claim 8, but admits two pages earlier in the Office Action that Donley fails to teach generating a message comprising information representing the credential update. These two assertions contradict one another. Furthermore, the Examiner asserts that Prokupets teaches the features of claims 9, 10, and 24, but Applicant has already established that no credential modification occurs at the output devices 16 of Prokupets. Rather, only a generic call or email is sent to the output devices, presumably in an attempt to alert a user of the device as to an event detected at the security server.

As another example, newly added claims 45-47 discuss additional details related to actions which may be taken by a mobile device after having made a self-determination of it's

access privileges. Applicant respectfully submits that these features are not taught in any of the cited prior art documents.

Based on the foregoing, Applicant believes that all pending claims are in condition for allowance and such disposition is respectfully requested. In the event that a telephone conversation would further prosecution and/or expedite allowance, the Examiner is invited to contact the undersigned.

Respectfully submitted,

SHERIDAN ROSS P.C.

By: /Matthew R. Ellsworth/
Matthew R. Ellsworth
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1560 Broadway, Suite 1200
Denver, Colorado 80202
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Date: December 1, 2009

Electronic Acknowledgement Receipt

EFS ID:	6549668
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	01-DEC-2009
Filing Date:	03-APR-2006
Time Stamp:	16:10:01
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		AMEND_02.pdf	153311 4fc2ced43fadd59b2e03d7f1310577a865dba0bb	yes	15

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Amendment/Req. Reconsideration-After Non-Final Reject	1	1
	Claims	2	8
	Applicant Arguments/Remarks Made in an Amendment	9	15
Warnings:			
Information:			
	Total Files Size (in bytes):	153311	

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.

PTO/SB/06 (07-06)
Approved for use through 1/31/2007. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number	Filing Date	☐ To be Mailed
11/397,542	04/03/2006	

APPLICATION AS FILED – PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA	SMALL ENTITY ☐ RATE ($)	SMALL ENTITY ☐ FEE ($)	OR	OTHER THAN SMALL ENTITY RATE ($)	OTHER THAN SMALL ENTITY FEE ($)
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A	
☐ SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A	N/A			N/A	
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*	X $ =		OR	X $ =	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X $ =			X $ =	
☐ 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).						
☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))							
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL			TOTAL	

APPLICATION AS AMENDED – PART II

AMENDMENT 12/01/2009	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	SMALL ENTITY RATE ($)	SMALL ENTITY ADDITIONAL FEE ($)	OR	OTHER THAN SMALL ENTITY RATE ($)	OTHER THAN SMALL ENTITY ADDITIONAL FEE ($)
Total (37 CFR 1.16(i))	* 42	Minus	** 44	= 0	X $ =		OR	X $52=	0
Independent (37 CFR 1.16(h))	* 3	Minus	***3	= 0	X $ =		OR	X $220=	0
☐ Application Size Fee (37 CFR 1.16(s))									
☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	0

AMENDMENT	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	RATE ($)	ADDITIONAL FEE ($)		RATE ($)	ADDITIONAL FEE ($)
Total (37 CFR 1.16(i))	*	Minus	**	=	X $ =		OR	X $ =	
Independent (37 CFR 1.16(h))	*	Minus	***	=	X $ =		OR	X $ =	
☐ Application Size Fee (37 CFR 1.16(s))									
☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

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

Legal Instrument Examiner:
/ERIC V. BURNS/

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known	
Application Number	11/397,542
Filing Date	April 3, 2006
First Named Inventor	Peter R. Lowe
Art Unit	2617
Examiner Name	Kiet M. Doan
Attorney Docket Number	2943-106

Sheet	1	of	1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-kind Code [2] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	6374356	04/16/02	Daigneault et al.	
	2	6719200	04/13/04	Wiebe	
	3	6766450	07/20/04	Micali	
	4	2008/0163361	07/03/08	Davis et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3]; Number[4]; Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
	5	WO 04/025545	03/25/04	IVI SMART TECHNOLOGIES, INC.		
	6	WO 05/024549	03/17/05	CORESTREET, LTD.		

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

Examiner Initials*	Cite No.[1]	

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference is considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant.

Electronic Patent Application Fee Transmittal

Application Number:	11397542
Filing Date:	03-Apr-2006
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Filer:	Matthew Ryan Ellsworth/Debra Kesner
Attorney Docket Number:	2943-106

Filed as Large 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:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
		Total in USD ($)		**180**

Electronic Acknowledgement Receipt

EFS ID:	6234190
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Debra Kesner
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	09-OCT-2009
Filing Date:	03-APR-2006
Time Stamp:	12:14:06
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$180
RAM confirmation Number	7713
Deposit Account	191970
Authorized User	
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		IDS_03.pdf	344054 06bd107fba343e240d9739eae3ffa59b6cfbfea8	yes	4
	Multipart Description/PDF files in .zip description				
	Document Description		**Start**	**End**	
	Transmittal Letter		1	3	
	Information Disclosure Statement (IDS) Filed (SB/08)		4	4	
Warnings:					
Information:					
2	Foreign Reference	WO04025545.pdf	2024151 b16ac4563c99dc63e1d496c15d0871d00f2b94a6	no	47
Warnings:					
Information:					
3	Foreign Reference	WO05024549.pdf	4280641 1d6168d88e9a348c2c30915eee4a874da4b1523e	no	82
Warnings:					
Information:					
4	Fee Worksheet (PTO-875)	fee-info.pdf	30327 459bce9c77454d86539f57185d1bd4d057b60be3	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	6679173		

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

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National Stage of an International Application under 35 U.S.C. 371

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New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:	)	Group Art Unit: 2617
Peter R. Lowe	)	Confirmation No.: 5973
Serial No.: 11/397,542	)	Examiner: Kiet M. Doan
Filed: April 3, 2006	)	
Atty. File No.: 2943-106	)	INFORMATION DISCLOSURE STATEMENT
Entitled: "System and Method for Remotely Assigning and Revoking Access Credentials Using a Near Field Communication Equipped Mobile Phone"	)	Electronically Submitted

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

Dear Sir:

The references cited on attached Form PTO-1449 are being called to the attention of the Examiner.

☒ Copies of the cited non-patent and/or foreign references are enclosed herewith.

☐ Copies of the cited U.S. patents and/or patent applications are enclosed herewith.

☒ Copies of the cited U.S. patents/patent application publications are not enclosed in accordance with 37 C.F.R. § 1.98(a).

☐ Copies of the cited references are not enclosed, in accordance with 37 C.F.R. § 1.98(d), because the references were cited by or submitted to the U.S. Patent and Trademark Office in prior application Serial No. _____ filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

☐ To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

☒ Examiner's attention is drawn to the following related applications:

Serial No. 11/778145 filed 07-16-2007, now U.S. Patent Publication No. 2008/0163361 (Attorney's Ref. No. 2943-130)

☐ Other:_____

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

FEES

☐	**37 CFR 1.97(b)**: No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith is satisfied by one of the following conditions ("X" indicates satisfaction): ☐ Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or ☐ Within three months of the date of entry into the national stage of an international application as set forth in 37 CFR 1.491 or ☐ Before the mailing date of a first Office Action on the merits, or ☐ Before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114. Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.
☒	**37 CFR 1.97(c)**: The information disclosure statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions: (1) a final action under 37 C.F.R. 1.113 or (2) a notice of allowance under 37 C.F.R. 1.311, or (3) an action that otherwise closes prosecution in the application. This Information Disclosure Statement is accompanied by: ☐ A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970. OR ☒ Please charge Deposit Account 19-1970 in the amount of $180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account 19-1970.
☐	**37 CFR 1.97(d)**: This Information Disclosure Statement is being submitted after the period specified in 37 CFR 1.97(c). ☐ This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e) AND ☐ Applicants hereby requests consideration of the reference(s) disclosed herein. Please charge Deposit Account 19-1970 in the amount of $180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.

Certification (37 C.F.R. 1.97(e))
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

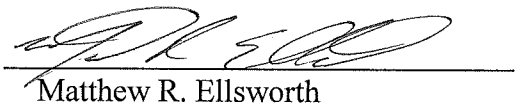
☐ A copy of the communication from the foreign patent office is enclosed.

OR

☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

SHERIDAN ROSS P.C.

By: 

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Date: October 9, 2009

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

22442 7590 09/14/2009

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
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EXAMINER	
DOAN, KIET M	
ART UNIT	PAPER NUMBER
2617	
MAIL DATE	DELIVERY MODE
09/14/2009	PAPER

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

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	11/397,542	LOWE, PETER R.	
	Examiner	Art Unit	
	KIET DOAN	2617	

-- 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 *01 July 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) *1-44* 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) *1-44* 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) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

DETAILED ACTION

Continued Examination Under 37 CFR 1.114

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 07/01/2009 has been entered.

Response to Arguments

2. Applicant's arguments with respect to claims 1, 16 and 33 have been considered but are moot in view of the new ground(s) of rejection.

Claim Rejections - 35 USC § 103

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

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

4. Claims 1-6, 8-22 and 24-44 are rejected under 35 U.S.C. 103 (a) as being unpatentable over Donley et al. (US 2004/0180646 A1) in view of Prokupets et al. (US 2003/0023874 A1).

Consider **claims 1, 16 and 33**. Donley teaches a method of remotely maintaining a secure access system, comprising:

receiving, at a secure access system controller, a credential update for at least one user of the secure access system (Paragraphs [0037-0038], Fig.5, No.500 show and teach communication device received credentials from the subscriber); and

In response to receiving the credential update, said controller automatically initiating a system update process (Paragraph [0063 teach automatic update when subscriber move from one location to another), **Donley fails to explicitly teach**

the system update process comprising:

generating a message comprising information representing the credential update;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device associated with the at least one user; and

transmitting said message to said at least one target

In an analogous art, **Prokupets teaches** the system update process comprising:

generating a message comprising information representing the credential update (Paragraphs [0008], [0021] teach security server 12 response and sending message to output device));

determining at least one target for said message, wherein said at least one target comprises at least one mobile device associated with the at least one user; and transmitting said message to said at least one target (Paragraphs [0034-0036], [0059]).

Therefore, it would have been obvious at the time that the invention was made to modify Donley with Prokupets's system such that controller automatically updating the credential information and transmitting updated message to mobile device in order to improve the security and save guard when the mobile device access data information.

Consider **claims 2 and 17**. The combination of Donley and Prokupets teach the method of claim 1, further Prokupets teaches wherein the system update process further comprises transmitting said message to at least one of a reader and a database (Paragraphs [0022], [0059]).

Consider **claim 3**. The combination of Donley and Prokupets teach the method of claim 1, further Prokupets teaches wherein said at least one mobile device has a first set of credential data stored thereon, and wherein upon receiving said message from said controller, said first set of credential data is change to a second different set of credential data and wherein said message is transmitted to said at least one mobile device without receiving a request for said message from said at least one user. (Paragraph [0010-0011]).

Consider **claims 4, 21 and 38-39**. The combination of Donley and Prokupets teach the method of claim 3, further Prokupets teaches wherein said first set of credential data has at least one of a key, password, unique ID, encryption scheme, and transmission protocol that is different in said second set of credential data (Paragraph [0011]).

Consider **claims 5, 22 and 40**. The combination of Donley and Prokupets teach the method of claim 3, further Prokupets teaches wherein said at least one mobile

device is a smart mobile device (Paragraph [0028]); wherein said first set of credential data comprises self-authenticating data, wherein said second set of credential data comprises different self-authenticating data, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with request to an asset (Paragraph [000036-0037], [0044-0045]).

Consider **claims 6, 19 and 35**. The combination of Donley and Prokupets teach the method of claim 1, further Prokupets teaches in the event that said at least one mobile device does not receive said message and is subsequently presented to a reader, determining that said at least one mobile device is invalid (Paragraphs [0011], [0047).

Consider **claim 8**. The combination of Donley and Prokupets teach the method of claim 1, further Donley teaches comprising: receiving said message at said at least one mobile device; and modifying at least a portion of memory of said at least one mobile device according to said updated credential information (Paragraphs [0050-0051], Fig.2, No.204).

Consider **claims 9, 10, 24**. The combination of Donley and Prokupets teach the method of claim 8, further Prokupets teaches wherein said modifying comprises at least one of disabling and revoking at least a portion of said memory (Paragraph [0011]).

Consider **claim 11 and 28**. The combination of Donley and Prokupets teach the method of claim 1, further Prokupets teaches comprising de-enrolling a user of at least one mobile device from an access list, wherein credential update is generated in response to de-enrolling said user from said access list (Paragraphs [0008], [0011], [0021] teach security server 12 responses and sending message to output device).

Consider **claims 12 and 32**. The combination of Donley and Prokupets teach the method of claim 1, further teaches wherein said message is transmitted over a cellular communication network (Paragraphs [0030-0031], Fig.1).

Consider **claims 13 and 31**. The combination of Donley and Prokupets teach the method of claim 1, further Donley teach wherein said message is transmitted by at least one of a radio frequency signal and a near field communication signal (Paragraph [0005]).

Consider **claim 14**. The combination of Donley and Prokupets teach the method of claim 1, further Donley teaches comprising: presenting said at least one mobile device to a reader; generating a second message comprising information related to said at least one mobile device being presented to said reader; and sending said second message to at least one of a database, controller, and another mobile device (Paragraphs [0037-0038)].

Consider **claim 15**. The combination of Donley and Prokupets teach the method of claim 14, further Prokupets teach wherein said second message is sent via a short message service (SMS) message (Paragraph [0021]).

Consider **claims 18 and 34**. The combination of Donley and Prokupets teach the system of claim 17, further Prokupets teach wherein in the event that said at least one mobile device does not receive said message, said credential information for said at least one mobile device become obsolete (Paragraph [0011]).

Consider **claim 20**. The combination of Donley and Prokupets teach the system of claim 16, further Prokupets teaches wherein credential information on said memory is altered in response to receiving said message and wherein said credential update is initiated by an entity other than said at least one user (Paragraphs [0037-0039]).

Consider **claims 25 and 41.** The combination of Donley and Prokupets teach the system of claim 16, further Donley teaches wherein said mobile device comprises a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received from said controller (Paragraphs [0038-0039]).

Consider **claim 26**. The combination of Donley and Prokupets teach the system of claim 16, further Donley teaches wherein said controller causes said message to be transmitted to said mobile device via at least one of a global system for mobile communications, a digital cellular system, and a personal communications system (Paragraphs [0008], [0031], [0050-0051]).

Consider **claims 27 and 44**. The combination of Donley and Prokupets teach the system of claim 16, further Donley teaches wherein said at least one mobile device is at least one of a cellular phone, and personal digital assistant (Paragraph [0031], [0037]).

Consider **claims 29 and 30**. The combination of Donley and Prokupets teach the system of claim 16, further Donley teaches wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in each one of the (in less than all of the) plurality of mobile devices is altered (Paragraphs [0030-0031).

Consider **claims 36 and 37**. The combination of Donley and Prokupets teach the device of claim 33, further Donley teaches wherein said reader is associated with a controller and the controller is operable to determine an authenticity of said mobile device based at least in part upon said credential information (Paragraph [0038-0043]).

Consider **claim 42**. The combination of Donley and Prokupets teach the device

of claim 33, further Donley teaches wherein a near field communications protocol is used by said first interface to communicate with said reader (Paragraph [0027], [0038]).

Consider **claims 43 and 44**. The combination of Donley and Prokupets teach the device of claim 1, further Prokupets teaches wherein said credential update is push toward said at least one mobile device without any solicitation by said at least one mobile device or a user of said at least one mobile device (paragraphs 0010], [0021], [0029-0030]).

5. Claims 7 and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Donley et al. (US 2004/0180646 A1) in view of Prokupets et al. (US 2003/0023874 A1) and further view of Mercredi et al. (US 2004/0059590 A1).

Consider **claim 7 and 23**. The combination of Donley and Prokupets teach the method of claim 1, **but is silent on** wherein said updating is performed on a periodic basis.

In an analogous art, **Mercredi teaches** wherein said updating is performed on a periodic basis (Paragraph [0107]).

Therefore, it would have been obvious at the time that the invention was made to modify Donley and Prokupets with Mercredi's system such that wherein said updating is performed on a periodic basis in order to provide security and protecting credential information of the user.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to KIET DOAN whose telephone number is (571)272-7863. The examiner can normally be reached on 8am - 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Charles Appiah can be reached on 571-272-7904. 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.

