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Attorneys for Plaintiff

**IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF NEW JERSEY**

STRIKEFORCE TECHNOLOGIES, INC.,

Plaintiff,

v.

TRUSTWAVE HOLDINGS, INC.,

Defendant.

Case No. 2:16-cv-03573-JMV-MF

Hon. John Michael Vazquez

CONSOLIDATED CASE

Jury Trial Demanded

FIRST AMENDED COMPLAINT FOR PATENT INFRINGEMENT

StrikeForce Technologies, Inc. (hereinafter “Plaintiff”), files this First Amended Complaint for patent infringement against Trustwave Holdings, Inc. (hereinafter “Defendant”), and, in support thereof, further states and alleges as follows:

THE PARTIES

1. Plaintiff, StrikeForce Technologies, Inc. (“StrikeForce”) is a corporation incorporated in the state of Wyoming, with its principal place of business located at 1090 King

Georges Post Road, Edison, New Jersey 08837.

2. Upon information and belief, Defendant Trustwave Holdings, Inc. (“Trustwave”) is a corporation incorporated in the state of Delaware, having its principal place of business at 70 W. Madison Street, Chicago, Illinois 60602. The registered agent for service of process is Corporation Service Company, 2711 Centerville Road, Suite 400, Wilmington, DE 19808.

JURISDICTION AND VENUE

3. This is a civil action for patent infringement under the laws of the United States, Title 35 United States Code §§ 1, *et seq.*

4. This Court has subject-matter jurisdiction over this action under 28 U.S.C. §§ 1331 (federal question) and 1338(a) (patent-exclusive jurisdiction).

5. Defendant Trustwave’s website, <https://www.trustwave.com/Resources/Library/Documents/?page=1&product=0&topic=0&type=5>, discloses that Defendant Trustwave engages in systematic and continuous contacts with the state of New Jersey, including Crest Savings Bank, headquartered in Wildwood, NJ. Further, Trustwave discloses on the same website that it engages in business with Intergraph and Qdoba, which both have physical operations in this District. Trustwave further discloses at <https://www.trustwave.com/Resources/Library/Documents/Top-10-Things-to-Know-About-Trustwave/> that it provides products and services to over three million customers worldwide through its website, <https://www.trustwave.com>.

6. Due to at least the business interactions outlined in paragraph 5, this Court has personal jurisdiction over Defendant Trustwave because Trustwave maintains continuous and systematic contacts with the state of New Jersey and because Trustwave has purposefully directed its activities at residents of the state of New Jersey. Defendant Trustwave has injected its infringing products into the stream of commerce through its website and through its

solicitation of business in this District. StrikeForce's claims arise, in part, out of, or relate to Trustwave's acts of infringement committed in the state of New Jersey, and the assertion of personal jurisdiction over Trustwave in this forum would not offend traditional notions of fair play and substantial justice.

7. Venue is proper under 28 U.S.C. §§ 1391(b) and (c) and § 1400(b), because Defendant is subject to personal jurisdiction in this judicial district.

FACTUAL BACKGROUND

8. On July 9, 2013, the United States Patent and Trademark Office duly and legally issued U.S. Patent No. 8,484,698, entitled "Multichannel Device Utilizing a Centralized Out-of-Band Authentication System (COBAS)" ("the '698 Patent"). A true and correct copy of the '698 Patent is attached hereto as Exhibit A.

9. Plaintiff StrikeForce is the owner by assignment of the '698 Patent.

10. The '698 Patent is directed to multichannel security systems and methods for authenticating a user seeking to gain access to, for example, Internet websites and VPN networks, such as those used for conducting banking, social networking, business activities, and other online services. Such technology is sometimes known as "out-of-band" authentication. When coupled with more traditional processes, they are more commonly known as two factor-authentication.

11. StrikeForce offers a product that performs out-of-band authentication, known as ProtectID®. Since about July 2013, the statutory patent notice was placed on the ProtectID® product.

12. Defendant Trustwave engages in electronic commerce conducted on and using at least, but not limited to, its website, <https://www.trustwave.com/>, in the United States and in this

District.

13. Defendant Trustwave owns, operates, and/or directs the operation of its website, <https://www.trustwave.com/>, in the United States and in this District.

14. Defendant Trustwave provides access to its website, <https://www.trustwave.com/>, in the United States and in this District.

15. Through its website, <https://www.trustwave.com/>, Defendant Trustwave offers its Trustwave Managed Two Factor Authentication Service product with multi-factor out-of-band authentication functionalities for Windows, Android, and iOS devices in the United States and in this District.

COUNT I
(Direct Infringement of the '698 Patent)

16. Plaintiff StrikeForce incorporates by this reference the averments set forth in paragraphs 1 through 15.

17. Defendant Trustwave has infringed claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent in this district and elsewhere by making, using, offering for sale, or selling systems and methods for out-of-band authentication, all in violation of 35 U.S.C. § 271(a). Defendant Trustwave has infringed claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent in this District and elsewhere by making, using, offering for sale, or selling systems and methods for out-of-band authentication, including the Trustwave Managed Two-Factor Authentication product, which are offered for sale and sold in this District and elsewhere.

18. Defendant Trustwave infringes claim 1 of the '698 Patent because the Trustwave System implemented in software (*e.g.*, using Trustwave MyIdentity, a component of the TrustOS) controls or directs a method for using a multichannel system to control access to a computer. A server exemplarily running Trustwave software (*e.g.*, TrustOS) receives via a first

channel (*e.g.*, over a network such as a WAN, VPN, the Internet), the login identification of a user, and the demand for accessing a host computer. The server running Trustwave software verifies the login identification by confirming that the login identification has been matched with the user's password (*e.g.*, Boolean check). The demand for access and the user's login identification are passed to a Trustwave server(s) that is connected to a second channel, which receives that data. The software components of the Trustwave server(s) output a prompt to the user requesting a transmission of data, for example, a DTMF data transmission. The user's transmitted data (*e.g.*, a Push response or a DTMF transmission) is received by Trustwave server(s) running Trustwave software. The Trustwave server(s) running Trustwave software compare the user's input of data against the expected input (*e.g.*, to predetermined DTMF signal(s) and/or fraud alerts and/or mobile Push responses). The Trustwave server(s) output an instruction to the computer the user is trying to access to grant or deny access based on the comparison of the transmitted data and the predetermined data.

19. Defendant Trustwave infringes claim 7 because the Trustwave server(s) running Trustwave software output an audible prompt to the user's peripheral device to confirm the demand for access by requesting a transmission of data.

20. Defendant Trustwave infringes claim 19 because the software components of the Trustwave server(s) that contact the user's peripheral device have modules that synthesize an audible prompt based on a message stored on those server(s).

21. Defendant Trustwave infringes claim 22 because the first channel used by the Trustwave Systems can be a wide area network or a local area network (*e.g.*, WAN, VPN, the Internet).

22. Defendant Trustwave infringes claim 48 because the Trustwave System performs

a method implemented in software (*e.g.*, using Trustwave MyIdentity, a component of the TrustOS) to employ a multichannel security system using a mobile device for accessing a host computer using an access channel. Trustwave provides a first software module of the TrustOS running on an Internet-connected server of that commercial or other institution. The first software module of the TrustOS on that server receives the login identification of the subscriber in the access channel and outputs a data signal to other Trustwave software components about that subscriber's credentials. The Trustwave server(s) include additional software module(s) on a different server from that used by the first module of the Trustwave software. Components of the Trustwave software on these different server(s) receive the user ID from the software components of the Trustwave software running on the first server while also requesting the user's telephone number. The software components of the second Trustwave server(s) then output an instruction to the user's mobile device using the authentication channel. Components of the Trustwave software on the different server(s) compare the data received from the subscriber's mobile device to the data previously associated with that subscriber to determine a match. Components of the Trustwave software on the different server(s) return a success signal granting access or a failure signal denying access to the first software module.

23. Defendant Trustwave infringes claim 50 because Trustwave provides a software application running on the mobile device (*e.g.*, Trustwave Mobile) that receives an automated phone call, a text message, or notification sent from the software of the Trustwave server(s). The software application may exemplarily display a message, asking the user to confirm or deny the request for access. The user may then confirm or deny the request through the input of data (*e.g.*, by tapping the "Approve" button). The Trustwave server(s) receives the resulting data sent from the mobile device.

24. Defendant Trustwave infringes claim 52 because the Trustwave software application running on the mobile device (*e.g.*, Trustwave Mobile) receives the automated phone call, a text message, or notification pushed by the software of the Trustwave server(s), and displays a message asking the user to respond.

25. Defendant Trustwave infringes claim 53 because the Trustwave System implemented in software (*e.g.*, using Trustwave MyIdentity, a component of the TrustOS) controls or directs a method for using a multichannel system to control access to a computer. A server exemplarily running Trustwave software (*e.g.*, TrustOS) receives via a first channel (*e.g.*, over a network such as a WAN, VPN, the Internet), the login identification of a user and the demand for accessing a host computer. The server running Trustwave software verifies the login identification by confirming that the login identification has been matched with the user's password (*e.g.*, Boolean check). The user's transmitted data (*e.g.*, a Push response or a DTMF transmission) is received by Trustwave server(s) running Trustwave software. The software components of the Trustwave server(s) output a prompt to the user requesting a transmission of data, for example, a DTMF data transmission. The user's transmitted data (*e.g.*, a Push response or a DTMF transmission) is received by Trustwave server(s) running Trustwave software. The Trustwave server(s) running Trustwave software compares the user's input of data against the expected input (*e.g.*, to predetermined DTMF signal(s) and/or fraud alerts and/or mobile Push responses). The Trustwave server(s) output an instruction to the computer the user is trying to access to grant or deny access based on the comparison of the transmitted data and the predetermined data.

26. Defendant Trustwave infringes claim 54 because Trustwave makes, uses, sells, and/or offers for sale software (*e.g.*, using Trustwave MyIdentity, a component of the TrustOS)

that creates a multichannel security system for controlling access to a computer. A server on which exemplarily, Trustwave TrustOS is installed, receives login identification and a demand to access a host computer through a network (*e.g.*, WAN, VPN, the Internet), using a first channel of communication. Trustwave server(s) running Trustwave software, connected to a second channel of communication, receive the login identification and demand for access once the Trustwave software has verified the user's login identification by confirming that the login identification has been matched with the user's password (*e.g.*, Boolean check). The Trustwave server(s) then outputs a prompt to the user requesting a transmission of data, for example, a DTMF data transmission. The data transmitted by the user is received by the software of the Trustwave server(s). The software of the Trustwave server(s) compares the user's input against the expected input and confirm a match. The Trustwave server(s) output an instruction to the computer the user is trying to access to grant or deny access based on the comparison of the transmitted data and the predetermined data (*e.g.*, through the modification of a transmitted web certificate).

27. Additional details on the infringing Trustwave Two Factor Authentication Service systems and methods, as marketed and offered for sale in the United States and this District by Defendant Trustwave, may be exemplarily found at <https://www.trustwave.com/Services/Managed-Security/Managed-Two-Factor-Authentication/>.

28. Defendant Trustwave sold infringing products to consumers located in New Jersey.

29. As a direct and proximate result of Defendant Trustwave's acts of infringing claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent, Plaintiff has suffered injury and monetary damages for which Plaintiff is entitled to relief in the form of damages for lost profits

and in no event less than a reasonable royalty to compensate for Defendant Trustwave's infringement.

30. Defendant Trustwave will continue to directly infringe claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent, causing immediate and irreparable harm to Plaintiff unless this Court enjoins and restrains its activities, specifically the acts of making, using, selling, and offering for sale as previously outlined. There are inadequate remedies available at law to compensate for this harm.

31. Upon information and belief, the direct infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent by Defendant Trustwave has deprived, and will deprive, Plaintiff of sales proceeds, subscription fees, licensing fees, royalties and other related revenue which Plaintiff would have made or would enjoy in the future; has injured Plaintiff in other respects; and will cause Plaintiff added injury and damage unless Defendant Trustwave is enjoined from infringing claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent on all products and web services Defendant Trustwave will make, use, offer for sale, sell, import, distribute, market, or advertise until the expiration of the '698 Patent.

32. Upon information and belief, Defendant Trustwave has knowingly, willfully, and deliberately infringed claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent in conscious disregard of Plaintiff StrikeForce's rights, making this case exceptional within the meaning of 35 U.S.C. § 285 and justifying treble damages pursuant to 35 U.S.C. § 284.

COUNT II
(Active Inducement of Infringement of the '698 Patent)

33. Plaintiff StrikeForce incorporates by this reference the averments set forth in paragraphs 1 through 32.

34. Defendant Trustwave has, under 35 U.S.C. § 271(b), indirectly infringed, and

continues to indirectly infringe the '698 Patent by, *inter alia*, inducing others to make, use, sell, and/or offer for sale in the United States the above-mentioned products and services covered by the '698 Patent, and distributing, marketing, and/or advertising those products and web services covered by the '698 Patent in this judicial district and elsewhere in the United States. *See e.g.*, SF_TWAVE_000001 - SF_TWAVE_000029.

35. The customers of Defendant Trustwave directly infringe claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent by, for example, using the claimed systems and directly benefiting from the use of those systems. For example, Defendant Trustwave's customers utilize the two-factor authentication system claimed in the '698 Patent for the purpose of gaining secure access to, exemplarily, various Internet websites and other secure networks.

36. Upon information and belief, Defendant Trustwave is aware that it provides its customers with products and web services that are used in a manner that infringes claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent.

37. Upon information and belief, through its marketing activities and through the sales and offers for sale of infringing systems and methods, Defendant Trustwave specifically intends for its customers to use its products and web services and knows that its customers are using its products and web services in an infringing manner.

38. Upon information and belief, Defendant Trustwave specifically encourages and instructs its customers to use its products and web services in a manner that Defendant Trustwave knows constitutes infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent.

39. As a result of Defendant Trustwave's activities, as foresaid, and its customers' activities in utilizing the systems and methods of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the

'698 Patent, Defendant Trustwave is liable for induced infringement.

40. As a direct and proximate result of Defendant Trustwave's acts of infringing claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent, Plaintiff StrikeForce has suffered injury and monetary damages for which Plaintiff StrikeForce is entitled to relief in the form of damages for lost profits and in no event less than a reasonable royalty to compensate for Defendant Trustwave's infringement.

41. Upon information and belief, Defendant Trustwave has knowingly, willfully, and deliberately induced infringement of the '698 Patent in conscious disregard of Plaintiff StrikeForce's rights, making this case exceptional within the meaning of 35 U.S.C. § 285 and justifying treble damages pursuant to 35 U.S.C. § 284.

42. Defendant Trustwave will continue to induce infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent, causing immediate and irreparable harm to Plaintiff StrikeForce unless this Court enjoins and restrains its activities, specifically the acts of making, using, selling, and offering for sale, as outlined above. There are inadequate remedies available at law to compensate for this harm.

43. The induced infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent by Defendant Trustwave has, and will, deprive Plaintiff StrikeForce of sales, licensing fees, royalties, and other related revenue which Plaintiff StrikeForce would have made or would enjoy in the future; has injured Plaintiff StrikeForce in other respects; and will cause Plaintiff StrikeForce added injury and damage unless Defendant Trustwave is enjoined from inducing infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent for all products and web services Defendant Trustwave will make, use, offer for sale, sell, import, distribute, market, or advertise until the expiration of the '698 Patent.

COUNT III
(Contributory Infringement of the '698 Patent)

44. Plaintiff StrikeForce incorporates by this reference the averments set forth in paragraphs 1 through 43.

45. Defendant Trustwave has, under 35 U.S.C. § 271(c), indirectly infringed, and continues to indirectly infringe claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent by, *inter alia*, knowingly providing to its customers the Trustwave Managed Two Factor Authentication Service, which constitutes a material component of an out-of-band authentication system that was especially made or adapted for use in that system, which is not a staple article or commodity of commerce and which has no substantial, non-infringing use. *See e.g.*, SF_TWAVE_000001 - SF_TWAVE_000029.

