

U.S.S.N.: 12/489,089

Amendments to the Claims

This listing of claims will replace all prior versions, and listings, of claims in the application.

1. - 22. (Cancelled)

23.-34. (Cancelled)

35. (New) A method of obtaining an electronically-stored financial document from one of a first storage system and a second storage system with the first and second storage systems being different from each other wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents is associated with at least one specific document parameter, said method comprising the steps of:

storing a plurality of financial documents in a first fixed medium at the first storage system when the specific document parameter of the financial document is greater than a predetermined parameter;

storing a plurality of financial documents in a second fixed medium at the second storage system when the specific document parameter of the financial document is less than or equal to the predetermined parameter;

utilizing a computer terminal connected to the first and second storage systems through a processing unit;

submitting a request for at least one of the stored financial documents into the computer terminal;

comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter after the request has been submitted;

U.S.S.N.: 12/489,089

accessing the first storage system through the processing unit when the specific document parameter is greater than the predetermined parameter and accessing the second storage system through the processing unit when the specific document parameter is less than or equal to the predetermined parameter; and

retrieving the requested financial document, as defined by the submitted request, in the first fixed medium when the specific document parameter is greater than the predetermined parameter and in the second fixed medium when a specific document parameter of the financial document is less than or equal to the predetermined parameter.

36. (New) A method as set forth in claim 35 wherein the first and second fixed mediums are different from each other.

37. (New) A method as set forth in claim 36 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on a physical media.

38. (New) A method as set forth in claim 37 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on one of microfilm and microfiche.

39. (New) A method as set forth in claim 37 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

40. (New) A method as set forth in claim 39 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents on an electronic disc media.

41. (New) A method as set forth in claim 39 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in an electronically retrievable memory.

42. (New) A method as set forth in claim 36 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

43. (New) A method as set forth in claim 42 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as storing a plurality of financial documents on one of microfilm or microfiche.

44. (New) A method as set forth in claim 35 wherein the first and second fixed mediums are the same.

45. (New) A method as set forth in claim 44 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a first fixed electronic medium, and wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a second fixed electronic medium.

46. (New) A method as set forth in claim 35 wherein the specific document parameter of the financial document is a particular numerical sequence.

U.S.S.N.: 12/489,089

47. (New) A method as set forth in claim 46 wherein the specific document parameter of the financial document is a specific document age.

48. (New) A method as set forth in claim 47 wherein the specific document age of the financial document is a record date of the financial document and the predetermined parameter is a pre-selected date.

49. (New) A method as set forth in claim 46 wherein the specific document parameter of the financial document is selected from the group of a specific account number, a specific check number, a specific payment date and a specific monetary amount.

50. (New) A method as set forth in claim 35 further including the step of reproducing the requested financial document after the requested financial document has been retrieved from the accessed storage system.

51. (New) A method as set forth in claim 35 wherein the step of accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the requested financial document.

52. (New) A method for a financial institution to obtain a stored financial document from one of an off-site storage system and an on-site storage system with the off-site and on-site storage systems being different from each other wherein the financial document is associated with at least one specific document parameter with the specific document parameter being defined as a specific document age, said method comprising the steps of:

maintaining the financial document in the off-site storage system when the specific document age of the financial document is less than a predetermined age;

U.S.S.N.: 12/489,089

maintaining the financial document in the on-site storage system when the specific document age of the financial document is greater than or equal to the predetermined age;

utilizing a computer terminal associated with the financial institution and connected to the off-site and on-site storage systems through a processing unit;

submitting a request for the financial document into the computer terminal;

comparing the specific document age of the requested financial document to the predetermined age to determine if the specific document age is greater than, less than, or equal to the predetermined age after the request has been submitted;

automatically accessing the off-site storage system through the processing unit when the specific document age is less than the predetermined age and automatically accessing the on-site storage system through the processing unit when the specific document age is greater than or equal to the predetermined age; and

automatically retrieving the requested financial document from the accessed storage system as defined by the submitted request.

53. (New) A method as set forth in claim 52 further including the step of processing the request to locate the requested financial document.

54. (New) A method as set forth in claim 53 further including the step of reproducing the requested financial document after the request has been processed and retrieved.

55. (New) A method as set forth in claim 54 wherein the steps of processing the request, retrieving the requested financial document, and reproducing the requested financial document are controlled by an interlinked computer program.

U.S.S.N.: 12/489,089

56. (New) A method as set forth in claim 52 further including the step of feeding the request from the computer terminal into the processing unit.

57. (New) A method as set forth in claim 56 further including the step of downloading the request from the processing unit into a downloading terminal.

58. (New) A method as set forth in claim 57 further including the step of transmitting the request from the downloading terminal to a document terminal.

59. (New) A method as set forth in claim 58 further including the step of reproducing the requested financial document through the document terminal.

60. (New) A method as set forth in claim 56 further including the step of categorizing the request.

61. (New) A method as set forth in claim 56 further including the step of determining a sequence number of the requested financial document after the request has been submitted.

62. (New) A method as set forth in claim 61 further including the step of determining an image reference number of the requested financial document.

63. (New) A method as set forth in claim 52 wherein the step of retrieving the requested financial document is further defined by electronically locating the requested financial document in the on-site storage system.

U.S.S.N.: 12/489,089

64. (New) A method as set forth in claim 52 wherein the step of automatically accessing the off-site and on-site storage systems is further defined as accessing only one of the storage systems at any one time to locate the requested financial document.

65. (New) A method as set forth in claim 52 further including the step of storing the financial document in a fixed medium at one of the off-site and on-site storage systems based on the specific document age of the financial document.

66. (New) A method as set forth in claim 65 wherein the step of storing the financial document in a fixed medium is further defined as electronically storing the financial document in a fixed electronic medium, on microfilm or on microfiche.

67. (New) A method of obtaining an electronically-stored financial document from one of a first storage system and a second storage system with the first and second storage systems being different from each other wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents is associated with at least one specific document parameter, said method comprising the steps of:

- storing a plurality of financial documents in a first fixed medium at the first storage system when the specific document parameter of the financial document is greater than a predetermined parameter;

- storing a plurality of financial documents in a second fixed medium at the second storage system when the specific document parameter of the financial document is less than or equal to the predetermined parameter;

- utilizing a processing unit connected to the first and second storage systems;

- submitting a request for at least one of the stored financial documents through the processing unit;

U.S.S.N.: 12/489,089

comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter after the request has been submitted;

accessing the first storage system when the specific document parameter is greater than the predetermined parameter and accessing the second storage system when the specific document parameter is less than or equal to the predetermined parameter; and

retrieving the requested financial document, as defined by the submitted request, in the first fixed medium when the specific document parameter is greater than the predetermined parameter and in the second fixed medium when a specific document parameter of the financial document is less than or equal to the predetermined parameter.

68. (New) A method as set forth in claim 67 wherein the first and second fixed mediums are different from each other.

69. (New) A method as set forth in claim 68 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on a physical media.

70. (New) A method as set forth in claim 68 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.



U.S.S.N.: 12/489,089

71. (New) A method as set forth in claim 68 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

72. (New) A method as set forth in claim 68 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as storing a plurality of financial documents on a physical media.

73. (New) A method as set forth in claim 68 wherein the first and second fixed mediums are the same.

74. (New) A method as set forth in claim 73 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a first fixed electronic medium, and wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a second fixed electronic medium.

75. (New) A method as set forth in claim 68 further including the step of reproducing the requested financial document after the requested financial document has been retrieved from the accessed storage system.

76. (New) A method as set forth in claim 68 wherein the step of accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the requested financial document.

77. (New) A method of obtaining an electronically-stored financial document from one of a first storage system and a second storage system with the first and second

U.S.S.N.: 12/489,089

storage systems being different from each other wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents is associated with at least one specific document parameter, said method comprising the steps of:

- storing a plurality of financial documents in a first fixed medium at the first storage system when the specific document parameter of the financial document is less than a predetermined parameter;

- storing a plurality of financial documents in a second fixed medium at the second storage system when the specific document parameter of the financial document is greater than or equal to the predetermined parameter;

- utilizing a processing unit connected to the first and second storage systems;

- submitting a request for at least one of the stored financial documents through the processing unit;

- comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter after the request has been submitted;

- accessing the first storage system when the specific document parameter is less than the predetermined parameter and accessing the second storage system when the specific document parameter is greater than or equal to the predetermined parameter; and

- retrieving the requested financial document, as defined by the submitted request, in the first fixed medium when the specific document parameter is less than the predetermined parameter and in the second fixed medium when a specific document parameter of the financial document is greater than or equal to the predetermined parameter.

U.S.S.N.: 12/489,089

78. (New) A method as set forth in claim 77 wherein the first and second fixed mediums are different from each other.

79. (New) A method as set forth in claim 78 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on a physical media.

80. (New) A method as set forth in claim 78 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

81. (New) A method as set forth in claim 78 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

82. (New) A method as set forth in claim 78 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as storing a plurality of financial documents on a physical media.

83. (New) A method as set forth in claim 77 wherein the first and second fixed mediums are the same.

84. (New) A method as set forth in claim 83 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a first fixed electronic medium, and wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a second fixed electronic medium.

U.S.S.N.: 12/489,089

85. (New) A method as set forth in claim 77 further including the step of reproducing the requested financial document after the requested financial document has been retrieved from the accessed storage system.

86. (New) A method as set forth in claim 77 wherein the step of accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the requested financial document.

87. (New) A method of accessing an electronically-stored financial document from one of a first storage system and a second storage system with the first and second storage systems being different from each other wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents has an electronic image and is associated with at least one specific document parameter, said method comprising the steps of:

- storing a plurality of images of the financial documents in a first fixed medium at the first storage system when the specific document parameter of the financial document is greater than a predetermined parameter;

- storing a plurality of images of the financial documents in a second fixed medium at the second storage system when the specific document parameter of the financial document is less than or equal to the predetermined parameter;

- utilizing a processing unit connected to the first and second storage systems;

- receiving a request for an image of one of the stored financial documents into the processing unit;

- comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter after the request has been received;

accessing the first storage system when the specific document parameter is greater than the predetermined parameter and accessing the second storage system when the specific document parameter is less than or equal to the predetermined parameter; and

retrieving the image of the requested financial document from the accessed storage system as defined by the received request.

88. (New) A method as set forth in claim 87 wherein the first and second fixed mediums are different from each other.

89. (New) A method as set forth in claim 88 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on a physical media.

90. (New) A method as set forth in claim 88 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

91. (New) A method as set forth in claim 88 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

92. (New) A method as set forth in claim 87 wherein the first and second fixed mediums are the same.

U.S.S.N.: 12/489,089

93. (New) A method as set forth in claim 87 further including the step of distributing the retrieved financial document to a financial institution based on routing codes.

94. (New) A method as set forth in claim 87 wherein the step of automatically accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the image of the requested financial document.

95. (New) A method of accessing an electronically-stored financial document from one of a first storage system and a second storage system with the first and second storage systems being different from each other wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents has an electronic image and is associated with at least one specific document parameter, said method comprising the steps of:

storing a plurality of images of the financial documents in a first fixed medium at the first storage system when the specific document parameter of the financial document is less than a predetermined parameter;

storing a plurality of images of the financial documents in a second fixed medium at the second storage system when the specific document parameter of the financial document is greater than or equal to the predetermined parameter;

utilizing a processing unit connected to the first and second storage systems;

receiving a request for an image of one of the stored financial documents into the processing unit;

comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter after the request has been received;

U.S.S.N.: 12/489,089

accessing the first storage system when the specific document parameter is less than the predetermined parameter and accessing the second storage system when the specific document parameter is greater than or equal to the predetermined parameter; and

retrieving the image of the requested financial document from the accessed storage system as defined by the received request.

96. (New) A method as set forth in claim 95 wherein the first and second fixed mediums are different from each other.

97. (New) A method as set forth in claim 96 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on a physical media.

98. (New) A method as set forth in claim 96 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

99. (New) A method as set forth in claim 96 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

100. (New) A method as set forth in claim 95 wherein the first and second fixed mediums are the same.

101. (New) A method as set forth in claim 95 further including the step of distributing the retrieved financial document to a financial institution based on routing codes.

102. (New) A method as set forth in claim 95 wherein the step of automatically accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the image of the requested financial document.

103. (New) A method of obtaining an electronically-stored financial document from one of a first storage system and a second storage system with the first and second storage systems being different from each other wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents is associated with at least one specific document parameter, said method comprising the steps of:

- storing a plurality of financial documents in a first fixed medium at the first storage system when the specific document parameter of the financial document is greater than a predetermined parameter;

- storing a plurality of financial documents in a second fixed medium at the second storage system when the specific document parameter of the financial document is less than or equal to the predetermined parameter;

- utilizing a computer terminal connected to the first and second storage systems through a processing unit;

- submitting a request for at least one of the stored financial documents into the computer terminal;

- comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter after the request has been submitted;

- at least partially automatically accessing the first storage system through the processing unit when the specific document parameter is greater than the predetermined



U.S.S.N.: 12/489,089

parameter and accessing the second storage system through the processing unit when the specific document parameter is less than or equal to the predetermined parameter; and

retrieving the requested financial document, as defined by the submitted request, in the first fixed medium when the specific document parameter is greater than the predetermined parameter and in the second fixed medium when a specific document parameter of the financial document is less than or equal to the predetermined parameter.

104. (New) A method as set forth in claim 103 wherein the first and second fixed mediums are different from each other.

105. (New) A method as set forth in claim 104 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as storing a plurality of financial documents on a physical media.

106. (New) A method as set forth in claim 105 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

107. (New) A method as set forth in claim 104 wherein the step of storing a plurality of financial documents in a first fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

108. (New) A method as set forth in claim 107 wherein the step of storing a plurality of financial documents in a second fixed medium is further defined as storing a plurality of financial documents on a physical media.

U.S.S.N.: 12/489,089

109. (New) A method as set forth in claim 103 wherein the first and second fixed mediums are the same.

110. (New) A method as set forth in claim 103 wherein the step of accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the requested financial document.

U.S.S.N.: 12/489,089

**Remarks**

The specification has been amended to coincide with the terminology of the claims. No new matter is being introduced.

After entry of the subject preliminary amendment, claims 35-110 will remain pending in the application with claims 35, 52, 67, 77, 87, 95 and 103 being in independent form. Claims 23-34 are currently being cancelled and claims 1-22 were previously cancelled.

Turning to newly added claims 35-86 and 103-110, these claims are similar in scope to claims 1-40 of the parent application, which is now U.S. Patent No. 7,552,118. Claim 87-102 are also of a similar scope and specifically require that the financial documents have images and that these images are retrieved. No new matter is being introduced.

It is respectfully submitted that added claims 35-110 are in condition for allowance for at least the same reasons that claims 1-40 in the parent application were allowed. As such, it is respectfully submitted that the Application, as amended, is now presented in condition for examination. The Commissioner is authorized to charge our Deposit Account No. 08-2789 for any fees or credit the account for any overpayment.

Respectfully submitted,

**HOWARD & HOWARD ATTORNEYS PLLC**

Date: June 16, 2010

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**PETITION TO MAKE SPECIAL BASED ON AGE FOR ADVANCEMENT OF EXAMINATION  
UNDER 37 CFR 1.102(c)(1)**

**Application Information**

Application Number	12/489,087	Confirmation Number	1910	Filing Date	2009-06-22
Attorney Docket Number (optional)	060419.00009	Art Unit	2161	Examiner	To Be Assigned
First Named Inventor	Michael D. Schulze				
Title of Invention	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS				

**Attention: Office of Petitions**

An application may be made special for advancement of examination upon filing of a petition showing that the applicant is 65 years of age, or more. No fee is required with such a petition. See 37 CFR 1.102(c)(1) and MPEP 708.02 (IV).