/Kiet Doan/
Examiner, Art Unit 2617

/Charles N. Appiah/
Supervisory Patent Examiner, Art Unit 2617

Notice of References Cited	Application/Control No. 11/397,542	Applicant(s)/Patent Under Reexamination LOWE, PETER R.	
	Examiner KIET DOAN	Art Unit 2617	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2003/0023874 A1	01-2003	Prokupets et al.	713/201
*	B	US-2004/0059590 A1	03-2004	Mercredi et al.	705/001
*	C	US-2004/0180646 A1	09-2004	Donley et al.	455/411
	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	
	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.

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008	03/25/2009	09/05/2009						
	1	✓	✓	✓						
	2	✓	✓	✓						
	3	✓	✓	✓						
	4	✓	✓	✓						
	5	✓	✓	✓						
	6	✓	✓	✓						
	7	✓	✓	✓						
	8	✓	✓	✓						
	9	✓	✓	✓						
	10	✓	✓	✓						
	11	✓	✓	✓						
	12	✓	✓	✓						
	13	✓	✓	✓						
	14	✓	✓	✓						
	15	✓	✓	✓						
	16	✓	✓	✓						
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	33	✓	✓	✓						
	34	✓	✓	✓						
	35	✓	✓	✓						
	36	✓	✓	✓						

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008	03/25/2009	09/05/2009						
	37	✓	✓	✓						
	38	✓	✓	✓						
	39	✓	✓	✓						
	40	✓	✓	✓						
	41	✓	✓	✓						
	42	✓	✓	✓						
	43			✓						
	44			✓						

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

SEARCHED

Class	Subclass	Date	Examiner
713	200	10/22/08	KD
455	403		KD
	461		KD
		03/24/09	
455	414		KD
	412		KD
		9/9/09	
705	1		KD
713	201		KD

SEARCH NOTES

Search Notes	Date	Examiner
@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (mobile wireless pda $4phone)	10/22/08	KD
@ad<"20060404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information		KD
	03/24/09	
Using same reference and go Final		KD
	9/9/09	
utomat$6 near2 (updat$4 add$4 chang$3) and credential$4 and (sim (smart near card)) same (mobile wireless pda $4phone portable)		KD
@ad<"20050101" and updat$4 and credential$4 and (system server (base near station) computer) same (transmit$4 send$4) with message$1 same reader same database		KD
Update East Search		KD

INTERFERENCE SEARCH

Class	Subclass	Date	Examiner
705	201	9/9/09	KD

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	0	updat$4 near2 credential $4 and (transmit$3 send $3 forword$3) near2 updat$4 near credential $2 with (mobile wireless pda $4phone target)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 10:42
L2	13	updat$4 near2 credential $4 and updat$4 near credential$2 with (mobile wireless pda $4phone target)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 10:43
L3	16	updat$4 near2 credential $4 and "455"/$.ccls.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 10:44
L4	8	updat$4 near2 credential $4 and (system server (base near station) computer) with (transmit $3 send$3 forword$3) with message$1 with (reader database)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 11:09
L5	45	updat$4 near2 credential $4 and (system server (base near station) computer) with message $1 and reader and database	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 11:22
L6	25	@ad<"20050101" and 5	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 11:22
L7	58	@ad<"20050101" and updat$4 and credential $4 and (system server (base near station) computer) same message $1 same reader same database	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 11:52

L8	6	@ad<"20050101" and updat$4 and credential $4 and (system server (base near station) computer) same (transmit $4 send$4) with message $1 same reader same database	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 13:31
L9	3	"20040180646"	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 15:20
S3	3	(secure$6 safe) near access and (control$3 server (base near station)) same automat $6 same updat$4 same credential$4 and updat $4 near1 credential$4	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 01:27
S4	17	(control$3 server (base near station)) same automat$6 same updat $4 same credential$4 and updat$4 near1 credential$4 and credential$4	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 01:30
S5	7	automat$6 same updat $4 same credential$4 and updat$4 near1 credential$4 and credential$4 and generat $4 near3 message$2	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:14
S6	621	automat$6 and updat$4 same credential$4 and credential$4 and generat $4 with (message$2 email text)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:30
S7	0	@ad<"20050101" and S6 and "370"/$.ccls. and "455"/$.ccls.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:31
S8	299	@ad<"20050101" and S6	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:31
S9	23	@ad<"20050101" and S6 and updat$3 with periodic	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:33
S10	31	automat$6 with updat$4 same credential$4 and credential$4 and generat $4 with (message$2 email text)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:36

S11	2	@ad<"20050101" and S10 and updat$3 with periodic	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:37
S12	15	@ad<"20050101" and S10	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/05 12:37
S13	11	automat$6 with updat$4 same credential$4 and credential$4 and (tyransmit$4 forward$4 send$4 generat$4) with (message$2 email text) with (mobile wireless portable pda $4ohone target)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 10:56
S14	56	automat$6 with updat$4 with credential$4 and credential$4	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 11:31
S15	56	automat$6 with updat$4 with credential$4 and credential$4 and automat $6	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 11:31
S16	24	@ad<"20050101" and S15	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 11:31
S17	270	automat$6 and credential $4 near2 updat$4	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:08
S18	126	@ad<"20050101" and S17	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:08
S19	4	automat$6 with credential$4 with updat $4 with (mobile wireless pda "4"$phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:23
S20	649	automat$6 same (credential$4 auth$9) with (updat$4 add$4 augment$3 enable chang $3) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:26
S21	9	S20 and (door room) near1 (access enter$3)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:27
S22	137	S20 and periodi$7 with (updat$4 add$4 augment $3 enable chang$3)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:30
S24	37	S22 and (sim (smart near card)) and read$3	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:33

S25	12	@ad<"20050101" and S24	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:33
S26	3040	automat$6 with (updat $4 add$4 chang$3) with (credential$4 auth$9)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:46
S27	37	automat$6 with (updat $4 add$4 chang$3) with (credential$4 auth$9) and credential$4 same (sim (smart near card))	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:47
S28	18	@ad<"20050101" and S27	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 16:47
S29	3589	automat$6 near2 (updat $4 add$4 chang$3) and (credential$4 auth$9) and (sim (smart near card))	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 19:21
S30	1736	automat$6 near2 (updat $4 add$4 chang$3) and (credential$4 auth$9) and (sim (smart near card)) same (mobile wireless pda $4phone portable)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 19:22
S31	688	@ad<"20040101" and S30	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 19:22
S32	115	S31 and "455"/$.ccls.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 19:23
S33	126	(controlller server) near2 automat$6 near2 (updat $4 add$4 chang$3) and (credential$4 auth$9) and (sim (smart near card)) same (mobile wireless pda $4phone portable)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 19:26
S34	17	@ad<"20040101" and S33	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 19:26

S35	17	(controlller server (base near station) ap (access near point)) near2 automat$6 near2 (updat $4 add$4 chang$3) and credential$4 and (sim (smart near card)) same (mobile wireless pda $4phone portable)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 22:44
S36	288	automat$6 near2 (updat $4 add$4 chang$3) and credential$4 and (sim (smart near card)) same (mobile wireless pda $4phone portable)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 22:48
S37	138	@ad<"20050101" and S36	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 22:48
S38	18	automat$6 near2 (updat $4 add$4 chang$3) same credential$4 and (sim (smart near card)) same (mobile wireless pda $4phone portable)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 23:06
S39	19	automat$6 near2 (updat $4 add$4 chang$3) and credential$4 and (sim (smart near card)) same (mobile wireless pda $4phone portable) and nfc	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/08 23:08
S40	1169	(updat$4 add$4 chang $3) near2 credential$4	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 00:05
S41	23	credential$4 near1 (updat $4 chang$3) and (transmit$4 forward$4 send$4 generat$4) with (message$2 email text) with (mobile wireless portable pda $4phone target)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 00:07
S42	9	@ad<"20050101" and S41	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2009/09/09 00:07

9/9/09 5:11:32 PM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No.: 11/397,542	)	Confirmation No.: 5973
Applicant: LOWE	)	Group Art Unit: 2617
Filed: April 3, 2006	)	Examiner: DOAN, KIET M
Docket No.: 2943-106	)	
For: "SYSTEM AND METHOD FOR REVOCABLY ASSIGNING AND REVOKING ACCESS CREDENTIALS…"	)	***Filed Electronically***

AMENDMENT AND RESPONSE

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

Sir:

Applicant submits this Amendment and Response to address the final Office Action having a mailing date of March 31, 2009. A Request for Continued Examination is being filed concurrently herewith along with the requisite fees. A Petition for a one-month Extension of Time is being filed concurrently herewith along with the requisite fee. Payment in the amount of $104.00 has also been made for the addition of two new dependent claims in excess of twenty. Although the Applicant believes that no additional fees are due for filing this Amendment and Response, please charge any fees deemed necessary to Deposit Account No. 19-1970.

CLAIM AMENDMENTS

1. (Currently Amended) A method of remotely maintaining a secure access system, comprising:

receiving, at a secure access system controller, a credential update for at least one user of the secure access system ~~updating at least a portion of credential information in said access system~~; and

in response to receiving the credential update, said controller automatically initiating a system update process, the system update process comprising:

~~updating said at least a portion of credential information,~~ generating a message comprising ~~said updated credential~~ information representing the credential update;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device associated with the at least one user; and

transmitting said message to said at least one target.

2. (Currently Amended) The method of claim 1, wherein the system update process further comprises ~~updating at least a portion of credential information on said access system comprises~~ transmitting said message to at least one of a reader and a database.

3. (Currently Amended) The method of claim 1, wherein [[a]] said at least one mobile device has a first set of credential data stored thereon, and wherein upon receiving said message from said controller, said ~~updating further comprises changing said~~ first set of credential data is changed to a second different set of credential data and wherein said message is transmitted to said at least one mobile device without receiving a request for said message from said at least one user.

4. (Original) The method of claim 3, wherein said first set of credential data has at least one of a key, password, unique ID, encryption scheme, and transmission protocol that is different in said second set of credential data.

5. (Currently Amended) The method of claim 3, wherein said at least one mobile

device is a smart mobile device, wherein said first set of credential data comprises self-authenticating data, [[and]] wherein said second set of credential data comprises different self-authenticating data, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with respect to an asset.

6. (Currently Amended) The method of claim 1, further comprising, in the event that said at least one mobile device does not receive said message and is subsequently presented to a reader, determining, by said reader, that said at least one mobile device is invalid.

7. (Currently Amended) The method of claim 1, wherein said credential updates are received at the controller ~~updating is performed~~ on a periodic basis.

8. (Original) The method of claim 1, further comprising:

receiving said message at said at least one mobile device; and

modifying at least a portion of memory of said at least one mobile device according to said updated credential information.

9. (Currently Amended) The method of claim 8, wherein said modifying comprises at least one of ~~enabling, disabling, revoking, and altering~~ disabling and revoking at least a portion of said memory.

10. (Original) The method of claim 8, further comprising:

disabling at least a portion of said memory unless an enabling message is received.

11. (Currently Amended) The method of claim 1, further comprising de-enrolling a user of at least one mobile device from an access list, wherein said credential update is generated ~~updating is performed~~ in response to de-enrolling said user from said access list.

12. (Original) The method of claim 1, wherein said message is transmitted over a cellular communication network.

13. (Original) The method of claim 1, wherein said message is transmitted by at least one of a radio frequency signal and a near field communication signal.

14. (Currently Amended) The method of claim 1, further comprising:

presenting said at least one [[a]] mobile device to a reader;

generating a second message comprising information related to said at least one mobile device being presented to said reader; and

sending said second message to at least one of a database, controller, and another mobile device.

15. (Original) The method of claim 14, wherein said second message is sent via a short message service (SMS) message.

16. (Currently Amended) A secure access system, comprising:

at least one mobile device comprising memory, wherein said memory comprises credential information;

a controller that is operable to receive a credential update for at least one user of the secure access system and in response to receiving the credential update automatically initiate a system update process, wherein during the system update process the controller is operable to ~~alter at least a portion of said credential information,~~ automatically cause a message to be generated that comprises said ~~altered~~ updated credential ~~information~~, and cause said message to be transmitted to said at least one mobile device associated with said at least one user.

17. (Currently Amended) The system of claim 16, further comprising:

at least one reader for determining an authenticity of said at least one mobile device; and

a database for maintaining information related to said system, wherein said controller is further operable to cause a second message to be generated that comprises said updated credential ~~information~~ and cause said second message to be transmitted to at least one of said reader and said database.

18. (Currently Amended) The system of claim 17, wherein, in the event that said at

least one mobile device does not receive said message, ~~said credential information for~~ credentials of said at least one mobile device ~~becomes~~ become obsolete.

19. (Original) The system of claim 18, wherein, upon presentation of said at least one mobile device to said at least one reader, the authenticity of said at least one mobile device is determined to be invalid.

20. (Currently Amended) The system of claim 16, wherein ~~at least a portion of said~~ credential information on said memory is altered in response to receiving said message and wherein said credential update is initiated by an entity other than said at least one user.

21. (Currently Amended) The system of claim 20, wherein said ~~at least a portion of said~~ credential information altered on said memory comprises at least one of a key, password, unique ID, encryption scheme, and transmission protocol~~, and wherein at least one of said key, password, unique ID, encryption scheme, and transmission protocol is altered~~.

22. (Currently Amended) The system of claim 20, wherein said at least one mobile device is a smart mobile device, wherein said credential information comprises self-authenticating data, [[and]] wherein said self-authenticating data is altered, and wherein said self-authenticating data enables said at least one mobile device to make a determination of its own access rights with respect to an asset.

23. (Currently Amended) The system of claim 16, wherein credential ~~said controller~~ updates ~~at least a portion of said credential information~~ are received at said controller on a periodic basis.

24. (Currently Amended) The system of claim 16, wherein ~~at least a portion of said~~ credential information on said memory is at least one of ~~enabled, disabled,~~ disabled and revoked in response to receiving said message.

25. (Original) The system of claim 16, wherein said mobile device comprises a

timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received from said controller.

26. (Original) The system of claim 16, wherein said controller causes said message to be transmitted to said mobile device via at least one of a global system for mobile communications, a digital cellular system, and a personal communications system.

27. (Original) The system of claim 16, wherein said at least one mobile device is at least one of a cellular phone, and personal digital assistant.

28. (Currently Amended) The system of claim 16, wherein said credential update is initiated ~~alteration is performed~~ in response to de-enrolling at least one user from a list of authorized users.

29. (Original) The system of claim 16, wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in each one of the plurality of mobile devices is altered.

30. (Original) The system of claim 16, wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in less than all of the plurality of mobile devices is altered.

31. (Original) The system of claim 16, wherein said message is transmitted via at least one of a radio frequency and near field communication signal.

32. The system of claim 16, wherein said message is transmitted via a cellular communications network.

33. (Currently Amended) A mobile device for use by a user in a secure access system, comprising:

a memory, wherein said memory comprises credential information; and

an interface operable to communicate with a reader and further operable to receive messages relating to updated-credential information, wherein, upon receipt of a first message, said credential information for the user is automatically changed from a first state to a second state and wherein said messages relating to updated-credential information are received without said at least one user transmitting a request for said messages.

34. (Original) The device of claim 33, wherein, in the event that said first message is not received, said credential information is maintained in said first state and as a result becomes obsolete.

35. (Original) The device of claim 34, wherein said reader is operable to determine an authenticity of said mobile device based at least in part upon said credential information, and upon presentation of said mobile device to said reader, the authenticity of said mobile device is determined to be invalid.

36. (Original) The device of claim 33, wherein said reader is associated with a controller and the controller is operable to determine an authenticity of said mobile device based at least in part upon said credential information.

37. (Original) The device of claim 36, wherein said reader is operable to determine an authenticity of said mobile device based at least in part upon said credential information.

38. (Original) The device of claim 33, wherein said credential information comprises at least one of a key, password, unique ID, encryption scheme, and transmission protocol.

39. (Original) The device of claim 33, wherein said at least one of a key, password, unique ID, encryption scheme, and transmission protocol is different in said first state than in said second state.

