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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
90/006,831	10/30/2003	5838906		9718
30080	7590 02/26/200	•	EXAM	INER
LAW OFFI P.O. BOX 56	CE OF CHARLES E	. KRUEGER	CALDW	
WALNUT C	REEK, CA 94596-16	507	ART UNIT	PAPER NUMBER
			2/57 DATE MAILED: 02/26/2004	9

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

PTO-90C (Rev. 10/03)

i		Control No. 90/006,831	Patent Under F 5838906	eexamination
,	Office Action in Ex Parte Reexamination	Examiner Andrew Caldwell	Art Unit 2151	
	The MAILING DATE of this communication appe	ears on the cover sheet with t	he correspondence ac	ldress
	a⊠ Responsive to the communication(s) filed on <u>January 5 &</u> c⊠ A statement under 37 CFR 1.530 has not been received f	30, 2004 . b ☐ This ac	tion is made FINAL.	
	A shortened statutory period for response to this action is set to Failure to respond within the period for response will result in to certificate in accordance with this action. 37 CFR 1.550(d). EX If the period for response specified above is less than thirty (30 will be considered timely.	ermination of the proceeding an	d issuance of an <i>ex par</i> VERNED BY 37 CFR 1	te reexamination
	Part I THE FOLLOWING ATTACHMENT(S) ARE PART OF	THIS ACTION:		
	1. Notice of References Cited by Examiner, PTO-89	2. 3. 🔲 Interview Su	ımmary, PTO-474.	
	2. Information Disclosure Statement, PTO-1449.	4. 🔲		
ļ	Part II SUMMARY OF ACTION			
	1a. 🔀 Claims <u>1-10</u> are subject to reexamination.			
	1b. Claims are not subject to reexamination.			
1	2. Claims have been canceled in the present	reexamination proceeding.		
	3. Claims are patentable and/or confirmed.			
	4. Claims <u>1-10</u> are rejected.			
	5. Claims are objected to.	•		
	6. ⊨⊠ The drawings, filed on <u>30 October 2003</u> are accep			
	7. The proposed drawing correction, filed onh)	*
	8 ☐ Acknowledgment is made of the priority claim und a) ☐ All b) ☐ Some* c) ☐ None of the certifie			
	a) All b) Some* c) None of the certified	ed copies have		•
			,	
	2∐ not been received. 3☐ been filed in Application No			
	4 been filed in reexamination Control No			-
	5 been received by the International Bureau in			
	* See the attached detailed Office action for a list of		Н	
	 Since the proceeding appears to be in condition for matters, prosecution as to the merits is closed in a 11, 453 O.G. 213. 	or issuance of an ex parte reexa	mination certificate evo	ept for formal 35 C.D.
	10. Other:			
				
U.S	c: Requester (if third party requester) Patent and Trademark Office		· · · · · · · · · · · · · · · · · · ·	
PΤ	OL-466 (Rev. 04-01) Office Action in Ex	Parte Reexamination	Par	t of Paper No. 9

1 Information Disclosure Statement

The Earlier Viola Source Code (dated May 12, 1993) and the Later Viola Source 2 Code (dated May 27, 1993) that was provided on a CD accompanying the information 3 disclosure statement filed on January 5, 2004 (paper no. 6) has not been considered. 4 5 Claims in an ex parte reexamination proceeding are examined on the basis of patents or printed publications. 37 CFR 1.552(a). The Applicants have neither admitted 6 that the Viola source code is prior art nor provided any evidence that the Viola source 7 code is a publication. The Applicants have merely pointed to a ruling of a U.S. District 8 ©Court that raises questions as to whether the Viola source code was publicly available. 9 Accordingly, the information has been placed in the application file but has not been 10 considered as to the merits. 11 12 13 Claim Rejections - 35 USC § 103 N The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all 14 bviousness rejections set forth in this Office action: 15 16 17 18 (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the 19 20 invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary.