APPLICANT HEREBY PETITIONS TO MAKE SPECIAL FOR ADVANCEMENT OF EXAMINATION IN THIS APPLICATION UNDER 37 CFR 1.102(c)(1) and MPEP 708.02 (IV) ON THE BASIS OF THE APPLICANT'S AGE.

A grantable petition requires one of the following items:

- (1) Statement by one named inventor in the application that he/she is 65 years of age, or more; or
- (2) Certification by a registered attorney/agent having evidence such as a birth certificate, passport, driver's license, etc. showing one named inventor in the application is 65 years of age, or more.

**Name of Inventor who is 65 years of age, or older**

Given Name	Middle Name	Family Name	Suffix
Richard	D.	Gagnon	

A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the format of the signature.

Select (1) or (2) :

- ☐ (1) I am an inventor in this application and I am 65 years of age, or more.
- ☒ (2) I am an attorney or agent registered to practice before the Patent and Trademark Office, and I certify that I am in possession of evidence, and will retain such in the application file record, showing that the inventor listed above is 65 years of age, or more.

Signature	/SAMUEL J. HAIDLE/	Date (YYYY-MM-DD)	2010-06-16
Name	Samuel J. Haidle	Registration Number	42619

## Privacy Act Statement

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

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

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

## Electronic Patent Application Fee Transmittal

<b>Application Number:</b>	12489087			
<b>Filing Date:</b>	22-Jun-2009			
<b>Title of Invention:</b>	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS			
<b>First Named Inventor/Applicant Name:</b>	Michael D. Schulze			
<b>Filer:</b>	Samuel Jeffrey Haidle/Brenda Hughes			
<b>Attorney Docket Number:</b>	060419.00009			
Filed as Small Entity				
<b>Utility under 35 USC 111(a) Filing Fees</b>				
<b>Description</b>	<b>Fee Code</b>	<b>Quantity</b>	<b>Amount</b>	<b>Sub-Total in USD(\$)</b>
<b>Basic Filing:</b>				
<b>Pages:</b>				
<b>Claims:</b>				
Claims in excess of 20	2202	56	26	1456
Independent claims in excess of 3	2201	4	110	440
<b>Miscellaneous-Filing:</b>				
<b>Petition:</b>				
<b>Patent-Appeals-and-Interference:</b>				
<b>Post-Allowance-and-Post-Issuance:</b>				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				1896

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	7829244
<b>Application Number:</b>	12489087
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1910
<b>Title of Invention:</b>	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS
<b>First Named Inventor/Applicant Name:</b>	Michael D. Schulze
<b>Customer Number:</b>	27305
<b>Filer:</b>	Samuel Jeffrey Haidle/Brenda Hughes
<b>Filer Authorized By:</b>	Samuel Jeffrey Haidle
<b>Attorney Docket Number:</b>	060419.00009
<b>Receipt Date:</b>	16-JUN-2010
<b>Filing Date:</b>	22-JUN-2009
<b>Time Stamp:</b>	17:27:29
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 1896
RAM confirmation Number	4011
Deposit Account	082789
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)

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	Petition to make special based on Age/ Health	PetitionToMakeSpecial.pdf	21185	no	2
			ff7b6fe028655b67afe7c737a94aa516122f8453		
Warnings:					
Information:					
2		SecondPreliminaryAmendmet.pdf	94927	yes	25
			4dbf9820cb537648cf77b0fd051741e5ddf30fde		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Preliminary Amendment		1	1	
	Specification		2	5	
	Abstract		6	6	
	Claims		7	24	
	Applicant Arguments/Remarks Made in an Amendment		25	25	
Warnings:					
Information:					
3	Petition to make special based on Age/ Health	petitionagesb130.pdf	27877	no	2
			7e62519f87440672e8f864f5dc4f5a403594ed7e		
Warnings:					
The page size in the PDF is too large. The pages should be 8.5 x 11 or A4. If this PDF is submitted, the pages will be resized upon entry into the Image File Wrapper and may affect subsequent processing					
Information:					
4	Fee Worksheet (PTO-875)	fee-info.pdf	32206	no	2
			9eafd19ba5a2b36c14759c7754525696d078b014		
Warnings:					
Information:					
Total Files Size (in bytes):			176195		

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**New Applications Under 35 U.S.C. 111**

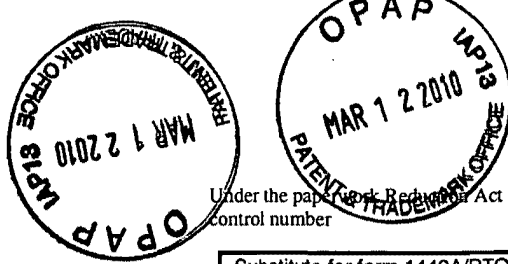
**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

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

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

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



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PTO/SB/08A (07-05) (modified)  
Approved for use through 07/31/2006 OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	12/489087
				Filing Date	06-22-2009
				First Named Inventor	SCHULZE et al.
				Art Unit	n/a
				Examiner Name	To be assigned
Sheet	1	of	16	Attorney Docket Number	060419.00009

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 4888812	12-19-1989	Dinan et al.	
		US- 4899299	02-06-1990	MacPhail	
		US- 4941125	06-10-1990	Boyne	
		US- 5170466	12-08-1992	Rogan et al.	
		US- 5187750	02-16-1993	Behera	
		US- 5287497	02-15-1994	Behera	
		US- 5301350	04-05-1994	Rogan et al.	
		US- 5321816	06-14-1994	Rogan et al.	
		US- 5325511	06-28-1994	Collins et al.	
		US- 5339311	08-16-1994	Turner	
		US- 5361255	11-01-1994	Diaz et al.	
		US- 5592432	01-07-1997	Vishlitzky et al.	
		US- 5602936	02-11-1997	Green et al.	
		US- 5649196	07-15-1997	Woodhill et al.	
		US- 5706457	01-06-1998	Dwyer et al.	
		US- 5751993	05-12-1998	Ofek et al.	

FOREIGN PATENT DOCUMENTS						
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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		JP 3085649 A	04-10-1991	Nasu		
		JP 07-064835 A	03-10-1995	Baba		

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 5783808	07-21-1998	Josephson	
		US- 5784610	07-21-1998	Copeland, III et al.	
		US- 5806078	09-08-1998	Hug et al.	
		US- 5819300	10-06-1998	Kohno et al.	
		US- 5825506	10-20-1998	Bednar et al.	
		US- 5825943	10-20-1998	DeVito et al.	
		US- 5860066	01-12-1999	Rouse	
		US- 5870725	02-09-1999	Bellinger et al.	
		US- 5895455	04-20-1999	Bellinger et al.	
		US- 5897643	04-27-1999	Matsumoto	
		US- 5926623	07-20-1999	Tsukakoshi et al.	
		US- 5940844	08-17-1999	Cahill et al.	
		US- 5949492	09-07-1999	Mankovitz	
		US- 5953729	09-14-1999	Cabrera et al.	
		US- 6029175	02-22-2000	Chow et al.	

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Sheet	3	of	16	Attorney Docket Number	060419.00009

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 6061686	05-09-2000	Gauvin et al.	
		US- 6065026	05-16-2000	Cornelia et al.	
		US- 6157931	12-05-2000	Cane et al.	
		US- 6097834	08-01-2000	Krouse et al.	
		US- 6115509	09-05-2000	Yeskel	
		US- 6124878	09-26-2000	Adams et al.	
		US- 6181837	01-30-2001	Cahill et al.	
		US- 6212303	04-03-2001	Doran et al.	
		US- 6246778	06-12-2001	Moore	
		US- 6269380	07-31-2001	Terry et al.	
		US- 6269382	07-31-2001	Cabrera et al.	
		US- 6308179	10-23-2001	Petersen et al.	
		US- 6321258	11-20-2001	Stollfus et al.	
		US- 6446072	09-03-2002	Schulze et al.	
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Substitute for form 1449A/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	12/489087
		Filing Date	06-22-2009
		First Named Inventor	SCHULZE et al.
		Art Unit	n/a
		Examiner Name	To be assigned
Sheet 4 of 16	Attorney Docket Number	060419.00009	

NON PATENT LITERATURE DOCUMENTS			
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		PCT International Search Report for PCT/US00/09926 dated 08/22/2000, 1 page.	
		AFFIDAVIT OF MICHAEL SCHULZE, Mirror Imaging, L.L.C., Plaintiff, v. Affiliated Computer Services, Inc. et al., Defendants: Civil Action No. 02-73629, 07/07/2003, 3 pages.	
		DECLARATION OF MICHAEL SCHULZE, Mirror Imaging, L.L.C., Plaintiff, v. Affiliated Computer Service, Inc. et al., Defendants: Civil Action No. 02-73629, 08/28/2003, 6 pages.	
		Plaintiff's Claim Construction Brief for Mirror Imaging, L.L.C. v Affiliated Computer Services, Inc. and ACS Image Solutions, Inc. and Affiliated Computer Services, Inc. v. Mirror Imaging, LLC filed August 29, 2003.	
		DECLARATION OF STEPHEN GRAY, Mirror Imaging, L.L.C., Plaintiff, v. Affiliated Computer Services, Inc. et al., Defendants: Civil Action No. 02-73629, 09/25/2003, 26 pages.	
		COMBINED BRIEF OF AFFILIATED COMPUTER SERVICES, INC. AND ACS IMAGE SOLUTIONS, INC. IN SUPPORT OF THEIR CLAIM CONSTRUCTIONS, Mirror Imaging, L.L.C., Plaintiff, v. Affiliated Computer Services, Inc. et al. Defendants: Civil Action No. 02-73629, 09/29/2003, 25 pages.	
		PLAINTIFF'S REPLY BRIEF TO COMBINED BRIEF OF AFFILIATED COMPUTER SERVICES, INC. AND ACS IMAGE SOLUTIONS, INC. IN SUPPORT OF THEIR CLAIM CONSTRUCTIONS, Mirror Imaging, L.L.C., Plaintiff, v. Affiliated Computer Services, Inc. et al., Defendants: Civil Action No. 02-73629, 10/14/2003, 9 pages.	
		DECLARATION OF CHARLES W. KIGHT, Mirror Imaging, L.L.C. Plaintiff, v. Affiliated Computer Services, Inc. et al., Defendants: Civil Action No. 02-73629, 10/14/2003, 10 pages.	
		CLAIM CONSTRUCTION ORDER, Mirror Imaging, L.L.C. Plaintiff, v. Affiliated Computer Services, Inc., Defendant: Case No. 02-CV-73629-DT, 03/08/2004, 29 pages.	

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		Filing Date	06-22-2009
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		Art Unit	n/a
		Examiner Name	To be assigned
Sheet 5 of 16	Attorney Docket Number	060419.00009	

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		BRIEF FOR APPELLANT, Mirror Imaging, L.L.C. Plaintiff-Appellant, v. Affiliated Computers Services, Inc., et al. Defendant-Appellees: Case No. 2:02-CV-73629, 09/17/2004, 22 pages.	
		STIPULATION AND ORDER DISMISSING CERTAIN CLAIMS AND COUNTERCLAIMS, Mirror Imaging, L.L.C. Plaintiff, v. Affiliated Computer Services, Inc. et al., Defendants: Civil Action No. 02-73629, 09/17/2004, 6 pages.	
		AFFILIATED COMPUTER SERVICES, INC. & ACS IMAGE SOLUTIONS, INC.'S, MARKMAN HEARING PRESENTATION, Mirror Imaging, L.L.C. Plaintiff, v. Affiliated Computer services, Inc. et al., Defendant: Civil Action No. 02-73629, no date, 33 pages.	
		ORIGINAL ANSWER AND COUNTERCLAIM OF DEFENDANTS COMPASS BANCSHARES, INC. AND COMPASS BANK, Mirror Imaging, LLC, Plaintiff, v. Suntrust Bank, Inc: et al. Defendants: Civil Action No. 2:08cv-295, 08/25/2008, 10 pages.	
		ORIGINAL ANSWER AND COUNTERCLAIM OF DEFENDANTS FIRST HORIZON NATIONAL CORPORATION AND FIRST TENNESSEE BANK NATIONAL ASSOCIATION, Mirror Imaging, LLC, Plaintiff v. Suntrust Banks, Inc; et al. Defendants, Civil Action No. 2:08cv-295, 08/25/2008, 12 pages.	
		CULLEN/FROST BANKERS, INC. AND THE FROST NATIONAL BANK'S ANSWER AND COUNTERCLAIMS, Mirror Imaging LLC, Plaintiff v. Suntrust Banks, Inc. et al., Defendants: Civil Action 2:08-CV-295, 08/26/2008, 11 pages.	
		ANSWER AND COUNTERCLAIM OF DEFENDANTS ZIONS BANCORPORATION, ZIONS FIRST NATIONAL BANK AND AMEGY BANK NATIONAL ASSOCIATION TO PLAINTIFF'S ORIGINAL COMPLAINT, Mirror Imaging LLC, Plaintiff, v. Suntrust Banks, Inc., et al. Defendants: Civil Action No. 2:08-CV-295, 09/24/2008, 11 pages.	

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(use as many sheets as necessary)				Attorney Docket Number	060419.00009
Sheet	6	of	16		

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		HSBC DEFENDANTS' JOINT ANSWER AND COUNTERCLAIMS TO ORIGINAL COMPLAINT, Mirror Imaging LLC., Plaintiff, v. Suntrust Bank, Inc. et al. Defendants: Civil Action No. 2:08cv00295 DF, 09/24/2008, 22 pages.	
		SUNTRUST BANKS, INC.'S AND SUNTRUST BANK'S ANSWER AND COUNTERCLAIMS, Mirror Imaging LLC., Plaintiff, v. Suntrust Banks, Inc. et al., Defendants: Civil Action No. 2:08-CV-295, 10/07/2008, 23 pages.	
		Article: ACS 0002294-2297, "Bank Has A Disaster But Survives - Here's How", Journal of The American Bankers Association, Nov. 1972, 5 pages.	
		Publication dated October 1973, Burroughs Clearing House, entitled "Maximum Security For Financial Records", ACS 0001469-71, 3 pages.	
		Publication dated 11/1/1976 from Forbes Magazine entitled "Dozier Willard's Crazy (Like a Fox) Idea".	
		Publication dated 1978, authors Caroline M. Eastman and Stephen F. Weiss, entitled "A Tree Algorithm For Nearest Neighbor Searching In Document Retrieval Systems".	
		Publication dated August 1981, from the Communication of ACM Volume 24, Number 8, author Alan Jay Smith of University of California, Berkeley, entitled "Long Term File Migration: Development and Evaluation of Algorithms", JDMI000083-94, pages 521-532.	
		Publication dated 8/15/1989, from Datanation, Vol 35, No. 16, author Jeff Moad, entitled "The Networked Storage Game".	
		Brochure: ACS 0001585-1598, "The Business of Dataplex", Dataplex Corporation, 1990, 14 pages.	
		Brochure: ACS0001579-1584, "Dataplex Corporation: An Overview", 1991, 6 pages.	
		Brochure: ACS 0001571-1578, "Southern Vital Record Center", Dataplex Corporation, 1991, 8 pages.	
		Publication dated 1991, authors Vincent Cate and Thomas Gross, entitled "Combining the Concepts of Compression and Caching for a Two-level File System.	