40. (Currently Amended) The device of claim 33, wherein said credential information comprises self-authenticating data, [[and]] wherein said self-authenticating data is different

between said first state and said second state, and wherein said self-authenticating data enables said mobile device to make a determination of its own access rights with respect to an asset.

41. (Original) The device of claim 33, further comprising a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received.

42. (Original) The device of claim 33, wherein a near field communications protocol is used by said first interface to communicate with said reader.

43. (New) The method of claim 1, wherein said credential update is pushed toward said at least one mobile device without any solicitation by said at least one mobile device or a user of said at least one mobile device.

44. (New) The system of claim 16, wherein said credential update is pushed toward said at least one mobile device without any solicitation by said at least one mobile device or a user of said at least one mobile device.

REMARKS

Applicant submits this Amendment and Response to respond to the final Office Action dated March 31, 2009. Claims 1-3, 5-7, 9, 11, 14, 16-18, 20-24, 28, 33, and 40 have been amended without intending to abandon or to dedicate to the public any patentable subject matter. No claims have been canceled. Claims 43 and 44 have been added. Accordingly, claims 1-44 are currently pending.

(I) Claim Rejections under 35 U.S.C. §103

Claims 1-15 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Laursen et al. (US 6,895,234) in view of Buhrmann et al. (US 5,903,845). Claims 16-42 are rejected under 35 U.S.C. § 103(a) as being unpatentable over Buhrmann et al. in view of Laursen. In order for a rejection under 35 U.S.C. §103 to be proper, clear articulation of the reason(s) why the claimed invention would have been obvious should be stated by the Examiner and must be supported by some rationale which may include one of the following: A) Combining prior art elements according to known methods to yield predictable results; (B) Simple substitution of one known element for another to obtain predictable results; (C) Use of known technique to improve similar devices (methods, or products) in the same way; (D) Applying a known technique to a known device (method, or product) ready for improvement to yield predictable results; (E) "Obvious to try" - choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success; (F) Known work in one field of endeavor may prompt variations of it for use in either the same field or a different one based on design incentives or other market forces if the variations are predictable to one of ordinary skill in the art; or (G) Some teaching, suggestion, or motivation in the prior art that would have led one of ordinary

skill to modify the prior art reference or to combine prior art reference teachings to arrive at the claimed invention. The Supreme Court noted in *KSR v. Teleflex* that the analysis supporting a rejection under 35 U.S.C. 103 should be made explicit. (MPEP §2143). The Examiner has not, however, shown that the pending claims are obvious in view of any of the above-listed rationales. Accordingly, reconsideration and withdrawal of the rejections are respectfully requested.

More specifically, Applicant respectfully submits that neither Laursen nor Buhrmann teach, suggest, or make obvious at least the following italicized features of the rejected independent claims:

> 1. A method of remotely maintaining a secure access system, comprising:
>
> receiving, at a secure access system controller, a credential update for at least one user of the secure access system; and
>
> in response to receiving the credential update, *said controller automatically initiating a system update process, the system update process comprising:*
>
> *generating a message comprising information representing the credential update;*
>
> *determining at least one target for said message, wherein said at least one target comprises at least one mobile device associated with the at least one user; and*
>
> *transmitting said message to said at least one target.*
>
> 16. A secure access system, comprising:
>
> at least one mobile device comprising memory, wherein said memory comprises credential information;
>
> a controller that is operable to receive a credential update for at least one user of the secure access system and *in response to receiving the credential update automatically initiate a system update process, wherein during the system update process the controller is operable to automatically cause a message to be generated that comprises said updated credential, and cause said message to be transmitted to said at least one mobile device associated with said at least one user.*

33. A mobile device for use by a user in a secure access system, comprising:

a memory, wherein said memory comprises credential information; and

an interface operable to communicate with a reader and further operable to receive messages relating to updated-credential information, wherein, upon receipt of a first message, said credential information for the user is automatically changed from a first state to a second state and *wherein said messages relating to updated-credential information are received without said at least one user transmitting a request for said messages*.

The present invention is directed toward a mechanism for automatically updating credentials on a mobile communication device, such as a user's mobile communication device. Updates to the mobile communication device may be achieved by sending a message from a centralized authority responsible for maintaining security of a particular area to the communication device that either assigns, revokes, or renews credentials stored on the communication device. Claims 43 and 44 have been added to specifically address the situation where the message is transmitted without any solicitation from the user or the user's device and claims 9 and 24 have been amended to address the situation where a user's access permissions are revoked or disabled.

Then the mobile communication device may be adapted to communicate these credentials, if any exist thereon, to an access control device that reads the credentials and determines if the credentials are valid. Thus, the centralized authority is adapted to "push" these credential updates to the mobile communication device irrespective of whether or not the communication device wants to receive such credential updates (*i.e.*, the data transmission is based on the centralized authority originating a credential update rather than a user requesting a credential update).

The prior art, on the other hand, does not appear to teach security personnel updating credentials for a user and then having those updated credentials automatically pushed to the

user's mobile communication device. Rather, as the Examiner correctly indicates, Laursen et al. only teaches allowing a mobile device and a computing device to access a common database. All credential updates are preformed by or at the request of the user who utilizes the credentials.

Buhrmann et al. is also significantly different from the present invention. The Examiner relies on Buhrmann et al. to overcome the above-noted shortcomings of Laursen et al. and argues that Column 3, lines 62-64 and Column 4, lines 14-19 of Buhrmann et al. teach a personal information manager (PIM) updating subscriber profile data and generating an alerting message to be sent to the mobile station. Applicant disagrees with this interpretation of Buhrmann et al. More specifically, Buhrmann et al. is directed toward a mechanism for automatically activating profile updates on a mobile communication device. Column 8, lines 36-53 provide a better understanding of the system taught in Buhrmann et al. This particular passage states that the PIM sends profile updates to the database 118, not the mobile station as is asserted by the Examiner.

A PIM is used to generate profile update data ***entered by a subscriber*** and transmit such data to a database in a telecommunication system. When the database receives the profile update, the subscriber profile stored therein is updated. All data updates are always sent to the database. There is no updated credential information sent to the mobile device in response to credential information being updated in the database. Furthermore, there is no discussion in Buhrmann et al. of allowing a security personnel to update a user's credentials and have that update pushed toward the user's mobile communication devices. Rather, the user of the mobile communication device is required to update their profile information and then send that information to a database. The profile information can then be accessed on an as needed basis by

the mobile communication device, there is no automatic transmission of the profile information back to the mobile communication device.

This is fundamentally different from the present invention where credential updates are pushed toward the mobile communication device without any solicitation by the mobile communication device or a user of said device. The pushing of updated credential information to the mobile communication device in the present invention facilitates an efficient way of ensuring up to date security for an access control system.

All of the currently pending independent claims have elements to this effect and, as noted above, these elements are not taught in any of the cited prior art. Accordingly, all of the independent claims appear to be in condition for allowance and such disposition is respectfully requested.

Notwithstanding their dependence from an allowable independent claim, the dependent claims provide additional reasons for allowance. For instance, claims 2 and 17 specify that the updating step relates to updating the database, whereas the Examiner attempts to argue that database updates in Buhrmann et al. correspond to steps of generating and transmitting updated credential information to a mobile communication device.

As another example, claims 8-10, 20-22, and 24 provide that in response to receiving the message the memory of the mobile device is altered in some form. The Examiner points to Col. 4, lines 36-44 of Buhrmann et al. in an attempt to show that this particular feature is known. However, as noted above, Buhrmann et al. teaches the mobile device sending profile updates to the database (not vice versa). Accordingly, Buhrmann et al. cannot possibly teach altering the mobile device's memory in response to receiving such a message.

As yet another example, claims 11 and 28 provide that updates occur as a result of de-enrolling a previously enrolled user from an access list. The Examiner's arguments related to this particular feature appear improper as Column 6, lines 61-64 of Buhrmann et al. teach that the PIM can contain machine readable storage devices. This has no relation on de-enrolling a user from an access list. Furthermore, the systems of Buhrmann and Laursen teach a user-initiated alteration of their own access privileges (*e.g.*, a user is allowed to change their password). Applicant respectfully submits ***that it would be contrary to the teachings of Buhrmann or Laursen for a user to revoke their own access privileges entirely by removing themselves from an access list***. There is no teaching in these references that would suggest a user could have a desire to remove themselves from an access list. Applicant, therefore, believes that the application of Buhrmann or Laursen as prior art references against claims 11 and 28 is improper and respectfully requests that the rejection of these claims be reconsidered and withdrawn.

As still another example, claims 5, 22, and 40 discuss a self-authenticating mobile device having self-authenticating data, where the self-authenticating data is the data which is updated. Applicant respectfully submits that neither of the cited prior art references teaches the alteration of self-authenticating data as is claimed.

Based on the foregoing, Applicant believes that all pending claims are in condition for allowance and such disposition is respectfully requested. In the event that a telephone conversation would further prosecution and/or expedite allowance, the Examiner is invited to contact the undersigned.

Respectfully submitted,

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Date: July 1, 2009

PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a) **FY 2009** (*Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).*)	Docket Number (Optional) 2943-106
Application Number 11/397,542	Filed 2006-04-03
For SYSTEM AND METHOD FOR REVOCABLY ASSIGNING AND REVOKING ACCESS CREDENTIALS US	
Art Unit 2617	Examiner DOAN, KIET M.

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.

The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):

		Fee	Small Entity Fee	
☑	One month (37 CFR 1.17(a)(1))	$130	$65	$ 130.00
☐	Two months (37 CFR 1.17(a)(2))	$490	$245	$
☐	Three months (37 CFR 1.17(a)(3))	$1110	$555	$
☐	Four months (37 CFR 1.17(a)(4))	$1730	$865	$
☐	Five months (37 CFR 1.17(a)(5))	$2350	$1175	$

☐ Applicant claims small entity status. See 37 CFR 1.27.

☐ 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 Number 191970.

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.

☐ 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 56,345

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

/Matthew R. Ellsworth/	2009-07-01
Signature	Date
Matthew R. Ellsworth	(303) 863-9700
Typed or printed name	Telephone Number

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☑ Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

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5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Electronic Patent Application Fee Transmittal

Application Number:	11397542
Filing Date:	03-Apr-2006
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Attorney Docket Number:	2943-106

Filed as Large 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	1202	2	52	104
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 - 1 month with $0 paid	1251	1	130	130
Miscellaneous:				
			Total in USD ($)	**234**

Electronic Acknowledgement Receipt

EFS ID:	5627136
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	01-JUL-2009
Filing Date:	03-APR-2006
Time Stamp:	15:45:07
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$234
RAM confirmation Number	2073
Deposit Account	191970
Authorized User	

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

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

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

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		AMEND_AF.pdf	144772 697e27f2dddd1e3024b89fcacb74f8823d6f06d9	yes	15

Multipart Description/PDF files in .zip description

Document Description	Start	End
Amendment After Final	1	1
Claims	2	8
Applicant Arguments/Remarks Made in an Amendment	9	15

Warnings:

Information:

2	Extension of Time	EXTENSION_OF_TIME.pdf	322040 ada55f1c870e4370b16587e184f47cfec53d61dd	no	2

Warnings:

Information:

3	Fee Worksheet (PTO-875)	fee-info.pdf	31906 ea78c228cf53ad2278c345b942fd9aafcd0076ec	no	2

Warnings:

Information:

Total Files Size (in bytes):	498718

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.

PTO/SB/30EFS (06-09)
Approved for use through 07/31/2009. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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

Application Number	11/397,542	Filing Date	2006-04-03	Docket Number (if applicable)	2943-106	Art Unit	2617
First Named Inventor	Peter R. Lowe			Examiner Name	DOAN, KIET M.		

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

SUBMISSION REQUIRED UNDER 37 CFR 1.114

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

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

- ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____
- ☐ Other _____

☒ Enclosed

- ☒ Amendment/Reply
- ☐ Information Disclosure Statement (IDS)
- ☐ Affidavit(s)/ Declaration(s)
- ☐ Other _____

MISCELLANEOUS

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

☐ Other _____

FEES

☒ **The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**
The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No 191970

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

☐ Applicant Signature

PTO/SB/30EFS (06-09)
Approved for use through 07/31/2009. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Signature of Registered U.S. Patent Practitioner			
Signature	/Matthew R. Ellsworth/	Date (YYYY-MM-DD)	2009-07-01
Name	Matthew R. Ellsworth	Registration Number	56345

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

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

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Electronic Patent Application Fee Transmittal

Application Number:	11397542
Filing Date:	03-Apr-2006
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Attorney Docket Number:	2943-106

Filed as Large 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:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD($)
Miscellaneous:				
Request for continued examination	1801	1	810	810
		Total in USD ($)		**810**

Electronic Acknowledgement Receipt

EFS ID:	5627282
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	01-JUL-2009
Filing Date:	03-APR-2006
Time Stamp:	15:51:02
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	$810
RAM confirmation Number	2208
Deposit Account	191970
Authorized User	

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

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

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

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Request for Continued Examination (RCE)	RCE.pdf	777029 e59ec3823ad8c4e19c35b31d0a1a87d7670670bc	no	3
Warnings:					
Information:					
2	Fee Worksheet (PTO-875)	fee-info.pdf	30248 0307b5e00d76b07f355bab6ab95a775eafe4cdfe	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	807277		

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.

<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.

<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.

<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.

PTO/SB/06 (07-06)
Approved for use through 1/31/2007. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number	Filing Date	☐ To be Mailed
11/397,542	04/03/2006	

APPLICATION AS FILED – PART I

FOR	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA	SMALL ENTITY RATE ($)	SMALL ENTITY FEE ($)	OR	OTHER THAN SMALL ENTITY RATE ($)	OTHER THAN SMALL ENTITY FEE ($)
☐ BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A	
☐ SEARCH FEE (37 CFR 1.16(k), (i), or (m))	N/A	N/A	N/A			N/A	
☐ EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A	
TOTAL CLAIMS (37 CFR 1.16(i))	minus 20 =	*	X $ =		OR	X $ =	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X $ =			X $ =	
☐ 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).						
☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))							
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL			TOTAL	

APPLICATION AS AMENDED – PART II

AMENDMENT 07/01/2009	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	SMALL ENTITY RATE ($)	SMALL ENTITY ADDITIONAL FEE ($)	OR	OTHER THAN SMALL ENTITY RATE ($)	OTHER THAN SMALL ENTITY ADDITIONAL FEE ($)
Total (37 CFR 1.16(i))	* 44	Minus	** 42	= 2	X $ =		OR	X $52=	104
Independent (37 CFR 1.16(h))	* 3	Minus	***3	= 0	X $ =		OR	X $220=	0
☐ Application Size Fee (37 CFR 1.16(s))									
☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	104

AMENDMENT	(Column 1) CLAIMS REMAINING AFTER AMENDMENT		(Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR	(Column 3) PRESENT EXTRA	RATE ($)	ADDITIONAL FEE ($)		RATE ($)	ADDITIONAL FEE ($)
Total (37 CFR 1.16(i))	*	Minus	**	=	X $ =		OR	X $ =	
Independent (37 CFR 1.16(h))	*	Minus	***	=	X $ =		OR	X $ =	
☐ Application Size Fee (37 CFR 1.16(s))									
☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))							OR		
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

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

Legal Instrument Examiner:
/DEBRA a. SAVOY/

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
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

22442 7590 03/31/2009

SHERIDAN ROSS PC
1560 BROADWAY
SUITE 1200
DENVER, CO 80202

EXAMINER	
DOAN, KIET M	
ART UNIT	PAPER NUMBER
2617	
MAIL DATE	DELIVERY MODE
03/31/2009	PAPER

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

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	11/397,542	LOWE, PETER R.	
	Examiner	Art Unit	
	KIET DOAN	2617	

-- 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 *28 December 2008*.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-42* 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) *1-42* 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 *04/03/06* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

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

Attachment(s)

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

DETAILED ACTION

1. This Office Action is response to Applicant's Remarks file on 01/28/2009.

- Applicant's Representative missed the scheduled interview on 02/18/2009. The examiners maintain the rejection and Final in this instant office action.

Response to Arguments

2. Applicant's arguments filed 01/28/2009 have been fully considered but they are not persuasive.

In response to Applicant's argument that prior art does not reject the claim concepts.

The examiner respectfully disagrees for several reasons.

Firstly, the examiner must give each claim its broadest reasonable interpretation.

