

UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION

PATENT NO. : 10,389,568 B1  
APPLICATION NO. : 15/786270  
DATED : August 20, 2019  
INVENTOR(S) : Steve Shattil

Page 1 of 3

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

In the Drawings

Please replace Drawing Sheet 7 of 17 with Drawing Sheet 7 of 17 as shown on the attached page

In the Specification

Column 14, Line 50-51:

Please amend --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j0}, e^{j2\pi k/N}, \dots, e^{j(N-1) \cdot 2\pi k/N}\}$  --

To read --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j0}, e^{j2\pi k/N}, \dots, e^{j(N-1) \cdot 2\pi k/N}\}$  --

Column 14, Line 60:

Please amend --  $\{t_1, t_2, \dots, t_{N-1}\} = \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ . --

To read --  $\{t_1, t_2, \dots, t_{N-1}\} = \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ . --

Column 14, Line 64:

Please amend --  $\{t_1, t_2, \dots, t_{N-1}\} = \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ . --

To read --  $\{t'_1, t'_2, \dots, t'_{N-1}\} = 1/(2Nf_s) + \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ . --

Column 15, Line 6-7:

Please amend --  $f_1(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j0}, e^{j2\pi k/N}, \dots, e^{j(N-1) \cdot 2\pi k/N}\}$  --

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Column 15, Line 10-11:

Please amend --  $f_2(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j(0+\Delta\phi)}, e^{j(2\pi k/N+\Delta\phi)}, \dots, e^{j((N-1) \cdot 2\pi k/N+\Delta\phi)}\}$  --

To read --  $f_2(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j(0+\Delta\phi)}, e^{j(2\pi k/N+\Delta\phi)}, \dots, e^{j((N-1) \cdot 2\pi k/N+\Delta\phi)}\}$  --

Column 16, Line 19:

Please amend -- offsets  $\phi_k$  used --

To read -- offsets  $\phi_{kn}$  used --

Signed and Sealed this  
Twenty-fourth Day of August, 2021



Drew Hirshfeld  
Performing the Functions and Duties of the  
Under Secretary of Commerce for Intellectual Property and  
Director of the United States Patent and Trademark Office

**CERTIFICATE OF CORRECTION (continued)**  
**U.S. Pat. No. 10,389,568 B1**

Page 2 of 3

Column 18, Line 28:

Please amend --  $\phi' = 2\phi f_o/f_s M$  --

To read --  $\phi' = 2\pi f_o/f_s M$  --

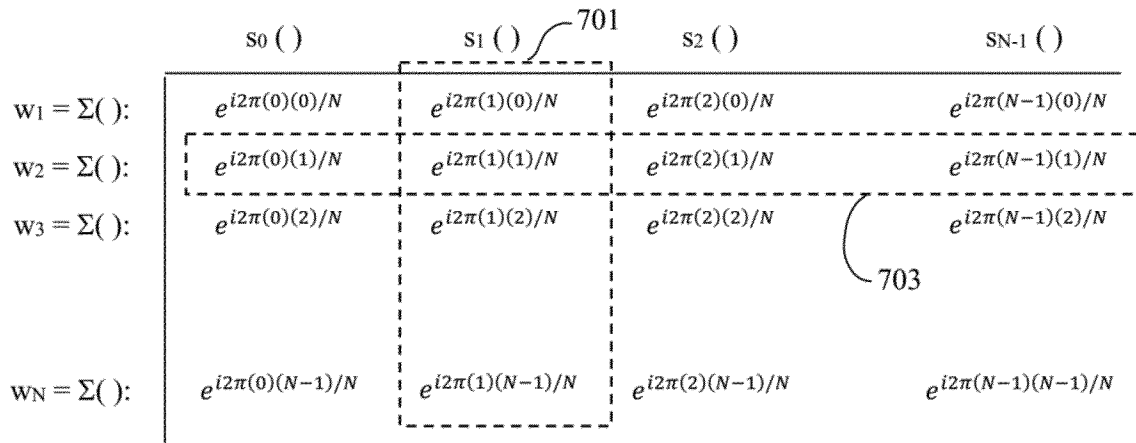


FIG. 7

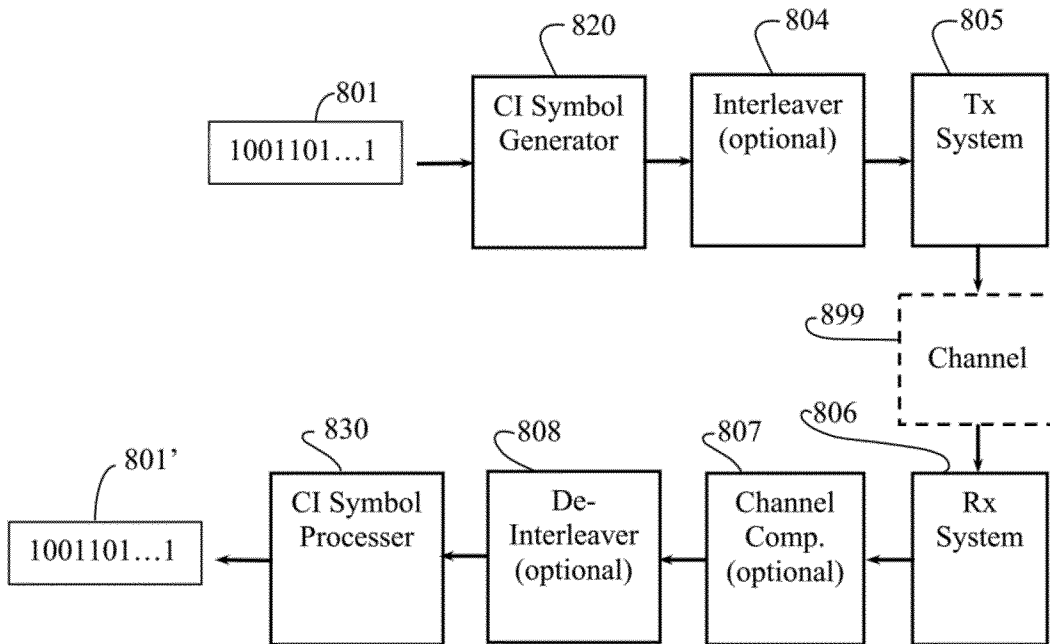


FIG. 8A

UNITED STATES PATENT AND TRADEMARK OFFICE  
**CERTIFICATE OF CORRECTION**

PATENT NO. : 10,389,568 B1  
APPLICATION NO. : 15/786270  
DATED : August 20, 2019  
INVENTOR(S) : Steve Shattil