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Sheet 7 of 16	Attorney Docket Number	060419.00009	

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		Publication dated August 1994 from PC Magazine, author Steve Rigney, entitled "Palindrome HSM: Affordable and Flexible".	
		Publication dated 1995, from New Library World, authors Catherine Hare and Graham Southwood, entitled "Getting the Records Straight - Developments in Records Management".	
		Publication dated 1995, authors Jeong-Ki Kim and Jac-Woo Chang: entitled "A New Parallel Signature File Method For Efficient Information Retrieval".	
		Publication dated February 1996, from ACM Transactions on Computer Systems, Vol. 14, No.1, Pages 108-136, authors John Wilkes, Richard Golding, Carl Staelin, and Tim Sullivan of Hewlett-Packard Laboratories, entitled "The HP AutoRAID Hierarchical Storage System.	
		Publication dated March 25, 1996, from Information Week, No. 572, pp.77(6), author Neil Raden, entitled "Boost Warehouse Performances".	
		HOLLY SRAEEL, article entitled "City Holdings Opts For DSI's Image" dated March 1996 from Imaging, published in the U.S.A. 1 page.	
		THIERRY LEGER and DEBRA LEAK, article entitled "IA Corp. Announces New CheckVision Products: New CheckVision Archive Software Supports Short-and Long-Term Check Image Archival With Dynamic, Multi-tiered Migration", dated April 1, 1996, published in the U.S.A.	
		Article: ACS0001464, ACS 0001750-1754, BALLARD, "Managing the Paper-Chain", Logistics Focus, Vol. 4, No. 4, 1996, 6 pages.	
		THIERRY LEGER, DANIELE SWEENEY, JUDITH HARGRAVE and JOANN CURRAN, article entitled "IA Corp. Uses Storage Tek Robotic Library for First Client/Server Check Image Archive at Union Bank of California; New client/server CheckVision Archive Application Stores Millions of Checks Per Day Using StorageTek Technology for Quicker Image Retrieval and On-line Client Viewing", dated October 7, 1996), published in the U.S.A.	

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Substitute for form 1449A/PTO				Complete if Known	
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				Filing Date	06-22-2009
				First Named Inventor	SCHULZE et al.
				Art Unit	n/a
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		Publication dated Nov 4, 1996, from Computerworld, author Alice LaPlante, entitled "Warehouse of Cards".	
		Publication dated 1996, author Daniel A. Menasce, Odysseas I. Pentakalos, and Yelena Yesha, entitled "An Analytic Model of Hierarchical Mass Storage Systems With Network Attached Storage Divices.	
		Article entitled "Trans Financial Bank An Image Success Story Leveraging Technology to Revolutionize Item Processing". From Documents Solutions, a BISYS Company, dated 1996, 7 pages.	
		Presentation: Carreker 0914-923, "Mirror Imaging / ASI / Comerica Meeting" - Wednesday, May 28, 1997, Mirror Imaging, 10 pages.	
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		Brochure: "M.I.R.R., Microlmagery Retention and Retrieval", Mirror Imaging, April 16, 1998, 2 pages.	
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		ALISON P. ORENSTEIN, article entitled "City National Bulks Up Its Internet Capability" from Community Bank Systems & Technology, dated May 1998, published in the U.S.A., 1 page.	
		Press Release: MI ACS 00735-736, "Mirror Imaging Announces Record Retention, Retrieval, and Disaster Recovery contract with Firststar Bank", Mirror Imaging, LLC, July 6, 1998, 2 pages.	
		Article: MI ACS 00737, Marlin, "Firststar Taps Service Provider for Check R&A", Bank Systems +Technology, October 1998, page 56.	
		Press Release: MI ACS 00738, "Firststar Corporation Listed as Top Performing Bank of 1998", Newsalert.com, January 07, 1999, 1 page.	
		Press Release: MI ACS 00733-734, "Patent Pending For Mirror Imaging's Remote Document Retention, Retrieval, And Disaster Recovery Business Methodology", May 05, 1999, 2 pages.	
		Article: MI ACS 00739-740, "NPC Check Services, Mirror Mirror...", The Green Sheet, Issue 99:05:02, May 17, 1999, 3 pages.	

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		Article: MI ACS 00753-756, BROOKS, "Bank One's Strategy As Competition Grows: New, Online Institution", The Wall Street Journal, No. 39, August 25, 1999, 4 pages.	
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		KRISTI NELSON, article entitled "UBOC Moves to New Check Archive System" from Bank Systems & Technology Issue dated April 2000, published in the U.S.A.	
		On Line Article: "FujiFilm Unveils Three Second-Generation Software Products for its M Drive Microfilm Retrieval System", printed from creativepro.com, April 14, 2000, 4 pages.	
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		Article: DARWIN, "Big banks, IBM launch venture to speed shift to check imaging", Houston Business Journal, February 28, 2002, 2 pages.	
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		Press Release: MI ACS 00844, "Carreker Grants Enterprise License for Archive Software to Viewpointe", CANI : Carreker Corp Company News, June 02, 2002, 1 page.	
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		Article: "SunTrust Implements CheckWorks' Image Batch Retrieval and Batch Store", CheckWorks Inc., November 18, 2003, 2 pages.	

Examiner Signature		Date Considered	
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	12/489087
				Filing Date	06-22-2009
				First Named Inventor	SCHULZE et al.
				Art Unit	n/a
				Examiner Name	To be assigned
Sheet	15	of	16	Attorney Docket Number	060419.00009

<b>NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	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, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Article: "CheckWorks Offers Its Batch Software", American Banker, December, 03, 2003, 1 page.	
		Brochure: "Express Research – Overview", Carreker Corporation, 2004, 3 pages.	
		Article: ADAMS, "Direct Access – Nat City's New Image", Bank Technology News, Vol. 17, No. 1, January 2004, 2 pages.	
		Press Release: "Viewpointe Bank Customers Retrieve Over 650 million Check in 2003, Viewpointe, January 13, 2004, 3 pages.	
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		Article: QUICK et al., "Ending Digital Obsolescence", The Society for Imaging Science and Technology, January 20, 2005, 6 pages.	

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		Article: DANIEL, "Wachovia Corporation – Case Study, Transaction and Image Archive software makes managing data simple, predictable and reliable", StorageTeck, February 2005, 2 pages	
		Article: "Is Outsourcing Check Processing Cost Effective?", Harpreet Arora, Infosys Technologies Limited, March 14, 2005, 4 pages	
		Article: BILLS "Viewpointe Scrapping Single-Archive Approach", American Banker, May 06, 2005, 2 pages.	
		TOM DWYER, publication entitled "Archiving Digital Content With EMC and Mobius Solutions", dated December 2005 from Yankee Group Research, Inc., www.yankeegroup.com, published in the U.S.A., 16 pages.	
		Article: BOLITA, "The Many Tools of Transaction Processing", The Journal of Work Process Improvement, September/October 2006, pages 10-13.	
		Article: KINCADE, "The New Payments Environment", The Journal of Work Process Improvement, January/February 2008, pages 10-13.	
		Article: KENER, "Taking COLD To The Bank", Document Management /Imaging Installation Review, no date, 1 page.	

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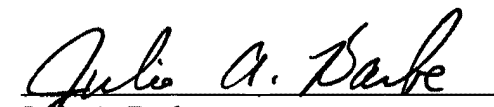
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**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. §§ 1.1 AND 1.8**

I hereby certify that this Information Disclosure Statement and PTO/SB/08 for Serial No. 12/489,087, are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on **March 9, 2010**.

  
Julie A. Barber



1/15W

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michael D. Schulze et al.

Serial No.: 12/489,087

Filed: June 22, 2009

Group Art Unit: To Be Assigned

Examiner: To Be Assigned

For: METHOD OF OBTAINING AN ELECTRONICALLY-STORED  
FINANCIAL DOCUMENT

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR 1.97 AND 1.98**

**Commissioner for Patents**

P.O. Box 1450

Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.97 and 37 CFR 1.98 and in compliance with 37 CFR 1.56, Applicant hereby makes of record the patents, publications, or other information listed on the attached Form PTO/SB/08A. Applicant respectfully requests that the Office consider the patents, publications, or other information and make these of record in the subject application.

The above identified patent application is being or was filed after June 30, 2003, such that copies of each cited U.S. Patent and each cited U.S. Patent Application Publication are not required to be submitted, see 37 CFR 1.98(a)(2)(ii). None of the patents, publications, or other information being provided discloses the inventive concepts claimed in the subject application.

Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. 11/202,790, filed on August 12, 2005, now Patent No. 7,552,118. The references listed on Form PTO/SB08A were submitted to and/or cited by the Office on this prior application. In addition, the information disclosure statement submitted in the earlier application complied with 37 CFR 1.98(a) through (c) such that these references are not required to be provided in this application.

As an additional matter, Applicant hereby informs the Examiner and the Office that the subject matter for which a patent is being sought in the subject application is currently involved in a patent infringement litigation. Specifically, a patent infringement suit was filed on July 29, 2008 in the U.S. District Court for the Eastern District of Texas asserting infringement of two of the parent patents, U.S. Patent Nos. 6,963,866 and 7,552,118, to the subject application. The caption for the suit is Mirror Imaging LLC v. Suntrust Banks, Inc. et al. and the case number is 2:2008cv00295. Applicant acknowledges their duty to submit any "material information" arising from this litigation in accordance with MPEP 2001.06(c). Much of the information listed on the subject PTO/SB08A form was developed as part of this litigation. A Supplemental Information Disclosure Statement is also being filed herewith that includes further, more recent, information that was developed as part of the litigation. Applicant apologizes for the length of these Disclosure Statements, but is required to provide this information.

As part of the defenses and/or counterclaims for some of the defendants, these defendants are alleging that the parent patent is invalid and/or unenforceable due to inequitable conduct, fraud and breach of the duty of candor and good faith before the U.S. Patent Office. Specifically, these defendants allege that the patentee of the parent patent failed to disclose a litigation matter and associated Markman Order involving the grand parent patent, U.S. Patent No. 6,446,072, to the U.S. Patent Office. The briefs, Order and other associated documents relative to this Markman hearing for the grand parent patent are listed.

All of the defendants allege in a separate defense and/or counterclaim that the parent patent is invalid for failure to comply with the patent laws of the United States, including 35 U.S.C. § 101, 102, 103, 112 and/or 120. Some of the defendants have recently provided further information to substantiate this defense and/or counterclaim. To the best of Applicant's knowledge, any and all non-confidential publications in the Applicant's possession that may be material to patentability of the subject patent application are being cited in the subject Information Disclosure Statement and the accompanying Supplemental Information Disclosure Statement. Applicant contends that the claims of the subject patent application are patentable over all of the cited documents.

Applicants also contend that the defendant's defenses and counterclaims are without merit and have set forth the reasons for this contention in subsequent replies to the court.

U.S. Serial No.: 12/489,087

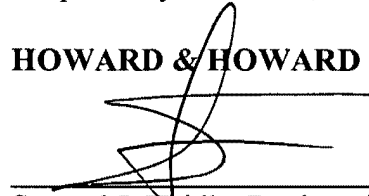
Also being cited are a number of patents that are of record in the parent patent application. Further, a number of articles, brochures and press releases are being cited. Many of these non-patent documents were published after the filing date of the subject patent application.

The Information Disclosure Statement transmitted herewith is being filed within three (3) months of the filing date of the national application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits. Accordingly, it is believed that no fee is due

In addition to the above, the Commissioner is authorized to charge Howard & Howard Attorneys PLLC Deposit Account No. 08-2789 for any additional fees or credit any overpayment.

Respectfully submitted,

**HOWARD & HOWARD ATTORNEYS PLLC**



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(248) 723-0334

Dated: March 9, 2010



PTO/SB/08A (07-05) (modified)

Approved for use through 07/31/2006 OMB 0651-0031

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		First Named Inventor	SCHULZE et al.
		Art Unit	n/a
		Examiner Name	To be assigned
		Attorney Docket Number	060419.00009

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		Number-Kind Code <sup>2</sup> (if known)			
		US- 3872448	03-18-1975	Mitchell, Jr.	
		US- 4817050	03-28-1989	Komatsu et al.	
		US- 5029016	07-02-1991	Hiyama et al.	
		US- 5058185	10-15-1991	Morris et al.	
		US- 5153936	10-06-1992	Morris et al.	
		US- 5218685	06-08-1993	Jones	
		US- 5247660	09-21-1993	Ashcraft et al.	
		US- 5506986	04-09-1996	Healy	
		US- 5530899	06-25-1996	MacDonald	
		US- 5548770	06-20-1996	Bridges	
		US- 5550976	08-27-1996	Henderson et al.	
		US- 5572726	11-05-1996	Hasuo	
		US- 5584008	12-10-1996	Shimada et al.	
		US- 5678042	10-14-1997	Pisello et al.	
		US- 5678046	10-14-1997	Cahill et al.	

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<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 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 C.F.T. 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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		US- 5727164	03-10-1998	Kaye et al.	
		US- 5732214	03-24-1998	Subrahmanyam	
		US- 5742807	04-21-1998	Masinter	
		US- 5787403	07-28-1998	Randle	
		US- 5813009	09-22-1998	Johnson et al.	
		US- 5901228	05-04-1999	Crawford	
		US- 5917958	06-29-1999	Nunally et al.	
		US- 5924074	07-13-1999	Evans	
		US- 6023710	02-08-2000	Steiner et al.	
		US- 6081251	06-27-2000	Sakai et al.	
		US- 6157930	12-05-2000	Ballard et al.	
		US- 6236661	05-22-2001	Ballard	
		US- 6236767	05-22-2001	Altman	
		US- 6349330	02-19-2002	Bernadett et al.	
		US- 6360306	03-19-2002	Bergsten	

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		US- 6366930	04-02-2002	Parker et al.	
		US- 6557039	04-29-2003	Leong et al.	
		US- 6574629	06-03-2003	Cooke, Jr. et al.	
		US- 6584466	06-24-2003	Serbinis et al.	
		US- 6886047	04-26-2005	Leong et al.	
		US- 6820094	11-16-2004	Ferguson et al.	
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		US- 2005/0256839	11/17/2005	Leong et al.	
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		Article: ISAAC, "Hierarchical Storage Management for Relational Database", Twelfth IEEE Symposium on Mass Storage System, April, 1993, pages 139-144 JDMI0000059-65.	
		Article: GRAF et al., "Application of a Mass Storage System to Science Data Management", Twelfth IEEE Symposium on Mass Storage Systems, April, 1993, pages 191-198, JDMI0000030.	
		Article: LASH, "Requirements for Hierarchical Storage Management at AT&T Bell Laboratories", Twelfth IEEE Symposium on Mass Storage System, April, 1993, pages 19-24. JDMI0000105.	
		Article: MORAN et al., "The Restore-o-Mounter", USENIX Summer 1993 Technical Conference, pages 45-58, JDMI0002230-2244.	
		Article: O'NIEL et al., "A Log-Structured History Data Access Method (LHAM)", Sept. 4, 1993, pages 1-9, JDMI0001167-1175.	
		Article: MEHRING, "Demonstration of Dissemination, Storage, and Retrieval of Defense Mapping Agency Digital Products over a Distributed Enterprise Network, SPIE Vo. 2368 Image and Information Systems, 1994, pages 173-182, JDMI0000049-58.	
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		Publication: IBM Corp. Document and Check Image Solutions et al., "IBM Proposal for Federal Reserve Bank Check Image System", July 8, 1994, 272 pages, JDMI0002458-2729.	