Second, applicant's argument in page 3, lines 5-13 that described the concepts of invention such as automatically update credentials on the mobile communication device and update send a message from a centralized authority...and centralized authority is adapted to "push" credential update to mobile device. However, such arguments and language are no where can be found in claims. The examiner rejection is base on claims language that further explained below.

Third, Buhrmann clearly teaches "generating a message comprising said update credential information; determining at least one target for said message, wherein said at least one target comprises at least one mobile device; and transmitting said message to said at least one target" (Abstract, Col.3, lines 56-67, Col. 4, lines 1-20, teach the

subscriber sending a request profile be update, upon the request, the personal information manager (PIM) generates the profile update data in the database for the subscriber. Further, the reminder message is sending to subscriber base on the update subscriber profile data).

3. The examiner also reminds the applicant that the **recent landmark KSR** ruling puts forth that simple substitution of one known element or application for another to a piece of prior art ready for improvement is not patentable under 35 USC 103(a).

Accordingly, the claims are viewed as a combination that only unites elements with no change in respective functions of those elements and said combination yields predictable results.

Absent **evidence** that the modifications necessary to effect the combination of elements is **uniquely challenging or difficult for one of ordinary skill** the claims are also deemed unpatentable.

Claim Rejections - 35 USC § 103

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

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

5. Claims 1-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Laursen et al. (US 6,895,234 B1) in view of Buhrmann et al. (US 5,903,845).

Consider **claim 1**. Laursen teaches a method of remotely maintaining a secure access system, comprising:

updating at least a portion of credential information in said access system (Col.6, 1-6, lines 66-67 teach the PC 110 update credential information when the uses name and password are verified). Laursen **fail to explicitly teach**

in response to updating said at least a portion of credential information, generating a message comprising said updated credential information;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device; and

transmitting said message to said at least one target.

In an analogous art, **Buhrmann teaches**

in response to updating said at least a portion of credential information, generating a message comprising said updated credential information (Col.3, lines 62-64, Col. 4, lines 14-19 teach personal information manager (PIM) that updating subscriber profile data and the PIM generating alerting message that send to mobile station) ;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device; and transmitting said message to said at least one target (Col.7, lines 25-33, Col.8, lines 37-67, Col.9, lines 1-4 teach the PIM transmitting alert update message to mobile station).

Therefore, it would have been obvious at the time that the invention was made to modify Laursen with Buhrmann's system such that updating the credential information

and transmitting updated message to mobile device in order to improve the security and save guard when the mobile device access data information.

Consider **claim 2**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches wherein updating at least a portion of credential information on said access system comprises transmitting said message to at least one of a reader and a database (Col.9, lines 14-22).

Consider **claim 3**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches wherein a mobile device has a first set of credential data stored thereon, and wherein said updating further comprises changing said first set of credential data to a second different set of credential data (Col. 6, lines 10-35).

Consider **claim 4**. The combination of Laursen and Buhrmann teach the method of claim 3. Further, Laursen teaches wherein said first set of credential data has at least one of a key, password, unique ID, encryption scheme, and transmission protocol that is different in said second set of credential data (Col.7, lines 20-25).

Consider **claim 5**. The combination of Laursen and Buhrmann teach the method of claim 3. Further, Buhrmann teaches wherein said at least one mobile device is a smart mobile device (Col.6, lines 54-63);

wherein said first set of credential data comprises self-authenticating data, and wherein said second set of credential data comprises different self-authenticating data (Col.6, lines 10-2).

Consider **claim 6**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches in the event that said at least one mobile device does not receive said message and is subsequently presented to a reader, determining that said at least one mobile device is invalid (Col.7, lines 30-36).

Consider **claim 7**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches wherein said updating is performed on a periodic basis (Col.3, lines 16-19).

Consider **claim 8**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches comprising: receiving said message at said at least one mobile device; and modifying at least a portion of memory of said at least one mobile device according to said updated credential information (Col.4, lines 36-44).

Consider **claim 9**. The combination of Laursen and Buhrmann teach the method of claim 8. Further, Laursen teaches wherein said modifying comprises at least one of enabling, disabling, revoking, and altering at least a portion of said memory (Col.6, lines 61-64 teach access denial as read on disabling).

Consider **claim 10**. The combination of Laursen and Buhrmann teach the method of claim 8. Further, Laursen teaches comprising: disabling at least a portion of said memory unless an enabling message is received (Col.7, lines 19-25).

Consider **claim 11**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches comprising de-enrolling a user of at least one mobile device from an access list, wherein said updating is performed in response to de-enrolling said user from said access list (Col.6, lines 61-64 teach access denial as read on de-enrolling).

Consider **claim 12**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches wherein said message is transmitted over a cellular communication network (Col.4, lines 34-35).

Consider **claim 13**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teach wherein said message is transmitted by at least one of a radio frequency signal and a near field communication signal (Col.11, lines 35-38 teach sending short message as read on near field communication signal).

Consider **claim 14**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches comprising: presenting a mobile device to

a reader; generating a second message comprising information related to said at least one mobile device being presented to said reader; and sending said second message to at least one of a database, controller, and another mobile device (Col.7, lines 10-36).

Consider **claim 15**. The combination of Laursen and Buhrmann teach the method of claim 14. Further, Buhrmann teach wherein said second message is sent via a short message service (SMS) message (Col.11, lines 35-38).

6. Claims 16-42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Buhrmann et al. (US 5,903,845) in view of Laursen et al. (US 6,895,234 B1).

Consider **claims 16 and 33**. Buhrmann teaches a secure access system, comprising: at least one mobile device comprising memory, wherein said memory comprises credential information (Col.6, lines 40-62 teach PIM as a hand-held or PDA that contain memory);

a controller that is operable to alter at least a portion of said credential information, cause a message to be generated that comprises said altered credential information, and cause said message to be transmitted to said at least one mobile device (Col.7, lines 25-33, Col.8, lines 37-67, Col.9, lines 1-4) Buhrmann teaches the limitations as discussed above **but is silent on** credential information.

In an analogous art, **Laursen teaches** credential information (Abstract, Col.6, lines 41-49 teach the communication and transaction in credential information).

Therefore, it would have been obvious at the time that the invention was made to modify Buhrmann with Laursen's system such that mobile device contain memory with credential information and communicated in cellular network in order to improve the security and save guard when the mobile device access data information.

Consider **claim 17**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches comprising: at least one reader for determining an authenticity of said at least one mobile device; and a database for maintaining information related to said system (Col.6, Lines 40-50), wherein said controller is further operable to cause a second message to be generated that comprises said updated credential information and cause said second message to be transmitted to at least one of said reader and said database (Col.7, lines 10-36).

Consider **claims 18 and 34**. The combination of Buhrmann and Laursen teach the system of claim 17. Further, Laursen teach wherein in the event that said at least one mobile device does not receive said message, said credential information for said at least one mobile device becomes obsolete (Col.6, lines 55-65, Col.7, lines 38-50)..

Consider **claims 19 and 35**. The combination of Buhrmann and Laursen teach the system of claim 18. Further, Laursen teach wherein upon presentation of said at least one mobile device to said at least one reader, the authenticity of said at least one mobile device is determined to be invalid (Col.7, lines 19-30).

Consider **claim 20**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein at least a portion of said credential information on said memory is altered in response to receiving said message (Col.6, lines 10-23).

Consider **claims 21 and 38-39**. The combination of Buhrmann and Laursen teach the system of claim 20. Further, Laursen teaches wherein said at least a portion of said credential information comprises at least one of a key, password, unique ID, encryption scheme, and transmission protocol, and wherein at least one of said key, password, unique ID, encryption scheme, and transmission protocol is altered (Col.7, lines 20-25).

Consider **claims 22 and 40**. The combination of Buhrmann and Laursen teach the system of claim 20. Further, Buhrmann teaches wherein said at least one mobile device is a smart mobile device, wherein said credential information comprises self-authenticating data, and wherein said self-authenticating data is altered (Col.6, lines 10-20, lines 36-65).

Consider **claim 23.** The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein said controller updates at least a portion of said credential information on a periodic basis (Col.3, lines 16-19).

Consider **claim 24**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein at least a portion of said credential information on said memory is at least one of enabled, disabled, and revoked in response to receiving said message (Col.6, lines 61-64 teach access denial as read on disabling).

Consider **claim 25.** The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said mobile device comprises a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received from said controller (Col.7, lines 19-25).

Consider **claim 26**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said controller causes said message to be transmitted to said mobile device via at least one of a global system for mobile communications, a digital cellular system, and a personal communications system (Col.4, lines 34-35).

Consider **claim 27**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein said at least one mobile device is at least one of a cellular phone, and personal digital assistant (Col.6, lines 40-45).

Consider **claim 28**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said alteration is performed in response to de-enrolling at least one user from a list of authorized users (Col.6, lines 61-64 teach access denial as read on de-enrolling).

Consider **claims 29 and 30**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in each one of the (in less than all of the) plurality of mobile devices is altered (Col.5, lines 32-45, Col.6, lines 11-20).

Consider **claim 31**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein said message is transmitted via at least one of a radio frequency and near field communication signal (Col.11, lines 35-38 teach sending short message as read on near field communication signal).

Consider **claim 31**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said message is transmitted via a cellular communications network (Col.4, lines 34-35).

Consider **claim 36**. The combination of Buhrmann and Laursen teach the device of claim 33. Further, Laursen teaches wherein said reader is associated with a controller

and the controller is operable to determine an authenticity of said mobile device based at least in part upon said credential information (Col.5, lines 62-64, Col.6, lines 10-20).

Consider **claim 37**. The combination of Buhrmann and Laursen teach the device of claim 36. Further, Laursen teaches wherein said reader is operable to determine an authenticity of said mobile device based at least in part upon said credential information (Col.6, lines 55-64).

Consider **claim 41**. The combination of Buhrmann and Laursen teach the device of claim 33. Further, Laursen teaches comprising a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received (Col.6, lines 59-64).

Consider **claim 42**. The combination of Buhrmann and Laursen teach the device of claim 33. Further, Buhrmann teaches wherein a near field communications protocol is used by said first interface to communicate with said reader (Col.12, lines 30-36).

Conclusion

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

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to KIET DOAN whose telephone number is (571)272-7863. The examiner can normally be reached on 8am - 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Appiah N. Charles can be reached on 571-272-7904. 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.

/Kiet Doan/
Examiner, Art Unit 2617

/Charles N. Appiah/
Supervisory Patent Examiner, Art Unit 2617

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008	03/25/2009							
	1	✓	✓							
	2	✓	✓							
	3	✓	✓							
	4	✓	✓							
	5	✓	✓							
	6	✓	✓							
	7	✓	✓							
	8	✓	✓							
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	29	✓	✓							
	30	✓	✓							
	31	✓	✓							
	32	✓	✓							
	33	✓	✓							
	34	✓	✓							
	35	✓	✓							
	36	✓	✓							

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
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	Examiner	Art Unit
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☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☐ T.D. ☐ R.1.47

CLAIM		DATE								
Final	Original	10/20/2008	03/25/2009							
	37	✓	✓							
	38	✓	✓							
	39	✓	✓							
	40	✓	✓							
	41	✓	✓							
	42	✓	✓							

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

SEARCHED

Class	Subclass	Date	Examiner
713	200	10/22/08	KD
455	403		KD
	461		KD
		03/24/09	
455	414		KD
	412		KD

SEARCH NOTES

Search Notes	Date	Examiner
@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (mobile wireless pda $4phone)	10/22/08	KD
@ad<"20060404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information		KD
	03/24/09	
Using same reference and go Final		KD

INTERFERENCE SEARCH

Class	Subclass	Date	Examiner

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No.: 11/397,542	)	Confirmation No.: 5973
Applicant: LOWE	)	Group Art Unit: 2617
Filed: April 3, 2006	)	Examiner: DOAN, KIET M
Docket No.: 2943-106	)	
For: "SYSTEM AND METHOD FOR REVOCABLY ASSIGNING AND REVOKING ACCESS CREDENTIALS…"	)	***Filed Electronically***

RESPONSE

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

Sir:

Applicant submits this Response to address the Office Action having a mailing date of October 28, 2008. Although the Applicant believes that no fees are due for filing this Response, please charge any fees deemed necessary to Deposit Account No. 19-1970.

REMARKS

Applicant submits this Response to respond to the Office Action dated October 28, 2008. No claims have been amended or canceled in this response. Accordingly, claims 1-42 are currently pending.

(I) Claim Rejections under 35 U.S.C. §103

Claims 1-15 stand rejected under 35 U.S.C. § 103(a) as being unpatentable over Laursen et al. (US 6,895,234) in view of Buhrmann et al. (US 5,903,845). Claims 16-42 are rejected under 35 U.S.C. § 103(a) as being unpatentable over Buhrmann et al. in view of Laursen. In order for a rejection under 35 U.S.C. §103 to be proper, clear articulation of the reason(s) why the claimed invention would have been obvious should be stated by the Examiner and must be supported by some rationale which may include one of the following: A) Combining prior art elements according to known methods to yield predictable results; (B) Simple substitution of one known element for another to obtain predictable results; (C) Use of known technique to improve similar devices (methods, or products) in the same way; (D) Applying a known technique to a known device (method, or product) ready for improvement to yield predictable results; (E) "Obvious to try" - choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success; (F) Known work in one field of endeavor may prompt variations of it for use in either the same field or a different one based on design incentives or other market forces if the variations are predictable to one of ordinary skill in the art; or (G) Some teaching, suggestion, or motivation in the prior art that would have led one of ordinary skill to modify the prior art reference or to combine prior art reference teachings to arrive at the claimed invention. The Supreme Court noted in *KSR v. Teleflex* that the analysis supporting a

rejection under 35 U.S.C. 103 should be made explicit. (MPEP §2143). The Examiner has not, however, shown that the pending claims are obvious in view of any of the above-listed rationales. Accordingly, reconsideration and withdrawal of the rejections are respectfully requested.

More specifically, the present invention is directed toward a mechanism for automatically updating credentials on a mobile communication device. Updates to the mobile communication device may be achieved by sending a message from a centralized authority responsible for maintaining security of a particular area to the communication device that either assigns, revokes, or renews credentials stored on the communication device. Then the mobile communication device may be adapted to communicate these credentials, if any exist thereon, to an access control device that reads the credentials and determines if the credentials are valid. Thus, the centralized authority is adapted to "push" these credential updates to the mobile communication device irrespective of whether or not the communication device wants to receive such credential updates. The provisioning of credential updates is provided and facilitated by the centralized authority.

The prior art, on the other hand, does not appear to teach pushing updated credentials to a mobile communication device. Rather, as the Examiner correctly indicates, Laursen et al. only teaches allowing a mobile device and a computing device to access a common database. Laursen et al. does not explicitly teach generating a message comprising updated credential information in response to a portion of the credential information being updated, determining at least one mobile device target for the message, and transmitting the message to the at least one mobile target.

Buhrmann et al. is also significantly different from the present invention. The Examiner relies on Buhrmann et al. to overcome the above-noted shortcomings of Laursen et al. and argues that Column 3, lines 62-64 and Column 4, lines 14-19 of Buhrmann et al. teach a personal information manager (PIM) updating subscriber profile data and generating an alerting message to be sent to the mobile station. (See Office Action pg. 3, last paragraph). Applicant disagrees with this interpretation of Buhrmann et al. More specifically, Buhrmann et al. is directed toward a mechanism for automatically activating profile updates on a mobile communication device. Column 8, lines 36-53 provide a better understanding of the system taught in Buhrmann et al. This particular passage states that the PIM sends profile updates to the database 118, not the mobile station as is asserted by the Examiner.

A PIM is used to generate profile update data entered by a subscriber and transmit such data to a database in a telecommunication system. When the database receives the profile update, the subscriber profile stored therein is updated. All data updates are always sent to the database. There is no updated credential information sent to the mobile device in response to credential information being updated in the database. The user of the mobile communication device is required to update their profile information and then send that information to a database. The profile information can then be accessed on an as needed basis by the mobile communication device. However, this requires the mobile communication device to pull information from the database, something which is significantly different from the present invention.

This is fundamentally different from the present invention where credential updates are pushed toward the mobile communication device without any solicitation by the mobile communication device. The pushing of updated credential information to the mobile

communication device in the present invention facilitates an efficient way of ensuring up to date security for an access control system.