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

Column 1, Line 14:  
-- 9,042,333 --  
Should be changed to:  
-- 8,750,264 --

Signed and Sealed this  
Seventeenth Day of August, 2021



Drew Hirshfeld  
*Performing the Functions and Duties of the  
Under Secretary of Commerce for Intellectual Property and  
Director of the United States Patent and Trademark Office*

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 1 of 3

PATENT NO. : 10,389,568  
APPLICATION NO.: 15/786,270  
ISSUE DATE : August 20, 2019  
INVENTOR(S) : Steve Shattil

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

Col. 14, line 50-51:

Please amend --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j\phi}, e^{j2\phi}, \dots, e^{j(N-1) \cdot 2\phi}\}$  --  
to read --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j\phi}, e^{j2\phi}, \dots, e^{j(N-1) \cdot 2\phi}\}$  --

Col. 14, line 60:

Please amend --  $\{t_1, t_2, \dots, t_{N-1}\} = \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ , --  
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Col. 14, line 64:

Please amend --  $\{t_1, t_2, \dots, t_{N-1}\} = \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ , --  
to read --  $\{t'_1, t'_2, \dots, t'_{N-1}\} = 1/(2Nf_s) + \{1/f_s, 2/f_s, \dots, (N-1)/f_s\}$ , --

Col. 15, line 6-7:

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Col. 15, line 10-11:

Please amend --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j(m+\Delta\phi)}, e^{j(2\phi+N+\Delta\phi)}, \dots, e^{j((N-1) \cdot 2\phi+N+\Delta\phi)}\}$  --  
to read --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j(m+\Delta\phi)}, e^{j(2\phi+N+\Delta\phi)}, \dots, e^{j((N-1) \cdot 2\phi+N+\Delta\phi)}\}$  --

MAILING ADDRESS OF SENDER (Please do not use Customer Number below):

Steven J Shattil  
PO Box 17355, Boulder, CO 80308

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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

## Privacy Act Statement

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

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

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

## UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

Page 2 of 3

PATENT NO. : 10,389,568  
 APPLICATION NO.: 15/786,270  
 ISSUE DATE : August 20, 2019  
 INVENTOR(S) : Steve Shattil

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

Col. 16, line 19:

Please amend -- offsets  $\phi_k$  used --  
 to read -- offsets  $\phi_{kn}$  used --

Col. 18, line 28:

Please amend --  $\phi' = 2\phi'_{ol}f_sM$  --  
 to read --  $\phi' = 2\pi f_{ol}f_sM$  --

MAILING ADDRESS OF SENDER (Please do not use Customer Number below):

Steven J Shattil  
 PO Box 17355, Boulder, CO 80308

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
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**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**Page 3 of 3

PATENT NO. : 10,389,568  
APPLICATION NO.: 15/786,270  
ISSUE DATE : August 20, 2019  
INVENTOR(S) : Steve Shattil

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

Drawings:

Please amend FIG. 7 as indicated in the attached clean and marked-up versions of Drawing Sheet 7.

MAILING ADDRESS OF SENDER (Please do not use Customer Number below):

Steven J Shattil  
PO Box 17355, Boulder, CO 80308

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

In re Letters Patent of: Steve Shattil

Appl. No. 15/786,270

Patent No. 10,389,568

Issued 8/20/2019

For: SINGLE CARRIER FREQUENCY DIVISION MULTIPLE ACCESS BASEBAND  
SIGNAL GENERATION

**REQUEST FOR CERTIFICATE OF CORRECTION PURSUANT TO 37 CFR 1.323**

Attention: Certificate of Corrections Branch

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Upon reviewing the above-identified patent, Patentee noted typographical errors which should be corrected.

In the Drawings:

In FIG. 7, in the exponential of each matrix element, please amend the denominator “(N-1)” to read “N”, as shown in the attached Replacement Drawing sheet 7 (clean and marked-up versions).

In the Specification:

Col. 14, line 50-51: Please amend --  $f(\phi) = \{e^{j\theta^1}, e^{j\theta^2}, \dots, e^{j\theta^N}\} = \{e^{j0}, e^{j2\pi k/N}, \dots, e^{j(N-1) \cdot 2\pi k/N}\}$  --  
to read --  $f(\phi) = \{e^{j\phi^1}, e^{j\phi^2}, \dots, e^{j\phi^N}\} = \{e^{j0}, e^{j2\pi k/N}, \dots, e^{j(N-1) \cdot 2\pi k/N}\}$  --

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Col. 15, line 6-7: Please amend --  $f_1(\phi) = \{e^{j\theta^1}, e^{j\theta^2}, \dots, e^{j\theta^N}\} = \{e^{j0}, e^{j2\pi k/N}, \dots, e^{j(N-1) \cdot 2\pi k/N}\}$  --  
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Col. 15, line 10-11: Please amend --  $f_2(\phi) = \{e^{j\theta^1}, e^{j\theta^2}, \dots, e^{j\theta^N}\} = \{e^{j(0+\Delta\phi)}, e^{j(2\pi k/N+\Delta\phi)}, \dots, e^{j((N-1) \cdot 2\pi k/N+\Delta\phi)}\}$  --  
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Col. 16, line 19: Please amend -- offsets  $\phi_k$  used --  
to read -- offsets  $\phi_{kn}$  used --

Col. 18, line 28: Please amend --  $\phi' = 2\phi f_o/f_s M$  --  
to read --  $\phi' = 2\pi f_o/f_s M$  --

The errors were found in the application as filed by applicant. The fee set forth in 37 CFR 1.20(a) accompanies this letter.

The errors now sought to be corrected are inadvertent typographical errors of which does not involve new matter or require reexamination.

Transmitted herewith is a proposed Certificate of Correction effecting such amendment. Patentee respectfully solicits the granting of the requested Certificate of Correction.