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		Filing Date	06/22/2009
		First Named Inventor	SCHULZE et al.
		Art Unit	n/a
		Examiner Name	To be assigned
Sheet 4 of 13	Attorney Docket Number	060419.00009	

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		DEFENDANTS ZIONS BANCORPORATION'S ZIONS FIRST NATIONAL BANK'S AND AMEGY BANK NATIONAL ASSOCIATION'S SECOND SUPPLEMENTAL INVALIDITY CONTENTIONS, Mirror Imaging, LLC, Plaintiff v. Suntrust Bank, INC: et al., Defendants, Civil Action No. 2:08cv295, date 01/28/2010, 6 pages.	
		DEFENDANTS' INVALIDITY CONTENTIONS, Mirror Imaging, LLC, Plaintiff v. Suntrust Bank, INC: et al., Defendants, Civil Action No. 2:08cv295, date 05/15/2009, 36 pages.	
		DEFENDANTS' SUPPLEMENTAL INVALIDITY CONTENTIONS, Mirror Imaging, LLC, Plaintiff v. Suntrust Bank, INC: et al., Defendants, Civil Action No. 2:08cv295, date 08/07/2009, 17 pages.	
		DEFENDANTS' MARKMAN PRESENTATION, Mirror Imaging, LLC, Plaintiff v. Suntrust Bank, INC: et al., Defendants, Civil Action No. 2:08cv295, no date, 114 pages.	
		Article: LOMET et al., "Access Method For Multiversion Data", Association for Computing Machinery, 1989, pages 315-324 JDMI0001176-1185.	
		Article: PLESUMS et al., "Large-scale Image Systems: USSA case study", IBM System Journal, Vo. 29, No. 3, 1990, pages 343-355, JDMI0002347-2359.	
		Article: PETERSON, "E-System Modular Automated Storage System (EMASS) Software Functionality, IEEE, 1991, pages 73-76, JDMI0002342-2346.	
		Publication: LOMET et al., "Media Recovery with Time-Split B-trees, Cambridge Research Laboratory, Technical Report Series, 10/16/1991, CRL 91/9, 45 pages. JDMI0002185-2229.	
		Article: SANDERS et al., "Performance Evaluation of a Picture archiving and communication Network Using Stochastic Activity Networks", IEEE Transactions On Medical Imaging, Vol.12, No. 1, March 1993, pages 21-29, JDMI0000631-641.	

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		Article: GROSSMAN et al., "Caching and Migration for Multilevel Persistent Object Stores", Fourteenth IEEE Symposium on Mass Storage Systems", September, 1995, pages 127-135, JDMI0000039-47.	
		Article: STEPHENSON et al., "Impacts: An Interactive, Multiterabyte Image Archive", Fourteenth IEEE Symposium on Mass Storage Systems", September, 1995, pages 146-161, JDMI0000066-82.	
		Publication: Image Archive Forum, "Image Archive Requirements, July 23, 1996, Revision 5, 44 pages., JDMI0004449-4492.	
		Article: WOOSTER et al, "Proxy Caching That Estimates Page Load Delays", Computer Networks and ISDN Systems #29, 1997, pages 9777-986, JDMI0000095-104.	
		Article: KOLODNY et al., "A Low-Cost, Full-Function Picture Archiving and Communication System Using Standard PC Hardware and the Traditional 4-over-4 Display Format", Computers in Radiology, April 28, 1998, March 1999, pages 591-594.	
		Publication: MIRROR IMAGING, LLC V. SUNTRUST BANKS, INCL, et al., "Mirror Imaging's Claim Construction Presentation", "nbc, nelsonburngardnercastro", 58 pages.	

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	12/489087
		Filing Date	06/22/2009
		First Named Inventor	SCHULZE et al.
		Art Unit	n/a
		Examiner Name	To be assigned
Sheet 12 of 13	Attorney Docket Number	060419.00009	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	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, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 29, 24 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 30, 32 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 31, 23 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 32, 18 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 33, 35 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 34, 24 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 35, 33 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 36, 42 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 37, 26 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 38, 30 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 39, 14 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 40, 16 pages.	
		Exhibit Chart: Invalidity Contentions for U.S. Pat. No. 6,963,866, Chart # 41, 16 pages.	
		Chart # 1, Invalidity Contentions for U.S. Pat. No. 6,963,866, 9 pages.	

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

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 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 CFT 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, 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.

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

Substitute for form 1449A/PTO  <div style="text-align: center;"> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> </div> (use as many sheets as necessary)				Complete if Known	
				Application Number	12/489087
				Filing Date	06/22/2009
				First Named Inventor	SCHULZE et al.
				Art Unit	n/a
				Examiner Name	To be assigned
Sheet	13	of	13	Attorney Docket Number	060419.00009

[illegible]

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

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 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 C.F.T. 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, 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.



**CERTIFICATE OF MAILING PURSUANT TO 37 C.F.R. §§ 1.1 AND 1.8**

I hereby certify that this Supplemental Information Disclosure Statement, PTO/SB/08 and 112 Non Patent Literature Documents for Serial No. 12/489,087, are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on March 9, 2010.

  
Julie A. Barber



15W -

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michael D. Schulze et al.

Serial No.: 12/489,087

Filed: June 22, 2009

Group Art Unit: To Be Assigned

Examiner: To Be Assigned

For: METHOD OF OBTAINING AN ELECTRONICALLY-STORED  
FINANCIAL DOCUMENT

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR 1.97 AND 1.98**

**Commissioner for Patents**

P.O. Box 1450

Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.97 and 37 CFR 1.98 and in compliance with 37 CFR 1.56, Applicant hereby makes of record the patents, publications, or other information listed on the attached Form PTO/SB/08A. Applicant respectfully requests that the Office consider the patents, publications, or other information and make these of record in the subject application.

The above identified patent application is being or was filed after June 30, 2003, such that copies of each cited U.S. Patent and each cited U.S. Patent Application Publication are not required to be submitted, see 37 CFR 1.98(a)(2)(ii). None of the patents, publications, or other information being provided discloses the inventive concepts claimed in the subject application.

As also stated in another Information Disclosure Statement filed concurrently herewith, Applicant informs the Examiner and the Office that the subject matter for which a patent is being sought in the subject application is currently involved in a patent infringement litigation. Specifically, a patent infringement suit was filed on July 29, 2008 in the U.S. District Court for the Eastern District of Texas asserting infringement of two of the parent patents, U.S.

Patent Nos. 6,963,866 and 7,552,118, to the subject application. The caption for the suit is Mirror Imaging LLC v. Suntrust Banks, Inc. et al. and the case number is 2:2008cv00295. Applicant acknowledges their duty to submit any “material information” arising from this litigation in accordance with MPEP 2001.06(c). The information listed on the subject PTO/SB08A form was developed as part of this litigation. Applicant apologizes for the length of the Disclosure Statement, but is required to provide this information.

All of the defendants allege in a separate defense and/or counterclaim that the parent patent is invalid for failure to comply with the patent laws of the United States, including 35 U.S.C. § 101, 102, 103, 112 and/or 120. Some of the defendants have recently provided further information to substantiate this defense and/or counterclaim. To the best of Applicant’s knowledge, any and all non-confidential publications in the Applicant’s possession that may be material to patentability of the subject patent application are being cited in the subject Supplemental Information Disclosure Statement and the accompanying Information Disclosure Statement. Applicant contends that the claims of the subject patent application are patentable over all of the cited documents.

In order to ensure full disclosure of all “material information” to the Office, the Applicants are providing a number of the briefs, court presentations and invalidity charts in addition to the patents and publications. Applicants contend that the defendant’s defenses and counterclaims are without merit and have set forth the reasons for this contention in subsequent replies to the court.

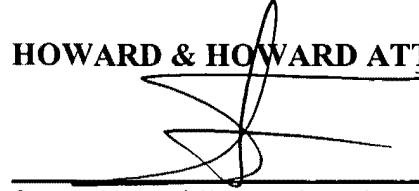
The Supplemental Information Disclosure Statement transmitted herewith is being filed within three (3) months of the filing date of the national application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits. Accordingly, it is believed that no fee is due

U.S. Serial No.: 12/489,087

In addition to the above, the Commissioner is authorized to charge Howard & Howard Attorneys, PLLC Deposit Account No. 08-2789 for any additional fees or credit any overpayment.

Respectfully submitted,

**HOWARD & HOWARD ATTORNEYS PLLC**

A handwritten signature in black ink, appearing to be 'S. Haidle', written over a horizontal line.

Samuel J. Haidle, Registration No.: 42,619  
450 West Fourth Street  
Royal Oak, MI 48067-2557  
(248) 723-0334

Dated: March 9, 2010



# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/489,087	06/22/2009	Michael D. Schulze	060419.00009

**CONFIRMATION NO. 1910**

## PUBLICATION NOTICE



\*OC000000038288938\*

27305  
HOWARD & HOWARD ATTORNEYS PLLC  
450 West Fourth Street  
Royal Oak, MI 48067

**Title:**METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS

**Publication No.**US-2009-0259668-A1

**Publication Date:**10/15/2009

## NOTICE OF PUBLICATION OF APPLICATION

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

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

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Alexandria, VA 22313-1450 or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at [www.uspto.gov](http://www.uspto.gov) using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently <http://pair.uspto.gov/>. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

Further assistance in electronically accessing the publication, or about PAIR, is available by calling the Patent Electronic Business Center at 1-866-217-9197.

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





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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLAIMS	IND CLAIMS
12/489,087	06/22/2009	2624	1090	060419.00009	12	2

CONFIRMATION NO. 1910

27305  
HOWARD & HOWARD ATTORNEYS PLLC  
450 West Fourth Street  
Royal Oak, MI 48067

## FILING RECEIPT



\*OC000000036726330\*

Date Mailed: 07/08/2009

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

### Applicant(s)

Michael D. Schulze, Troy, MI;  
Richard J. Gagnon, Grosse Pointe Farms, MI;

**Power of Attorney:** The patent practitioners associated with Customer Number 27305

### Domestic Priority data as claimed by applicant

This application is a CON of 11/202,790 08/12/2005 PAT 7,552,118  
which is a CON of 10/104,541 03/22/2002 PAT 6,963,866  
which is a CON of 09/548,490 04/13/2000 PAT 6,446,072  
which claims benefit of 60/129,021 04/13/1999

### Foreign Applications

**If Required, Foreign Filing License Granted:** 06/30/2009

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/489,087**

**Projected Publication Date:** 10/15/2009

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS

**Preliminary Class**

382

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

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

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

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

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

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

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

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as

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

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

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

#### **NOT GRANTED**

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



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
12/489,087	06/22/2009	Michael D. Schulze	060419.00009

27305  
HOWARD & HOWARD ATTORNEYS PLLC  
450 West Fourth Street  
Royal Oak, MI 48067

**CONFIRMATION NO. 1910**  
**IMPROPER CPOA LETTER**



Date Mailed: 07/08/2009

**NOTICE REGARDING POWER OF ATTORNEY**

This is in response to the Power of Attorney filed 06/22/2009. The Power of Attorney in this application is not accepted for the reason(s) listed below:

- The Power of Attorney you provided did not comply with the new Power of Attorney rules that became effective on June 25, 2004. See 37 CFR 1.32.

/tnguyen/

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

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re application of:** Michael D. Schulze et al.

**Serial No.:** To Be Assigned                      **Group Art Unit:** 2161  
(Continuation of Serial No.: 11/202,790)

**Filed:** Concurrent Herewith                      **Examiner:** To Be Assigned

**Attorney Docket No.:** 60,419-009

**Title:** METHOD OF OBTAINING ELECTRONICALLY-STORED  
FINANCIAL DOCUMENTS

**PRELIMINARY AMENDMENT**

**Commissioner for Patents**

P.O. Box 1450

Alexandria, Virginia 22313-1450

Dear Sir:

Prior to examination of the above-identified application, please amend the subject application as follows and consider the accompanying remarks.

Amendments to the specification begin on page 2. A complete listing of the claims ever presented in the application, along with any current amendments thereto, begins on page 3.

Amendments to the Specification

Please amend the paragraph beginning at page 1, line 5, as follows;

This patent application is a continuation of U.S. Patent Application Serial No. 11/202,790 filed on August 12, 2005, now U.S. Patent No. 7,552,118, which is a continuation of U.S. Patent Application Serial No. 10/104,541 filed on March 22, 2002, now U.S. Patent No. 6,963,866, which is a continuation of U.S. Patent Application Serial No. 09/548,490 filed on April 13, 2000, now U.S. Patent No. 6,446,072, which in turn claims priority to and all the advantages of United States Provisional Patent Application Serial No. 60/129,021, which was filed on April 13, 1999 and is entitled “REMOTE DOCUMENT RETRIEVAL AND STORAGE SYSTEM”.

Amendments to the Claims

This listing of claims will replace all prior versions, and listings, of claims in the application.

1. - 22. (Cancelled)

23. (New) A method of obtaining an electronically-stored financial document from a first storage system geographically located at a first location, which is remotely-located from a second storage system geographically located at a second location, wherein the first and second storage systems each include a plurality of financial documents stored therein and wherein each of the financial documents include at least one specific document parameter with the specific document parameter being defined as a particular numerical sequence, said method comprising the steps of:

storing a plurality of financial documents in the first storage system at the first geographical location when the particular numerical sequence of the financial document is associated with a first geographical area;

storing a plurality of financial documents in the second storage system at the second geographical location when the particular numerical sequence of the financial document is associated with a second geographical area;

utilizing a computer terminal connected to the first and second storage systems through a processing unit;

receiving a request for at least one of the stored financial documents;

inputting the request into the computer terminal;

determining the particular numerical sequence of the requested financial document to determine the storage system in which the requested financial document is stored;

automatically accessing the first storage system at the first geographical location through the processing unit when the determined numerical sequence of the requested financial document is associated with the first geographical area and automatically accessing the second storage system at the second geographical location through the processing unit when the determined numerical sequence of the requested financial document is associated with the second geographical area; and

retrieving the requested financial document, as defined by the inputted request, from the first storage system if the requested financial document is located at the first geographical location and from the second storage system if the requested financial document is located at the second geographical location.

24. (New) A method as set forth in claim 23 wherein the first and second geographical locations are different from each other.

25. (New) A method as set forth in claim 24 wherein the first and second geographical areas are different from each other.

26. (New) A method as set forth in claim 23 wherein the particular numerical sequence is further defined as a series number.

27. (New) A method as set forth in claim 23 wherein the step of automatically accessing the first and second storage systems is further defined as accessing only one of the storage systems at any one time to locate the requested financial document.

28. (New) A method as set forth in claim 23 wherein the steps of storing a plurality of financial documents in the first and second storage systems are further defined as storing the financial documents in a fixed medium at one of the first and second storage systems based on the particular numerical sequence of the financial document.

29. (New) A method as set forth in claim 28 wherein the step of storing the plurality of financial documents in a fixed medium is further defined as storing a plurality of financial documents on microfilm.

30. (New) A method as set forth in claim 28 wherein the step of storing the plurality of financial documents in a fixed medium is further defined as storing a plurality of financial



documents on microfiche.

31. (New) A method as set forth in claim 28 wherein the step of storing the plurality of financial documents in a fixed medium is further defined as electronically storing the plurality of financial documents in a fixed electronic medium.

32. (New) A method as set forth in claim 23 further including the step of reproducing the requested financial document after the requested financial document has been retrieved from the associated storage system.

33. (New) A method as set forth in claim 32 further including the step of distributing the reproduced financial document to a financial institution based on routing codes.

34. (New) A method of obtaining electronically-stored financial document information from a first storage system geographically located at a first location, which is remotely-located from a second storage system geographically located at a second location, wherein the first and second storage systems each include a plurality of financial document information stored therein and wherein the financial document information include at least one specific document parameter with the specific document parameter being defined as a particular numerical sequence, said method comprising the steps of:

storing a plurality of financial document information in the first storage system at the first geographical location when the particular numerical sequence of the financial document information is associated with a first geographical area;

storing a plurality of financial documents in the second storage system at the second geographical location when the particular numerical sequence of the financial document information is associated with a second geographical area;

utilizing a computer terminal connected to the first and second storage systems through a processing unit;

receiving a request for at least one of the stored financial document information;

inputting the request into the computer terminal;

determining the particular numerical sequence of the requested financial document information to determine the storage system in which the requested financial document information is stored;

automatically accessing the first storage system at the first geographical location through the processing unit when the determined numerical sequence of the requested financial document information is associated with the first geographical area and automatically accessing the second storage system at the second geographical location through the processing unit when the determined numerical sequence of the requested financial document information is associated with the second geographical area; and

retrieving the requested financial document information, as defined by the inputted request, from the first storage system if the requested financial document information is located at the first geographical location and from the second storage system if the requested financial document information is located at the second geographical location.

