

# IP Rights for Financial Services

Strategies for Building Patent Portfolios and Making Use of Patents to Grow Your Business

April 25-26, 2006 • Embassy Suites • New York City



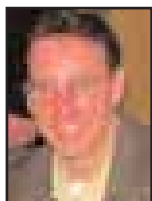
James Myers  
Partner  
Ropes & Gray



Paula Jellinghaus  
Managing Director  
IA Strategy Group



Todd Q. Dickinson  
Vice President &  
Chief IP Counsel  
General  
Electric Co.



Marc Ehrlich  
Counsel - Patent  
Portfolio  
Management  
IBM Co.



Raymond Millien  
IP Counsel  
American  
Express Co.



Clifford S.  
Stanford  
Assistant  
General Counsel  
Federal Reserve  
Bank of Atlanta



James E.  
Malackowski  
President & CEO  
Ocean  
Tomo, LLC



Dan Ravicher  
Legal Director  
Software  
Freedom Law  
Center



Dr. Frank Cuyper  
Head of IP  
Swiss RE

## Our Esteemed Speaker Faculty Also Includes:

- John Dauer  
Brown Raysman Millstein Felder & Steiner LLP
- Gary Markovitz  
Innovation Business Partners
- Timothy Wilson  
SAS Institute
- MaryLee Jenkins  
Arent Fox
- Moshe Malina  
Citigroup Global Investment Bank
- Mark Nowotarsky  
Markets, Patents, & Alliances
- Cheryl Hoffman  
BrownsFields Capital
- Larry Rogers  
Ropes & Gray
- Greg Kirsch  
Needle & Rosenberg
- Tom Bakos  
Tom Bakos Consulting, Inc.

## Learn from leading IP professionals in financial services to help you:

- Develop tactics for generating revenue from your patented products
- Stimulate innovation by using patents as a leveraging tool
- Use patent applications as a marketing tool to grow your business
- Protect your inventions by selecting the optimal open source software licenses
- Generate revenue from your inventions by learning how to monetize your IP
- Make the most of extraterritorial applications of patent laws

### Sponsors



## Don't Miss the Pre-Conference Workshop:

### Drafting Patent Applications and Beyond: Practical Aspects for Getting Your Patent Applications Right the First Time

Provides an in-depth, hands-on workshop on how to draft the perfect patent application, understand what the USPTO is looking for, and use your patent strategy to drive creativity.

Earn 16.5 CPE/CLE Credits!

# 2nd Annual IP Rights for Financial Services Summit

Dear Intellectual Property Executive,

After an overwhelmingly successful inaugural summit on Intellectual Property Rights Protection for Financial Services in May, 2005, the second annual summit is an even bigger, not-to-be-missed event. The **2nd Annual IP Rights for Financial Services Summit** will focus on giving you strategies for building your patent portfolios and making use of patents to grow your business. New case studies will be presented by an even larger pool of the top presenters from leading financial services institutions to give you tools you can use to build and capitalize on your own patent portfolios.

## New for 2006:

- Expanded program with more **patent-focused sessions** to help you not only defend your patent portfolio, but also use your patents to **grow your business**.
- New! Implementing a Strategic Roadmap for Patent Litigation
- New! Using patent applications as a Marketing Tool to Grow Business
- New! Stimulate Innovation/Invention: Using Patents as a Leveraging Tool
- Increased opportunities to **network** with high-level IP executives.

## Hear from senior-level Intellectual Property Experts such as:

Raymond V. Millien, IP Counsel, American Express Co.  
Todd Q. Dickinson, Vice President & Chief IP Counsel, General Electric Co.  
Clifford S. Stanford, Assistant General Counsel, Federal Reserve Bank of Atlanta  
Marc Ehrlich, Counsel - Patent Portfolio Management, IBM Co.

Our presenters will explore strategies and tactics that leading financial services companies are employing to not only build their patent portfolios, but also develop a competitive advantage to ultimately leverage and monetize their IP assets.

Whether you're in insurance, banking or financial services technology, this is **the only IP event in 2006 dedicated to financial services that will allow you to hear from the innovators themselves and understand how to not only protect your IP assets, but also to benefit from them.** Hear first-hand advice from leading IP attorneys, strategists, and consultants on:

- Developing tactics for **generating revenue** from your patented products
- **Stimulating innovation** by using patents as a leveraging tool
- Use patent applications as a marketing tool to **grow your business**
- Protect your inventions by selecting the optimal open source software licenses
- **Generate revenue** from your inventions by learning how to monetize your IP
- Make the most of **extraterritorial applications** of patent laws
- Identify patentable products in development, and **create strategies** for obtaining additional patents

**Plus:** Attend the pre-conference **workshop "Drafting Patent Applications: Practical Aspects for Getting Your Patent Applications Right the first Time,"** an in-depth, hands-on workshop on how to draft the perfect patent application, understand what the USPTO is looking for, and use your patent strategy to drive creativity.