Respectfully submitted,

/Steven J Shattil/

Steven J. Shattil, Reg. No. 40,170  
P.O. Box 17355  
Boulder, CO 80308-0355  
(720) 234-4351

Amended Clean Drawing Sheet

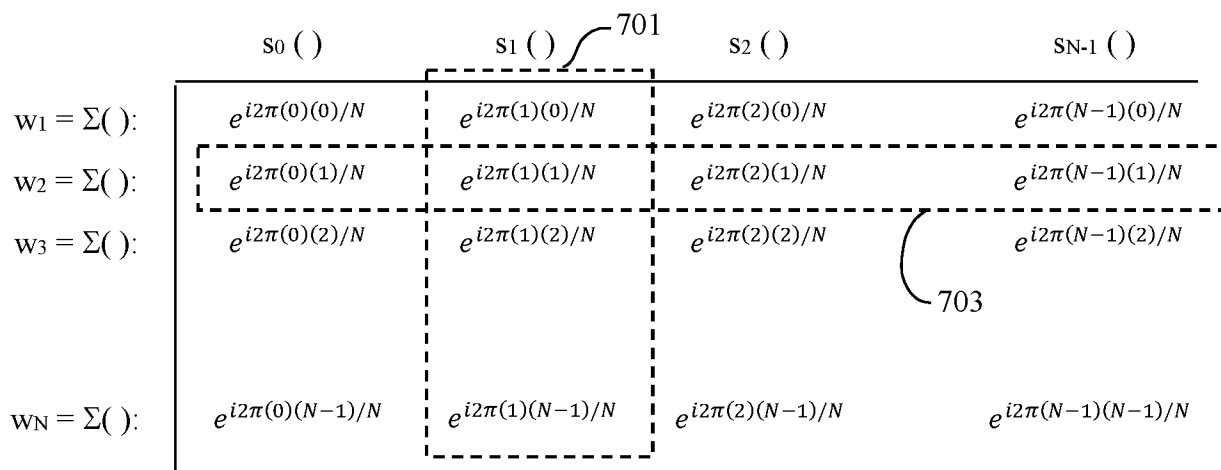


FIG. 7

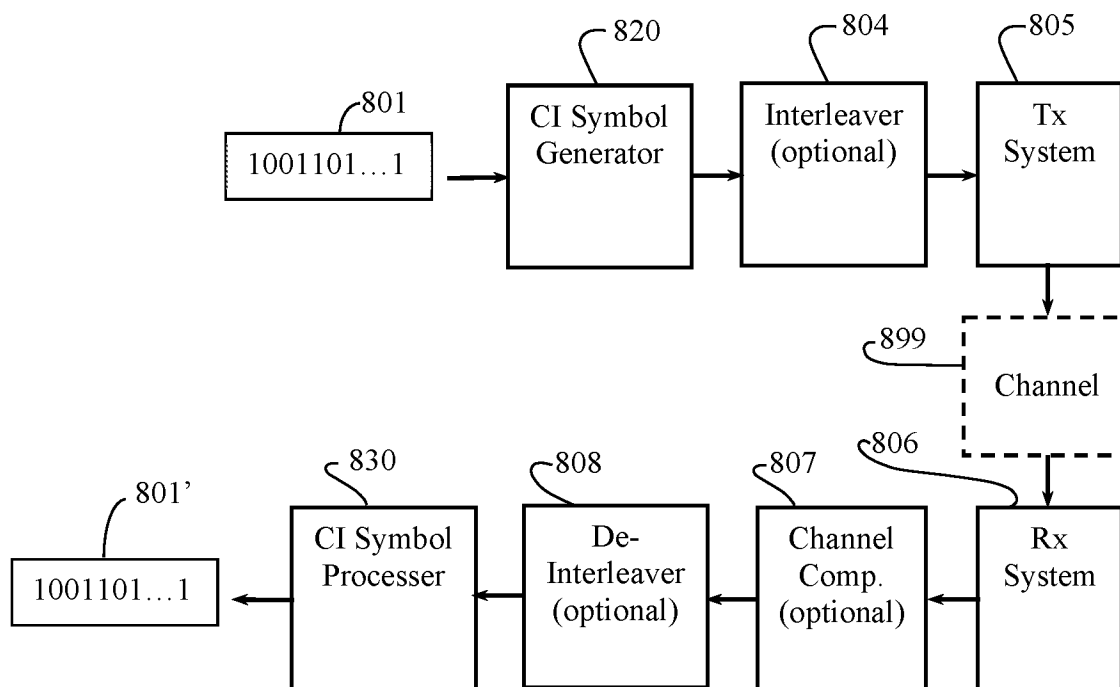


FIG. 8A

Amended Marked Up

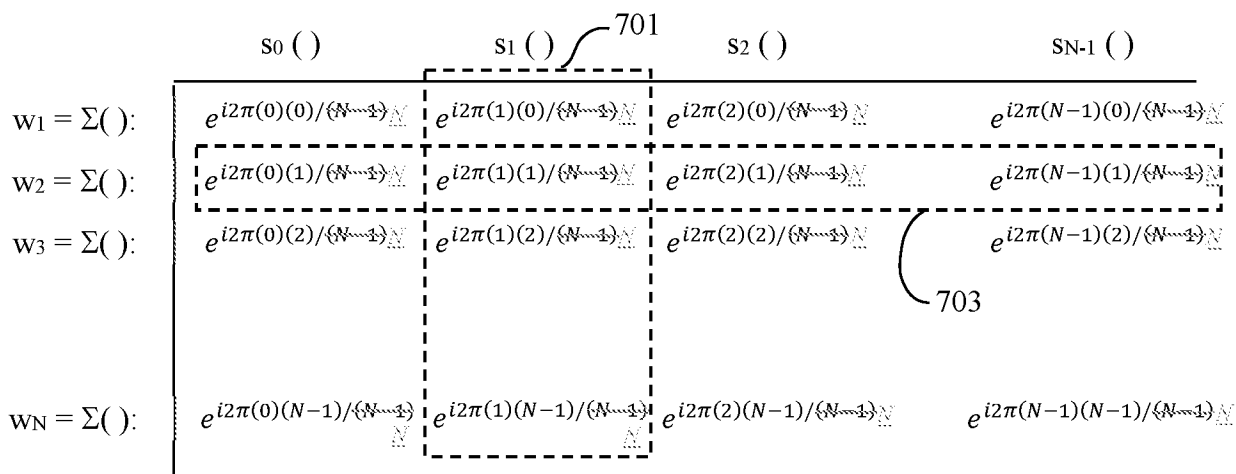


FIG. 7 (Amended)