**Remarks**

The subject continuation patent application is being filed for continued prosecution of the claims set forth in the parent application. The assigned art unit of the parent application is identified above.

The specification has been amended to set forth a claim of priority as is required by 35 U.S.C. 120.

After entry of the subject preliminary amendment, claims 23-34 will remain in the application with claims 23 and 34 being in independent form. Claims 1-22 have been cancelled as these claims were previously prosecuted.

It is respectfully submitted that the Application, as amended, is now presented in condition for examination. The Commissioner is authorized to charge our Deposit Account No. 08-2789 for any fees or credit the account for any overpayment.

Respectfully submitted,

**HOWARD & HOWARD ATTORNEYS PLLC**

Date: June 22, 2009

/Samuel J. Haidle/

Samuel J. Haidle, Registration No. 42,619  
450 West Fourth Street  
Royal Oak, MI 48067-2557  
(248) 723-0334

**COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR UNITED STATES PATENT APPLICATION**

As a below named inventor, I hereby declare that:

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

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

**METHOD OF OBTAINING AN ELECTRONICALLY-  
STORED FINANCIAL DOCUMENT**

which is described and claimed in the specification of which:

  X   is executed on even date herewith; attorney docket number 60,419-002.

       was filed on \_\_\_\_\_ as United States Application Serial No.  
\_\_\_\_\_, and was amended on \_\_\_\_\_; attorney docket number  
\_\_\_\_\_.

I declare that this application is:

  X   a first filing.

       a continuation.

       a continuation-in-part.

       a divisional.

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

I do not know and do not believe my invention was known or used by others in the United States of America, or patented or described in a printed publication in any country before my invention thereof.

I do not know and do not believe my invention was patented or described in a printed publication in any country or in public use or on sale in the United States of America, more than one year prior to this application.

I acknowledge my duty to disclose information of which I am aware which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim that no application for patent or inventor's certificate on this invention has been filed in any foreign country or in the United States of America prior to this application by me or my legal representatives or assigns except as follows:

### PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of the foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application(s) for patent or inventor's certificate filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

☒ no such applications have been filed.

\_\_\_\_\_ such applications have been filed as follows:

COUNTRY	APPLICATION NUMBER	DATE OF FILING (month, day, year)	PRIORITY CLAIMED UNDER 37 USC 119
			Yes___ No___

I hereby claim priority to and all the benefits under Title 35, United States Code, §119(e) of any United States provisional application(s).

\_\_\_\_\_ no such applications have been filed.

☒ such applications have been filed as follows:

APPLICATION NUMBER	DATE OF FILING (month, day, year)
60/129,021	April 13, 1999

I hereby claim priority to and all the benefits under Title 35, United States Code, §120 of any United States application(s) listed below. If the above identified application is a continuation-in-part application, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this continuation-in-part application in accordance with Title 37, Code of Federal Regulations, Section 1.63(e).

  X   no such applications have been filed.

       such applications have been filed as follows:

APPLICATION NUMBER	DATE OF FILING (month, day, year)	STATUS (patented, pending, abandoned)
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#### POWER OF ATTORNEY

As a named inventor, I hereby appoint the following attorneys and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith with full power of substitution and revocation. (all names listed with corresponding registration numbers)

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## DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Dated: 4-12-00

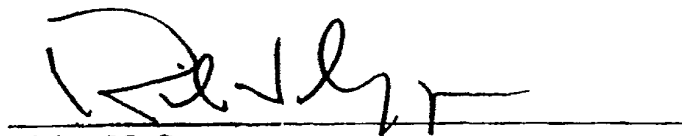
  
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# METHOD OF OBTAINING AN ELECTRONICALLY-STORED FINANCIAL DOCUMENT

## RELATED APPLICATIONS

5           This patent application claims priority to and all advantages of United States  
Provisional Patent Application Serial No. 60/129,021 which was filed on April 13, 1999 and  
is entitled “REMOTE DOCUMENT RETRIEVAL AND STORAGE SYSTEM.”

## **BACKGROUND OF THE INVENTION**

10 **1) TECHNICAL FIELD**

The subject invention relates to a method for a financial institution to obtain electronically-stored financial documents from an off-site storage system remotely-located from an on-site storage system.

## 2) DESCRIPTION OF THE PRIOR ART

15           Methods for obtaining electronically-stored financial documents are generally known  
in the art. Financial institutions, such as banks and credit unions, utilize such methods to  
rapidly and efficiently obtain financial documents for distribution to clients upon request.  
Such financial documents include paid checks, account statements, and other related  
documents. These financial documents are typically stored on microfiche, microfilm,  
20   digitally, or by some other electronic storage means. Further, these financial documents are  
typically electronically-stored in an on-site storage system located at the financial institution  
or in an off-site storage system. Electronic storage of these financial documents permits  
financial institutions to eliminate storage of paper or "hard" copies of these documents. The



electronic storage of these documents also provides a means of retrieving the information from the on-site and off-site storage systems.

Once the document is stored, the client may request an image of a particular stored document. Client requests are made to replace lost or stolen documents, for tax purposes, for proof of financial transactions, for legal disputes, and other similar matters. The client's request is inputted into a computer terminal at the financial institution. More specifically, conventional methods for obtaining an electronically-stored financial document enable an employee of the financial institution, such as a bank teller, to input the request into an interface incorporated into the computer terminal. The interface is inter-linked with the on-site storage system. Typically, all requests for a particular period are grouped together and subsequently downloaded for retrieval of the requested image by the financial institution. The financial institution retrieves the image, e.g. a photocopy of the check, and then distributes the photocopy to the client via facsimile, mail or hand delivery. The storing, downloading, and retrieving of the financial document, including the reproduction and the distribution of the document, are known in the industry as back office production. Back office production for financial institutions is particularly resource intensive, time consuming, and expensive. Also, back office production becomes increasingly expensive if the client requests a particularly old financial document because older financial documents frequently require more resources and time to locate and retrieve.

The majority of financial institutions electronically store financial documents only in an on-site storage system and not in an off-site storage system. Consequently, these financial

institutions are unable to outsource the responsibilities for the back office production to third party entities to alleviate the expenses and resources associated with the back office production. These financial institutions realize a significant financial burden since the back office production is concentrated strictly at the financial institution.

5           Other financial institutions do electronically store financial documents in on-site and off-site storage systems. However, the methods utilized by these financial institutions to access the financial documents stored in the off-site storage system are deficient in that the interface utilized in such methods is only inter-linked with the on-site storage system. That is, there is no interface independently inter-linked with the off-site storage system. As a result, the financial documents stored in the off-site storage system can not be efficiently accessed. These financial institutions are still responsible for retrieving the requested financial documents through their back office production and their expenses remain high. One such method of retrieving documents from on-site and off-sited storage systems is disclosed in United States Patent No. 5,784,610 to Copeland, III et al.

15           Due to the inefficiencies identified in the conventional methods used by financial institutions to obtain financial documents, it is desirable to implement a method for a financial institution to obtain electronically-stored financial documents from both on-site and off-site storage systems that reduces, if not eliminates, the back office production of the financial institution by providing a direct interface inter-linked with the off-site storage system. With such an interface, the responsibility for retrieving financial documents from the off-site storage can be outsourced to third party entities while still providing the financial institution

with efficient access to any financial documents electronically-stored in the off-site storage system.

### **SUMMARY OF THE INVENTION AND ADVANTAGES**

5           A method for a financial institution to obtain electronically-stored financial documents having a specific document parameter is disclosed. The specific document parameter is typically a particular numerical sequence, such as a record date of the financial document. The method of the subject invention enables the financial institution to obtain the financial documents from an off-site storage system. The off-site storage system is remotely-located  
10   from an on-site storage system. The financial documents of the financial institution are maintained in the off-site storage system when the specific document parameter of the financial document is greater than a predetermined parameter. The financial documents that are less than or equal to the predetermined parameter are maintained in the on-site storage system.

15           When the financial institution receives a request for a financial document, the financial institution compares the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter. A computer terminal located at the financial institution is connected to both the off-site and on-site storage systems. The  
20   computer terminal is utilized to access one of the storage systems in response to the comparison of the specific document parameter to the predetermined parameter. For instance,

if it is determined that the specific document parameter is less than or equal to the predetermined document parameter, then the computer terminal accesses the on-site storage system. On the other hand, if it is determined that the specific document parameter of the financial document is greater than the predetermined parameter, then the computer terminal  
5 accesses the off-site storage system.

After the computer terminal accesses the appropriate storage system, identification data of the requested financial document is inputted into the computer. More specifically, to access the on-site storage system, the identification data is input into a primary interface that is specifically inter-linked with the on-site storage system. To access the off-site storage  
10 system, an exit function is selected at the primary interface and the identification data is then input into a secondary interface that is initiated upon selection of the exit function. The secondary interface is specifically inter-linked with the off-site storage system.

Finally, after the identification data of the requested financial document is inputted, the requested document is then retrieved in order to reproduce the financial document, and  
15 distribute the financial document to an end user of the financial institution.

The subject invention therefore provides a method that enables financial institutions to obtain electronically-stored financial documents from an off-site storage system via a secondary interface that is specifically inter-linked with the off-site storage system and the financial documents electronically-stored in that system. As such, the financial institution can  
20 selectively store financial documents in either an on-site storage system or the off-site storage system, and the responsibility for the financial documents in the off-site storage system can be

outsourced to a third party entity. Therefore, the back office production of the financial institution associated with the retrieval and distribution of financial documents stored in the off-site storage system is strategically reduced or even completely eliminated.

## **BRIEF DESCRIPTION OF THE DRAWINGS**

Other advantages of the present invention will be readily appreciated as the same becomes better understood by reference to the following detailed description when considered in connection with the accompanying drawings wherein:

Figure 1 is a flow diagram schematically detailing an on-site storage system, and an off-site storage system in accordance with the subject invention;

Figure 2 is a block diagram generally representing a method for a financial institution to obtain electronically-stored financial documents from the on-site and off-site storage systems;

Figure 3 is a block diagram completing the method of obtaining electronically-stored financial documents from the on-site storage system; and

Figure 4 is a block diagram completing the method of obtaining electronically-stored financial documents from the off-site storage system.

## **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT**

Referring to the Figures, wherein like numerals indicate like or corresponding parts throughout the several views, a method for a financial institution to obtain an electronically-stored financial document is schematically shown at 10 in Figure 1. The method introduced in

the subject invention enables the financial institution to obtain the financial document from an off-site storage system remotely located from an on-site storage system. Preferably, the on-site storage system is located at the financial institution and the off-site storage system is located at a remote location distant from the financial institution. This allows the financial institution to ‘outsource’ the responsibilities associated with obtaining the financial document.

Methods for financial institutions to obtain electronically-stored documents are frequently used by such entities as banks, credit unions, and other financially-oriented institutions. For illustrative purposes only, the description of the subject invention is discussed with reference to banks. However, as appreciated by those skilled in the art, other businesses, such as insurance companies, may also utilize similar methods and incorporate the aspects of the subject invention.

Methods for banks to obtain electronically-stored financial documents are generally used by banks to rapidly and efficiently obtain financial documents for distribution to clients upon request. As described above, the financial documents for banks are usually paid checks, checking statements, and other related financial documents, and these documents include at least one specific document parameter. As appreciated by those skilled in the art, it is not the financial document (e.g. the paid check) itself that is electronically-stored. Rather, it is data included on the document such as a sequence number that is electronically stored to make up the financial document. The specific document parameter is preferably a particular numerical sequence. As appreciated, the specific document parameter of the financial document can include, but is not limited to, a record date or age of the document, a series number, or some

other document identifying number of the financial document. More specifically, in the preferred embodiment of the subject invention, the particular numerical sequence of the financial document is the record date of the financial document. That is, the date that the particular financial document was created or posted.

5           The financial documents are typically stored on microfiche, microfilm, digitally, or by some other electronic storage means. As appreciated, the electronic storage of the financial documents is frequently created by taking an electronic photo image of the document and storing the photo image in a computer system. One such digital electronic storage device is sold by Kodak under the name of *IMAGELINK<sup>TM</sup>* Digital Workstation (IDW). Electronic  
10       storage of these financial documents permits banks to eliminate storage of paper or "hard" copies of these documents. The electronic storage of these documents also provides an efficient means of retrieving the information from the on-site and off-site storage systems. This will be discussed further herein below.

          As described above, the financial documents are electronically-stored in either the on-  
15       site storage system located at the bank or in the off-site storage system remotely located from the on-site storage system. More specifically, the subject invention includes the step of maintaining the financial documents in the off-site storage system when the specific document parameter of the financial document is greater than a predetermined parameter. Financial documents are maintained in the on-site storage system when the specific document parameter  
20       of the financial document is less than or equal to the predetermined parameter. As appreciated, the document parameter of the financial documents stored in the off-site storage

system may be greater than or equal to the predetermined parameter with the on-site storage system having documents only less than the predetermined parameter.

Similar to the specific document parameter of the financial document, the predetermined parameter is also a numerical value. The predetermined parameter is specifically a numerical value predetermined by the bank. For instance, if the specific document parameter is a series number of a paid check and the series number is greater than the predetermined parameter which, in this case, would be an arbitrarily selected base series number, then the paid check would be stored in the off-site storage system.

In the preferred embodiment of the subject invention, the predetermined numerical value is a date pre-selected by the bank. For instance, the bank may pre-select a date that is one year before a current date—the current date being the actual date that the client requests the financial document. Of course, the bank may pre-select a date that is some other time period before a current date (e.g. two or three years) without varying from the scope of the subject invention. As such, if the record date of the particular financial document is older than one year, then the particular financial document is maintained in the off-site storage system. If the record date of the particular financial document is earlier than or equal to one year, then the particular financial document is maintained in the on-site storage system. As discussed above, the document having record dates equal to the one year may be stored in the off-site or on-site storage systems.

Once the financial document is maintained in the appropriate storage system, the bank is capable of receiving a request for the financial document from the client. In reality, the



client is requesting an image of the stored financial document. As appreciated, clients request the image for various reasons. As discussed above, requests are typically made for replacing lost or stolen financial documents, for tax purposes, for proof of financial transactions, for legal disputes, and other similar matters. Ultimately, the bank retrieves the image, reproduces the image, and distributes the reproduced image to the requesting client of the bank.

Referring now to Figure 1, the method for banks to obtain electronically-stored financial documents is discussed in detail. Initially, the requesting client requests a particular financial document, such as a paid check. The client is typically a customer of the bank or other financial institution. The client's request is inputted into a computer terminal 11 at the financial institution. The computer terminal 11 will be discussed in more detail hereinbelow.

From the computer terminal 11, the request is fed into a mainframe computer 12 at the bank. In the preferred embodiment of the subject invention, if the client requests a financial document having a record date earlier than or equal to one year before the current date, then the request, and other requests like it, are processed at the bank in the on-site storage system. That is, the requests are grouped together and downloaded to a downloading terminal 14 at the bank. The downloading may occur at particular intervals such as at the end of each day, every three hours, etc. The sequence number of each check requested is then determined. A document terminal 16 subsequently creates or reproduces the document, i.e., a photocopy of the check. The photocopy is then distributed to the client via facsimile, mail, or hand delivery.

It is known in the art that the majority of requests for financial documents are requests for documents which were created in the most recent year. That is, if the pre-selected date is one year before the current date, as in the preferred embodiment, then the majority of requests are seeking financial documents having a record date earlier than or equal to the pre-selected  
5 date. The remaining document requests relate to financial documents that are older than one year. Since, as described in the Background of the Invention, retrieval of financial documents that are older than one year is particularly expensive, the preferred embodiment of the subject invention outsources all of the document requests which relate to documents having a record date later than one year before the current date. As appreciated, the particular time frame  
10 which is outsourced is not a critical feature of the subject invention and may be adjusted to meet the needs of any particular financial institution. In fact, all of the document requests, including the most recent, may be outsourced using the outsourcing procedure of the subject invention.