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1 The Prior Art as Applied to Claims 1-3 and 6-8: 2 3 Berners-Lee, T., et al., Hypertext Markup Language (HTML), 4 Internet Draft, IETF, pages 1-40, (June 1993). 5 6 Raggett, D., HTML+ (Hypertext Markup Language), (July 23, 1993). 7 Hereinafter referred to as "Raggett L" 8 9 Raggett, D., Posting of Dave Raggett, dsr@hplb.hpl.hp.com towww-talk@nxocOl.cern.ch (W-WW-TALK public mailing list), 10 11 (Posted June 14, 1993). Hereinafter referred to as "Raggett II." 12 13 Claims 1-3 and 6-8 are rejected under 35 U.S.C. 103(a) as being unpatentable 14 15 over the admitted prior art in the `906 patent and the newly cited teachings of Berners-Lee, Raggett I, and Raggett II. 17 18 Regarding claim 1 of the '906 patent, the admitted prior art teaches a portion of the claimed invention of claim 1 of the `906 patent, the admitted prior art teaches a portion of claim 1 of the `906 patent, namely a method comprising: 19 20 "providing at least one client workstation" (See USP `906: Figure 2, element 21 130; Col. 4, Lines 32-40 which indicate that "small computer" 130 can be a 22 23 client) "and one network server" (See USP `906: Figure 2, element 132) T "coupled to a network environment" (See USP `906: Figure 2, element 100 24 Internet), "wherein the network environment is a distributed hypermedia 25 نست نست 26 environment" (See USP '906: Col. 5 lines 24-25); 27 "executing, at the client workstation, a browser application" (See USP '906: Col. 28 3 lines 9-13), "that parses a first distributed hypermedia document to identify text 29 formats included in the distributed hypermedia document and for responding to 30 predetermined text formats to initiate processing specified by the text formats" 31 (See USP `906: Col. 1, lines 1-Col. 3, line 51, with particular emphasis on 32 Col. 2, line 63-Col. 3, line 25 showing a browser executing on client that 33 parses and then displays a hypermedia document; where the user clicks on 34 a link/image icon causing the browser to invoke a viewer application 35 displaying the image in a separate window); and 36 37 "utilizing the browser to display, on the client workstation, at least a portion of a 38 39 first hypermedia document received over the network from the server, wherein

the portion of the first hypermedia document is displayed within a first

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browser-controlled window on the client workstation." (See USP '906: Figure 1, element 10 as hypermedia document displayed on client; Col. 2 lines 28-36).

While the admitted prior art describes a method in which a hypermedia page (See USP `906: Figure 1, element 10) is displayed in a browser (See USP `906: Col. 1, lines 1-Col. 3, line 51, particularly Col. 2, line 63-Col. 3, line 25), the admitted prior art does not teach, as in claim 1 of the '906 patent, the particular steps used by the browser in order to process and display the hypermedia page. To summarize, the admitted prior art does not teach a method wherein the browser application parses a first distributed hypermedia document to identify text formats included in the distributed hypermedia document and for responding to predetermined text formats to initiate processing specified by the text formats.

Nevertheless, Bemers-Lee teaches that HTML browsers parse HTML. (See Berners-Lee at p. 2 as printed - paragraph starting; "Implentations of ...") The parsing is used to identify characters interpreted as markup elements, such as the and to a various tags (see Berners-Lee at page 5) in the structured text example, and to associate text with various tags. These tags correspond to the claimed "text formats." 20 Bemers-Lee also teaches that the browser processes the HTML by rendering it into a 21 gdisplayable form. (See Berners-Lee at p. 3, definition of rendering). Berners-Lee 22 Jalso discusses how specific markup elements are to be rendered. (See for example, 23 Berners-Lee at p. 14, typical rendering of address tag; p.15 typical rendering of 24 block quote). Berners-Lee therefore teaches a method in which a browser application 25 parses a first distributed hypermedia document to identify text formats included in the distributed hypermedia document and for responding to predetermined text formats to initiate processing specified by the text formats.

It would have been obvious to a skilled artisan to combine (1) the teachings of Berners-Lee regarding the processing of HTML documents performed by a browser, with (2) the HTML browser of the admitted prior art in light of the statement made by the admitted prior art that its hypermedia system is designed to handle hypermedia documents according the HTML markup standard. (See USP '906: Col. 5, lines 28-31).

Regarding the processing of the claimed "text formats," patentee acknowledges that the prior art teaches a method wherein a browser invokes an external viewer program to process various file formats not handled directly by the browser. (See USP '906: Col. 3, lines 13-20). Specifically, the prior art describes an example wherein the file format not handled by the browser is an image file in ".TIF" or ".GIF" format and the browser invokes an image viewer program to display the full image in a separate window. (See USP '906: Col. 3 lines 13-20). While the prior art teaches that certain tags may cause the browser to invoke external applications to process particular file formats, these applications do not display their data in the browser window. Therefore,

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the admitted prior art does not teach the portion of the method of claim 1 of the `906 patent wherein:

"Said first distributed hypermedia document includes an embed text format, located at a first location in said first distributed hypermedia document, that specifies the location of at least a portion of an object external to the first distributed hypermedia document;

Said object has type information associated with it utilized by said browser to identify and locate an executable application external to the first distributed hypermedia document, and

Said embed text format is parsed by said browser to automatically invoke said executable application to execute on said client workstation in order to display said object and enable interactive processing of said object within a display area created at said first location within the portion of said first distributed hypermedia document being displayed in said first browser-controlled window."

