## EXHIBIT M

## IN THE UNITED STATES DISTRICT COURT <br> EASTERN DISTRICT OF TEXAS <br> MARSHALL DIVISION

## SOFTWARE RIGHTS ARCHIVE, LLC

v.

GOOGLE INC., YAHOO! INC., IAC SEARCH
\& MEDIA, INC., AOL LLC, AND LYCOS, INC.

APPENDIX TO DEFENDANTS' P. R. 3-3 DISCLOSURE

## I. INTRODUCTION

This Appendix includes Tables and disclosures to amend and supplement Defendants’ Patent Rule 3-3 Disclosures (hereinafter "Invalidity Contentions") as specifically set forth below. Except as specifically stated, nothing in this Appendix is intended to waive or otherwise limit the positions and arguments set forth in Defendants' Invalidity Contentions.

Defendants' Invalidity Contentions and this Appendix are based in whole or in part on Defendants' present understanding of the asserted claims and SRA's apparent positions as to the scope of the asserted claims as applied in its P. R. 3-1 disclosures. Accordingly, Defendants' Invalidity Contentions and this Appendix (including any attached invalidity claim charts) reflect, to the extent possible, SRA's expected alternative and potentially inconsistent positions as to claim construction and scope. In addition, SRA has yet to disclose the details of its basis for its infringement contentions and its basis for contending that the '494 and '571 patents have written description support in application U.S. Patent Application No. 08/076,658. Accordingly, Defendants reserve the right to further amend or supplement their Invalidity Contentions and this Appendix.

## II. IDENTIFICATION OF PRIOR ART PURSUANT TO P. R. 3-3(A)

Pursuant to P. R. 3-3(a), and subject to Defendants' reservation of rights, Defendants identify each supplemental item of prior art that anticipates or renders obvious one or more of the asserted claims in Table App-2B below. Table App-2B further supplements Table 2.

## Table App-2A: Items Used and/or Offered for Sale

Defendants identify that electronic information previously produced in this action with production numbers DEF0016248-DEF0016354 relates to system(s) and method(s) that were used and/or offered for sale before the invention of the '352 patent. Defendants will produce source code for UCINET once a suitable protective order for source code is in place. Defendants
reserve the right to supplement their contentions regarding the system(s) and method(s) disclosed in such electronic information and as identified based on further discovery.

Table App-2B: Prior Art Publications and Items Used and/or Offered for Sale

| Primary Author <br> or Publisher | Reference Title | Publication/ <br> Use Date | Herein <br> Referenced As |
| :--- | :--- | :--- | :--- |
| Brodda, B. \& Karlgren, <br> H. | "Citation Index And Measures Of <br> Association In Mechanized <br> Document Retrieval," Kval Pm 295 <br> (1967). Report No. 2 To The Royal <br> Treasury. Published By <br> Sprakforlaget Skriptor. | 1967 |  <br> Kalgren 1967 <br> (or Brodda <br> 1967) |
| Schatz, B. \& Hardin, J. | "NCSA Mosaic and the World <br> Wide Web: Global Hypermedia <br> Protocols for the Internet," Science <br> 265:895-901 (1994) | 1994 | Schatz 1994 |
| Cleveland, D. | "An n-Dimensional Retrieval <br> Model," J. Am. Soc. Inf. Sci., pp. <br> 342-47 (1976) | 1976 | Cleveland 1976 |
| Crouch, D. et al. | "The Use Of Cluster Hierarchies In <br> Hypertext Information Retrieval," | 1989 | Crouch 1989 |
| Hypertext '89 Proceedings, |  |  |  |
| SIGCHI Bulletin, pp. 225-237 |  |  |  |
| (Nov. 1989) |  |  |  |


| Primary Author <br> or Publisher | Reference Title | Publication/ <br> Use Date | Herein <br> Referenced As |
| :--- | :--- | :--- | :--- |
| Botafogo, R. | 116-125 (1993) | 1991 | Botafogo 1991 |
| Joachims, T et al., | "Identifying Aggregates in <br> Hypertext Structures" | "WebWatcher: Machine Learning <br> and Hypertext". Proceedings of the <br> 1995 AAAI Spring Symposium on | 1995 |
| Information Gathering from <br> Heterogeneous, Distributed <br> Environments | Joachims 1995 |  |  |
| Caplinger, M. | "Graphical Database Browsing" <br> ACM, p. 113-121 | 1986 | Caplinger 1986 |

## III. INVALIDITY CONTENTIONS CONCERNING U.S. PATENT NO. 5,544,352

A. Disclosure of Invalidity Due to Anticipation Pursuant to P. R. 3-3(b) and (c)

Table 3 is supplemented by the addition of Table App-3 which includes the following patents and publications which are prior art under at least 35 U.S.C. §§ 102(a), (b), (e), and/or (g).

## Table App-3: Patents and Printed Publications Anticipating the Asserted Claims of the ' 352 Patent

| Exhibit A Chart | Prior Art |
| :--- | :--- |
| Ex A-58 | Brodda \& Karlgren 1967 |
| Ex A-59 | Cleveland 1976 |
| Ex A-60 | Baase 1988 |
| Ex A-61 | Crouch 1989 |

## B. Disclosure of Invalidity Due to Obviousness Pursuant to P. R. 3-3(b) and (c)

The asserted claims of the ' 352 Patent are invalid as obvious under 35 U.S.C. § 103.

## 1. Obviousness Combinations

Defendants withdraw the combination of references previously presented in Exhibit C-1 of their Invalidity Contentions and add Table App-5. In response to SRA's request for clarification, Table App-5 provides specific combinations of references that render obvious the asserted claims of the ' 352 Patent:

Table App-5: References Rendering Obvious Asserted Claims of the '352 Patent

| Combination | Claims of the '352 Patent Rendered Obvious by the Combination |
| :---: | :---: |
| Salton (1963) <br> Salton \& McGill (1983) | 26-32, 36-40, 45 |
| + Gelbart (1991) or Fox (Smart 1983) <br> + Cleveland (1976), Korfhage (1983), or Burt (1991) | 26-42, 44, 45 |
| + Gelbart (1991) or Fox Smart (1983) | 26-32, 35-40, 45 |
| + Brodda (1967) | 26-32, 36-40, 45 |
| + Brodda (1967) <br> + Cleveland (1976), Burt (1991), or Korfage (1983) | 26-34, 36-42, 44, 45 |
| + Garfield (1979) | 26-32, 36-40, 45 |
| $\begin{aligned} & \text { Salton (1963) } \\ & \text { Salton (1971) } \end{aligned}$ | 26, 29-32, 36-40, 45 |
| + Cleveland (1976), Burt (1991), or Korfage (1983) | 26, 29-33, 36-42, 44, 45 |
| Salton (1963) <br> Fox Thesis (1983) | 26-42, 44, 45 |
| + Cleveland (1976), Burt (1991), or Korfage (1983) | 26-42, 44, 45 |
| $\begin{aligned} & \text { Salton (1963) } \\ & \text { Salton \& Buckley }(1990)^{1} \text { or Salton \& } \\ & \text { Buckley (1989) } \end{aligned}$ | 26-32, 34-40, 45 |
| Salton (1963) <br> Pinski (1976) | 26-27, 29-32, 39, 41, 42, 44, 45 |
| $\begin{aligned} & \text { Garner (1967) } \\ & \text { Salton \& McGill (1983) } \end{aligned}$ | 26-32, 36-40, 45 |
| + Can (1987) | 26-32, 36-40, 45 |
| + Cleveland (1976), Burt (1991), or Korfage (1983) | 26-32, 36-42, 44 |
| $\begin{aligned} & \text { + Cleveland (1976), Burt (1991), or } \\ & \text { Korfage (1983) } \\ & \text { + Gelbart (1991) or Fox Smart (1983) } \end{aligned}$ | 26-42, 44, 45 |
| Garner (1967) <br> Thompson (1989) | 26-32, 36, 37, 41, 45 |
| Garner (1967) | 26, 29-32, 41, 45 |

[^0]| Combination | Claims of the '352 Patent Rendered Obvious by the Combination |
| :---: | :---: |
| Frisse (1988) |  |
| Salton (1971) <br> Salton \& McGill (1983) | 26-32, 36-40, 45 |
| Fox Thesis (1983) <br> Salton \& McGill (1983) | 26-42, 44, 45 |
| + Cleveland (1976) | 26-42, 44, 45 |
| + Gelbart (1991) or Fox Smart (1983) | 26-42, 44, 45 |
| + Cleveland (1976), Burt (1991), or Korfhage (1983) | 26-42, 44, 45 |
| + Garner (1967), Garfield 1979 | 26-42, 44, 45 |
| + Fox Smart (1983) <br> + Pinski (1976) <br> + Cleveland (1976), Burt (1991), or <br> Korfhage (1983) | 26-42, 44, 45 |
| Fox Thesis (1983) <br> Shepherd (1990) | 26-42, 44, 45 |
| Fox Thesis (1983) <br> Fox Collections (1983) | 26-42, 44, 45 |
| + Gelbart (1991) or Fox Smart (1983) | 26-42, 44, 45 |
| Fox Thesis (1983) <br> Fox Smart (1983) | 26-42, 44, 45 |
| + Cleveland (1976), Burt (1991), or Korfhage (1983) | 26-42, 44, 45 |
| + Garfield 1979 | 26-42, 44, 45 |
| + Can (1987) | 26-42, 44, 45 |
| + Salton (1990) | 26-42, 44, 45 |
| Fox Thesis (1983) <br> Kochtanek (1982) | 26-42, 44, 45 |
| Fox Thesis (1983) <br> Thompson (1989) | 26-42, 44, 45 |
| Fox Thesis (1983) Garner (1967) | 26-42, 44, 45 |
| Fox Thesis (1983) <br> Burt (1991) | 26-42, 44, 45 |
| + Gelbart (1991) or Fox Smart (1983) <br> + Cleveland (1976), Burt (1991), or Korfhage (1983) | 26-42, 44, 45 |
| Fox Thesis (1983) Berk (1991) | 26-42, 44, 45 |


| Combination | Claims of the '352 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| Fox Thesis (1983) <br> Tapper (1982) | $26-42,44,45$ |
| + Cleveland (1976), Burt (1991), or <br> Korfhage (1983) | $26-42,44,45$ |
| Fox Thesis (1983) <br> Fox (1985) | $26-42,44,45$ |
| Fox Thesis (1983) <br> Gelbart (1991) | $26-42,44,45$ |
| Fox Thesis (1983) <br> Cleveland (1976) | $26-42,44,45$ |
| Fox Thesis (1983) <br> Rose (1991) | $26-42,44,45$ |
| Fox Thesis (1983) <br> Korfage (1983) | $26-42,44,45$ |
| Fox Thesis (1983) <br> Salton \& Buckley (1990) or Salton \& Buckley <br> (1991) | $26-42,44,45$ |
| Fox Thesis, Garfield 1979, Pinski 1976, <br> Conklin 1987, Berners-Lee 1989 | $26-42,44,45$ |
| Salton \& McGill (1983) <br> Thompson (1989) | $26-32,36-40,45$ |
| Salton \& McGill (1983) <br> Kochtanek (1982) | $26-32,36-40,45$ |
| Salton \& McGill (1983) <br> Shepherd (1990) | $26-32,36-40,45$ |
| Salton \& McGill (1983) <br> Brodda (1967) | $26-32,36-40,45$ |
| Gelbart (1991) or Fox Smart (1983) <br> + Cleveland (1976), Burt (1991), or <br> Korfage (1983) | $26-42,44,45$ |
| Salton \& McGill (1983) <br> Burt (1991) | $26-33,36-42,44,45$ |
| + Gelbart (1991) or Fox Smart (1983) <br> + Cleveland (1976), Burt (1991), or <br> Korfage (1983) | $26-42,44,45$ |
| Salton \& McGill (1983) <br> Tapper (1982) | $26-32,36-42,44,45$ |
| + Cleveland (1976), Burt (1991), or <br> Korfage (1983) | Salton \& McGill (1983) <br> Fox (1985) |
| Salton \& McGill (1983) <br> Salton \& Buckley (1990) or Salton \& Buckley <br> (1989) | $26-32,34-40,45$ |


| Combination | Claims of the '352 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| Fox Smart (1983) <br> Salton \& McGill (1983) | $26-32,34-41,45$ |
| Salton \& McGill (1983) <br> Gelbart (1991) | $26-32,34-40,45$ |
| Salton \& McGill (1983) <br> Rose (1991) | $26-32,36-41,45$ |
| Frisse (1988) <br> Shepherd (1990) | $26-32$ |
| Rose (1991) | $26-34,36-42,45$ |
| Frisse (1998) <br> Nielsen (1990(b)) | $26-32,35-40,45$ |
| Belew (1986) <br> Rose (1991) | $26-34,36-39,41,42,44,45$ |
| Kaplan 891 Patent + Lucarella 1990 + <br> Conklin (1988) | $26-32,34,36-37,45$ |
|  <br> Turtle 1991 | $26-32,34,36-37,45$ |
| Rose 1989, Rose 1991, Tapper 1982, Conklin <br> (1988) | $26-34,36-39,41,42,44,45$ |

In addition, each claim is obvious in view of cited references in combination with the general knowledge in the art. Additional specific combinations are described in Ex. C-2, C-3, C4, C5, and C-6 of Table 5 in the Invalidity Contentions of January 23, 2009.

With respect to the references and combinations disclosed herein, Defendants incorporate by reference Section III.B. 1 (except for Exhibit C-1) of their Invalidity Contentions of January 23, 2009. Defendants further reference the following:

| Exhibit A Chart | Prior Art |
| :--- | :--- |
| Ex A-62 | Can 1987 |
| Ex A-63 | Salton \& Buckley (1991) |
| Ex A-64 | Salton \& Buckley (1990) |
| Ex A-65 | Korfhage 1983 |

## 2. Motivation to Combine

With respect to the references and combinations disclosed herein, Defendants incorporate by reference Section III.B. 2 of their Invalidity Contentions of January 23, 2009.

## IV. INVALIDITY CONTENTIONS CONCERNING U.S. PATENT NO. 5,832,494

B. Disclosure of Invalidity Due to Anticipation Pursuant to P. R. 3-3(b) and (c)

Table 6 is supplemented by the addition of Table App-6 which includes the following patents and publications are prior art under at least 35 U.S.C. §§ 102(a), (b), (e), and/or (g).

Table App-6: Patents and Printed Publications Anticipating the Asserted Claims of the '494 Patent

| Exhibit App-D Chart | Prior Art |
| :--- | :--- |
| Ex D-58 | Brodda \& Karlgren 1967 |
| Ex D-59 | Baase 1988 |
| Ex D-60 | Crouch 1989 |
| Ex D-61 | Botafogo 1993 |
| Ex D-64 | Botafogo 1991 |
| Ex D-65 | Joachims 1995 |

C. Disclosure of Invalidity Due to Obviousness Pursuant to P. R. 3-3(b) and (c)

The asserted claims of the ' 494 Patent are invalid as obvious under 35 U.S.C. § 103.

## 1. Obviousness Combinations

Defendants withdraw the combination of references previously presented in Exhibit F-1 of their Invalidity Contentions and add Table App-8. In response to SRA's request for clarification, Table App-8 provides specific combinations of references that render obvious the asserted claims of the '494 Patent:

Table App-8: References Rendering Obvious Asserted Claims of the '494 Patent
,494 Patent Combinations and Asserted Claims

| Combination | Claims Rendered Obvious By The <br> Combination |
| :--- | :---: |
| Nielsen (1990b) <br> Lucarella (1990 | $1-3,5,7-16,18-21,23-25,31-33$ |


| Combination | Claims Rendered Obvious By The Combination |
| :---: | :---: |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Schatz (1994), Doyle US 5838906 + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Kochtanek (1982) or Thompson (1989) or Guinan (1992) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Shepherd (1990) or Salton \& McGill (1983) | $1-3,5,7-16,18-21,23-25,31-33$ |
| $\begin{array}{\|l} \hline \text { Nielsen }(1990 b) \\ \text { Rose }(1991) \\ \hline \end{array}$ | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | $1-3,5,7-16,18-21,23-25,31-33$ |
| + Schatz (1994) or Doyle US 5838906, <br> +Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Kochtanek (1982) or Thompson (1989) or Guinan (1992) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Nielsen (1990b) <br> Belew (1986) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Schatz (1994) or Doyle US 5838906 <br> + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| $\begin{aligned} & \text { + Kochtanek (1982) or Thompson (1989) } \\ & \text { or Guinan (1992) } \end{aligned}$ | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Nielsen (1990b) Brodda (1967) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |


| Combination | Claims Rendered Obvious By The Combination |
| :---: | :---: |
| + Schatz (1994) or Doyle US 5838906 <br> + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Rose (1991) <br> Belew (1986) | $1-3,5,12-16,18-21,23-25,33$ |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | $1-3,5,12-16,18-21,23-25,33$ |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | $1-3,5,12-16,18-21,23-25,33$ |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | $1-3,5,12-16,18-21,23-25,33$ |
| + Kochtanek (1982) or Thompson (1989) or Guinan (1992) | $1-3,5,12-16,18-21,23-25,31-33$ |
| + Schatz (1994) or Doyle US 5838906 <br> + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| Rose (1991) <br> Brodda (1967) | $1-3,5,12-16,18-21,23-25,33$ |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | $1-3,5,12-16,18-21,23-25,33$ |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | $1-3,5,12-16,18-21,23-25,33$ |
| + Pitkow (1994) or Alain (1992) or Schatz (1994) | $1-3,5,12-16,18-21,23-25,33$ |
| Frisse (1988) Lucarella (1990) | $1-3,5,7-16,18-21,23-25,33$ |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Schatz (1994) or Doyle US 5838906 <br> + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Kochtanek (1982) or Thompson (1989) or Guinan (1992) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Frisse (1988) <br> Rose (1991) | 1-3, 5, 7-16, 18-21, 23-25, 33 |


| Combination | Claims Rendered Obvious By The Combination |
| :---: | :---: |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Schatz (1994) or Doyle US 5838906 Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Kochtanek (1982) or Thompson (1989) or Guinan (1992) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Frisse (1988) <br> Belew (1986) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Schatz (1994) or Doyle US 5838906 <br> + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Kochtanek (1982) or Thompson (1989) or Guinan (1992) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Frisse (1988) Brodda (1967) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Schatz (1994) or Doyle US 5838906 <br> + Berners Lee 1989, Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Pitkow (1994) or Alain (1992) or Conklin (1987) or Conklin (1988) or Fox/Envision (1993) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| Rose (1991) + Berners-Lee (1989) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) or Croft \& Turtle (1989) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Schatz (1994) or Doyle US 5838906 <br> + Kaplan 1995 | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Guinan (1992) or Weiss (1996) or Salton (1971) or Baase (1988) | 1-3, 5, 7-16, 18-21, 23-25, 33 |
| + Pitkow (1994) or Alain (1992) or | 1-3, 5, 7-16, 18-21, 23-25, 33 |


| Combination | Claims Rendered Obvious By The <br> Combination |
| :--- | :--- |
| Conklin (1987) or Conklin (1988) or <br> Fox/Envision (1993) |  |
| Salton \& McGill (1983) <br> Garner (1967) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Brodda (1967) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Salton (1963) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Salton (1963) <br> Brodda (1967) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Salton (1971) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Fox Thesis (1983) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Thompson (1989), | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Pinski (1976) <br> Garfield (1979) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Salton \& McGill (1983) <br> Pinski (1976) <br> Fox SMART (1983) <br> Fox Thesis (1983) | $1-3,5,7-16,18-21,23-25,31-33$ |
| Botafogo (1992) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1-3,5,7-16,18-21,23-25,31-33$ |
| + Baase (1988), Pinski (1976) |  |


| Combination | Claims Rendered Obvious By The Combination |
| :---: | :---: |
| + Weiss (1996) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Botafogo (1991) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Betrabet (1993) <br> Betrabet Thesis (1993) <br> Berk (1991) <br> Fox (1988) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Chen Thesis (1992), Chen (1992) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| $\begin{aligned} & \text { + Botafogo (1992), Pinski (1976), } \\ & \text { Guinan (1990) } \end{aligned}$ | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Botafogo (1993), Conklin (1988) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Frei \& Steiger (1992) or Salton (1988) or Croft (1993) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| + Botafogo (1992), Alain (1992) | $1-3,5,7-16,18-21,23-25,31-33$ |
| + Shepherd (1990), Guinan (1990) | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Betrabet (1993) <br> Betrabet Thesis (1993) <br> Berk (1991) <br> Baase (1988) <br> Shepherd (1990) <br> Kommers (1990) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Betrabet (1993) <br> Betrabet Thesis (1993) <br> Berk (1991) <br> Burt (1991) <br> UCINET <br> Kommers (1990) <br> + Conklin (1987), Berners-Lee (1989), Kaplan (1995), Pinkerton (1994), Doyle US 5,838,906, or Mauldin US 5,748,954 | 1-3, 5, 7-16, 18-21, 23-25, 31-33 |
| Garfield (1979) <br> Pinski (1976) <br> Fox/Envision (1993) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1-3, 5, 7-16, 18-21, 23-25, 33 |


| Combination | Claims Rendered Obvious By The <br> Combination |
| :--- | :--- |
| $\quad$ + Croft (1993) | $1-3,5,7-16,18-21,23-25,33$ |
| Thompson (1989) <br> Turtle (1991) <br> Croft \& Turtle (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1-3,5,7-16,18-21,23-25,33$ |
| + Croft (1993), Croft \& Turtle (1989) |  |


| Combination | Claims Rendered Obvious By The <br> Combination |
| :--- | :---: |
| + Pinkerton (1994), Doyle US 5,838,906, |  |
| Conklin (1988), Mauldin US 5,748,954, + |  |
| Schatz (1994) |  |

In addition, each claim is obvious in view of cited references in combination with the general knowledge in the art. Knowledge and use of the internet is exemplified by at least the following references: Conklin, 1987; Berners-Lee, 1989; Krol, 1994; Pinkerton, 1994; LA Times; Doyle U.S. 5,838,906, Maudlin, Mauldin US 5,748,954, Shatz 1994, and Nielson 1990b.

Additional specific combinations are described in Ex. F-2, F-3, F-4, F-5, F-6, and F-7 of Table 8 in the Invalidity Contentions of January 23, 2009.

With respect to the references and combinations disclosed herein, Defendants incorporate by reference Section IV.C. 1 (except for Exhibit F-1) of their Invalidity Contentions of January 23, 2009. Defendants further reference the following:

| Ex D-62 | Schatz |
| :--- | :--- |

## 2. Motivation to Combine

With respect to the references and combinations disclosed herein, Defendants incorporate by reference Section IV.C. 2 of their Invalidity Contentions of January 23, 2009.-

## V. INVALIDITY CONTENTIONS CONCERNING U.S. PATENT NO. 6,233,571

B. Disclosure of Invalidity Due to Anticipation Pursuant to P. R. 3-3(b) and (c)

Table 9 is supplemented by the addition of Table App-9 which includes the following patents and publications are prior art under at least 35 U.S.C. §§ 102(a), (b), (e), and/or (g).

Table App-9: Patents and Printed Publications Anticipating the Asserted Claims of the '571 Patent

| Ex G-79 | Botafogo 1993 |
| :--- | :--- |
| Ex G-80 | Crouch 1989 |
| Ex G-82 | Botafogo 1991 |
| Ex G-83 | Joachims 1995 |

## C. Disclosure of Invalidity Due to Obviousness Pursuant to P. R. 3-3(b) and (c)

The asserted claims of the '571 Patent are invalid as obvious under 35 U.S.C. § 103.

## 1. Obviousness Combinations

Defendants withdraw the combination of references previously presented in Exhibit I-1 of their Invalidity Contentions and add Table App-11. In response to SRA's request for clarification, Table App-11 provides specific combinations of references that render obvious the asserted claims of the ' 571 Patent:

Table App-11 provides specific and exemplary combinations of references that render obvious the asserted claims of the' 571 Patent:

Table App-11: References Rendering Obvious Asserted Claims of the '571 Patent

| Combination | Claims of the '571 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| Botofago (1992) | $1,3-22$ |
| Pitkow (1994) |  |
| Conklin (1988) |  |
| + Conklin (1987), Berners-Lee (1989), |  |
| Kaplan (1995), Pinkerton (1994), Doyle |  |
| US 5,838,906, or Mauldin US 5,748,954 |  |

[^1]| Combination | Claims of the '571 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| Botofago (1992) <br> Baase (1988) <br> Conklin (1988) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Botofago (1992) <br> Baase (1988) <br> Burt 1991, UCINET <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| + Frei \& Steiger 1992, Frei \& Steiger | $1,3-22$ |
| + Pitkow (1994), Conklin (1988) | $1,3-22$ |
| + Pinski (1976), LA Times | $1,3-22$ |
| + Crouch (1989) | $1,3-22$ |
| + Caplinger (1986), Conklin (1988) | $1,3-22$ |
| Botofago (1993) <br> Conklin (1988), Pitkow (1994), or <br> Caplinger (1986) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| + Baase (1988) | $1,3-22$ |
| + Frei \& Steiger 1992, Frei \& Steiger | $1,3-22$ |
| 1995 |  |


| Combination | Claims of the '571 Patent Rendered Obvious by the Combination |
| :---: | :---: |
| Rose (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| + Tapper (1982), LA_Times | 1, 3-22 |
| + Belew (1986) | 1, 3-22 |
| + Thompson (1989), Croft \& Turtle (1989) | 1, 3-22 |
| + Caplinger (1986), Conklin (1988), Netcarta | 1, 3-22 |
| Conklin (1988) + Conklin (1987), Berners-Lee (1989), Kaplan (1995), Pinkerton (1994), Doyle US 5,838,906, or Mauldin US 5,748,954 | 1,3-4, 22 |
| Envision <br> Garfield (1979) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1,3-6, 8-16, 19-22 |
| Envision <br> Fox Thesis (1983) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| Nielsen (1990) <br> Nielsen (1990(b)) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| + McKee (1994), Pitkow (1994) | 1, 3-22 |
| + Frisse 1998 | 1, 3-22 |
| + Frei \& Steiger 1992, Frei \& Steiger 1995 | 1, 3-22 |
| + Botafogo 1992, Conklin (1988) | 1, 3-22 |
| + Botafogo 1993, Conklin (1988) | 1, 3-22 |
| + NetCarta, Conklin (1988), Caplinger (1986), | 1, 3-22 |
| + Belew 1986, Rose (1991) | 1, 3-22 |


| Combination | Claims of the '571 Patent Rendered Obvious by the Combination |
| :---: | :---: |
| + Brodda (1967) | 1, 3-22 |
| Thompson (1989) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| + Turtle (1991), Croft \& Turtle <br> (1991), Croft \& Turtle (1989) | 1, 3-22 |
| Frisse (1988) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| + Lucarella 1990 | 1, 3-22 |
| + Rose (1991) | 1, 3-22 |
| ```+ Frei & Steiger 1992, Frei & Steiger 1995``` | 1, 3-22 |
| + Thompson (1989), Croft \& Turtle <br> (1989), Kaplan 891 Patent | 1, 3-22 |
| $\begin{aligned} & \text { + Conklin (1988), NetCarta, } \\ & \text { Caplinger (1986) } \end{aligned}$ | 1, 3-22 |
| + Frisse/Cousins, Crouch (1989) | 1, 3-22 |
| Frei \& Steiger 1992, Frei \& Steiger 1995 + Conklin (1987), Berners-Lee (1989), Kaplan (1995), Pinkerton (1994), Doyle US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| $\begin{aligned} & \text { + Caplinger (1986), Conklin (1988), } \\ & \text { Netcarta } \end{aligned}$ | 1, 3-22 |
| Garner (1967) <br> Salton (1963) <br> Salton \& McGill (1983) <br> Fox/Envision (1993) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| Shepherd (1990) <br> Garfield (1979) <br> Fox Thesis (1983) <br> Fox/Envision (1993) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle | 1, 3-22 |


| Combination | Claims of the '571 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| US 5,838,906, or Mauldin US 5,748,954 |  |
| Kaplan 891 Patent <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Kaplan 891 Patent <br> Thompson (1989) <br> Turtle (1991) <br> Croft \& Turtle (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Kochtanek (1982) <br> Garfield (1979) <br> Shepherd (1990) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Kochtanek (1982) <br> Fox Thesis (1983) <br> Fox/Envision (1993) <br> Fox (1988) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Croft (1993) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 5 |
|  |  |
| Turtle (1991) | $5-9,11-21$ |
| Lucarella (1990) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Lucarella (1990) <br> Kaplan 891 Patent <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Lucarella (1990) | $1,3-9,12-22$ |


| Combination | Claims of the '571 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| Turtle (1991) <br> Croft \& Turtle (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Betrabet (1993) <br> Betrabet Thesis (1993) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Betrabet (1993) <br> Betrabet Thesis (1993) <br> Berk (1991) <br> Fox (1988) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Chen Thesis (1992), Chen (1992) |  |$\quad 1,3-22$


| Combination | Claims of the '571 Patent Rendered Obvious by the Combination |
| :---: | :---: |
| Kommers (1990) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| + Frisse 1988 or Frei \& Steiger (1992) | 1, 3-22 |
| Dunlop (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 5-10, 12-21 |
| Dunlop (1991) <br> Frei \& Steiger (1992) <br> Frei \& Steiger (1995) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| + Shepherd (1990) | 1, 3-22 |
| + Baase (1988) | 1, 3-22 |
| Kommers (1990) , <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| $\begin{aligned} & \text { + Burt (1991), UCINET, Botafogo } \\ & \text { (1992) } \\ & \text { Conklin (1988), Caplinger (1986), } \end{aligned}$ | 1, 3-22 |
| + Baase (1988) | 1, 3-22 |
| Croft \& Turtle (1989) + Conklin (1987), Berners-Lee (1989), Kaplan (1995), Pinkerton (1994), Doyle US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| Alain (1992) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | 1, 3-22 |
| Salton \& McGill (1983) <br> Salton (1971), <br> Salton (1988), <br> SMART <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle | 1, 3-22 |


| Combination | Claims of the '571 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| US 5,838,906, or Mauldin US 5,748,954 |  |
| Fox (1988) <br> Fox Thesis (1983) <br> Fox Collections (1983) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Fox Thesis (1983) <br> Fox Collections (1983) <br> Berk (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Brodda (1967) <br> Frisse (1988) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Brodda (1967) <br> Belew (1986) <br> Rose (1991) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Brodda (1967) <br> Kaplan 891 Patent <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 |  |
| Weiss (1996) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-322$ |
| + NetCarta, Conklin (1988), Caplinger <br> (1986) | $1,3-22$ |
| + Baase (1988), Botafogo (1993) | $1,3-22$ |
| + Pirolli (1996) |  |
| Salton (1963) <br> Pinski (1976), LATimes, Caplinger (1986), <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle |  |


| Combination | Claims of the '571 Patent Rendered <br> Obvious by the Combination |
| :--- | :--- |
| US 5,838,906, or Mauldin US 5,748,954 |  |
| Salton \& McGill (1983) <br> Tapper (1982), LATimes, Caplinger <br> (1986) <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| Crouch (1989) <br> Shepherd (1990), Caplinger (1986), <br> + Conklin (1987), Berners-Lee (1989), <br> Kaplan (1995), Pinkerton (1994), Doyle <br> US 5,838,906, or Mauldin US 5,748,954 | $1,3-22$ |
| + SMART, Fox Thesis | $1,3-22$ |
| Joachims (1995), Crouch (1989), Caplinger <br> (1986) <br> + Pinkerton (1994), Doyle US 5,838,906, <br> Conklin (1988), Mauldin US 5,748,954, | $1,3-22$ |

In addition, each claim is obvious in view of cited references in combination with the general knowledge in the art. Knowledge and use of the internet is exemplified by at least the following references: Conklin, 1987; Berners-Lee, 1989; Krol, 1994; Pinkerton, 1994; LA Times; Doyle U.S. 5,838,906, Maudlin, Mauldin US 5,748,954, Schatz 1994, and Nielson 1990b.