46. Upon information and belief, Defendant Trustwave had and/or has knowledge of the '698 Patent.

47. As a direct and proximate result of Defendant Trustwave's acts of infringing the '698 Patent, Plaintiff has suffered injury and monetary damages for which Plaintiff StrikeForce is entitled to relief in the form of damages for lost profits and in no event less than a reasonable royalty to compensate for Defendant Trustwave's infringement.

48. Upon information and belief, Defendant Trustwave has knowingly, willfully, and deliberately contributed to infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent in conscious disregard of Plaintiff StrikeForce's rights, making this case exceptional within the meaning of 35 U.S.C. § 285 and justifying treble damages pursuant to 35 U.S.C. § 284.

49. Defendant Trustwave will continue to contribute to infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent, causing immediate and irreparable harm to

Plaintiff unless this Court enjoins and restrains Defendant Trustwave's activities, specifically the acts of making, using, selling, and offering for sale, as outlined above. There are inadequate remedies available at law to compensate for this harm.

50. The contributory infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent by Defendant Trustwave has, and will, deprive Plaintiff StrikeForce of sales, licensing fees, royalties and other related revenue which Plaintiff StrikeForce would have made or would enjoy in the future; has injured Plaintiff StrikeForce in other respects; and will cause Plaintiff StrikeForce added injury and damage unless Defendant Trustwave is enjoined from contributing to the infringement of claims 1, 7, 19, 22, 48, 50, 52, 53, and 54 of the '698 Patent on all products and web services Defendant Trustwave will make, use, offer for sale, sell, import, distribute, market, or advertise until the expiration of the '698 Patent.

PRAYER FOR RELIEF

WHEREFORE, Plaintiff, StrikeForce, respectfully requests this Court to:

A. Enter judgment for Plaintiff StrikeForce that the '698 Patent was duly and legally issued, is valid, enforceable, and has been infringed, directly and/or indirectly, by Defendant Trustwave;

B. Enter judgment for Plaintiff StrikeForce that Defendant Trustwave has willfully infringed, and is willfully infringing, claims 1, 7, 19, 22, 48, 50, 52, 53 and/or 54 of the '698 Patent;

C. Order Defendant Trustwave to account in written form for and to pay to Plaintiff StrikeForce actual damages to compensate Plaintiff StrikeForce for Defendant Trustwave's infringement of the '698 Patent through and including the date of entry of the judgment on the jury's verdict, including but not limited to, damages for lost profits and in no event less than a reasonable royalty, together with interest and costs under 35 U.S.C. § 284;

D. Award Plaintiff StrikeForce treble damages due to Defendant Trustwave's deliberate, willful, and knowing conduct;

E. Issue a preliminary injunction restraining Defendant Trustwave, its directors, officers, agents, employees, successors, subsidiaries, assigns, affiliates and all persons acting in privity or in concert or participation with any of them from the continued infringement, direct or contributory, or active inducement of infringement by others, of the '698 Patent;

F. Issue a permanent injunction restraining Defendant Trustwave, its directors, officers, agents, employees, successors, subsidiaries, assigns, affiliates and all persons acting in privity or in concert or participation with any of them from the continued infringement, direct or contributory, or active inducement of infringement by others, of the '698 Patent;

G. Direct Defendant Trustwave to file with this Court, and to serve on Plaintiff StrikeForce, a written report under oath setting forth in detail the manner and form in which it has complied with the injunction;

H. In lieu of a permanent injunction, order Defendant Trustwave to pay to Plaintiff StrikeForce monetary damages that will be suffered as a result of Defendant Trustwave's continuing post-verdict infringement of the '698 Patent by requiring Defendant Trustwave to take a compulsory license at a reasonable royalty rate to be determined by the Court on all products that it makes, uses, offers for sale, sells, imports, distributes, markets, or advertises that infringe the '698 Patent until the expiration of the '698 Patent, which royalty payments shall commence three months after entry of the judgment and shall be made quarterly thereafter, and shall be accompanied by an accounting of the sales of infringing products by the Defendant Trustwave;

I. Order such other measures in the form of audit rights, interest on late payments,

and appropriate security to protect Plaintiff StrikeForce's rights;

J. Order Defendant Trustwave to pay Plaintiff StrikeForce its costs, expenses, and fees, including reasonable attorneys' fees pursuant to 35 U.S.C. § 285, and pre-judgment and post-judgment interest at the maximum rate allowed by law; and

K. Grant Plaintiff StrikeForce such other and further relief as the Court may deem just and proper.

Dated: February 1, 2017

By: /s/ Seth J. Lapidow

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DEMAND FOR JURY TRIAL

Pursuant to Rule 38 of the Federal Rules of Civil Procedure, Plaintiff demands that the issues in this case be tried by a jury.

CERTIFICATION PURSUANT TO LOCAL RULE 11.2

The undersigned certifies that the matter in controversy is not the subject of any other action pending in any court, or of any pending arbitration or administrative proceeding.

Dated: February 1, 2017

By: /s/ Seth J. Lapidow

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EXHIBIT A

(10) **Patent No.:** US 8,484,698 B2
(45) **Date of Patent:** *Jul. 9, 2013

(54) **MULTICHANNEL DEVICE UTILIZING A
CENTRALIZED OUT-OF-BAND
AUTHENTICATION SYSTEM (COBAS)**

(75) Inventor: **Ram Pemmaraju**, Old Bridge, NJ (US)

(73) Assignee: **StrikeForce Technologies, Inc.**, Edison,
NJ (US)

(*) Notice: Subject to any disclaimer, the term of this patent is extended or adjusted under 35 U.S.C. 154(b) by 266 days.

This patent is subject to a terminal disclaimer.

(21) Appl. No.: 12/958,126

(22) Filed: **Dec. 1, 2010**

(65) **Prior Publication Data**

US 2013/0096916 A1 Apr. 18, 2013

Related U.S. Application Data

(63) Continuation of application No. 10/970,559, filed on Oct. 21, 2004, now Pat. No. 7,870,599, which is a continuation-in-part of application No. 09/655,297, filed on Sep. 5, 2000, now abandoned.

(51) **Int. Cl.**
G06F 7/04 (2006.01)
G06F 21/00 (2006.01)
H04L 29/06 (2006.01)

(52) **U.S. Cl.**
USPC **726/2; 726/45; 726/27**

(58) **Field of Classification Search**
USPC 726/2, 5, 27
See application file for complete search history.

(56) **References Cited**

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2004/0030935	A1	2/2004	Kai	

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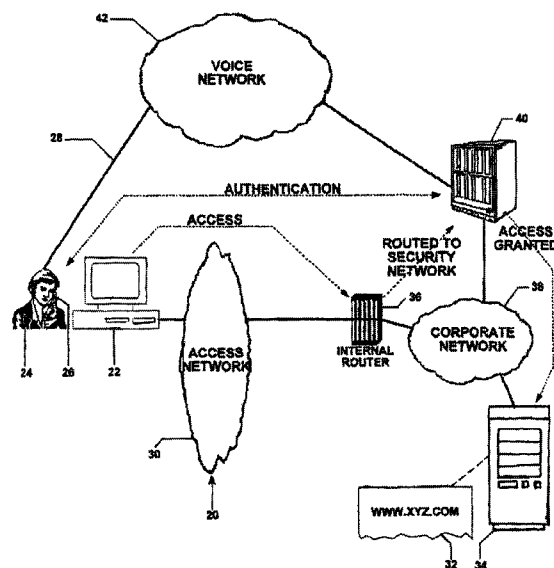
Primary Examiner — William Powers

(74) *Attorney, Agent, or Firm* — Blank Rome LLP

(57) **ABSTRACT**

A multichannel security system is disclosed, which system is for granting and denying access to a host computer in response to a demand from an access-seeking individual and computer. The access-seeker has a peripheral device operative within an authentication channel to communicate with the security system. The access-seeker initially presents identification and password data over an access channel which is intercepted and transmitted to the security computer. The security computer then communicates with the access-seeker. A biometric analyzer—a voice or fingerprint recognition device—operates upon instructions from the authentication program to analyze the monitored parameter of the individual. In the security computer, a comparator matches the biometric sample with stored data, and, upon obtaining a match, provides authentication. The security computer instructs the host computer to grant access and communicates the same to the access-seeker, whereupon access is initiated over the access channel.

54 Claims, 18 Drawing Sheets



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PRIOR ART

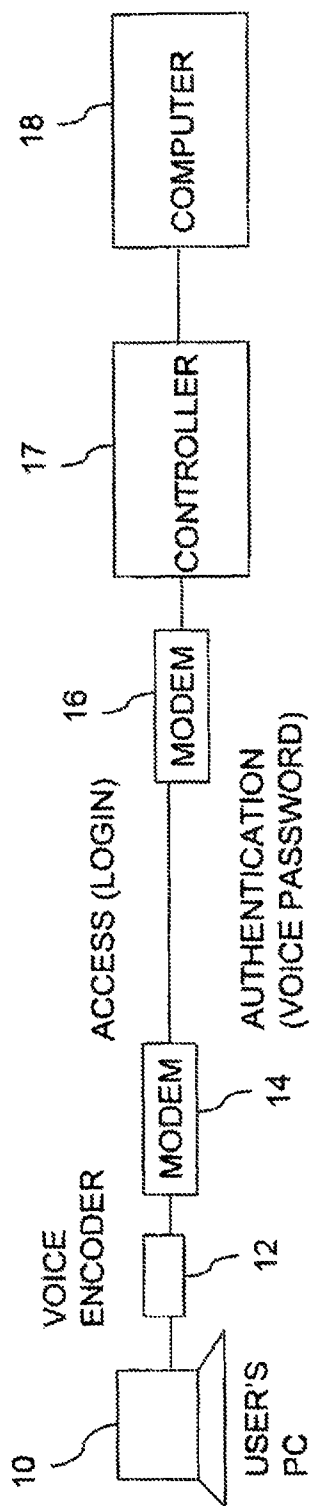


FIGURE 1

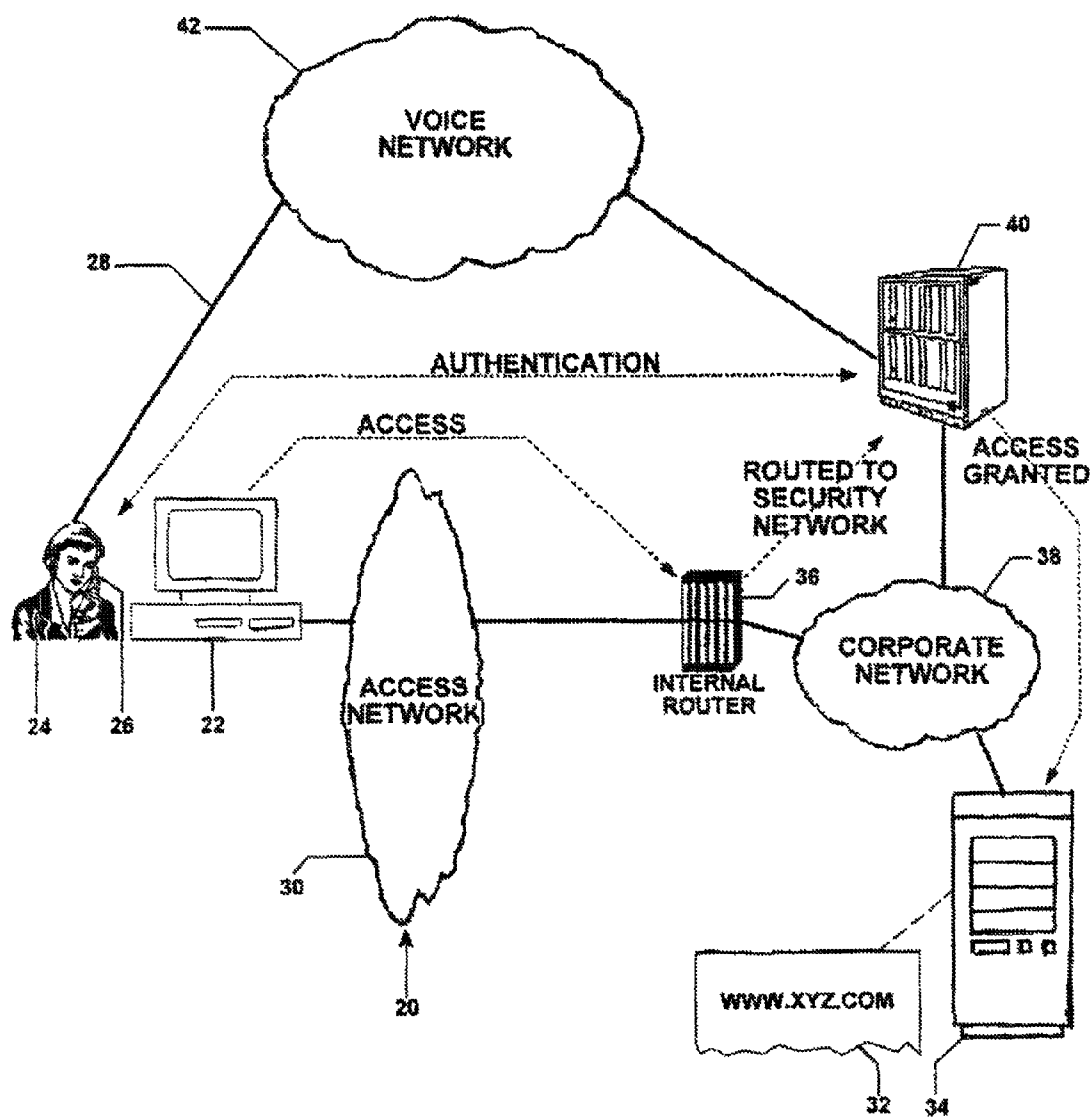


FIGURE 1A

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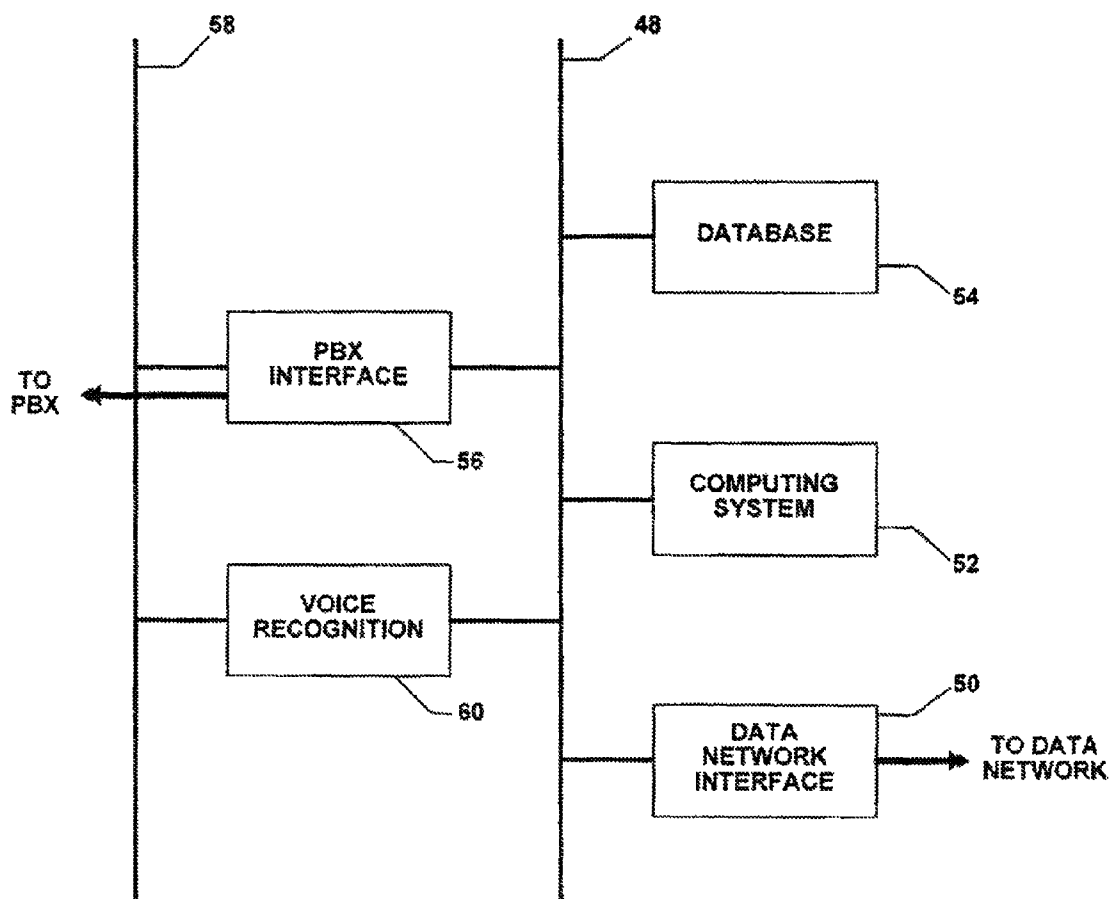