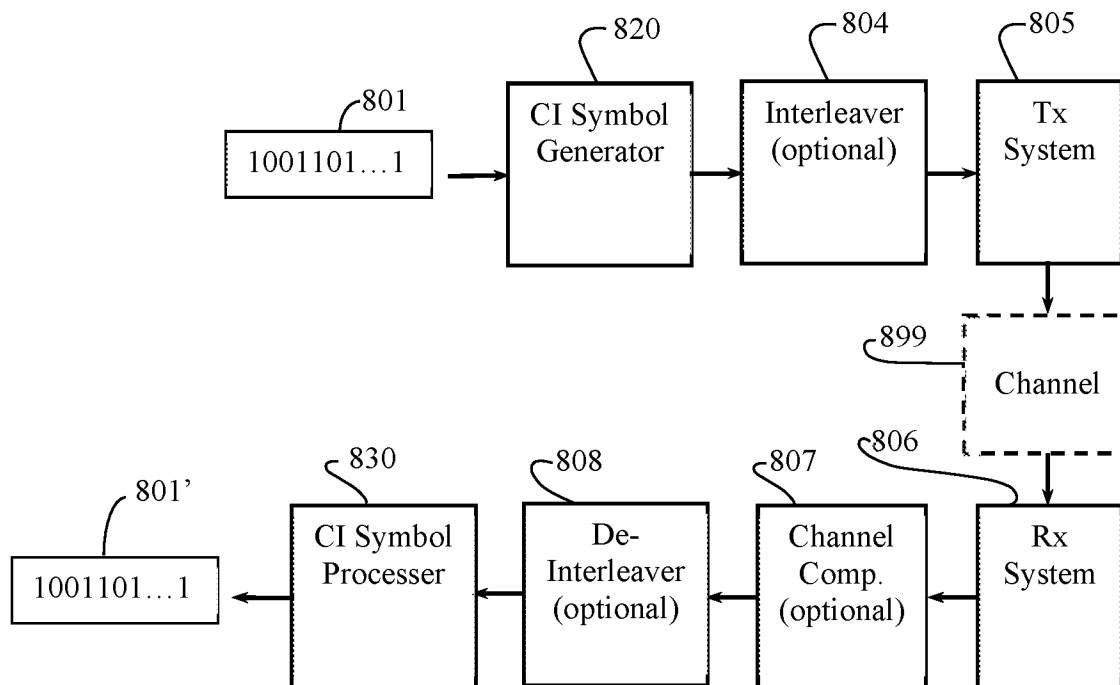


FIG. 8A

<b>Notice of Allowability</b>	<b>Application No.</b> 15/786,270	<b>Applicant(s)</b> Shattil, Steve	
	<b>Examiner</b> DIANE L LO	<b>Art Unit</b> 2466	<b>AIA (FITF) Status</b> No

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1.  This communication is responsive to amendment received 05/29/2019.  
 A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on \_\_\_\_\_.
2.  An election was made by the applicant in response to a restriction requirement set forth during the interview on \_\_\_\_\_; the restriction requirement and election have been incorporated into this action.
3.  The allowed claim(s) is/are 58-63,65-87 and 89-106 . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see [http://www.uspto.gov/patents/init\\_events/pph/index.jsp](http://www.uspto.gov/patents/init_events/pph/index.jsp) or send an inquiry to [PPHfeedback@uspto.gov](mailto:PPHfeedback@uspto.gov).
4.  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

**Certified copies:**

- a)  All      b)  Some      \*c)  None of the:
1.  Certified copies of the priority documents have been received.
  2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_ .
  3.  Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file areply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5.  CORRECTED DRAWINGS (as "replacement sheets") must be submitted.  
 including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_ .  
**Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6.  DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |   |  |
|---|--|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)  | 5. <input type="checkbox"/> Examiner's Amendment/Comment                             |
| 2. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date _____.          | 6. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| 3. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material _____. | 7. <input type="checkbox"/> Other _____.   |
| 4. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____.                            |  |

/DIANE L LO/  
Primary Examiner, Art Unit 2466

### ***REASONS FOR ALLOWANCE***

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

Applicant has rewritten the allowable subject matter of claims 64 and 88 into independent form.

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

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to DIANE LEE LO whose telephone number is (571)270-1952. The examiner can normally be reached on Monday - Friday 8 am - 5 pm.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at <http://www.uspto.gov/interviewpractice>.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Faruk Hamza can be reached on (571)272-7969. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for

Art Unit: 2466

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For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/DIANE L LO/

Primary Examiner, Art Unit 2466

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

*In re* Patent Application of:

Steve Shattil

Application No.: 15/786,270

Filed: 10/17/2017

For: **SINGLE CARRIER FREQUENCY DIVISION MULTIPLE ACCESS BASEBAND  
SIGNAL GENERATION**

Docket No.: CBF-000.C4

Confirmation No.: 5080

Group Art Unit: 2466

Examiner: LO, DIANE LEE

Commissioner for Patents  
P.O. BOX 1700  
Alexandria, VA 22313-1700

**AMENDMENT**

Sir:

This letter is responsive to the non-final office action mailed on 05-13-2019.

**Amendments to the Claims** are reflected in the listing of claims which begins on page 2.

**Remarks** begin on page 15.

## AMENDMENTS TO THE CLAIMS

The following is a complete list of all claims in this application.

Claims 1 – 57 (Cancelled).

58. (Currently Amended) A method comprising:

dividing a block of complex-valued symbols into a plurality of sets of complex-valued symbols;

transform precoding each of the plurality of sets of complex-valued symbols into a block of transform-precoded complex-valued symbols; and

generating an Orthogonal Frequency Division Multiplex (OFDM) signal comprising a plurality of OFDM subcarriers modulated by the transform-precoded complex-valued symbols, wherein the transform precoding generates a plurality of orthogonal spreading codes to provide a superposition of the plurality of OFDM subcarriers with a reduced peak-to-average-power ratio.