Additional specific combinations are described in Ex. I-2, I-3, I-4, I-5, I-6, and I-7 of Table 11 in the Invalidity Contentions of January 23, 2009.

With respect to the references and combinations disclosed herein, Defendants incorporate by reference Section V.C. 1 (except for Exhibit I-1) of their Invalidity Contentions of January 23, 2009. Defendants further reference the following:

| Ex G-80 | Brodda 1967 |
| :--- | :--- |
| Ex G-81 | Baase 1988 |
| Ex G-84 | Caplinger 1986 |

## 2. Motivation to Combine

With respect to the references and combinations disclosed herein, Defendants incorporate by reference Section V.C. 2 of their Invalidity Contentions of January 23, 2009.

Invalidity Claim Chart for U.S. Patent No. 5,544,352

## Based on Benny Brodda, Hans Karlgren, "Citation Index and Measures of Association in Mechanized Document Retrieval," KVAL PM 295 (1967). Report No. 2 to the Royal Treasury. Published by Sprakforlaget Skriptor. ("Brodda \& Karlgren, 1967")

| Claim Text from '352 Patent | Brodda \& Karlgren, 1967 |
| :--- | :--- |
| 26. A non-semantical method for numerically <br> representing objects in a computer database and for <br> computerized searching of the numerically <br> represented objects in the database, wherein direct <br> and indirect relationships exist between objects in <br> the database, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4, 6 |
| [26a] marking objects in the database so that each <br> marked object may be individually identified by a <br> computerized search; | See, e.g., Brodda \& Karlgren, 1967, at p. 6 |
| [26b] creating a first numerical representation for <br> each identified object in the database based upon <br> the object's direct relationship with other objects in <br> the database; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [26c] storing the first numerical representations for <br> use in computerized searching; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [26d] analyzing the first numerical representations <br> for indirect relationships existing between or among <br> objects in the database; | See, e.g., Brodda \& Karlgren, 1967, at pp. 3-4 |
| [26e] generating a second numerical representation <br> of each object based on the analysis of the first <br> numerical representation; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-5, 8, 9-13, passim |
| [26f] storing the second numerical representation <br> for use in computerized searching; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3-4 |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| [26g] searching the objects in the database using a <br> computer and the stored second numerical <br> representations, wherein the search identifies one or <br> more of the objects in the database. | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| 27. The non-semantical method of claim 26, <br> wherein the objects in the database include words, <br> and semantic indexing techniques are used in <br> combination with the non-semantical method, the <br> method further comprising the step of creating and <br> storing a Boolean word index for the words of the <br> objects in the database. | See, e.g., Brodda \& Karlgren, 1967, at p. 4 n.1 |
| 28. The non-semantical method of claim 26 wherein <br> the first and second numerical representations are <br> vectors that are arranged in first and second <br> matrices; | See, e.g., Brodda \& Karlgren, 1967, at pp. 9-10 |
| [28a] the direct relationships are express references <br> from a one object to another object in the database; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4, 6 |
| [28b] the objects in the database are assigned <br> chronological data; | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| [28c] and wherein the step of searching comprises <br> the steps of matrix searching of the second <br> matrices; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 4, 5, 9-13, passim |
| [28d] and examining the chronological data. | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 8 |
| 29. The non-semantical method of claim 26 wherein <br> the step of analyzing the first numerical <br> representation further comprises: <br> examining the first numerical representation for <br> patterns which indicate the indirect relationships. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4 |
| 30. The non-semantical method of claim 29, given | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4 |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| that object A occurs before object B and object c <br> occurs before object A, and wherein the step of <br> creating a first numerical representation comprises <br> examining for the direct relationship B cites A and <br> wherein the step of examining for patterns further <br> comprises the step of examining for the following <br> pattern: <br> A cites c, and B cites c. |  |
| 31. The non-semantical method of claim 29, <br> wherein a, b, c, A, d, e, f, B, g, h, and i are objects <br> in the database and given that; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4 |
| a, b, and c occur before A; . . |  |
| 32. The non-semantical method of claim 26, <br> wherein the step of analyzing further comprises the <br> step of weighing, wherein some indirect <br> relationships are weighed more heavily than other <br> indirect relationships. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 4-5 |
| 33. The non-semantical method of claim 26, <br> wherein the step of analyzing the first numerical <br> representations for indirect relationships further <br> comprises: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3-4 |
| [33a] creating an interim vector representing each <br> object; and wherein the step of generating a second <br> numerical representation uses coefficients of <br> similarity and further comprises: | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 9-10 |
| [33b] calculating Euclidean distances between <br> interim vector representations of each object; | Disclosed either expressly or inherently in the teachings of the reference and its incorporated <br> disclosures taken as a whole, or in combination with the state of the art at the time of the <br> alleged invention. |
| [33c] creating proximity vectors representing the <br> objects using the calculated Euclidean distances; <br> and |  |


| Claim Text from '352 Patent | Brodda \& Karlgren, 1967 |
| :--- | :--- |
| [33d] using the proximity vectors and using <br> coefficients of similarity to calculate the second <br> numerical representations. | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| 34. The non-semantical method of claim 26, <br> wherein objects in the database may be divided into <br> subsets and wherein the marking step includes the <br> step of marking subsets of objects in the database <br> and wherein relationships exist between or among <br> subsets of objects in the database. | See, e.g., Brodda \& Karlgren, 1967, at p. 6 <br> Further, disclosed either expressly or inherently in the teachings of the reference and its <br> incorporated disclosures taken as a whole, or in combination with the state of the art at the <br> time of the alleged invention. |
| 36. The non-semantical method of claim 26, <br> wherein the step of searching the objects comprises <br> the steps of: selecting an object; using the second <br> numerical representation to search for objects <br> similar to the selected object. | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| 37. The non-semantical method of claim 26, <br> wherein the step of searching includes the step of <br> graphically displaying one or more of the identified <br> objects. | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 5 |
| 38. The non-semantical method of claim 26, <br> wherein the step of searching includes the step of <br> identifying a paradigm object. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| 39. The non-semantical method of claim 26, <br> wherein the step of searching the objects comprises <br> the steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| selecting a pool of objects; |  |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| $\|$[39b] pool-importance searching to identify an <br> important pool of textual objects, important in <br> relation to the objects in the selected pool. See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 <br> 40. The non-semantical method of claim 26, the <br> step of searching comprising the steps of: <br> identifying a paradigm pool of objects; and See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 <br> [40a] searching for relationships between the <br> objects and the paradigm pool of objects; See, e.g., Brodda \& Karlgren, 1967, at p. 2 <br> [40b] wherein the searched for relationship is pool <br> importance or pool similarity. See, e.g., Brodda \& Karlgren, 1967, at p. 2 <br> 41. A method for the non-semantical indexing of <br> objects stored in a computer database, the method <br> for use in searching the database for the objects, <br> comprising the steps of: <br> extracting, comprising the steps of: See, e.g., Brodda \& Karlgren, 1967, at pp. 1-3 <br> [41a] labeling objects with a first numerical <br> representation; and See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 6 <br> [41b] generating a second numerical representation <br> for each object based on each object's references to <br> other objects; See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 <br> [41c] patterning, comprising the step of creating a <br> third numerical representation for each object using <br> the second numerical representations, wherein the <br> third numerical representation for each object is <br> determined from an examination of the second <br> numerical representations for occurrences of <br> patterns that define indirect relations between or <br> among objects;  <br> S41d] weaving, comprising the steps of: See, e.g., Brodda \& Karlgren, 1967, at p. 4 |  |


| Claim Text from '352 Patent | Brodda \& Karlgren, 1967 |
| :--- | :--- |
| calculating a fourth numerical representation for <br> each object based on the euclidean distances <br> between the third numerical representations; and | Further, disclosed either expressly or inherently in the teachings of the reference and its <br> incorporated disclosures taken as a whole, or in combination with the state of the art at the <br> time of the alleged invention. |
| [41e] determining a fifth numerical representation <br> for each object by processing the fourth numerical <br> representations through similarity processing; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 |
| [41f] storing the fifth numerical representations in <br> the computer database as the index for use in <br> searching for objects in the database. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-2 |
| 42. The method of claim 41 wherein the first <br> through fifth numerical representations are vector <br> representations and further comprises the step of <br> clustering objects having similar characteristics. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 9-10 |
| 44. The method of claim 41 wherein the step of <br> creating the third numerical representations further <br> comprises the steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5 |
| [44a] analyzing the second numerical representation <br> against a plurality of empirically defined patterns, <br> wherein certain patterns are more important than <br> others; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 4 |
| [44b] weighing the analyzed second numerical <br> representations according to the importance of the <br> patterns. | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| 45. A method for searching indexed objects, <br> wherein the index is stored, comprising the steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-2, 4, 6 |
| [45a] entering search commands; | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 |
| [45b] processing the search commands with a | See, e.g., Brodda \& Karlgren, 1967, at p.2 |


| Claim Text from '352 Patent | Brodda \& Karlgren, 1967 |
| :---: | :---: |
| processor; |  |
| [45c] retrieving the stored index using the processor; | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 |
| [45d] analyzing the index to identify a pool of objects, comprising the steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 |
| [45e] interpreting the processed searched commands as a selection of an object; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [45f] identifying a group of objects that have a relationship to the selected object, wherein the step of identifying comprises the steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2-4 |
| [45g] identifying objects that are referred to by the selected object; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 3 |
| [45h] identifying objects that refer to the selected object | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 3 |
| [45i] quantifying the relationship of the selected object to each object in the group of objects; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 4, 5, 8 |
| [45j] ranking the objects in the group of objects in accordance to the quantified relationship to the selected object; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 |
| [45k] presenting one or more objects from the group of objects in ranked order. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6 |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 5,544,352

Based on Cleveland, Donald, "An n-Dimensional Retrieval Model," J. Am. Soc. Inf. Sci., pp. 342-47 (1976) ("Cleveland, 1976")

| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
| 26. A non-semantical method for numerically <br> representing objects in a computer database and for <br> computerized searching of the numerically <br> represented objects in the database, wherein direct <br> and indirect relationships exist between objects in <br> the database, comprising: | See, e.g., Cleveland, 1976, at passim, abstract. <br> This paper reports a technique which expands W. Goffman's Indirect Method search strategy <br> by using means other than index terms to reflect document content. The four basic measures <br> of document relatedness were: (1) Index terms, (2) Journals in which the documents <br> appeared, (3) Closeness of the authors of the documents and (4) Closeness of citations. <br> (Abstract). |
| [26a] Marking objects in the database so that each <br> marked object may be individually identified by a <br> computerized search; | See, e.g., Cleveland, 1976, at passim and p. 344, 345. |
| n(Ji) is the number of journals representing the journal citation profile of Ji. (p. 344) |  |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) |
| [26d] analyzing the first numerical representations for indirect relationships existing between or among objects in the database; | See, e.g., Cleveland, 1976, at p. 344-345 <br> Thus, connected with each journal was its journal citation profile. The measure between journal Ji and journal Jj was defined to be |
| [26e] generating a second numerical representation of each object based on the analysis of the first numerical representation; | $Q_{i j}=\frac{n\left(J_{i} \Lambda I_{j}\right)}{n\left(J_{j}\right)},$ |
| [26f] storing the second numerical representation for use in computerized searching; and | where $\mathrm{n}(\mathrm{Ji} \Lambda \mathrm{Jj})$ is the number of cited journals common to the profiles of journal Jj , and journal Jj and $\mathrm{n}(\mathrm{Ji})$ is the number of journals representing the journal citation profile of Jj . . . . (p. 344) <br> 4) W-axis-The commonality of citations between the documents. It is assumed that closely related documents will have closely related citations. (p. 345) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \wedge C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) <br> Thus, four basic distance measures were created, representing the four basic measures under consideration. Since a quasi-metric space existed, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. Eleven matrices resulted. (p. 346). |
| [26g] searching the objects in the database using a computer and the stored second numerical | See, e.g., Cleveland, 1976, at passim, p. 345-46 |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
| representations, wherein the search identifies one or |  |
| more of the objects in the database. | $\begin{array}{l}\text { Distance Matrices } \\ \text { At this point, the four matrices showed the relatedness between each pair of documents in } \\ \text { terms of the four basic measures with values between } 0 \text { and } 1 .\end{array}$ |
| It was now necessary to convert these matrices into distance matrices and combine them, |  |
| using the Euclidean distance formula. If the measure value between document Xi and Xi was |  |
| greater than some chosen threshold, then the distance between the pair was defined as being |  |
| unit distance one. The following tactic was employed to convert each of the four basic |  |
| matrices into distance matrices: (p. 345) |  |
| Thus, four basic distance measures were created, representing the four basic measures under |  |
| consideration. Since a quasi-metric space existed, the objective now was to combine these |  |
| orthogonal measures into various one, two, three and four-dimensional measures, using the |  |
| Euclidean distance formula to determine the shortest chain between neighborhoods of |  |
| documents in each dimension. Eleven matrices resulted. . . |  |
| With the "Indirect Method." the query simply serves as an entry point to the file. Once a |  |
| relevant document is found, the remaining retrieved documents are determined by internal |  |
| file structure, independently of the query. Relevance is not a zero or one comparison between |  |
| the query and each document, but is based on a conditional probability of relevance between |  |
| the documents in the file. (p. 346) |  |$\}$


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | With the "Indirect Method." the query simply serves as an entry point to the file. Once a relevant document is found, the remaining retrieved documents are determined by internal file structure, independently of the query. Relevance is not a zero or one comparison between the query and each document, but is based on a conditional probability of relevance between the documents in the file. (p. 346) |
| 28. The non-semantical method of claim 26 wherein the first and second numerical representations are vectors that are arranged in first and second matrices; | See, e.g., Cleveland, 1976, at p. 345-46 <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) <br> Distance Matrices <br> At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1 . <br> It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being unit distance one. The following tactic was employed to convert each of the four basic matrices into distance matrices: <br> (p. 345) <br> Thus, four basic distance measures were created, representing the four basic measures under consideration. Since a quasi-metric space existed, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. Eleven matrices resulted. (p. 346) |
| [28a] the direct relationships are express references from a one object to another object in the database; | See, e.g., Cleveland, 1976, at passim, p. 344-45 |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
|  | $\begin{array}{l}\text { The second measure was based on the journals in which the documents appeared. There were } \\ 16 \text { different journals in the data set. Approximately 30,000 citations, all the citations for a } \\ \text { one year period, were examined. The result was a frequency list of citations for each of the } \\ 16 \text { journals, giving the total citations to other journals in the data set. . . (p. 344) }\end{array}$ |
| $\Theta(C i)$ is the number of the number of citations representing document $C i$. . (p. 345) |  |$]$


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | documents in each dimension. Eleven matrices resulted. . . . With the "Indirect Method." the query simply serves as an entry point to the file. Once a relevant document is found, the remaining retrieved documents are determined by internal file structure, independently of the query. Relevance is not a zero or one comparison between the query and each document, but is based on a conditional probability of relevance between the documents in the file. (p. 346) |
| [28d] and examining the chronological data. | See, e.g., Cleveland, 1976, at p. 344 <br> Approximately 30,000 citations, all the citations for a one year period, were examined. (p. 344) |
| 29. The non-semantical method of claim 26 wherein the step of analyzing the first numerical representation further comprises: examining the first numerical representation for patterns which indicate the indirect relationships. | See, e.g., Cleveland, 1976, at p. 344-345 <br> 4) W-axis-The commonality of citations between the documents. It is assumed that closely related documents will have closely related citations. (p. 345) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) |
| 30. The non-semantical method of claim 29, given that object A occurs before object B and object c occurs before object A, and wherein the step of creating a first numerical representation comprises examining for the direct relationship B cites A and wherein the step of examining for patterns further comprises the step of examining for the following pattern: <br> A cites c, and B cites c. | See, e.g., Cleveland, 1976, at p. 344-345 <br> 4) W-axis-The commonality of citations between the documents. It is assumed that closely related documents will have closely related citations. (p. 345) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
| 31. The non-semantical method of claim 29, wherein a, b, c, A, d, e, f, B, g, h, and i are objects in the database and given that; <br> a, b, and c occur before A; <br> A occurs before d , e, and f, which occur before B; and <br> B occurs before $\mathrm{g}, \mathrm{h}$, and i ; <br> and wherein the step of examining for patterns further comprises the step of examining for one or more of the following patterns: <br> (i) g cites A , and g cites B ; <br> (ii) B cites f , and f cites A ; <br> (iii) B cites f, f cites e, and e cites A; <br> (iv) B cites f , f cites e, e cites d, and d cites A; <br> (v) $g$ cites $\mathrm{A}, \mathrm{h}$ cites $\mathrm{B}, \mathrm{g}$ cites a , and h cites a ; <br> (vi) i cites B, i cites f (or g ), and f (or g ) cites A; <br> (vii) i cites g , i cites A , and g cites B ; <br> (viii) i cites g (or d), i cites $\mathrm{h}, \mathrm{g}$ (or d) cites A , and h cites B; <br> (ix) i cites a , i cites B , and A cites a ; <br> (x) i cites A, i cites e, B cites e; <br> (xi) g cites A, g cites a, A cites $\mathrm{a}, \mathrm{h}$ cites B , and h cites a; <br> (xii) A cites a, B cites d, i cites a, and i cites d; <br> (xiii) i cites $\mathrm{B}, \mathrm{i}$ cites d , A cites a , and d cites a ; <br> (xiv) A cites b, B cites d (or c), and d (or c) cites b; | See, e.g., Cleveland, 1976, at p. 344-345 <br> 4) W-axis-The commonality of citations between the documents. It is assumed that closely related documents will have closely related citations. (p. 345) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
| (xv) A cites b, B cites d, b cites a, and d cites a; (xvi) A cites a, B cites b, d (or c) cites a, and d (or c) cites b. |  |
| 32. The non-semantical method of claim 26, wherein the step of analyzing further comprises the step of weighing, wherein some indirect relationships are weighed more heavily than other indirect relationships. | See, e.g., Cleveland, 1976, at p. 345 <br> Distance Matrices <br> At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1 . <br> It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being unit distance one. <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) |
| 33. The non-semantical method of claim 26, wherein the step of analyzing the first numerical representations for indirect relationships further comprises: | (See claim 26 and below) |
| [33a] creating an interim vector representing each object; and wherein the step of generating a second numerical representation uses coefficients of similarity and further comprises: | See, e.g., Cleveland, 1976, at p. 345-46 <br> An automatic word frequency technique was used to get the index terms measure. This technique has been used successfully in documentation studies at Case Western Reserve University for several years. Its basic form is described by Goffman (4). |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | The resulting lists of index terms were used to construct a matrix of relatedness between each pair of documents in the file. The numerical value was calculated as follows: $p_{i j}=\frac{m\left(X_{i} \Lambda X_{j}\right)}{m\left(X_{i}\right)}$ <br> where $\mathrm{m}(\mathrm{Xi} \Lambda \mathrm{Xi})$ is the number of index terms common to document Xi and document Xj . $\mathrm{m}(\mathrm{Xi})$ is the total number of index terms for document Xi. (p. 344) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of citations representing document Ci . (p. 345) <br> Distance Matrices <br> At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1. <br> It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being unit distance one. The following tactic was employed to convert each of the four basic matrices into distance matrices: <br> (p. 345) <br> Thus, four basic distance measures were created, representing the four basic measures under consideration. Since a quasi-metric space existed, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. Eleven matrices resulted. (p. 346) |
| [33b] calculating Euclidean distances between interim vector representations of each object; | See, e.g., Cleveland, 1976, at p. 345-46 |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
|  | $\begin{array}{l}\text { Distance Matrices } \\ \text { At this point, the four matrices showed the relatedness between each pair of documents in } \\ \text { terms of the four basic measures with values between } 0 \text { and } 1 . \\ \text { It was now necessary to convert these matrices into distance matrices and combine them, } \\ \text { using the Euclidean distance formula. If the measure value between document Xi and Xi was } \\ \text { greater than some chosen threshold, then the distance between the pair was defined as being } \\ \text { unit distance one. The following tactic was employed to convert each of the four basic } \\ \text { matrices into distance matrices: . . p. 345) } \\ \text { Thus, four basic distance measures were created, representing the four basic measures under } \\ \text { consideration. Since a quasi-metric space existed, the objective now was to combine these } \\ \text { orthogonal measures into various one, two, three and four-dimensional measures, using the } \\ \text { Euclidean distance formula to determine the shortest chain between neighborhoods of } \\ \text { documents in each dimension. Eleven matrices resulted. (p. 346) }\end{array}$ |
| [33c] creating proximity vectors representing the |  |
| objects using the calculated Euclidean distances; |  |
| and |  | \(\left.\left.\begin{array}{l}See, e.g., Cleveland, 1976, at p. 345-46 <br>

Distance Matrices <br>
At this point, the four matrices showed the relatedness between each pair of documents in\end{array}\right\} $$
\begin{array}{l}\text { terms of the four basic measures with values between 0 and 1. } \\
\text { It was now necessary to convert these matrices into distance matrices and combine them, } \\
\text { using the Euclidean distance formula. If the measure value between document Xi and Xi was } \\
\text { greater than some chosen threshold, then the distance between the pair was defined as being } \\
\text { unit distance one. The following tactic was employed to convert each of the four basic } \\
\text { matrices into distance matrices: } \\
\text { Step One: Arbitrary thresholds were picked for each matrix in terms of the calculated } \\
\text { numerical values. In actual practice the thresholds would depend on whether a fine or a } \\
\text { broad scope of retrieval is desired. For pur-poses of experimentation. it is only necessary that } \\
\text { the thresholds be held constant throughout the experiment. The thresholds picked were .14 } \\
\text { for the index terms. .50 for thejournals, .08fortheauthorsand.0Iforthecita-tions. Any } \\
\text { relatedness values that fell below these thres-holds were considered zero. }\end{array}
$$\right\}\)

| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | document Xj which is above the threshold. <br> Step Three : For each document Xj that is a distance of one from document Xi , go along the row of Xj and assign a distance of two to each document that is above the threshold, provided it is not already of distance one from document Xi . <br> Step Four: Continue this procedure until all docu-ments have a distance from document Xi. Those documents with zero relatedness values are considered to be of infinite distance. <br> Step Five: Repeat the procedure for all i. <br> Step Six : Repeat the total procedure for all n basic matrices. <br> The results are links of documents for each $n$ basic matrix. These sequences reflect the smallest communication chain between elements, hence a quasi-distance. <br> (p. 345) |
| [33d] using the proximity vectors and using coefficients of similarity to calculate the second numerical representations. | See, e.g., Cleveland, 1976, at p. 344. <br> An automatic word frequency technique was used to get the index terms measure. This technique has been used successfully in documentation studies at Case Western Reserve University for several years. Its basic form is described by Goffman (4). <br> The resulting lists of index terms were used to construct a matrix of relatedness between each pair of documents in the file. The numerical value was calculated as follows: $p_{i j}=\frac{m\left(X_{i} \Lambda X_{j}\right)}{m\left(X_{i}\right)}$ <br> where $\mathrm{m}(\mathrm{Xi} \Lambda \mathrm{Xi})$ is the number of index terms common to document Xi and document Xj . $\mathrm{m}(\mathrm{Xi})$ is the total number of index terms for document Xi . (p. 344) |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
|  | Thus, four basic distance measures were created, representing the four basic measures under <br> consideration. Since a quasi-metric space existed, the objective now was to combine these <br> orthogonal measures into various one, two, three and four-dimensional measures, using the <br> Euclidean distance formula to determine the shortest chain between neighborhoods of <br> documents in each dimension. Eleven matrices resulted. (p. 346) |
| 34. The non-semantical method of claim 26, <br> wherein objects in the database may be divided into <br> subsets and wherein the marking step includes the <br> step of marking subsets of objects in the database <br> and wherein relationships exist between or among <br> subsets of objects in the database. | See, e.g., Cleveland, 1976, at p. 344. <br> There were 16 different journals in the data set. Approximately 30,000 citations, all the <br> citations for a one year period, were examined. The result was a frequency list of citations <br> for each of the 16 journals, giving the total citations to other journals in the data set. . . <br> Thus, connected with each journal was its journal citation profile. (p. 344) |
| 35. The non-semantical method of claim 34 wherein <br> the objects are textual objects with paragraphs and <br> the subsets are the paragraphs of the textual objects, <br> the method further comprising the steps of: | See, e.g., Cleveland, 1976, at p. 347. <br> Cleveland also teaches applying the method to abstracts. ("[A]nother dimension, based on <br> abstracts . . might be used....") (p. 347) |
| [35a] creating a subset numerical representation for |  |
| each subset based upon the relationships between or |  |
| among subsets; |  | | See, e.g., Cleveland, 1976, at p. 345. |
| :--- | :--- |
| 4) W-axis-The commonality of citations between the documents. It is assumed that closely |
| related documents will have closely related citations. (p. 345) |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document $C i$. (p. 345) |
| [35c] clustering the subsets into sections based upon the subset analysis; and | See, e.g., Cleveland, 1976, at p. 346. |
| [35d] generating a section numerical representation for each section, wherein the section numerical representations are available for searching. | Since a quasi-metric space exited, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. (p. 346). |
| 36. The non-semantical method of claim 26, wherein the step of searching the objects comprises the steps of: selecting an object; using the second numerical representation to search for objects similar to the selected object. | See, e.g., Cleveland, 1976, at passim, p. 345-46 |
|  | Distance Matrices |
|  | At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1 . |
|  | It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being unit distance one. The following tactic was employed to convert each of the four basic matrices into distance matrices: (p. 345) |
|  | Thus, four basic distance measures were created, representing the four basic measures under consideration. Since a quasi-metric space existed, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. Eleven matrices resulted. . . . With the "Indirect Method." the query simply serves as an entry point to the file. Once a relevant document is found, the remaining retrieved documents are determined by internal file structure, independently of the query. Relevance is not a zero or one comparison between the query and each document, but |


| Claim Text from '352 Patent |  |
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| Claim Text from '352 Patent | Cleveland, 1976 |
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|  | appeared, (3) Closeness of the authors of the documents and (4) Closeness of citations. |
| [41a] labeling objects with a first numerical representation; and | See, e.g., Cleveland, 1976, at passim and p. 345. <br> $\Theta\left(C_{i}\right)$ is the number of the number of citations representing document Ci . (p. 345) |
| [41b] generating a second numerical representation for each object based on each object's references to other objects; | See, e.g., Cleveland, 1976, at p. 344-45 <br> The second measure was based on the journals in which the documents appeared. There were 16 different journals in the data set. Approximately 30,000 citations, all the citations for a one year period, were examined. The result was a frequency list of citations for each of the 16 journals, giving the total citations to other journals in the data set. . . . (p. 344) <br> $\Theta(C i)$ is the number of the number of citations representing document $C i$. (p. 345) |
| [41c] patterning, comprising the step of creating a third numerical representation for each object using the second numerical representations, wherein the third numerical representation for each object is determined from an examination of the second numerical representations for occurrences of patterns that define indirect relations between or among objects; | See, e.g., Cleveland, 1976, at p. 344-345 <br> 4) W-axis-The commonality of citations between the documents. It is assumed that closely related documents will have closely related citations. (p. 345) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci. (p. 345) |
| [41d] weaving, comprising the steps of: calculating a fourth numerical representation for | See, e.g., Cleveland, 1976, at passim, p. 345-46 Distance Matrices |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
| each object based on the euclidean distances between the third numerical representations; and | At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1 . <br> It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being unit distance one. The following tactic was employed to convert each of the four basic matrices into distance matrices: <br> (p. 345) <br> Thus, four basic distance measures were created, representing the four basic measures under consideration. Since a quasi-metric space existed, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. Eleven matrices resulted. . . . With the "Indirect Method." the query simply serves as an entry point to the file. Once a relevant document is found, the remaining retrieved documents are determined by internal file structure, independently of the query. Relevance is not a zero or one comparison between the query and each document, but is based on a conditional probability of relevance between the documents in the file. (p. 346) |
| [41e] determining a fifth numerical representation for each object by processing the fourth numerical representations through similarity processing; and | See, e.g., Cleveland, 1976, at p. 345-46 <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci . (p. 345) <br> Distance Matrices <br> At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1 . <br> It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
|  | $\begin{array}{l}\text { unit distance one. The following tactic was employed to convert each of the four basic } \\ \text { matrices into distance matrices: } \\ \text { (p. 345) } \\ \text { Thus, four basic distance measures were created, representing the four basic measures under } \\ \text { consideration. Since a quasi-metric space existed, the objective now was to combine these } \\ \text { orthogonal measures into various one, two, three and four-dimensional measures, using the } \\ \text { Euclidean distance formula to determine the shortest chain between neighborhoods of } \\ \text { documents in each dimension. Eleven matrices resulted. (p. 346) }\end{array}$ |
| [41f] storing the fifth numerical representations in |  |
| the computer database as the index for use in |  |
| searching for objects in the database. |  |\(\left.\quad \begin{array}{l}See, e.g., Cleveland, 1976, at <br>