All of the currently pending independent claims have elements to this effect and, as noted above, these elements are not taught in any of the cited prior art. Accordingly, all of the independent claims appear to be in condition for allowance and such disposition is respectfully requested.

Notwithstanding their dependence from an allowable independent claim, the dependent claims provide additional reasons for allowance. For instance, claims 2 and 17 specify that the updating step relates to updating the database, whereas the Examiner attempts to argue that database updates in Buhrmann et al. correspond to steps of generating and transmitting updated credential information to a mobile communication device.

As another example, claims 8-10, 20-22, and 24 provide that in response to receiving the message the memory of the mobile device is altered in some form. The Examiner points to Col. 4, lines 36-44 of Buhrmann et al. in an attempt to show that this particular feature is known. However, as noted above, Buhrmann et al. teaches the mobile device sending profile updates to the database (not vice versa). Accordingly, Buhrmann et al. cannot possibly teach altering the mobile device's memory in response to receiving such a message.

As yet another example, claims 11 and 28 provide that updates occur as a result of de-enrolling a previously enrolled user from an access list. The Examiner's arguments related to this particular feature appear improper as Column 6, lines 61-64 of Buhrmann et al. on teach that the PIM can contain machine readable storage devices. This has no relation on de-enrolling a user from an access list. Accordingly, Applicant submits that the Examiner has not met his requirements of showing that access denial can be understood by one skilled in the art to include

de-enrolling. Moreover, this particular passage of Buhrmann et al. does not even discuss access denial.

Based on the foregoing, Applicant believes that all pending claims are in condition for allowance and such disposition is respectfully requested. In the event that a telephone conversation would further prosecution and/or expedite allowance, the Examiner is invited to contact the undersigned.

Respectfully submitted,

SHERIDAN ROSS P.C.

By: /Matthew R. Ellsworth/
Matthew R. Ellsworth
Reg. No. 56,345
1560 Broadway, Suite 1200
Denver, Colorado 80202
Telephone: 303-863-9700

Date: 1/28/2009

Electronic Acknowledgement Receipt

EFS ID:	4693062
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Leslie Frankel
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	28-JAN-2009
Filing Date:	03-APR-2006
Time Stamp:	17:48:44
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		AMENDMENT_AND_RESPONSE.pdf	112538 c075041b2a8d991c5ecca2d3d30f7f64b90609ac	yes	6

	Multipart Description/PDF files in .zip description		
	Document Description	**Start**	**End**
	Amendment/Req. Reconsideration-After Non-Final Reject	1	1
	Applicant Arguments/Remarks Made in an Amendment	2	6
Warnings:			
Information:			
	Total Files Size (in bytes):	112538	

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.

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www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
11/397,542	04/03/2006	Peter R. Lowe	2943-106	5973

22442 7590 10/28/2008

SHERIDAN ROSS PC
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DENVER, CO 80202

EXAMINER	
DOAN, KIET M	
ART UNIT	PAPER NUMBER
2617	
MAIL DATE	DELIVERY MODE
10/28/2008	PAPER

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

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	11/397,542	LOWE, PETER R.	
	Examiner	Art Unit	
	KIET DOAN	2617	

-- 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 *03 April 2006*.

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) *1-42* 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) *1-42* 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 *04/03/06* is/are: a)☒ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

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

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date *09/10/08, 10/09/06, 10/09/06*.
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

DETAILED ACTION

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 negatived by the manner in which the invention was made.

2. Claims 1-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Laursen et al. (US 6,895,234 B1) in view of Buhrmann et al. (US 5,903,845).

Consider claim 1. Laursen teaches a method of remotely maintaining a secure access system, comprising:

updating at least a portion of credential information in said access system (Col.6, 1-6, lines 66-67 teach the PC 110 update credential information when the uses name and password are verified). Laursen **fail to explicitly teach**

in response to updating said at least a portion of credential information, generating a message comprising said updated credential information;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device; and

transmitting said message to said at least one target.

In an analogous art, **Buhrmann teaches**

in response to updating said at least a portion of credential information, generating a message comprising said updated credential information (Col.3, lines 62-64, Col. 4, lines 14-19 teach personal information manager (PIM) that updating

subscriber profile data and the PIM generating alerting message that send to mobile station) ;

determining at least one target for said message, wherein said at least one target comprises at least one mobile device; and transmitting said message to said at least one target (Col.7, lines 25-33, Col.8, lines 37-67, Col.9, lines 1-4 teach the PIM transmitting alert update message to mobile station).

Therefore, it would have been obvious at the time that the invention was made to modify Laursen with Buhrmann's system such that updating the credential information and transmitting updated message to mobile device in order to improve the security and save guard when the mobile device access data information.

Consider **claim 2**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches wherein updating at least a portion of credential information on said access system comprises transmitting said message to at least one of a reader and a database (Col.9, lines 14-22).

Consider **claim 3**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches wherein a mobile device has a first set of credential data stored thereon, and wherein said updating further comprises changing said first set of credential data to a second different set of credential data (Col. 6, lines 10-35).

Consider **claim 4**. The combination of Laursen and Buhrmann teach the method of claim 3. Further, Laursen teaches wherein said first set of credential data has at least one of a key, password, unique ID, encryption scheme, and transmission protocol that is different in said second set of credential data (Col.7, lines 20-25).

Consider **claim 5**. The combination of Laursen and Buhrmann teach the method of claim 3. Further, Buhrmann teaches wherein said at least one mobile device is a smart mobile device (Col.6, lines 54-63);

wherein said first set of credential data comprises self-authenticating data, and wherein said second set of credential data comprises different self-authenticating data (Col.6, lines 10-2).

Consider **claim 6**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches in the event that said at least one mobile device does not receive said message and is subsequently presented to a reader, determining that said at least one mobile device is invalid (Col.7, lines 30-36).

Consider **claim 7**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teaches wherein said updating is performed on a periodic basis (Col.3, lines 16-19).

Consider **claim 8**. The combination of Laursen and Buhrmann teach the method

of claim 1. Further, Buhrmann teaches comprising: receiving said message at said at least one mobile device; and modifying at least a portion of memory of said at least one mobile device according to said updated credential information (Col.4, lines 36-44).

Consider **claim 9**. The combination of Laursen and Buhrmann teach the method of claim 8. Further, Laursen teaches wherein said modifying comprises at least one of enabling, disabling, revoking, and altering at least a portion of said memory (Col.6, lines 61-64 teach access denial as read on disabling).

Consider **claim 10**. The combination of Laursen and Buhrmann teach the method of claim 8. Further, Laursen teaches comprising: disabling at least a portion of said memory unless an enabling message is received (Col.7, lines 19-25).

Consider **claim 11**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches comprising de-enrolling a user of at least one mobile device from an access list, wherein said updating is performed in response to de-enrolling said user from said access list (Col.6, lines 61-64 teach access denial as read on de-enrolling).

Consider **claim 12**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches wherein said message is transmitted over a cellular communication network (Col.4, lines 34-35).

Consider **claim 13**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Buhrmann teach wherein said message is transmitted by at least one of a radio frequency signal and a near field communication signal (Col.11, lines 35-38 teach sending short message as read on near field communication signal).

Consider **claim 14**. The combination of Laursen and Buhrmann teach the method of claim 1. Further, Laursen teaches comprising: presenting a mobile device to a reader; generating a second message comprising information related to said at least one mobile device being presented to said reader; and sending said second message to at least one of a database, controller, and another mobile device (Col.7, lines 10-36).

Consider **claim 15**. The combination of Laursen and Buhrmann teach the method of claim 14. Further, Buhrmann teach wherein said second message is sent via a short message service (SMS) message (Col.11, lines 35-38).

3. Claims 16-42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Buhrmann et al. (US 5,903,845) in view of Laursen et al. (US 6,895,234 B1).

Consider **claims 16 and 33**. Buhrmann teaches a secure access system, comprising: at least one mobile device comprising memory, wherein said memory comprises credential information (Col.6, lines 40-62 teach PIM as a hand-held or PDA that contain memory);

a controller that is operable to alter at least a portion of said credential information, cause a message to be generated that comprises said altered credential information, and cause said message to be transmitted to said at least one mobile device (Col.7, lines 25-33, Col.8, lines 37-67, Col.9, lines 1-4) Buhrmann teaches the limitations as discussed above **but is silent on** credential information.

In an analogous art, **Laursen teaches** credential information (Abstract, Col.6, lines 41-49 teach the communication and transaction in credential information).

Therefore, it would have been obvious at the time that the invention was made to modify Buhrmann with Laursen's system such that mobile device contain memory with credential information and communicated in cellular network in order to improve the security and save guard when the mobile device access data information.

Consider **claim 17**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches comprising: at least one reader for determining an authenticity of said at least one mobile device; and a database for maintaining information related to said system (Col.6, Lines 40-50), wherein said controller is further operable to cause a second message to be generated that comprises said updated credential information and cause said second message to be transmitted to at least one of said reader and said database (Col.7, lines 10-36).

Consider **claims 18 and 34**. The combination of Buhrmann and Laursen teach the system of claim 17. Further, Laursen teach wherein in the event that said at least

one mobile device does not receive said message, said credential information for said at least one mobile device becomes obsolete (Col.6, lines 55-65, Col.7, lines 38-50)..

Consider **claims 19 and 35**. The combination of Buhrmann and Laursen teach the system of claim 18. Further, Laursen teach wherein upon presentation of said at least one mobile device to said at least one reader, the authenticity of said at least one mobile device is determined to be invalid (Col.7, lines 19-30).

Consider **claim 20**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein at least a portion of said credential information on said memory is altered in response to receiving said message (Col.6, lines 10-23).

Consider **claims 21 and 38-39**. The combination of Buhrmann and Laursen teach the system of claim 20. Further, Laursen teaches wherein said at least a portion of said credential information comprises at least one of a key, password, unique ID, encryption scheme, and transmission protocol, and wherein at least one of said key, password, unique ID, encryption scheme, and transmission protocol is altered (Col.7, lines 20-25).

Consider **claims 22 and 40**. The combination of Buhrmann and Laursen teach the system of claim 20. Further, Buhrmann teaches wherein said at least one mobile

device is a smart mobile device, wherein said credential information comprises self-authenticating data, and wherein said self-authenticating data is altered (Col.6, lines 10-20, lines 36-65).

Consider **claim 23.** The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein said controller updates at least a portion of said credential information on a periodic basis (Col.3, lines 16-19).

Consider **claim 24**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein at least a portion of said credential information on said memory is at least one of enabled, disabled, and revoked in response to receiving said message (Col.6, lines 61-64 teach access denial as read on disabling).

Consider **claim 25.** The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said mobile device comprises a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received from said controller (Col.7, lines 19-25).

Consider **claim 26**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said controller causes said message to be transmitted to said mobile device via at least one of a global system for mobile

communications, a digital cellular system, and a personal communications system (Col.4, lines 34-35).

Consider **claim 27**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein said at least one mobile device is at least one of a cellular phone, and personal digital assistant (Col.6, lines 40-45).

Consider **claim 28**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said alteration is performed in response to de-enrolling at least one user from a list of authorized users (Col.6, lines 61-64 teach access denial as read on de-enrolling).

Consider **claims 29 and 30**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said at least one mobile device comprises a plurality of mobile devices, and wherein credential information in each one of the (in less than all of the) plurality of mobile devices is altered (Col.5, lines 32-45, Col.6, lines 11-20).

Consider **claim 31**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Buhrmann teaches wherein said message is transmitted via at least one of a radio frequency and near field communication signal (Col.11, lines 35-38 teach sending short message as read on near field communication signal).

Consider **claim 31**. The combination of Buhrmann and Laursen teach the system of claim 16. Further, Laursen teaches wherein said message is transmitted via a cellular communications network (Col.4, lines 34-35).

Consider **claim 36**. The combination of Buhrmann and Laursen teach the device of claim 33. Further, Laursen teaches wherein said reader is associated with a controller and the controller is operable to determine an authenticity of said mobile device based at least in part upon said credential information (Col.5, lines 62-64, Col.6, lines 10-20).

Consider **claim 37**. The combination of Buhrmann and Laursen teach the device of claim 36. Further, Laursen teaches wherein said reader is operable to determine an authenticity of said mobile device based at least in part upon said credential information (Col.6, lines 55-64).

Consider **claim 41**. The combination of Buhrmann and Laursen teach the device of claim 33. Further, Laursen teaches comprising a timing-out mechanism, wherein said timing-out mechanism is operable to disable said memory unless an enabling message is received (Col.6, lines 59-64).

Consider **claim 42**. The combination of Buhrmann and Laursen teach the device

of claim 33. Further, Buhrmann teaches wherein a near field communications protocol is used by said first interface to communicate with said reader (Col.12, lines 30-36).

Conclusion

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

1. Little et al. (US 2004/0177270 A1).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to KIET DOAN whose telephone number is (571)272-7863. The examiner can normally be reached on 8am - 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Appiah N. Charles can be reached on 571-272-7904. 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.

/Kiet Doan/
Examiner, Art Unit 2617

/Charles N. Appiah/
Supervisory Patent Examiner, Art Unit 2617

Notice of References Cited	Application/Control No. 11/397,542	Applicant(s)/Patent Under Reexamination LOWE, PETER R.	
	Examiner KIET DOAN	Art Unit 2617	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-5,903,845	05-1999	Buhrmann et al.	455/461
*	B	US-6,895,234	05-2005	Laursen et al.	455/403
*	C	US-2004/0177270	09-2004	Little et al.	713/200
	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	
	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.

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008								
	1	✓								
	2	✓								
	3	✓								
	4	✓								
	5	✓								
	6	✓								
	7	✓								
	8	✓								
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	31	✓								
	32	✓								
	33	✓								
	34	✓								
	35	✓								
	36	✓								

Index of Claims	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

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

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

CLAIM		DATE								
Final	Original	10/20/2008								
	37	✓								
	38	✓								
	39	✓								
	40	✓								
	41	✓								
	42	✓								

Search Notes	Application/Control No.	Applicant(s)/Patent Under Reexamination
	11397542	LOWE, PETER R.
	Examiner	Art Unit
	KIET DOAN	2617

SEARCHED

Class	Subclass	Date	Examiner
713	200	10/22/08	KD
455	403		KD
	461		KD

SEARCH NOTES

Search Notes	Date	Examiner
@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (mobile wireless pda $4phone)	10/22/08	KD
@ad<"20060404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information		KD

INTERFERENCE SEARCH

Class	Subclass	Date	Examiner

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BIB DATA SHEET

CONFIRMATION NO. 5973

SERIAL NUMBER	FILING or 371(c) DATE RULE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.
11/397,542	04/03/2006	455	2617	2943-106

APPLICANTS
Peter R. Lowe, Peyton, CO;

**** CONTINUING DATA ***************************
This appln claims benefit of 60/668,828 04/05/2005

**** FOREIGN APPLICATIONS ***************************

**** IF REQUIRED, FOREIGN FILING LICENSE GRANTED ****
05/18/2006

Foreign Priority claimed ☐ Yes ☑ No 35 USC 119(a-d) conditions met ☐ Yes ☑ No Verified and Acknowledged /KIET M DOAN/ Examiner's Signature	☐ Met after Allowance Initials	STATE OR COUNTRY	SHEETS DRAWINGS	TOTAL CLAIMS	INDEPENDENT CLAIMS
		CO	5	42	3

ADDRESS

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TITLE

System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone

FILING FEE RECEIVED		
2100	FEES: Authority has been given in Paper No._____ to charge/credit DEPOSIT ACCOUNT No._____ for following:	☐ All Fees ☐ 1.16 Fees (Filing) ☐ 1.17 Fees (Processing Ext. of time) ☐ 1.18 Fees (Issue) ☐ Other _____ ☐ Credit