FIGURE 2

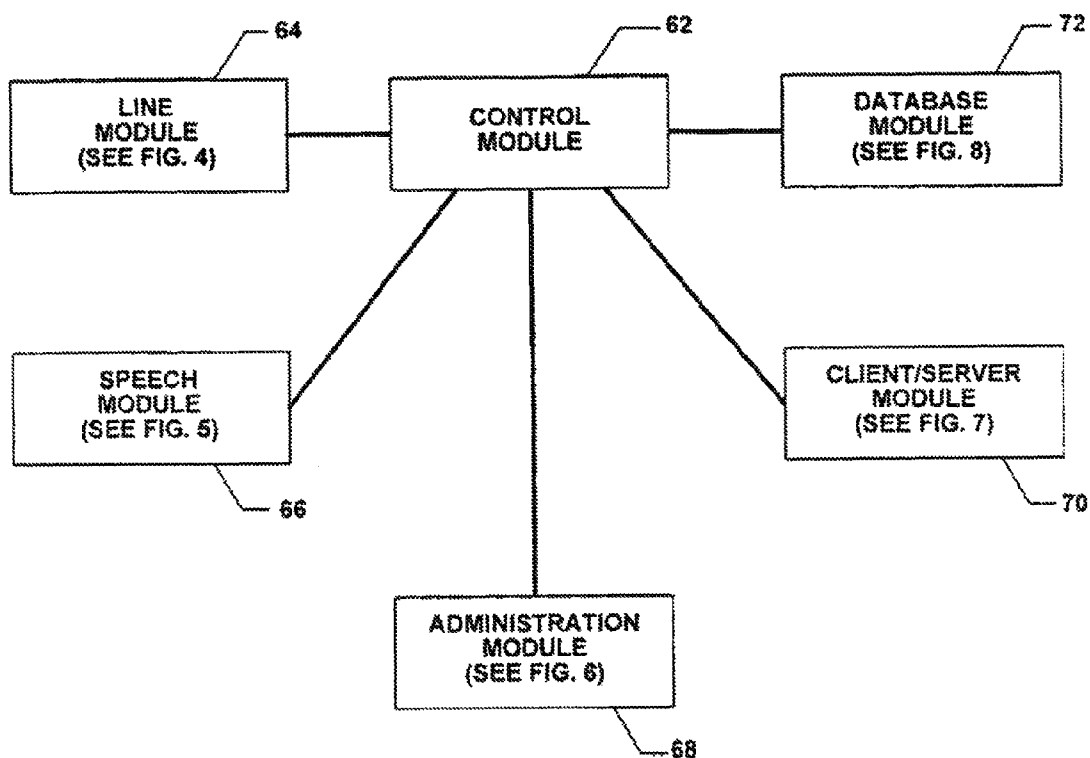


FIGURE 3

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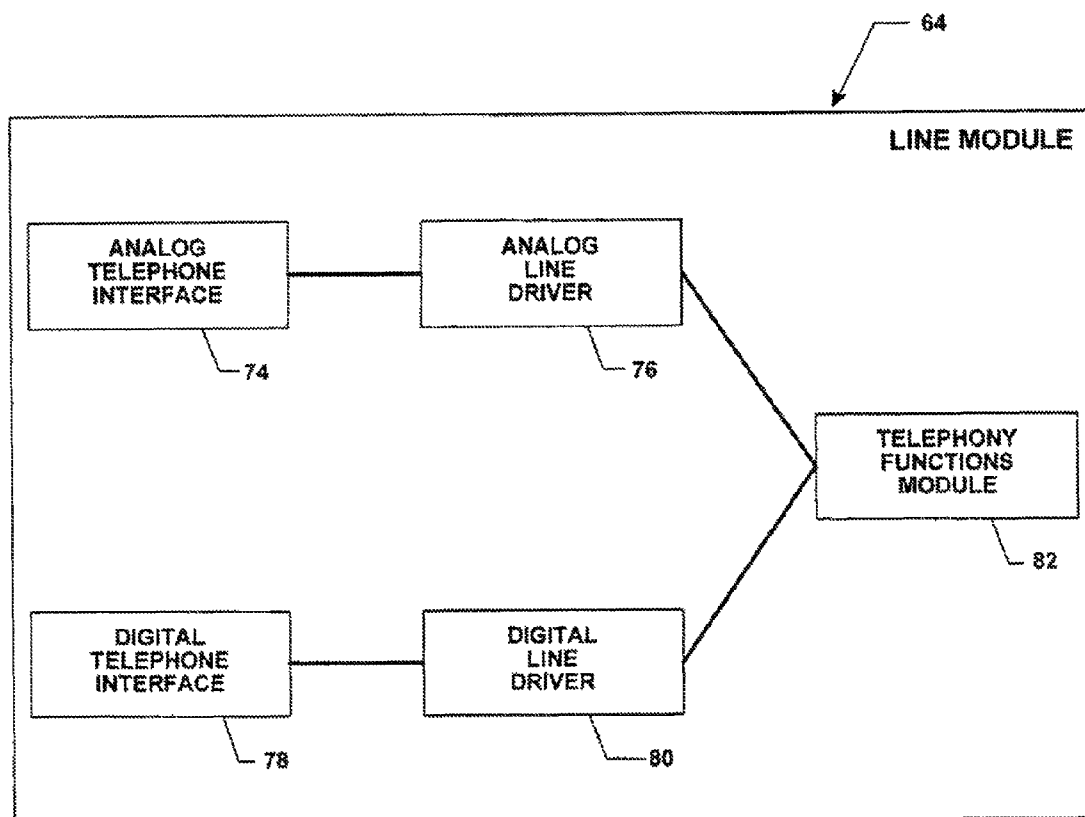


FIGURE 4

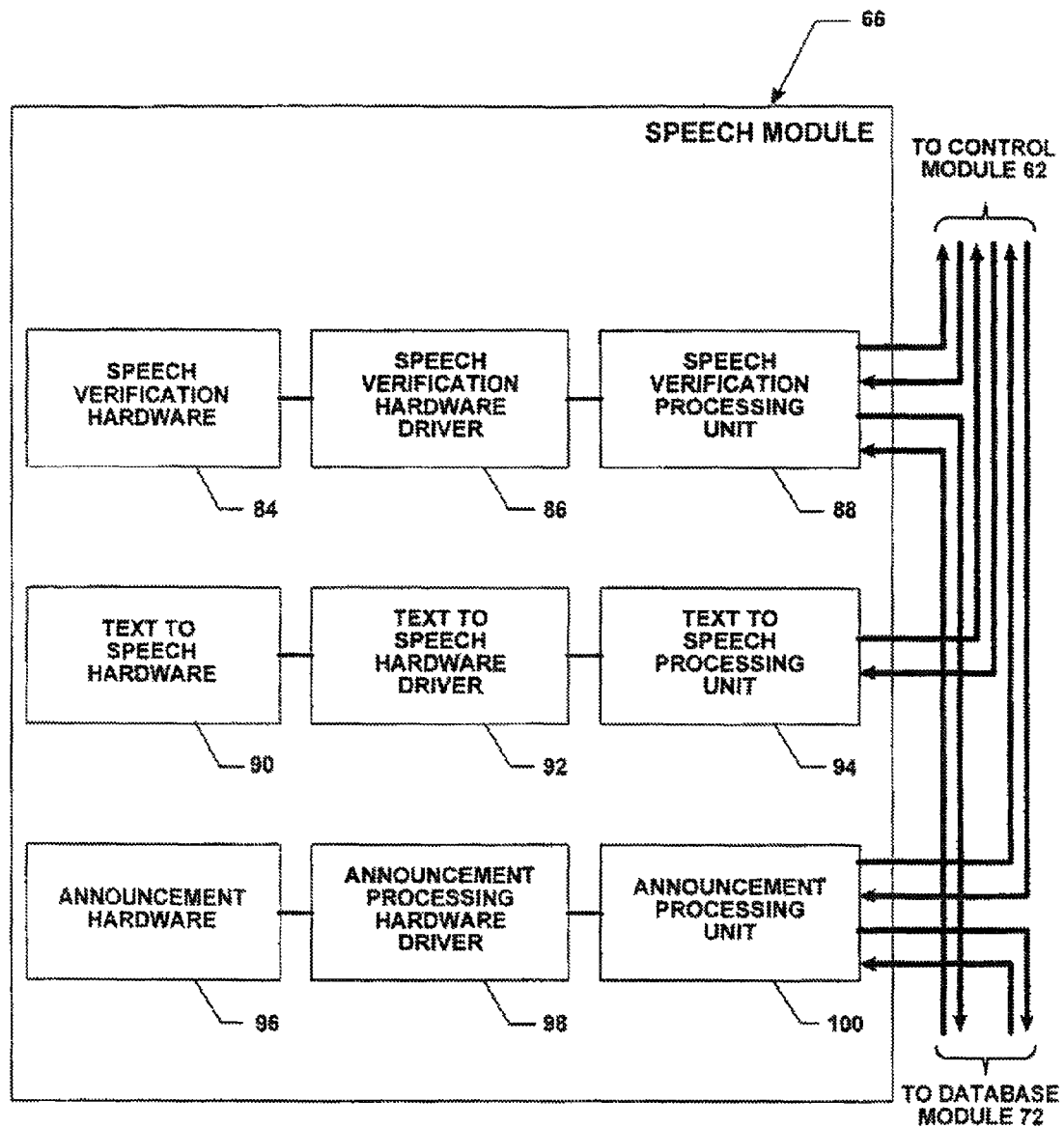


FIGURE 5

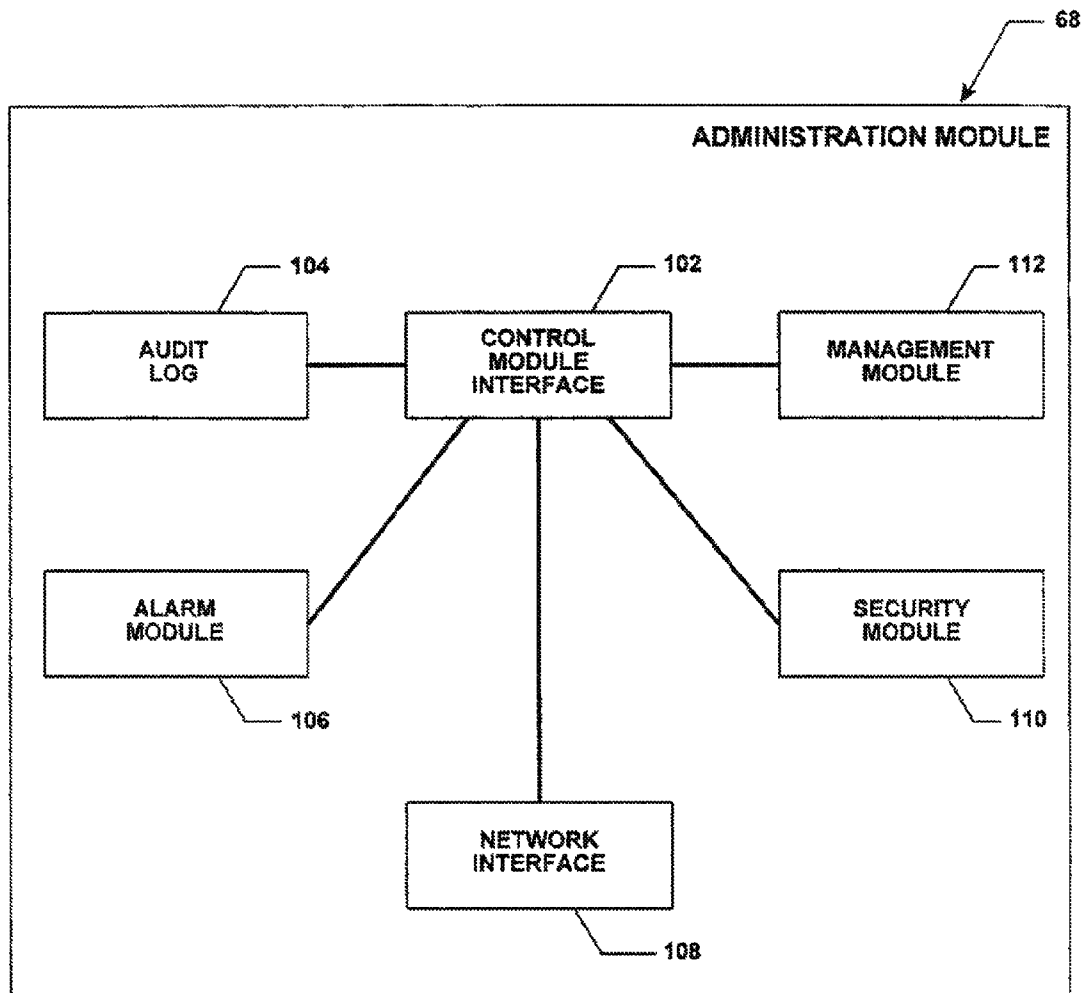


FIGURE 6

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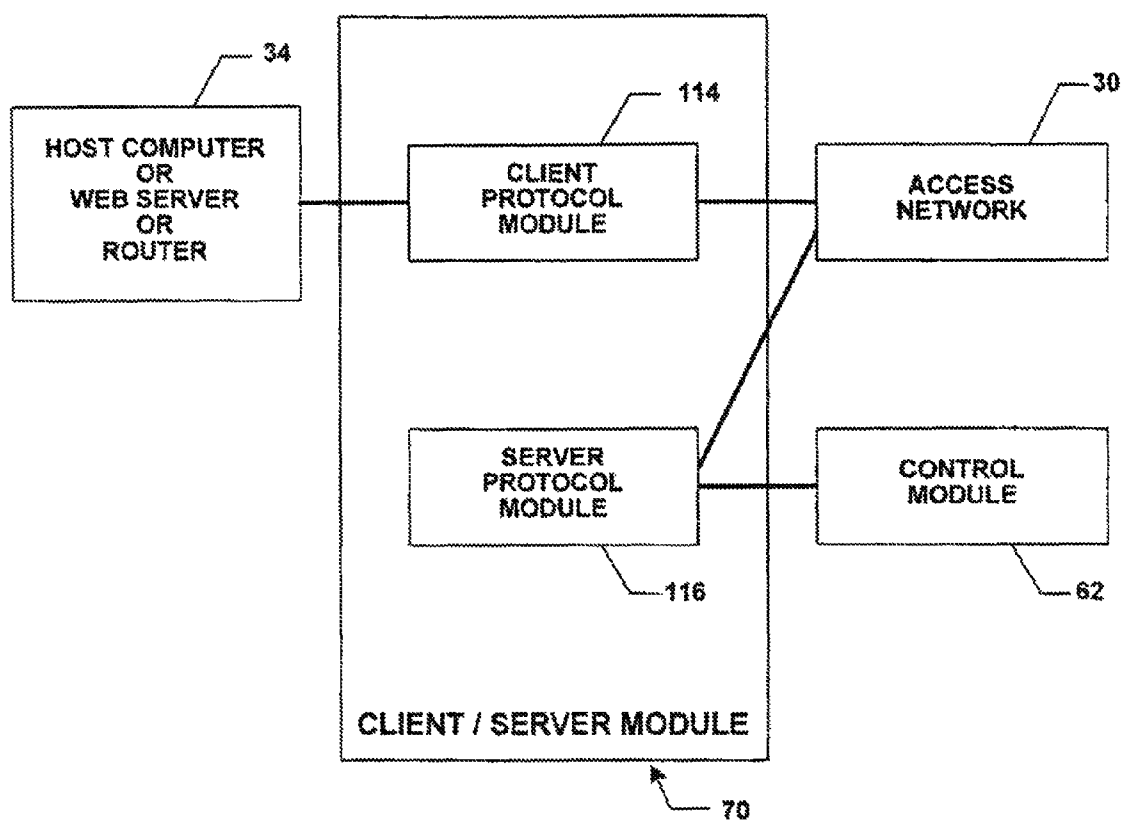