Distance Matrices <br>
At this point, the four matrices showed the relatedness between each pair of documents in <br>

terms of the four basic measures with values between 0 and 1.\end{array}\right\}\)| It was now necessary to convert these matrices into distance matrices and combine them, |
| :--- |
| using the Euclidean distance formula. If the measure value between document Xi and Xi was |
| greater than some chosen threshold, then the distance between the pair was defined as being |
| unit distance one. The following tactic was employed to convert each of the four basic |
| matrices into distance matrices: (p. 345) |
| Thus, four basic distance measures were created, representing the four basic measures under |
| consideration. Since a quasi-metric space existed, the objective now was to combine these |
| orthogonal measures into various one, two, three and four-dimensional measures, using the |
| Euclidean distance formula to determine the shortest thain between neighborhoods of |
| documents in each dimension. Eleven matrices resulted. . . |
| Therefore, a test consists of presenting queries to the system, using a particular relatedness |
| measure or a particular combination of measures and observing how close the retrieval |
| results approach the ideal. |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | the query and each document, but is based on a conditional probability of relevance between the documents in the file. (p. 346) |
| 42. The method of claim 41 wherein the first through fifth numerical representations are vector representations and further comprises the step of clustering objects having similar characteristics. | See, e.g., Cleveland, 1976, at p. 346. <br> Thus, four basic distance measures were created, representing the four basic measures under consideration. Since a quasi-metric space existed, the objective now was to combine these orthogonal measures into various one, two, three and four-dimensional measures, using the Euclidean distance formula to determine the shortest chain between neighborhoods of documents in each dimension. Eleven matrices resulted. (p. 346) |
| 44. The method of claim 41 wherein the step of creating the third numerical representations further comprises the steps of: | See, e.g., Cleveland, 1976, at p. 345 <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ <br> Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document $C i$. (p. 345) |
| [44a] analyzing the second numerical representation against a plurality of empirically defined patterns, wherein certain patterns are more important than others; and |  |
| [44b] weighing the analyzed second numerical representations according to the importance of the patterns. |  |
| 45. A method for searching indexed objects, wherein the index is stored, comprising the steps of: | See, e.g., Cleveland, 1976, at passim, abstract and p. 344 |
|  | The four basic measures of document relatedness were: (1) Index terms, (2) Journals in which the documents appeared, (3) Closeness of the authors of the documents and (4) Closeness of citations. (Abstract). <br> 1) X-axis- Keyword co-occurrence between the documents in the file. This is the measure |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | used in the original Indirect Method experiment and is, of course, the most obvious measure. Documents with similar index terms probably have similar information content. . . The resulting lists of index terms were used to construct a matrix of relatedness between each pair of documents in the file. ... (p. 344) <br> An automatic term frequency technique was used to get the index terms measure. (p. 344) |
| [45a] entering search commands; | See, e.g., Cleveland, 1976, at p. 346 <br> [A] test consists of presenting queries to the system. . . . <br> With the "Indirect Method," the query simply serves as an entry point to the file. (p. 346) |
| [45b] processing the search commands with a processor; | See, e.g., Cleveland, 1976, at p. 346 <br> [A] test consists of presenting queries to the system. . . . Some form of Boolean operation is the most basic of techniques. (In the experiment reported here the index terms used to represent the "query" article made up the search vectors.) For a Boolean search a query is compared with each document in the file using any Boolean operation desired. . . . <br> With the "Indirect Method," the query simply serves as an entry point to the file. (p. 346) |
| [45c] retrieving the stored index using the processor; | See, e.g., Cleveland, 1976, at p. 344, 345-46 <br> An automatic term frequency technique was used to get the index terms measure. (p. 344) <br> Finally, the measure of citations was calculated as follows: $s_{i j}=\frac{\Theta\left(C_{i} \Lambda C_{j}\right)}{\Theta\left(C_{i}\right)}$ |


| Claim Text from '352 Patent | Cleveland, 1976 |
| :---: | :---: |
|  | Where $\Theta\left(C_{i} \Lambda C_{j}\right)$ is the number of citations common to document $C i$ and $C j$, and $\Theta(C i)$ is the number of the number of citations representing document Ci. (p. 345) <br> - Distance Matrices <br> At this point, the four matrices showed the relatedness between each pair of documents in terms of the four basic measures with values between 0 and 1 . <br> It was now necessary to convert these matrices into distance matrices and combine them, using the Euclidean distance formula. If the measure value between document Xi and Xi was greater than some chosen threshold, then the distance between the pair was defined as being unit distance one. The following tactic was employed to convert each of the four basic matrices into distance matrices: <br> [A] test consists of presenting queries to the system. . . Some form of Boolean operation is the most basic of techniques. (In the experiment reported here the index terms used to represent the "query" article made up the search vectors.) For a Boolean search a query is compared with each document in the file using any Boolean operation desired. . . . <br> With the "Indirect Method," the query simply serves as an entry point to the file. (p. 346) |
| [45d] Analyzing the index to identify a pool of objects, comprising the steps of: | See steps below: |
| [45e] interpreting the processed searched commands as a selection of an object; | See, e.g., Cleveland, 1976, at p. 346 <br> [A] test consists of presenting queries to the system. . . . <br> With the "Indirect Method," the query simply serves as an entry point to the file. (p. 346) |
| [45f] identifying a group of objects that have a relationship to the selected object, wherein the step |  |



| Claim Text from '352 Patent | Cleveland, 1976 |
| :--- | :--- |
|  | looks like this: . . Thus, four basic distance measures were created. (p. 345-46) |
| $\begin{array}{l}\text { [45j] ranking the objects in the group of objects in } \\ \text { accordance to the quantified relationship to the } \\ \text { selected object; and }\end{array}$ | See, e.g., Cleveland, 1976, at p. 342,346 |
| Th5k] presenting one or more objects from the |  |
| group of objects in ranked order. |  |\(\left.\quad \begin{array}{l}This relevance number is a measure of the probability that the document will satisfy the <br>

request. The result of the search is an ordered list of those documents that satisfy the <br>
request, ranked according to their probable relevance. <br>
Therefore, a test consists of presenting queries to the system, using a particular relatedness <br>
measure or a particular combination of measures and observing how close the retrieval <br>
results approach the ideal. <br>
With the "Indirect Method." the query simply serves as an entry point to the file. Once a <br>
relevant document is found, the remaining retrieved documents are determined by internal <br>
file structure, independently of the query. Relevance is not a zero or one comparison between <br>
the query and each document, but is based on a conditional probability of relevance between <br>
the documents in the file. (p. 346)\end{array}\right]\)

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 5,544,352

Based on Baase, S., Computer Algorithms: Introduction to Design and Analysis, $2^{\text {nd }}$ Edition, Addison-Wesley
Publishing Co., 1988. ("Baase, 1988)

| Claim Text from '352 Patent | Baase 1988 |
| :--- | :--- |
| 26. A non-semantical method for numerically <br> representing objects in a computer database and for <br> computerized searching of the numerically <br> represented objects in the database, wherein direct <br> and indirect relationships exist between objects in <br> the database, comprising: | See, e.g., Baase, 1988, p. 149-156, 160-166 and 167-72, Title (Computer Algorithms). |
| [26a] Marking objects in the database so that each <br> marked object may be individually identified by a <br> computerized search; | See, e.g., Baase, 1988, p. 149-156 and 167-72, Title (Computer Algorithms). |
| Input: G = (V, E, W), a weighted graph or digraph . . . G is represented by an adjacency list |  |
| [26b] creating a first numerical representation for <br> each identified object in the database based upon the <br> object's direct relationship with other objects in the <br> database; | See, e.g., Baase, 1988, p. 162-163, 171 <br> Input: G $=(\mathrm{V}, \mathrm{E}, \mathrm{W})$, a weighted graph or digraph . . . G is represented by an adjacency list <br> structure. . . (p. 171). |
| [26c] storing the first numerical representations for <br> use in computerized searching; |  |


| Claim Text from '352 Patent | Baase 1988 |
| :---: | :---: |
| [26d] analyzing the first numerical representations for indirect relationships existing between or among objects in the database; <br> [26e] generating a second numerical representation of each object based on the analysis of the first numerical representation; <br> [26f] storing the second numerical representation for use in computerized searching; and | See, e.g., Baase, 1988, at p. , 160-166, 168-172. <br> $d(A, B)+W(B C)=6$ $d\left(A_{,}, A\right)+W(A G)=5$ $d(A, A)+W(A F)=9$ Select $A G$ next. <br> (b) An invermediate step: <br> (c) An intermediale step. (CH was considered but not chosen to replace OH as a condidate.) <br> Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as $\operatorname{tail}(x y)$ and y as head(xy) even if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v, \operatorname{tail}(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail( $e$ ). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array dist as follows: $\operatorname{dist[y]=} \mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ $\mathrm{W}(\mathrm{yz})$. <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recompute $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I, now in the tree . . . <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . . end $\{$ while $\mathrm{x} \neq \mathrm{w}$ and not stuck $\}$ (p. 171-172) |
| [26g] searching the objects in the database using a | See, e.g., Baase, 1988, at p. 149, 167, 168-172. |


| Claim Text from '352 Patent | Baase 1988 |
| :---: | :---: |
| computer and the stored second numerical representations, wherein the search identifies one or more of the objects in the database. | [W]e briefly considered the problem of finding the best route between two cities on a map of airline routes. Using as our criterion the price of the plane tickets, we observed that the best - i.e., cheapest - way to get from San Diego to Sacramento was to make one stop in Los Angeles. This is one instance, or application, of a very common problem on a weighted graph or digraph: finding a shortest path between two specified vertices. The weight, or length of a path . . . in a weighted graph . . . is . . . the sum of the weights of the edges in the path. If the path is called $P$ we denote its weight by $W(P)$. (p. 167) <br> $\{$ Output the path, the vertices will be listed in the reverse order, i.e. from $w$ to $v\}$ <br> While $\mathrm{x} \neq 0$ do <br> Output(x); $\mathrm{x}:=\operatorname{parent}[\mathrm{x}]$ <br> end (p. 172) |
| 28. The non-semantical method of claim 26 wherein the first and second numerical representations are vectors that are arranged in first and second matrices; the direct relationships are express references from a one object to another object in the database; the objects in the database are assigned chronological data;and wherein the step of searching comprises the steps of matrix searching of the second matrices; and examining the chronological data. | See, e.g., Baase, 1988, p. 149-156, 162-163, and 167-72 <br> Which route involves the least flying time? (p. 149). |
| 29. The non-semantical method of claim 26 wherein the step of analyzing the first numerical representation further comprises: examining the first numerical representation for patterns which indicate the indirect relationships. | See, e.g., Baase, 1988, p. 160-166, 167-72 |
| 32. The non-semantical method of claim 26 , wherein the step of analyzing further comprises the step of weighing, wherein some indirect relationships are | See, e.g., Baase, 1988, p. 149-156, 160-166 and 167-72 |


| Claim Text from '352 Patent | Baase 1988 |
| :--- | :--- |
| weighed more heavily than other indirect <br> relationships. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 5,544,352

## Based on Crouch, D., Crouch, C., Andreas, G., "The Use of cluster Hierarchies in Hypertext information Retrieval," in Hypertext '39 Proceedings, SigChi bulletin, pp. 225-237, November 1989. ("Сrouch, 1989")

| Claim Text from ' 352 Patent | Crouch, 1989 |
| :---: | :---: |
| 26. A non-semantical method for numerically representing objects in a computer database and for computerized searching of the numerically represented objects in the database, wherein direct and indirect relationships exist between objects in the database, comprising: | See, e.g., Crouch, 1989, at pp. 226, 228, 229 |
| [26a] marking objects in the database so that each marked object may be individually identified by a computerized search; | See, e.g., Crouch, 1989, at p. 230, Fig. 8 |
| [26b] creating a first numerical representation for each identified object in the database based upon the object's direct relationship with other objects in the database; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [26c] storing the first numerical representations for use in computerized searching; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [26d] analyzing the first numerical representations for indirect relationships existing between or among objects in the database; | See, e.g., Crouch, 1989, at pp. 228-230 |
| [26e] generating a second numerical representation of each object based on the analysis of the first numerical representation; | See, e.g., Crouch, 1989, at pp. 228-230 |
| [26f] storing the second numerical representation for use in computerized searching; and | See, e.g., Crouch, 1989, at pp. 228-230 |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| [26g] searching the objects in the database using a <br> computer and the stored second numerical <br> representations, wherein the search identifies one or <br> more of the objects in the database. | See, e.g., Crouch, 1989, at pp. 228, 229 |
| 27. The non-semantical method of claim 26, <br> wherein the objects in the database include words, <br> and semantic indexing techniques are used in <br> combination with the non-semantical method, the <br> method further comprising the step of creating and <br> storing a Boolean word index for the words of the <br> objects in the database. | See, e.g., Crouch, 1989, at p. 225 |
| 28. The non-semantical method of claim 26 wherein <br> the first and second numerical representations are <br> vectors that are arranged in first and second <br> matrices; | See, e.g., Crouch, 1989, at p. 228 |
| [28a] the direct relationships are express references <br> from a one object to another object in the database; | See, e.g., Crouch, 1989, at pp. 226, 228-230 |
| [28b] the objects in the database are assigned <br> chronological data; | Disclosed either expressly or inherently in the teachings of the reference and its incorporated <br> disclosures taken as a whole, or in combination with the state of the art at the time of the <br> alleged invention. |


| Claim Text from '352 Patent | Crouch, 1989 |
| :---: | :---: |
| 29. The non-semantical method of claim 26 wherein the step of analyzing the first numerical representation further comprises: examining the first numerical representation for patterns which indicate the indirect relationships. | See, e.g., Crouch, 1989, at pp. 228-230 |
| 30 . The non-semantical method of claim 29, given that object A occurs before object B and object c occurs before object A, and wherein the step of creating a first numerical representation comprises examining for the direct relationship B cites A and wherein the step of examining for patterns further comprises the step of examining for the following pattern: <br> A cites c, and B cites c. | See, e.g., Crouch, 1989, at pp. 228-230 |
| 31. The non-semantical method of claim 29 , wherein a, b, c, A, d, e, f, B, g, h, and i are objects in the database and given that; <br> $\mathrm{a}, \mathrm{b}$, and c occur before A ; <br> A occurs before d, e, and f, which occur before B; and <br> B occurs before $\mathrm{g}, \mathrm{h}$, and i ; <br> and wherein the step of examining for patterns further comprises the step of examining for one or more of the following patterns: <br> (i) g cites A , and g cites B ; <br> (ii) $B$ cites $f$, and $f$ cites $A$; <br> (iii) B cites $\mathrm{f}, \mathrm{f}$ cites e , and e cites A; <br> (iv) B cites $\mathrm{f}, \mathrm{f}$ cites e, e cites d , and d cites A ; <br> (v) g cites $\mathrm{A}, \mathrm{h}$ cites $\mathrm{B}, \mathrm{g}$ cites a , and h cites a ; <br> (vi) i cites B, i cites f (or g), and f (or g) cites A; | See, e.g., Crouch, 1989, at pp. 228-230 |


| Claim Text from '352 Patent | Crouch, 1989 |
| :---: | :---: |
| (vii) i cites $g$, $i$ cites $A$, and $g$ cites $B$; <br> (viii) i cites $g$ (or d), i cites h, $g$ (or d) cites A, and h cites B; <br> (ix) i cites a, i cites B, and A cites a; <br> (x) i cites A, i cites e, B cites e; <br> (xi) $g$ cites $A, g$ cites $a, A$ cites $a, h$ cites $B$, and $h$ cites a; <br> (xii) A cites a, B cites d, i cites a, and i cites d; <br> (xiii) i cites B, i cites d, A cites a, and d cites a; (xiv) A cites b, B cites d (or c), and d (or c) cites b; (xv) A cites b, B cites d, b cites a, and d cites a; (xvi) A cites a, B cites b, d (or c) cites a, and d (or c) cites b. |  |
| 32. The non-semantical method of claim 26, wherein the step of analyzing further comprises the step of weighing, wherein some indirect relationships are weighed more heavily than other indirect relationships. | See, e.g., Crouch, 1989, at pp. 228, 229 |
| 33. The non-semantical method of claim 26, wherein the step of analyzing the first numerical representations for indirect relationships further comprises: | See, e.g., Crouch, 1989, at pp. 228-230 |
| [33a] creating an interim vector representing each object; and wherein the step of generating a second numerical representation uses coefficients of similarity and further comprises: | See, e.g., Crouch, 1989, at p. 228 |
| [33b] calculating Euclidean distances between interim vector representations of each object; | See, e.g., Crouch, 1989, at p. 228 |


| Claim Text from '352 Patent | Crouch, 1989 |
| :---: | :---: |
| [33c] creating proximity vectors representing the objects using the calculated Euclidean distances; and | See, e.g., Crouch, 1989, at p. 228 |
| [33d] using the proximity vectors and using coefficients of similarity to calculate the second numerical representations. | See, e.g., Crouch, 1989, at p. 228 |
| 34. The non-semantical method of claim 26, wherein objects in the database may be divided into subsets and wherein the marking step includes the step of marking subsets of objects in the database and wherein relationships exist between or among subsets of objects in the database. | See, e.g., Crouch, 1989, at p. 230, Fig. 8 |
| 35. The non-semantical method of claim 34 wherein the objects are textual objects with paragraphs and the subsets are the paragraphs of the textual objects, the method further comprising the steps of: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention. |
| [35a] creating a subset numerical representation for each subset based upon the relationships between or among subsets; |  |
| [35b] analyzing the subset numerical representations; |  |
| [35c] clustering the subsets into sections based upon the subset analysis; and |  |
| [35d] generating a section numerical representation for each section, wherein the section numerical representations are available for searching. |  |
| 36. The non-semantical method of claim 26, wherein the step of searching the objects comprises the steps of: selecting an object; using the second numerical representation to search for objects | See, e.g., Crouch, 1989, at pp. 228, 229 |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| similar to the selected object.  <br> 37. The non-semantical method of claim 26, <br> wherein the step of searching includes the step of <br> graphically displaying one or more of the identified <br> objects. See, e.g., Crouch, 1989, at pp.226, 230 <br> 38. The non-semantical method of claim 26, <br> wherein the step of searching includes the step of <br> identifying a paradigm object. See, e.g., Crouch, 1989, at p. 229 <br> 39. The non-semantical method of claim 26, <br> wherein the step of searching the objects comprises <br> the steps of: <br> selecting a pool of objects; See, e.g., Crouch, 1989, at p. 228 <br> [39a] pool-similarity searching to identify a similar <br> pool of textual objects, similar in relation to the <br> objects in marked pool; and See, e.g., Crouch, 1989, at p. 228 <br> [39b] pool-importance searching to identify an <br> important pool of textual objects, important in <br> relation to the objects in the selected pool. See, e.g., Crouch, 1989, at p. 228, 230 <br> 40. The non-semantical method of claim 26, the <br> step of searching comprising the steps of: <br> identifying a paradigm pool of objects; and See, e.g., Crouch, 1989, at p. 229 <br> [40a] searching for relationships between the <br> objects and the paradigm pool of objects; See, e.g., Crouch, 1989, at p. 229 <br> 40b] wherein the searched for relationship is pool <br> importance or pool similarity. See, e.g., Crouch, 1989, at p. 229 <br> 41. A method for the non-semantical indexing of <br> objects stored in a computer database, the method <br> for use in searching the database for the objects, See, e.g., Crouch, 1989, at pp. 225, 226, 228, 229 |  |


| Claim Text from '352 Patent | Crouch, 1989 |
| :---: | :---: |
| comprising the steps of: extracting, comprising the steps of: |  |
| [41a] labeling objects with a first numerical representation; and | See, e.g., Crouch, 1989, at p. 230, Fig. 8 |
| [41b] generating a second numerical representation for each object based on each object's references to other objects; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [41c] patterning, comprising the step of creating a third numerical representation for each object using the second numerical representations, wherein the third numerical representation for each object is determined from an examination of the second numerical representations for occurrences of patterns that define indirect relations between or among objects; | See, e.g., Crouch, 1989, at pp. 228-230 |
| [41d] weaving, comprising the steps of: calculating a fourth numerical representation for each object based on the euclidean distances between the third numerical representations; and | See, e.g., Crouch, 1989, at pp. 228, 229 |
| [41e] determining a fifth numerical representation for each object by processing the fourth numerical representations through similarity processing; and | See, e.g., Crouch, 1989, at pp. 228, 229 |
| [41f] storing the fifth numerical representations in the computer database as the index for use in searching for objects in the database. | See, e.g., Crouch, 1989, at p. 225 |
| 42. The method of claim 41 wherein the first through fifth numerical representations are vector | See, e.g., Crouch, 1989, at pp. 228, 229 |


| Claim Text from '352 Patent | Crouch, 1989 |
| :---: | :---: |
| representations and further comprises the step of clustering objects having similar characteristics. |  |
| 44. The method of claim 41 wherein the step of creating the third numerical representations further comprises the steps of: | See, e.g., Crouch, 1989, at pp. 228-230 |
| [44a] analyzing the second numerical representation against a plurality of empirically defined patterns, wherein certain patterns are more important than others; and | See, e.g., Crouch, 1989, at pp. 228-230 |
| [44b] weighing the analyzed second numerical representations according to the importance of the patterns. | See, e.g., Crouch, 1989, at p. 228 |
| 45. A method for searching indexed objects, wherein the index is stored, comprising the steps of: | See, e.g., Crouch, 1989, at p. 225 |
| [45a] entering search commands; | See, e.g., Crouch, 1989, at p. 229, 230 |
| [45b] processing the search commands with a processor; | See, e.g., Crouch, 1989, at p. 229, 230 |
| [45c] retrieving the stored index using the processor; | See, e.g., Crouch, 1989, at pp. 225, 228, 229 |
| [45d] analyzing the index to identify a pool of objects, comprising the steps of: | See, e.g., Crouch, 1989, at pp. 225, 228, 229 |
| [45e] interpreting the processed searched commands as a selection of an object; | See, e.g., Crouch, 1989, at p. 228, 229 |
| [45f] identifying a group of objects that have a | See, e.g., Crouch, 1989, at pp. 228, 229, 230 |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| relationship to the selected object, wherein the step <br> of identifying comprises the steps of: |  |
| [45g] identifying objects that are referred to by the <br> selected object; and | See, e.g., Crouch, 19899, at pp. 228, 230 |
| [45h] identifying objects that refer to the selected <br> object | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [45i] quantifying the relationship of the selected <br> object to each object in the group of objects; and | See, e.g., Crouch, 1989, at p. 228-230 |
| [45j] ranking the objects in the group of objects in <br> accordance to the quantified relationship to the <br> selected object; and | See, e.g., Crouch, 1989, at p. 228, 230 |
| [45k] presenting one or more objects from the <br> group of objects in ranked order. | See, e.g., Crouch, 1989, at p. 230, 234 |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 5,544,352

Can and Ozkarahan, "A Dynamic Cluster Maintenance System for Information Retrieval," ACM, Vol. 6, p. 123, 1987 (Can 1987)

| Claim Text from '352 Patent | Can, 1987 |
| :---: | :---: |
| 38. The non-semantical method of claim 26, wherein the step of searching includes the step of identifying a paradigm object. | See, e.g., Can 1987 at 123, 124, 129-130 |
| 39. The non-semantical method of claim 26, wherein the step of searching the objects comprises the steps of: selecting a pool of objects; | See, e.g., Can 1987 at p. 124 |
| [39a] pool-similarity searching to identify a similar pool of textual objects, similar in relation to the objects in marked pool; and | See, e.g., Can 1987 at p. 123, 124 |
| [39b] pool-importance searching to identify an important pool of textual objects, important in relation to the objects in the selected pool. | See, e.g., Can 1987 at 123, 124, 129-130 |
| 40. The non-semantical method of claim 26, the step of searching comprising the steps of: identifying a paradigm pool of objects; and | See, e.g., Can 1987 at p. 124 |
| [40a] searching for relationships between the objects and the paradigm pool of objects; | See, e.g., Can 1987 at 129, 130. |
| [40b] wherein the searched for relationship is pool importance or pool similarity. | See, e.g., Can 1987 at 129-130. |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims as appropriate, for example, depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 5,544,352

## Based on Gerard Salton and Chris buckley, "Automatic Text Structuring and Retrieval Experiments in Automatic Encyclopedia Searching ("Salton \& Buckley 1991")

| Claim Text from '352 Patent | SALTON \& BUCKLEY 1991 |
| :---: | :---: |
| [28a] the direct relationships are express references from a one object to another object in the database; | See, e.g., Salton \& Buckley 1991 at 25 ("Three kinds of references between articles are available in the encyclopedia, consisting of 'see', 'see also', and 'qv' (quod vide) references."). |
| 32. The non-semantical method of claim 26, wherein the step of analyzing further comprises the step of weighing, wherein some indirect relationships are weighed more heavily than other indirect relationships. | See, e.g., Salton \& Buckley 1991 at Tables 1-4 (disclosing different similarity weights for second-level searches). |
| [33a] creating an interim vector representing each object; and wherein the step of generating a second numerical representation uses coefficients of similarity and further comprises: | See, e.g., Salton \& Buckley 1991 at 23 ("A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence, etc.) a set of weighted terms to be used for content identification of the corresponding text fragment. These term vectors form the basis for the text comparison operations."). |
| 34. The non-semantical method of claim 26, wherein objects in the database may be divided into subsets and wherein the marking step includes the step of marking subsets of objects in the database and wherein relationships exist between or among subsets of objects in the database. | See, e.g., Salton \& Buckley 1991 at 23 ("A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence, etc.) a set of weighted terms to be used for content identification of the corresponding text fragment. These term vectors form the basis for the text comparison operations. Similarities between particular text items (or between text items and information requests) are obtained by comparing the term vectors for pairs of text items at various levels of detail. When sufficient similarities are detected in both global as well as local contexts, the texts are assumed to be related."). |
| 35. The non-semantical method of claim 34 wherein the objects are textual objects with paragraphs and the subsets are the paragraphs of the textual objects, the method further comprising the steps of: | See, e.g., Salton \& Buckley 1991 at 23 ("A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence, etc.) a set of weighted terms to be used for content identification of the corresponding text fragment.") (emphasis added); 24 ("Larger texts are therefore most easily processed by subdividing them into shorter units before the text comparison system is used. One possibility is to define subdocuments consisting of the various subsections of text into which these long encyclopedia articles are |


| Claim Text from '352 Patent | SALTON \& BUCKLEY 1991 |
| :--- | :--- |
|  | subdivided. Each subdocument is then used as a separate query and the outputs obtained <br> with the several subdocuments are appropriately combined."). |
| [35a] creating a subset numerical representation for <br> each subset based upon the relationships between or <br> among subsets; | See preamble to Claim 35, supra, see also Salton \& Buckley 1991 at 24 ("For short text <br> excerpts, such as text sentences, a text similarity measure that depends on the proportion of <br> matching items is not indicative of coincidence in text meaning... Short texts are therefore <br> compared using an atn term weight, equivalent to the numerator of expression (1) without <br> the length normalization of the denominator. The atn term weight ranges in size from 0 to <br> log N, and the corresponding inner product text similarity depends on the number (rather <br> than the proportion) of matching terms."). |
| [35b] analyzing the subset numerical |  |
| representations; | See supra at Claim 35[a]. |
| [35c] clustering the subsets into sections based |  |
| upon the subset analysis; and |  | | See, e.g., Salton \& Buckley 1991 at Table 3; 27 ("Long query articles consisting of many |
| :--- |
| text paragraphs are best broken down into more focused parts by using the individual |
| paragraphs as subqueries, and combining the respective search results"). |


| Claim Text from '352 Patent | SALTON \& BUCKLEY 1991 |
| :---: | :---: |
| [45a] entering search commands; | See, e.g., Salton \& Buckley 1991 at 24 ("An automated encyclopedia search system is implemented which uses particular encyclopedia articles as search requests, and retrieves related articles in decreasing order of presumed similarity with the request articles."). |
| [45b] processing the search commands with a processor; | See Chart for Claim 45[a], supra. |
| [45c] retrieving the stored index using the processor; | See Chart for Claim 45[a], supra. |
| [45d] analyzing the index to identify a pool of objects, comprising the steps of: | See, e.g., Salton \& Buckley 1991 at 25 (disclosing a pool of four documents identified by the search). |
| [45e] interpreting the processed searched commands as a selection of an object; | See, e.g., Salton \& Buckley 1991 at 25 ("A standard encyclopedia search for a one-paragraph query (document 114, Acacia) is illustrated . . . ."). |
| [45f] identifying a group of objects that have a relationship to the selected object, wherein the step of identifying comprises the steps of: | See, e.g., Salton \& Buckley 1991 at 25 ("A standard encyclopedia search for a one-paragraph query (document 114, Acacia) is illustrated in Table 1. A multi-stage search strategy is used where all articles with a global query similarity exceeding 0.20 are retrieved initially."). |
| [45g] identifying objects that are referred to by the selected object; and | See, e.g., Salton \& Buckley 1991 at 25 ("Three kinds of references between articles are available in the encyclopedia, consisting of 'see', 'see also,' and 'qv' (quod vide) references. The reasonable assumption can be made that when one of these references is present citing article B within, or after, the text of article A, then B is relevant to query article A."). |
| [45i] quantifying the relationship of the selected object to each object in the group of objects; and | See, e.g., Salton \& Buckley 1991 at Table 1 (disclosing the quantum of similarity between the selected object ("Acacia") and the retrieved objects ("Mimosa" and "Indigo Plant")). |
| [45j] ranking the objects in the group of objects in accordance to the quantified relationship to the selected object; and | See, e.g., Salton \& Buckley 1991 at 25 ("Five items are retrieved . . . Document 23149 is retrieved at the top of the ranked list with a query similarity of 0.5058 ."). |


| Claim Text from '352 Patent | SALTON \& BUCKLEY 1991 |
| :--- | :--- |
| [45k] presenting one or more objects from the <br> group of objects in ranked order. | See Chart for Claim 45[k], supra. |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 5,544,352

Salton \& Buckley, 1990, "Approaches to Text Retrieval for Structured Documents" TR 90-1083. (Department of Computer Science, Cornell University).

| Claim Text from '352 Patent | Salton, 1990 |
| :--- | :--- |
| 34. The non-semantical method of claim 26, <br> wherein objects in the database may be divided into <br> subsets | See, e.g., Salton, 1990, passim, e.g., p. 2-3, Fig. 2 |
| [34a] and wherein the marking step includes the <br> step of marking subsets of objects in the database | See, e.g., Salton, 1990, p. 3, 5, 6, 11, Fig. 1 \& 2. |
| [34b] and wherein relationships exist between or <br> among subsets of objects in the database. | See, e.g., Salton, 1990, p. 3-4, 5-6 |
| 35. The non-semantical method of claim 34 wherein <br> the objects are textual objects with paragraphs and <br> the subsets are the paragraphs of the textual objects, <br> the method further comprising the steps of: | See, e.g., Salton, 1990, passim and p. 2-3. |
| [35a] creating a subset numerical representation for <br> each subset based upon the relationships between or <br> among subsets; | See, e.g., Salton, 1990, (p. 3-4). |
| [35b] analyzing the subset numerical <br> representations; | See, e.g., Salton, 1990, (p. 3-4). |
| [35c] clustering the subsets into sections based <br> upon the subset analysis; and |  |
| [35d] generating a section numerical representation <br> for each section, wherein the section numerical <br> representations are available for searching. | See, e.g., Salton, 1990, (p. 3-4). |
| 38. The non-semantical method of claim 26, <br> wherein the step of searching includes the step of <br> identifying a paradigm object. | See, e.g., Salton, 1990, (p. 5). |
| 39. The non-semantical method of claim 26, <br> wherein the step of searching the objects comprises | See, e.g., Salton, 1990, (p. 4-5). |


| Claim Text from '352 Patent | Salton, 1990 |
| :---: | :---: |
| the steps of: selecting a pool of objects; |  |
| [39a] pool-similarity searching to identify a similar pool of textual objects, similar in relation to the objects in marked pool; and | See, e.g., Salton, 1990, (p. 4-5). |
| [39b] pool-importance searching to identify an important pool of textual objects, important in relation to the objects in the selected pool. | See, e.g., Salton, 1990, (p. 4-5). |
| 40 . The non-semantical method of claim 26 , the step of searching comprising the steps of: identifying a paradigm pool of objects; and | See, e.g., Salton, 1990, (p. 4-5). |
| [40a] searching for relationships between the objects and the paradigm pool of objects; | See, e.g., Salton, 1990, (p. 4-5). |
| [40b] wherein the searched for relationship is pool importance or pool similarity. | See, e.g., Salton, 1990, (p. 4-5). |
| 42. The method of claim 41 wherein the first through fifth numerical representations are vector representations and further comprises the step of clustering objects having similar characteristics. | See, e.g., Salton, 1990, (p. 3-4). |
| 45. A method for searching indexed objects, wherein the index is stored, comprising the steps of: | See, e.g., Salton, 1990, passim, e.g., p. 6. |
| [45a] entering search commands; | See, e.g., Salton, 1990 at p. 4, 6 |
| [45b] processing the search commands with a processor; | See, e.g., Salton, 1990 at p. 4, 6 |
| [45c] retrieving the stored index using the processor; |  |
| [45d] analyzing the index to identify a pool of objects, comprising the steps of: |  |
| [45e] interpreting the processed searched commands as a selection of an object; |  |
| [45f] identifying a group of objects that have a | See, e.g., Salton, 1990 at p. 4, 6 |


| Claim Text from '352 Patent | Salton, 1990 |
| :---: | :---: |
| relationship to the selected object, wherein the step of identifying comprises the steps of: |  |
| [ 45 g ] identifying objects that are referred to by the selected object; and | See, e.g., Salton, 1990 at p. 4, 5, 6 |
| [45h] identifying objects that refer to the selected object |  |
| [45i] quantifying the relationship of the selected object to each object in the group of objects; and |  |
| [45j] ranking the objects in the group of objects in accordance to the quantified relationship to the selected object; and |  |
| [45k] presenting one or more objects from the group of objects in ranked order. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims as appropriate, for example, depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

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Invalidity Claim Chart for U.S. Patent No. 5,544,352