EAST Search History

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S4	63	@ad<"20060404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/19 22:12
S5	1	S4 and (update$3 revis $3) with memory with (mobile wireless $4phone pda)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/19 22:13
S6	58	@ad<"20060303" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/19 22:14
S7	13	S6 and (update$3 revis $3) same (mobile wireless $4phone pda)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/19 22:15
S8	3	"20030017833"	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 12:43
S9	2	"6856805".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 12:44
S10	2	"6295454".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 12:44
S13	30	beacon$1 same offset same start$3 same superframe	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 14:24
S14	5	S13 and @ad<"20040404"	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 14:25
S18	758	(comput$3 calculat$3 coefficient$1) same (separat$3 different$1) same subcarrier$1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 16:48
S19	487	S18 and (separat$3 different$1) near2 (tone (sub adj carrier$1) subcarrier$1 bin$1 channel $1)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 16:51
S20	319	S19 and @ad<"20050505"	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 16:52

S21	3	11/121743	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 17:01
S22	2	"6668322".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 22:41
S23	8	"6895234"	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 22:46
S25	2	"6895234".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 22:48
S26	2	"6859650".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 23:00
S27	2	"6577299".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/20 23:03
S28	2	"6895234".pn.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 11:31
S29	6	@ad<"20060404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information and message $1 same (mobile wireless)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 12:03
S30	4	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information and message $1 same (mobile wireless)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 12:04
S31	27	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information and message $1 and (mobile wireless)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 12:07
S32	51	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) near1 information	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:02
S33	1	S32 and "455"/$.ccls.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:02
S34	28	S32 and (mobile wireless pda) and message$1	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:03

S35	90	@ad<"20050404" and ((base near station) server) with (update$3 revis$3) with (credential credent$4 authoriz$5 proof) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:13
S36	63903	@ad<"20050404" and ((base near station) server) with (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:14
S37	64	S35 and ((base near station) server) with (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:14
S38	20	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:31
S39	20	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone) and (credential credent$4 authoriz$5)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:33
S40	20	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone) and (credential credent$4 authoriz$5) and (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 14:33
S41	20	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:17

S42	0	@ad<"20050404" and (update$3 revis$3) with portion with (credential credent$4 authoriz$5 proof) same (transmit$3 forward$3 message$3) with (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:18
S43	93	@ad<"20050404" and (update$3 revis$3) same portion same (credential credent$4 authoriz$5 proof) same (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:19
S44	7	S43 and "713"/$.ccls.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:21
S45	15	S43 and "705"/$.ccls.	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:21
S46	85	@ad<"20050404" and (update$3 revis$3) near1 (credential credent$4 authoriz$5 proof) same (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:26
S47	23	@ad<"20050404" and (update$3 revis$3) near2 (credential credent$4) same (mobile wireless pda $4phone)	US-PGPUB; USPAT; EPO; JPO; DERWENT	OR	ON	2008/10/21 15:33
S48	43	("5321840" | "5434918" | "5673322" | "5689642" | "5689825" | "5703942" | "5708780" | "5717923" | "5721827" | "5727159" | "5740430" | "5742905" | "5754939" | "5764235" | "5796832" | "5805159" | "5805803" | "5815665" | "5825759" | "5828833" | "5838682" | "5844972" | "5848161" | "5857201" | "5862325" | "5862339" | "5867153" | "5867661" | "5884312" | "5887171" | "5896444" | "5901287" | "5903845" | "5905251" | "5907547" | "5918019" | "5923756" | "5926624" | "5926636" | "6065120" | "6233608" | "6795708" | "6895234").PN.	US-PGPUB; USPAT; USOCR	OR	ON	2008/10/21 15:40

10/22/08 7:51:22 PM

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	11397542
Filing Date	2006-04-03
First Named Inventor	LOWE, Peter R.
Art Unit	2617
Examiner Name	To Be Determined
Attorney Docket Number	2943-106

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/K.D./	1	6859650	B1	2005-02-22	Ritter	
/K.D./	2	6577299	B1	2003-06-10	Bonneau et al.	

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Art Unit	2617
Examiner Name	To Be Determined
Attorney Docket Number	2943-106

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
/K.D./	1	PHILLIPS SEMICONDUCTOERS - "Near Field Communication PN511-Transmision module." (February 2004) (18 pages)	☐
/K.D./	2	NOKIA- "Use Cases" http://www.nokia.com (Copyright 2005) (2 pages)	☐
/K.D./	3	Esato - "Nokia Launches NFC Shell for Mobile Payments" http://www.esato.com/news/article.php/id=436 (February 25, 2005) (3 pages)	☐
/K.D./	4	NFC Forum - "About Near Field Communication" http://www.nfc-forum.org/aboutnfc/ (Copyright 2005) (3 pages)	☐
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	Examiner Name	To Be Determined
	Attorney Docket Number	2943-106

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☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☑ None

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A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Matthew R. Ellsworth/	Date (YYYY-MM-DD)	2006-10-06
Name/Print	Matthew R. Ellsworth	Registration Number	56,345

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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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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Not for submission under 37 CFR 1.99)

Application Number	11397542
Filing Date	2006-04-03
First Named Inventor	Lowe
Art Unit	2617
Examiner Name	DOAN, KIET M
Attorney Docket Number	2943-106

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Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
/K.D./	1	6668322		2003-12-23	Wood et al.	
/K.D./	2	6895234		2005-05-17	Laursen et al.	

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/K.D./	1	International Search Report for International (PCT) Patent Application No. PCT/US06/15304, mailed June 11, 2008 (Attorney's Ref. No. 2943-106-PCT)	☐
/K.D./	2	Written Opinion for International (PCT) Patent Application No. PCT/US06/15304, mailed June 11, 2008 (Attorney's Ref. No. 2943-106-PCT)	☐

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Examiner Signature	/Kiet Doan/	Date Considered	10/20/2008

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (**Not for submission under 37 CFR 1.99)**		
	Application Number	11397542
	Filing Date	2006-04-03
	First Named Inventor	Lowe
	Art Unit	2617
	Examiner Name	DOAN, KIET M
	Attorney Docket Number	2943-106

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	International Search Report for International (PCT) Patent Application No. PCT/US06/15304, mailed June 11, 2008 (Attorney's Ref. No. 2943-106-PCT)	☐
	2	Written Opinion for International (PCT) Patent Application No. PCT/US06/15304, mailed June 11, 2008 (Attorney's Ref. No. 2943-106-PCT)	☐

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Signature	/Matthew R. Ellsworth/	Date (YYYY-MM-DD)	2008-09-10
Name/Print	Matthew R. Ellsworth	Registration Number	56345

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EFS ID:	3917813
Application Number:	11397542
International Application Number:	
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor/Applicant Name:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth/Debra Kesner
Filer Authorized By:	Matthew Ryan Ellsworth
Attorney Docket Number:	2943-106
Receipt Date:	10-SEP-2008
Filing Date:	03-APR-2006
Time Stamp:	13:40:17
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Filed (SB/08)	IDS_02.pdf	777375 f3f8a229f1da40875b921f95dccb1e43652dfb3e	no	4

Warnings:	
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2	NPL Documents	2943-106-PCT_Search_Report.pdf	951775 70ee3b6cb865cf08f3b2e2f1af346dc748982a92	no	3
Warnings:					
Information:					
3	NPL Documents	2943-106-PCT_Written_Opinion.pdf	951726 6fd8710a28673f5bcb293bbef631c1dcf8eacf5a	no	5
Warnings:					
Information:					
			Total Files Size (in bytes):	2680876	

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New International Application Filed with the USPTO as a Receiving Office
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	First Named Inventor	LOWE, Peter R.
	Art Unit	2617
	Examiner Name	To Be Determined
	Attorney Docket Number	2943-106

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	2	6577299	B1	2003-06-10	Bonneau et al.	

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Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

If you wish to add additional Foreign Patent Document citation information please click the Add button Add

NON-PATENT LITERATURE DOCUMENTS Remove

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	11397542
	Filing Date	2006-04-03
	First Named Inventor	LOWE, Peter R.
	Art Unit	2617
	Examiner Name	To Be Determined
	Attorney Docket Number	2943-106

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]
	1	PHILLIPS SEMICONDUCTOERS - "Near Field Communication PN511-Transmision module." (February 2004) (18 pages)	☐
	2	NOKIA- "Use Cases" http://www.nokia.com (Copyright 2005) (2 pages)	☐
	3	Esato - "Nokia Launches NFC Shell for Mobile Payments" http://www.esato.com/news/article.php/id=436 (February 25, 2005) (3 pages)	☐
	4	NFC Forum - "About Near Field Communication" http://www.nfc-forum.org/aboutnfc/ (Copyright 2005) (3 pages)	☐
	5	Indala - "Product Families" www.indala.com/products/index.html (Copyright 2004) (2 pages)	☐

If you wish to add additional non-patent literature document citation information please click the Add button Add

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)		
	Application Number	11397542
	Filing Date	2006-04-03
	First Named Inventor	LOWE, Peter R.
	Art Unit	2617
	Examiner Name	To Be Determined
	Attorney Docket Number	2943-106

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☑ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Matthew R. Ellsworth/	Date (YYYY-MM-DD)	2006-10-06
Name/Print	Matthew R. Ellsworth	Registration Number	56,345

This collection of information is required by 37 CFR 1.97 and 1.98. 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 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: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.

2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.

9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Electronic Acknowledgement Receipt

EFS ID:	1240919
Application Number:	11397542
Confirmation Number:	5973
Title of Invention:	System and method for remotely assigning and revoking access credentials using a near field communication equipped mobile phone
First Named Inventor:	Peter R. Lowe
Customer Number:	22442
Filer:	Matthew Ryan Ellsworth
Filer Authorized By:	
Attorney Docket Number:	2943-106
Receipt Date:	09-OCT-2006
Filing Date:	03-APR-2006
Time Stamp:	12:04:43
Application Type:	Utility
International Application Number:	

Payment information:

Submitted with Payment	no

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part	Pages
1	Transmittal letter	IDS_Transmittal.pdf	274074	no	3

Warnings:					
Information:					
2	Information Disclosure Statement (IDS) Filed	US_IDS_Form__SB_08a.pdf	869169	no	4
Warnings:					
Information:					
3	NPL Documents	Phillips_Semiconductoers.pdf	1393606	no	18
Warnings:					
Information:					
4	NPL Documents	Nokia.pdf	174296	no	2
Warnings:					
Information:					
5	NPL Documents	Esato.pdf	706071	no	3
Warnings:					
Information:					
6	NPL Documents	NFC_Forum.pdf	313016	no	3
Warnings:					
Information:					
7	NPL Documents	Indala.pdf	206037	no	2
Warnings:					
Information:					
		Total Files Size (in bytes):	3936269		

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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:	)	Group Art Unit: 2617
LOWE, Peter R.	)	Confirmation No.: 5973
Serial No.: 11/397,542	)	Examiner: To Be Determined
Filed: April 3, 2006	)	
	)	INFORMATION DISCLOSURE STATEMENT
Atty. File No.: 2943-106	)	
For: "SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE"	)	**Via Electronic Filing**

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

Dear Sir:

The references cited on attached Form PTO-SB08 are being called to the attention of the Examiner.

☒ Copies of the cited non-patent and/or foreign references are enclosed herewith.

☐ Copies of the cited U.S. patents and/or patent applications are enclosed herewith.

☒ Copies of the cited U.S. patents/patent application publications are not enclosed in accordance with 37 C.F.R. § 1.98(a).

☐ Copies of the cited references are not enclosed, in accordance with 37 C.F.R. § 1.98(d), because the references were cited by or submitted to the U.S. Patent and Trademark Office in prior application Serial No. _____ filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

☐ To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the accuracy of the translation.

☐ Examiner's attention is drawn to the following co-pending applications, copies of which have been or are being submitted:

Serial No. _____ filed _____

Serial No. _____ filed _____

☐ Other:_____

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

FEES

☒	**37 CFR 1.97(b)**: No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith is satisfies one of the following conditions ("X" indicates satisfaction): ☐ Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or ☐ Within three months of the date of entry into the national stage of an international application as set forth in 37 CFR 1.491 or ☒ Before the mailing date of a first Office Action on the merits, or ☐ Before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114. Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.
☐	**37 CFR 1.97(c)**: The information disclosure statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions: (1) a final action under 37 C.F.R. 1.113 or (2) a notice of allowance under 37 C.F.R. 1.311, or (3) an action that otherwise closes prosecution in the application. This Information Disclosure Statement is accompanied by: ☐ A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970. OR ☐ Please charge Deposit Account 19-1970 in the amount of $180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account 19-1970.

☐	**37 CFR 1.97(d)**: This Information Disclosure Statement is being submitted after the period specified in 37 CFR 1.97(c). ☐ This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e) AND ☐ Applicants hereby requests consideration of the reference(s) disclosed herein. Please charge Deposit Account 19-1970 in the amount of $180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.

Certification (37 C.F.R. 1.97(e))
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

☐ A copy of the communication from the foreign patent office is enclosed.

OR

☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

SHERIDAN ROSS P.C.

By: _____

Matthew R. Ellsworth
Registration No. 56,345
1560 Broadway, Suite 1200
Denver, Colorado 80202-5141
(303) 863-9700

Date: October 6, 2006

UTILITY PATENT APPLICATION TRANSMITTAL

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

Attorney Docket No.	2943-106
First Inventor	LOWE
Title	"SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE"
Express Mail Label	EV 788582112 US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450**

1. ☒ **Fee Transmittal Form** (e.g., PTO/SB/17) *(Submit an original and a duplicate for fee processing)*
2. ☐ **Applicant claims small entity status** See 37 CFR 1.27.
3. ☒ **Specification** [*Total Pages:* 34]
4. ☒ **Drawing)(s)** [*Total Pages:* 5]
5. ☒ **Oath or Declaration** [*Total Pages:* 3]
   a. ☒ Newly executed (original or copy)
   b. ☐ A copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional with Box 21 completed)*
6. ☐ **Application Data Sheet**. See 37 CFR 1.76
7. ☐ **CD-ROM or CD-R** in duplicate, large table or
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 identify of above copies.

ACCOMPANYING APPLICATION PARTS

9. ☐ **Assignment Papers** (cover sheet & document(s)) Name of Assignee: _____
10. ☐ **Power of Attorney** ☐ **37 CFR 3.73(b) Statement**
11. ☐ **English Translation Document** *(if applicable)*
12. ☐ **Information Disclosure Statement** (PTO/SB/08 or PTO-1449)
    ☐ Copies of citations attached (____ references)
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. ☒ The Commissioner is hereby authorized to charge all required fees for extensions of time under §1.17 to Deposit Account No. 19-1970
18. ☐ Other:

RELATED APPLICATIONS

19. ☒ **Provisionals**: This application claims priority from U.S. Provisional Patent Application No. 60/668,828 filed April 5, 2005. The entire disclosure of the provisional application is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference.
20. ☐ **Foreign Priority**: Foreign priority benefits are claimed under 35 USC §119 of Patent Application Serial No. filed .
21. ☐ **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.:_____

Prior application information: *Examiner*_____ *Art Unit:*_____

22. CORRESPONDENCE ADDRESS

☒ The address associated with Customer Number: **22442** *OR* ☐ Correspondence address below

Name	Sheridan Ross PC				
Address	1560 Broadway, Suite 1200				
City	Denver	State	Colorado	Zip Code	80202-5141
Country	U.S.A.	Telephone	303-863-9700	Fax	303-863-0223

Signature		Date	April 3, 2006
Name (Print/Type)	MATTHEW R. ELLSWORTH	Registration No. (Attorney/Agent)	56,345

040306 16138 U.S. PTO

FEE TRANSMITTAL

		Complete if Known	
		Application Number	To be Assigned
		Filing Date	Filed Herewith
		First Named Inventor	LOWE
		Examiner Name	
☐ Applicant claims small entity status. See 37 CFR 1.27		Art Unit	
Total Amount of Payment	$2,100.00	Attorney Docket No.	2943-106

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify:_____

☒ Deposit Account Deposit Account Number: 19-1970 Deposit Account Name: Sheridan Ross PC

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

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	300	150	500	250	200	100	$1,000.00
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Total Claims		Extra Claims	Fee ($)	Small Entity Fee ($)	Fees Paid($)
Each claim over 20 (including Reissues)	42	- 20 or HP=	22	x 50	x 25	$1,100.00
Each independent claim over 3 (including Reissues)	3	- 3 or HP =	0	x 200	x 100	$0.00
Multiple dependent claims				360	180	

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 $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).