59. (Previously Presented) The method of claim 58, wherein the transform precoding spreads the block of complex-valued symbols with a plurality of orthogonal spreading codes comprising complex-valued coefficients of a discrete Fourier transform (DFT) to produce the block of transform-precoded complex-valued symbols.

60. (Previously Presented) The method of claim 59, wherein the DFT is a fast Fourier transform (FFT).

61. (Previously Presented) The method of claim 58, comprising:  
mapping the block of transform-precoded complex-valued symbols to physical resource blocks assigned for transmission of a physical uplink shared channel.

62. (Previously Presented) The method of claim 61, wherein the mapping is responsive to an assignment of spectrum resources for selecting a plurality of OFDM subcarriers corresponding to at least one OFDM symbol interval.

63. (Previously Presented) The method of claim 58, comprising:  
scrambling a block of bits of one subframe of a physical uplink shared channel resulting in a block of scrambled bits; and  
modulating the block of scrambled bits resulting in the block of complex-valued symbols.

64. (Canceled).

65. (Previously Presented) The method of claim 61, wherein at least one of the transform precoding and the mapping is configured to weight each of the plurality of OFDM subcarriers with an amplitude scaling factor to adjust gain of the superposition.

66. (Previously Presented) The method of claim 61, wherein the mapping is configured to select the plurality of OFDM subcarriers according to at least one of a

frequency division multiple access scheme, a time division multiple access scheme, a space division multiple access scheme, a code division multiple access scheme, and a frequency-hopping scheme.

67. (Previously Presented) The method of claim 63, wherein the scrambling is configured to scramble the block of bits into a block of scrambled bits with at least one pseudo-noise code.

68. (Previously Presented) The method of claim 58, wherein the transform precoding is applied according to

$$z(l \cdot M_{sc}^{PUSCH} + k) = \frac{1}{\sqrt{M_{sc}^{PUSCH}}} \sum_{i=0}^{M_{sc}^{PUSCH}-1} d(l \cdot M_{sc}^{PUSCH} + i) e^{-j \frac{2\pi i k}{M_{sc}^{PUSCH}}},$$

wherein:

the block of complex-valued symbols and the block of transform-precoded complex-valued symbol comprises a plurality of resource elements;

$l$  represents a time-domain index of each of the plurality of resource elements;

$k$  represents a frequency-domain index of each of the plurality of resource elements;

$M_{sc}^{PUSCH}$  is a scheduled bandwidth for uplink transmission expressed as a number of subcarriers;

$d(l \cdot M_{sc}^{PUSCH} + i)$  represents resource elements of the block of complex-valued symbols; and

$z(l \cdot M_{sc}^{PUSCH} + k)$  represents resource elements of the block of transform precoded complex-valued symbols.

69. (Previously Presented) The method of claim 68, wherein:

the transform precoding spreads the block of complex-valued symbols with a plurality of orthogonal spreading codes comprising complex-valued coefficients of a discrete Fourier transform (DFT) to produce the block of transform precoded complex-valued symbols; and

$M_{sc}^{PUSCH}$  is a length of the DFT corresponding to the plurality of orthogonal spreading codes.

70. (Previously Presented) The method of claim 69, wherein:

each transform-precoded set of complex-valued symbols of the block of transform-precoded complex-valued symbols is a single-carrier frequency division multiple access symbol; and

said each transform precoded set of complex-valued symbols is processed by the DFT.

71. (Previously Presented) The method of claim 59, wherein:

$$M_{sc}^{PUSCH} = M_{RB}^{PUSCH} * N_{sc}^{RB} ;$$

$M_{RB}^{PUSCH}$  is a scheduled bandwidth for uplink transmission expressed as a number of resource blocks; and

$N_{sc}^{RB}$  is a resource block size in the frequency domain expressed as a number of subcarriers.

72. (Previously Presented) The method of claim 71, wherein:

$$M_{RB}^{PUSCH} \leq N_{RB}^{UL}; \text{ and}$$

$N_{RB}^{UL}$  is an uplink bandwidth configuration expressed in multiples of  $N_{sc}^{RB}$ .

73. (Previously Presented) The method of claim 68, wherein:

the block of transform-precoded complex-valued symbols comprises carrier interferometry symbol values ( $w_n$ ); and

the block of complex-valued symbols comprises data symbols ( $s_n$ ).

74. (Previously Presented) The method of claim 73, wherein carrier interferometry code chip values are arranged with respect to a plurality of phase spaces.

75. (Previously Presented) The method of claim 74, wherein the plurality of phase spaces comprises orthogonal phase spaces.

76. (Previously Presented) The method of claim 74, wherein each of the data symbol values is impressed upon one of the plurality of phase spaces.

77. (Previously Presented) The method of claim 73, wherein the number of carrier interferometry symbol values is different than the number of data symbols.

78. (Previously Presented) The method of claim 58, wherein each of the plurality of sets of complex-valued symbols is a single carrier frequency division multiple access (SC-FDMA) symbol.

79. (Previously Presented) The method of claim 58, comprising generating a time-continuous signal defined by:

$$s_l(t) = \sum_{k=-\lfloor N_{RB}^{UL} N_{SC}^{RB} / 2 \rfloor}^{\lfloor N_{RB}^{UL} N_{SC}^{RB} / 2 \rfloor - 1} a_{k^{(-)},l} e^{j2\pi(k+1/2)\Delta f(t-N_{CP,l}T_s)}, \text{ wherein:}$$

$N_{SC}^{RB}$  is a resource block size in a frequency domain express as a number of subcarriers;

$N_{RB}^{UL}$  is an uplink bandwidth configuration express in multiples of  $N_{SC}^{RB}$ ;

$a_{k^{(-)},l}$  is a value of a resource element;

$\Delta f$  is subcarrier spacing;

$N_{CP,l}$  is a downlink cyclic prefix length for OFDM symbol  $l$  in a slot; and

$T_s$  is a basic time unit.

80. (Previously Presented) The method of claim 79, wherein the time-continuous signal is generated in a single carrier frequency division multiple access (SC-FDMA) symbol.

81. (Previously Presented) The method of claim 58, wherein the transform precoding generates a plurality of quasi-orthogonal complex-valued spreading codes to

provide a superposition of the plurality of OFDM subcarriers with a reduced peak-to-average-power ratio.