## Based on Robert Korfhage, "Query Enhancement By User Profiles ("Korfhage")

| Claim Text from '352 Patent |  |
| :--- | :--- | :--- |
| 33. The non-semantical method of claim 26, <br> wherein the step of analyzing the first numerical <br> representations for indirect relationships further <br> comprises: | See infra. |
| [33a] creating an interim vector representing each <br> object; and wherein the step of generating a second <br> numerical representation uses coefficients of <br> similarity and further comprises: | See Korfhage at 112 ("We begin with the typical conceptualization of documents and queries <br> as points in an n-dimensional document space. The classical view is that if we can suitably <br> parameterize this space, then distance or separation between two points within the space <br> correspons inversely to similarity between the documents or queries that these points <br> represent."); Figs. 1-2: |


| Claim Text from '352 Patent | Korfhage |
| :---: | :---: |
| [33b] calculating Euclidean distances between interim vector representations of each object; | See Korfhage at 112 ("if we can suitably parameterize this space, then distance or separation between two points within the space corresponds inversely to similarity between the documents or queries that these points represent. While one can measure this distance in a number of ways, the normal measures seem to be either Euclidean or rectangular distances.") |
| [33c] creating proximity vectors representing the objects using the calculated Euclidean distances; and | See Chart for Claims [33a] and [33b], supra. |
| [33d] using the proximity vectors and using coefficients of similarity to calculate the second numerical representations. | See Chart for Claims [33a] and [33b], supra. |
| 41. A method for the non-semantical indexing of objects stored in a computer database, the method for use in searching the database for the objects, comprising the steps of: <br> extracting, comprising the steps of: | See infra. |
| [41d] weaving, comprising the steps of: calculating a fourth numerical representation for each object based on the euclidean distances between the third numerical representations; and | See Korfhage at 112 ("if we can suitably parameterize this space, then distance or separation between two points within the space corresponds inversely to similarity between the documents or queries that these points represent. While one can measure this distance in a number of ways, the normal measures seem to be either Euclidean or rectangular distances. The former leads to retrieval (or at least examination) of all documents within an ndimensional spherical shell around the query (Fig. 1)"); Fig. 1: <br> Fig. 1 |


| Claim Text from '352 Patent |  |
| :--- | :--- |
| 42. The method of claim 41 wherein the first <br> through fifth numerical representations are vector <br> representations and further comprises the step of <br> clustering objects having similar characteristics. | See Korfhage at 112 ("("if we can suitably parameterize this space, then distance or <br> separation between two points within the space corresponds inversely to similarity between <br> the documents or queries that these points represent. While one can measure this distance in <br> a number of ways, the normal measures seem to be either Euclidean or rectangular distances. <br> The former leads to retrieval (or at least examination) of all documents within an $n$ - <br> dimensional spherical shell around the query (Fig. 1)") (emphasis added); Fig. 1: |

## Invalidity Claim Chart for US Patent No. 5,832,494

## Based on Benny Brodda, Hans Karlgren, "Citation Index and Measures of association in Mechanized Document Retrieval," KVal PM 295 (1967). Report No. 2 to the Royal Treasury. Published by Sprakforlaget Skriptor. ("Brodda \& Karlgren, 1967")

| Claim Text from '494 Patent | Brodda \& Karlgren, 1967 |
| :--- | :--- |
| 1. A method of analyzing a database with indirect <br> relationships, using links and nodes, comprising the <br> steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4 |
| [1a] selecting a node for analysis; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 4 |
| [1b] generating candidate cluster links for the <br> selected node, wherein the step of generating <br> comprises an analysis of one or more indirect <br> relationships in the database; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5 |
| [1c] deriving actual cluster links from the candidate <br> cluster links; | See, e.g., Brodda \& Karlgren, 1967, at p. 5, passim, pp. 9-13. |
| [1d] identifying one or more nodes for display; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |


| Claim Text from '494 Patent | Brodda \& Karlgren, 1967 |
| :--- | :--- |
|  |  |
| [2a] choosing a number as the maximum number of <br> link lengths that will be examined; and | Disclosed either expressly or inherently in the teachings of the reference and its incorporated <br> disclosures taken as a whole, or in combination with the state of the art at the time of the <br> alleged invention. |
| [2b] examining only those links which are less than <br> the maximum number of link lengths. | See e.g., Brodda \& Karlgren, 1967, at pp. 9-13. |
| 3. The method of claim 1 wherein the step of <br> deriving actual cluster links comprises the step of: <br> selecting the top rated candidate cluster links, <br> wherein the top rated candidate cluster links are <br> those which are most closely linked to the node <br> under analysis. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 |
| 5. The method of claim 1 wherein the step of <br> generating the candidate cluster links comprises the <br> step of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4 <br> eliminating candidate cluster links, wherein the <br> number of candidate cluster links is limited and the <br> closest candidate cluster links are chosen over the <br> remaining links. |
| 9. The method of claim 8, wherein one or more <br> nodes provide links to more than one independent <br> application which can be executed as an extension, <br> the method further comprising the steps of: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated <br> disclosures taken as a whole, or in combination with the state of the art at the time of the <br> alleged invention. |
| [9a] displaying a list of independent applications <br> linked to the node, wherein the step of accessing <br> accesses an independent application. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6 <br> Disclosed either expressly or inherently in the teachings of the reference and its incorporated <br> disclosures taken as a whole, or in combination with the state of the art at the time of the <br> alleged invention. |


| Claim Text from '494 Patent | Brodda \& Karlgren, 1967 |
| :--- | :--- |
| l2. A method for determining the proximity of an <br> object in a stored database to another object in the <br> stored database using indirect relationships, links, <br> and a display, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2-4 |
| [12a] selecting an object to determine the proximity <br> of other objects to the selected object; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [12b] generating a candidate cluster link set for the <br> selected object, wherein the generating step <br> includes an analysis of one or more indirect <br> relationships in the database; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 8 |
| [12c] deriving an actual cluster link set for the <br> selected object using the generated candidate cluster <br> link set; and | See, e.g., Brodda \& Karlgren, 1967, at p. 5 |
| [12d] displaying one or more of the objects in the <br> database, referred to in the actual cluster link set, on <br> a display. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| 13. The method of 12 wherein a set of direct links <br> exists for the database, and wherein the step of <br> generating a candidate cluster link set comprises: <br> recursively analyzing portions of the set of direct <br> links for indirect links. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 9-13. |
| 14. A method for representing the relationship <br> between nodes using stored direct links, paths, and <br> candidate cluster links, comprising the steps of: | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| [14a] initializing a set of candidate cluster links; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 8 |
| [14b] selecting the destination node of a path as the <br> selected node to analyze; | See, e.g., Brodda \& Karlgren, 1967, at p. 4 |
| [14c] retrieving the set of direct links from the <br> selected node to any other node in the database; | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 3 |


| Claim Text from '494 Patent |  |
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| [14d] determining the weight of the path using the |  |
| retrieved direct links; |  | See, e.g., Brodda \& Karlgren, 1967, at p. 4


| Claim Text from '494 Patent | Brodda \& Karlgren, 1967 |
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| [18d] displaying one or more identified objects from the database. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| 19. The method of claim 18 wherein the step of generating a second numerical representation comprises: <br> selecting an object in the database for analysis; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [19a] analyzing the direct relationships expressed by the first numerical representation for indirect relationships involving the selected object; and creating a second numerical representation of the direct and indirect relationships involving the selected object. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-5, 8 |
| 20. The method of 18 wherein the step of identifying at least one object in the database comprises: <br> searching for objects in a database using the stored numerical representation, wherein direct and/or indirect relationships are searched. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 4, 5, 8 |
| 21. The method of claim 18 wherein the displaying step comprises: <br> generating a graphical display for representing an object in the database. | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 5, 6 |
| 23. A method of representing data in a computer database with relationships, comprising the steps of: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3 |
| [23a] assigning nodes node identifications; | See, e.g., Brodda \& Karlgren, 1967, at p. 6 |
| [23b] generating links, wherein each link represents a relationship between two nodes and is identified by the two nodes in which the relationship exists; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3 |


| Claim Text from '494 Patent | Brodda \& Karlgren, 1967 |
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| [23c] allocating a weight to each link, wherein the weight signifies the strength of the relationship represented by the link relative to the strength of other relationships represented by other links; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 4, 5 |
| [23d] displaying a node identification. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| 24. The method of claim 23 , wherein the data in the database is objects, wherein the nodes represent objects and each object is assigned a node identification, and wherein the relationships that exist comprise direct relationships between objects, further comprising the step of: <br> searching generated links, wherein nodes are located by searching the generated links. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 6, 8 |
| 33. A method of representing data in a computer database and for computerized searching of the data, wherein relationships exist in the database, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3 |
| [33a] assigning links to represent relationships in the database; | See, e.g., Brodda \& Karlgren, 1967, at p. 2 |
| [33b] generating node identifications based upon the assigned links, wherein node identifications are generated so that each link represents a relationship between two identified nodes; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [33c] storing the links and node identifications, wherein the links and nodes may be retrieved; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [33d] searching for node identifications using the stored links; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-5, 8 |
| [33e] displaying node identifications, wherein the displayed node identifications are located in the | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |


| Claim Text from '494 Patent | Brodda \& Karlgren, 1967 |
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| searching step. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for US Patent No. 5,832,494

# Based on Baase, S., Computer Algorithms: Introduction to Design and Analysis, $2^{\text {nd }}$ Edition, Addison-Wesley Publishing Co., 1988. ("Baase, 1988) 

| Claim Text from '494 Patent | Baase, 1988 |
| :---: | :---: |
| 1. A method of analyzing a database with indirect relationships, using links and nodes, comprising the steps of: | See, e.g., Baase, 1988, p. 149-156, 160-166 and 167-72, Title (Computer Algorithms). <br> Input: $\mathrm{G}=(\mathrm{V}, \mathrm{E}, \mathrm{W})$, a weighted graph or digraph $\ldots \mathrm{G}$ is represented by an adjacency list structure. . . (p. 171). |
| [1a] Selecting a node for analysis; | See, e.g., Baase, 1988, at p. 149-156, 160-166 and 168-172 <br> Djisktra's shortest path algorithm will find shortest paths from v to the other vertices in order of increasing distance from v. . . The algorithm starts at one vertex (v) and "branches out" by selecting certain edges that lead to new vertices (p. 168) $\mathrm{x}:=\mathrm{v}(\mathrm{p} .171) .$ |
| [1b] Generating candidate cluster links for the selected node, wherein the step of generating comprises an analysis of one or more indirect relationships in the database; | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [1c] Deriving actual cluster links from the candidate cluster links; | Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as tail $(x y)$ and y as head( $x y$ ) even |


| Claim Text from '494 Patent | Baase, 1988 |
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|  | if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v, \operatorname{tail}(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail(e). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array dist as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ $\mathrm{W}(\mathrm{yz})$. <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recompute <br> $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I, now in the tree. . . <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . end $\{$ while $\mathrm{x} \neq \mathrm{w}$ and not stuck $\}$ (p. 171-172) |
| [1d] identifying one or more nodes for display; and | See, e.g., Baase, 1988, at p. 149, 166, 167, 168-172. <br> [W]e briefly considered the problem of finding the best route between two cities on a map of airline routes. Using as our criterion the price of the plane tickets, we observed that the best - i.e., cheapest - way to get from San Diego to Sacramento was to make one stop in Los Angeles. This is one instance, or application, of a very common problem on a weighted graph or digraph: finding a shortest path between two specified vertices. The weight, or length of a path . . . in a weighted graph . . . is . . . the sum of the weights of the edges in the path. If the path is called P we denote its weight by $\mathrm{W}(\mathrm{P})$. (p. 167) <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v \} <br> While $\mathrm{x} \neq 0$ do <br> Output(x); <br> $\mathrm{x}:=\operatorname{parent}[\mathrm{x}]$ <br> end (p. 172) |



| Claim Text from '494 Patent | Baase, 1988 |
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| generating the candidate cluster links comprises the step of: <br> eliminating candidate cluster links, wherein the number of candidate cluster links is limited and the closest candidate cluster links are chosen over the remaining links. | If status[y] = fringe and dist[x] + ptr!. weight $<\operatorname{dist}[y]$ then $\{$ Replace $y$ 's candidate edge by $\mathrm{xy}\}$ parent[y]:=x; dist[y]:= dist[x] + ptr!.eight; end <br> Traverse the fringe list to find a vertex with minimum dist; $\mathrm{x}:=\text { this vertex }$ <br> remove x from the fringe list $\operatorname{status}[\mathrm{x}]:=\text { intree }(\mathrm{p} .172)$ |
| 12. A method for determining the proximity of an object in a stored database to another object in the stored database using indirect relationships, links, and a display, comprising: | See p. , 160-166, 167-72, Title (Computer Algorithms). <br> Input: $G=(V, E, W)$, a weighted graph or digraph $\ldots G$ is represented by an adjacency list structure. . . . (p. 171). |
| [12a] Selecting an object to determine the proximity of other objects to the selected object; | See, e.g., Baase, 1988, at p. 160, 164-167, 168-172, 184-91, 193-97. <br> Djisktra's shortest path algorithm will find shortest paths from v to the other vertices in order of increasing distance from v. . . The algorithm starts at one vertex (v) and "branches out" by selecting certain edges that lead to new vertices (p. 168) $\mathrm{x}:=\mathrm{v}(\mathrm{p} .171) .$ |
| [12b] generating a candidate cluster link set for the selected object, wherein the generating step includes an analysis of one or more indirect relationships in the database; | See, e.g., Baase, 1988, at p. 160-167, 168-172, 184-91, 193-97. |
| [12c] Deriving an actual cluster link set for the selected object using the generated candidate cluster link set; and | $d(A, B)+W(B C)=6$ <br> $d(A, A)+W(A G)=5$ <br> $d(A, A)+W(A F)=9$ Select $A G$ <br> Select $A G$ next. <br> (b) An invermediate step: <br> $d(A, C)+W(C D)=8$ <br> $d(A, A)+W(A F)=9$ <br> $d(A . G)+W(G H)=10$ $d(A, G)+W(G)$ select aI nex. <br> (c) An intermediate step. (CH was considered but nor chosen to replace $O H$ as a candidate.) |


| Claim Text from '494 Patent | Baase, 1988 |
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|  | Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as tail(xy) and y as head( $x y$ ) even if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v, \operatorname{tail}(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail(e). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array dist as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ $\mathrm{W}(\mathrm{yz})$. <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex I and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recompute <br> $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I , now in the tree... <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . end $\{$ while $\mathrm{x} \neq \mathrm{w}$ and not stuck \} (p. 171-172) |
| [12d] Displaying one or more of the objects in the database, referred to in the actual cluster link set, on a display. | See, e.g., Baase, 1988, at p. 149, 166, 168-172, 184-91, 193-97including e.g. <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v\} <br> While $\mathrm{x} \neq 0$ do <br> Output(x); <br> $\mathrm{x}:=\operatorname{parent}[\mathrm{x}]$ <br> end (p. 172) |
| 13. The method of 12 wherein a set of direct links exists for the database, and wherein the step of generating a candidate cluster link set comprises: recursively analyzing portions of the set of direct | See, e.g., Baase, 1988, at p. 160-167, 168-172, 184-91, 193-97. <br> Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a |


| Claim Text from '494 Patent | Baase, 1988 |
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| links for indirect links. | fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as tail(xy) and y as head(xy) even if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v, \operatorname{tail}(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail(e). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array dist as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ $\mathrm{W}(\mathrm{yz})$. <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recompute $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I, now in the tree... <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . end $\{$ while $\mathrm{x} \neq \mathrm{w}$ and not stuck $\}$ (p. 171-172) |
| 14. A method for representing the relationship between nodes using stored direct links, paths, and candidate cluster links, comprising the steps of: | See below: |
| [14a] initializing a set of candidate cluster links; | See, e.g., Baase, 1988, at p. 160-167, 168-172, 184-91, 193-97. <br> $d(A, C)+w(C D)=8$ $d(A, A)$ <br> $d(A, A)+W(A F)=9$ $d(A, G)+W(G D)=7$ <br> $d(A, G)+W(G H)=10$ <br> Select if next. |


| Claim Text from '494 Patent | Baase, 1988 |
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|  | Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as $\operatorname{tail}(x y)$ and y as head(xy) even if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v, \operatorname{tail}(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail(e). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array $\operatorname{dist}$ as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ W(yz). <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recomputed dist $[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I , now in the tree . . . <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . end $\{\mathrm{x} \neq \mathrm{w}$ and not stuck $\}$ (p. 171-172) |
| [14b] Selecting the destination node of a path as the | See, e.g., Baase, 1988, at p. 160-161, 164-167, 168-172, 189-190, 196-197. |
|  |  <br> $d(A, i)+w(A)=?$ $d(A)+w(o n)=?$ <br> $\alpha(A, G)+W(G A)=10$ <br> Select Gil nest. <br> (c) An intermediale step. (CH was considered but not chosen to replace OH as a candidate.) <br> Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write |


| Claim Text from '494 Patent | Baase, 1988 |
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|  | $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as tail(xy) and y as head(xy) even if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v$, tail $(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail(e). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array dist as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ $\mathrm{W}(\mathrm{yz})$. <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recompute <br> $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I , now in the tree... <br> Traverse the fringe list to find a vertex with minimum dist; <br> $\mathrm{x}:=$ this vertex <br> remove $x$ from the fringe list <br> status[x] := intree (p. 172) |
| [14c] retrieving the set of direct links from the selected node to any other node in the database; | See supra, including (p. 160-167, 168-172): $\begin{aligned} & \{\text { Traverse the adjacency list for } \mathrm{x} .\} \\ & \text { ptr: }=\text { adjacencyList[x]; } \\ & \text { while } \operatorname{ptr} \neq \text { nil do } \ldots \text { end }\{\text { while } \mathrm{ptr} \neq \text { nil }\} ; \ldots \text {. } \\ & \text { end }\{\mathrm{x} \neq \mathrm{w} \text { and not } \text { stuck }\} \text { (p. 171-172) } \end{aligned}$ |
| [14d] Determining the weight of the path using the retrieved direct links; | See supra, including (p. 160-167, 168-172): |


| Claim Text from '494 Patent | Baase, 1988 |
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|  | while $\operatorname{ptr} \neq$ nil do $\ldots$. end $\{$ while $\operatorname{ptr} \neq$ nil $\} ; \ldots$ <br> If status[y] = fringe and dist[x] + ptr!..weight < dist[y] then $\{$ Replace y 's candidate edge by xy.\} ... <br> If status $[y]=$ unseen then $\ldots$. dist[y] := dist[x] + ptr!..weight $\ldots$ end $\{$ while $\operatorname{ptr} \neq$ nil $\}$ |
| [14e] repeating steps b through d for each path; and | See supra, including (p. 160-167, 168-172): <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . . <br> while $\operatorname{ptr} \neq$ nil do ... <br> If status[y] = fringe and dist[x] + ptr!..weight < dist[y] then $\{$ Replace y 's candidate edge by xy.\} ... <br> If status $[y]=$ unseen then $\ldots$ dist[y] := dist[x] + ptr!..weight $\ldots$ <br> end $\{$ while $\operatorname{ptr} \neq$ nil $\}$ <br> end $\{x \neq \mathrm{w}$ and not stuck $\} ; \ldots$ (p. 171-172) |
| [14f] Storing the determined weights as candidate cluster links. | ```See supra, including (p. 160-167, 168-172): while ptr = nil do ... If status[y] = fringe and dist[x] + ptr!.weight < dist[y] then {Replace y's candidate edge by xy.} Parent[y]:= x; dist[y]:= dist[x] + ptr!weight; end; . . If status[y] = unseen then . . . Parent[y]:= x; dist[y]:= dist[x] + ptr!.weight . ... end {while ptr }\not=\mathrm{ nil}``` |


| Claim Text from '494 Patent |  |
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| 15. The method of claim 14 further comprising the |  |
| step of deriving the actual cluster links wherein the |  |
| actual cluster links are a subset of the candidate |  |
| cluster links. |  |


| Claim Text from '494 Patent | Baase, 1988 |
| :---: | :---: |
|  | status[x] := intree (p. 172) |
| 16. The method of claim 15 wherein the step of deriving comprises the step of choosing the top rated candidate cluster links. | See, e.g., Baase, 1988, at p. 160-167, 168-172. <br> Whether or not G is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as $\operatorname{tail}(x y)$ and y as head( $x y$ ) even if G is not a directed graph. <br> Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v, \operatorname{tail}(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail( $e$ ). <br> Since the quantity $d(v$, tail $(e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array $\operatorname{dist}$ as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ $\mathrm{W}(\mathrm{yz})$. <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recomputed $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I , now in the tree . . . <br> Traverse the fringe list to find a vertex with minimum dist; $\mathrm{x}:=\text { this vertex }$ <br> remove x from the fringe list <br> status $[\mathrm{x}]:=$ intree (p. 172) |
| 18. A method of analyzing a database having objects and a first numerical representation of direct relationships in the database, comprising the steps of: | See p. 149-156, 160-167, 167-72, Title (Computer Algorithms). <br> Input: $\mathrm{G}=(\mathrm{V}, \mathrm{E}, \mathrm{W})$, a weighted graph or digraph $\ldots \mathrm{G}$ is represented by an adjacency list |


| Claim Text from '494 Patent |  |
| :--- | :--- | :--- | :--- | :--- | :--- |
| structure. . . . (p. 171). |  |
| [18a] generating a second numerical representation |  |
| using the first numerical representation, wherein the |  |
| second numerical representation accounts for |  |
| indirect relationships in the database; |  |


| Claim Text from '494 Patent | Baase, 1988 |
| :---: | :---: |
|  | ```xy.} Parent[y] := x; dist[y]:= dist[x] + ptr!weight; end; If status[y] = unseen then . . . Parent[y] := x; dist[y]:= dist[x] + ptr!.weight . ... end {while ptr = nil}``` |
| [18c] identifying at least one object in the database, wherein the stored numerical representation is used to identify objects; and | See, e.g., Baase, 1988, at p. 160-167, 168-172, including: <br> (b) An intermediate step: <br> (c) An intermediale step. (CH was considered but not chosen to replace GH as a candidate.) <br> while $\operatorname{ptr} \neq$ nil do . . . <br> If status[y] = fringe and dist[x] + ptr!. weight $<\operatorname{dist[y]~then~\{ Replace~} y$ 's candidate edge by xy.\} <br> Parent[y]:=x; <br> $\operatorname{dist}[\mathrm{y}]:=\operatorname{dist}[\mathrm{x}]+\mathrm{ptr}$ !weight; end; . . <br> If status[y] = unseen then . . . <br> Parent[y] := x; <br> $\operatorname{dist}[\mathrm{y}]:=\operatorname{dist}[\mathrm{x}]+\mathrm{ptr}$ !.weight . . .. |


| Claim Text from '494 Patent | Baase, 1988 |
| :---: | :---: |
|  | end $\{$ while $\operatorname{ptr} \neq$ nil $\}$ |
| [18d] displaying one or more identified objects from the database. | See, e.g., Baase, 1988, at p. 149-156, 167, and 168-172, including: <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v \} <br> While $\mathrm{x} \neq 0$ do <br> Output(x); <br> $\mathrm{x}:=\operatorname{parent}[\mathrm{x}]$ <br> end (p. 172) |
| 19. The method of claim 18 wherein the step of generating a second numerical representation comprises: <br> selecting an object in the database for analysis; | See, e.g., Baase, 1988, at p. 160-161, 168-172, including: <br> Djisktra's shortest path algorithm will find shortest paths from v to the other vertices in order of increasing distance from v. . . The algorithm starts at one vertex (v) and "branches out" by selecting certain edges that lead to new vertices (p. 168) $\mathrm{x}:=\mathrm{v} \text { (p. 171). }$ |
| [19a] analyzing the direct relationships expressed by the first numerical representation for indirect relationships involving the selected object; and creating a second numerical representation of the direct and indirect relationships involving the selected object. | See, e.g., Baase, 1988, at p. 160-167, 168-172, including: ```If status[y] = fringe and dist[x] + ptr!.weight < dist[y] then {Replace y's candidate edge by xy.} Parent[y] := x; dist[y] := dist[x] + ptr!weight; end; .. If status[y] = unseen then . . . Parent[y] := x; dist[y] := dist[x] + ptr!.weight . ... end {while ptr = nil}``` |


| Claim Text from '494 Patent | Baase, 1988 |
| :---: | :---: |
| 20. The method of 18 wherein the step of identifying at least one object in the database comprises: <br> searching for objects in a database using the stored numerical representation, wherein direct and/or indirect relationships are searched. | See, e.g., Baase, 1988, at p. 149-156, 160-167, and 168-172. <br> [W]e briefly considered the problem of finding the best route between two cities on a map of airline routes. Using as our criterion the price of the plane tickets, we observed that the best - i.e., cheapest - way to get from San Diego to Sacramento was to make one stop in Los Angeles. This is one instance, or application, of a very common problem on a weighted graph or digraph: finding a shortest path between two specified vertices. The weight, or length of a path . . . in a weighted graph . . . is . . . the sum of the weights of the edges in the path. If the path is called P we denote its weight by $\mathrm{W}(\mathrm{P})$. (p. 167) |
| 21. The method of claim 18 wherein the displaying step comprises: <br> generating a graphical display for representing an object in the database. | See, e.g., Baase, 1988, at p. 149-156, 160-161, 169 <br>  <br> $(a, C)+w(o)=?$ <br> $A(A, G)+W(G H)=10$ Select $G I$ nest. <br> Seleat al next. <br> (c) An intermediate step. (CH was considerted but not chosen to replace GH as a candidace.) |
| 23. A method of representing data in a computer database with relationships, comprising the steps of: | See, e.g., Baase, 1988, at p. 160-167, 168-172. <br> [W]e briefly considered the problem of finding the best route between two cities on a map of airline routes. Using as our criterion the price of the plane tickets, we observed that the best - i.e., cheapest - way to get from San Diego to Sacramento was to make one stop in Los Angeles. This is one instance, or application, of a very common problem on a weighted graph or digraph: finding a shortest path between two specified vertices. The weight, or length of a path . . . in a weighted graph . . . is . . . the sum of the weights of the edges in the path. If the path is called P we denote its weight by $\mathrm{W}(\mathrm{P})$. (p. 167) <br> Input: $\mathrm{G}=(\mathrm{V}, \mathrm{E}, \mathrm{W})$, a weighted graph or digraph $\ldots \mathrm{G}$ is represented by an adjacency list structure. . . (p. 171). |
| [23a] assigning nodes node identifications; |  |
| [23b] generating links, wherein each link represents a relationship between two nodes and is identified by the two nodes in which the relationship exists; |  |
| [23c] allocating a weight to each link, wherein the weight signifies the strength of the relationship represented by the link relative to the strength of other relationships represented by other links; and |  |

## Invalidity Claim Chart for US Patent No. 5,832,494

## Based on Crouch, D., Crouch, C., Andreas, G., 'The Use of Cluster Hierarchies in Hypertext information Retrieval,' in Hypertext '89 Procedings, SIGCHI Bulletin, pp. 225-237, November 1989. ("Crouch, 1989")

| Claim Text from '494 Patent |  |
| :--- | :--- |
| $\begin{array}{l}\text { 1. A method of analyzing a database with indirect } \\ \text { relationships, using links and nodes, comprising the } \\ \text { steps of: }\end{array}$ | $\begin{array}{l}\text { See, e.g., Crouch, 1989, at pp. 226, 228, } 229 \\ \text { In hypertext information retrieval, each node is generally assumed to be a single document. }\end{array}$ |
|  | $\begin{array}{l}\text { Links exist which connect each document to other documents having keywords in common } \\ \text { with it; the semantics of the links between nodes are keywords (document index terms) or } \\ \text { some descriptive information representing the connected documents. In this paper we } \\ \text { introduce an hierarchical structure which provides additional semantic information within } \\ \text { and between nodes. This structure seems particularly well suited to the user’s exploration of a } \\ \text { document collection in a visual context. The user may browse among the data items by } \\ \text { analyzing a graphical display of the structure itself as well as the semantic links between } \\ \text { nodes. (Crouch, 1989, p. 226) } \\ \text { The process is repeated until either all the similarities between the query and the non- } \\ \text { document children of some node are less than that between the query and the node itself, or } \\ \text { all the children of that node are document nodes. The documents comprising the cluster } \\ \text { represented by that node are returned. The search may be braadened by considering more } \\ \text { than one path at each level. The broadest search considers all paths and abandons them as } \\ \text { they fail certain criteria. (Crouch, 1989, p. 228) }\end{array}$ |
| A bottom-up search may also be performed on such a tree. The cluster at the lowest level of |  |
| the tree whose centroid is most similar to the query is chosen as the node at which the search |  |
| will start. The search continues up the tree until the similarity between the query and the |  |
| parent of the current node is smaller than the similarity between the query and the current |  |
| node. The documents contained in the cluster corresponding to the current node are returned. |  |
| The bottom-up searches are often more effective due to the uncertainty involved at high |  |
| kevels of the hierarchy, [Crof80] |  |
| Cluster hierarchies have been used effectively in automatic searches. Such hierarchies are |  |
| also useful in performing searches based on browsing operations. These types of operations, |  |
| we believe, can produce significant improvement in retrieval performance. Automatic |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- |
|  | $\begin{array}{l}\text { cluster searches are highly structured; the next link in the search path is determined solely on } \\ \text { the basis of the similarity between the query vector and the vector representation of the node } \\ \text { being evaluated. By displaying suitable portions of the hierarchy during the course of the } \\ \text { search operations and letting the user choose appropriate search paths at each point, the } \\ \text { output obtained should be superior to that obtained by automatic cluster searching. (Crouch, } \\ \text { 1989, p. 229) }\end{array}$ |
| selecting a node for analysis; | See, e.g., Crouch, 1989, at p. 228 |
| The child most similar to the query is selected, and the similarity between the query and each |  |
| of the non-document children of that node is calculated. The process is repeated until either |  |
| all the similarities between the query and the non-document children of some node are less |  |
| than that between the query and the node itself, or all the children of that node are document |  |
| nodes. (Crouch, 1989, p. 228) |  | \left\lvert\, \(\left.\begin{array}{ll}See, e.g., Crouch, 1989, at pp. 228, 229 <br>

generating candidate cluster links for the selected <br>
node, wherein the step of generating comprises an <br>
analysis of one or more indirect relationships in the <br>
database;\end{array} \quad $$
\begin{array}{l}\text { Clustered Document Environments } \\
\text { A principal advantage of the vector space model for use n hypertext information retrieval is } \\
\text { that algorithms exist for structuring a document collection in such a manner that similar } \\
\text { documents are grouped together. A cluster hierarchy is represented by a tree structure in } \\
\text { which terminal nodes correspond to single documents and interior nodes to groups of } \\
\text { documents. In a hypertext system based on a clustered environment, the user can readily } \\
\text { focus his/her search on those groups (clusters) that are likely to contain documents which are } \\
\text { highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing } \\
\text { tool in that it makes it possible easily to locate neighboring items with related subject } \\
\text { descriptions. (Crouch, 1989, p. 228) } \\
\text { Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering } \\
\text { method. In the single link method the similarity between two clusters is the maximum of the } \\
\text { similarities between all pairs of documents such that one document of the pair is in one } \\
\text { cluster and the other document is in the other cluster. It may be noted that in the hierarchy } \\
\text { documents may appear at any level and that clusters overlap only in the sense that smaller } \\
\text { clusters are nested within larger clusters. (Crouch, 1989, p. 228) } \\
\text { To retrieve documents automatically in a clustered environment, comparisons are generally }\end{array}
$$\right.\right\}\)


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | the basis of the similarity between the query vector and the vector representation of the node being evaluated. By displaying suitable portions of the hierarchy during the course of the search operations and letting the user choose appropriate search paths at each point, the output obtained should be superior to that obtained by automatic cluster searching. (Crouch, 1989, p. 229) |
| deriving actual cluster links from the candidate cluster links; | See above |
| identifying one or more nodes for display; and | See, e.g., Crouch, 1989, at p. 234 <br> In general, a tree representation of a clustered collection is too large to be displayed in its entirely. Therefore, a user is presented with two views of the cluster tree simultaneously: a local view containing the subtree within which the user is currently browsing (see Fig. 4) and a global view, a more comprehensive view of the tree containing a significantly larger number of nodes than the local view (see Fig. 5). A user-directed traversal among the nodes is simultaneously reflected in both displays. The global view permits the user to observe where the search is being conducted in relation to the entire tree while the local view provides the user with more detailed information about a specific subtree. (Crouch, 1989, p. 230) <br> Figure 8 <br> (Crouch, 1989, p. 234) |
| displaying the identity of one or more nodes using the actual cluster links. | See, e.g., Crouch, 1989, at p. 234 <br> In general, a tree representation of a clustered collection is too large to be displayed in its entirely. Therefore, a user is presented with two views of the cluster tree simultaneously: a |