Total Sheets		Extra Sheets		Number of each additional 50 or fraction thereof	Fee ($)		Fee Paid
39	- 100 =	-61	/ 50 =	0	$250.00	=	$0.00

4. OTHER FEE(S)

	Fee Paid
Non-English Specification, $130 fee (no small entity discount)	
Other (e.g., late filing surcharge):_____	

SUBMITTED BY

Signature	/Matthew R. Ellsworth/	Registration No. (Attorney/Agent) 56,345	Telephone 303-863-9700
Name (Print/Type)	MATTHEW R. ELLSWORTH		Date 4-3-06

UTILITY PATENT APPLICATION TRANSMITTAL

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

Attorney Docket No.	2943-106
First Inventor	LOWE
Title	"SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE"
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Country	U.S.A.	Telephone	303-863-9700	Fax	303-863-0223

Signature		Date	April 3, 2006
Name (Print/Type)	MATTHEW R. ELLSWORTH	Registration No. (Attorney/Agent)	56,345

040306 16138 U.S. PTO

FEE TRANSMITTAL

		Complete if Known	
		Application Number	To be Assigned
		Filing Date	Filed Herewith
		First Named Inventor	LOWE
		Examiner Name	
☐ Applicant claims small entity status. See 37 CFR 1.27		Art Unit	
Total Amount of Payment	$2,100.00	Attorney Docket No.	2943-106

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify:_____

☒ Deposit Account Deposit Account Number: 19-1970 Deposit Account Name: Sheridan Ross PC

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

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☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

FEE CALCULATION

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Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid ($)
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Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Total Claims		Extra Claims	Fee ($)	Small Entity Fee ($)	Fees Paid($)
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Multiple dependent claims				360	180	

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 $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).

Total Sheets		Extra Sheets		Number of each additional 50 or fraction thereof	Fee ($)		Fee Paid
39	- 100 =	-61	/ 50 =	0	$250.00	=	$0.00

4. OTHER FEE(S)

	Fee Paid
Non-English Specification, $130 fee (no small entity discount)	
Other (e.g., late filing surcharge):_____	

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SYSTEM AND METHOD FOR REMOTELY ASSIGNING AND REVOKING ACCESS CREDENTIALS USING A NEAR FIELD COMMUNICATION EQUIPPED MOBILE PHONE

CROSS-REFERENCE TO RELATED APPLICATION

The present application claims the benefit, under 35 U.S.C.§119(e), of U.S. Provisional Application Serial No. 60/668,828 filed April 5, 2005, which is incorporated herein by this reference.

FIELD OF THE INVENTION

The invention is directed generally to using mobile devices in an access control system. Specifically, a mobile device utilizing near field communications protocol (NFC) may be used for controlling access to assets, places, or things by having access credentials remotely assigned and revoked.

BACKGROUND OF THE INVENTION

Radio frequency IDs (RFIDs), like contactless smart cards, store credential information that can be used later to gain access to an asset. When presented to a reader/interrogator the smart card transmits the stored credential information for verification by the reader/interrogator. The reader/interrogator processes the credential information and determines if the smart card being presented is a valid smart card. If the reader/interrogator determines that the credential information on the smart card is valid then the reader/interrogator sends the initiates any number of actions allowing the holder of the smart card access to a particular asset.

NFC is a communication method that is showing great promise for communication between devices at short range. NFC may be regarded as the same

protocol that is used by contactless smart cards working at 13.56MHz. Several companies are in the process of announcing mobile phones that incorporate an NFC chip. The communication protocol of a typical NFC chip can be seen for instance in *Short Form Specification of the PN511-Transmission module, February 2004* from Philips Semiconductors, which is herein incorporated by reference in its entirety.

The protocol used in NFC can vary depending on the mode that the chip and reader/interrogator are in. For example, if an active NFC mode is used, both a reader/interrogator and target are using their own radio frequency (RF) field to enable communication between each other. A reader/interrogator is powered to generate an RF filed of a particular frequency, for instance at 13.56MHz. The target has its own power supply for digital processing and communications. When the target receives a communication from a reader/interrogator, the target uses its own power supply to generate another RF field to answer the reader/interrogator. Communications can occur back and forth between the reader/interrogator and target. Alternatively, if a passive NFC mode is implemented, the target answers to a reader/interrogator command in a load modulation scheme. The target is not powered to generate its own RF field. Rather, the target uses energy from the RF created by the reader/interrogator to create its RF field and reply to be sent back to the reader/interrogator.

If the NFC chip is coupled with a micro-processor, the chip may act like smart cards or the like where communication between a reader and card are performed to gain access to an asset. Typically a mobile phone includes a battery and the NFC chip can be powered by that battery. If the chip derives power from the mobile phone battery, the NFC chip may communicate with an reader/interrogator according to the active protocol

described above. Alternatively, the NFC chip can communicate with a reader/ interrogator in a passive mode. This will eliminate the need for the chip to be powered by the battery of a mobile phone, which may increase the life of the battery.

In most global system for mobile communication (GSM) devices, *e.g.*, mobile phones, there is a Subscriber Identification Module (SIM) that is a secure memory containing all of the owner's account information, as well as space available for additional applications such as an electronic purse for e-commerce. This memory is accessible from outside of the mobile device, i.e., remotely. Mobile devices carry a secure memory much like smart cards or the like and the new applications in NFC protocols enable the mobile device to perform functions like smart cards. The ability to have a mobile device also operate as a smart card creates a variety of new applications for the device.

Typical smart cards are a small, usually credit card shaped, device that contains at least a memory device for storing information and a transceiver to communicate with a reader/interrogator. The reader/interrogator communicates through the transceiver on the smart card to access the stored information. The reader/interrogator may simply read the information, load the information into the memory device or modify existing data in the memory device. For example, if the owner of a smart card uses a smart card containing financial information to make a purchase, the reader/interrogator can read the information including the owner's identity and the availability of funds. The reader/interrogator can also deduct the purchase amount from the available funds if it has writing capabilities. Further, the reader/interrogator can store transaction data on the smart card including the time and location of the transaction in addition to the identity of the reader/interrogator.

Smart cards have a variety of uses and can be utilized in any transaction that involves the exchange of data or information between individuals and an institution. For example, smart cards can be used to store information including medical records, financial information, vehicle maintenance information, pet information, and a virtually limitless variety of other information traditionally printed on paper or plastic or stored on cards having a magnetic stripe or an optical bar code. Smart card technology has been particularly useful in banking systems and other financial transaction systems. Furthermore, smart cards have been widely used in access control systems. For example, an reader/interrogator may control doors that provide access to particular assets. The reader/interrogator only allows qualified individuals carrying smart cards, with proper credentials loaded thereon, access through control doors.

In a conventional access control system, the door reader/interrogators positioned at ingress/egress points are connected to a control panel. This control panel is kept up to date with the authorized codes corresponding to persons with authorized access to the location. When activity occurs, the control panel is updated with the activity information. For example, if the activity related to access gained through a particular door, the door and potentially the person who gained access are stored in the control panel log. Also, if the activity related to a financial transaction, the information relating to the transaction including amount and who performed the transaction are sent and stored at the control panel. There are, however, circumstances in which control panels associated with remote locations that are not regularly updated. If a person's status changes from authorized to unauthorized, it might take a relatively long time for the control panel associated with a remote door to get the message and bar the credential associated with this person from

access. Furthermore, typical access control systems are limited in that control panels, either localized or central, are the only source that tracks, logs, and monitors the activity associated with a given access point. When entries take place in these conventional access control systems, the information is sent to the control panel where it stays. If someone would like to be aware of activity associated with the access control system they are usually required to physically go to the control panel itself.

SUMMARY OF THE INVENTION

It is thus one aspect of the present invention to provide a system and method that automatically updates credentials on a mobile device immediately after authorization changes have been made. In one embodiment, the system and method provides a controller (*e.g.*, a control panel, number of control panels, host computer, number of host computers, server, and the like), a plurality of readers, and a plurality of mobile devices. Each of the plurality of mobile devices has a memory associated with them that stores credential information. The readers are typically associated with a particular asset (e.g., a door permitting access to a secure room, a computer permitting access to secure information, a lock permitting access to a safe, etc.). The readers communicate with the mobile devices to determine if the credential information stored on the memory of the mobile device permits the person using the mobile device to access a particular asset. Credential information is verified at the reader then transmitted to the controller in order to notify security personnel or the like about the activity that has just taken place at the reader. When credential information is changed at the controller (e.g., access rights for a particular user of a mobile device have been partially or fully revoked, updated, enabled,

augmented, added, etc.), that changed information is relayed to the mobile device via a communication network. The memory of the mobile device is then updated to reflect the change that was logged at the controller.

As used herein, a "credential" or "credential information" is any data, set of data, encryption scheme, key, and/or transmission protocol used by a particular mobile device to verify its authenticity with a reader/interrogator.

In another embodiment of the present invention, a system and method for periodically updating and/or enabling the credentials of a mobile device and/or reader is provided. Specifically, the controller updates the credential information of a mobile device on a predetermined periodic basis. Every predetermined period (e.g., every second, minute, hour, day, etc.) the credentials associated with one or a population of mobile devices is updated. At the same time, in one embodiment of the invention, the information relating to the updated credentials is relayed to the readers so that when a valid mobile device is presented to a reader, the reader is aware of the updated credentials and can assess the validity of the mobile device appropriately. Alternatively, or in addition to updating the mobile device credentials, the mobile devices may require a periodic enablement of their credentials in order to maintain their validity. For example, the credential information associated with a particular mobile device may not change, but the information will be erased, expire, or the mobile device may not be allowed to transmit its credential information if it does not receive the periodic enablement messages from the controller. Therefore, when a user is no longer permitted access to a particular asset, the automatic enablement messages are not sent to his/her mobile device. If a user has had their credentials revoked or changed for whatever reason, they may attempt to

shield their mobile device from receiving any authorization disabling messages. By changing the logic of the mobile device such that the credentials periodically time out unless an enabling message is received from the control panel, attempts to maintain or prolong authorized credentials by shielding mobile devices from a disabling message are thwarted.

In yet another embodiment of the present invention, a system and method for relaying information associated with activities detected at a reader or set of readers to a mobile device is provided. Rather than keeping a log of the activity information only at the controller, selected mobile devices can receive the activity information from the controller. In a residential lock situation, the system can send a Short Message Service (SMS) message/signalor the like to the mobile device of the homeowner. A homeowner at work may want to know when a child, housekeeper, or other person enters and exits their house. The selected mobile device could retrieve the message employing a number of other methods. For example, records of activities at a particular reader can be logged at that reader. A mobile device authorized to recover the activity log could be presented to the reader and the log file could be transferred to and displayed on the mobile device. Likewise, the reader (or the mobile device) could send the log file to a computer via email using various types of text messaging protocols.

These and other advantages will be apparent from the disclosure of the invention(s) contained herein. The above-described embodiments and configurations are neither complete nor exhaustive. As will be appreciated, other embodiments of the invention are possible using, alone or in combination, one or more of the features set forth above or described in detail below.

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a diagram depicting an exemplary system for authenticating mobile devices and remotely updating credentials associated with the mobile devices in accordance with embodiments of the present invention;

Fig. 2 is a block diagram depicting a mobile device in accordance with embodiments of the present invention;

Fig. 3 is a flow chart depicting a method of remotely updating credentials associated with a mobile device in accordance with embodiments of the present invention;

Fig. 4 is a flow chart depicting a method of periodically updating credentials associated with a mobile device in accordance with embodiments of the present invention; and

Fig. 5 is a flow chart depicting a method of relaying access activity in an exemplary system to a mobile device in accordance with embodiments of the present invention.

DETAILED DESCRIPTION

The present invention is generally directed toward a system and method for using mobile communication devices as personal credential verification devices. Specifically, the present invention utilizes communication techniques and protocols to automatically and remotely update credential information associated with one or a set of mobile devices.

Fig. 1 depicts an access network 100 used to verify the identity of at least one mobile device. In one embodiment of the present invention, the system 100 comprises a

controller 102, a hub 104, a plurality of readers 108_{1-n}, and a plurality of mobile devices 112_{1-k} such that n and k are integers wherein n and k are greater than or equal to one, and typically k is greater than n. The plurality of readers 108_{1-n} may include readers 108 of the same type, as well as readers of different types. For example, a subset of the plurality of readers 108_{1-n} may be legacy readers (e.g. readers using older transmission protocols). Whereas another subset of the plurality of readers 108_{1-n} may be newer readers utilizing improved and/or more secure protocols.

In the depicted embodiment, the readers 108 are coupled to the controller 102 via the interconnecting hub 104 through interfaces 124 and 128. In an alternate embodiment, the readers 108 may be directly coupled to the respective inputs/outputs of the controller 102 via interface 129. Interfaces 124 and 128 between the readers 108, the hub 104, and the controller 102 and interface 129 are generally bi-directional interfaces, which may selectively be implemented in a form of wired, wireless, fiber-optic communication links, or combinations thereof. Even though the interfaces 124, 128, and 129 are depicted as bi-directional interfaces, one of skill in art can appreciate that the interfaces 124, 128, and 129 may be implemented as unidirectional interfaces that use a unidirectional communication protocol, for example, the Wiegand protocol.

As can be appreciated by one of skill in the art, the interfaces 124, 128, and 129 may be implemented utilizing buses or other types of connections. For example, the I/O ports may be one or more of a USB port, parallel port, serial port, Small Computer Systems Interface (SCSI) port, modem, Ethernet, and/or an RF interface. The protocols used to communicate between the controller 102 and the readers 108 may include one or more of the TCP/IP protocol, RS 232, RS 485, Current Loop, Power of Ethernet (POE),

Bluetooth, ZigBee, GSM, WiFi, and other communication methods and protocols known in the art.

Bi-directional RF interfaces 120 between a reader 108 and a mobile device 112 are automatically established when the mobile device 112 is placed within an active zone (not shown) of the interrogating reader 108. The active zone of the reader 108 is defined as a three dimensional space where the intensity of RF signals emitted by the reader exceeds a threshold of sensitivity of the mobile device 112 and the intensity of RF signals emitted by the mobile device 112 exceeds a threshold of sensitivity of the reader 108. The interface 120 shown can be between one or a number of readers 108 and one or a number of mobile devices 11. Furthermore, the interface120 may utilize known methods and protocols including NFC protocol, Infra Red communication methods, Bluetooth, ZigBee, GSM, WiFi, and/or other protocols known to those of skill in the art.

The controller 102 may be a general-purpose computer adapted for multi-task data processing and suitable for use in various settings including, but not being limited to, business, commercial, residential, and industrial settings. Examples of suitable types of controllers 102 include, but are not limited to, a control panel, a number of control panels, a host computer, a processor, a server, combinations thereof, and other controllers known to those of skill in the art. A memory of the controller 102 comprises software program(s) containing a database of records for the access system 100. Alternatively, a database 130 may be separated from the controller 102 as depicted in Fig. 1. The database 130, whether integral to the controller 102, separate from the controller 102, or both, maintains records associated with the readers 108, mobile devices 112 and their respective holders or users, algorithm(s) for acquiring, decoding, verifying, and

modifying data contained in the mobile device, algorithm(s) for testing authenticity and validity of the mobile devices 112, and algorithm(s) for implementing the results of these tests. Specific configurations of the controller 102 are determined based on and compliant with computing and interfacing capabilities of the readers 108 and/or the hub 104. As used herein, in reference to an individual or an object associated with a mobile device 112, the terms a "holder" and a "user" are used interchangeably.

Each reader 108 is adapted for exchanging information with the controller 102 and for requesting data from the mobile device 112 to verify the authenticity of the mobile device. Typically, a reader 108 is associated with a particular asset (e.g., a door protecting access to a secure room, a computer lock protecting sensitive information or computer files, a lock on a safe, and the like). In one embodiment, upon verification of credential information stored on the mobile device 112, the reader 108 generates signals facilitating execution of the results of interrogating the mobile device (e.g., engages/disengages a locking mechanism, allows/disallows movement of a monitored article, temporarily disables itself, activates an alarm system, provides access to a computer system, provides access to a particular document, and the like). Alternatively, the controller 102 may generate such signals.

In addition to being proximity readers (e.g. readers that verify authenticity of smart cards, mobile devices and the like) the readers 108 may also have additional functionality. The readers 108 may include a keypad or other user input devices for receipt of additional user known passwords, contact card identification devices, and biometric authentication devices including voice recognition, retina scanners, finger print analyzers, facial feature analyzers, and the like.