FIGURE 7

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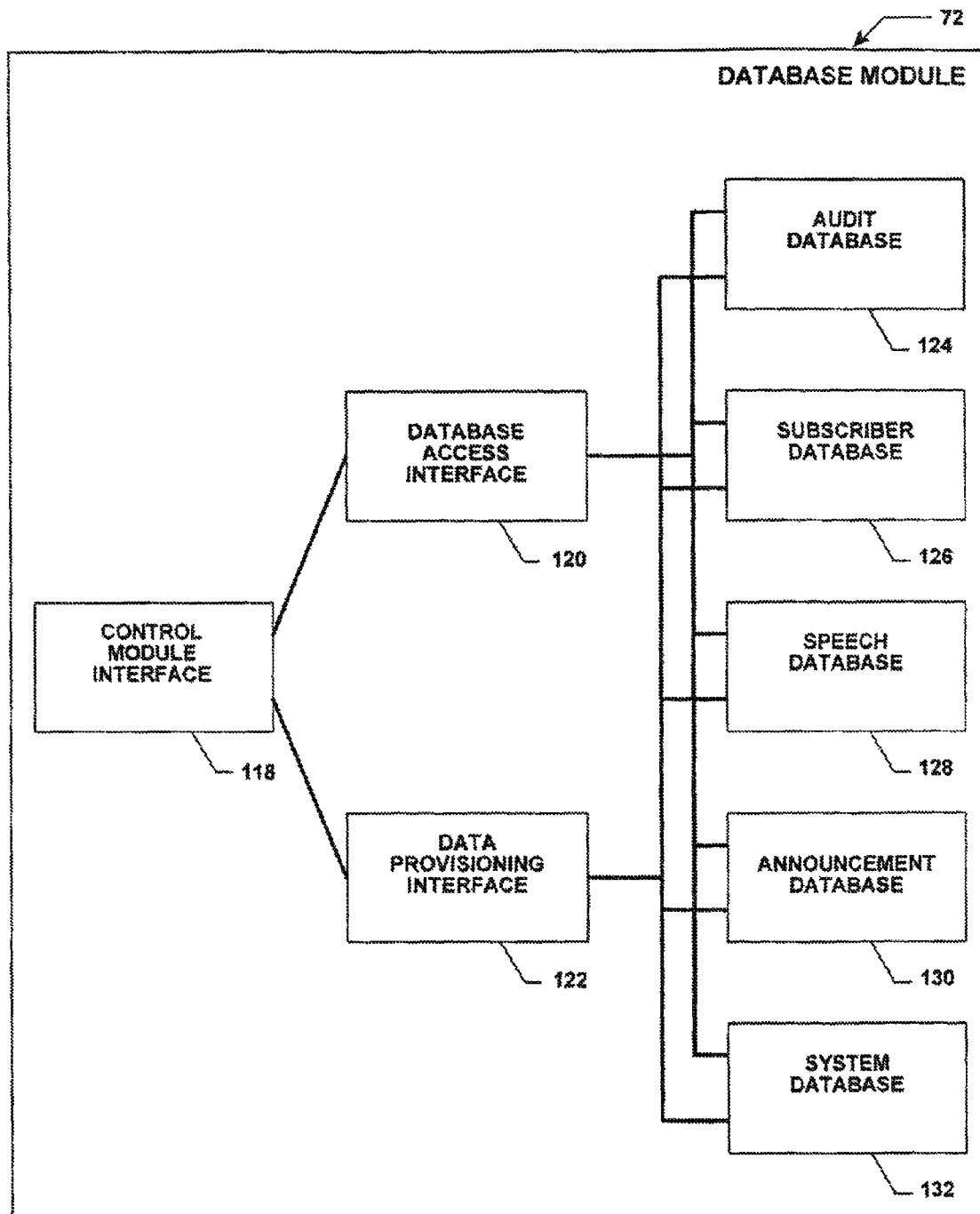