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- |
|  | local view containing the subtree within which the user is currently browsing (see Fig. 4) and <br> a global view, a more comprehensive view of the tree containing a significantly larger <br> number of nodes than the local view (see Fig. 5). A user-directed traversal among the nodes <br> is simultaneously reflected in both displays. The global view permits the user to observe <br> where the search is being conducted in relation to the entire tree while the local view <br> provides the user with more detailed information about a specific subtree. (Crouch, 1989, p. <br> 230) |
| Figure 8 | (Crouch, 1989, p. 234) |
| 2. The method of claim 1 wherein each link is given |  |
| a length, the step of generating the candidate cluster |  |
| links comprises the steps of: |  | | See, e.g., Crouch, 1989, at pp. 228, 229 |
| :--- |
| Clustered Document Environments |


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | clusters are nested within larger clusters. (Crouch, 1989, p. 228) |
|  | To retrieve documents automatically in a clustered environment, comparisons are generally made between the query vector and document vectors using one of the standard measures of similarity. A cluster search simplifies the search process by limiting the search to subsets of documents. For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the similarity between the query and each of its children. The child most similar to the query is selected, and the similarity between the query and each of the non-document children of that node is calculated. The process is repeated until either all the similarities between the query and the non-document children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. The documents comprising the cluster represented by that node are returned. The search may be broadened by considering more than one path at each level. The broadest search considers all paths and abandons them as they fail certain criteria. (Crouch, 1989, p. 228) <br> Each cluster in Fig. 1 is labelled with the level of association between the items under it. The clustering level determines the association strength of the corresponding items. Thus the similarity between items B, C andD in Fig. 4 is 0.9 . On the other hand, the similarity between item A and the cluster containing items B, C and D is only 0.7 . The level of association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) <br> Figure 1 (Crouch, 1989, p 229) <br> A bottom-up search may also be performed on such a tree. The cluster at the lowest level of the tree whose centroid is most similar to the query is chosen as the node at which the search will start. The search continues up he tree until the similarity between the query and the parent of the current node is smaller than the similarity between the query and the current node. The documents contained in the cluster corresponding to the current node are returned. The bottom-up searches are often more effective due to the uncertainty involved at high kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are |
|  |  |
|  |  |
|  |  |
|  |  |


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- |
|  | $\begin{array}{l}\text { also useful in performing searches based on browsing operations. These types of operations, } \\ \text { we believe, can produce significant improvement in retrieval performance. Automatic } \\ \text { cluster searches are highly structured; the next link in the search path is determined solely on } \\ \text { the basis of the similarity between the query vector and the vector representation of the node } \\ \text { being evaluated. By displaying suitable portions of the hierarchy during the course of the } \\ \text { search operations and letting the user choose appropriate search paths at each point, the } \\ \text { output obtained should be superior to that obtained by automatic cluster searching. (Crouch, } \\ \text { 1989, p. 229) }\end{array}$ |
| $\begin{array}{l}\text { choosing a number as the maximum number of link } \\ \text { lengths that will be examined; and }\end{array}$ | $\begin{array}{l}\text { See above and further, disclosed either expressly or inherently in the teachings of the } \\ \text { reference and its incorporated disclosures taken as a whole, or in combination with the state } \\ \text { of the art at the time of the alleged invention, as evidenced by substantial other references } \\ \text { identified in Defendants'P. R. 3-3 statement and accompanying charts. Rather than repeat } \\ \text { those disclosures here, they are incorporated by reference into this chart. }\end{array}$ |
| $\begin{array}{l}\text { examining only those links which are less than the } \\ \text { maximum number of link lengths. }\end{array}$ | $\begin{array}{l}\text { See above. } \\ \text { 3. The method of claim 1 wherein the step of } \\ \text { deriving actual cluster links comprises the step of: } \\ \text { selecting the top rated candidate cluster links, } \\ \text { wherein the top rated candidate cluster links are } \\ \text { those which are most closely linked to the node } \\ \text { under analysis. }\end{array}$ |
| $\begin{array}{l}\text { See, e.g., Crouch, 1989, at pp. 228, 229, 230 } \\ \text { Clustered Document Environments }\end{array}$ |  |
| $\begin{array}{l}\text { A principal advantage of the vector space model for use n hypertext information retrieval is } \\ \text { that algorithms exist for structuring a document collection in such a manner that similar } \\ \text { documents are grouped together. A cluster hierarchy is represented by a tree structure in } \\ \text { which terminal nodes correspond to single documents and interior nodes to groups of } \\ \text { documents. In a hypertext system based on a clustered environment, the user can readily } \\ \text { focus his/her search on those groups (clusters) that are likely to contain documents which are } \\ \text { highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing } \\ \text { tool in that it makes it possible easily to locate neighboring items with related subject } \\ \text { descriptions. (Crouch, 1989, p. 228) }\end{array}$ |  |
| Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering |  |
| method. In the single link method the similarity between two clusters is the maximum of the |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | similarities between all pairs of documents such that one document of the pair is in one cluster and the other document is in the other cluster. It may be noted that in the hierarchy documents may appear at any level and that clusters overlap only in the sense that smaller clusters are nested within larger clusters. (Crouch, 1989, p. 228) |
|  | To retrieve documents automatically in a clustered environment, comparisons are generally made between the query vector and document vectors using one of the standard measures of similarity. A cluster search simplifies the search process by limiting the search to subsets of documents. For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the similarity between the query and each of its children. The child most similar to the query is selected, and the similarity between the query and each of the non-document children of that node is calculated. The process is repeated until either all the similarities between the query and the non-document children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. The documents comprising the cluster represented by that node are returned. The search may be broadened by considering more than one path at each level. The broadest search considers all paths and abandons them as they fail certain criteria. (Crouch, 1989, p. 228) |
|  | Each cluster in Fig. 1 is labelled with the level of association between the items under it. The clustering level determines the association strength of the corresponding items. Thus the similarity between items B, C andD in Fig. 4 is 0.9 . On the other hand, the similarity between item A and the cluster containing items B, C and Dis only 0.7 . The level of association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) |
|  | 1 (Crouch, 1989, p 229) |
|  | A bottom-up search may also be performed on such a tree. The cluster at the lowest level of the tree whose centroid is most similar to the query is chosen as the node at which the search will start. The search continues up he tree until the similarity between the query and the parent of the current node is smaller than the similarity between the query and the current node. The documents contained in the cluster corresponding to the current node are returned. The bottom-up searches are often more effective due to the uncertainty involved at high |


| Claim Text from ' 494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are also useful in performing searches based on browsing operations. These types of operations, we believe, can produce significant improvement in retrieval performance. Automatic cluster searches are highly structured; the next link in the search path is determined solely on the basis of the similarity between the query vector and the vector representation of the node being evaluated. By displaying suitable portions of the hierarchy during the course of the search operations and letting the user choose appropriate search paths at each point, the output obtained should be superior to that obtained by automatic cluster searching. (Crouch, 1989, p. 229) <br> Lists the value of the correlation measure of the query vector with either the centroid vector or the document vector associated with each node in the subtree. During the search process the user may change the correlation measure being calculated by means of the Correlation Measure pop-up menu. At present, the system provides a choice of several measures including vector product, inner product, Tanimoto, cosine and overlap. (Crouch, 1989, p. 230) <br> Lists the value of the correlation measure of the query vector with either the centroid vector or the document vector associated with each node in the subtree. During the search process the user may change the correlation measure being calculated by means of the Correlation Measure pop-up menu. At present, the system provides a choice of several measures including vector product, inner product, Tanimoto, cosine and overlap. <br> - Provides a listing of the concepts contained within the query vector (see also Fig. 6). This information is also displayed in the query window; however, in the tree display, the concepts in the query are displayed in ascending order of document frequency. The user may alter the query by adding or deleting concepts from the query vector during the search process without returning to the query window ... <br> Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |
| 5. The method of claim 1 wherein the step of generating the candidate cluster links comprises the step of: | See, e.g., Crouch, 1989, at pp. 228, 229 |


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
| eliminating candidate cluster links, wherein the number of candidate cluster links is limited and the closest candidate cluster links are chosen over the remaining links. | Clustered Document Environments <br> A principal advantage of the vector space model for use n hypertext information retrieval is that algorithms exist for structuring a document collection in such a manner that similar documents are grouped together. A cluster hierarchy is represented by a tree structure in which terminal nodes correspond to single documents and interior nodes to groups of documents. In a hypertext system based on a clustered environment, the user can readily focus his/her search on those groups (clusters) that are likely to contain documents which are highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing tool in that it makes it possible easily to locate neighboring items with related subject descriptions. (Crouch, 1989, p. 228) <br> Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering method. In the single link method the similarity between two clusters is the maximum of the similarities between all pairs of documents such that one document of the pair is in one cluster and the other document is in the other cluster. It may be noted that in the hierarchy documents may appear at any level and that clusters overlap only in the sense that smaller clusters are nested within larger clusters. (Crouch, 1989, p. 228) <br> To retrieve documents automatically in a clustered environment, comparisons are generally made between the query vector and document vectors using one of the standard measures of similarity. A cluster search simplifies the search process by limiting the search to subsets of documents. For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the similarity between the query and each of its children. The child most similar to the query is selected, and the similarity between the query and each of the non-document children of that node is calculated. The process is repeated until either all the similarities between the query and the non-document children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. The documents comprising the cluster represented by that node are returned. The search may be broadened by considering more than one path at each level. The broadest search considers all paths and abandons them as they fail certain criteria. (Crouch, 1989, p. 228) <br> Each cluster in Fig. 1 is labelled with the level of association between the items under it. The clustering level determines the association strength of the corresponding items. Thus the similarity between items B, C andD in Fig. 4 is 0.9 . On the other hand, the similarity between item A and the cluster containing items B, C and D is only 0.7 . The level of |


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- |
|  | association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) <br> A bottom-up search may also be performed on such a tree. The cluster at the lowest level of <br> the tree whose centroid is most similar to the query is chosen as the node at which the search <br> will start. The search continues up he tree until the similarity between the query and the <br> parent of the current node is smaller than the similarity between the query and the current <br> node. The documents contained in the cluster corresponding to the current node are returned. <br> The bottom-up searches are often more effective due to the uncertainty involved at high <br> kevels of the hierarchy, [Crof80] |
| Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are <br> also useful in performing searches based on browsing operations. These types of operations, <br> we believe, can produce significant improvement in retrieval performance. Automatic <br> cluster searches are highly structured; the next link in the search path is determined solely on <br> the basis of the similarity between the query vector and the vector representation of the node <br> being evaluated. By displaying suitable portions of the hierarchy during the course of the <br> search operations and letting the user choose appropriate search paths at each point, the <br> output obtained should be superior to that obtained by automatic cluster searching. (Crouch, <br> 1989, p. 229) <br> Lists the value of the correlation measure of the query vector with either the centroid vector <br> or the document vector associated with each node in the subtree. During the search process <br> the user may change the correlation measure being calculated by means of the Correlation <br> Measure pop-up menu. At present, the system provides a choice of several measures <br> including vector product, inner product, Tanimoto, cosine and overlap. <br> - Provides a listing of the concepts contained within the query vector (see also Fig. 6). This <br> information is also displayed in the query window; however, in the tree display, the concepts <br> in the query are displayed in ascending order of document frequency. The user may alter the <br> query by adding or deleting concepts from the query vector during the search process <br> without returning to the query window ... |  |


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |
| 7. The method of claim 1 , wherein one or more nodes provide external connections to objects external to the database, the method further comprising the steps of: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention, as evidenced by substantial other references identified in Defendants'P. R 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are incorporated by reference into this chart. |
| activating the desired node; and |  |
| accessing the external object linked to the node. |  |
| 8. The method of claim 7, wherein the external object is an independent application which can be executed in background, the method further comprising the step of: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention, as evidenced by substantial other references identified in Defendants'P. R. 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are incorporated by reference into this chart. |
| executing the independent application. |  |
| 9. The method of claim 8 , wherein one or more nodes provide links to more than one independent application which can be executed as an extension, the method further comprising the steps of: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention, as evidenced by substantial other references identified in Defendants' P. R. 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are incorporated by reference into this chart. |
| displaying a list of independent applications linked to the node, wherein the step of accessing accesses an independent application. | See, e.g., Crouch, 1989, at p. 230 |
|  | Provides a listing of the concepts contained within the query vector (see also Fig. 6). This information is also displayed in the query window; however, in the tree display, the concepts in the query are displayed in ascending order of document frequency. The user may alter the query by adding or deleting concepts from the query vector during the search process without returning to the query window. <br> - Uses different iconic representations to distinguish relevant documents from the other |


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | documents in the tree. A list of the documents which the user has chosen as relevant to the query is maintained in the display. The user may freely insert document identifiers into and delete items from this list. The icons of the documents in this list are then highlighted in the tree representation. <br> - Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |
| 10. The method of claim 8 , wherein the connection provides the independent application access to the information stored within the database. | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention, as evidenced by substantial other references identified in Defendants' P. R. 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are incorporated by reference into this chart. |
| 11. The method of claim 7 , wherein the external connection is to another computer, wherein information is located that can be accessed, the step of accessing further comprising the step of: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention, as evidenced by substantial other references identified in Defendants' P. R. 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are |
| accessing the information located within the computer. | incorporated by reference into this chart. |
| 12. A method for determining the proximity of an object in a stored database to another object in the stored database using indirect relationships, links, and a display, comprising: | See, e.g., Crouch, 1989, at pp. 228, 229 <br> Clustered Document Environments <br> A principal advantage of the vector space model for use n hypertext information retrieval is that algorithms exist for structuring a document collection in such a manner that similar documents are grouped together. A cluster hierarchy is represented by a tree structure in which terminal nodes correspond to single documents and interior nodes to groups of documents. In a hypertext system based on a clustered environment, the user can readily focus his/her search on those groups (clusters) that are likely to contain documents which are highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing tool in that it makes it possible easily to locate neighboring items with related subject |


| Claim Text from '494 Patent | Crouch, 1989 |
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|  | descriptions. (Crouch, 1989, p. 228) |
|  | Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering method. In the single link method the similarity between two clusters is the maximum of the similarities between all pairs of documents such that one document of the pair is in one cluster and the other document is in the other cluster. It may be noted that in the hierarchy documents may appear at any level and that clusters overlap only in the sense that smaller clusters are nested within larger clusters. (Crouch, 1989, p. 228) |
|  | To retrieve documents automatically in a clustered environment, comparisons are generally made between the query vector and document vectors using one of the standard measures of similarity. A cluster search simplifies the search process by limiting the search to subsets of documents. For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the similarity between the query and each of its children. The child most similar to the query is selected, and the similarity between the query and each of the non-document children of that node is calculated. The process is repeated until either all the similarities between the query and the non-document children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. The documents comprising the cluster represented by that node are returned. The search may be broadened by considering more than one path at each level. The broadest search considers all paths and abandons them as they fail certain criteria. (Crouch, 1989, p. 228) |
|  | Each cluster in Fig. 1 is labelled with the level of association between the items under it. The clustering level determines the association strength of the corresponding items. Thus the similarity between items B, C andD in Fig. 4 is 0.9 . On the other hand, the similarity between item A and the cluster containing items B, C and D is only 0.7 . The level of association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) |
|  | Figure 1 <br> (Crouch, 1989, p 229) |
|  | A bottom-up search may also be performed on such a tree. The cluster at the lowest level of the tree whose centroid is most similar to the query is chosen as the node at which the search |


| Claim Text from '494 Patent | Crouch, 1989 |
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|  | will start. The search continues up he tree until the similarity between the query and the parent of the current node is smaller than the similarity between the query and the current node. The documents contained in the cluster corresponding to the current node are returned. The bottom-up searches are often more effective due to the uncertainty involved at high kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are also useful in performing searches based on browsing operations. These types of operations, we believe, can produce significant improvement in retrieval performance. Automatic cluster searches are highly structured; the next link in the search path is determined solely on the basis of the similarity between the query vector and the vector representation of the node being evaluated. By displaying suitable portions of the hierarchy during the course of the search operations and letting the user choose appropriate search paths at each point, the output obtained should be superior to that obtained by automatic cluster searching. (Crouch, 1989, p. 229) <br> Lists the value of the correlation measure of the query vector with either the centroid vector or the document vector associated with each node in the subtree. During the search process the user may change the correlation measure being calculated by means of the Correlation Measure pop-up menu. At present, the system provides a choice of several measures including vector product, inner product, Tanimoto, cosine and overlap. (Crouch, 1989, p. 230) |
| selecting an object to determine the proximity of other objects to the selected object; | See, e.g., Crouch, 1989, at p. 228 <br> The child most similar to the query is selected, and the similarity between the query and each of the non-document children of that node is calculated. The process is repeated until either all the similarities between the query and the non-document children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. (Crouch, 1989, p. 228) |
| generating a candidate cluster link set for the selected object, wherein the generating step includes an analysis of one or more indirect | See, e.g., Crouch, 1989, at pp. 228, 229 |


| Claim Text from '494 Patent | Crouch, 1989 |
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| Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering |  |
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| similarities between all pairs of documents such that one document of the pair is in one |  |
| cluster and the other document is in the other cluster. It may be noted that in the hierarchy |  |
| documents may appear at any level and that clusters overlap only in the sense that smaller |  |
| clusters are nested within larger clusters. (Crouch, 1989, p. 228) |  |
| To retrieve documents automatically in a clustered environment, comparisons are generally |  |
| made between the query vector and document vectors using one of the standard measures of |  |
| similarity. A cluster search simplifies the search process by limiting the search to subsets of |  |
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| similarity between the query and each of its children. The child most similar to the query is |  |
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| node is calculated. The process is repeated until either all the similarities between the query |  |
| and the non-document children of some node are less than that between the query and the |  |
| node itself, or all the children of that node are document nodes. The documents comprising |  |
| the cluster represented by that node are returned. The search may be broadened by |  |
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| abandons them as they fail certain criteria. (Crouch, 1989, p. 228) |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
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|  | association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) <br> Figure 1 <br> (Crouch, 1989, p 229) <br> A bottom-up search may also be performed on such a tree. The cluster at the lowest level of the tree whose centroid is most similar to the query is chosen as the node at which the search will start. The search continues up he tree until the similarity between the query and the parent of the current node is smaller than the similarity between the query and the current node. The documents contained in the cluster corresponding to the current node are returned. The bottom-up searches are often more effective due to the uncertainty involved at high kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are also useful in performing searches based on browsing operations. These types of operations, we believe, can produce significant improvement in retrieval performance. Automatic cluster searches are highly structured; the next link in the search path is determined solely on the basis of the similarity between the query vector and the vector representation of the node being evaluated. By displaying suitable portions of the hierarchy during the course of the search operations and letting the user choose appropriate search paths at each point, the output obtained should be superior to that obtained by automatic cluster searching. (Crouch, 1989, p. 229) |
| deriving an actual cluster link set for the selected object using the generated candidate cluster link set; and | See above. |
| displaying one or more of the objects in the database, referred to in the actual cluster link set, on a display. | See, e.g., Crouch, 1989, at p. 234 |


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|  | Figure 8 <br> (Crouch, 1989, p. 234) <br> Clicking on a terminal node (a document icon) results in the display of additional information associated with the document. (Crouch, 1989, p. 233) |
| 13. The method of 12 wherein a set of direct links exists for the database, and wherein the step of generating a candidate cluster link set comprises: recursively analyzing portions of the set of direct links for indirect links. | See, e.g., Crouch, 1989, at pp. 228-230 <br> Clustered Document Environments <br> A principal advantage of the vector space model for use $n$ hypertext information retrieval is that algorithms exist for structuring a document collection in such a manner that similar documents are grouped together. A cluster hierarchy is represented by a tree structure in which terminal nodes correspond to single documents and interior nodes to groups of documents. In a hypertext system based on a clustered environment, the user can readily focus his/her search on those groups (clusters) that are likely to contain documents which are highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing tool in that it makes it possible easily to locate neighboring items with related subject descriptions. (Crouch, 1989, p. 228) <br> Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering method. In the single link method the similarity between two clusters is the maximum of the similarities between all pairs of documents such that one document of the pair is in one cluster and the other document is in the other cluster. It may be noted that in the hierarchy documents may appear at any level and that clusters overlap only in the sense that smaller clusters are nested within larger clusters. (Crouch, 1989, p. 228) <br> To retrieve documents automatically in a clustered environment, comparisons are generally made between the query vector and document vectors using one of the standard measures of similarity. A cluster search simplifies the search process by limiting the search to subsets of documents. For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the |


\left.| Claim Text from '494 Patent | Crouch, 1989 |
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| considering more than one path at each level. The broadest search considers all paths and |  |
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| Claim Text from '494 Patent | Crouch, 1989 |
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|  | $\begin{array}{l}\text { 1989, p. 229) } \\ \text { Lists the number of documents contained within the subtree defined by eac hnode as well as } \\ \text { the number of children of that node.... Lists document identifiers represented by the leaf } \\ \text { nodes of the tree. (Crouch, 1989, p. 230) }\end{array}$ |
| $\begin{array}{l}\text { 14. A method for representing the relationship } \\ \text { between nodes using stored direct links, paths, and } \\ \text { candidate cluster links, comprising the steps of: }\end{array}$ | See, e.g., Crouch, 1989, at pp. 228, 229 |
| Clustered Document Environments |  |
| A principal advantage of the vector space model for use n hypertext information retrieval is |  |
| that algorithms exist for structuring a document collection in such a manner that similar |  |
| documents are grouped together. A cluster hierarchy is represented by a tree structure in |  |
| which terminal nodes correspond to single documents and interior nodes to groups of |  |
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| Claim Text from '494 Patent | Crouch, 1989 |
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|  | node itself, or all the children of that node are document nodes. The documents comprising <br> the cluster represented by that node are returned. The search may be broadened by <br> considering more than one path at each level. The broadest search considers all paths and <br> abandons them as they fail certain criteria. (Crouch, 1989, p. 228) <br> Each cluster in Fig. 1 is labelled with the level of association between the items under it. <br> The clustering level determines the association strength of the corresponding items. Thus the <br> similarity between items B, C andD in Fig. 4 is 0.9. On the other hand, the similarity <br> between item A and the cluster containing items B, C and D is only 0.7. The level of <br> association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) |
| (Crouch, 1989, p 229) |  |


| Claim Text from '494 Patent | Crouch, 1989 |
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| initializing a set of candidate cluster links; | $\begin{array}{l}\text { See, e.g., Crouch, 1989, at pp. 228, } 229 \\ \text { Clustered Document Environments } \\ \text { A principal advantage of the vector space model for use n hypertext information retrieval is } \\ \text { that algorithms exist for structuring a document collection in such a manner that similar } \\ \text { documents are grouped together. A cluster hierarchy is represented by a tree structure in } \\ \text { which terminal nodes correspond to single documents and interior nodes to groups of } \\ \text { documents. In a hypertext system based on a clustered environment, the user can readily } \\ \text { focus his/her search on those groups (clusters) that are likely to contain documents which are } \\ \text { highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing } \\ \text { tool in that it makes it possible easily to locate neighboring items with related subject } \\ \text { descriptions. (Crouch, 1989, p. 228) }\end{array}$ |
| $\begin{array}{l}\text { Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering } \\ \text { method. In the single link method the similarity between two clusters is the maximum of the } \\ \text { similarities between all pairs of documents such that one document of the pair is in one } \\ \text { cluster and the other document is in the other cluster. It may be noted that in the hierarchy } \\ \text { documents may appear at any level and that clusters overlap only in the sense that smaller } \\ \text { clusters are nested within larger clusters. (Crouch, 1989, p. 228) }\end{array}$ |  |
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abandons them as they fail certain criteria. (Crouch, 1989, p. 228)\end{array}\right\}\)

| Claim Text from '494 Patent | Crouch, 1989 |
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|  | Figure 1 <br> A bottom-up search may also be performed on such a tree. The cluster at the lowest level of <br> the tree whose centroid is most similar to the query is chosen as the node at which the search <br> will start. The search continues up he tree until the similarity between the query and the <br> parent of the current node is smaller than the similarity between the query and the current <br> node. The documents contained in the cluster corresponding to the current node are returned. <br> The bottom-up searches are often more effective due to the uncertainty involved at high <br> kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are <br> also useful in performing searches based on browsing operations. These types of operations, <br> we believe, can produce significant improvement in retrieval performance. Automatic <br> cluster searches are highly structured; the next link in the search path is determined solely on <br> the basis of the similarity between the query vector and the vector representation of the node <br> being evaluated. By displaying suitable portions of the hierarchy during the course of the <br> search operations and letting the user choose appropriate search paths at each point, the <br> output obtained should be superior to that obtained by automatic cluster searching. (Crouch, <br> 1989, p. 229) |
| retrieving the set of direct links from the selected |  |
| node to any other node in the database; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| The process is repeated until either all the similarities between the query and the non- |  |
| document children of some node are less than that between the query and the node itself, or |  |
| all the children of that node are document nodes. The documents comprising the cluster |  |
| represented by that node are returned. The search may be broadened by considering more |  |
| than one path at each level. The broadest search considers all paths and abandons them as |  |
| they fail certain criteria. (Crouch, 1989, p. 228) |  |
| For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a a |  |


| Claim Text from '494 Patent | Crouch, 1989 |
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|  | straightforward, narrow, depth-first search starts at the top of the tree and calculates the similarity between the query and each of its children. (Crouch, 1989, p. 228) <br> Lists the number of documents contained within the subtree defined by eac hnode as well as the number of children of that node. ... Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |
| determining the weight of the path using the retrieved direct links; | See, e.g., Crouch, 1989, at <br> Figure 1 <br> (Crouch, 1989, p. 228) <br> Each cluster in Fig. 1 is labelled with the level of association between the items under it. The clustering level determines the association strength of the corresponding items. Thus the similarity between items $\mathrm{B}, \mathrm{C}$ and D in Fig. 4 is 0.9 . On the other hand, the similarity between item A and the cluster containing items $\mathrm{B}, \mathrm{C}$ and D is only 0.7 . The level of association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) |
| repeating steps b through d for each path; and | See, e.g., Crouch, 1989, at pp. 228, 229 |
| storing the determined weights as candidate cluster links. | See, e.g., Crouch, 1989, at 228. <br> Figure 1 <br> (Crouch, 1989, p. 228) <br> Each cluster in Fig. 1 is labelled with the level of association between the items under it. |


| Claim Text from '494 Patent | Crouch, 1989 |
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|  | The clustering level determines the association strength of the corresponding items. Thus the similarity between items B, C and D in Fig. 4 is 0.9 . On the other hand, the similarity between item A and the cluster containing items $\mathrm{B}, \mathrm{C}$ and D is only 0.7 . The level of association is a useful link semantic in a hypertext system. (Crouch, 1989, p. 228) |
| 15. The method of claim 14 further comprising the step of deriving the actual cluster links wherein the actual cluster links are a subset of the candidate cluster links. | See, e.g., Crouch, 1989, at 228-230 |
| 16. The method of claim 15 wherein the step of deriving comprises the step of choosing the top rated candidate cluster links. | See, e.g., Crouch, 1989, at p. 230 <br> Lists the value of the correlation measure of the query vector with either the centroid vector or the document vector associated with each node in the subtree. During the search process the user may change the correlation measure being calculated by means of the Correlation Measure pop-up menu. At present, the system provides a choice of several measures including vector product, inner product, Tanimoto, cosine and overlap. <br> - Provides a listing of the concepts contained within the query vector (see also Fig. 6). This information is also displayed in the query window; however, in the tree display, the concepts in the query are displayed in ascending order of document frequency. The user may alter the query by adding or deleting concepts from the query vector during the search process without returning to the query window ... <br> Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |
| 18. A method of analyzing a database having objects and a first numerical representation of direct relationships in the database, comprising the steps of: | See, e.g., Crouch, 1989, at pp. 226, 228-230 <br> In hypertext information retrieval, each node is generally assumed to be a single document. Links exist which connect each document to other documents having keywords in common with it; the semantics of the links between nodes are keywords (document index terms) or some descriptive information representing the connected documents. In this paper we introduce an hierarchical structure which provides additional semantic information within and between nodes. This structure seems particularly well suited to the user's exploration of a document collection in a visual context. The user may browse among the data items by analyzing a graphical display of the structure itself as well as the semantic links between nodes. (Crouch, 1989, p. 226) |


| Claim Text from '494 Patent | Crouch, 1989 |
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| Claim Text from '494 Patent | Crouch, 1989 |
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|  | Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering method. In the single link method the similarity between two clusters is the maximum of the similarities between all pairs of documents such that one document of the pair is in one cluster and the other document is in the other cluster. It may be noted that in the hierarchy documents may appear at any level and that clusters overlap only in the sense that smaller clusters are nested within larger clusters. (Crouch, 1989, p. 228) |
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| Claim Text from '494 Patent | Crouch, 1989 |
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| $\begin{array}{l}\text { Lists the number of documents contained within the subtree defined by eac hnode as well as } \\ \text { the number of children of that node. ... Lists document identifiers represented by the leaf } \\ \text { nodes of the tree. (Crouch, 1989, p. 230) }\end{array}$ |  |
| storing the second numerical representation; | $\begin{array}{l}\text { See, e.g., Crouch, 1989, at pp. 228- 230 }\end{array}$ |
| The process is repeated until either all the similarities between the query and the non- |  |
| document children of some node are less than that between the query and the node itself, or |  |
| all the children of that node are document nodes. The documents comprising the cluster |  |
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| Claim Text from '494 Patent | Crouch, 1989 |
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| identifying at least one object in the database, |  |
| wherein the stored numerical representation is used |  |
| to identify objects; and | See, e.g., Crouch, 1989, at pp. 228, 229 |
| Clustered Document Environments |  | \left\lvert\, \(\left.\begin{array}{l}A principal advantage of the vector space model for use n hypertext information retrieval is <br>

that algorithms exist for structuring a document collection in such a manner that similar <br>
documents are grouped together. A cluster hierarchy is represented by a tree structure in <br>
which terminal nodes correspond to single documents and interior nodes to groups of <br>
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focus his/her search on those groups (clusters) that are likely to contain documents which are <br>
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| Claim Text from '494 Patent | Crouch, 1989 |
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| Claim Text from '494 Patent | Crouch, 1989 |
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|  | being evaluated. By displaying suitable portions of the hierarchy during the course of the <br> search operations and letting the user choose appropriate search paths at each point, the <br> output obtained should be superior to that obtained by automatic cluster searching. (Crouch, <br> 1989, p. 229 |
| displaying one or more identified objects from the |  |
| database. | See, e.g., Crouch, 1989, at p. 233, 234 <br> Clicking on a terminal node (a document icon) results in the display of additional <br> information associated with the document. (Crouch, 1989, p. 233) |
| 19. The method of claim 18 wherein the step of <br> generating a second numerical representation <br> comprises: <br> selecting an object in the database for analysis; | See, e.g., Crouch, 1989, at p. 228 <br> The child most similar to the query is selected, and the similarity between the query and each <br> of the non-document children of that node is calculated. The process is repeated until either <br> all the similarities between the query and the non-document children of some node are less <br> than that between the query and the node itself, or all the children of that node are document <br> nodes. (Crouch, 1989, p. 228) |