However, Raggett I teaches various extensions to the HTML specification including an EMBED tag that provides a simple form of object level embedding. (See Raggett I: p. 6 "Embedded data in an external format" and p. 26 embedded.) For example, Ragget I teaches an HTML document including an EMBED tag that identifies embedded data in a foreign format. (See Raggett 1: p. 6 <embed ... > and <embed> tags.) This embedded data is an object that cannot be directly processed by the browser. The foreign format data, or object, is embedded in the HTML document by placing it between the <embed ... > and </embed> tags. (See Raggett 1: p. 6 "2 pi int sin omega t)dt" as an example of embedded foreign data.) Raggett I describes the example of an embedded equation, where the browser calls a program for rendering an equation by providing ascii character information to an external program and receives a pixmap image of the equation from the external program that is then displayed in the browser window. (See Raggett 1: p. 6, particularly the last ten lines.) Raggett I therefore teaches "a first distributed hypermedia document that includes an embed text: format, located at a first location in said first distributed hypermedia document," that is used to identify embedded foreign data. Raggett I also teaches that the embed tags include a type attribute specifying a registered MIME content type that is used by the browser to identify the appropriate external filter to use to render the embedded foreign data. (See Raggett 1: p. 6 type="application/eqn".) Raggett I thus teaches a method wherein "the object has type information associated with it utilized by said browser to identify and locate: an executable application external to the first distributed hypermedia document and wherein said embed text format is parsed by said browser to automatically invoke said executable application to execute on said client workstation in order to display said object." Although Raggett I describes an example where the browser calls a program for rendering an equation in ASCII character format into a pixmap image of the equation, Raggett I does also recognize that more sophisticated

browsers can link to external editors for creating or revising embedded data. These external editors that create or revise the embedded data would work in the same way as the simple example of providing equation support. (See Raggett 1: p. 6.) However, the ability to create and revise the embedded data allows the user to interactively process the data within the browser window. Raggett I therefore teaches a method which "enables interactive processing of said object within a display area created at said first location within the portion of said first distributed hypermedia document being displayed in said first browser-controlled window."

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> It would have been obvious to a skilled artisan to combine (1) Raggett I's teachings regarding extensions to the HTML standard (i.e., the proposed HTML+ Specification) allowing the embedding of data in foreign formats within web pages with (2) the method as taught by patentee's admitted prior art. This combination would have been obvious based on Raggett I's acknowledgment that this particular extension to HTML is advantageous and it represents a "substantial improvement." (See Raggett 1: p. 1 2nd paragraph of abstract).

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The combination of patentee's admitted prior art in view of Berners-Lee and Raggett 19 🗐 I does not explicitly teach a system wherein "the embed text format specifies the 20 location of at least a portion of an object external to the first distributed hypermedia document." Raggett I describes a method in which the object itself is embedded in the HTML document. (See Raggett I: p. 6 embedded data in an external format - see 23 sexample on the last two lines of the page where the object, the text representation 24 of the equation, is within the embed tags).

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Raggett II, though, teaches putting the foreign data in a separate file and then 27 Freferencing that file by a URL in the HTML+ embed tag. (See Raggett II: last line.) It is 28 thus argued that Raggett II describes a system wherein "the embed text format specifies 29 the location of at least a portion of an object external to the first distributed hypermedia 30 # document."

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It would have been readily apparent to a skilled artisan to modify the method discussed above, combining the teachings of the admitted prior art in view of Berners-Lee and Raggett I, by further substituting a URL which references a separate file containing foreign data for the embedded foreign data within the hypermedia document of the combination. Such a further modification would have been apparent based on Raggett II's explicit suggestion to make such a substitution. (See Raggett II: last line.)

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Regarding claim 2 of the `906 patent, Raggett II teaches a method wherein "said executable application is a controllable application" and the method further comprises the step of "interactively controlling said controllable application on said client workstation via interprocess communications between said browser and said controllable application." (It is noted that Raggett II functions could be implemented as

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separate programs driven via pipes and stdin/stdout or as dynamically linked library modules.)