In the preferred embodiment, if the client requests a financial document having a  
15 record date later than one year before the current date, then the request, and others like it, are grouped together and downloaded from the mainframe computer 12 to an outsourced downloading terminal 18. As above, the downloading may be at particular intervals as needed. The sequence number is determined by a sequencing terminal 20. The sequence number is then sent back to the outsourced downloading terminal 18. An outsourced document  
20 terminal 22 then creates or reproduces the desired document which is then distributed to either the client or the bank. As appreciated, two document retrieval operations, one for the bank to

retrieve financial documents having record dates earlier than or equal to one year before the current date, and another to retrieve outsourced financial documents having record dates later than one year before the current date, preferably operate simultaneously. It is to be understood that the computer terminals and the accompanying PC bases are illustrated highly schematically in Figure 1 and are not intended to be limiting in any manner. For instance, the schematic illustration of the outsourced document terminal 22 need not include a computer terminal and an accompanying PC base. Instead, the outsourced document terminal 22 is preferably some sort of printing device.

Referring to Figures 2 through 4, the method for banks to obtain electronically-stored financial documents is described in even greater detail. The request is first generated by the client. The request is then processed by the bank. The processing, retrieval and reproduction of the requested financial document is typically controlled by one interlinked computer software program. One such computer software program is a software program called Antinori Software Incorporated or ASI which is sold under the name of *INNOVASION<sup>TM</sup>* by Carreker-Antinori of Dallas, Texas. However, other frequently used software programs include *PEGA<sup>TM</sup>* and *Sterling<sup>TM</sup>*. Any of these computer software systems can provide the necessary means for implementing the discussed procedures.

The processing of the request is completed by a customer service tracking system and the computer terminal 11. The customer service tracking system assists the financial institution in receiving the request. More specifically, the customer service tracking system gives branches, customer service, and other bank departments the capability to enter, log, track,

route and monitor the status of all requests for financial documents. The customer service tracking system also provides the capability to enter, log, track, route and monitor the status of customer complaints and other customer service related items.

5 A bank employee, such as a bank teller first determines a status of the requested document. More specifically, the employee compares the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter. If the specific document parameter is a particular numerical sequence and the predetermined parameter is a predetermined numerical value, then the employee compares the particular  
10 numerical sequence of the financial document to the predetermined numerical value to determine if the particular numerical sequence is greater than, less than, or equal to the predetermined numerical value. Further, if as in the preferred embodiment, the particular numerical sequence is a record date of the financial document, and the predetermined numerical value is a pre-selected date, then the employee compares the record date of the  
15 financial document to the pre-selected date to determined if the record date is later than, earlier than, or equal to the pre-selected date.

The customer service tracking system enables a bank employee, such as a bank teller, to submit the request. More specifically, the employee utilizes the computer terminal 11 located at the bank and connected to both the off-site and on-site storage systems to access one of the  
20 storage systems in response to the comparison of the specific document parameter of the requested financial document to the predetermined parameter. For instance, when the

particular numerical sequence of the financial document is greater than the predetermined numerical value, the employee preferably utilizes the computer terminal 11 to access the off-site storage system, and when the particular numerical sequence of the financial document is less than or equal to the predetermined numerical value, the employee preferably utilizes the computer terminal 11 to access the on-site storage system. As discussed above, the documents have a numerical sequence equal to the predetermined numerical value may be stored in either the off-site or on-site storage systems.

After the computer terminal 11 is utilized to access the desired storage system, the employee manually inputs identification data of the requested financial document into the computer terminal 11. More specifically, when the particular numerical sequence of the financial document is less than or equal to the predetermined numerical value, the employee inputs identification data into a primary interface and selects the requested document. Also, the primary interface preferably provides an option for the employee to select among several different output formats. The primary interface is inter-linked with the on-site storage system.

In the preferred embodiment of the subject invention, the primary interface appears as follows and includes the identification data detailed below:

Account Number:		Prod Type:	
Account Name:		Customer Code:	
Address:			
City:	State:	Zip Code:	
Home Phone: ( )		Work Phone: ( )	
Fax: ( )			
Service Code:			
<b>For Items Posted Within A Year</b>			
Copy of Statement Only		Savings Items	
Copy of Check/Deposit Ticket		Misc (G/L, Loans, Teller, Etc)	
Check(s)/Deposit(s)<30 Items		Cash Letter Reconstruction	
Statements and<30 Items		Lockbox	
Statements and>30 Items		Legal Statement Only	
Deposit Reconstruction		Legal Statement and Items	
<b>Regardless of Posting Date</b>			
Missing Transactions		Returned Items	
Online (Backdated/Unposted) Encoding Error/Wrong Account			
<hr/>			
<b><i>EXIT FUNCTION</i></b>			

Alternatively, when the particular numerical sequence of the financial document is greater than the predetermined numerical value, the employee selects an exit function at the primary interface. The exit function distinguishes that the request is to be sent to an outsourcing third party entity. Upon selection of the exit function at the primary interface, a secondary interface, inter-linked with the exit function, is initiated. The secondary interface is inter-linked with the off-site storage system. The employee inputs identification data into the secondary interface and selects the requested document. Also, the secondary interface

preferably provides an option for the employee to select among several different output formats. Preferably, routing, or service codes will be generated automatically upon the initiation of the secondary interface and the inputting of the identification data into the secondary interface. The routing codes enable the bank to recognize that the request is being  
5 sent to the outsourced third party entity. Furthermore, the routing codes are configured to automatically forward the inputted identification data to the off-site storage system. The inputted identification data and the routing codes are forwarded into the mainframe computer  
12 introduced above for temporary storage before transfer to the off-site storage system. This temporary storage also serves to defend against unexpected power outages, computer  
10 malfunctions, and the like. In the preferred embodiment of the subject invention, the secondary interface appears as follows and includes the identification data detailed below:

Account Number:		Prod Type:	
Account Name:		Customer Code:	
Address:			
City:	State:	Zip Code:	
Home Phone: ( )		Work Phone: ( )	
Fax: ( )			
Service Code:			
<b>For Items Posted Prior to a Year</b>			
Copy of Statement Only		Savings Items	
Copy of Check/Deposit Ticket		Misc (G/L, Loans, Teller, Etc)	
Check(s)/Deposit(s)<30 Items		Cash Letter Reconstruction	
Statements and<30 Items		Lockbox	
Statements and>30 Items		Legal Statement Only	
Deposit Reconstruction		Legal Statement and Items	

Once the bank employee has inputted the necessary identification data into either the primary or secondary interface, then retrieval of the financial document can continue. Specifically, the requested financial document is retrieved as defined by the inputted identification data. Two separate document retrieval procedures are discussed hereinbelow. One document retrieval procedure is for the financial documents having a record date earlier than or equal to the pre-selected date—one year before the current date in this example. The other document retrieval procedure is for the financial documents having a record date later than the pre-selected date. As discussed above, the one year timing selected for the pre-selected date is simply shown as an example and any suitable time frame may be utilized. In fact, even all



financial document retrievals may be outsourced to the third party entity. As also discussed above, the two separate document retrieval procedures will typically operate simultaneously.

With reference to the subject example, if the record date of the financial document is earlier than or equal to one year before the current date, the remaining steps occur at the bank.

5 As discussed above, these steps are known as the back office production of the bank. The request is first categorized by a research automation system. The research automation system automates the entire workflow of a bank's research and photocopy departments by sending requests to the appropriate sequence for processing. The downloading terminal 14 serves to perform the research automation system's tasks.

10 Photocopy requests are routed to an image control system, statement requests are sent to a document retrieval system, and requests for financial adjustments are routed to an adjustment system. The document terminal 16 serves to perform these tasks. In the illustrated embodiment of the subject invention, the sample document request is for a paid check. Hence, the categorized sequence will be the image control system which handles photocopy requests.

15 Referring now to Figure 3, after the request is categorized, the request is verified for completeness and accuracy. If the request is not complete then additional data is retrieved. The additional data is retrieved by using a sequence number retrieval system and/or an all items research system. Once the request is complete and accurate, then the image reference number can be determined. That is, once the request is complete and accurate, then the requested  
20 financial document can be electronically located in the on-site storage system. The reference number may be a routing, sequence, or any other type of indicator. The reference number is

determined by the image control system. The image control system is an image retrieval and routing management system which works in conjunction with Kodak's *IMAGELINK*<sup>TM</sup> Digital Workstations (IDW). Specifically, the image control system first connects to a network node. The network node is any type of storage device as is known in the art. Preferably a Kodak network node is used. The network node drives the IDW to find the location of the image by using the reference number. Specifically, the employee is prompted to verify that the correct media is loaded in the IDW such that the IDW can locate the image. The reference number for the document is known and the document image is now verified and located.

The requested image can now be retrieved and reproduced. In other words a copy of the digitized document (the check) is created. The copy may be created by manually pulling the microfilm, microfiche, or the like and photocopying the document. The copy may also be made by printing the document from a digitized record. The photocopy of the check is then distributed to the requesting client or other end user of the financial institution. Other end users of the financial institution include, but are not limited to, other financial institutions and federal and state governments. Additional information such as a photocopy report, a statement of charges, a research report and/or a daily status report may also be produced for the requesting client, the other end user, and/or the financial institution. The document retrieval system incorporated at the bank and the method for obtaining electronically-stored financial documents from the on-site storage system is now completed.

Continuing with the subject example, if the record date of the financial document is later than one year before the current date, the automated retrieval of the financial document is

outsourced to the third party entity. To begin, a separate file is automatically generated at the bank by the input of the identification data into the secondary interface. Referring specifically to Figure 4, the routing codes direct the request created on the separate file to be routed separately to the outsourced third party entity. In the preferred embodiment of the subject invention, additional user ID's are created to allow only selected users into the secondary interface. The identification data stored in the separate file and the routing codes are downloaded to the off-site storage system for retrieval of the requested financial documents by the outsourced downloading terminal 18. Preferably, the identification data and routing codes are grouped into batches of common requests for optimum retrieval of the requested financial document by the outsourced third party entity at the off-site storage system. The downloading step may occur at any suitable predetermined interval. Preferably, the downloading will occur three times a day. The downloaded documents are known in the industry as a basket of requests.

The subject method further includes the step of creating a back-up file of the downloaded identification data and routing codes in the off-site storage system. The back-up file acts as an emergency information source in case the mainframe computer 12 at the financial institution has a catastrophic failure. In addition, the outsourced third party entity is in direct connection with the mainframe computer 12 of the bank wherein the outsourced third party entity may produce a backup directory of each database file. This database backup is an additional safe guard for the financial institution.

The downloaded identification data and routing codes are then categorized for processing in the off-site storage system. The research automation system categorizes this

information in a like fashion as discussed above. In fact, the outsourced third party entity uses the same computer software package as the financial institution such that the flow of information is optimum and not interrupted. As discussed above, the subject example request is for a paid check. Hence, the request will be categorized into the image control system and a sequence  
5 number will be determined by the sequencing terminal 20. Also, a status to update the progress of the requested financial document is provided to the financial institution.

After the request is categorized, the request, specifically the inputted identification data, is verified for completeness and accuracy. If the request is not complete or accurate, then additional data is retrieved. In a similar fashion as above, the additional data is retrieved  
10 by using the sequence number retrieval system and/or the all items research system. As appreciated, the outsourced third party entity may retrieve this information from the mainframe computer 12, via its direct line, or from its own backup database files. Once the request is complete and accurate, the image reference number can be determined. Again, as above, the reference number is determined by the image control system.

15 The requested image is then retrieved. More specifically, the requested financial document is electronically located in the off-site storage system. Additionally, the requested financial document is also reproduced after the document is electronically located in the off-site storage system by the outsourced document terminal 22. In other words, a copy of the digitized document (the check) is created. A status file is then created for the completed  
20 transaction. Also, a status of the request is sent to the financial institution wherein the institution may update their records. The status updates, as well as the information

connections, create a two way information exchange between the outsourced third party entity and the bank.

The photocopy of the check is then distributed or digitally transferred to the requesting client, the financial institution, or other end users of the financial institution. In the preferred embodiment of the subject invention, the photocopy of the request is distributed to the requesting client, etc. based on the routing codes. That is, in addition to directing the request to be separately routed to the outsourced third party entity, the routing codes also indicate an appropriate distribution for the request client or other end user. The request is now completed.

A special circumstance occurs when the record date of one portion of the client's request is earlier than or equal to one year before the current date, and when the record date of another portion of the client's request is later than one year before the current date. These types of requests are known in the industry as spanned requests. One solution is to incorporate an additional interface utilized when the employee of the bank is utilizing the computer terminal and comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less than, or equal to the predetermined parameter. If the request is a spanned request, then the request will be split into two separate requests which can be handled simultaneously. A special notation would be put onto the requests such that they may be put back together before distributing the documents to the client or other end user. Another solution simply notifies the inputting employee that two requests should be entered separately. A third solution sends the

request to the back office production at the bank wherein the back office employees notify the outsourced third party entity by a separate request to retrieve the requested financial documents.

The invention has been described in an illustrative manner, and it is to be understood that the terminology which has been used is intended to be in the nature of words of  
5 description rather than of limitation. Obviously, many modifications and variations of the present invention are possible in light of the above teachings. It is, therefore, to be understood that within the scope of the appended claims, wherein reference numerals are merely for convenience and are not to be in any way limiting, the invention may be practiced otherwise than as specifically described.

## **CLAIMS**

What is claimed is:

1. A method for a financial institution to obtain an electronically-stored financial document from an off-site storage system remotely-located from an on-site storage system wherein the financial document includes at least one specific document parameter, said  
5 method comprising the steps of:

maintaining the financial document in the off-site storage system when the specific document parameter of the financial document is greater than a predetermined parameter;

maintaining the financial document in the on-site storage system when the specific  
10 document parameter of the financial document is less than or equal to the predetermined parameter;

receiving a request for the financial document at the financial institution;

comparing the specific document parameter of the requested financial document to the predetermined parameter to determine if the specific document parameter is greater than, less  
15 than, or equal to the predetermined parameter;

utilizing a computer terminal located at the financial institution and connected to the off-site and on-site storage systems to access one of the storage systems in response to the comparison of the specific document parameter of the requested financial document to the predetermined parameter;

20 inputting identification data of the requested financial document into the computer

terminal after the desired storage system is accessed; and

retrieving the requested financial document as defined by the inputted identification data.

5           2.       A method as set forth in claim 1 wherein the specific document parameter of the financial document is a particular numerical sequence and the predetermined parameter is a predetermined numerical value.

             3.       A method as set forth in claim 2 wherein the step of comparing the specific document parameter to the predetermined parameter is further defined by comparing the  
10   particular numerical sequence of the financial document to the predetermined numerical value to determine if the particular numerical sequence is greater than, less than, or equal to the predetermined numerical value.

             4.       A method as set forth in claim 2 wherein the particular numerical sequence of the financial document is a record date of the financial document and the predetermined  
15   numerical value is a pre-selected date.

             5.       A method as set forth in claim 4 wherein the step of comparing the specific document parameter to the predetermined parameter is further defined by comparing the record date of the financial document to the pre-selected date to determined if the record date is later than, earlier than, or equal to the pre-selected date.

20           6.       A method as set forth in claim 2 wherein the step of utilizing the computer



terminal to access one of the storage systems is further defined by accessing the off-site storage system when the particular numerical sequence is greater than the predetermined numerical value and accessing the on-site storage system when the particular numerical sequence is less than or equal to the predetermined numerical value.