FIGURE 8

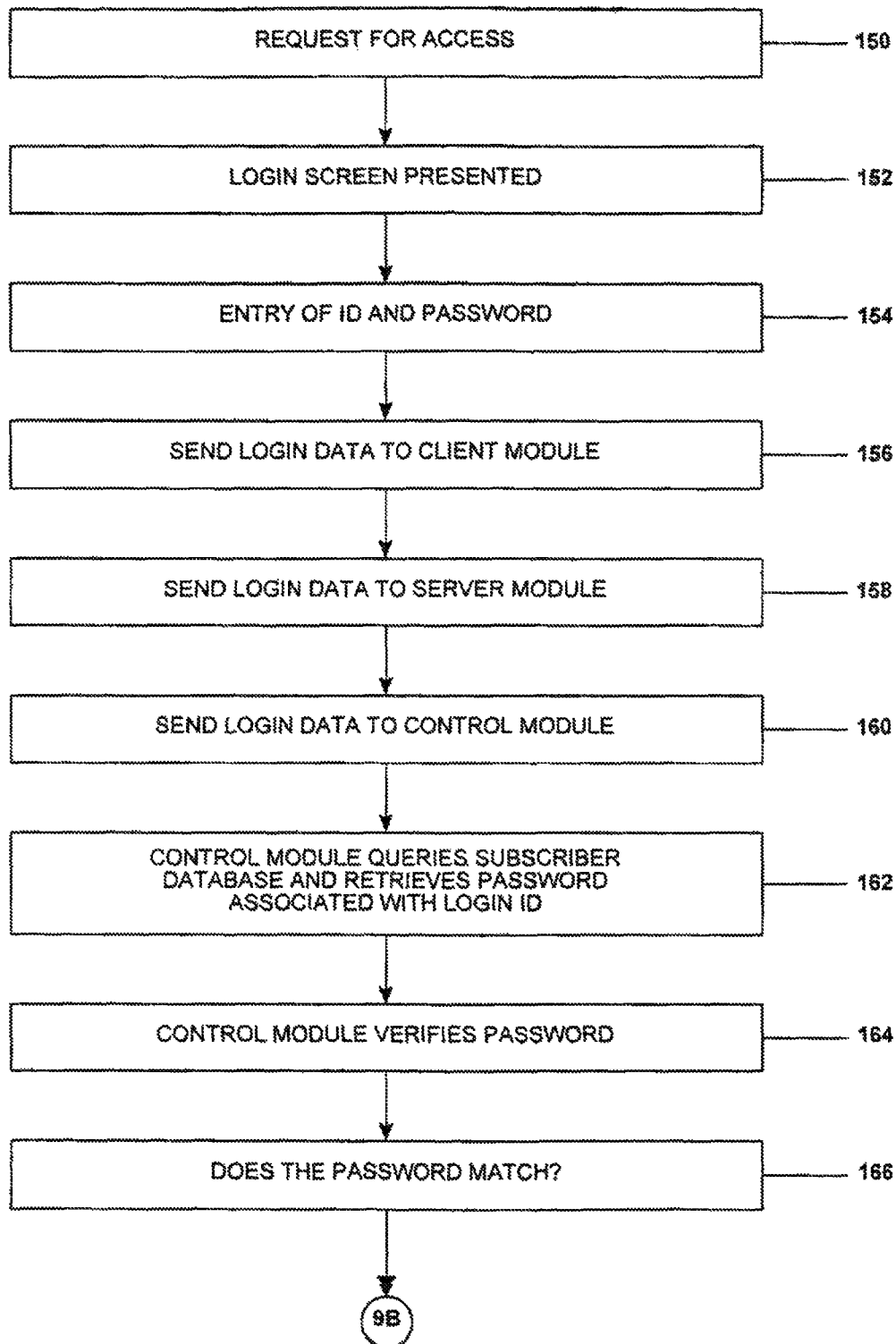


FIGURE 9A

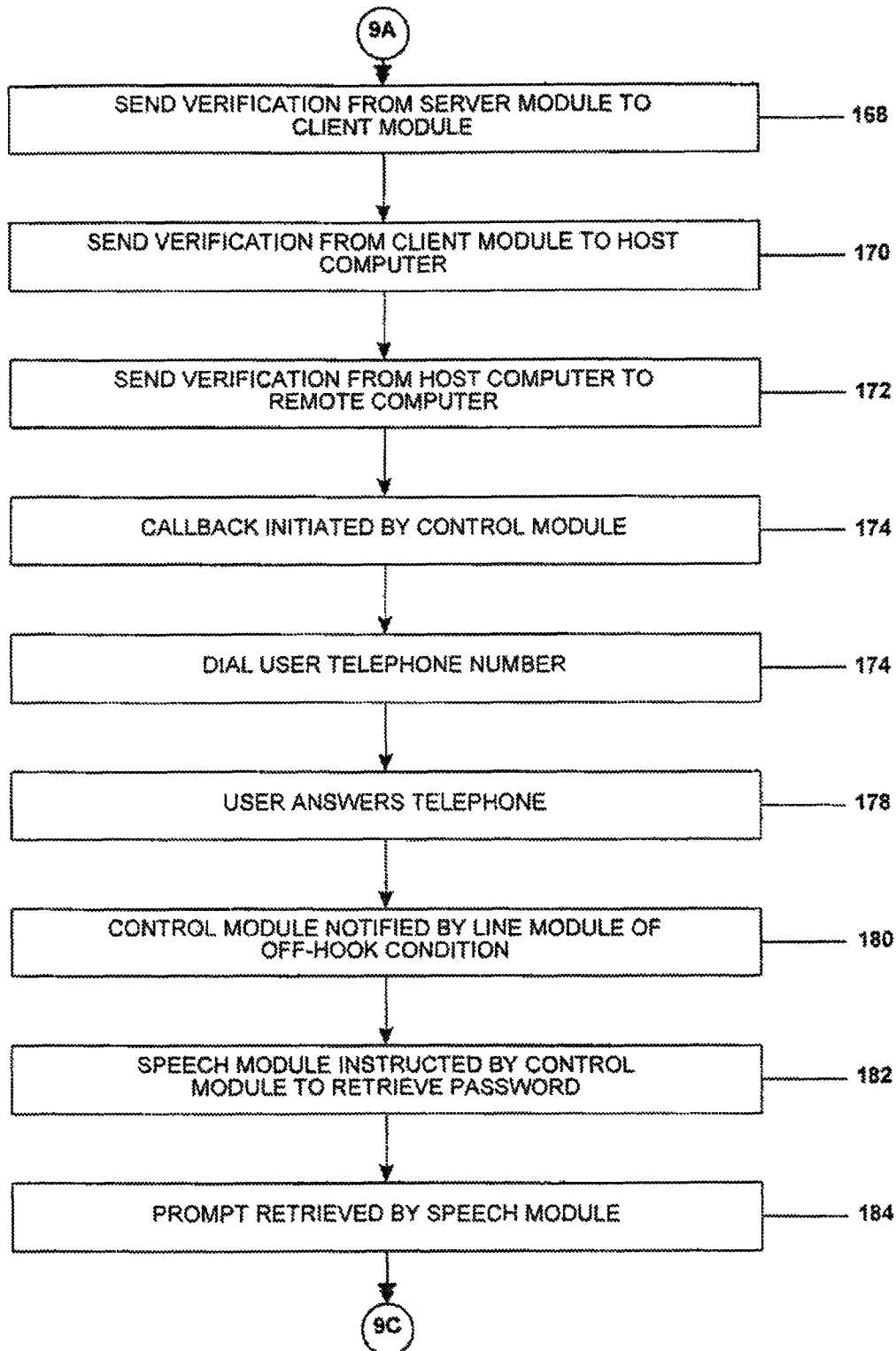


FIGURE 9B

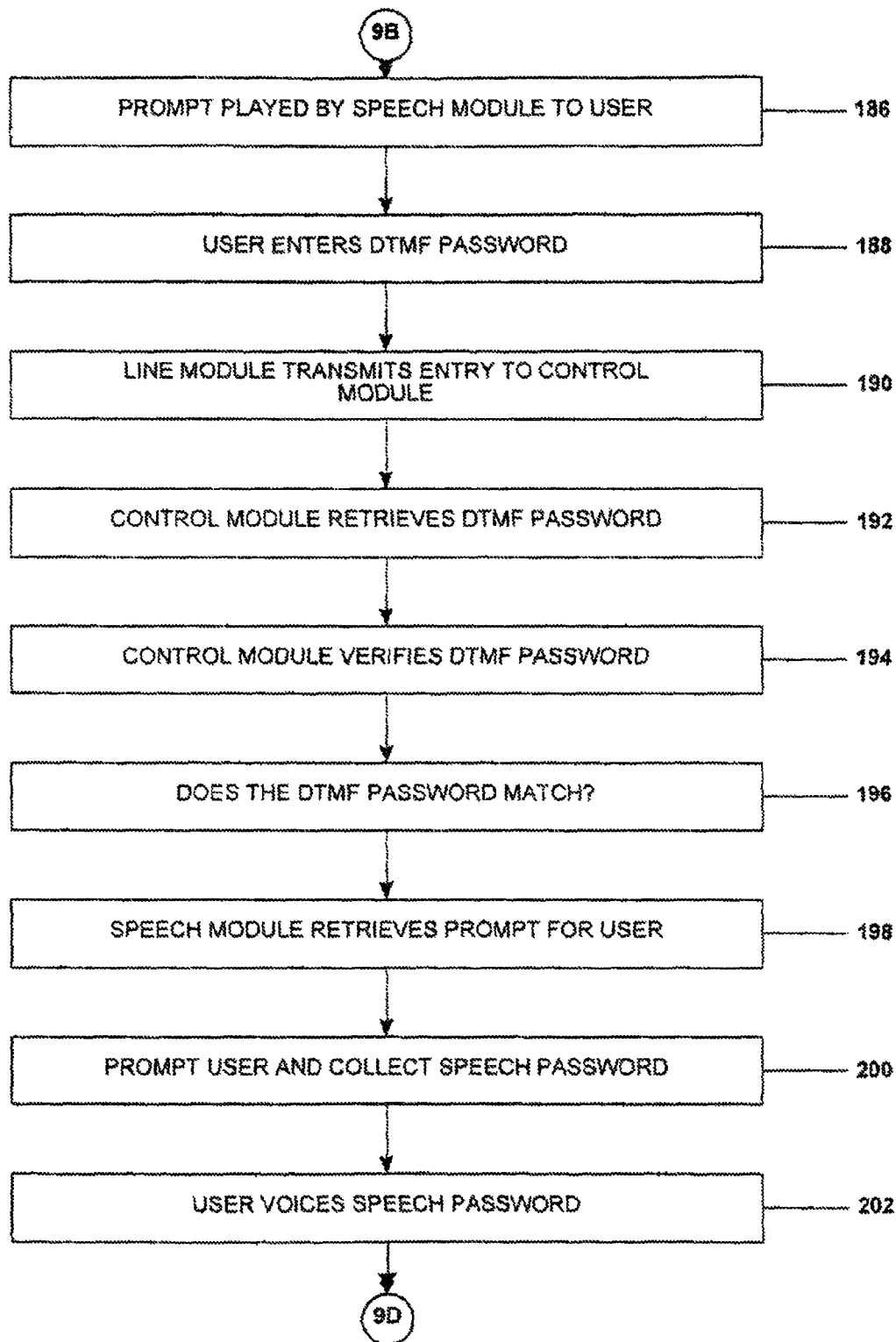


FIGURE 9C

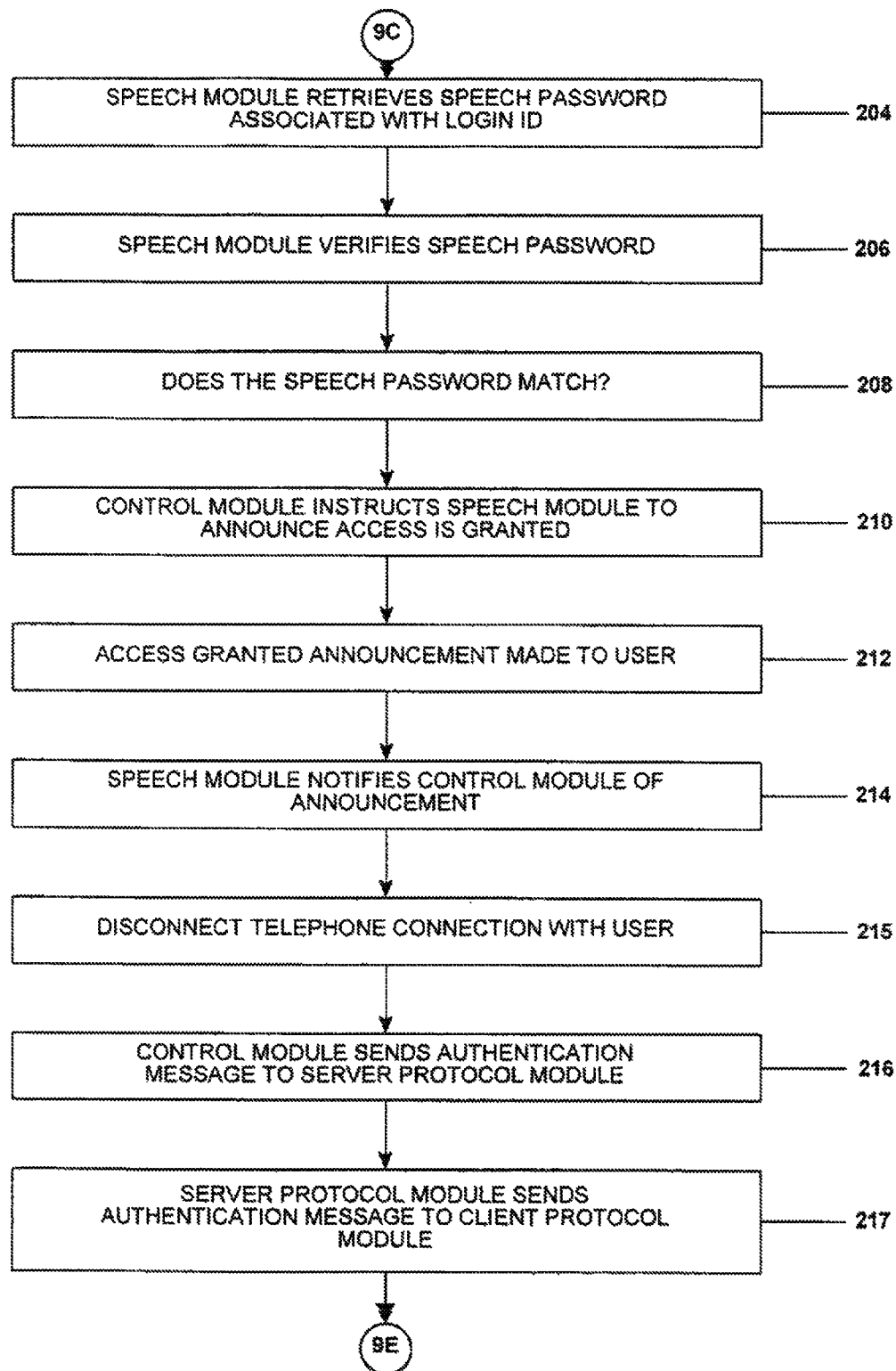


FIGURE 9D

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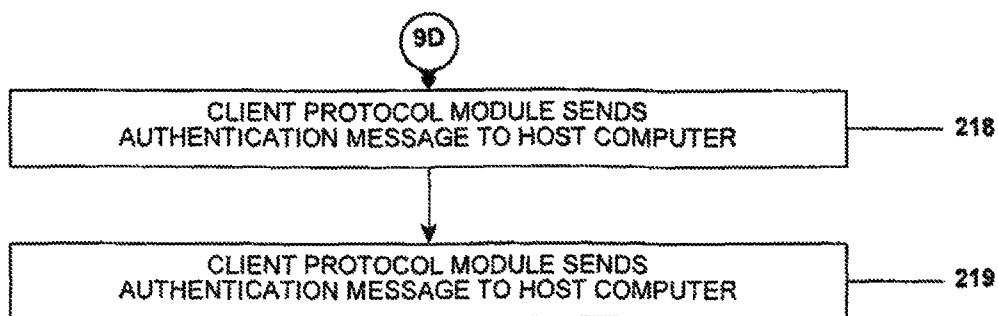


FIGURE 9E

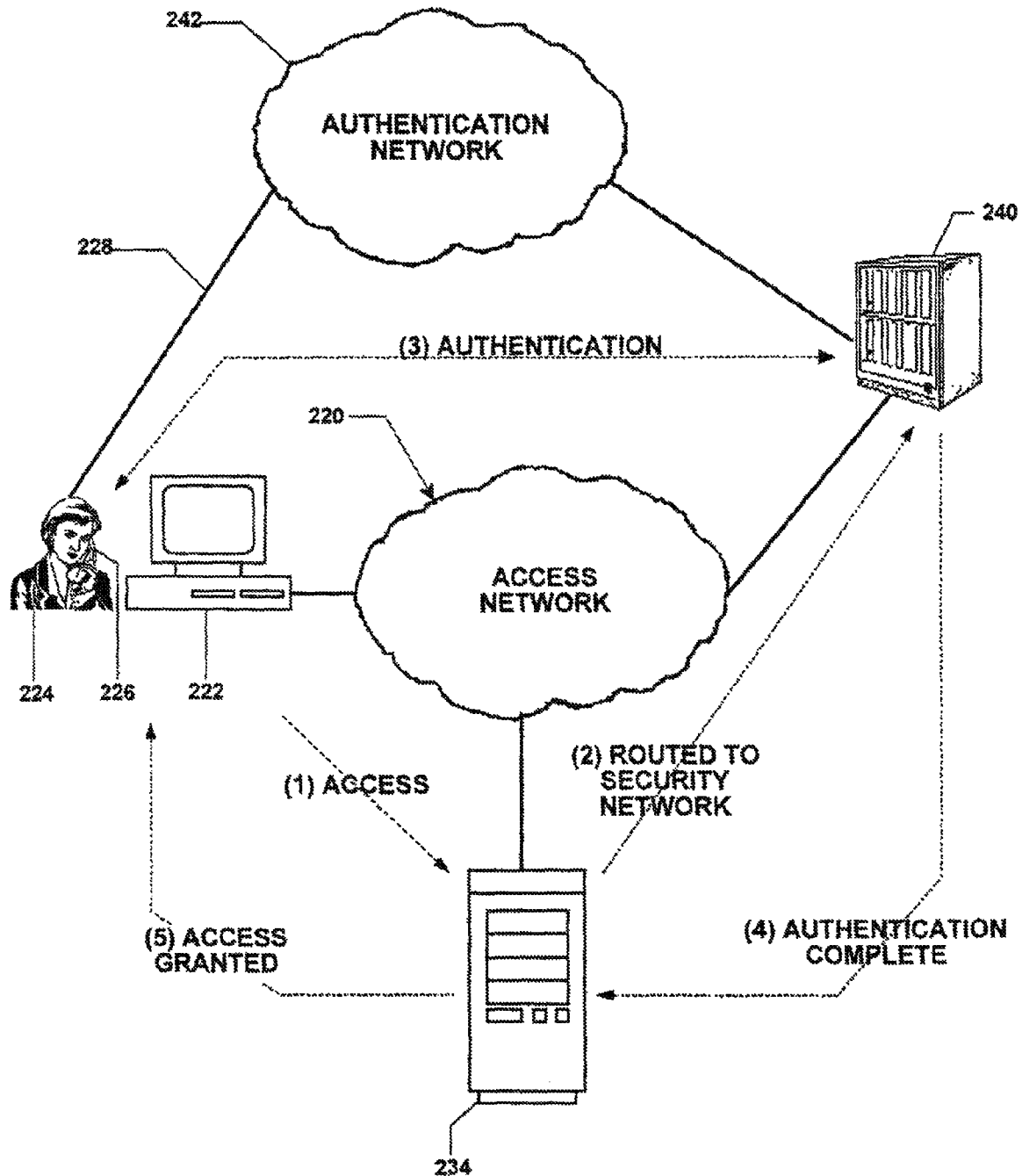


FIGURE 10

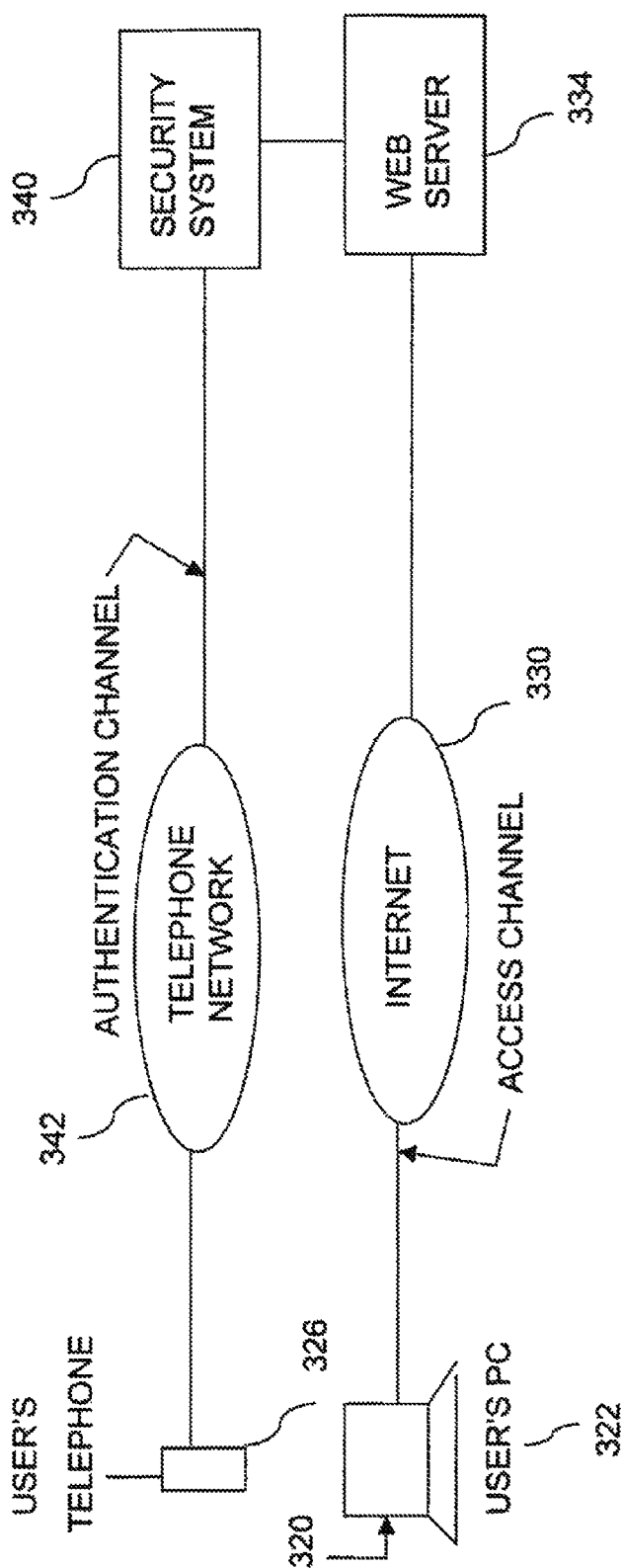


FIGURE 11

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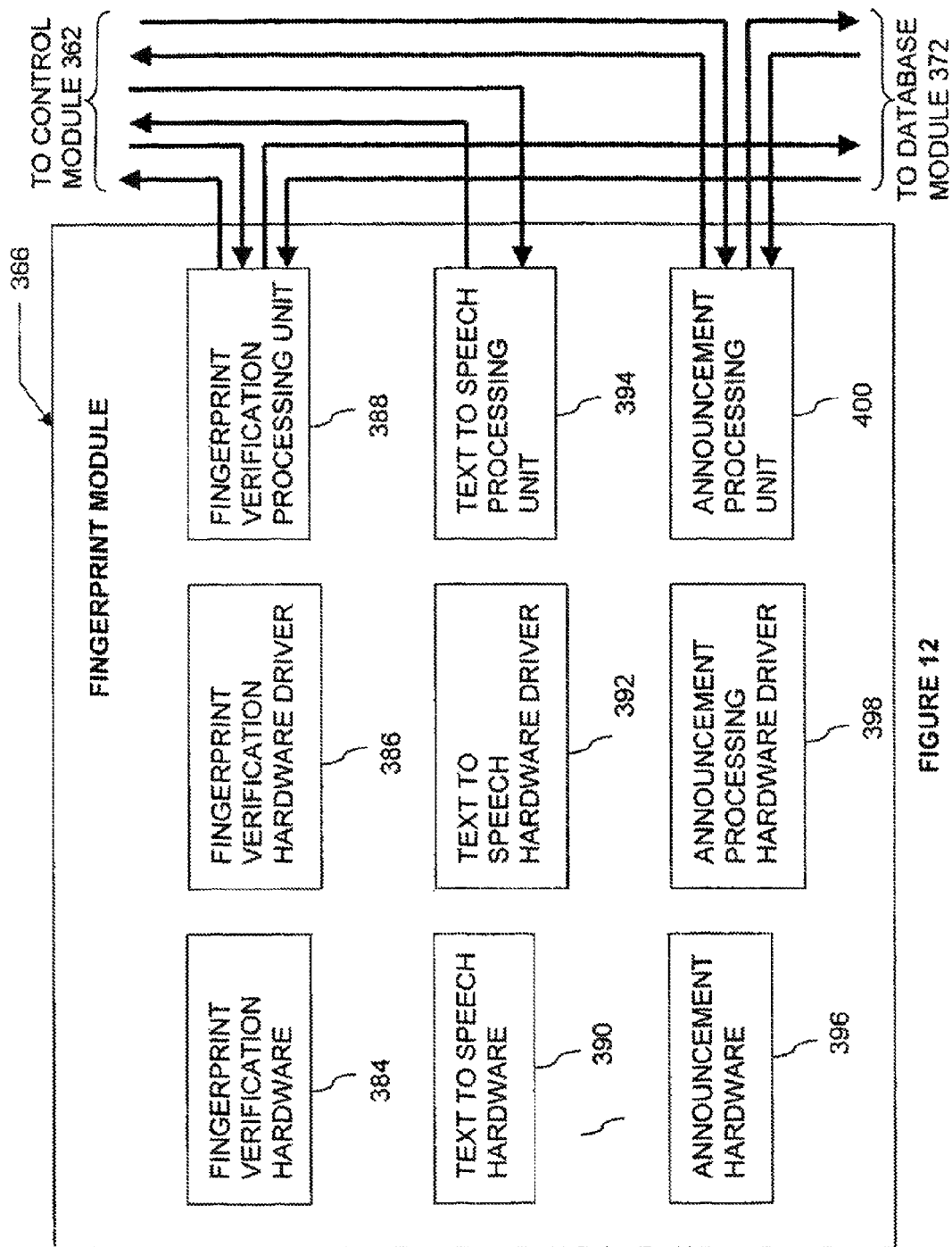