In addition to learning how leading financial institutions are addressing the most relevant issues in the industry, the **2nd Annual Summit on Intellectual Property Rights for Financial Services** will allow for an unusually high-quality exchange of information amongst key financial services executives and will provide a networking opportunity not to be missed.

Don't miss out! Register for the **2nd Annual IP Rights for Financial Services Summit** today!  
Call 888.670.8200. email [register@iirusa.com](mailto:register@iirusa.com), or visit us on the Web at [www.iirusa.com/iprights](http://www.iirusa.com/iprights).

I look forward to seeing you in April in New York City.

Sincerely,



Melea Seward  
Event Director, IIR

**P.S. Be sure not to miss the in-depth workshop on Drafting Patent Applications: Practical Aspects for Getting Your Patent Applications Right the First Time!**

# Day 1: Tuesday, April 25, 2006

8:15 *Registration and Morning Coffee*

## 8:45 **In-Depth Pre-Conference Workshop**

### **Drafting Patent Applications and Beyond: Practical Aspects for Getting Your Patent Applications Right the First Time**

With the backlog of business method patent applications at the USPTO, approvals are taking as long as two years or more. Having a truly unique product offering and getting your application perfect the first time will avoid wasted time and money. This interactive, hands-on workshop will help get your product developers thinking differently about how to solve your problems, and create patentable inventions that will truly stop the competition cold. In addition, you will also have the opportunity to deconstruct a patent application

## 12:45 **Chairperson's Opening Remarks**

James Myers, *Partner*  
**ROPES & GRAY**

## 1:00 **Creating Your Patent Strategy: Findings of Patent Landscape Analysis Within the Financial Services Industry**

- Why companies in this industry are pursuing patents
- Patents with the highest value
- How financial services companies use their patent portfolios
- The implications for the industry
- Creating an appropriate patent strategy for your organization
- Competitive intelligence using patents
- The future of patents in the financial services industry

Greg Kirsch, *Partner*  
**NEEDLE & ROSENBERG**

## 1:45 **Litigation Update: A Look at What Is Going In and Coming Out of the Courts**

- Outcomes of recent cases and settlements
- How the Lundgren decision and the technological art requirement affect your business
- Update on cases still working their way through the legal system
- Implications these cases have on how you conduct your business
- Understand the ongoing controversy surrounding claim interpretation—the aftermath of the Philips case in the CAFC

Raymond V. Millien, *IP Counsel*  
**AMERICAN EXPRESS CO.**

Larry Rogers, *Partner*  
**ROPES & GRAY**

## 2:45 *Afternoon Networking Break*

## 3:00 **Stimulate Innovation/Invention: Using Patents as a Leveraging Tool**

- The prior art search as a feedback for the inventor
- The competitive patent landscape as a radar for executive management
- The licensing program as an incentive for the business units

Dr. Frank Cuypers, *Head of IP*  
**SWISS RE**

to learn how to read a patent, how to identify problems with your invention or your application, and other useful tips for keeping exclusive rights to your current and pending product line, including:

- What is a business method patent?
- Using your patent strategy to drive creativity
- Brainstorming to get your development team to invent more of the 'right stuff'
- Drafting an application: Claims and specifications

Gary Markovitz, *CEO & President*

**INNOVATION BUSINESS PARTNERS**

## 11:45 *Lunch for Workshop Attendees and Registration for main conference*

Gary Markovitz, *CEO & President*

**INNOVATION BUSINESS PARTNERS**

Cheryl Hoffman, *CEO*

**BROWNFIELDS CAPITAL**

Mark N. Geall, *Senior Director*

**BROWNFIELDS CAPITAL**

## 4:00 **Using Patent Applications as a Marketing Tool to Grow Business**

- Using patents and patent pending as reputation enhancement to gain competitive advantage
- Patents can be used to exclude, license, and control the market
- Instituting a Patent Watch process to be aware of competitor patents

Moshe Malina, *Senior Vice President*

**CITIGROUP GLOBAL INVESTMENT BANK**

## 4:30 **Innovations in Insurance**

- Case studies of how patents are fostering innovations in the P/C and Life/Health industries
- Successful patent business strategies for insurance companies
- Disastrous patent business strategies for insurance companies
- Q/A Session

Tom Bakos, *Consulting Actuary*  
**TOM BAKOS CONSULTING**

Mark Nowotarsky, *President*

**MARKETS, PATENTS & ALLIANCES LLC**

## 5:30 *Day 1 Concludes*

### **Sponsored Events and Table Top Exhibits**

Are you looking for a creative way to reach top-level decision-makers? Why not consider sponsoring a luncheon, cocktail party or refreshment break? Maybe you're looking for the perfect forum to showcase your products and services or an onsite communication center. For information on sponsorship or exhibition opportunities please contact Sarene Yablonsky at 212.661.3500 ext. (3798).