Regarding claim 3 of the `906 patent, the combination of patentee's admitted prior art in view of Berners-Lee, Raggett I, and Raggett II teaches the invention substantially as claimed. (See the rejection of claim 2, above.) However, the combination of the patentee's prior art in view of Berners-Lee, Raggett I, and Raggett II does not explicitly teach the additional limitation of claim 3. Nevertheless, Raggett I does teach that sophisticated browsers can link to external editors for creating or revising embedded data. (See Raggett I: p. 6.) The fact that the creating and revising is performed by an external editor would suggest to a skilled artisan that the creating and revising is an interactive process controlled by the browser user. The use of an editor to create or revise an object suggests a continued interaction between the browser and the external editor during the editing process. A skilled artisan would therefore reasonably infer that the combination of the admitted prior art in view of Berners-Lee, Raggett I, and Raggett Il teaches a method wherein "communications to interactively control said controllable application continue to be exchanged between the controllable application" (i.e., the external editor) and the browser even after the controllable application program has 19 been launched.

Regarding claims 6-8 of the '906 patent, such claims are computer program product 21 重 22 gclaims which correspond to method claims 1-3, respectively. Since they do not teach or 23 define above the information in the corresponding method claims, the discussion and 24 application, supra, of the admitted prior art in combination with the newly cited 25 references of BernersLee, Raggett I, and Raggett II to method claims 1-3 is applied to Claims 6-8, respectively.

The Prior Art as Applied to Claims 4-5 and 9-10:

Reichard, K., et al., X11R6: the Rumored Changes (Release 6 of the X Window System), Unix Review, vol. 11, no. 5, p. 101(5), pp. 1-4 as printed, May 1993.

Cox, B., Object Oriented Programming: An Evolutionary Approach, Addison-Wesley, pp. 1-12, 1987.

Claims 4-5 and 9-10 are rejected under 35 U.S.C. 103(a) as being unpatentable over the combination of the admitted prior art in the `906 patent in view of Berners-Lee,

- 1 Raggett I, and Raggett II, as applied to claims 3 and 8 above, and further in view of
- 2 Reichard and Cox.

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Regarding claim 4, the combination of the admitted prior art in view of Berners-Lee, Raggett I, and Raggett II teaches the invention substantially as claimed. (See the rejection of claim 3, above.) The combination also describes a method in which the browser is implemented to run on an X Windows platform (See USP '906: Col. 8 lines 10-16). The combination teaches that the controllable applications (i.e., external editors) for creating and revising embedded data executes on the same machine as the browser (See USP '906: Col. 3 lines 15-16; Col. 6 lines 34-39.) Since the examples of external editors all produce output directed to the computer's graphical user interface (See Raggett I: p. 6 listing the rendering of mathematical equations and simple drawings using TeX and eqn as examples), it would have been obvious to a skilled artisan that the combination's controllable application would be implemented 15 to run on an X Windows platform as well.

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However, the combination of the admitted prior art in view of Berners-Lee. 18 🛱 Raggett I, and Raggett II does not explicitly teach the additional limitations of claim 4.

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Nevertheless, Reichard teaches an extension to the X Windows system, the 21 Fresco toolkit, that allows the linking and embedding of object components, where the objects can be distributed between processes on a single machine or across a network on many machines. (See Reichard: p. 2 first two paragraphs in Objects Everywhere section.)

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It would have been obvious to one of ordinary skill in the art at the time the invention was made to implement the browser and controllable application (i.e, external geditor) of the combination of the admitted prior art in view of Berners-Lee, Raggett I, and Raggett II's using Reichard's distributed object toolkit because of Cox's teaching that applying object oriented techniques to software makes the software more tolerant to change (See Cox: p. 8 last three lines.)

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Once the browser and the controllable application both support distributed objects, it would have been obvious to move the controllable application (i.e., external editor) to a remote machine across the network based on Reichard's explicit suggestion. (See Reichard: p. 2 first paragraph in Objects Everywhere section.) The combination of the admitted prior art in view of Berners-Lee, Raggett I, Raggett II, Reichard, and Cox therefore teaches a method wherein additional instructions for controlling said controllable application reside on a network server (i.e., a remote machine across the network).

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As to the remaining steps introduced in the claim, these steps all flow logically from the movement of the controllable application from the client workstation to a network server. The step of issuing, from the client workstation, one or more commands to the network server flows logically from the fact that user editing commands entered at the browser computer must be transmitted from the client workstation to the controllable application executing on the remote machine. The step of executing, on the network server, one or more instructions in response to the commands is taught by the controllable application (i.e, the external editor) executing on the remote machine. The step of sending information from said network server to said client workstation in response to said executed instructions is taught by the controllable application returning a result of the editing process to the client workstation. The step of processing said information at the client workstation to interactively control said controllable application is taught by the client workstation rendering the result of the edit in the browser window, thus allowing the user to see the results of the editing operation so the user can decide what editing operation to perform next.