FIGURE 12

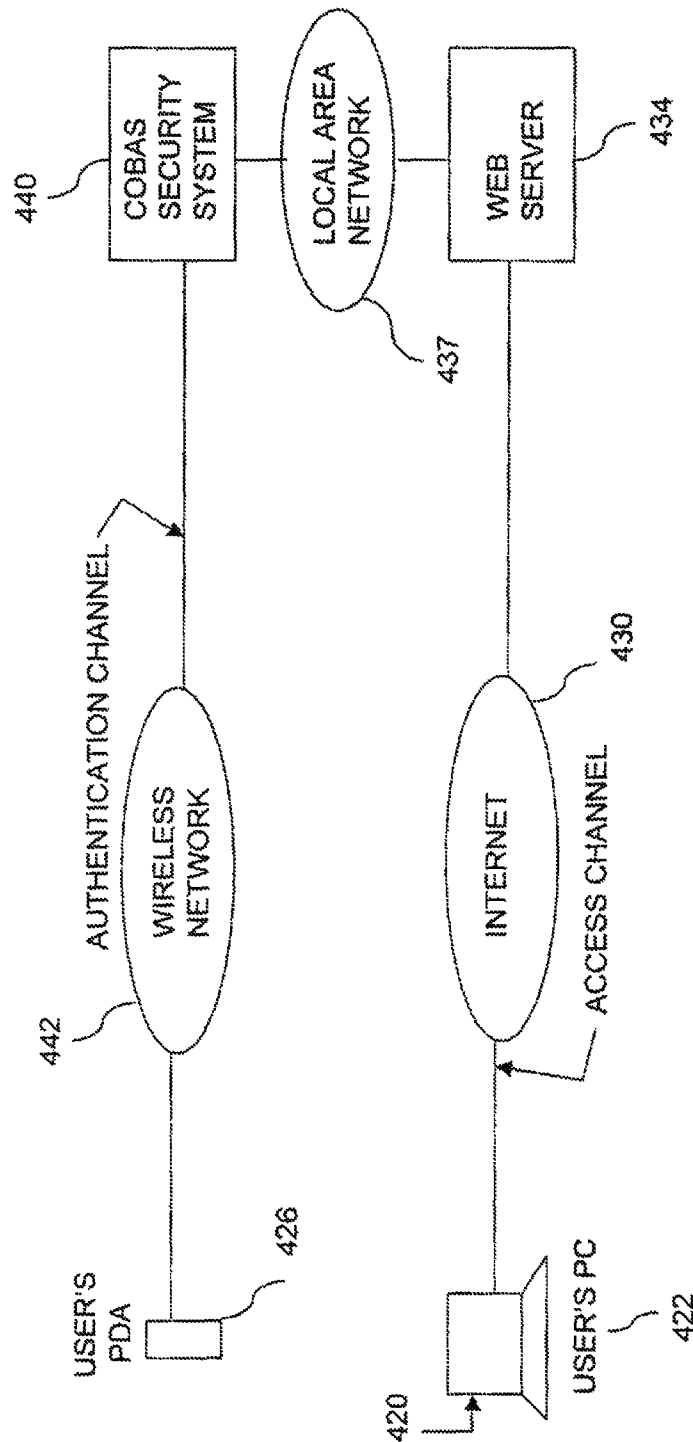


FIGURE 13

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MULTICHANNEL DEVICE UTILIZING A CENTRALIZED OUT-OF-BAND AUTHENTICATION SYSTEM (COBAS)

RELATED APPLICATION

This application is a continuation of an application entitled MULTICHANNEL DEVICE UTILIZING A CENTRALIZED OUT-OF-BAND AUTHENTICATION SYSTEM (COBAS), Ser. No. 10/970,559, which is a continuation-in-part of an application entitled OUT-OF-BAND SECURITY NETWORKS FOR COMPUTER NETWORK APPLICATIONS, Ser. No. 09/655,297, filed Sep. 5, 2000, now abandoned, the contents of which are incorporated herein by reference.

BACKGROUND OF THE INVENTION

1. Field of the Invention

This invention relates to security networks for computer network applications, and, more particularly, to a security network which provides user authentication by an out-of-band system that is entirely outside the host computer network being accessed. In addition, the out-of-band system optionally includes provision for biometric identification as part of the authentication process.

2. Background of the Invention

In the past, there have typically been three categories of computer security systems, namely, access control, encryption and, message authentication, and intrusion detection. The access control systems act as the first line of defense against unwanted intrusions, and serve to prevent hackers who do not have the requisite information, e.g. the password, etc., from accessing the computer networks and systems. Secondly, the encryption and message authentication systems ensure that any information that is stored or in transit is not readable and cannot be modified. In the event that a hacker is able to break into the computer network, these systems prevent the information from being understood, and, as such, encryption systems as the second line of defense. Further intrusion detection systems uncover patterns of hacker attacks and viruses and, when discovered provide an alarm to the system administrator so that appropriate action can be taken. Since detection systems operate only after a hacker has successfully penetrated a system, such systems act as a third line of defense.

Obviously, as an access control system is the first line of defense, it is important that the selection thereof be well-suited to the application. In access control systems there is a broad dichotomy between user authentication and host authentication systems. In current practice, the most common user authentication systems include simple password systems, random password systems, and biometric systems. The simple password systems are ubiquitous in our society with every credit card transaction using a pin identification num-

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ber, every automatic teller machine inquiry looking toward a password for access, and even telephone answering messages using simple password systems for control.

Additionally, when random password systems are used, another level of sophistication is added. In these systems, the password changes randomly every time a system is access. These systems are based on encryption or a password that changes randomly in a manner that is synchronized with an authorization server. The Secure ID card is an example of such a system. Random password systems require complimentary software and/or hardware at each computer authorized to use the network.

In biometric systems, characteristics of the human body, such as voice, fingerprints or retinal scan, are used to control access. These systems require software and/or hardware at each computer to provide authorization for the use of the network.

Another category of access control is that of host authentication. Here the commonest systems are those of "callback" and "firewall" systems. Callback systems are those systems which work by calling a computer back at a predetermined telephone number. These systems authenticate the location of a computer and are suitable for dial-up (modem) networks; however, such systems are ineffective when the attack comes via the Internet. On the other hand, firewall systems are designed to prevent attacks coming from the Internet and work by allowing access only from computers within a network. Even though firewall systems are implemented either as standalone systems or incorporated into routers, skilled hackers are able to penetrate host authentication systems.

Typically, access-control security products, as described above, are in-band authentication systems with the data and the authentication information on the same network. Thus, upon accessing a computer, a computer prompt requests that you enter your password and, upon clearance, access is granted. In this example, all information exchanged is on the same network or in-band. The technical problem created thereby is that the hacker is in a self-authenticating environment.

Except for callback systems, the above access control products authenticate only the user and not the location. When computer networks could only be accessed by modems, the authentication of location by dialing back the access-requesting computer, provided a modicum of security. Now, as virtually all computer networks are accessible by modem-independent internet connection, location authentication by callback is no longer secure. The lack of security arises as there is no necessary connection between the internet address and a location, and, in fact, an internet address most often changes from connection to connection. Thus, callback systems are rendered useless against attacks originating from the internet.

In preparing for this application, a review of various patent resources was conducted. The review resulted in the inventor gaining familiarity with the following patents:

Item No.	Pat. No.	Inventor	Orig. Class	Date
1	6,408,062	Cave, Ellis K.	379/210.01	June 2002
2	5,901,284	Hamdy-Swink, Kathryn A.	713/200	May 1999
3	5,898,830	Wesinger, Jr., et al.	395/187.01	April 1999
4	5,872,834	Teitelbaum	379/93.03	February 1999
5	5,826,014	Coley, et al.	718,201	October 1998
6	5,787,187	Bouchard	382/115	July 1998
7	5,680,458	Spelman, et al.	380/21	October 1997
8	5,621,809	Bellegarda, et al.	382/116	April 1997

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-continued

Item No.	Pat. No.	Inventor	Orig. Class	Date
9	5,615,277	Hoffman	382/115	March 1997
10	5,588,060	Aziz	380/30	December 1996
11	5,548,646	Aziz, et al.	380/23	August 1996
12	5,153,918	Tuai, Gregory	713/182	October 1992

In general terms, the patents all show a portion of the authentication protocol and the data transferred in the same channel or "in-band". For purposes of this discussion "in-band" operation is defined as one conducted wholly within a single channel or loop. Likewise, an "out-of-band" operation is defined as one using an authentication channel that is separated from the channel carrying the information and therefore is nonintrusive as it is carried over separate facilities, frequency channels, or time slots than those used for actual information transfer.

The patent to E. K. Cave, U.S. Pat. No. 6,408,062, Item 1 above, describes a callback system. Here, the user is prequalified so that he does not get charged for calls that are not completed to the called party. However, here the authentication and the administrative function are in the same loop.

In Item 3, the patent to Wesinger et al., U.S. Pat. No. 5,898,830 ('830) is a firewall patent. Here, the inventor attempts to enhance security by using out-of-band authentication. In his approach, a communication channel, or medium, other than the one over which the network communication takes place, is used to transmit or convey an access key. The key is transmitted from a remote location (e.g., using a pager or other transmission device) and, using a hardware token, the key is conveyed to the local device. In the Wesinger '830 system, to gain access, a hacker must have access to a device (e.g., a pager, a token, etc.) Used to receive the out-of-band information. Pager beep-back or similar authentication techniques may be especially advantageous in that, if a hacker attempts unauthorized access to a machine while the authorized user is in possession of the device, the user will be alerted by the device unexpectedly receiving the access key. The key is unique to each transmission, such that even if a hacker is able to obtain it, it cannot be used at other times or places or with respect to any other connection.

Next, turning to Item 7, the patent to Spelman et al., U.S. Pat. No. 5,680,458 ('458), a method of recovering from the compromise of a root key is shown. Here, following the disruption of a new replacement key, an out-of-band channel is used by a central authority to publish a verification code which can be used by customers to verify the authenticity of the emergency message. The Spelman '458 patent further indicates that the central authority uses the root key to generate a digital signature which is appended to the emergency message to verify that the emergency message is legitimate.

Hoffman, U.S. Pat. No. 5,615,277, Item 9, is next discussed. Here, biometrics are combined with a tokenless security and the patent describes a method for preventing unauthorized access to one or more secured computer systems. The security system and method are principally based on a comparison of a unique biometric sample, such as a voice recording, which is gathered directly from the person of an unknown user with an authenticated unique biometric sample of the same type. The Hoffman technology is networked to act as a full or partial intermediary between a secured computer system and its authorized users. The security system and method further contemplate the use of personal codes to confirm identifications determined from biometric compari-

sons, and the use of one or more variants in the personal identification code for alerting authorities in the event of coerced access.

Items 10 and 11 have a common assignee, Sun Microsystems, Inc., and both concern encryption/decryption keys and key management.

The patent to Tuai, U.S. Pat. No. 5,153,918 ('918) describes an in-band authentication system which uses a callback system after authentication. Within the authentication system, Tuai '918 employs a voice verification technique.

The submission of the above list of documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. None of the above show the novel and unobvious features of the invention described hereinbelow.

SUMMARY

In general terms, the invention disclosed hereby includes in the embodiments thereof, a unique combination of user and host authentication. The security system of the present invention is out-of-band with respect to the host computer and is configured to intercept requests for access. The first step in controlling the incoming access flow is a user authentication provided in response to prompts for a user identification and password. After verification at the security system, the system operating in an out-of-band mode, uses telephone dialup for location authentication and user authentication via a password entered using a telephone keypad. In addition and optionally the system provides further authentication using a biometric system. When voice recognition is employed for the biometric component, the user speaks a given phrase which the system authenticates before permitting access. Upon granting of access, the user now for the first time enters the in-band operating field of the host computer.

OBJECT AND FEATURES OF THE INVENTION

It is an object of the present invention to provide a host computer with a cost effective, out-of-band security network that combines high security and tokenless operation.

It is a further object of the present invention to provide a network to isolate the authentication protocol of a computer system from the access channel therefor.

It is yet another object of the present invention to provide a separate security network which acts conjunctively with or as an overlying sentry box to the existing security system provided by the host computer.

It is still yet another object of the present invention to provide an authentication using a biometric component, such as speech recognition, to limit access to specific individuals.

It is a feature of the present invention that the security network achieves high security without encryption and decryption.

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It is another feature of the present invention to have a callback step that restricts authentication to a given instrument thereby enabling restriction to a fixed location.

It is yet another feature of the present invention to combine callback and speech recognition in an out-of-band security facility.

Other objects and features of the invention will become apparent upon review of the drawings and the detailed description which follow.

BRIEF DESCRIPTION OF THE DRAWINGS

In the following drawings, the same parts in the various views are afforded the same reference designators.

FIG. 1 is a schematic diagram of the prior art security system;

FIG. 1A is a schematic diagram of the security system of the present invention as applied to the internet in which an external accessor in a wide area network seeks entry into a host system;

FIG. 2 is a schematic diagram of the apparatus required for the security system shown in FIG. 1;

FIG. 3 is a schematic diagram of the software program required for the security system shown in FIG. 1 in which various program modules are shown for corresponding functions of the system and each module is shown in relation to the control module thereof;

FIG. 4 is a detailed schematic diagram of the software program required for the line module of the security system shown in FIG. 3;

FIG. 5 is a detailed schematic diagram of the software program required for the speech module of the security system shown in FIG. 3;

FIG. 6 is a detailed schematic diagram of the software program required for the administration module of the security system shown in FIG. 3;

FIG. 7 is a detailed schematic diagram of the software program required for the client/server module of the security system shown in FIG. 3;

FIG. 8 is a detailed schematic diagram of the software program required for the database module of the security system shown in FIG. 3;

FIG. 9A through 9E is a flow diagram of the software program required for the security system shown in FIG. 1;

FIG. 10 is a schematic diagram of a second embodiment of the security system of the present invention as applied to the intranet in which an internal accessor in a local area network seeks entry into a restricted portion of the host system;

FIG. 11 is a schematic diagram of the third embodiment of the security system using as peripheral devices a cellular telephone and a fingerprint verification device;

FIG. 12 is a detailed schematic diagram of the software program required for the fingerprint module of the security system shown in FIG. 11; and,

FIG. 13 is a detailed schematic diagram of the fourth embodiment of the security system using as peripheral devices a personal digital assistant (PDA) and the associated fingerprint verification device.

DESCRIPTION OF THE PREFERRED EMBODIMENT

In the description that follows, the prior art is shown in FIG. 1. In a typical call-back system which this epitomizes, the user from his computer 10 accesses through an optional voice encoder 12 and, along a single authentication channel. The channel includes an in-band arrangement of the user's

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modem 14, the host computer modem 16 and the authentication controller 17. In a specific example of this, in the Tuai '918 system, see supra, which uses voice verification, the user accesses a host computer 18 via modems 14 and 16. The access attempt is intercepted by the controller 17 which prompts the user to enter a USER ID and speak a phrase for voice verification. If the verification is successful, the controller 17 acting within the single communication channel connects the user computer to the host computer. Both the USER ID and the voice password are sent along the same pathway and any improper accessor into this channel has the opportunity to monitor and/or enter both identifiers.

The out-of-band security system networks for computer network applications is described in two embodiments. The first describes an application to a wide area network, such as the internet, wherein the person desiring access and the equipment used thereby are remote from the host computer. In this description and consistent with Newton's *Telecom Dictionary* (19th Ed.), an "out-of-band" system is defined herein as one having an authentication channel that is separated from the information channel and therefore is nonintrusive as it is carried over separate facilities than those used for actual information transfer. The second embodiment describes the application of the disclosed invention to a local area network wherein the person desiring access and the equipment used thereby are within the same network (referred to as the "corporate network") as the host computer. For purposes of this description the person desiring access and the equipment used thereby are referred collectively as the "accessor".

In FIG. 1, a general overview of the first embodiment of the out-of-band security networks for computer network applications of this invention is shown and is referred to generally by the reference designator 20. Here the accessor is the computer equipment 22, including the central processing unit and the operating system thereof, and the person or user 24 whose voice is transmittable by the telephone 26 over telephone lines 28. The access network 30 is constructed in such a manner that, when user 24 requests access to a web page 32 located at a host computer or web server 34 through computer 22, the request-for-access is diverted by a router 36 internal to the corporate network 38 to an out-of-band security network 40. Authentication occurs in the out-of-band security network 40, which is described in detail below.