82. (Currently Amended) An apparatus, comprising:

a processor; and

a non-transitory computer-readable memory communicatively coupled to the processor, the memory including a set of instructions stored thereon and executable by the processor for:

dividing a block of complex-valued symbols into a plurality of sets of complex-valued symbols;

transform precoding each of the plurality of sets of complex-valued symbols into a block of transform precoded complex-valued symbols; and

generating an Orthogonal Frequency Division Multiplex (OFDM) signal comprising a plurality of OFDM subcarriers modulated with the transform-precoded complex-valued symbols, wherein the transform precoding generates a plurality of orthogonal spreading codes to provide a superposition of the plurality of OFDM subcarriers with a reduced peak-to-average-power ratio.

83. (Previously Presented) The apparatus of claim 82, wherein the transform precoding spreads the block of complex-valued symbols with a plurality of orthogonal spreading codes comprising complex-valued coefficients of a discrete Fourier transform (DFT) to produce the block of transform-precoded complex-valued symbols.

84. (Previously Presented) The apparatus of claim 83, wherein the DFT is a fast Fourier transform (FFT).

85. (Previously Presented) The apparatus of claim 82, comprising instructions for:

mapping the block of transform-precoded complex-valued symbols to physical resource blocks assigned for transmission of a physical uplink shared channel.

86. (Previously Presented) The apparatus of claim 85, wherein the mapping is responsive to an assignment of spectrum resources for selecting a plurality of OFDM subcarriers corresponding to at least one OFDM symbol interval.

87. (Previously Presented) The apparatus of claim 82, comprising instructions for:

scrambling a block of bits of one subframe of a physical uplink shared channel resulting in a block of scrambled bits; and

modulating the block of scrambled bits resulting in the block of complex-valued symbols.

88. (Canceled).

89. (Previously Presented) The apparatus of claim 85, wherein at least one of the transform precoding and the mapping is configured to weight each of the plurality of OFDM subcarriers with an amplitude scaling factor to adjust gain of the superposition.

90. (Previously Presented) The apparatus of claim 85, wherein the mapping is configured to select the plurality of OFDM subcarriers according to at least one of a frequency division multiple access scheme, a time division multiple access scheme, a space division multiple access scheme, a code division multiple access scheme, and a frequency-hopping scheme.

91. (Previously Presented) The apparatus of claim 87, wherein the scrambling is configured to scramble the block of bits into a block of scrambled bits with at least one pseudo-noise code.

92. (Previously Presented) The apparatus of claim 82, wherein the transform precoding is applied according to

$$z(l \cdot M_{sc}^{PUSCH} + k) = \frac{1}{\sqrt{M_{sc}^{PUSCH}}} \sum_{i=0}^{M_{sc}^{PUSCH}-1} d(l \cdot M_{sc}^{PUSCH} + i) e^{-j \frac{2\pi i k}{M_{sc}^{PUSCH}}},$$

wherein:

the block of complex-valued symbols and the block of transform-precoded complex-valued symbol comprises a plurality of resource elements;

$l$  represents a time-domain index of each of the plurality of resource elements;

$k$  represents a frequency-domain index of each of the plurality of resource elements;

$M_{sc}^{PUSCH}$  is a scheduled bandwidth for uplink transmission expressed as a number of subcarriers;

$d(l \cdot M_{sc}^{PUSCH} + i)$  represents resource elements of the block of complex-valued symbols; and

$z(l \cdot M_{sc}^{PUSCH} + k)$  represents resource elements of the block of transform precoded complex-valued symbols.

93. (Previously Presented) The apparatus of claim 92, wherein:

the transform precoding spreads the block of complex-valued symbols with a plurality of orthogonal spreading codes comprising complex-valued coefficients of a discrete Fourier transform (DFT) to produce the block of transform precoded complex-valued symbols; and

$M_{sc}^{PUSCH}$  is a length of the DFT corresponding to the plurality of orthogonal spreading codes.

94. (Previously Presented) The apparatus of claim 93, wherein:

each transform-precoded set of complex-valued symbols of the block of transform-precoded complex-valued symbols is a single-carrier frequency division multiple access symbol; and

said each transform precoded set of complex-valued symbols is processed by the DFT.

95. (Previously Presented) The apparatus of claim 83, wherein:

$$M_{sc}^{PUSCH} = M_{RB}^{PUSCH} * N_{sc}^{RB} ;$$

$M_{RB}^{PUSCH}$  is a scheduled bandwidth for uplink transmission expressed as a number of resource blocks; and

$N_{sc}^{RB}$  is a resource block size in the frequency domain expressed as a number of subcarriers.

96. (Previously Presented) The method of claim 95, wherein:

$$M_{RB}^{PUSCH} \leq N_{RB}^{UL}; \text{ and}$$

$N_{RB}^{UL}$  is an uplink bandwidth configuration expressed in multiples of  $N_{sc}^{RB}$ .

97. (Previously Presented) The method of claim 92, wherein:

the block of transform-precoded complex-valued symbols comprises carrier interferometry symbol values ( $w_n$ ); and

the block of complex-valued symbols comprises data symbols ( $s_n$ ).

98. (Previously Presented) The method of claim 97, wherein carrier interferometry code chip values are arranged with respect to a plurality of phase spaces.

99. (Previously Presented) The method of claim 98, wherein the plurality of phase spaces comprises orthogonal phase spaces.

100. (Previously Presented) The method of claim 98, wherein each of the data symbol values is impressed upon one of the plurality of phase spaces.

101. (Previously Presented) The method of claim 97, wherein the number of carrier interferometry symbol values is different than the number of data symbols.

102. (Previously Presented) The method of claim 82, wherein each of the plurality of sets of complex-valued symbols is a single carrier frequency division multiple access (SC-FDMA) symbol.

103. (Previously Presented) The method of claim 82, comprising generating a time-continuous signal defined by:

$$s_l(t) = \sum_{k=-\lfloor N_{RB}^{UL} N_{SC}^{RB} / 2 \rfloor}^{\lfloor N_{RB}^{UL} N_{SC}^{RB} / 2 \rfloor - 1} a_{k^{(-)},l} e^{j2\pi(k+1/2)\Delta f(t-N_{CP,l}T_s)}, \text{ wherein:}$$

$N_{SC}^{RB}$  is a resource block size in a frequency domain express as a number of subcarriers;

$N_{RB}^{UL}$  is an uplink bandwidth configuration express in multiples of  $N_{SC}^{RB}$ ;

$a_{k^{(-)},l}$  is a value of a resource element;

$\Delta f$  is subcarrier spacing;

$N_{CP,l}$  is a downlink cyclic prefix length for OFDM symbol  $l$  in a slot; and

$T_s$  is a basic time unit.