In accordance with embodiments of the present invention, a stand-alone reader 108 may be utilized to perform the functionality of both the reader 108 and the controller 102. This stand-alone reader 108 may include, or have access to, the database 130 that contains data used to determine the authenticity of a mobile device 112 and/or algorithm(s) used to make the determination of authenticity of the mobile device 112. A determination of authenticity for a mobile device 112 is made at the receiving point rather than having to transmit data across a network from the reader 108 to a controller 102 in order to make a determination of authenticity. The stand-alone reader is further operable to execute instructions based upon the analysis of the mobile device 112.

A user typically carries the mobile devices 112 in order to verify his/her identity to a reader 108. Acceptable mobile devices 112 include, mobile cellular phones, personal digital assistants (PDAs), Blackberrys™, or any other mobile communication device that can be enabled for use in the access system 100 described. Essentially, the mobile device 112 can perform functions associated with typical mobile devices and can also act like a smart card, RFID, or other type of identification device. Typical identification devices utilize various protocols to communicate their credential information to a reader in order to gain access to a particular asset. The mobile devices 112, in accordance with embodiments of the present invention, are enabled to communicate with readers 108 in a similar fashion to that of smart cards and the like.

In accordance with embodiments of the present invention, the controller 102 is able to communicate with at least one of the plurality of the mobile devices 112 using a communication network 116. The communication network 116 utilized may be a conventional mobile radio network, for example, a GSM network, a Digital Cellular

System (DCS), or Personal Communications Systems (PCS). The interface 132 may be a wired or wireless interface allowing the controller 102 to communicate with various other entities connected to the communication network 116. The mobile device 112 communicates with the communication network 116 via interface 136. The communication network 116 provides a way for the controller 102 to automatically notify and/or update information to the mobile devices 112 related to the access system 100. Additionally, the communication network 116 allows mobile devices 112 to communicate with each other.

Referring now to Fig. 2, an exemplary mobile device 112 will be described in accordance with embodiments of the present invention. In the depicted embodiment, the mobile device 112 comprises a memory 200, a processor 204, an RF receiver/transmitter 208 including an RF modulation/demodulation unit 212 and an RF antenna 216 for communication with a reader 108, an RF receiver/transmitter 230 including an antenna 226 and an RF modulation/demodulation unit 230 for communication with the communication network 116, an optional RF rectifier 220, and a power source 224. The processor 204 (e.g., an application specific integrated circuit (ASIC), microprocessor, programmable controller, or the like) uses bi-directional interfaces to communicate with various other parts of the mobile device 112.

One or more of the above-noted parts of the mobile device may be located on a subscriber identification module (SIM) card, which identifies the user in the communication network 116. SIM cards are already utilized now in GSM, DCS, or PCS mobile apparatus, among other things. Also, the SIM card may be either a full-sized card or a plug-in card; it is connected to the mobile device through a contact region (not

shown) on the surface of the card. Other card formats, as well as contact lists SIM cards, may, however, likewise be used within the scope of this invention. U.S. Patent No. 6,859,650 to Ritter, which is herein incorporated by this reference in its entirety, describes using a SIM card located in a mobile device and an interface to communicate with external devices, without use of a mobile radio network.

As can be seen in Fig. 2, the mobile device 112, in one embodiment, communicates with external devices via two bi-directional interfaces 120 and 136. For example, the interface 120 where the RF antenna 216 transmits RF signals through free-space to be received by the reader 108. The reader 108 has a transceiver mounted thereon to receive the RF signals transmitted by the mobile device 112. The RF antenna 216 used by the mobile device 112 to create interface 120 may be a coil made by winding of a wire, by printing or etching of a conductor film, or with strip lines. Depending on the application, a transmission frequency, for instance, of 125 kHz, 13.56 MHz, 400 MHz or 5.2 GHz is used, the applied frequency also being dependent on the data transmission where needed. A frequency of about 13.56 MHz is preferred. However, in order to ensure compatibility with the readers 108, various other frequencies may be used. Through interface 120, the mobile device 112 and the reader 108 can exchange data and programs with each other without contact and without making use of the communications network 116. As noted above, the interface 120 is created when the mobile device 112 enters an active region of a reader 108.

The memory 200 of the mobile device 112 generally comprises at least one array of non-volatile memory cells, e.g., static random access memory (SRAM) cells or Flash Memory Cells, among other types of non-volatile memory cells. The memory 200 may

also comprise at least one array of dynamic random access memory (DRAM) cells. Therefore a content of at least a portion of the memory 200 may be pre-programmed and write protected thereafter, whereas the content of other portions of the memory 200 may be selectively modified and/or erased by the controller 102 and/or the reader 108.

The mobile device 112, according to embodiments of the present invention, is used as an identification device. Identification information is preferably loaded into a secure area of the memory 200 where it can be accessed by the processor 204 to communicate to readers 208 via interface 120. Information loaded on the memory 200 may include credential information of the user of the mobile device 112, for instance, unique IDs, manufacture IDs, passwords, keys, encryption schemes, transmission protocols, and the like. Additionally, the memory 200 may contain executable functions that are used by the processor 204 to run other components of the mobile device 112. When presented to a reader 108, the RF antenna 216 typically receives interrogating signals via interface 120. The interrogating signals are in the form of RF signals produced by the reader 108.

In accordance with embodiments of the present invention, the memory 200 may further comprise self-authenticating data and/or functions. Examples of self-authenticating data include, but are not limited to, assets the mobile device 112 has access to, times of allowed access to each asset, and other data that can assist the mobile device in determining if it is eligible to gain access to a particular asset. The self-authenticating functions use the self-authenticating data to enable the mobile device 112 to make a determination of its own access rights with respect to an asset.

A mobile device 112 that determines its own access rights and permissions is typically referred to as a smart mobile device. In operation, a "smart" mobile device 112 is presented to a reader 108. The reader 108 is associated with one or more assets and the reader 108 is the gatekeeper of those assets. The reader 108 contains information about its associated assets and usually time of day information. Upon presentation of the mobile device 112 to the reader 108, the reader 108 supplies the asset information and time of day information to the mobile device 112. The mobile device 112 then analyzes the asset information and time of day information using its self-authenticating data. The mobile device 112 then makes a determination whether it is allowed to access the given asset (*e.g.*, whether the holder of the mobile device 112 can have access to a room behind a door, a bank account, computer files, *etc.*) If the mobile device 112 determines that it is allowed access to the particular asset, then it sends a signal back to the reader 108 indicating that validation of the mobile device 112 has been confirmed and access should be granted. Upon confirmation of validation of the mobile device 112, the reader 108 will unlock the door, access the bank account, permit access to the computer files, or perform the requisite steps to grant access to the holder of the mobile device 112. If the mobile device 112 determines that it is not allowed access to the particular asset, then it can either do nothing or send a signal back to the reader 108 indicating that validation of the mobile device 112 was not confirmed and access should not be granted. Upon the receipt of this signal, the reader 108 may perform no action, generate a message indicating that access was not granted, sound an alarm, or perform some other sort of action in accordance with denying the holder of the mobile device 112 access to the asset.

In operation, the reader 108 and the mobile device 112 use pre-programmed communication protocols. To increase the probability of error-free reception, the same messages may redundantly be repeated a pre-determined number of times or during a pre-determined timed interval. The interrogating reader 108 generates an interrogating RF signal. The interrogating RF signal of the interrogating reader 108 (or, if the protocol used by the mobile device 112 is an active protocol, RF signals produced by the mobile device 112) is received by the RFID antenna 216 and is forwarded to the modulation/ demodulation unit 212 that in turn demodulates the RF signal and provides the demodulated signal for processing to the processor 204. Upon receipt of the RF signal by the processor 204, the memory 200 is accessed and relevant credential information is retrieved from the memory 200 by the processor 204. The retrieved credential information is then passed on to the modulation/demodulation unit 212 where it is modulated and sent to the RF antenna 216. The RF antenna 216 provides the modulated signal back to the reader 108 via interface 120. At the reader 108 or controller 102 the credential information is processed to determine the validity of the mobile device 112.

The RF signals generated by the reader 108 inherently contain electromagnetic energy. The signals can be sent to the optional RF rectifier 220 and the energy from those signals can be converted into energy to run various components of the mobile device 112. A power source 224 is also available to supply power to any other component of the mobile device 112 depicted or not depicted.

In accordance with embodiments of the present invention, the RF receiver/transmitter 234 for communication with the communication network 116 receives update signals (or other communication signals) from the communication

network 116. In the event that the signal received by the antenna 226 is an update signal from the controller 102, the update signal is sent from the antenna 226 to the RF modulation/demodulation unit 230 where the signal is demodulated. The demodulated signal is sent to the processor 204, which then updates the memory 200 based on the update signal. The RF receiver/transmitter 230 also allows the mobile device 112 to communicate with other devices connected to the communications network 116.

Referring now to Fig. 3, a method of automatically and remotely updating credential information on a mobile device 112 will be described in accordance with embodiments of the present invention. The method begins at step 300 then proceeds to step 304 where credential information is changed at the controller 102. As noted above, credential information can include any data, set of data, encryption schemes, keys, transmission protocol, and the like, used by a particular mobile device 112 to verify its authenticity to a reader 108. Altering, modifying, enabling, disabling, revoking, adding, and updating any portion of the credential information may effect a change in the credential information. The credential information changed at the controller 102 is then updated at the database 130 in step 308. Thereafter, in step 312, information is retrieved from the database 130 by the controller 102 relating to what mobile device the changed information was associated with. The mobile device corresponding to the changed information is then identified as the target device. For example, if the access rights of one user have been modified, then the mobile device 112 associated with that user is the only mobile device 112 that needs to have its respective memory 200 updated, and thus the single mobile device 112 is the targeted mobile device 112. Alternatively, a change may relate to a number of mobile devices 112 and each device will need to receive the

updated information on its respective memory 200. Thus each mobile device 112 will become a targeted device.

Once a targeted device is determined in step 312, a message is sent from the controller 102 to the determined (targeted) mobile device 112 via the communication network 116 in step 316. That information is received at the mobile device 112 through interface 136 by the antenna 226 that forwards this information to the RF modulation/demodulation unit 230 where the signal is demodulated. The RF modulation/demodulation unit 230 then sends the demodulated update signal to processor 204. The processor updates the memory 200 to reflect the change that was made at the controller 102 in step 320.

Referring now to Fig. 4, another method of updating, enabling, and/or revoking the credentials of a mobile device 112 will be described in accordance with embodiments of the present invention. The method starts at step 400 and proceeds to step 404 where a time interval between credential updates is determined. The time period may vary depending upon the requirements and security needs of the system 100. For example, the interval may be set to update credentials every second, minute, hour, day or a variation thereof. In step 408, new credential information is determined. As noted above, the new credential information may relate to one or a number of mobile devices 112. In step 412, the new credential information is sent to the readers 108. Specifically, the readers 108 need to be made aware of changes of credential information if the changes are related to transmission protocols, keys, password changes, and the like. In step 416, the new credential information is sent to the respective mobile devices 112. This process is performed to ensure, for example, only mobile devices that are in communication with

the communication network 116 have their credentials updated. Typically, when a user is de-enrolled from an access list, a message will be sent via a communication from the controller 102 to the mobile device 112 to revoke the associated credential information from the memory 200. A message is sent to the mobile device 112 immediately when that user is de-enrolled and therefore any attempts to gain access to the system 100 will be denied.

If the user who is no longer authorized to gain access to the system 100 intends to create problems, he/she might try to prevent the memory 200 in his/her phone from being de-authorized thereby keeping his/her access credentials on the mobile device 112. One way a person might do this would be by switching his/her phone off or otherwise shield it from the incoming messages by disabling the antenna 226 or tampering with interface 136. Thereafter he/she may only turn on and expose the mobile device 112 immediately prior to trying to gain access to an asset through reader 108. In one embodiment of the present invention, a signal (*i.e.,* an SMS signal) periodically transmitted to the mobile device 112 is required to keep the respective credentials active. Changing the system 100 logic so that the mobile device's 112 credentials time out periodically thwarts these attempts to stop a mobile device 112 from receiving a disable message. If the mobile device 112 does not receive an enabling message, then the credential information stored thereon will become obsolete.

In embodiments employing a smart mobile device 112, the periodically transmitted message may be required to keep the self-authenticating data and/or functions active and up to date. Essentially, a database of self-authenticating data may have a time out function such that after a predetermined amount of time, the self-authenticating data

expires and erases itself. This way when a smart mobile device 112 is presented to a reader 108, it will not be able to validate its own access rights and thus will not be able to grant itself access to the asset associated with the given reader 108. The self-authenticating data may also be dynamically changing, thus if the mobile device 112 does not receive the updated version of the authenticating data, it will not be able to validate its own access rights.

Other functions of a mobile device 112 may also require periodic update/enabling signals in order to allow the smart mobile device 112 to validate its own access rights. For example, communications protocols or communication frequencies between a reader 108 and a mobile device 112 may also periodically change. If the mobile device 112 does not receive the updated communications directions, it will not be able to communicate properly with the reader 108, thus it will not be able to gain access to a particular asset.

An alternative embodiment would be to change protocols related to the communication interface 120. The changes could be sent via a message across the communications network 116 to the mobile device 112 such that the mobile device 112 is aware of the rolling or constantly changing credential information. For example, rolling access codes and keys may be applied to the readers 108 and the mobile devices 112. Any mobile device that is not in communication with the communication network 116 will not be updated with these rolling codes and will therefore not be able to be properly validated by reader 108.

In step 420, the amount of elapsed time since the last credential update is determined and if this time is determined to be greater than or equal to the determined

update interval in step 424, the method goes to step 408 and new credential information is determined. However, if the time elapsed is not greater than the update interval, the process repeats step 420 until the periodic threshold is reached.

Referring now to Fig. 5, a method of relaying information relating to activities in an access system will be described in accordance with at least some embodiments of the present invention. The process starts at step 500 and then proceeds to step 504 where activity is detected at a reader 108. Information related to that activity is determined in step 508 and potentially logged. The information may be stored at reader 108 and/or sent to controller 102 to be stored in database 130. Thereafter, it is determined if a mobile device 112 is enabled to receive information about the activity that has just occurred in step 512. If there is a mobile device 112 enabled to receive information, the identity of that mobile device 112 is determined in step 516 by the controller 102, using a comparison of access rights and mobile device identities in the database. Otherwise, the logged information is not sent to any mobile device and the method ends at step 524. Once the enabled mobile device(s) 112 is determined in step 516, information relating to the activity is sent to the enabled mobile device(s) 112 in step 520.

As noted above, the information relating to the activity may be stored at the reader 108 and logged there. An enabled mobile device 112 may be presented to reader 108 and the log file of activities that have occurred at that particular reader 108 may be relayed to the enabled mobile device 112 in step 520. The information may also be sent to the mobile device via communications network 116 from the controller 102. Messages may be sent using an SMS message or other types of text messages known in the art. Additionally, the message may be sent via a voice recording to the mobile device 112

where the user of the mobile device can listen to an audio message rather than viewing a digital message.

The present invention, in various embodiments, includes components, methods, processes, systems and/or apparatus substantially as depicted and described herein, including various embodiments, subcombinations, and subsets thereof. Those of skill in the art will understand how to make and use the present invention after understanding the present disclosure. The present invention, in various embodiments, includes providing devices and processes in the absence of items not depicted and/or described herein or in various embodiments hereof, including in the absence of such items as may have been used in previous devices or processes, e.g., for improving performance, achieving ease and\or reducing cost of implementation.

The foregoing discussion of the invention has been presented for purposes of illustration and description. The foregoing is not intended to limit the invention to the form or forms disclosed herein. In the foregoing Detailed Description for example, various features of the invention are grouped together in one or more embodiments for the purpose of streamlining the disclosure. This method of disclosure is not to be interpreted as reflecting an intention that the claimed invention requires more features than are expressly recited in each claim. Rather, as the following claims reflect, inventive aspects lie in less than all features of a single foregoing disclosed embodiment. Thus, the following claims are hereby incorporated into this Detailed Description, with each claim standing on its own as a separate preferred embodiment of the invention.

Moreover, though the description of the invention has included description of one or more embodiments and certain variations and modifications, other variations and