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7. A method as set forth in claim 6 wherein the step of inputting identification data of the requested financial document into the computer terminal is further defined by inputting identification data into a primary interface inter-linked with the on-site storage system when the particular numerical sequence of the financial document is less than or equal  
10 to the predetermined numerical value.

8. A method as set forth in claim 7 wherein the step of inputting identification data of the requested financial document into the computer terminal is further defined by selecting an exit function at the primary interface when the particular numerical sequence of the financial document is greater than the predetermined numerical value.

15

9. A method as set forth in claim 8 wherein the selection of the exit function is further defined by initiating a secondary interface inter-linked with the off-site storage system and inputting identification data into the secondary interface.

10. A method as set forth in claim 9 wherein the step of inputting identification data into the secondary interface is further defined by selecting a desired output format for the  
20 requested financial document.

11. A method as set forth in claim 9 further including the step of automatically generating routing codes upon the initiation of the secondary interface and the inputting of the identification data into the secondary interface.

12. A method as set forth in claim 11 further including the step of inter-linking the  
5 exit function with the secondary interface and configuring the routing codes to automatically forward the inputted identification data to the off-site storage system.

13. A method as set forth in claim 12 further including the step of forwarding the inputted identification data and the routing codes into a mainframe computer for temporarily  
10 storing the identification data and routing codes in the mainframe computer.

14. A method as set forth in claim 13 further including the step of downloading the stored identification data and routing codes to the off-site storage system for retrieval of the requested financial documents.

15. A method as set forth in claim 14 further including the step of grouping the  
15 stored identification data and routing codes into batches of common requests for optimum retrieval of the requested financial document.

16. A method as set forth in claim 14 further including the step of creating a back-up file of the downloaded identification data and routing codes in the off-site storage system.

17. A method as set forth in claim 14 further including the step of categorizing the  
20 downloaded identification data and routing codes for processing in the off-site storage system.

18. A method as set forth in claim 17 further including the step of providing a status of the requested financial document to update progress to the financial institution.

19. A method as set forth in claim 17 further including the step of verifying the completeness and accuracy of the inputted identification data.

5

20. A method as set forth in claim 19 wherein the step of retrieving the requested financial document is further defined by electronically locating the requested financial document in the off-site storage system.

21. A method as set forth in claim 20 wherein the step of retrieving the requested  
10 financial document is further defined by reproducing the requested financial document after the requested financial document is electronically located in the off-site storage system.

22. A method as set forth in claim 21 further including the step of distributing the reproduced financial document to an end user of the financial institution based on the routing codes.

### **ABSTRACT OF THE DISCLOSURE**

A method for a bank to obtain an electronically-stored financial document is disclosed.

The financial document includes a specific document parameter, such as a record date. The

5 bank maintains the financial document in an off-site storage system when the record date is later than a pre-selected date and in an on-site storage system when the record date is earlier than or equal to the pre-selected date. The off-site storage system is remotely-located from the on-site storage system. The bank receives a request for the financial document from a client and compares the record date to the pre-selected date to determine if the record date is later  
10 than, earlier than, or equal to the pre-selected date. In processing the request, the bank utilizes a computer terminal connected to the off-site and on-site storage systems to access one of the storage systems in response to the comparison of the record date to the pre-selected date. After accessing the appropriate storage system, the bank inputs data into the computer terminal to identify the requested financial document and then retrieves the requested financial  
15 document. The bank then reproduces the requested financial document and distributes the requested financial document to the requesting client, or some other end user of the bank.

## Electronic Patent Application Fee Transmittal

**Application Number:**

**Filing Date:**

**Title of Invention:**

METHOD OF OBTAINING AN ELECTRONICALLY-STORED FINANCIAL DOCUMENT

**First Named Inventor/Applicant Name:**

Michael D. Schulze

**Filer:**

Samuel Jeffrey Haidle/Julie Barber

**Attorney Docket Number:**

060419.00009

Filed as Large Entity

### Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
<b>Basic Filing:</b>				
Utility application filing	1011	1	330	330
Utility Search Fee	1111	1	540	540
Utility Examination Fee	1311	1	220	220

**Pages:**

**Claims:**

**Miscellaneous-Filing:**

**Petition:**

**Patent-Appeals-and-Interference:**

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				1090

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	5563223
<b>Application Number:</b>	12489087
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1910
<b>Title of Invention:</b>	METHOD OF OBTAINING AN ELECTRONICALLY-STORED FINANCIAL DOCUMENT
<b>First Named Inventor/Applicant Name:</b>	Michael D. Schulze
<b>Customer Number:</b>	27305
<b>Filer:</b>	Samuel Jeffrey Haidle/Julie Barber
<b>Filer Authorized By:</b>	Samuel Jeffrey Haidle
<b>Attorney Docket Number:</b>	060419.00009
<b>Receipt Date:</b>	22-JUN-2009
<b>Filing Date:</b>	
<b>Time Stamp:</b>	17:00:36
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 1090
RAM confirmation Number	4296
Deposit Account	082789
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 1.19 (Document supply fees)

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

## File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Application Data Sheet	sb0014_fill.pdf	967846	no	5
			82e7c859d6b84d5d91bbc5a6443a56d62244b573		
Warnings:					
Information:					
2	Drawings-only black and white line drawings	Drawings.pdf	112213	no	4
			1711e433591ef35ef922b281f86af365c7c3050f		
Warnings:					
Information:					
3	Preliminary Amendment	PreliminaryAmendment.pdf	34831	no	7
			0a66bf0227ee8ba46d0136bc7a466f5979b97816		
Warnings:					
Information:					
4	Oath or Declaration filed	Declaration.pdf	128673	no	4
			54d6a775b41ec0235439ef7e24d2d75f9f731740		
Warnings:					
Information:					
5		ContinuationPatentApplication.pdf	119051	yes	29
			aad938cc8dcf4bf7c88816b5a99f3d0d75ad171		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Specification		1	23	
	Claims		24	28	
	Abstract		29	29	
Warnings:					
Information:					
6	Fee Worksheet (PTO-875)	fee-info.pdf	33200	no	2
			f2b3349e748b796cd26e757138f7ded9f62317cc		
Warnings:					
Information:					



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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

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

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	5563223
<b>Application Number:</b>	12489087
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	1910
<b>Title of Invention:</b>	METHOD OF OBTAINING AN ELECTRONICALLY-STORED FINANCIAL DOCUMENT
<b>First Named Inventor/Applicant Name:</b>	Michael D. Schulze
<b>Customer Number:</b>	27305
<b>Filer:</b>	Samuel Jeffrey Haidle/Julie Barber
<b>Filer Authorized By:</b>	Samuel Jeffrey Haidle
<b>Attorney Docket Number:</b>	060419.00009
<b>Receipt Date:</b>	22-JUN-2009
<b>Filing Date:</b>	
<b>Time Stamp:</b>	17:00:36
<b>Application Type:</b>	Utility under 35 USC 111(a)

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RAM confirmation Number	4296
Deposit Account	082789
Authorized User	

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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	Application Data Sheet	sb0014_fill.pdf	967846	no	5
			82e7c859d6b84d5d91bbc5a6443a56d62244b573		
Warnings:					
Information:					
2	Drawings-only black and white line drawings	Drawings.pdf	112213	no	4
			1711e433591ef35ef922b281f86af365c7c3050f		
Warnings:					
Information:					
3	Preliminary Amendment	PreliminaryAmendment.pdf	34831	no	7
			0a66bf0227ee8ba46d0136bc7a466f5979b97816		
Warnings:					
Information:					
4	Oath or Declaration filed	Declaration.pdf	128673	no	4
			54d6a775b41ec0235439ef7e24d2d75f9f731740		
Warnings:					
Information:					
5		ContinuationPatentApplication.pdf	119051	yes	29
			aad938cc8dcf4bf7c88816b5a99f3d0d75add171		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Specification		1	23	
	Claims		24	28	
	Abstract		29	29	
Warnings:					
Information:					
6	Fee Worksheet (PTO-875)	fee-info.pdf	33200	no	2
			f2b3349e748b796cd26e757138f7ded9f62317cc		
Warnings:					
Information:					

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If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

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

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

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	060419.00009
		Application Number	
Title of Invention	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS		
<p>The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76.</p> <p>This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.</p>			

## Secrecy Order 37 CFR 5.2

- ☐ Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

## Applicant Information:

<b>Applicant 1</b>						<a href="#">Remove</a>	
<b>Applicant Authority</b>		<input checked="" type="radio"/> Inventor		<input type="radio"/> Legal Representative under 35 U.S.C. 117		<input type="radio"/> Party of Interest under 35 U.S.C. 118	
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>		<b>Suffix</b>		
	Michael	D.	Schulze				
<b>Residence Information (Select One)</b> <input checked="" type="radio"/> US Residency <input type="radio"/> Non US Residency <input type="radio"/> Active US Military Service							
<b>City</b>	Troy	<b>State/Province</b>	MI	<b>Country of Residence<sup>i</sup></b>	US		
<b>Citizenship under 37 CFR 1.41(b)<sup>i</sup></b>		US					
<b>Mailing Address of Applicant:</b>							
<b>Address 1</b>		1607 Kirts					
<b>Address 2</b>							
<b>City</b>	Troy	<b>State/Province</b>	MI				
<b>Postal Code</b>	48084	<b>Country<sup>i</sup></b>	US				
<b>Applicant 2</b>						<a href="#">Remove</a>	
<b>Applicant Authority</b>		<input checked="" type="radio"/> Inventor		<input type="radio"/> Legal Representative under 35 U.S.C. 117		<input type="radio"/> Party of Interest under 35 U.S.C. 118	
<b>Prefix</b>	<b>Given Name</b>	<b>Middle Name</b>	<b>Family Name</b>		<b>Suffix</b>		
	Richard	J.	Gagnon				
<b>Residence Information (Select One)</b> <input checked="" type="radio"/> US Residency <input type="radio"/> Non US Residency <input type="radio"/> Active US Military Service							
<b>City</b>	Grosse Pointe Farms	<b>State/Province</b>	MI	<b>Country of Residence<sup>i</sup></b>	US		
<b>Citizenship under 37 CFR 1.41(b)<sup>i</sup></b>		US					
<b>Mailing Address of Applicant:</b>							
<b>Address 1</b>		69 Touraine Road					
<b>Address 2</b>							
<b>City</b>	Grosse Pointe Farms	<b>State/Province</b>	MI				
<b>Postal Code</b>	48236	<b>Country<sup>i</sup></b>	US				
<p>All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the <b>Add</b> button.</p>							
<a href="#">Add</a>							

## Correspondence Information:

Enter either Customer Number or complete the Correspondence Information section below.  
For further information see 37 CFR 1.33(a).

- ☐ An Address is being provided for the correspondence Information of this application.

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	060419.00009	
		Application Number		
Title of Invention	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS			
Customer Number	27305			
Email Address	ipdocket@h2law.com		<input type="button" value="Add Email"/>	<input type="button" value="Remove Email"/>

## Application Information:

Title of the Invention	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS			
Attorney Docket Number	060419.00009	Small Entity Status Claimed <input type="checkbox"/>		
Application Type	Nonprovisional			
Subject Matter	Utility			
Suggested Class (if any)		Sub Class (if any)		
Suggested Technology Center (if any)				
Total Number of Drawing Sheets (if any)	4	Suggested Figure for Publication (if any)		

## Publication Information:

<input type="checkbox"/>	Request Early Publication (Fee required at time of Request 37 CFR 1.219)
<input type="checkbox"/>	<b>Request Not to Publish.</b> I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application <b>has not and will not</b> be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

## Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Enter either Customer Number or complete the Representative Name section below. If both sections are completed the Customer Number will be used for the Representative Information during processing.			
Please Select One:	<input checked="" type="radio"/> Customer Number	<input type="radio"/> US Patent Practitioner	<input type="radio"/> Limited Recognition (37 CFR 11.9)
Customer Number	27305		

## Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78(a)(2) or CFR 1.78(a)(4), and need not otherwise be made part of the specification.			
Prior Application Status	Pending	<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
	Continuation of	11202790	2005-08-12
Prior Application Status	Pending	<input type="button" value="Remove"/>	
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)
11202790	Continuation of	10104541	2002-03-22

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number		060419.00009	
		Application Number			
Title of Invention		METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS			
Prior Application Status		Patented		<a href="#">Remove</a>	
Application Number	Continuity Type	Prior Application Number	Filing Date (YYYY-MM-DD)	Patent Number	Issue Date (YYYY-MM-DD)
10104541	Continuation of	09548490	2000-04-13	6963866	2005-11-08
Prior Application Status		Expired		<a href="#">Remove</a>	
Application Number		Continuity Type		Prior Application Number	Filing Date (YYYY-MM-DD)
09548490		non provisional of		60129021	1999-04-13
Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the <b>Add</b> button.					<a href="#">Add</a>

### Foreign Priority Information:

This section allows for the applicant to claim benefit of foreign priority and to identify any prior foreign application for which priority is not claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(a).			
			<a href="#">Remove</a>
Application Number	Country <sup>i</sup>	Parent Filing Date (YYYY-MM-DD)	Priority Claimed
			<input type="radio"/> Yes <input checked="" type="radio"/> No
Additional Foreign Priority Data may be generated within this form by selecting the <b>Add</b> button.			<a href="#">Add</a>

### Assignee Information:

Providing this information in the application data sheet does not substitute for compliance with any requirement of part 3 of Title 37 of the CFR to have an assignment recorded in the Office.				
<b>Assignee 1</b>				<a href="#">Remove</a>
If the Assignee is an Organization check here. <input type="checkbox"/>				
Prefix	Given Name	Middle Name	Family Name	Suffix
<b>Mailing Address Information:</b>				
Address 1				
Address 2				
City		State/Province		
Country <sup>i</sup>		Postal Code		
Phone Number		Fax Number		
Email Address				
Additional Assignee Data may be generated within this form by selecting the <b>Add</b> button.				<a href="#">Add</a>

### Signature:

A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 10.18. Please see 37 CFR 1.4(d) for the form of the signature.			
Signature	/Samuel J. Haidle/	Date (YYYY-MM-DD)	2009-06-22

<b>Application Data Sheet 37 CFR 1.76</b>		Attorney Docket Number	060419.00009		
		Application Number			
Title of Invention	METHOD OF OBTAINING ELECTRONICALLY-STORED FINANCIAL DOCUMENTS				
First Name	Samuel	Last Name	Haidle	Registration Number	42619

This collection of information is required by 37 CFR 1.76. 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 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