104. (Previously Presented) The apparatus of claim 93, wherein the time-continuous signal is generated in a single carrier frequency division multiple access (SC-FDMA) symbol.

105. (Previously Presented) The apparatus of claim 82, wherein the transform precoding generates a plurality of quasi-orthogonal complex-valued spreading codes to provide a superposition of the plurality of OFDM subcarriers with a reduced peak-to-average-power ratio.

106. (Currently Amended) A computer program product, comprising a non-transitory computer readable hardware storage device having computer readable program code stored therein, said program code containing instructions executable by one or more processors of a computer system to implement a method comprising:

dividing a block of complex-valued symbols into a plurality of sets of complex-valued symbols; and

transform precoding each of the plurality of sets of complex-valued symbols into a block of transform precoded complex-valued symbols; and

generating an Orthogonal Frequency Division Multiplex (OFDM) signal comprising a plurality of OFDM subcarriers modulated with the transform-precoded complex-valued symbols, wherein the transform precoding generates a plurality of orthogonal spreading codes to provide a superposition of the plurality of OFDM subcarriers with a reduced peak-to-average-power ratio.

## REMARKS

By this amendment, claim 106 was amended to recite a “non-transitory computer readable hardware storage device”, as suggested in the Examination Report to avoid the 35 U.S.C. 101 rejection. Accordingly, Applicant respectfully requests reconsideration of the 35 U.S.C. 101 rejection of claim 106.

The Examination Report indicated that Claims 64, 65, 67, 73-77, 79-81, 88, 89, 91, 97-101, 103, and 105 would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims. Independent claim 58 was amended to include all of the limitations of claim 64, and thus constitutes claim 64 rewritten in independent form. Independent claim 82 was amended to include all of the limitations of claim 88, and thus constitutes claim 88 rewritten in independent form. Independent claim 106 was amended to include all of the limitations of claim 88, and thus should be allowable. In view of these amendments, Applicant respectfully requests reconsideration of the 35 U.S.C. 102 rejection of claims 58-63, 66, 68-72, 78, 82-87, 90, 92-96, 102, 104, and 106.

Claims 64 and 88 were canceled.

Applicant respectfully contents that no issue of new matter has been added by this amendment.

If the Examiner believes, for any reason, that personal communication will expedite prosecution of this application, the Examiner is invited to telephone the undersigned at the number provided.

Prompt and favorable consideration of this Reply is respectfully requested.

Respectfully Submitted,

/Steven J Shattil/

Steven J Shattil  
Reg. No. 65,170



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Table with columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO., EXAMINER, ART UNIT, PAPER NUMBER, MAIL DATE, DELIVERY MODE. Includes application details for Steve Shattil and examiner LO, DIANE LEE.

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

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



## **DETAILED ACTION**

This is response to Application 15/786,270 filed on 10/17/2017 in which claims 58-106 are presented for examination.

### ***Allowable Subject Matter***

Claims 64, 65, 67, 73-77, 79-81, 88, 89, 91, 97-101, 103, and 105 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

### ***Claim Rejections - 35 USC § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claim 106 is rejected under 35 U.S.C. 101 as being directed to non-statutory subject matter. Claim 106 define computer readable medium referring to any medium that is storing a program executable by a computer. The broadest reasonable interpretation of a claim drawn to a computer readable medium (also called machine readable medium and other such variations) typically covers forms of non-transitory tangible media and transitory propagating signals *per se* in view of the ordinary and customary meaning of computer readable media, particularly when the specification is silent. *See* MPEP

2111.01. In this case, the specification is silent. When the broadest reasonable interpretation of a claim covers a signal *per se*, the claim must be rejected under 35 U.S.C. § 101 as covering non-statutory subject matter. See *In re Nuijten*, 500 F.3d 1346, 1356-57 (Fed. Cir. 2007) (transitory embodiments are not directed to statutory subject matter) and *Interim Examination Instructions for Evaluating Subject Matter Eligibility Under 35 U.S.C. § 101*, Aug. 24, 2009; p. 2.

A claim drawn to such a computer readable medium that covers both transitory and non-transitory embodiments may be amended to narrow the claim to cover only statutory embodiments to avoid a rejection under 35 U.S.C. § 101 by adding the limitation “non-transitory” to the claim. Such an amendment would typically not raise the issue of new matter, even when the specification is silent because the broadest reasonable interpretation relies on the ordinary and customary meaning that includes signals *per se*. The limited situations in which such an amendment could raise issues of new matter occur, for example, when the specification does not support a non-transitory embodiment because a signal *per se* is the only viable embodiment such that the amended claim is impermissibly broadened beyond the supporting disclosure. See, e.g., *Gentry Gallery, Inc. v. Berkline Corp.*, 134 F.3d 1473 (Fed. Cir. 1998).

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of pre-AIA 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the

invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 58-63, 66, 68-72, 78, 82-87, 90, 92-96, 102, 104 and 106 are rejected under pre-AIA 35 U.S.C. 102(e) as being anticipated by Zhang et al. (US 2010/0041350 A1).

1. **Regarding claim 58**, Zhang teaches a method comprising:

dividing a block of complex-valued symbols into a plurality of sets of complex valued symbols (*Paragraph [0073] divides the symbols into sets*);

transform precoding each of the plurality of sets of complex-valued symbols into a block of transform-precoded complex-valued symbols (*Paragraphs [0073] and [0074] produce block of complex valued symbols*); and

generating an Orthogonal Frequency Division Multiplex (OFDM) signal comprising a plurality of OFDM subcarriers modulated by the transform-precoded complex-valued symbols (*Figure 3A and 3B Paragraphs [0071] to [0073]*).