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Regarding claim 5, the combination of the admitted prior art in view of Berners-Lee, Raggett I, Raggett II, Reichard, and Cox teaches that the results returned by the controllable application residing on the network server are displayed in the browser window. The instructions performing this function are additional instructions for controlling said controllable application reside on said client workstation.

Regarding claims 9-10 of the '906 patent, such claims are computer program product claims which correspond to method claims 4-5, respectively. Since they do not teach or define above the information in the corresponding method claims, the discussion and application, supra, of the admitted prior art in combination with the newly cited references of Berners-Lee, Raggett I, Raggett II, Reichard, and Cox to method claims 4-5 is applied to claims 9-10, respectively.

□ 30 **□**

Conclusion

The patent owner is reminded of the continuing responsibility under 37 CFR 1.565(a), to apprise the Office of any litigation activity, or other prior or concurrent proceeding, involving Patent No. 5,838,906 throughout the course of this reexamination proceeding. See MPEP §§ 2207, 2282 and 2286.

In order to ensure full consideration of any amendments, affidavits or declarations, or other documents as evidence of patentability, such documents **must** be

1	submitted in response to this Office action. Submissions after the next Office action,
2	which is intended to be a final action, will be governed by the requirements of 37
3	CFR 1.116, which will be strictly enforced.
4	A shortened statutory period for response to this action is set to expire two
5	months from the mailing date of this action.
6	Extensions of time under 37 CFR 1.136(a) do not apply in reexamination
. 7	proceedings. The provisions of 37 CFR 1.136 apply only to "an applicant" and not to
8	parties in a reexamination proceeding. Further, in 35 U.S.C. 305 and in 37 CFR
9	1.550(a), it is required that reexamination proceedings "will be conducted with special
.10	dispatch within the Office."
11	Extensions of time in reexamination proceedings are provided for in 37
12	CFR 1.550(c). A request for extension of time must be filed on or before the day on
13	which a response to this action is due. The mere filing of a request will not effect any
14	extension of time. An extension of time will be granted only for sufficient cause, and for
15	a reasonable time specified.
16 17 18 19	Any inquiry concerning this communication or earlier communications from the examiner should be directed to Andrew Caldwell, whose telephone number is (703) 306-3036. The examiner can normally be reached on M-F from 9:00 a.m. to 5:30 p.m. EST.
20 21 22 23 24	If attempts to reach the examiner by phone fail, the examiner's supervisor, Glenton Burgess, can be reached at (703) 305-4792. Additionally, the fax numbers for Group 2100 are as follows:
25 26	Fax Responses: (703) 872-9306

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Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist at (703) 305-9600.

andrew Caldwell

Andrew Caldwell 703-306-3036 February 25, 2004

Notice of References Cited

Application/Control No.

90/006,831

Examiner

Andrew Caldwell

Applicant(s)/Patent Under
Reexamination
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	C	US-5,537,526	07-1996	Anderson et al.	715/515
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NON-PATENT DOCUMENTS

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	Aw	Cox, B., Object Oriented Programming: An Evolutionary Approach, Addison-Wesley, pp. 1-12, 1987.
	A ×	Solaris OpenWindows: Introduction to the ToolTalk Service - A White Paper, Sun Microsystems, Inc., pp. 1-16, 1991.

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

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Application/Control No.

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i	Bw	Fresco Frequently Asked Questions, www.i.h.kyoto-u.ac.jp/~shom/doc.org/fresco/FAQ.html, pp. 1-4, April 13, 1995.
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*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).) Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

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NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	Cu	The X Window System And Broadway, www.broadwayinfo.com/bwwhitesbroadwayhct.htm, Hummingbird Communications Ltd pp. 1-11, 1997.
	Cv	Neuendorffer, T., ADEW: A Multimedia Interface Builder for Andrew, Proceedings Multi-Media Communications, Applications, and Technology Workshop, pp. 1-19, July 1991.
	Cw	Palay, A., Andrew Toolkit: An Overview, Tech Rept., Carnegie-Mellon University Information Technology Center, pp. 1-15, 198
	С×	Dettmer, R., X-Windows - the great integrator, IEE Review, vol. 36, no. 6, pp. 219-222, June 1990.

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