This is in contradistinction to present authentication processes as the out-of-band security network 40 is isolated from the corporate network 38 and does not depend thereon for validating data. The first shows a biometric validation which, in this case, is in the form of voice recognition and is within voice network 42. While voice recognition is used herein, it is merely exemplary of many forms of recognizing or identifying an individual person. Others include, but are not limited to fingerprint identification, iris recognition, retina identification, palms recognition, and face recognition. Each of these are similar to the first embodiment in that these are a requirement for monitoring the particular parameter of the individual person; including the parameter to a mathematical representation or algorithm therefore; retrieving a previously stored sample (biometric data), thereof from a database and comparing the stored sample with the input of the accessor.

Referring now to FIG. 2 a block diagram is shown for the hardware required by the out-of-band security network for computer network applications of this invention. The request-for-access is forwarded from the router 36 of the corporate network to a data network interface 50 which, in turn, is constructed to transfer the request to a dedicated, security network computer 52 over a data bus 48. The computer 52 is adapted to include software programs, see infra, for receiving

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the user identification and for validating the corresponding password, and is further adapted to obtain the user telephone number from lookup tables within database 54 through data bus 48. The computer 52 is equipped to telephone the user through a PBX interface 56 and voice bus 58. For voice recognition, a speech or biometric system 60 is provided to process requested speech phrases repeated by the user 24 which is verified within the security computer 52. Upon authentication, access is granted through the data network interface 50.

Referring now to FIGS. 3 through 8 the software architecture supporting the above functions is next described. The security computer 52, FIG. 2, is structured to include various functional software modules, FIG. 3, namely, a control module 62, a line module 64, a speech module including a biometric for voice recognition 66, an administration module 68, a client/server module 70, and a database module 72. The software program of the control module 62 functions and interconnects with the other modules (line, speech, administration, client/server and database modules) to control the processing flow and the interfacing with the internal and external system components.

As will be understood from the flow diagram description, infra, the control module 62 software of the security computer 52 incorporates a finite state machine, a call state model, process monitors, and fail-over mechanisms. The software program of the line module 64 is structured to provide an interface with the telephone network. The software program of the speech module 66 is structured to perform processing functions such as, but not limited to, speech verification, text-to-speech conversion and announcements. The software program of the administration module 68 is structured to archive the records of each call made, to provide security and management functions, and to process any alarms generated. The software program of the client/server module 70 is structured to enable a host computer or a web server 34 to interface with the out-of-band security network 40. The software program of the database module 72 is comprised of the databases to support the security network 40 which in the present invention includes an audit database, a subscriber database, a speech database, an announcement database, and a system database.

Referring now to FIG. 4, the line module 64 is described in further detail. The analog telephone interface 74 is the equipment, such as voice bus 58 and PBX interface 56, that interfaces to an analog line. The analog telephone interface 74 is, in turn, controlled by software program of the analog line driver 76. Similarly, digital telephone interface 78 is the equipment, such as data bus 48 and PBX interface 56, that interfaces to a digital line (T1 or ISDN PRI)a. The digital telephone interface 78 is, in turn, controlled by the software program of the digital line driver 80. The software program of the telephone functions module 82 is structured to accommodate functions such as, Call Origination, Call Answer, Supervisory signaling, Call Progress signaling, Ring generation/detection, DTMF generation/detection, and line configuration.

In FIG. 5 the speech module 66 architecture is detailed. The speech verification (SV) hardware 84, (part of speech system 60, FIG. 2) consists of digital signal processors that utilize SV algorithms for verification of an accessor's spoken password. The speech verification hardware 84 is controlled by the software program of the SV hardware driver 86. The software program of the speech verification processing unit 88 provides an interface with control module 62 and is structured to respond to queries therefrom for verifying an accessor's spoken password. Also, the SV processing unit 88 enables the

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enrollment of users with the speech password and the interaction of the speech database of database module 72.

The text-to-speech (TTS) hardware 90 consists of digital signal processors that utilize TTS algorithms. The text-to-speech hardware 90 is controlled by the software program of the TTS hardware driver 92. The software program of the TTS processing unit provides an interface with the control module 62 and, as required by the control module 62, converts text strings to synthesized speech. The announcement hardware 96 consists of digital signal processors that utilize speech algorithms to record and play announcements. The announcement hardware is controlled by the software program of the announcement hardware driver 98. The software program of the announcement processing unit 100 also provides an interface with control module 62; upon demands of the control module 62, supplies stored announcements; and interacts with the announcements database of database module 72.

In FIG. 6, the software program of the administration module 68 is presented in more detail. As the administration module 68 interfaces with the control module 62, see supra, a subprogram, namely, a control module interface 102 is constructed to manage the communication therebetween. The administration module 68 further includes software to provide an audit trail of all calls requesting access. This unit or audit log 104 creates records about each call, which records are stored in the audit database of the database module 72. Any alarms caused as a result of errors, threshold crossing or system failures are processed by the software program of alarm module 106. For remote administration of the out-of-band security system 40 of this invention, the software program of the network interface 108 is provided, which software communicates with the corporate network 38 (via network adapters). Access to the out-of-band security system 40 for administrative purposes is controlled by security module 110. Similar to the network interface 108, the software program of the management module 112 provides for the remote management of the out-of-band security system 40 for configuration, status reporting, software upgrades and trouble-shooting purposes.

Referring now to FIG. 7, the software program of the client/server module 70 that secures the host computer or web server or router 34 of the corporate network 38 through the out-of-band security system 40 of this invention is shown in detail. Here, the client protocol module 114 provides the interfacing means for the host computer or web server 34 and communicates with the out-of-band security system 40 using a proprietary protocol. Alternatively, standard protocols such as RADIUS and TACACS can be used. The server protocol module 116 interfaces with the control module 62 and manages the interaction with the client protocol module 114.

In FIG. 8 a detailed schematic diagram is shown of the software program required for the database module 72 of the out-of-band security system 40 of this invention. The database module 72 is the recordkeeping center, the lookup table repository, and the archival storehouse of the system. In the above description numerous relationships to this module have already been drawn. The database module 72 communicates through control module interface 118 to the control module 62.

Two types of communications are channeled to and from the database module 72, namely, communicating data for use during operations through database access interface 120 and communicating data for maintenance and provisioning of the out-of-band security system through database provisioning interface 122. While the databases described herein are specifically related to the application of this embodiment to voice recognition the formation of specific databases, e.g. a differ-

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ent set of samples of biometric parameters or characteristics, is within the contemplation of the invention. The databases hereof are the audit database **124** for the call records; the subscriber database **126** for subscriber information; the speech database **128** for aid in verifying an accessor's spoken password; the announcements database **130** for announcements to be played to users during a call; and, system database **132** for system related information (e.g. configuration parameters).

In FIG. **9A** through **9E** the flow diagram for the above software program operation is shown and is described hereinbelow. Thus, while the preceding in discussing the network architecture for the out-of-band security system **40** explains the access portion of the program—the operations side—and the configuration and maintenance portion of the program—the provisioning side, the description which follows is of the software operation of the out-of-band security system **40** from the receipt of a request-to-access inquiry to a granting-of-access or denial-of-access result. The logic description that follows reflects the accessor's inputs and the programmed processes along the logical pathway from the receipt of a request-to-access inquiry to a granting-of-access or denial-of-access result.

The pathway commences at the REQUEST FOR ACCESS block **150** whereby a request to enter the host computer or web server **34** is received from the user at the remote computer **22**. The user requesting access to the host computer from the remote computer is immediately prompted to login at the LOGIN SCREEN PRESENTED block **152**. While the login procedure here comprises the entry of the user identification and password and is requested by the host computer **34**, such information request is optionally a function of the security computer **40**. Upon entry of data by user at the ENTRY OF ID AND PASSWORD block **154** the information is passes to the security computer **40**.

As described in the software architecture, review, supra, the software pathway of the login data is first to client module **114** at SEND LOGIN DATA TO CLIENT MODULE block **156** and then successively to server module **116** at SEND LOGIN DATA TO SERVER MODULE block **158** and to control module **62** at SEND LOGIN DATA TO CONTROL MODULE block **160**. In transmitting the login data from the client module **114** to the server module a proprietary protocol is employed, which protocol includes encryption of the data using standard techniques. The verification process is continued at the control module **62** which next enters the subscriber database **126** and retrieves at CONTROL MODULE QUERIES SUBSCRIBER DATABASE AND RETRIEVES PASSWORD ASSOCIATED WITH LOGIN ID block **162** the password associated with the logged in identification. The control module **62** verifies at CONTROL MODULE VERIFIES PASSWORD block **164** that the password received from the remote computer **22** is the same as the password retrieved from the subscriber database **126**.

Upon verification, the control module **62** at DOES THE PASSWORD MATCH? block **166** sends confirmation thereof back along the software pathway to inform the user of the event. Upon failure to verify, the control module **62** at DOES THE PASSWORD MATCH? block **166** initiates an alarm indicating that the login conditions were not met. The software program upon an alarm condition terminates processing. Alternatively, the program offers the user an opportunity to retry whereupon there is a retracement through the same software path as just described and then, upon repeated alarm occurrence, the software terminates processing. The retry process may be limited to a specified number of times. The message that the verification has been achieved is trans-

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mitted along the software pathway substantially in the reverse manner as the login data transmission.

From the control module **62**, the verification is first received by the server module **116** and at SEND VERIFICATION FROM SERVER MODULE TO CLIENT MODULE block **168** the verification message along with the information that the authentication is proceeding is transmitted to the client module **114**. In transmitting these messages to the client module **114** from the server module, a proprietary protocol is employed, which protocol includes decryption of the data, where required, using standard techniques. The client module **114** transmits at SEND VERIFICATION FROM CLIENT MODULE TO HOST COMPUTER block **170** the message to the host computer **34**. Finally, the host computer **34** transmits at SEND VERIFICATION FROM HOST COMPUTER TO REMOTE COMPUTER block **172** the message that the login verification is complete is sent to the remote computer **22** and prompts the person or user **24** to stand by for a telephonic callback.

Now with the control module **62** having verified the remote computer **22**, the software program hereof is constructed to have the control module **62** at CALLBACK INITIATED BY CONTROL MODULE block **174** initiate out-of-band the call-back procedure to the user **24**. The control module **62** queries the subscriber database **126** and retrieves therefrom the telephone number associated with the login identification. Based on the data retrieved from the subscriber database, the control module **62** instructs the line module **64** at DIAL USER TELEPHONE NUMBER block **176** to call user **24**. Upon user **24** answering the telephone at USER ANSWERS TELEPHONE block **178**, the software pathway continues with the line module **64** relaying to the control module **62** at CONTROL MODULE NOTIFIED BY LINE MODULE OF OFF-HOOK CONDITION block **180** that the user's telephone is off-hook. The program is constructed so that the control module **62** then instructs the speech module **66** at SPEECH MODULE INSTRUCTED BY CONTROL MODULE TO RETRIEVE PASSWORD block **182** to retrieve (or generate) a DTMF password. To accomplish this, the speech module **66** now queries the announcement database **130** at PROMPT RETRIEVED BY SPEECH MODULE block **184** retrieves the prompt to be played to the user **24**. Alternatively, the password for the prompt is generated and synthesized by the text-to-speech system **90, 92** and **94** of the speech module **66**.

At PROMPT PLAYED BY SPEECH MODULE TO USER block **186**, the user **24** is instructed to impress the DTMF password on the telephone keypad. The program progresses so that after the user **24** enters the DTMF password on the telephone keypad at USER ENTER DTMF PASSWORD block **188**, the line module **64** at LINE MODULE TRANSMITS ENTRY TO CONTROL MODULE block **190** notifies the control module **62** of the entry made by user **24**. In the manner similar to the login password, supra, the control module **62** queries the subscriber database and, at CONTROL MODULE RETRIEVES DTMF PASSWORD block **192**, retrieves the password or the generated password associated with the subscriber. At CONTROL MODULE VERIFIES DTMF PASSWORD block **194**, the control module **62** verifies that the password entered at the telephone keypad by the user matches the password retrieved from the subscriber database. Upon verification, the control module **62** at DOES THE DTMF PASSWORD MATCH? block **196** sends confirmation thereof back along the software pathway to inform the user of the event.

Upon failure to verify, the control module **62** at DOES THE DTMF PASSWORD MATCH? block **196** initiates an alarm

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indicating that the login conditions were not met. The software program upon an alarm condition terminates processing. As in the previous password verification and alternatively, the program offers the user an opportunity to retry. Whereupon there is a retracement through the same software path as just described and then, upon repeated alarm occurrence, the software program terminates processing. As before, the retry process may be limited to a specified number of times.

Upon out-of-band callback verification being received, the biometric identification portion of the software program is initiated. In this present embodiment, while the biometric parameter that is monitored is speech, any of a number of parameters may be used. In this case, the control module 62 instructs the speech module 66 at SPEECH MODULE RETRIEVES PROMPT FOR USER block 198 to retrieve a prompt that for the purpose of later playing the prompt to the user and collecting the speech password. The speech module 66 queries the announcement database 130 and retrieves the prompt to be played to the user 24. Besides using a prepared prompt, as above, a prompt synthesized by the text-to-speech system 90, 92 and 94 is utilizable for this purpose.

The prompt for collecting the speech password is played to the user 24 at PROMPT USER AND COLLECT SPEECH PASSWORD block 200. The user 24, who has previously had his biometric sample, namely the speech pattern, registered with the speech database 128, the voices the speech password at USER VOICES SPEECH PASSWORD block 202 and transmits the same over the telephone at the remote computer 22 to the security computer 40. Then, at SPEECH MODULE RETRIEVES SPEECH PASSWORD ASSOCIATED WITH LOGIN ID block 204, the software program for the speech module 66 is adapted to query the speech database 128 and to retrieve the speech password associated with the accessor's login identification. Through the application of biometric analysis, such as voice recognition technology, the speech or module 66 at SPEECH MODULE VERIFIES SPEECH PASSWORD block 206 verifies that the voiced speech password received from the user 24 has the same pattern as the speech password retrieved from database 128.

Upon verification, the speech module 66 at DOES THE SPEECH PASSWORD MATCH? block 208 sends confirmation thereof back along the software pathway to inform the user of the event. Upon failure to verify, the speech module 66 at DOES THE SPEECH PASSWORD MATCH? block 208 notifies the control module 62 which initiates an alarm indicating that the login conditions were not met. The software program upon an alarm condition terminates processing. As in the previous password verification and alternatively, the program offers the user an opportunity to retry. Whereupon there is a retracement through the same software path as just described and then, upon repeated alarm occurrence, the software program terminates processing.

As before, the retry process may be limited to a specified number of times. Upon being notified of a match between the pattern of the voiced speech password and that of the one retrieved from the database 128, the control module 62 at CONTROL MODULE INSTRUCTS SPEECH MODULE TO ANNOUNCE ACCESS IS GRANTED block 210 instructs the speech module 66 to provide an announcement to the user 24 indicating that access is granted. The speech module 66 queries the announcement database 130 and retrieves the announcement for the user 24. Alternatively, the announcement can be synthesized by the text-to-speech system 90, 92 and 94 and played to the user 24. Whichever

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announcement is used, it is made to the user at ACCESS GRANTED ANNOUNCEMENT MADE TO USER block 212.

Upon completion of the announcement at SPEECH MODULE NOTIFIES CONTROL MODULE OF ANNOUNCEMENT block 214, the speech module 66 notifies the control module 62 that the announcement has been made to the user 24. At this point at DISCONNECT TELEPHONE CONNECTION WITH USER block 215, the control module 62 instructs the line module 64 to terminate the telephone connection and the telephone connection between the security computer 40 and user 24 is severed. At CONTROL MODULE SENDS AUTHENTICATION MESSAGE TO SERVER PROTOCOL MODULE block 216, the message that the user 24 is authenticated is relayed by control module 62 to server protocol module 116 which is requested to communicate the same to the client protocol module 114.