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| $\begin{array}{l}\text { 21. The method of claim 18 wherein the displaying } \\ \text { step comprises: } \\ \text { generating a graphical display for representing an } \\ \text { object in the database. }\end{array}$ | $\begin{array}{l}\text { See, e.g., Crouch, 1989, at pp.226, 230 }\end{array}$ |
| $\begin{array}{l}\text { The user may browse among the data items by analyzing a graphical display of the structure } \\ \text { itself as well as the semantic links between nodes. (Crouch, 1989, p. 226) }\end{array}$ |  |
| In general, a tree representation of a clustered collection is too large to be displayed in its |  |
| entirely. Therefore, a user is presented with two views of the cluster tree simultaneously: a |  |
| local view containing the subtree within which the user is currently browsing (see Fig. 4) and |  |
| a global view, a more comprehensive view of the tree containing a significantly larger |  |
| number of nodes than the local view (see Fig. 5). A user-directed traversal among the nodes |  |
| is simultaneously reflected in both displays. The global view permits the user to observe |  |
| where the search is being conducted in relation to the entire tree while the local view |  |
| provides the user with more detailed information about a specific subtree. (Crouch, 1989, p. |  |
| $230)$ |  |
| Provides a listing of the concepts contained within the query vector (see also Fig. 6). This |  |
| information is also displayed in the query window; however, in the tree display, the concepts |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
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| 23. A method of representing data in a computer |  |
| database with relationships, comprising the steps of: | in the query are displayed in ascending order of document frequency. The user may alter the <br> query by adding or deleting concepts from the query vector during the search process <br> without returning to the query window. (Crouch, 1989, p. 230) |
| In hypertext information retrieval, each node is generally assumed to be a single document. |  |
| Links exist which connect each document to other documents having keywords in common |  |
| with it; the semantics of the links between nodes are keywords (document index terms) or |  |
| some descriptive information representing the connected documents. In this paper we |  |
| introduce an hierarchical structure which provides additional semantic information within |  |
| and between nodes. This structure seems particularly well suited to the user's exploration of a |  |
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| Claim Text from '494 Patent | Crouch, 1989 |
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| assigning nodes node identifications; | See, e.g., Crouch, 1989, at p. 230, Fig. 8 |
| Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |  | \left\lvert\, \(\left.\begin{array}{l}generating links, wherein each link represents a <br>

relationship between two nodes and is identified by <br>
the two nodes in which the relationship exists;\end{array} $$
\begin{array}{l}\text { See, e.g., Crouch, 1989, at pp. 226, 228, 229 } \\
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\text { document children of some node are less than that between the query and the node itself, or } \\
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\text { A bottom-up search may also be performed on such a tree. The cluster at the lowest level of } \\
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\text { will start. The search continues up the tree until the similarity between the query and the }\end{array}
$$\right.\right\}\)

$\left.$| Claim Text from '494 Patent | Crouch, 1989 |
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| allocating a weight to each link, wherein the weight |  |
| signifies the strength of the relationship represented |  |
| by the link relative to the strength of other |  |
| relationships represented by other links; and |  |\(\left.\quad \begin{array}{l}See, e.g., Crouch, 1989, at pp. 228, 229 <br>

Clustered Document Environments\end{array} \right\rvert\, $$
\begin{array}{l}\text { A principal advantage of the vector space model for use n hypertext information retrieval is } \\
\text { that algorithms exist for structuring a document collection in such a manner that similar } \\
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\text { documents. In a hypertext system based on a clustered environment, the user can readily } \\
\text { focus his/her search on those groups (clusters) that are likely to contain documents which are } \\
\text { highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing } \\
\text { tool in that it makes it possible easily to locate neighboring items with related subject } \\
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| displaying a node identification. | See, e.g., Crouch, 1989, at p. 234 <br> In general, a tree representation of a clustered collection is too large to be displayed in its <br> entirely. Therefore, a user is presented with two views of the cluster tree simultaneously: a <br> local view containing the subtree within which the user is currently browsing (see Fig. 4) and <br> a global view, a more comprehensive view of the tree containing a significantly larger <br> number of nodes than the local view (see Fig. 5). A user-directed traversal among the nodes <br> is simultaneously reflected in both displays. The global view permits the user to observe <br> where the search is being conducted in relation to the entire tree while the local view <br> provides the user with more detailed information about a specific subtree. (Crouch, 1989, p. <br> 230) |


| Claim Text from '494 Patent | Crouch, 1989 |
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| searching generated links, wherein nodes are |  |
| located by searching the generated links. | $\begin{array}{l}\text { which terminal nodes correspond to single documents and interior nodes to groups of } \\ \text { documents. In a hypertext system based on a clustered environment, the user can readily } \\ \text { focus his/her search on those groups (clusters) that are likely to contain documents which are } \\ \text { highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing } \\ \text { tool in that it makes it possible easily to locate neighboring items with related subject } \\ \text { descriptions. (Crouch, 1989, p. 228) } \\ \text { Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering } \\ \text { method. In the single link method the similarity between two clusters is the maximum of the } \\ \text { similarities between all pairs of documents such that one document of the pair is in one } \\ \text { cluster and the other document is in the other cluster. It may be noted that in the hierarchy } \\ \text { documents may appear at any level and that clusters overlap only in the sense that smaller } \\ \text { clusters are nested within larger clusters. (Crouch, 1989, p. 228) }\end{array}$ |
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| 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the |  |
| similarity between the query and each of its children. The child most similar to the query is |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- |
|  | $\begin{array}{l}\text { Figure 1 } \\ \text { A bottom-up search may also be performed on such a tree. The cluster at the lowest level of } \\ \text { the tree whose centroid is most similar to the query is chosen as the node at which the search } \\ \text { will start. The search continues up he tree until the similarity between the query and the } \\ \text { parent of the current node is smaller than the similarity between the query and the current } \\ \text { node. The documents contained in the cluster corresponding to the current node are returned. } \\ \text { The bottom-up searches are often more effective due to the uncertainty involved at high } \\ \text { kevels of the hierarchy, [Crof80] } \\ \text { Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are } \\ \text { also useful in performing searches based on browsing operations. These types of operations, } \\ \text { we believe, can produce significant improvement in retrieval performance. Automatic } \\ \text { cluster searches are highly structured; the next link in the search path is determined solely on } \\ \text { the basis of the similarity between the query vector and the vector representation of the node } \\ \text { being evaluated. By displaying suitable portions of the hierarchy during the course of the } \\ \text { search operations and letting the user choose appropriate search paths at each point, the } \\ \text { output obtained should be superior to that obtained by automatic cluster searching. (Crouch, } \\ \text { 1989, p. 229) }\end{array}$ |
| Lists document identifiers represented by the leaf nodes of the tree. (Crouch, 1989, p. 230) |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
| assigned to nodes. | alleged invention, as evidenced by substantial other references identified in Defendants' P. R. 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are incorporated by reference into this chart. |
| 32. The method of claim 31 further comprising the step of: generating node sub-types wherein the node sub-types are assigned information. | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention, as evidenced by substantial other references identified in Defendants' P. R. 3-3 statement and accompanying charts. Rather than repeat those disclosures here, they are incorporated by reference into this chart. |
| 33. A method of representing data in a computer database and for computerized searching of the data, wherein relationships exist in the database, comprising: | See, e.g., Crouch, 1989, at pp. 226, 228, 229 <br> In hypertext information retrieval, each node is generally assumed to be a single document. Links exist which connect each document to other documents having keywords in common with it; the semantics of the links between nodes are keywords (document index terms) or some descriptive information representing the connected documents. In this paper we introduce an hierarchical structure which provides additional semantic information within and between nodes. This structure seems particularly well suited to the user's exploration of a document collection in a visual context. The user may browse among the data items by analyzing a graphical display of the structure itself as well as the semantic links between nodes. (Crouch, 1989, p. 226) <br> The process is repeated until either all the similarities between the query and the nondocument children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. The documents comprising the cluster represented by that node are returned. The search may be broadened by considering more than one path at each level. The broadest search considers all paths and abandons them as they fail certain criteria. (Crouch, 1989, p. 228) <br> A bottom-up search may also be performed on such a tree. The cluster at the lowest level of the tree whose centroid is most similar to the query is chosen as the node at which the search will start. The search continues up the tree until the similarity between the query and the parent of the current node is smaller than the similarity between the query and the current node. The documents contained in the cluster corresponding to the current node are returned. The bottom-up searches are often more effective due to the uncertainty involved at high |


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively in automatic searches. Such hierarchies are also useful in performing searches based on browsing operations. These types of operations, we believe, can produce significant improvement in retrieval performance. Automatic cluster searches are highly structured; the next link in the search path is determined solely on the basis of the similarity between the query vector and the vector representation of the node being evaluated. By displaying suitable portions of the hierarchy during the course of the search operations and letting the user choose appropriate search paths at each point, the output obtained should be superior to that obtained by automatic cluster searching. (Crouch, 1989, p. 229) |
| assigning links to represent relationships in the database; | See, e.g., Crouch, 1989, at p. 226 <br> In hypertext information retrieval, each node is generally assumed to be a single document. Links exist which connect each document to other documents having keywords in common with it; the semantics of the links between nodes are keywords (document index terms) or some descriptive information representing the connected documents. In this paper we introduce an hierarchical structure which provides additional semantic information within and between nodes. This structure seems particularly well suited to the user's exploration of a document collection in a visual context. The user may browse among the data items by analyzing a graphical display of the structure itself as well as the semantic links between nodes. (Crouch, 1989, p. 226) |
| generating node identifications based upon the assigned links, wherein node identifications are generated so that each link represents a relationship between two identified nodes; | See, e.g., Crouch, 1989, at pp. 228, 230 <br> The process is repeated until either all the similarities between the query and the nondocument children of some node are less than that between the query and the node itself, or all the children of that node are document nodes. The documents comprising the cluster represented by that node are returned. The search may be broadened by considering more than one path at each level. The broadest search considers all paths and abandons them as |


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- |
|  | they fail certain criteria. (Crouch, 1989, p. 228) <br> For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a <br> straightforward, narrow, depth-first search starts at the top of the tree and calculates the <br> similarity between the query and each of its children. (Crouch, 1989, p. 228) <br> Lists the number of documents contained within the subtree defined by eac hnode as well as <br> the number of children of that node. ... Lists document identifiers represented by the leaf <br> nodes of the tree. (Crouch, 1989, p. 230) |
| storing the links and node identifications, wherein |  |
| the links and nodes may be retrieved; | See, e.g., Crouch, 1989, at pp. 228, 230 |
|  | The process is repeated until either all the similarities between the query and the non- <br> document children of some node are less than that between the query and the node itself, or <br> all the children of that node are document nodes. The documents comprising the cluster <br> represented by that node are returned. The search may be broadened by considering more <br> than one path at each level. The broadest search considers all paths and abandons them as <br> they fail certain criteria. (Crouch, 1989, p. 228) |
| For example, with an agglomeratively clustered tree such as that shown in Fig. 1, a <br> straightforward, narrow, depth-first search starts at the top of the tree and calculates the <br> similarity between the query and each of its children. (Crouch, 1989, p. 228) |  |
| Lists the number of documents contained within the subtree defined by eac hnode as well as <br> the number of children of that node. ... Lists document identifiers represented by the leaf <br> nodes of the tree. (Crouch, 1989, p. 230) |  |
| searching for node identifications using the stored | See, e.g., Crouch, 1989, at pp. 228- 230 |
| links; and |  |


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- | :--- | :--- |
|  | $\begin{array}{l}\text { documents. In a hypertext system based on a clustered environment, the user can readily } \\ \text { focus his/her search on those groups (clusters) that are likely to contain documents which are } \\ \text { highly similar to the query. Additionally, the cluster hierarchy is beneficial as a browsing } \\ \text { tool in that it makes it possible easily to locate neighboring items with related subject } \\ \text { descriptions. (Crouch, 1989, p. 228) }\end{array}$ |
| Fig. 1 contains an example of a hierarchy for the single link agglomerative clustering |  |
| method. In the single link method the similarity between two clusters is the maximum of the |  |
| similarities between all pairs of documents such that one document of the pain is in one |  |
| cluster and the other document is in the other cluster. It may be noted that in the hierarchy |  |
| documents may appear at any level and that clusters overlap only in the sense that smaller |  |
| clusters are nested within larger clusters. (Crouch, 1989, p. 228) |  |
| To retrieve documents automatically in a clustered environment, comparisons are generally |  |
| made between the query vector and document vectors using one of the standard measures of |  |
| similarity. A cluster search simplifies the search process by limiting the search to subsets of |  |
| documents. For example, with an agglomeratively clustered tree such as that shown in Fig. |  |
| 1, a straightforward, narrow, depth-first search starts at the top of the tree and calculates the |  |
| similarity between the query and each of its children. The child most similar to the query is |  |
| selected, and the similarity between the query and each of the non-document children of that |  |
| node is calculated. The process is repeated until either all the similarities between the query |  |
| and the non-document children of some node are less than that between the query and the |  |
| node itself, or all the children of that node are document nodes. The documents comprising |  |
| the cluster represented by that node are returned. The search may be broadened by |  |
| considering more than one path at each level. The broadest search considers all paths and |  |
| abandons them as they fail certain criteria. (Crouch, 1989, p. 228) |  |$\}$


| Claim Text from '494 Patent | Crouch, 1989 |
| :---: | :---: |
|  | (Crouch, 1989, p 229) <br> A bottom-up search may also be performed on such a tree. The cluster at the lowest level of the tree whose centroid is most similar to the query is chosen as the node at which the search will start. The search continues up he tree until the similarity between the query and the parent of the current node is smaller than the similarity between the query and the current node. The documents contained in the cluster corresponding to the current node are returned. The bottom-up searches are often more effective due to the uncertainty involved at high kevels of the hierarchy, [Crof80] <br> Cluster hierarchies have been used effectively to automatic searches. Such hierarchies are also useful in performing searches based on browsing operations. These types of operations, we believe, can produce significant improvement in retrieval performance. Automatic cluster searches are highly structured; the next link in the search path is determined solely on the basis of the similarity between the query vector and the vector representation of the node being evaluated. By displaying suitable portions of the hierarchy during the course of the search operations and letting the user choose appropriate search paths at each point, the output obtained should be superior to that obtained by automatic cluster searching. (Crouch, 1989, p. 229) |
| displaying node identifications, wherein the displayed node identifications are located in the searching step. | See, e.g., Crouch, 1989, at p. 234 <br> In general, a tree representation of a clustered collection is too large to be displayed in its entirely. Therefore, a user is presented with two views of the cluster tree simultaneously: a local view containing the subtree within which the user is currently browsing (see Fig. 4) and a global view, a more comprehensive view of the tree containing a significantly larger number of nodes than the local view (see Fig. 5). A user-directed traversal among the nodes is simultaneously reflected in both displays. The global view permits the user to observe |


| Claim Text from '494 Patent | Crouch, 1989 |
| :--- | :--- | :--- |
|  | where the search is being conducted in relation to the entire tree while the loca1 view <br> provides the user with more detailed information about a specific subtree. (Crouch, 1989, p. <br> $230)$ |
|  | (Crouch, 1989, p. 234) |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for US Patent No. 5,832,494

## Based on Botafogo, R.A. "Cluster Anlaysis for Hypertext Systems" ACM SIGIR 93, Vol. 6, 116-125 (1993). ("Botafogo, 1993")

| Claim Text from '494 Patent | Botafogo, 1993 |
| :--- | :--- |
| 1. A method of analyzing a database with indirect <br> relationships, using links and nodes, comprising the <br> steps of: | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [1a] selecting a node for analysis; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [1b] generating candidate cluster links for the <br> selected node, wherein the step of generating <br> comprises an analysis of one or more indirect <br> relationships in the database; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [1c] deriving actual cluster links from the candidate <br> cluster links; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [1d jidentifying one or more nodes for display; and | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| [1e] displaying the identity of one or more nodes <br> using the actual cluster links. | See, e.g., Botafogo, 1993, at p. 121-122 |
| 2. The method of claim 1 wherein each link is given <br> a length, the step of generating the candidate cluster <br> links comprises the steps of: | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [2a] choosing a number as the maximum number of <br> link lengths that will be examined; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [2b] examining only those links which are less than <br> the maximum number of link lengths. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| 3. The method of claim 1 wherein the step of <br> deriving actual cluster links comprises the step of: <br> selecting the top rated candidate cluster links, <br> wherein the top rated candidate cluster links are <br> those which are most closely linked to the node <br> under analysis. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |


| Claim Text from '494 Patent | Botafogo, 1993 |
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| 5. The method of claim 1 wherein the step of generating the candidate cluster links comprises the step of: <br> eliminating candidate cluster links, wherein the number of candidate cluster links is limited and the closest candidate cluster links are chosen over the remaining links. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| 12. A method for determining the proximity of an object in a stored database to another object in the stored database using indirect relationships, links, and a display, comprising: | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [12a] selecting an object to determine the proximity of other objects to the selected object; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [12b] generating a candidate cluster link set for the selected object, wherein the generating step includes an analysis of one or more indirect relationships in the database; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [12c] deriving an actual cluster link set for the selected object using the generated candidate cluster link set; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [12d] displaying one or more of the objects in the database, referred to in the actual cluster link set, on a display. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 13. The method of 12 wherein a set of direct links exists for the database, and wherein the step of generating a candidate cluster link set comprises: recursively analyzing portions of the set of direct links for indirect links. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |


| Claim Text from '494 Patent | Botafogo, 1993 |
| :--- | :--- |
| 14. A method for representing the relationship <br> between nodes using stored direct links, paths, and <br> candidate cluster links, comprising the steps of: | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [14a] initializing a set of candidate cluster links; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [14b] selecting the destination node of a path as the <br> selected node to analyze; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [14c] retrieving the set of direct links from the <br> selected node to any other node in the database; | See, e.g., Botafogo, 1993, at p. 118-119, 121-122 |
| [14d] determining the weight of the path using the <br> retrieved direct links; | See, e.g., Botafogo, 1993, at p. 117-118 |
| [14e] repeating steps b through d for each path; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [14f] storing the determined weights as candidate <br> cluster links. | See, e.g., Botafogo, 1993, at p. 117-118 |
| 15. The method of claim 14 further comprising the <br> step of deriving the actual cluster links wherein the <br> actual cluster links are a subset of the candidate <br> cluster links. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| 16. The method of claim 15 wherein the step of <br> deriving comprises the step of choosing the top <br> rated candidate cluster links. | See, e.g., Botafogo, 1993, at p. 118-119, 121-122 |
| 18. A method of analyzing a database having <br> objects and a first numerical representation of direct <br> relationships in the database, comprising the steps | See, e.g., Botafogo, 1993, at p. 118-119, 121-122 |


| Claim Text from '494 Patent | Botafogo, 1993 |
| :---: | :---: |
| of: |  |
| [18a] generating a second numerical representation using the first numerical representation, wherein the second numerical representation accounts for indirect relationships in the database; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [18b] storing the second numerical representation; | See, e.g., Botafogo, 1993, at 118-119 |
| [18c] identifying at least one object in the database, wherein the stored numerical representation is used to identify objects; and | See, e.g., Botafogo, 1993, at 118-119, 121-122 |
| [18d] displaying one or more identified objects from the database. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 19. The method of claim 18 wherein the step of generating a second numerical representation comprises: <br> selecting an object in the database for analysis; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [19a] analyzing the direct relationships expressed by the first numerical representation for indirect relationships involving the selected object; and creating a second numerical representation of the direct and indirect relationships involving the selected object. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| 20. The method of 18 wherein the step of identifying at least one object in the database comprises: <br> searching for objects in a database using the stored numerical representation, wherein direct and/or | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |


| Claim Text from '494 Patent | Botafogo, 1993 |
| :---: | :---: |
| indirect relationships are searched. |  |
| 21. The method of claim 18 wherein the displaying step comprises: <br> generating a graphical display for representing an object in the database. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 23. A method of representing data in a computer database with relationships, comprising the steps of: | See below: |
| [23a] assigning nodes node identifications; | See, e.g., Botafogo, 1993, at p. 116, 117, 119-21 |
| [23b] generating links, wherein each link represents a relationship between two nodes and is identified by the two nodes in which the relationship exists; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [23c] allocating a weight to each link, wherein the weight signifies the strength of the relationship represented by the link relative to the strength of other relationships represented by other links; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [23d] displaying a node identification. | See, e.g., Botafogo, 1993, at p. 121-122 |
| 24. The method of claim 23 , wherein the data in the database is objects, wherein the nodes represent objects and each object is assigned a node identification, and wherein the relationships that exist comprise direct relationships between objects, further comprising the step of: <br> searching generated links, wherein nodes are located by searching the generated links. | See, e.g., Botafogo, 1993, at p. 116, 117-118, 119-22 |
| 25. The method of claim 23 further comprising the | See below: |


| Claim Text from '494 Patent |  |
| :--- | :--- |
| step of: generating link sub-types, comprising the <br> steps of: |  |
| [25a] identifying each link sub-type with a name; <br> and | See, e.g., Botafogo, 1993, at p. 117 |
| [25b] providing a comment to one or more link <br> subtypes. | See, e.g., Botafogo, 1993, at p. 117 |
| 31. The method of claim 23 wherein attributes are <br> assigned to nodes. | See, e.g., Botafogo, 1993, at p. 119 |
| 32. The method of claim 31 further comprising the <br> step of: generating node sub-types wherein the node <br> sub-types are assigned information. | See, e.g., Botafogo, 1993, at p. 119 |
| 33. A method of representing data in a computer <br> database and for computerized searching of the <br> data, wherein relationships exist in the database, <br> comprising: | See below: |
| [33a] assigning links to represent relationships in <br> the database; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [33b] generating node identifications based upon <br> the assigned links, wherein node identifications are <br> generated so that each link represents a relationship <br> between two identified nodes; | See, e.g., Botafogo, 1993, at |
| [33c] storing the links and node identifications, <br> wherein the links and nodes may be retrieved; | See, e.g., Botafogo, 1993, at |
|  <br> [33d] searching for node identifications using the <br> stored links; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [33e] displaying node identifications, wherein the | See, e.g., Botafogo, 1993, at p. 121-122 |


| Claim Text from '494 Patent | Botafogo, 1993 |
| :--- | :--- |
| displayed node identifications are located in the <br> searching step. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 5,832,494 Based on "NCSA Mosaic and the World Wide Web: Global Hypermedia Protocols for the Internet," Bruce Schatz \& Joseph Hardin (1994) ("Schatz, 1994")

| Claim Text from '494 Patent | Shatz, 1974 |
| :---: | :---: |
| 7. The method of claim 1 , wherein one or more nodes provide external connections to objects external to the database, the method further comprising the steps of: | See Schatz, e.g., at p. 895, 896 |
| Activating the desired node; and | See Schatz, e.g., at p. 895, 896, and 897 |
| Accessing the external object linked to the node. | See Schatz, e.g., at 895, 896 |
| 8. The method of claim 7, wherein the external object is an independent application which can be executed in background, the method further comprising the step of: | See Schatz, e.g., at p. 895, 896, and 898 |
| executing the independent application. | See Schatz, e.g., at p. 896, 897, and 898 |
| 9. The method of claim 8 , wherein one or more nodes provide links to more than one independent application which can be executed as an extension, the method further comprising the steps of: | See Schatz, e.g., at p. 896 |
| displaying a list of independent applications linked to the node, wherein the step of accessing accesses an independent application. | See Schatz, e.g., at p. 896 |
| 10. The method of claim 8 , wherein the connection provides the independent application access to the information stored within the database. | See Schatz, e.g., at p. 896, 897 |
| 11. The method of claim 7, wherein the external connection is to another computer, wherein | See Schatz, e.g., at p. 895, 896 |


| Claim Text from '494 Patent | Shatz, 1974 |
| :--- | :--- |
| information is located that can be accessed, the step <br> of accessing further comprising the step of: |  |
| accessing the information located within the <br> computer. | See Schatz, e.g., at p. 895, 896 |

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Invalidity Claim Chart for US Patent No. 5,832,494

## Based on Gerard Salton and Chris buckley, "Automatic Text Structuring and Retrieval - Experiments in Automatic Encyclopedia Searching ("Salton \& Buckley 1991")

| Claim Text from '494 Patent | SALTON \& BUCKLEY 1991 |
| :---: | :---: |
| 1. A method of analyzing a database with indirect relationships, using links and nodes, comprising the steps of: | See, e.g., Salton \& Buckley 1991 at 22 ("An identification of semantically homogenous text excerpts leads to the generation of text links between related text portions. Such links transform linear texts into structured text representations that provide selective text reading and traversal paths by following the available content links."); id. ("Network structures are often used, in which case the concepts of interest in a subject area are represented by network nodes, and the main relationships between concepts by network branches"). |
| [1a] selecting a node for analysis; | See, e.g., Salton \& Buckley 1991 at 23 ("Each available text (including query as well as document texts) is broken down into individual text units . . . A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence, etc.) a set of weighted terms to be used for content identification of the corresponding text fragment. These term vectors form the basis for the text comparison operations"); 25 ("A standard encyclopedia search for a one-paragraph query (document 114, Acacia) is illustrated in Table 1."). |
| [1b] generating candidate cluster links for the selected node, wherein the step of generating comprises an analysis of one or more indirect relationships in the database; | See, e.g., Salton \& Buckley 1991 at 23 ("Similarities between particular text items (or between text items and information requests) are obtained by comparing the term vectors for pairs of text items at various levels of detail. When sufficient similarities are detected in both global as well as local contexts, the texts are assumed to be related."). |
| [1c] deriving actual cluster links from the candidate cluster links; | See, e.g., Salton \& Buckley 1991 at 23 ("In practice, two text sections might then be related when the similarity between the vectors describing the text sections exceeds a stated threshold, and in addition the sections also contain at least one paragraph pair with a |


| Claim Text from '494 Patent | SALTON \& BuCKLEY 1991 |
| :--- | :--- |
|  | sufficiently large paragraph similarity."). |
| [1d] identifying one or more nodes for display; and | See Chart for Claim 1[e], infra. |
| [1e] displaying the identity of one or more nodes <br> using the actual cluster links. | See, e.g., Salton \& Buckley 1991 at Tables 1-5. |
| 3. The method of claim 1 wherein the step of <br> deriving actual cluster links comprises the step of: <br> selecting the top rated candidate cluster links, <br> wherein the top rated candidate cluster links are <br> those which are most closely linked to the node <br> under analysis. | See Chart for Claim 1[c], supra. |
| 5. The method of claim 1 wherein the step of <br> generating the candidate cluster links comprises the <br> step of: | Inherently disclosed by Chart for Claim 1[c], supra. |
| eliminating candidate cluster links, wherein the <br> number of candidate cluster links is limited and the <br> llosest candidate cluster links are chosen over the <br> remaining links. |  |
| 12. A method for determining the proximity of an <br> object in a stored database to another object in the <br> stored database using indirect relationships, links, <br> and a display, comprising: | See, e.g., Salton \& Buckley 1991 at 24 (disclosing a stored database of 24,900 objects); <br> Chart for Claim 1, supra (disclosing links between said objects); Tables 1-5 (disclosing the <br> display of said objects). |
| l12a] selecting an object to determine the proximity <br> of other objects to the selected object; | See, e.g., Salton \& Buckley 1991 at 25 ("A standard encyclopedia search for a one-paragraph <br> query (document 114, Acacia) is illustrated in Table 1."). |


| Claim Text from '494 Patent | SALTON \& BUCKLEY 1991 |
| :--- | :--- |
| [12b] generating a candidate cluster link set for the <br> selected object, wherein the generating step <br> includes an analysis of one or more indirect <br> relationships in the database; | See, e.g., Salton \& Buckley 1991 at 25 (disclosing first- and second-level searches starting <br> from the initial "Acacia" object); Chart for Claim 1, supra (disclosing a link network <br> between objects). |
| [12c] deriving an actual cluster link set for the <br> selected object using the generated candidate cluster <br> link set; and | See Chart for Claim 1[c], supra. |
| [12d] displaying one or more of the objects in the <br> database, referred to in the actual cluster link set, on <br> a display. | See, Salton \& Buckley 1991 at Tables 1-5. |
| 13. The method of 12 wherein a set of direct links <br> exists for the database, and wherein the step of <br> generating a candidate cluster link set comprises: <br> recursively analyzing portions of the set of direct <br> links for indirect links. | See, e.g., Salton \& Buckley 1991 at 25 ("A multi-stage search strategy is used where all <br> articles with a global query similarity exceeding 0.20 are retrieved initially. The retrieved <br> items (documents 15552, Mimosa and 11949, Indigo Plant) are then separately used as <br> queries for second-stage searches with an increased retrieval threshold of 0.25."). |
| 14. A method for representing the relationship <br> between nodes using stored direct links, paths, and <br> candidate cluster links, comprising the steps of: | See, Chart for Claim 1, supra. |
| 15. The method of claim 14 further comprising the <br> step of deriving the actual cluster links wherein the <br> actual cluster links are a subset of the candidate <br> cluster links. | Inherently disclosed by Chart for Claim 1, supra. |
| 16. The method of claim 15 wherein the step of <br> deriving comprises the step of choosing the top <br> rated candidate cluster links. | Inherently disclosed by Chart for Claim 1, supra. |
| [18d] displaying one or more identified objects <br> from the database. | See, e.g., Salton \& Buckley 1991 at Tables 1-5. |


| Claim Text from '494 Patent | SALTON \& BUCKLEY 1991 |
| :---: | :---: |
| 19. The method of claim 18 wherein the step of generating a second numerical representation comprises: <br> selecting an object in the database for analysis; | See, e.g., Salton \& Buckley 1991 at 23 ("Each available text (including query as well as document texts) is broken down into individual text units . . . A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence, etc.) a set of weighted terms to be used for content identification of the corresponding text fragment. These term vectors form the basis for the text comparison operations"); 25 ("A standard encyclopedia search for a one-paragraph query (document 114, Acacia) is illustrated in Table 1."). |
| [19a] analyzing the direct relationships expressed by the first numerical representation for indirect relationships involving the selected object; and creating a second numerical representation of the direct and indirect relationships involving the selected object. | See, e.g., Salton \& Buckley at 25 (disclosing first- and second-level searches from an initial selected object). |
| 20. The method of 18 wherein the step of identifying at least one object in the database comprises: <br> searching for objects in a database using the stored numerical representation, wherein direct and/or indirect relationships are searched. | See Chart for Claim 19[a], supra. |
| 21. The method of claim 18 wherein the displaying step comprises: <br> generating a graphical display for representing an object in the database. | See Salton \& Buckley 1991 at Table 1-5. |
| 23. A method of representing data in a computer database with relationships, comprising the steps of | See Salton \& Buckley 1991 at 24 ("This database consists of about 24,900 articles of text . . .[a]n automated encyclopedia search system is implemented which uses particular encyclopedia articles as search requests, and retrieves related articles in decreasing order of presumed similarity with the request articles."). |
| [23a] assigning nodes node identifications; | See, e.g., Salton \& Buckley 1991 at 23 ("A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence, etc.) a set of weighted terms to be used for content identification of the corresponding text fragment."). |


| Claim Text from '494 Patent | SALTON \& BUCKLEY 1991 |
| :---: | :---: |
| [23b] generating links, wherein each link represents a relationship between two nodes and is identified by the two nodes in which the relationship exists; | See, e.g., Salton \& Buckley 1991 at 22 ("An identification of semantically homogenous text excerpts leads to the generation of text links between related text portions. Such links transform linear texts into structured text representations that provide selective text reading and traversal paths by following the available content links."). |
| [23d] displaying a node identification. | See, e.g., Salton \& Buckley 1991 at Tables 1-5. |
| 24. The method of claim 23, wherein the data in the database is objects, wherein the nodes represent objects and each object is assigned a node identification, and wherein the relationships that exist comprise direct relationships between objects, further comprising the step of: <br> searching generated links, wherein nodes are located by searching the generated links. | See, e.g., Salton \& Buckley 1991 at 22 ("links transform linear texts into structured text representations that provide selective text reading and traversal paths by following the available content links. In addition, a recognition of semantically related text portions also leads to the retrieval of relevant texts in answer to available search requests, because close similarities between document and query texts may be indicative of a relevance relationship between them."). |
| 31. The method of claim 23 wherein attributes are assigned to nodes. | See, e.g., Salton \& Buckley 1991 at 23 ("A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence etc.) a set of weighted terms to be used for content identification of the corresponding text fragment."). |
| 32. The method of claim 31 further comprising the step of: generating node sub-types wherein the node sub-types are assigned information. | See, e.g., Salton \& Buckley 1991 at 23 ("Each available text . . . is broken down into individual text units - for example, text sections, text paragraphs, and individual sentences. A standard indexing system is used to assign to each text unit (that is, section, paragraph, sentence etc.) a set of weighted terms to be used for content identification of the corresponding text fragment."). |
| 33. A method of representing data in a computer database and for computerized searching of the data, wherein relationships exist in the database, | See, e.g., Salton \& Buckley 1991 at 24 ("An automated encyclopedia search system is implemented which uses particular encyclopedia articles as search requests, and retrieves related articles in decreasing order of presumed similarity with the request articles."). |


| Claim Text from '494 Patent | SALTON \& BUCKLEY 1991 |
| :--- | :--- |
| comprising: |  |
| [33a] assigning links to represent relationships in |  |
| the database; | See Chart for Claim 1, supra. |
| [33b] generating node identifications based upon |  |
| the assigned links, wherein node identifications are |  |
| generated so that each link represents a relationship |  |
| between two identified nodes; |  | | See, e.g., Salton \& Buckley 1991 at 22 ("Such links transform linear texts into structured text |
| :--- |
| representations . . . ."). |