2. **Regarding claim 82**, Zhang teaches an apparatus, comprising:

a processor; and

a non-transitory computer-readable memory communicatively coupled to the processor, the memory including a set of instructions stored thereon and executable by the processor for:

dividing a block of complex-valued symbols into a plurality of sets of complex valued symbols (*Paragraph [0073] divides the symbols into sets*);

transform precoding each of the plurality of sets of complex-valued symbols into a block of transform precoded complex-valued symbols (*Paragraphs [0073] and [0074] produce block of complex valued symbols*); and

generating an Orthogonal Frequency Division Multiplex (OFDM) signal comprising a plurality of OFDM subcarriers modulated with the transform-precoded complex-valued symbols (*Figure 3A and 3B Paragraphs [0071] to [0073]*).

**3. Regarding claims 59 and 83**, Zhang teaches wherein the transform precoding spreads the block of complex-valued symbols with a plurality of orthogonal spreading codes comprising complex-valued coefficients of a discrete Fourier transform (DFT) to produce the block of transform-precoded complex-valued symbols (*Figure 3A and 3B Paragraphs [0048] and [0071] to [0073] DFT*).

**4. Regarding claims 60 and 84**, Zhang teaches wherein the DFT is a fast Fourier transform (FFT) (*Figure 3A and 3B Paragraphs [0048] and [0071] to [0073] DFT*).

**5. Regarding claims 61 and 85**, Zhang teaches comprising: mapping the block of transform-precoded complex-valued symbols to physical resource blocks assigned for

transmission of a physical uplink shared channel (*Paragraph [0073] divides the symbols into PUSCH sets*).

6. **Regarding claims 62 and 86**, Zhang teaches wherein the mapping is responsive to an assignment of spectrum resources for selecting a plurality of OFDM subcarriers corresponding to at least one OFDM symbol interval (*Paragraph [0056] and [0078] subcarriers and symbols*).

7. **Regarding claims 63 and 87**, Zhang teaches comprising: scrambling a block of bits of one subframe of a physical uplink shared channel resulting in a block of scrambled bits; and modulating the block of scrambled bits resulting in the block of complex-valued symbols (*Paragraph [0071] to [0076] scrambler blocks*).

8. **Regarding claims 66 and 90**, Zhang teaches wherein the mapping is configured to select the plurality of OFDM subcarriers according to at least one of a frequency division multiple access scheme, a time division multiple access scheme, a space division multiple access scheme, a code division multiple access scheme, and a frequency-hopping scheme (*Paragraphs [0134] and [0149] CDM and FDM*).

9. **Regarding claims 68 and 92**, Zhang teaches wherein the transform precoding is applied according to

$$z(l * M^{\text{PUSCH}}_{\text{sc} + k}) =$$

wherein:

the block of complex-valued symbols and the block of transform-precoded complex-valued symbol comprises a plurality of resource elements;

$l$  represents a time-domain index of each of the plurality of resource elements;

$k$  represents a frequency-domain index of each of the plurality of resource elements;

$M_{gcSCH}$  is a scheduled bandwidth for uplink transmission expressed as a number of subcarriers;

$d(l \cdot M_{gcSCH} + 0)$  represents resource elements of the block of complex-valued symbols; and

$z(Z \cdot M_{gcSCH} + k)$  represents resource elements of the block of transform precoded complex-valued symbols (*Paragraph [0073] Equation 7*).

10. **Regarding claims 69 and 93**, Zhang teaches wherein:

the transform precoding spreads the block of complex-valued symbols with a plurality of orthogonal spreading codes comprising complex-valued coefficients of a discrete Fourier transform (DFT) to produce the block of transform precoded complex valued symbols; and  $M_{gcSCH}$  is a length of the DFT corresponding to the plurality of orthogonal spreading codes (*Paragraph [0073] Equation 7*).

11. **Regarding claims 70 and 94**, Zhang teaches wherein:

each transform-precoded set of complex-valued symbols of the block of transform-precoded complex-valued symbols is a single-carrier frequency division multiple access symbol; and said each transform precoded set of complex-valued symbols is processed by the DFT (*Paragraphs [0073] and [0074] Equation 7*).

12. **Regarding claims 71 and 95**, Zhang teaches wherein:

$M_{\text{sch}} = M_{\text{prusch}} * N_{\text{scrb}}$  ;

$M_{\text{sch}}$  is a scheduled bandwidth for uplink transmission expressed as a number of resource blocks; and

$N_{\text{scrb}}$  is a resource block size in the frequency domain expressed as a number of subcarriers (*Paragraphs [0073] and [0074] Equation 7*).

13. **Regarding claims 72 and 96**, Zhang teaches wherein:

$M_{\text{sch}} < N_{\text{rb}}$  ; and

$N_{\text{rb}}$  is an uplink bandwidth configuration expressed in multiples of NRB (*Paragraphs [0073] and [0074] Equation 8*).

14. **Regarding claims 78 and 102**, Zhang teaches wherein each of the plurality of sets of complex-valued symbols is a single carrier frequency division multiple access (SC-FDMA) symbol (*Figure 3A and 3B Paragraphs [0071] to [0073]*).

15. **Regarding claim 104**, Zhang teaches wherein the time-continuous signal is generated in a single carrier frequency division multiple access (SC-FDMA) symbol (*Figure 3A and 3B Paragraphs [0048] and [0071] to [0073] DFT*).

16. **Regarding claim 106**, Zhang teaches a computer program product, comprising a computer readable hardware storage device having computer readable program code stored therein, said program code containing instructions executable by one or more processors of a computer system to implement a method (*Figure 3A and 3B Paragraphs [0071] to [0073]*) comprising:  
dividing a block of complex-valued symbols into a plurality of sets of complexvalued symbols (*Paragraph [0073] divides the symbols into sets*); and  
transform precoding each of the plurality of sets of complex-valued symbols into a block of transform precoded complex-valued symbols (*Paragraphs [0073] and [0074] produce block of complex valued symbols*) and  
generating an Orthogonal Frequency Division Multiplex (OFDM) signal comprising a plurality of OFDM subcarriers modulated with the transform-precoded complex-valued symbols (*Figure 3A and 3B Paragraphs [0071] to [0073]*).

### **Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to DIANE LEE LO whose telephone number is (571)270-1952. The examiner can normally be reached on Monday - Friday 8 am - 5 pm.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at <http://www.uspto.gov/interviewpractice>.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Faruk Hamza can be reached on (571)272-7969. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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