At SERVER PROTOCOL MODULE SENDS AUTHENTICATION MESSAGE TO CLIENT PROTOCOL MODULE block 217, the message is relayed to the client protocol module 114 and thence via a proprietary protocol, at CLIENT PROTOCOL MODULE SENDS AUTHENTICATION MESSAGE TO HOST COMPUTER block 218, to the host computer 34. The host computer or web server 34 at HOST COMPUTER GRANTS ACCESS TO USER block 219 grants access to the authenticated user 24.

In FIG. 10 a schematic diagram of the second embodiment of the present invention is shown. For ease of comprehension, where similar components are used, reference designators "200" units higher are employed. In contrast to FIG. 1 which describes the out-of-band security, networks for computer networks of this invention as applied to the internet or wide area networks, this embodiment describes the application to local area networks. The second embodiment is referred to generally by the reference designator 220. Here the accessor is the computer equipment 222, including the central processing unit and the operating system thereof, and the person or user 224 whose voice is transmittable by the telephone 226 over telephone lines 228.

While in this example the biometric parameter monitored is voice patterns as interpreted by voice recognition systems, any of a number of other parameters may be used to identify the person seeking access. The access network 230 is constructed in such a manner that, when user 224 requests access to a high security database 232 located at a host computer 234 through computer 222, the request-for-access is diverted by a router 236 internal to the corporate network 238 to an out-of-band security network 240. Here the emphasis is upon right-to-know classifications within an organization rather than on avoiding entry by hackers.

Thus, as the accessor is already within the system, the first level of verification of login identification and password at the host computer is the least significant and the authentication of the person seeking access is the most significant. Authentication occurs in the out-of-band security network 240, which is analogous to the one described in detail above, except the subscriber database becomes layered by virtue of the classification. This is in contradistinction to present authentication processes as the out-of-band security network 240 is isolated from the corporate network 238 and does not depend thereon for validating data. The overview shows the biometric validation which, in this case, takes the form of a voice network 242.

In FIG. 11 a schematic diagram of the third embodiment of the present invention is shown. This embodiment describes the application of the security system to access over the Internet. For ease of comprehension, where similar compo-

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nents are used, reference designators "300" units higher are employed. In contrast to FIG. 1 which describes the out-of-band security networks for computer networks of this invention as applied to wide area networks, this embodiment describes the application to internet networks. The third embodiment is referred to generally by the reference designator 320. The case of user accessing a web application, such as an online banking application, (located on a web server 334) over the internet 330. The user from a computer 322 accesses the web application over an access channel and enters their USER ID. The web server 334 sends the USER ID to the security system 340, also referred to as the centralized out-of-band authentication system (COBAS). COBAS 340 proceeds with authenticating the user through the user's cellular telephone over an authentication channel. The security system 340 calls the access-seeking user at the cellular telephone 326. The user answers the phone and is prompted to enter a password for password verification and to enter a biometric identifier, such as a fingerprint. The security system 340 authenticates the user and sends the result to the web server 334. Upon a positive authentication and after disconnecting from the authentication channel, access is granted along the access channel to the USER'S PC device 322.

The flow diagram for the COBAS device 340 software is analogous to that described in the first embodiment, supra, but for the speech module 66. In lieu thereof, in FIG. 12 the fingerprint module 366 architecture is detailed. The fingerprint verification hardware 384, consists of digital signal processors that utilize algorithms for verification of an accessor's fingerprint. The fingerprint verification hardware 384 is controlled by the software program of the fingerprint hardware driver 386. The software program of the fingerprint verification processing unit 388 provides an interface with control module 362 and is structured to respond to queries therefrom for verifying an accessor's password. Also, the fingerprint processing unit 388 enables the enrollment of users fingerprint and the interaction of the fingerprint database of the COBAS device 340.

The text-to-speech (TTS) hardware 390 consists of digital signal processors that utilize TTS algorithms. The text-to-speech hardware 390 is controlled by the software program of the TTS hardware driver 392. The software program of the TTS processing unit 394 provides an interface with the control module 362 and, as required by the control module 362, converts text strings to synthesized speech. The announcement hardware 396 consists of digital signal processors that utilize speech algorithms to record and play announcements. The announcement hardware is controlled by the software program of the announcement hardware driver 398. The software program of the announcement processing unit 400 also provides an interface with control module 362; upon demands of the control module 362, supplies stored announcements; and interacts with the announcements database of the related database (not shown).

In FIG. 13 a schematic diagram of the fourth embodiment of the present invention is shown. This embodiment describes the application to PDAs (Personal Digital Assistant). For ease of comprehension, where similar components are used, reference designators "400" units higher are employed. In contrast to FIG. 1 which describes the out-of-band security networks for computer networks as applied to wide area networks, this embodiment describes the application to wireless networks including peripherals, such as PDAs and cellular telephones. The fourth embodiment is referred to generally by the reference designator 420.

Although there are several PDAs currently marketing including the Blackberry and the Palm Computer, in this

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embodiment an HP iPAQ running on a Windows CE operating system is utilized. These PDAs have wireless capabilities and can also incorporate custom software applications. The HP iPAQ hereof incorporates a fingerprint reader. The security system 420 has two distinct and independent channels of operation, namely, the access channel and the authentication channel. The user from a computer 422 accesses the web application over an access channel and enters their USER ID. The web server 434 sends the USER ID to the security system 440. COBAS 440 proceeds with authenticating the customer via the wireless network 442 over an authentication channel.

The security system 440 sends an authentication request message to a software program located on the PDA 422. The software program prompts the user to enter their fingerprint. The COBAS security system 440 now authenticates the user's fingerprint against the template stored in its database and send the result to the web server 434. Upon a positive authentication and after disconnecting from the authentication channel, access is granted along the access channel to the USER'S PDA device 422.

Because many varying and different embodiments may be made within the scope of the inventive concept herein taught, and because many modifications may be made in the embodiments herein detailed in accordance with the descriptive requirement of the law, it is to be understood that the details herein are to be interpreted as illustrative and not in a limiting sense.

What is claimed is:

1. A software method for employing a multichannel security system to control access to a computer, comprising the steps of:

receiving at an interception device in a first channel a login identification demand to access a host computer also in the first channel;
verifying the login identification;
receiving at a security computer in a second channel the demand for access and the login identification;
outputting from the security computer a prompt requesting transmission of data;
receiving the transmitted data at the security computer;
comparing the transmitted data to predetermined data; and
depending on the comparison of the transmitted and the predetermined data, outputting an instruction from the security computer to the host computer to grant access to the host computer or deny access thereto.

2. The method according to claim 1, wherein the security computer receives the demand and login identification from the interception device.

3. The method according to claim 1, wherein the demand is received from a client computer, and wherein the host computer is a web server.

4. The method according to claim 1, wherein the step of verifying comprises retrieving from a database having at least one address record a record corresponding to the login identification.

5. The method according to claim 1, wherein the transmitted data is received from a peripheral device.

6. The method according to claim 5, wherein the peripheral device is one of a wired telephone, a wireless telephone, and a PDA.

7. The method according to claim 1, wherein the step of outputting the prompt comprises outputting an audible message.

8. The method according to claim 1, wherein the step of outputting the prompt comprises requesting a biometric signal.

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9. The method according to claim 8, wherein the audible message comprises an audible instruction to speak a statement using a peripheral device, and wherein the biometric signal is the spoken statement transmitted by the peripheral device.

10. The method according to claim 8, further comprising receiving in a biometric analyzer the biometric signal.

11. The method according to claim 10, wherein the biometric analyzer comprises one of a voice recognition program, a fingerprint verification program, or both.

12. The method according to claim 8, further comprising retrieving a previously registered sample corresponding to the login identification and comparing the same to the biometric signal.

13. The method according to claim 12, wherein the previously registered sample is stored in a biometric parameter database.

14. The method according to claim 12, wherein the previously registered sample comprises one of a speech sample and a fingerprint sample.

15. The method according to claim 1, wherein the step of outputting the prompt comprises transmitting a message.

16. The method according to claim 1, further comprising connecting or disconnecting the security computer to and from a peripheral device.

17. The method according to claim 1, wherein the step of outputting the prompt comprises retrieving from an announcement database a prerecorded audible message that requests entry of the transmitted data and playing the message using a peripheral device.

18. The method according to claim 1, wherein the step of outputting an instruction from the security computer comprises selecting and transmitting an access-granted message selected from an announcement database.

19. The method according to claim 1, further comprising the step of synthesizing an audible message from a stored message and playing the synthesized message over a telephone.

20. The method according to claim 1, wherein the security computer comprises an authentication program for authenticating access to the host computer.

21. The method according to claim 1, wherein the interception device is a router.

22. The method according to claim 1, wherein the first channel comprises one of a wide area network and a local area network.

23. The method according to claim 1, wherein the transmitted data is a dual tone multi frequency (DTMF) personal identification number.

24. The method according to claim 23, wherein the dual tone multi frequency (DTMF) personal identification number is a password.

25. A software method for controlling access to a host computer, comprising the steps of:

receiving a request from a client computer for access to the host computer;

outputting an instruction to present a login screen at the client computer;

receiving an identification and first password from the client computer;

retrieving a predetermined password from a subscriber database associated with the identification;

verifying the first password matches the predetermined password;

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outputting a call-back request to a peripheral device comprising initiating a communication to the peripheral device and receiving a signal indicating a connection with the peripheral device;

outputting an instruction to retrieve a predetermined second password;

outputting to the peripheral device a prompt to enter a user-entered password;

receiving from the peripheral device the user-entered password;

verifying the received user-entered password;

outputting to the peripheral device a second prompt to speak a password;

receiving from the peripheral device the spoken password;

verifying the received spoken password; and

outputting an announcement that access to the host computer is granted.

26. The method according to claim 25, wherein the step of receiving the identification and the first password from the client computer comprises receiving the identification and the first password from the client computer in a client module.

27. The method according to claim 25, further comprising the steps of transmitting the identification and first password to a server module or transmitting the identification and first password to a control module.

28. The method according to claim 25, further comprising the steps of outputting a verification signal from a server module to a client module; or outputting the verification signal from the client module to the host computer; or outputting the verification signal from the host computer to the client computer.

29. The method according to claim 25, wherein the step of outputting a call-back request comprises outputting the call-back request from a control module.

30. The method according to claim 25, wherein the step of outputting an instruction to retrieve a predetermined second password comprises outputting an instruction from a control module an instruction to a speech module to retrieve the predetermined second password.

31. The method according to claim 25, wherein the step of outputting a prompt to enter a user-entered password comprises outputting from a speech module to the peripheral device a prompt to enter the user-entered password.

32. The method according to claim 25, further comprising transmitting the received user-entered password to a control module.

33. The method according to claim 25, wherein the step of outputting a second prompt to speak a password comprises outputting from a speech module to the peripheral device a second prompt to speak the password.

34. The method according to claim 25, wherein the step of outputting an announcement that access to the host computer is granted comprises outputting from a control module an instruction to a speech module to output the announcement that access to the host computer is granted.

35. The method according to claim 25, further comprising the step of disconnecting from the peripheral device.

36. The method according to claim 25, further comprising the step of outputting from a control module to a server module an authentication message.

37. The method according to claim 25, further comprising the step of outputting from a server module to a client module an authentication message.

38. The method according to claim 25, further comprising the step of outputting from a client module to the host computer an authentication message.

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39. A multichannel security system for granting and denying access to a host computer in a network environment comprising:

a security computer for communicating data via an authentication channel and an access channel;

a line module program for intercepting a login identification accompanying a demand from an accessor in the access channel to access the host computer also in the access channel, verifying the login identification, and transmitting the login identification to an authentication channel;

an authentication program in the authentication channel for authenticating the login identification received from the line module program;

a prompt module program for selecting an announcement, outputting to a peripheral device or computer the announcement, verifying a speech or dual tone multi frequency (DTMF) password received, and optionally converting the speech to text; and

a granting module program for granting and denying access to the host computer based on the received speech or password.

40. The multichannel security system according to claim 39, further comprising a client/server module program for enabling the host computer or web server to interface with hardware of the security system.

41. The multichannel security system according to claim 39, further comprising an announcement module program for selecting and storing predetermined data.

42. The multichannel security system according to claim 39, further comprising an alarm module program for terminating processing of the demand for access.

43. The multichannel security system according to claim 39, further comprising a management module program for remotely accessing the security system.

44. The multichannel security system according to claim 39, further comprising a database module program for retrieving and storing in a subscriber database one or more addresses corresponding to the login identification.

45. The multichannel security system according to claim 39, further comprising a control module program for controlling the functions and interconnects between the line module and the authentication programs.

46. A software method for employing a multichannel security system to control access to a computer, comprising the steps of:

receiving at a security computer predetermined data sent via an authentication channel from a peripheral device; identifying the peripheral device from a subscriber database and verifying the predetermined data by comparing it to stored data associated with the peripheral device; receiving a demand to access a host computer via an access channel comprising a login identification of an accessor; receiving the login identification at an interception device and routing the login identification to the security computer; and

at the security computer, verifying that the login identification matches the predetermined data, and if it does, outputting an instruction to either grant or deny access to the access channel.

47. The software method according to claim 46, further comprising outputting to the peripheral device over the authentication channel a prompt to enter the predetermined data, and receiving the predetermined data via the authentication channel from the peripheral device.

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48. A software method for employing a multichannel security system to control access to a host computer in an access channel using a mobile device in an authentication channel, comprising the steps of:

providing a first software module on an Internet-connected web server in an access channel, the server being associated with a commercial institution, wherein the first software module receives a user ID associated with a subscriber account, and outputs information about the user ID; and

providing a second software module on a security computer different than the web server, wherein the security computer is in an authentication channel, and wherein the second software module receives the user ID from the access channel, retrieves predetermined data from a subscriber database associated with the user ID, including at least a telephone number or IP address of a mobile device, and outputs in the authentication channel an instruction to the mobile device,

wherein when a subscriber attempts to logon to a host computer in the access channel at the commercial institution, the second software module compares an input from the mobile device to the predetermined data and outputs an instruction to the first software module to grant access to the host computer or deny access thereto.

49. The software method according to claim 48, wherein the instruction to the mobile device comprises an instruction to press a key on the mobile device as a dual tone multi frequency (DTMF) password.

50. The software method according to claim 48, further comprising the step of:

providing a third software module for installing on the mobile device in the authentication channel, wherein the third software module receives the instruction outputted to the mobile device from the second software module, displays a message to the subscriber, and receives the input from the mobile device.

51. The software method according to claim 50, wherein the displayed message is a message containing a password and instruction for the subscriber to reply to the message by entering the password using the mobile device.

52. The software method according to claim 50, wherein the displayed message is a notification containing an instruction for the subscriber to reply to the notification using the mobile device's input device.

53. A software method for employing a multichannel security system to control access to a computer, comprising the steps of:

receiving in a first channel a login identification demand to access a host computer also in the first channel; verifying the login identification;

receiving at a security computer in a second channel the demand for access and the login identification;

outputting from the security computer a prompt requesting a transmission of data;

receiving the transmitted data at the security computer; comparing the transmitted data to predetermined data; and depending on the comparison of the transmitted and the predetermined data, outputting an instruction from the security computer to the host computer to grant access to the host computer or deny access thereto.

54. Apparatus for implementing a multichannel security system to control access to a computer, comprising:

a device for receiving a login identification and demand to access a host computer, wherein the device and the host computer are in a first channel; and

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a security computer in a second channel for receiving the login identification and the access demand and outputting a prompt requesting a transmission of data once said login identification is verified by said security computer, wherein said security computer comprises a component for receiving the transmitted data and comparing said transmitted data to predetermined data, such that, depending on the comparison of the transmitted and the predetermined data, said security computer outputs an instruction to the host computer to grant access to the host computer or deny access thereto.

* * * * *

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UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

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DATED : July 9, 2013
INVENTOR(S) : Ram Pemmaraju

Page 1 of 1

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

In the Specification:

At column 6, line number 30, change "FIG. 1" to --FIG. 1A--;

In the Claims:

At column 14, line number 65, change "claim 1" to --claim 7--;

At column 18, line number 30, change "(DTFM)" to --(DTMF)--.

Signed and Sealed this
First Day of December, 2015



Michelle K. Lee
Director of the United States Patent and Trademark Office