## Invalidity Claim Chart for US Patent No. 5,832,494

## Based on Botafogo, R.A. et al. 'Identifying Aggregates in Hypertext Structures' Hypertext '91 Proceedings, 63-74 (1991). ("Botafogo, 1991")

| Claim Text from '494 Patent | Botafogo, 1991 |
| :--- | :--- |
| 1. A method of analyzing a database with indirect <br> relationships, using links and nodes, comprising the <br> steps of: | See, e.g., Botafogo, 1991, at p. 64-66 |
| [1a] selecting a node for analysis; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [1b] generating candidate cluster links for the <br> selected node, wherein the step of generating <br> comprises an analysis of one or more indirect <br> relationships in the database; | See, e.g., Botafogo, 1991, at p. 65-66, 68, 70, 72 |
| [1c] deriving actual cluster links from the candidate <br> cluster links; | See, e.g., Botafogo, 1991, at p. 65-66, 68, 70, 72 |
| [1d] identifying one or more nodes for display; and | See, e.g., Botafogo, 1991, at p. 71-72 |
| [1e] displaying the identity of one or more nodes <br> using the actual cluster links. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 2. The method of claim 1 wherein each link is given <br> a length, the step of generating the candidate cluster <br> links comprises the steps of: | See, e.g., Botafogo, 1991, at p. 64-66 |
| [2a] choosing a number as the maximum number of <br> link lengths that will be examined; and | See, e.g., Botafogo, 1991, at p. 64-66 |
| [2b] examining only those links which are less than <br> the maximum number of link lengths. | See, e.g., Botafogo, 1991, at p. 64-66 |
| 3. The method of claim 1 wherein the step of <br> deriving actual cluster links comprises the step of: <br> selecting the top rated candidate cluster links, <br> wherein the top rated candidate cluster links are <br> those which are most closely linked to the node <br> under analysis. | See, e.g., Botafogo, 1991, at p. 66, 68, 70 |


| Claim Text from '494 Patent | Botafogo, 1991 |
| :---: | :---: |
| 5. The method of claim 1 wherein the step of generating the candidate cluster links comprises the step of: <br> eliminating candidate cluster links, wherein the number of candidate cluster links is limited and the closest candidate cluster links are chosen over the remaining links. | See, e.g., Botafogo, 1991, at p. 66, 68, 70, 72 |
| 12. A method for determining the proximity of an object in a stored database to another object in the stored database using indirect relationships, links, and a display, comprising: | See, e.g., Botafogo, 1991, at p. 64-66 |
| [12a] selecting an object to determine the proximity of other objects to the selected object; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [12b] generating a candidate cluster link set for the selected object, wherein the generating step includes an analysis of one or more indirect relationships in the database; | See, e.g., Botafogo, 1991, at p. 65-66, 68, 70, 72 |
| [12c] deriving an actual cluster link set for the selected object using the generated candidate cluster link set; and | See, e.g., Botafogo, 1991, at p. 65-66, 68, 70, 72 |
| [12d] displaying one or more of the objects in the database, referred to in the actual cluster link set, on a display. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 13. The method of 12 wherein a set of direct links exists for the database, and wherein the step of generating a candidate cluster link set comprises: recursively analyzing portions of the set of direct links for indirect links. | See, e.g., Botafogo, 1991, at p. 65-66, 68, 70, 72 |


| Claim Text from '494 Patent | Botafogo, 1991 |
| :--- | :--- |
| 14. A method for representing the relationship <br> between nodes using stored direct links, paths, and <br> candidate cluster links, comprising the steps of: | See, e.g., Botafogo, 1991, at p. 64-66 |
| [14a] initializing a set of candidate cluster links; | See, e.g., Botafogo, 1991, at p. 66, 68, 70 |
| [14b] selecting the destination node of a path as the <br> selected node to analyze; | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [14c] retrieving the set of direct links from the <br> selected node to any other node in the database; | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [14d] determining the weight of the path using the <br> retrieved direct links; | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [14e] repeating steps b through d for each path; and | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [14f] storing the determined weights as candidate <br> cluster links. | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| 15. The method of claim 14 further comprising the <br> step of deriving the actual cluster links wherein the <br> actual cluster links are a subset of the candidate <br> cluster links. | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| 16. The method of claim 15 wherein the step of <br> deriving comprises the step of choosing the top <br> rated candidate cluster links. | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| 18. A method of analyzing a database having <br> objects and a first numerical representation of direct <br> relationships in the database, comprising the steps | See, e.g., Botafogo, 1991, at p. 64-66 |


| Claim Text from '494 Patent | Botafogo, 1991 |
| :---: | :---: |
| of: |  |
| [18a] generating a second numerical representation using the first numerical representation, wherein the second numerical representation accounts for indirect relationships in the database; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [18b] storing the second numerical representation; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [18c] identifying at least one object in the database, wherein the stored numerical representation is used to identify objects; and | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [18d] displaying one or more identified objects from the database. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 19. The method of claim 18 wherein the step of generating a second numerical representation comprises: <br> selecting an object in the database for analysis; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [19a] analyzing the direct relationships expressed by the first numerical representation for indirect relationships involving the selected object; and creating a second numerical representation of the direct and indirect relationships involving the selected object. | See, e.g., Botafogo, 1991, at p. 64-66 |
| 20. The method of 18 wherein the step of identifying at least one object in the database comprises: <br> searching for objects in a database using the stored numerical representation, wherein direct and/or | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |


| Claim Text from '494 Patent | Botafogo, 1991 |
| :---: | :---: |
| indirect relationships are searched. |  |
| 21. The method of claim 18 wherein the displaying step comprises: <br> generating a graphical display for representing an object in the database. | See, e.g., Botafogo, 1991, at p. 70-72 |
| 23. A method of representing data in a computer database with relationships, comprising the steps of: | See below: |
| [23a] assigning nodes node identifications; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [23b] generating links, wherein each link represents a relationship between two nodes and is identified by the two nodes in which the relationship exists; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [23c] allocating a weight to each link, wherein the weight signifies the strength of the relationship represented by the link relative to the strength of other relationships represented by other links; and | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [23d] displaying a node identification. | See, e.g., Botafogo, 1991, at p. 70-72 |
| 24. The method of claim 23 , wherein the data in the database is objects, wherein the nodes represent objects and each object is assigned a node identification, and wherein the relationships that exist comprise direct relationships between objects, further comprising the step of: <br> searching generated links, wherein nodes are located by searching the generated links. | See, e.g., Botafogo, 1991, at p. 66, 68, 70, 72 |
| 25. The method of claim 23 further comprising the | See below: |


| Claim Text from '494 Patent |  |
| :--- | :--- |
| step of: generating link sub-types, comprising the <br> steps of: |  |
| [25a] identifying each link sub-type with a name; <br> and | See, e.g., Botafogo, 1991, at p. 67, 71 |
| [25b] providing a comment to one or more link <br> subtypes. | See, e.g., Botafogo, 1991, at p. 67, 71 |
| 31. The method of claim 23 wherein attributes are <br> assigned to nodes. | See, e.g., Botafogo, 1991, at p. 67, 71 |
| 32. The method of claim 31 further comprising the <br> step of: generating node sub-types wherein the node <br> sub-types are assigned information. | See, e.g., Botafogo, 1991, at p. 67, 71 |
| 33. A method of representing data in a computer <br> database and for computerized searching of the <br> data, wherein relationships exist in the database, <br> comprising: | See below: |
| [33a] assigning links to represent relationships in <br> the database; | See, e.g., Botafogo, 1991, at p. 64-66 |
| [33b] generating node identifications based upon <br> the assigned links, wherein node identifications are <br> generated so that each link represents a relationship <br> between two identified nodes; | See, e.g., Botafogo, 1991, at 64-66 |
| [33c] storing the links and node identifications, <br> wherein the links and nodes may be retrieved; | See, e.g., Botafogo, 1991, at 64-66 |
|  <br> [33d] searching for node identifications using the <br> stored links; and | See, e.g., Botafogo, 1991, at p. 64-66, 68, 70 |
| [33e] displaying node identifications, wherein the | See, e.g., Botafogo, 1991, at p. 70-72 |


| Claim Text from '494 Patent | Botafogo, 1991 |
| :--- | :--- |
| lisplayed node identifications are located in the <br> searching step. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 5,832,494

Based on Joachims, T et al., "WebWatcher: Machine Learning and Hypertext" Proceedings of the 1995 AAAI Spring Symposium on Information Gathering from Heterogeneous, Distributed Environments, 1995 ('JJoachims 1995")

| Claim Text from '494 Patent | Joachims 1995 |
| :---: | :---: |
| 1. A method of analyzing a database with indirect relationships, using links and nodes, comprising the steps of: | See, e.g., p. 1, 3-5 |
| [1a] Selecting a node for analysis; | See, e.g., p. 1 (e.g. "The target function we want to learn is a mapping from an arbitrary web page to a set of related pages."). |
| [1b] Generating candidate cluster links for the selected node, wherein the step of generating comprises an analysis of one or more indirect relationships in the database; | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [1c] Deriving actual cluster links from the candidate cluster links; |  |
| [1d] identifying one or more nodes for display; and | See, e.g., p. 4 (e.g., "The pages associated with the n most similar columns are returned by Related."). |
| [1e] displaying the identity of one or more nodes using the actual cluster links. | See, e.g., p. 4 |
| 2. The method of claim 1 wherein each link is given a length, the step of generating the candidate cluster links comprises the steps of: | See, e.g., p. 4 |
| [2a] Choosing a number as the maximum number of link lengths that will be examined; and | See, e.g., p. 4 |
| [2b] examining only those links which are less than the maximum number of link lengths. |  |
| 3. The method of claim 1 wherein the step of deriving actual cluster links comprises the step of: | See, e.g., p. 4 (e.g., "The pages associated with the n most similar columns are returned by Related."). |


| Claim Text from '494 Patent | Joachims 1995 |
| :---: | :---: |
| selecting the top rated candidate cluster links, wherein the top rated candidate cluster links are those which are most closely linked to the node under analysis. |  |
| 5. The method of claim 1 wherein the step of generating the candidate cluster links comprises the step of: <br> eliminating candidate cluster links, wherein the number of candidate cluster links is limited and the closest candidate cluster links are chosen over the remaining links. | See, e.g., p. 4-5 (e.g., "The pages associated with the n most similar columns are returned by Related."). |
| 7. The method of claim 1 , wherein one or more nodes provide external connections to objects external to the database, the method further comprising the steps of: | See, e.g., p. 1-3 |
| [7a] Activating the desired node; and |  |
| [7b] Accessing the external object linked to the node. |  |
| 11. The method of claim 7, wherein the external connection is to another computer, wherein information is located that can be accessed, the step of accessing further comprising the step of: | See, e.g., p. 1-3 |
| [11a] accessing the information located within the computer. |  |
| 12. A method for determining the proximity of an object in a stored database to another object in the stored database using indirect relationships, links, and a display, comprising: | See, e.g., p. 1-4 |
| [12a] Selecting an object to determine the proximity of other objects to the selected object; | See, e.g., p. 4 (e.g. "The target function we want to learn is a mapping from an arbitrary web page to a set of related pages."). |


| Claim Text from '494 Patent |  |
| :--- | :--- |
| [12b] generating a candidate cluster link set for the <br> selected object, wherein the generating step <br> includes an analysis of one or more indirect <br> relationships in the database; | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [12c] Deriving an actual cluster link set for the <br> selected object using the generated candidate cluster <br> link set; and |  |
| [12d] Displaying one or more of the objects in the <br> database, referred to in the actual cluster link set, on <br> a display. | See, e.g., p. 4 (e.g., "The pages associated with the n most similar columns are returned by <br> Related."). |
| 23. A method of representing data in a computer <br> database with relationships, comprising the steps of: | See, e.g., p. 1-3 |
| [23a] assigning nodes node identifications; | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [23b] generating links, wherein each link represents <br> a relationship between two nodes and is identified <br> by the two nodes in which the relationship exists; | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [23c] allocating a weight to each link, wherein the <br> weight signifies the strength of the relationship <br> represented by the link relative to the strength of <br> other relationships represented by other links; and | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [23d] displaying a node identification. | See, e.g., p. 4 (e.g., "The pages associated with the n most similar columns are returned by <br> Related."). |
| 24. The method of claim 23, wherein the data in the <br> database is objects, wherein the nodes represent <br> objects and each object is assigned a node <br> identification, and wherein the relationships that <br> exist comprise direct relationships between objects, <br> further comprising the step of: | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") <br> searching generated links, wherein nodes are <br> located by searching the generated links. <br> 25. The method of claim 23 further comprising the |
| See, e.g., p. 3 |  |


| Claim Text from '494 Patent | Joachims 1995 |
| :---: | :---: |
| step of: generating link sub-types, comprising the steps of: |  |
| [25a] identifying each link sub-type with a name; and | See, e.g., p. 3 |
| [25b] Providing a comment to one or more link subtypes. | See, e.g., p. 3 |
| 31. The method of claim 23 wherein attributes are assigned to nodes. | See, e.g., p. 3 |
| 32. The method of claim 31 further comprising the step of: generating node sub-types wherein the node sub-types are assigned information. | See, e.g., p. 3 |
| 33. A method of representing data in a computer database and for computerized searching of the data, wherein relationships exist in the database, comprising: | See, e.g., p. 1-3 |
| [33a] assigning links to represent relationships in the database; | See, e.g., p. 3 |
| [33b] generating node identifications based upon the assigned links, wherein node identifications are generated so that each link represents a relationship between two identified nodes; | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [33c] storing the links and node identifications, wherein the links and nodes may be retrieved; | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [33d] searching for node identifications using the stored links; and | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [33e] displaying node identifications, wherein the displayed node identifications are located in the searching step. | See, e.g., p. 2-3 |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 6,233,571

## Based on Benny Brodda, Hans Karlgren, "Citation Index and Measures of Association in Mechanized document Retrieval," KVAL PM 295 (1967). Report No. 2 to the Royal Treasury. Published by Sprakforlaget Skriptor. ("Brodda \& Karlgren, 1967")

| Claim Text from '571 Patent | Brodda \& Karlgren, 1967 |
| :---: | :---: |
| 1. A method for using active links within the data of an object stored in a database of a computer so that a user may jump from viewing the data of the object in the database to a position outside the object in the database and outside the computer, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3 |
| [1a] storing one or more links within data of the object in the database to positions outside of the computer, wherein the stored links are active links; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [1b] displaying the data of the object within the database, wherein one or more active links are displayed with the data from the object in the database, wherein positions are nodes in a network that may be accessed, the active links including hyperjump links between nodes in the network and the objects, and the step of displaying comprises: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6 |
| [1c] generating a source map, wherein the source map represents hyperjump links that identify a chosen node as a destination of a link, and | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 5 |
| [1d] wherein the method further comprises activating a link represented on the source map, wherein a user may hyperjump to a node represented as a node of the link; | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention. |
| [1e] selecting one of the displayed active links from those displayed with the displayed data; and |  |
| [1f] jumping to the position outside the object in the |  |


| Claim Text from '571 Patent | Brodda \& Karlgren, 1967 |
| :---: | :---: |
| database. |  |
| 5. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6 |
| [5a] choosing a node | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [5b] accessing the hyperjump data; I Identifying hyperjump data from within the accessed hyperjump data that has a direct reference to the chosen node; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [5c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data, wherein the step of determining comprises proximity analyzing the identified hyperjump data; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4, 5, 8 |
| [5d] displaying one or more determined hyperjump data. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| 6. The method of claim 5 , wherein the hyperjump data includes pointers and wherein the direct reference is a pointer pointing to the chosen node or from the chosen node, and the step of determining comprises analyzing the pointers. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2-4, 6 |
| 7. The method of claim 5 , wherein the node represents a topic, the determined hyperjump data has a relationship to the topic, and the step of displaying displays determined hyperjump data that has a relationship to the topic. | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention. |
| 8. The method of claim 5 , wherein the node is a web page in the network, the accessed hyperjump data are Universal Resource Locators of linked pages, and the step of determining hyperjump data | See, e.g., Brodda \& Karlgren, 1967, at pp. 3-4 |


| Claim Text from '571 Patent | Brodda \& Karlgren, 1967 |
| :---: | :---: |
| comprises analyzing the identified hyperjump data. |  |
| 9. The method of claim 5 , wherein the node is a document in the network and the determined hyperjump data has a relationship to the document, the step of displaying comprising the step of listing the hyperjump data that has a relationship to the document. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6 |
| 11. The method of claim 5 , wherein the nodes are nodes in the network that may be accessed, the hyperjump data includes hyperjump links between nodes in the network, and the step of displaying comprises: | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention. |
| [11a] generating a source map using one or more of the determined hyperjump data, wherein the source map represents hyperjump links that identify the chosen node as a destination of a link; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 5 |
| [11b] wherein the method further comprises activating a link represented on the source map, wherein a user may hyperjump to a node represented as a node of the link. | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention. |
| 12. A method for visually displaying data related to a web having identifiable web pages and Universal Resource Locators with pointers, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 3-4, 6 |
| [12a] choosing an identifiable web page; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [12b] identifying Universal Resource Locators for the web pages, wherein the identified Universal Resource Locators either point to or point away from the chosen web page; | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 3 |
| [12c] analyzing Universal Resource Locators, | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-5, 8 |


| Claim Text from '571 Patent | Brodda \& Karlgren, 1967 |
| :---: | :---: |
| including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen web page are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and |  |
| [12d] displaying identities of web pages, wherein the located Universal Resource Locators are used to identify web pages. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2-4, 6, 10 |
| 15. The method of claim 12 , wherein the step of displaying the identities of web pages comprises generating a graphical user display wherein information within the Universal Resource Locators is parsed and used to generate the graphical user display. | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 6 |
| 16. A method for navigating documents on the World Wide Web, comprising: I choosing a document; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-4 |
| [16a] identifying documents that have a direct relationship to the chosen document; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |
| [16b] locating documents that have an indirect relationship to the chosen document identifying Universal Resource Locators for the documents, wherein the identified Universal Resource Locators either point to or point away from the chosen document; analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen document are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 8 |


| Claim Text from '571 Patent | Brodda \& Karlgren, 1967 |
| :---: | :---: |
| [16c] displaying a located document. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| 17. The method of claim 16 , wherein pages and their respective Universal Resource Locators are used and the step of locating documents comprises analyzing the pages and their respective Universal Resource Locators. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-5, 8 |
| 18. The method of claim 17, wherein the step of analyzing pages comprises cluster analyzing the pages. | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 8 |
| 19. The method of claim 16 , wherein the step of displaying a located document comprises: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| [19a] generating a screen display of identities of one or more located documents; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6 |
| [19b] selecting one or more of the located documents. | Disclosed either expressly or inherently in the teachings of the reference and its incorporated disclosures taken as a whole, or in combination with the state of the art at the time of the alleged invention. |
| 20. The method of claim 19 , wherein the step of generating a screen display comprises generating a graphical display. | See, e.g., Brodda \& Karlgren, 1967, at pp. 4, 6, 10 |
| 21. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| [21a] choosing a node; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [21b] accessing the hyperjump data; I identifying hyperjump data from within the accessed | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 3, 4, 6 |


| Claim Text from '571 Patent |  |
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| hyperjump data that has a direct reference to the <br> chosen node; |  |
| [21c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data, wherein the step of determining <br> comprises cluster analyzing the hyperjump data; <br> and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2, 5, 8 |
| [21d] displaying one or more determined <br> hyperjump data. | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| 22. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| [22a] choosing a node; | See, e.g., Brodda \& Karlgren, 1967, at pp. 1, 2 |
| [22b] accessing the hyperjump data; I identifying <br> hyperjump data from within the accessed <br> hyperjump data that has a direct reference to the <br> chosen node; | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 3 |
| [22c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data; and | See, e.g., Brodda \& Karlgren, 1967, at pp. 1-5, 8 |
| [22d] displaying one or more determined <br> hyperjump data, wherein the nodes are nodes in the <br> network that may be accessed, the hypejump data <br> includes hyperjump links between nodes in the <br> network, and the step of displaying comprises: | See, e.g., Brodda \& Karlgren, 1967, at pp. 2, 4, 6, 10 |
| [22e] generating a source map using one or more of <br> the determined hyperjump data, wherein the source <br> map represents hyperjump links that identify the <br> chosen node as a destination of a link, and wherein | See, e.g., Brodda \& Karlgren, 1967, at pp. 2-4, 6 <br> Further, disclosed either expressly or inherently in the teachings of the reference and its <br> incorporated disclosures taken as a whole, or in combination with the state of the art at the |


| Claim Text from '571 Patent | Brodda \& Karlgren, 1967 |
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| the method further comprises activating a link <br> represented on the source map, wherein a user may <br> hyperjump to a node represented as a node of the <br> link. | time of the alleged invention. |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 6,233,571
based on Botafogo, R.A. "Cluster anlaysis for Hypertext Systems" ACM Sigir '93, Vol. 6, 116-125 (1993). ("Botafogo, 1993")

| Claim Text from '571 Patent | Botafogo, 1993 |
| :--- | :--- |
| 1. A method for using active links within the data of <br> an object stored in a database of a computer so that <br> a user may jump from viewing the data of the object <br> in the database to a position outside the object in the <br> database and outside the computer, comprising: | See.g., Botafogo, 1993, at p. 117-119, 121-122 |
| [1a] storing one or more links within data of the <br> object in the database to positions outside of the <br> computer, wherein the stored links are active links; | See, e.g., Botafogo, 1993, at 119-121 |
| [1b] displaying the data of the object within the <br> database, wherein one or more active links are <br> displayed with the data from the object in the <br> database, wherein positions are nodes in a network <br> that may be accessed, the active links including <br> hyperjump links between nodes in the network and <br> the objects, and the step of displaying comprises: | See, e.g., Botafogo, 1993, at p.117, 121-122 |
| [1c] generating a source map, wherein the source <br> map represents hyperjump links that identify a <br> chosen node as a destination of a link, and | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| [1d] wherein the method further comprises <br> activating a link represented on the source map, <br> wherein a user may hyperjump to a node <br> represented as a node of the link; | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| [1e] selecting one of the displayed active links from <br> those displayed with the displayed data; and | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |


| Claim Text from '571 Patent | Botafogo, 1993 |
| :---: | :---: |
| [1f] jumping to the position outside the object in the database. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 3. The method of claim 1 , wherein the active links are embedded text and wherein the step of selecting comprises activating the embedded text. | See, e.g., Botafogo, 1993, at 119-120 |
| 4. The method of claim 1 , wherein computer software is used, further comprising: I generating an active link, wherein the active link can be used to jump from a location in the database to another database. | See, e.g., Botafogo, 1993, at 119-120 |
| 5. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., Botafogo, 1993, at p. 121-122 |
| [5a] choosing a node | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [5b] accessing the hyperjump data; I Identifying hyperjump data from within the accessed hyperjump data that has a direct reference to the chosen node; | See, e.g., Botafogo, 1993, at 117-119 |
| [5c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data, wherein the step of determining comprises proximity analyzing the identified hyperjump data; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [5d] displaying one or more determined hyperjump data. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |


| Claim Text from '571 Patent |  |
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| 6. The method of claim 5, wherein the hyperjump <br> data includes pointers and wherein the direct <br> reference is a pointer pointing to the chosen node or <br> from the chosen node, and the step of determining <br> comprises analyzing the pointers. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 7. The method of claim 5, wherein the node <br> represents a topic, the determined hyperjump data <br> has a relationship to the topic, and the step of <br> displaying displays determined hyperjump data that <br> has a relationship to the topic. | See, e.g., Botafogo, 1993, at p. 119 |
| 8. The method of claim 5, wherein the node is a <br> web page in the network, the accessed hyperjump <br> data are Universal Resource Locators of linked <br> pages, and the step of determining hyperjump data <br> comprises analyzing the identified hyperjump data. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 9. The method of claim 5, wherein the node is a <br> document in the network and the determined <br> hyperjump data has a relationship to the document, <br> the step of displaying comprising the step of listing <br> the hyperjump data that has a relationship to the <br> document. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 10. The method of claim 5, wherein the step of <br> displaying comprises generating a graphical user <br> display, and wherein information is displayed on a <br> graphical display visually representing more than <br> one coordinate plane. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 11. The method of claim 5, wherein the nodes are <br> nodes in the network that may be accessed, the <br> hyperjump data includes hyperjump links between <br> nodes in the network, and the step of displaying <br> lomprises: | See below |


| Claim Text from '571 Patent | Botafogo, 1993 |
| :---: | :---: |
| [11a] generating a source map using one or more of the determined hyperjump data, wherein the source map represents hyperjump links that identify the chosen node as a destination of a link; and | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| [11b] wherein the method further comprises activating a link represented on the source map, wherein a user may hyperjump to a node represented as a node of the link. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 12. A method for visually displaying data related to a web having identifiable web pages and Universal Resource Locators with pointers, comprising: | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| [12a] choosing an identifiable web page; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [12b] identifying Universal Resource Locators for the web pages, wherein the identified Universal Resource Locators either point to or point away from the chosen web page; | See, e.g., Botafogo, 1993, at 117-119 |
| [12c] analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen web page are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [12d] displaying identities of web pages, wherein the located Universal Resource Locators are used to identify web pages. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 13. The method of claim 12 , further comprising selecting a web page using the displayed identities | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| of web pages. <br> 14. The method of claim 12, further comprising <br> hyperjumping to the selected web page. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 15. The method of claim 12, wherein the step of <br> displaying the identities of web pages comprises <br> generating a graphical user display wherein <br> information within the Universal Resource Locators <br> is parsed and used to generate the graphical user <br> display. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 16. A method for navigating documents on the <br> World Wide Web, comprising: I choosing a <br> document; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [16a] identifying documents that have a direct <br> relationship to the chosen document; | See, e.g., Botafogo, 1993, at 117-119 |
| [16b] locating documents that have an indirect <br> relationship to the chosen document identifying <br> Universal Resource Locators for the documents, <br> wherein the identified Universal Resource Locators <br> either point to or point away from the chosen <br> document; analyzing Universal Resource Locators, <br> including the identified Universal Resource <br> Locators, wherein Universal Resource Locators <br> which have an indirect relationship to the chosen <br> document are located, wherein the step of analyzing <br> further comprises cluster analyzing the Universal <br> Resource Locators for indirect relationships; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| 17. The method of claim 16, wherein pages and <br> their respective Universal Resource Locators are <br> used and the step of locating documents comprises <br> analyzing the pages and their respective Universal <br> Resource Locators. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 18. The method of claim 17, wherein the step of <br> analyzing pages comprises cluster analyzing the <br> pages. | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| 19. The method of claim 16, wherein the step of <br> displaying a located document comprises: | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| [19a] generating a screen display of identities of <br> one or more located documents; and | See, e.g., Botafogo, 1993, at p. 121-122 |
| [19b] selecting one or more of the located <br> documents. | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| 20. The method of claim 19, wherein the step of <br> generating a screen display comprises generating a <br> graphical display. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 21. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| [21a] choosing a node; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| chosen node; |  |
| [21c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data, wherein the step of determining <br> comprises cluster analyzing the hyperjump data; <br> and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [21d] displaying one or more determined <br> hyperjump data. | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| 22. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Botafogo, 1993, at p. 117, 121-122 |
| [22a] choosing a node; | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [22b] accessing the hyperjump data; I identifying <br> hyperjump data from within the accessed <br> hyperjump data that has a direct reference to the <br> chosen node; | See, e.g., Botafogo, 1993, at 117-119 |
| [22c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data; and | See, e.g., Botafogo, 1993, at p. 117-118, 121-122 |
| [22d] displaying one or more determined <br> hyperjump data, wherein the nodes are nodes in the <br> network that may be accessed, the hypejump data <br> includes hyperjump links between nodes in the <br> network, and the step of displaying comprises: | See, e.g., Botafogo, 1993, at p. 117, 121-122 |


| Claim Text from '571 Patent |  |
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| [22e] generating a source map using one or more of | See, e.g., Botafogo, 1993, at p. 117-119, 121-122 |
| the determined hyperjump data, wherein the source |  |
| map represents hyperiump links that identify the |  |
| chosen node as a destination of a link, and wherein |  |
| the method further comprises activating a link |  |
| represented on the source map, wherein a user may |  |
| hyperjump to a node represented as a node of the |  |
| link. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 6,233,571