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

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

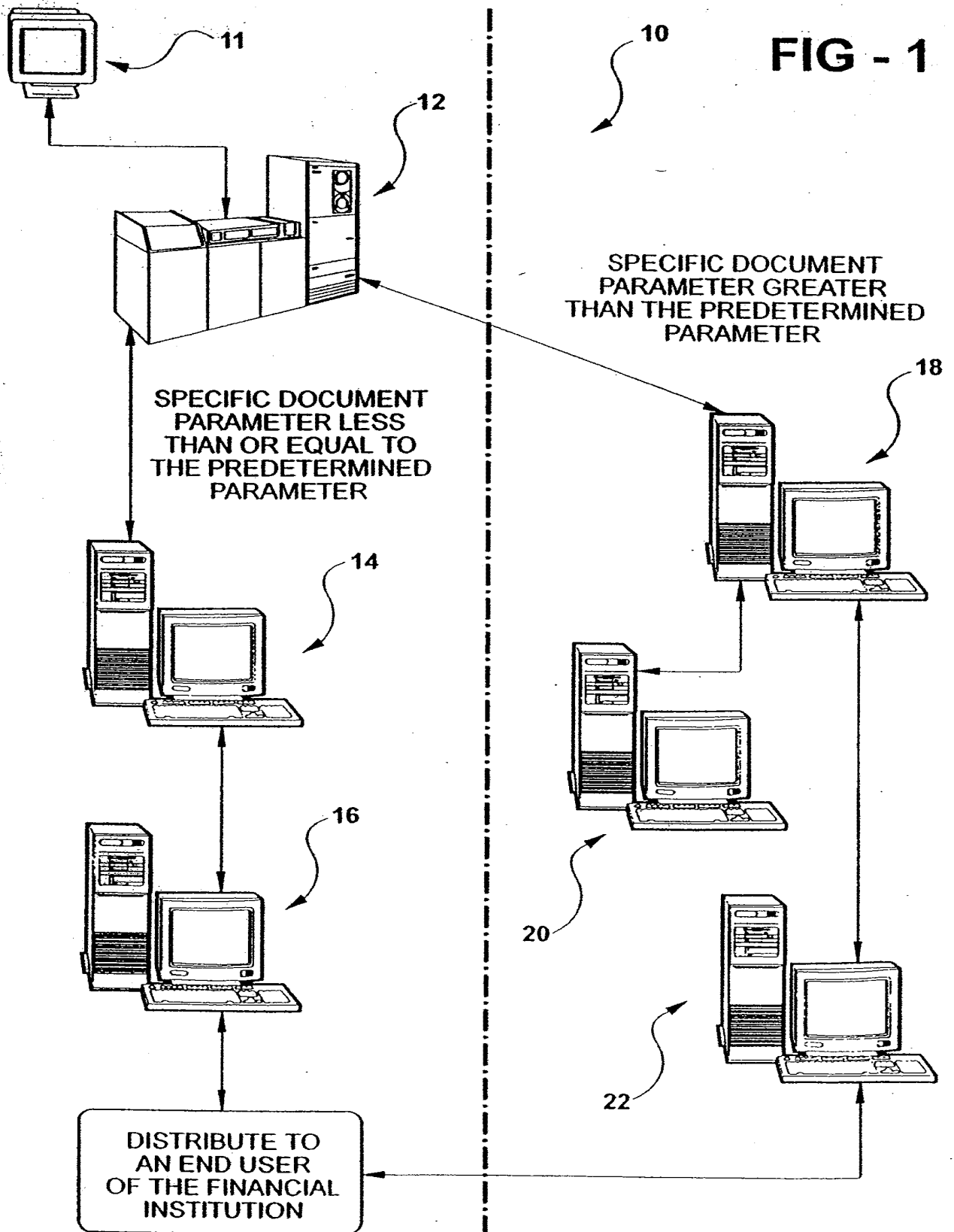
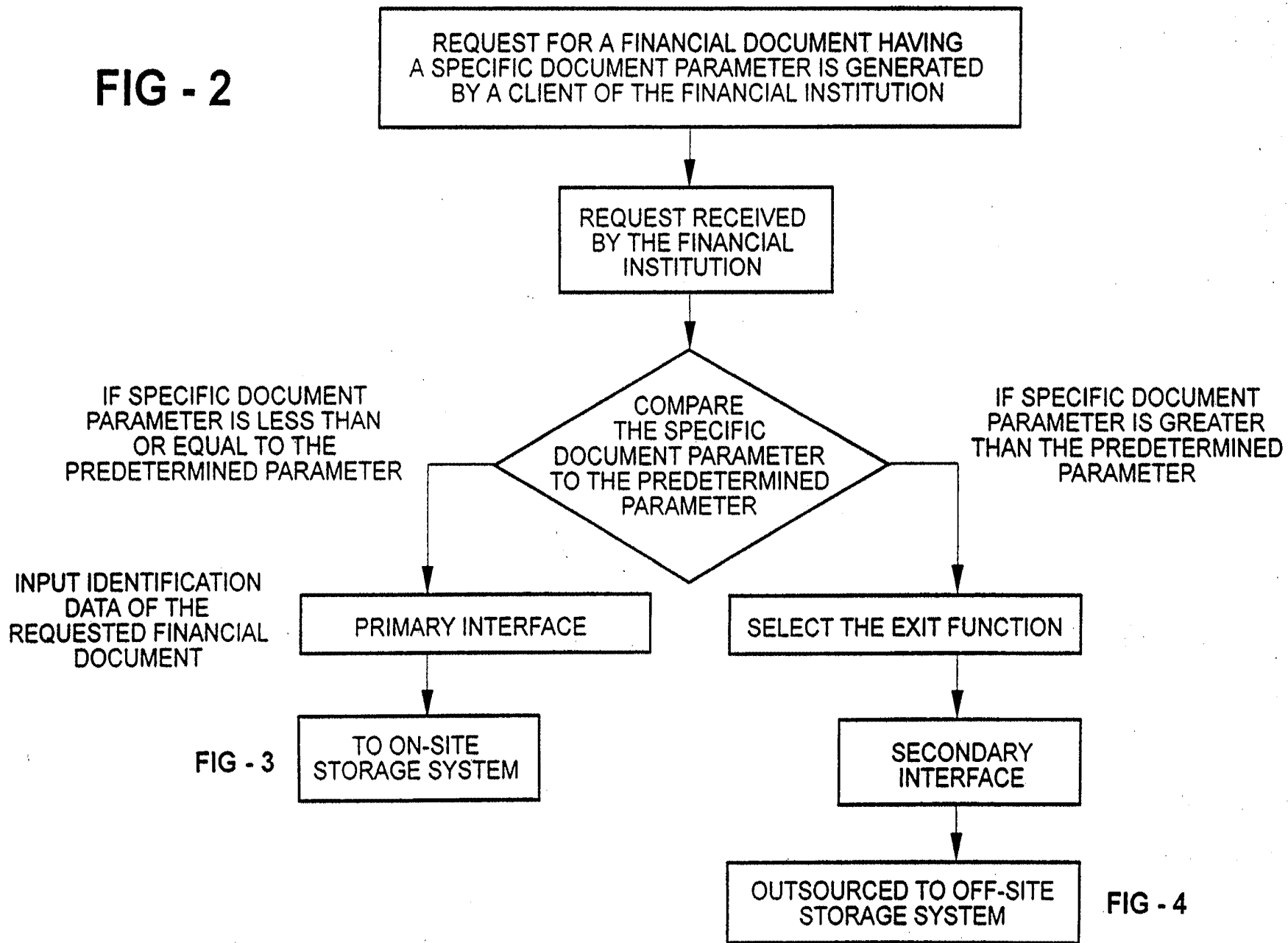
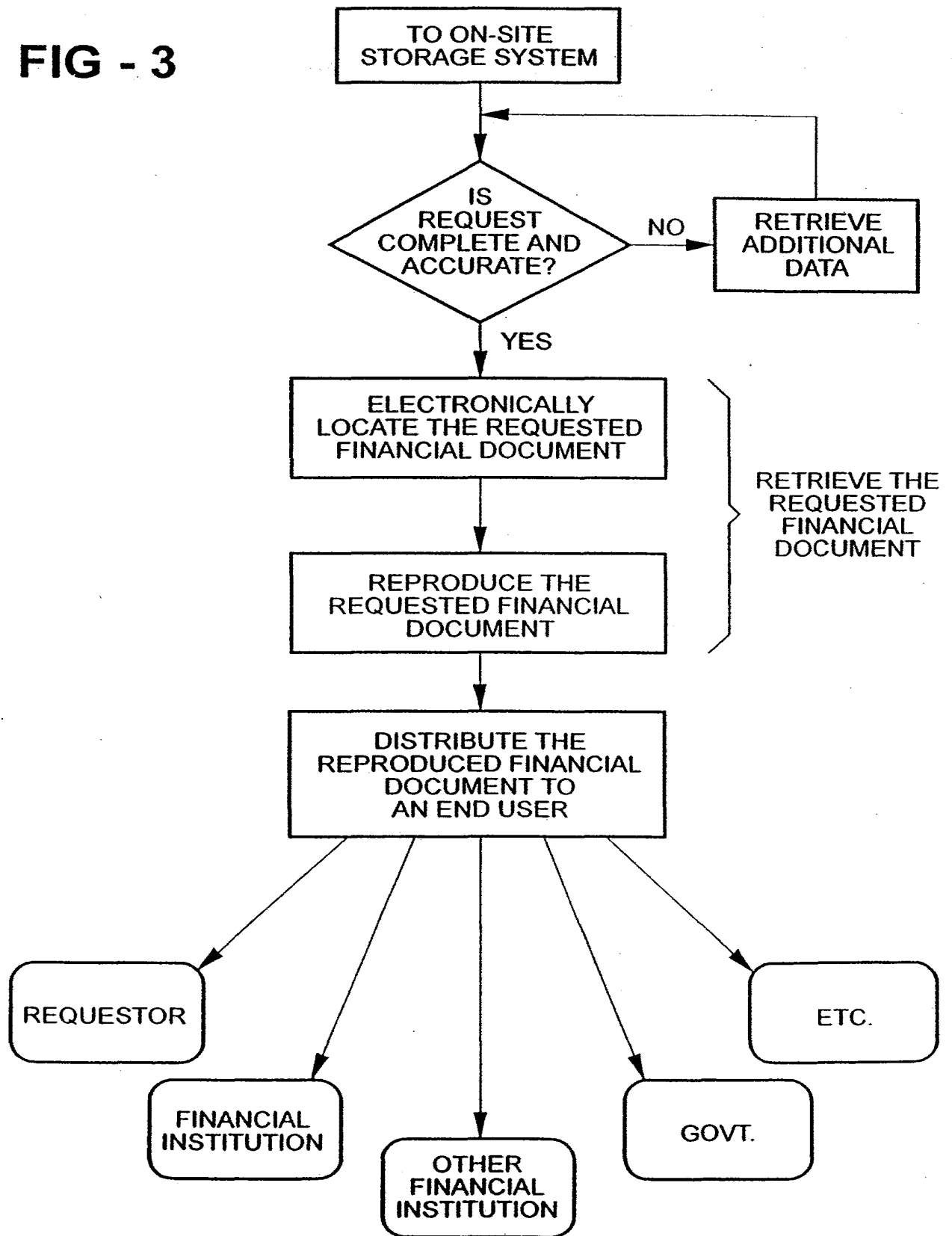


FIG - 2



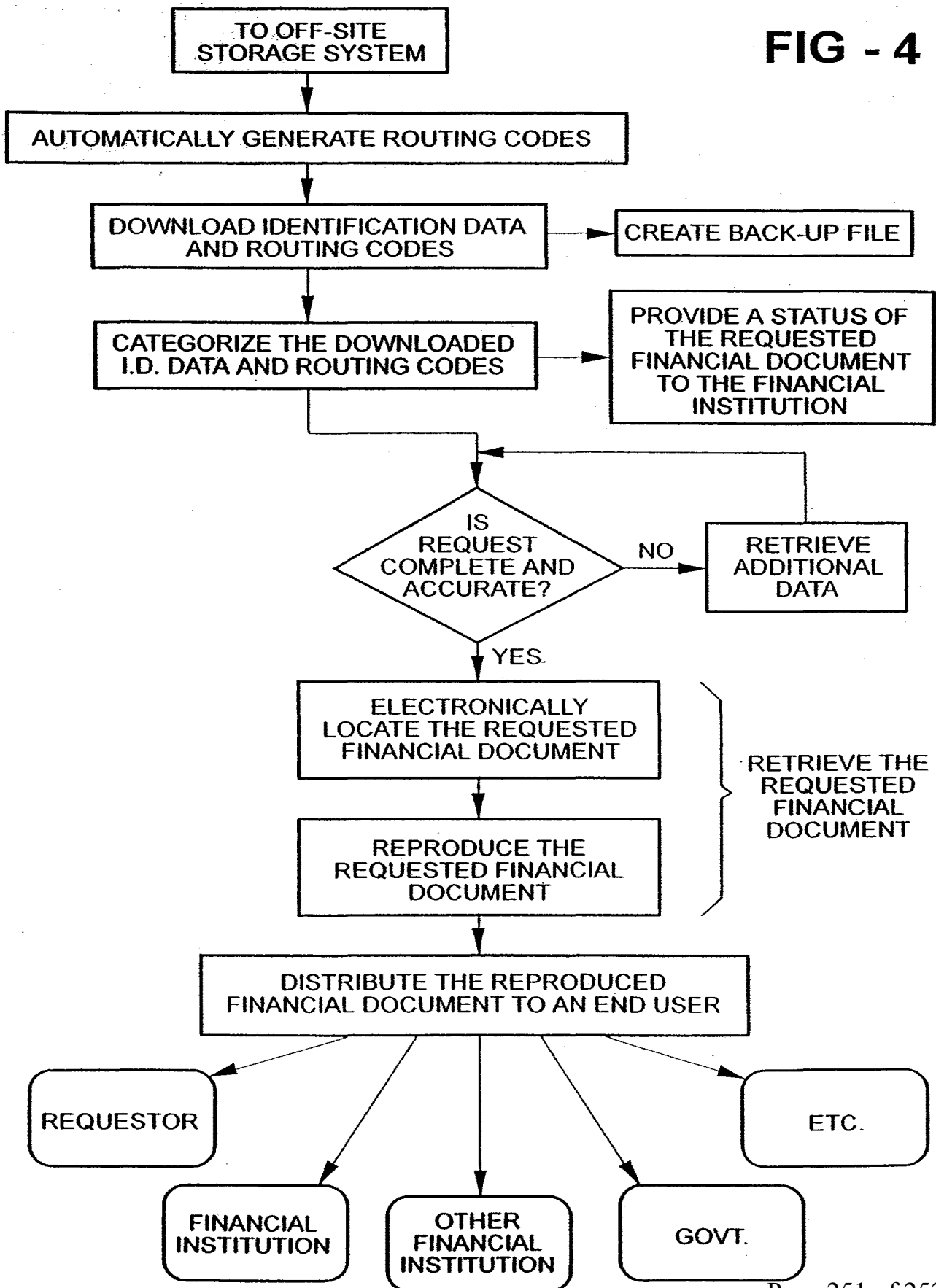
( ON-SITE STORAGE SYSTEM )

**FIG - 3**



# ( OFF-SITE STORAGE SYSTEM )

FIG - 4



Filing Date: 06/22/09

Approved for use through 7/31/2006. OMB 0651-0032

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

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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875					Application or Docket Number <b>12/489,087</b>	
<b>APPLICATION AS FILED – PART I</b>						
(Column 1)		(Column 2)		SMALL ENTITY		OR
OTHER THAN SMALL ENTITY						
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	RATE (\$)	FEE (\$)
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A		N/A	330
SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A		N/A	540
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A		N/A	220
TOTAL CLAIMS (37 CFR 1.16(i))	12	minus 20 =	x\$26		x\$52	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	2	minus 3 = *	x\$110		x\$220	
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$260 (\$130 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR					
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))			195		390	
			TOTAL		TOTAL	1090
* If the difference in column 1 is less than zero, enter "0" in column 2.						
<b>APPLICATION AS AMENDED – PART II</b>						
(Column 1)		(Column 2)		(Column 3)		
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	SMALL ENTITY		OR
	Total (37 CFR 1.16(i))	*	Minus **	=	RATE (\$)	ADDITIONAL FEE (\$)
	Independent (37 CFR 1.16(h))	*	Minus ***	=	X =	
	Application Size Fee (37 CFR 1.16(s))			X =		
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))			N/A		
			TOTAL ADD'T FEE		TOTAL ADD'T FEE	
(Column 1)		(Column 2)		(Column 3)		
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	SMALL ENTITY		OR
	Total (37 CFR 1.16(i))	*	Minus **	=	RATE (\$)	ADDITIONAL FEE (\$)
	Independent (37 CFR 1.16(h))	*	Minus ***	=	X =	
	Application Size Fee (37 CFR 1.16(s))			X =		
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))			N/A		
			TOTAL ADD'T FEE		TOTAL ADD'T FEE	
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.						

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