## Based on Crouch, D., Crouch, C., Andreas, G., "The Use of cluster Hierarchies in Hypertext information Retrieval," in Hypertext '89 Proceedings, SIGCHI Bulletin, pp. 225-237, November 1989. ("Crouch, 1989")

| Claim Text from '571 Patent |  |
| :--- | :--- |
| 1. A method for using active links within the data of <br> an object stored in a database of a computer so that <br> a user may jump from viewing the data of the object <br> in the database to a position outside the object in the <br> database and outside the computer, comprising: |  |
| [1a] storing one or more links within data of the <br> object in the database to positions outside of the 1989, at pp. 226, 233 <br> computer, wherein the stored links are active links; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [1b] displaying the data of the object within the <br> database, wherein one or more active links are <br> displayed with the data from the object in the <br> database, wherein positions are nodes in a network <br> that may be accessed, the active links including <br> hyperjump links between nodes in the network and <br> the objects, and the step of displaying comprises: | See, e.g., Crouch, 1989, at pp. 226, 233, 234 |
| [1c] generating a source map, wherein the source <br> map represents hyperjump links that identify a <br> chosen node as a destination of a link, and | See, e.g., Crouch, 1989, at pp.226, 230 |
| [1d] wherein the method further comprises <br> activating a link represented on the source map, <br> wherein a user may hyperjump to a node <br> represented as a node of the link; | See, e.g., Crouch, 1989, at pp. 226, 233 |
| [1e] selecting one of the displayed active links from <br> those displayed with the displayed data; and | See, e.g., Crouch, 1989, at pp. 226, 233 |
| [1f] jumping to the position outside the object in the | See, e.g., Crouch, 1989, at pp. 226, 233 |


| Claim Text from '571 Patent | Crouch, 1989 |
| :---: | :---: |
| database. |  |
| 3. The method of claim 1 , wherein the active links are embedded text and wherein the step of selecting comprises activating the embedded text. | See, e.g., Crouch, 1989, at pp. 226, 233 |
| 4. The method of claim 1 , wherein computer software is used, further comprising: I generating an active link, wherein the active link can be used to jump from a location in the database to another database. | See, e.g., Crouch, 1989, at pp. 226, 233 |
| 5. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., Crouch, 1989, at p. 234 |
| [5a] choosing a node | See, e.g., Crouch, 1989, at p. 228 |
| [5b] accessing the hyperjump data; \| Identifying hyperjump data from within the accessed hyperjump data that has a direct reference to the chosen node; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [5c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data, wherein the step of determining comprises proximity analyzing the identified hyperjump data; and | See, e.g., Crouch, 1989, at pp. 228-230 |
| [5d] displaying one or more determined hyperjump data. | See, e.g., Crouch, 1989, at p. 234 |
| 6. The method of claim 5 , wherein the hyperjump data includes pointers and wherein the direct | See, e.g., Crouch, 1989, at pp. 228, 230, 234 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| reference is a pointer pointing to the chosen node or <br> from the chosen node, and the step of determining <br> comprises analyzing the pointers. |  |
| 7. The method of claim 5, wherein the node <br> represents a topic, the determined hyperjump data <br> has a relationship to the topic, and the step of <br> displaying displays determined hyperjump data that <br> has a relationship to the topic. | See, above and further disclosed either expressly or inherently in the teachings of the <br> reference and its incorporated disclosures taken as a whole, or in combination with the state <br> of the art at the time of the alleged invention. |
| 8. The method of claim 5, wherein the node is a <br> web page in the network, the accessed hyperjump <br> data are Universal Resource Locators of linked <br> pages, and the step of determining hyperjump data <br> comprises analyzing the identified hyperjump data. | See, e.g., Crouch, 1989, at p. 226 |
| 9. The method of claim 5, wherein the node is a <br> document in the network and the determined <br> hyperjump data has a relationship to the document, <br> the step of displaying comprising the step of listing <br> the hyperjump data that has a relationship to the <br> document. | See, e.g., Crouch, 1989, at p. 230 |
| 10. The method of claim 5, wherein the step of <br> displaying comprises generating a graphical user <br> display, and wherein information is displayed on a <br> graphical display visually representing more than <br> one coordinate plane. | Disclosed either expressly or inherently in the teachings of the reference and its incorporated <br> disclosures taken as a whole, or in combination with the state of the art at the time of the <br> alleged invention. |
| 11. The method of claim 5, wherein the nodes are <br> nodes in the network that may be accessed, the <br> hyperjump data includes hyperjump links between <br> nodes in the network, and the step of displaying <br> comprises: | See, e.g., Crouch, 1989, at pp. 226, 233 |
| 111a] generating a source map using one or more of |  |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| the determined hyperjump data, wherein the source <br> map represents hyperjump links that identify the <br> chosen node as a destination of a link; and |  |
| $[11 \mathrm{~b}]$ wherein the method further comprises <br> activating a link represented on the source map, <br> wherein a user may hyperjump to a node <br> represented as a node of the link. | See, e.g., Crouch, 1989, at pp. 226, 233 |
| 12. A method for visually displaying data related to <br> a web having identifiable web pages and Universal <br> Resource Locators with pointers, comprising: | See, e.g., Crouch, 1989, at pp.226, 230 |
| [12a] choosing an identifiable web page; | See, e.g., Crouch, 1989, at p. 228 |
| [12b] identifying Universal Resource Locators for <br> the web pages, wherein the identified Universal | See, e.g., Crouch, 1989, at pp. 228, 230 |
| Resource Locators either point to or point away <br> from the chosen web page; |  |
| [12c] analyzing Universal Resource Locators, <br> including the identified Universal Resource <br> Locators, wherein Universal Resource Locators <br> which have an indirect relationship to the chosen <br> web page are located, wherein the step of analyzing <br> further comprises cluster analyzing the Universal <br> Resource Locators for indirect relationships; and | See, e.g., Crouch, 1989, at pp. 228-230 |
| [12d] displaying identities of web pages, wherein <br> the located Universal Resource Locators are used to <br> identify web pages. | See, e.g., Crouch, 1989, at p. 234 |
| 13. The method of claim 12, further comprising <br> selecting a web page using the displayed identities <br> of web pages. | See, e.g., Crouch, 1989, at pp. 226, 233 |


| Claim Text from '571 Patent |  |
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|  |  |
| 14. The method of claim 12, further comprising <br> hyperjumping to the selected web page. | See, e.g., Crouch, 1989, at pp. 226, 233 |
| 15. The method of claim 12, wherein the step of <br> displaying the identities of web pages comprises <br> generating a graphical user display wherein <br> information within the Universal Resource Locators <br> is parsed and used to generate the graphical user <br> display. | See, e.g., Crouch, 1989, at pp.226, 230 |
| 16. A method for navigating documents on the <br> World Wide Web, comprising: I choosing a <br> document; | See, e.g., Crouch, 1989, at p. 228 |
| [16a] identifying documents that have a direct <br> relationship to the chosen document; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [16b] locating documents that have an indirect <br> relationship to the chosen document identifying | See, e.g., Crouch, 1989, at pp. 228, 229 |
| Universal Resource Locators for the documents, <br> wherein the identified Universal Resource Locators <br> either point to or point away from the chosen <br> document; analyzing Universal Resource Locators, <br> including the identified Universal Resource <br> Locators, wherein Universal Resource Locators <br> which have an indirect relationship to the chosen <br> document are located, wherein the step of analyzing <br> further comprises cluster analyzing the Universal <br> Resource Locators for indirect relationships; and |  |
| [16c] displaying a located document. | See, e.g., Crouch, 1989, at p. 234, 228, 229 |


| Claim Text from '571 Patent |  |
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| 17. The method of claim 16, wherein pages and <br> their respective Universal Resource Locators are <br> used and the step of locating documents comprises <br> analyzing the pages and their respective Universal <br> Resource Locators. | See, e.g., Crouch, 1989, at p. 226 |
| 18. The method of claim 17, wherein the step of <br> analyzing pages comprises cluster analyzing the <br> pages. | See, e.g., Crouch, 1989, at pp. 228, 229 |
| 19. The method of claim 16, wherein the step of <br> displaying a located document comprises: | See, e.g., Crouch, 1989, at p. 233, 234 |
| [19a] generating a screen display of identities of <br> one or more located documents; and | See, e.g., Crouch, 1989, at p. 234 |
| [19b] selecting one or more of the located <br> documents. | See, e.g., Crouch, 1989, at pp. 226, 233 |
| 20. The method of claim 19, wherein the step of <br> generating a screen display comprises generating a <br> graphical display. | See, e.g., Crouch, 1989, at pp.226, 230 |
| 21. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Crouch, 1989, at pp.233, 234 |
| [21a] choosing a node; <br> [21b] accessing the hyperjump data; I identifying <br> hyperjump data from within the accessed <br> hyperjump data that has a direct reference to the <br> chosen node; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [21c] determining hyperjump data from within the | See, e.g., Crouch, 1989, at pp. 228, 229 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data, wherein the step of determining <br> comprises cluster analyzing the hyperjump data; <br> and |  |
| [21d] displaying one or more determined <br> hyperjump data. | See, e.g., Crouch, 1989, at p. 233, 234 |
| 22. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Crouch, 1989, at p. 234 |
| [22a] choosing a node; <br> [22b] accessing the hyperjump data; I identifying <br> hyperjump data from within the accessed <br> hyperjump data that has a direct reference to the <br> chosen node; | See, e.g., Crouch, 1989, at pp. 228, 230 |
| [22c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data; and | See, e.g., Crouch, 1989, at pp. 228-230 |
| [22d] displaying one or more determined <br> hyperjump data, wherein the nodes are nodes in the <br> network that may be accessed, the hypejump data <br> includes hyperjump links between nodes in the <br> network, and the step of displaying comprises: | See, e.g., Crouch, 1989, at pp. 233, 234 |
| [22e] generating a source map using one or more of <br> the determined hyperjump data, wherein the source <br> map represents hyperjump links that identify the <br> chosen node as a destination of a link, and wherein <br> the method further comprises activating a link <br> represented on the source map, wherein a user may | See, e.g., Crouch, 1989, at pp. 228, 230, 233 |


| Claim Text from '571 Patent | Crouch, 1989 |
| :--- | :--- |
| hyperjump to a node represented as a node of the <br> link. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 6,233,571

# Based on Baase, S., Computer Algorithms: Introduction to Design and Analysis, $2^{\text {nd }}$ Edition, Addison-Wesley Publishing Co., 1988. ("Baase, 1988) 

| Claim Text from '571 Patent | Baase, 1988 |
| :---: | :---: |
| 5. A method for displaying information about a network that has hyperjump data, comprising: | See p. 149-156 and 167-72, Title (Computer Algorithms). |
| [5a] Choosing a node | See, e.g., Baase, 1988, at p. 149-156, 160-67 and 168-172, <br> Djisktra's shortest path algorithm will find shortest paths from v to the other vertices in order of increasing distance from v. . . . The algorithm starts at one vertex (v) and "branches out" by selecting certain edges that lead to new vertices ( $p .168$ ) $\mathrm{x}:=\mathrm{v}(\mathrm{p} .171)$ |
| [5b] accessing the hyperjump data; I Identifying hyperjump data from within the accessed hyperjump data that has a direct reference to the chosen node; | See, e.g., Baase, 1988, at p. 160-67, 168-172, 184-91, 193-97. |
| [5c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data, wherein the step of determining comprises proximity analyzing the identified hyperjump data; and | $d(A, B)+W(B C)=6$ <br> $d(A, A)+W(A G)=5$ $d(A, A)+W(A E)=9$ <br> Select $A G$ next. <br> (b) An incermediate step: <br> (c) An intermediale step. (CH was considered but nor chosen to replace GH as a candidate.) <br> Whether or not $G$ is a digraph, it is helpful 10 think of the tree and candidate edges as having an orientation; the tail of an edge is the vertex closer to $v$. Candidate edges go from a tree vertex to a fringe vertex. These edges will always be written to reflect this orientation; in other words, if we write $X Y$. we are assuming that $x$ is closer to $v$ than y is. We will refer tox as $\operatorname{tail}(x y)$ and y as head( $x y$ ) even if G is not a directed graph. |


| Claim Text from '571 Patent | Baase, 1988 |
| :---: | :---: |
|  | Given the situation in Fig. 4.18(c), the next step is to select a candidate edge and fringe vertex. We choose a candidate edge $e$ for which $d(v$, tail $(e))+W(e)$ is minimum. This is the weight of the path obtained by adjoining $e$ to the known shortest path to tail(e). <br> Since the quantity $d(v$, tail( $e))+W(e)$ for a candidate edge $e$ may be used repeatedly, it can be computed once and saved. To compute it efficiently when efirst becomes a candidate, we also save $d(v, y)$ for each y in the tree. Thus we use an array dist as follows: $\operatorname{dist}[\mathrm{y}]=\mathrm{d}(\mathrm{v}, \mathrm{y}) ; \operatorname{dist}[\mathrm{z}]=\mathrm{d}(\mathrm{v}, \mathrm{y})+$ W(yz). <br> After a vertex and the corresponding candidate edge are selected, the information in the data structure must be updated. In Fig. 4.18(d) the vertex $I$ and the edge $G l$ have just been selected. The candidate edge for $F$ was $A F$, but now $A F$ must be replaced by $I F$ because $I F$ yields a shorter path to $F$, We must also recompute <br> $\operatorname{dist}[F]$. The vertex $E$, which was unseen, is now on the fringe because it is adjacent to I , now in the tree ... <br> while $\mathrm{x} \neq \mathrm{w}$ and not stuck do . . . end $\{$ while $\mathrm{x} \neq \mathrm{w}$ and not stuck $\}$ (p. 171-172) |
| [5d] displaying one or more determined hyperjump data. | See, e.g., Baase, 1988, at p. 167, 168-172, including e.g. <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v \} <br> While $\mathrm{x} \neq 0$ do <br> Output(x); <br> $\mathrm{x}:=\operatorname{parent}[\mathrm{x}]$ <br> end (p. 172) |
| 6. The method of claim 5 , wherein the hyperjump data includes pointers and wherein the direct reference is a pointer pointing to the chosen node or from the chosen node, and the step of determining comprises analyzing the pointers. | See, e.g., Baase, 1988, at p. 149, 167, 168-172. |
| 7. The method of claim 5 , wherein the node represents a topic, the determined hyperjump data has a relationship to the topic, and the step of displaying displays determined hyperjump data that | See, e.g., Baase, 1988, at p. 149, 167, 168-172, 175-76. |


| Claim Text from '571 Patent | Baase, 1988 |
| :---: | :---: |
| has a relationship to the topic. |  |
| 12. A method for visually displaying data related to a web having identifiable web pages and Universal Resource Locators with pointers, comprising: | See p. 149-156 and 167-72, |
| [12a] choosing an identifiable web page; | See, e.g., Baase, 1988, at p. 149-156, 160-161 and 168-172, <br> Djisktra's shortest path algorithm will find shortest paths from v to the other vertices in order of increasing distance from v. . . . The algorithm starts at one vertex (v) and "branches out" by selecting certain edges that lead to new vertices ( $p$. 168) $\mathrm{x}:=\mathrm{v}(\mathrm{p} .171)$ |
| [12b] identifying Universal Resource Locators for the web pages, wherein the identified Universal Resource Locators either point to or point away from the chosen web page; | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [12c] analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen web page are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [12d] displaying identities of web pages, wherein the located Universal Resource Locators are used to identify web pages. | See, e.g., Baase, 1988, at p. 167, 168-172, including e.g. <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v \} <br> While $\mathrm{x} \neq 0$ do <br> Output(x); $\begin{aligned} & \mathrm{x}:=\text { parent }[\mathrm{x}] \\ & \text { end (p. 172)b } \end{aligned}$ |


| Claim Text from '571 Patent | Baase, 1988 |
| :---: | :---: |
| 16. A method for navigating documents on the World Wide Web, comprising: I choosing a document; |  |
| [16a] Identifying documents that have a direct relationship to the chosen document; | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [16b] locating documents that have an indirect relationship to the chosen document identifying Universal Resource Locators for the documents, wherein the identified Universal Resource Locators either point to or point away from the chosen document; analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen document are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [16c] displaying a located document. | See, e.g., Baase, 1988, at p. 167, 168-172, including e.g. <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v \} <br> While $\mathrm{x} \neq 0$ do <br> Output(x); <br> $\mathrm{x}:=\operatorname{parent}[\mathrm{x}]$ <br> end (p. 172) |
| 18. The method of claim 17, wherein the step of analyzing pages comprises cluster analyzing the pages. | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97 |
| 21. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., Baase, 1988, p. 149-156 and 167-72, Title |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| [21a] choosing a node; | See, e.g., Baase, 1988, at p. 149-156 and 168-172 |
| [21b] accessing the hyperjump data; I identifying <br> hyperjump data from within the accessed <br> hyperjump data that has a direct reference to the <br> chosen node; | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [21c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data, wherein the step of determining <br> comprises cluster analyzing the hyperjump data; <br> and | See, e.g., Baase, 1988, at p. 160-167, 168-172, 175-76, 184-91, 193-97. |
| [21d] displaying one or more determined <br> hyperjump data. | See, e.g., Baase, 1988, at p. 168-172. <br> \{Output the path, the vertices will be listed in the reverse order, i.e. from w to v $\}$ <br> While x $\neq 0$ do |
| Output(x); <br> $\mathrm{x}:=$ parent[x] <br> end (p. 172) |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

Invalidity Claim Chart for U.S. Patent No. 6,233,571

## Based on Botafogo, R.A. et al. "Identifying AgGregates in Hypertext Structures" Hypertext '91 Proceedings, 63-74 (1991). ("Botafogo, 1991")

| Claim Text from '571 Patent |  |
| :--- | :--- |
| 1. A method for using active links within the data of <br> an object stored in a database of a computer so that <br> a user may jump from viewing the data of the object <br> in the database to a position outside the object in the <br> database and outside the computer, comprising: | See.g., Botafogo, 1991, at p. 63-66, 70-72 |
| [1a] storing one or more links within data of the <br> object in the database to positions outside of the <br> computer, wherein the stored links are active links; | See, e.g., Botafogo, 1991, at p. 63, 71-72 |
| [1b] displaying the data of the object within the <br> database, wherein one or more active links are <br> displayed with the data from the object in the <br> database, wherein positions are nodes in a network <br> that may be accessed, the active links including <br> hyperjump links between nodes in the network and <br> the objects, and the step of displaying comprises: | See, e.g., Botafogo, 1991, at p. 71-72 |
| [1c] generating a source map, wherein the source <br> map represents hyperjump links that identify a <br> chosen node as a destination of a link, and | See, e.g., Botafogo, 1991, at p. 71-72, Fig. 4,5. |
| [1d] wherein the method further comprises <br> activating a link represented on the source map, <br> wherein a user may hyperjump to a node <br> represented as a node of the link; | See, e.g., Botafogo, 1991, at p. 63, 71-72 |
| [1e] selecting one of the displayed active links from <br> those displayed with the displayed data; and | See, e.g., Botafogo, 1991, at p. 63, 71-72 |


| Claim Text from '571 Patent |  |
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| [1f] jumping to the position outside the object in the <br> database. | See, e.g., Botafogo, 1991, at p. 63, 71-72 |
| 3. The method of claim 1, wherein the active links <br> are embedded text and wherein the step of selecting <br> comprises activating the embedded text. | See, e.g., Botafogo, 1991, at 63-64 |
| 4. The method of claim 1, wherein computer <br> software is used, further comprising: I generating an <br> active link, wheren the active link can be used to <br> jump from a location in the database to another <br> database. | See, e.g., Botafogo, 1991, at 63-64 |
| 5. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Botafogo, 1991, at p. 63-64, 71-72 |
| [5a] choosing a node | See, e.g., Botafogo, 1991, at p. 64-65 |
| [5b] accessing the hyperjump data; ; Identifying <br> hyperjump data from within the accessed <br> hyperjump data that has a direct reference to the <br> chosen node; | See, e.g., Botafogo, 1991, at 64-65, 66, 68, 70 |
| [5c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect <br> reference to the chosen node using the identified <br> hyperjump data, wherein the step of determining <br> comprises proximity analyzing the identified <br> hyperjump data; and | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| [5d] displaying one or more determined hyperjump <br> data. | See, e.g., Botafogo, 1991, at p. 71-72 |


| Claim Text from '571 Patent |  |
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| 6. The method of claim 5, wherein the hyperjump <br> data includes pointers and wherein the direct <br> reference is a pointer pointing to the chosen node or <br> from the chosen node, and the step of determining <br> comprises analyzing the pointers. | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| 7. The method of claim 5, wherein the node <br> represents a topic, the determined hyperjump data <br> has a relationship to the topic, and the step of <br> displaying displays determined hyperjump data that <br> has a relationship to the topic. | See, e.g., Botafogo, 1991, at p. 66-67, 71-72 |
| 8. The method of claim 5, wherein the node is a <br> web page in the network, the accessed hyperjump <br> data are Universal Resource Locators of linked <br> pages, and the step of determining hyperjump data <br> comprises analyzing the identified hyperjump data. | See, e.g., Botafogo, 1991, at p. 66-67, 71-72 |
| 9. The method of claim 5, wherein the node is a <br> document in the network and the determined <br> hyperjump data has a relationship to the document, <br> the step of displaying comprising the step of listing <br> the hyperjump data that has a relationship to the <br> document. | See, e.g., Botafogo, 1991, at p. 71-72 |
| lo. The method of claim 5, wherein the step of <br> displaying comprises generating a graphical user <br> display, and wherein information is displayed on a <br> graphical display visually representing more than <br> one coordinate plane. | See, e.g., Botafogo, 1991, at p. 71-72 |
| $11 . ~ T h e ~ m e t h o d ~ o f ~ c l a i m ~ 5, ~ w h e r e i n ~ t h e ~ n o d e s ~ a r e ~$ <br> nodes in the network that may be accessed, the <br> hyperjump data includes hyperjump links between <br> nodes in the network, and the step of displaying <br> comprises: | See below |


| Claim Text from '571 Patent | Botafogo, 1991 |
| :---: | :---: |
| [11a] generating a source map using one or more of the determined hyperjump data, wherein the source map represents hyperjump links that identify the chosen node as a destination of a link; and | See, e.g., Botafogo, 1991, at p. 71-72 |
| [11b] wherein the method further comprises activating a link represented on the source map, wherein a user may hyperjump to a node represented as a node of the link. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 12. A method for visually displaying data related to a web having identifiable web pages and Universal Resource Locators with pointers, comprising: | See, e.g., Botafogo, 1991, at p. 63, 71-72 |
| [12a] choosing an identifiable web page; | See, e.g., Botafogo, 1991, at p. 64-65 |
| [12b] identifying Universal Resource Locators for the web pages, wherein the identified Universal Resource Locators either point to or point away from the chosen web page; | See, e.g., Botafogo, 1991, at 64-65, 66, 68, 70 |
| [12c] analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen web page are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| [12d] displaying identities of web pages, wherein the located Universal Resource Locators are used to identify web pages. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 13. The method of claim 12, further comprising selecting a web page using the displayed identities | See, e.g., Botafogo, 1991, at p. 71-72 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| of web pages. |  |
| 14. The method of claim 12, further comprising <br> hyperjumping to the selected web page. | See, e.g., Botafogo, 1991, at p. 63-64, 71-72 |
| 15. The method of claim 12, wherein the step of <br> displaying the identities of web pages comprises <br> generating a graphical user display wherein <br> information within the Universal Resource Locators <br> is parsed and used to generate the graphical user <br> display. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 16. A method for navigating documents on the <br> World Wide Web, comprising: I choosing a <br> document; | See, e.g., Botafogo, 1991, at p. 63-64, 71-72 |
| [16a] identifying documents that have a direct <br> relationship to the chosen document; | See, e.g., Botafogo, 1991, at 64-65, 66, 68, 70 |
| 16b] locating documents that have an indirect <br> relationship to the chosen document identifying | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| Universal Resource Locators for the documents, <br> wherein the identified Universal Resource Locators <br> either point to or point away from the chosen <br> document; analyzing Universal Resource Locators, <br> including the identified Universal Resource |  |
| Locators, wherein Universal Resource Locators <br> which have an indirect relationship to the chosen <br> document are located, wherein the step of analyzing <br> further comprises cluster analyzing the Universal <br> Resource Locators for indirect relationships; and |  |
| 16c] displaying a located document. | See, e.g., Botafogo, 1991, at p. 71-72 |


| Claim Text from '571 Patent |  |
| :--- | :--- |
| 17. The method of claim 16, wherein pages and <br> their respective Universal Resource Locators are <br> used and the step of locating documents comprises <br> analyzing the pages and their respective Universal <br> Resource Locators. | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| 18. The method of claim 17, wherein the step of <br> analyzing pages comprises cluster analyzing the <br> pages. | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| 19. The method of claim 16, wherein the step of <br> displaying a located document comprises: | See, e.g., Botafogo, 1991, at p. 71-72 |
| [19a] generating a screen display of identities of <br> one or more located documents; and | See, e.g., Botafogo, 1991, at p. 71-72 |
| [19b] selecting one or more of the located <br> documents. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 20. The method of claim 19, wherein the step of <br> generating a screen display comprises generating a <br> graphical display. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 21. A method for displaying information about a <br> network that has hyperjump data, comprising: | See, e.g., Botafogo, 1991, at p. 63, 71-72 |
| [21a] choosing a node; | See, e.g., Botafogo, 1991, at p. 64-65 |


| Claim Text from '571 Patent | Botafogo, 1991 |
| :---: | :---: |
| chosen node; |  |
| [21c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data, wherein the step of determining comprises cluster analyzing the hyperjump data; and | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| [21d] displaying one or more determined hyperjump data. | See, e.g., Botafogo, 1991, at p. 71-72 |
| 22. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., Botafogo, 1991, at p. 63, 71-72 |
| [22a] choosing a node; | See, e.g., Botafogo, 1991, at p. 64-65 |
| [22b] accessing the hyperjump data; I identifying hyperjump data from within the accessed hyperjump data that has a direct reference to the chosen node; | See, e.g., Botafogo, 1991, at 64-65, 66, 68, 70 |
| [22c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data; and | See, e.g., Botafogo, 1991, at p. 64-65, 66, 68, 70 |
| [22d] displaying one or more determined hyperjump data, wherein the nodes are nodes in the network that may be accessed, the hypejump data includes hyperjump links between nodes in the network, and the step of displaying comprises: | See, e.g., Botafogo, 1991, at p. 71-72 |


| Claim Text from '571 Patent | Botafogo, 1991 |
| :--- | :--- |
| [22e] generating a source map using one or more of | See, e.g., Botafogo, 1991, at p. 71-72 |
| the determined hyperjump data, wherein the source |  |
| map represents hyperjump links that identify the |  |
| chosen node as a destination of a link, and wherein |  |
| the method further comprises activating a link |  |
| represented on the source map, wherein a user may |  |
| hyperjump to a node represented as a node of the |  |
| link. |  |

Defendants reserve the right to revise this contention chart concerning the invalidity of the asserted claims, as appropriate, for example depending upon the Court's construction of the asserted claims, any findings as to the priority date of the asserted claims, and/or positions that Plaintiff or its expert witness(es) may take concerning claim interpretation, construction, infringement, and/or invalidity issues.

Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112 , including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112.

## Invalidity Claim Chart for U.S. Patent No. 6,233,571

- Based on Joachims, T et al., "WebWatcher: Machine Learning and Hypertext" Proceedings of the 1995 AAAI Spring Symposium on Information Gathering from Heterogeneous, Distributed Environments, 1995 ("Joachims 1995 1995")

| Claim Text from '571 Patent | Joachims 1995 |
| :--- | :--- |
| 5. A method for displaying information about a network <br> that has hyperjump data, comprising: | See, e.g., p. 1-4. |
| [5a] Choosing a node | See, e.g., p.2, 4 (e.g. "The target function we want to learn is a mapping from an <br> arbitrary web page to a set of related pages."). |
| [5b] accessing the hyperjump data; I Identifying <br> hyperjump data from within the accessed hyperjump data <br> that has a direct reference to the chosen node; | See, e.g., p. 3-4 (e.g., "3.3 Algorithm") |
| [5c] determining hyperjump data from within the <br> accessed hyperjump data that has an indirect reference to <br> the chosen node using the identified hyperjump data, <br> wherein the step of determining comprises proximity <br> analyzing the identified hyperjump data; and | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [5d] displaying one or more determined hyperjump data. | See, e.g., p. 2, 4 (e.g., "The pages associated with the n most similar columns are <br> returned by Related."). |
| 6. The method of claim 5, wherein the hyperjump data <br> includes pointers and wherein the direct reference is a <br> pointer pointing to the chosen node or from the chosen <br> node, and the step of determining comprises analyzing <br> the pointers. | See, e.g., p. 4 (e.g.,"3.3 Algorithm") |
| 7. The method of claim 5, wherein the node represents a <br> topic, the determined hyperjump data has a relationship <br> to the topic, and the step of displaying displays <br> determined hyperjump data that has a relationship to the <br> topic. | See, e.g., p. 4 (e.g., "3.3 Algorithm") |
| 8. The method of claim 5, wherein the node is a web | See e.g., p. 1-3. |


| Claim Text from '571 Patent | Joachims 1995 |
| :---: | :---: |
| page in the network, the accessed hyperjump data are Universal Resource Locators of linked pages, and the step of determining hyperjump data comprises analyzing the identified hyperjump data. |  |
| 9. The method of claim 5 , wherein the node is a document in the network and the determined hyperjump data has a relationship to the document, the step of displaying comprising the step of listing the hyperjump data that has a relationship to the document. | See, e.g., p. 4 |
| 12. A method for visually displaying data related to a web having identifiable web pages and Universal Resource Locators with pointers, comprising: | See, e.g., p. 1, 3-5 |
| [12a] choosing an identifiable web page; | See, e.g., p.2, 4 (e.g. "The target function we want to learn is a mapping from an arbitrary web page to a set of related pages."). |
| [12b] identifying Universal Resource Locators for the web pages, wherein the identified Universal Resource Locators either point to or point away from the chosen web page; | See, e.g., p. 3-4 (e.g., "3.3 Algorithm") |
| [12c] analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen web page are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [12d] displaying identities of web pages, wherein the located Universal Resource Locators are used to identify web pages. | See, e.g., p. 2, 4 (e.g., "The pages associated with the n most similar columns are returned by Related."). |
| 13. The method of claim 12 , further comprising selecting a web page using the displayed identities of web pages. | See, e.g., p. 2, 4 (e.g., "The pages associated with the n most similar columns are returned by Related."). |
| 14. The method of claim 12, further comprising | See, e.g., p. 1-3 |


| Claim Text from '571 Patent | Joachims 1995 |
| :---: | :---: |
| hyperjumping to the selected web page. |  |
| 15. The method of claim 12 , wherein the step of displaying the identities of web pages comprises generating a graphical user display wherein information within the Universal Resource Locators is parsed and used to generate the graphical user display. | See, e.g., p. 4 |
| 16. A method for navigating documents on the World Wide Web, comprising: I choosing a document; | See, e.g., p. 1, 3-5 |
| [16a] Identifying documents that have a direct relationship to the chosen document; | See, e.g., p. 4 |
| [16b] locating documents that have an indirect relationship to the chosen document identifying Universal Resource Locators for the documents, wherein the identified Universal Resource Locators either point to or point away from the chosen document; analyzing Universal Resource Locators, including the identified Universal Resource Locators, wherein Universal Resource Locators which have an indirect relationship to the chosen document are located, wherein the step of analyzing further comprises cluster analyzing the Universal Resource Locators for indirect relationships; and | See, e.g., p. 4 |
| [16c] displaying a located document. | See, e.g., p. 4 (e.g., "The pages associated with the n most similar columns are returned by Related."). |
| 17. The method of claim 16 , wherein pages and their respective Universal Resource Locators are used and the step of locating documents comprises analyzing the pages and their respective Universal Resource Locators. | See, e.g., p. 1, 4-5 |
| 18. The method of claim 17 , wherein the step of analyzing pages comprises cluster analyzing the pages. | See, e.g., p. 1-4. |
| 19. The method of claim 16, wherein the step of |  |


| Claim Text from '571 Patent | Joachims 1995 |
| :---: | :---: |
| displaying a located document comprises: |  |
| [19a] generating a screen display of identities of one or more located documents; and | See, e.g., p. 2-3 |
| [19b] Selecting one or more of the located documents. | See, e.g., p. 2-3 |
| 20. The method of claim 19, wherein the step of generating a screen display comprises generating a graphical display. | See, e.g., p. 1-4. |
| 21. A method for displaying information about a network that has hyperjump data, comprising: | See, e.g., p. 1-4. |
| [21a] choosing a node; | See, e.g., p. 2, 4 (e.g. "The target function we want to learn is a mapping from an arbitrary web page to a set of related pages."). |
| [21b] accessing the hyperjump data; I identifying hyperjump data from within the accessed hyperjump data that has a direct reference to the chosen node; | See, e.g., p. 3-4 (e.g., "3.3 Algorithm") |
| [21c] determining hyperjump data from within the accessed hyperjump data that has an indirect reference to the chosen node using the identified hyperjump data, wherein the step of determining comprises cluster analyzing the hyperjump data; and | See, e.g., p. 4-5 (e.g., "3.3 Algorithm") |
| [21d] displaying one or more determined hyperjump data. | See, e.g., p. 2, 4 (e.g., "The pages associated with the n most similar columns are returned by Related."). |

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Plaintiff's Infringement Contentions are based on an apparent construction of the claim terms. Defendants disagree with these apparent constructions. Nothing stated herein shall be treated as an admission or suggestion that Defendants agree with Plaintiff regarding either the scope of any of the asserted claims or the claim constructions advanced by Plaintiff in its Infringement Contentions or anywhere else, or that any of Defendants' accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Defendants also reserve all their rights to challenge any of the claim terms herein under 35 U.S.C. § 112, including by arguing that they are indefinite, not supported by the written description and/or not enabled. Accordingly, nothing stated herein shall be construed as a waiver of any argument available under 35 U.S.C. § 112 .

## Invalidity Claim Chart for U.S. Patent No. 6,233,571

## Based on Caplinger, M., "Graphical Database Browsing," ACM p. 113-121 (1986)

| Claim Text from '571 Patent | Calpinger 1986 |
| :--- | :--- |
| 10. The method of claim 5, wherein the step of <br> displaying comprises generating a graphical <br> user display, and wherein information is <br> displayed on a graphical display visually <br> representing more than one coordinate plane. |  |

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[^0]:    ${ }^{1}$ Salton \& Buckley (1990) discloses at least the limitations of claims 34, 35 (see passim, including p. 2-4, Fig. 2), 38 (p. 5), 39 (p. 4-5), and 42 (p. 3-4). These disclosures are applicable to all combinations that include Salton \& Buckley (1990) listed in Table App-5.

[^1]:    ${ }^{2}$ With respect to claims $1,3,4$, and 11, Pitkow 1994 discloses a source map as previously shown for claim 22 in Ex. G-79.