# Day 2: Wednesday, April 26, 2006

7:45 *Registration and Morning Coffee*

8:15 **Chairperson's Recap of Day 1**

James Myers, *Partner*  
**ROPES & GRAY**

8:30 **Making Optimal Use of Open Source**

- Alleviating misconceptions regarding use and distribution of open source
- Software patents and open source
- Ramifications of open source usage for proprietary development
- Open source, indemnification, and risk reduction
- Considerations when choosing an open source software program for use in the Enterprise

Dan Ravicher, *Legal Director*  
**SOFTWARE FREEDOM LAW CENTER**

Marc Ehrlich, *Counsel-Patent Portfolio Management*  
**IBM**

9:30 **Generating Revenue From Your Inventions by Learning How to Monetize Your IP**

- Successfully license your patent and raise money
- Convincing others of the value of the invention
- Benefits of licensing
- Determining royalty rates
- Valuation concerns-how do you value patents?
- Securitization of revenue streams
- Challenging issues in structuring deals

James Malackowski, *President & CEO*  
**OCEAN TOMO LLC**

10:45 *Morning Networking Break*

11:00 **Patent Reform Legislation**

- A look at Patent Predator Legislation: What the debate is all about
- Managing and leveraging risk
- Fighting patent predators to stake your claim in the marketplace
- Litigation and counseling strategies

Todd Q. Dickinson, *Vice President & Chief IP Counsel*  
**GENERAL ELECTRIC CO.**

Marylee Jenkins, *Partner*  
**ARENT FOX**

12:00 *Luncheon for Delegates & Speakers*

1:30 **The Impact of US Patent Laws on Global Business: Extraterritoriality**

- Background: importing and exporting traditional products
- Reasons for outsourcing business functions
- Consequences of exporting software
- How trans-border technologies impact your patent portfolios

Timothy Wilson, *Senior Corporate Counsel*  
**SAS INSTITUTE, INC.**

2:30 **Employing a Strategic Road Map for Patent Defense**

In this groundbreaking session, two leading patent attorneys will help you construct your own Strategic Roadmap for Patent Litigation and help you:

- Claim Construction/Markman Hearing Considerations
- Settlement tactics
- ADR options
- Side-step threats of injunctions

John Dauer, *Partner*  
**BROWN RAYSMAN MILLSTEIN FELDER & STEINER LLP**

Frederick Whitmer, *Partner*  
**BROWN RAYSMAN MILLSTEIN FELDER & STEINER LLP**

3:15 *Afternoon Networking Break*

3:30 **Developing an IP Strategy Through Effective Evaluation & Valuation of Patent Portfolios**

- Understand how to protect and leverage your IP through strategic evaluation and valuation
- Learn how to perform high-level industry, market, and competitive intelligence
- Map and analyze key patents and patent holders
- Highlight related technological, process, and product development
- Identify companies with similar focus and capabilities
- Recognize opportunities for strategic partners and alliances
- Locate opportunities for out-licensing and in-licensing

Paula Jellinghaus, *Managing Director*  
**IA STRATEGY GROUP**

4:30 **Innovations in Banking**

- Recent case studies in the banking industry
- Debating various methods of business strategy
- Extended Q&A Session: What's On Your Mind?

Clifford S. Stanford, *Assistant General Counsel*  
**FEDERAL RESERVE BANK OF ATLANTA**

David E. Martin, *CEO*  
**M•CAM**

5:30 *Conference Concludes*

## About the Hotel



The Flagship Embassy Suites New York City Hotel is the only upscale all-suite hotel located on the waterfront in Lower Manhattan's Battery Park area. Nestled in the heart of the New York Financial District, this full-service upscale all-suite hotel is walking distance from the New York Stock Exchange - NYSE, Wall Street, the World Financial Center, the New York Harbor, South Street Seaport, the Statue of Liberty/Ellis Island ferries, the Century 21 Department Store and the neighborhoods of Tribeca, SoHo and Greenwich Village. Times Square, Central Park, the Metropolitan Museum of Art, the Broadway Theaters, the Museum of Modern Art and Madison Square Garden are all just a cab ride away. Guests of the Embassy Suites New York City hotel stay in spacious two-room suites and receive a complimentary cooked-to-order breakfast and a nightly manager's reception. High-speed internet access is available throughout the hotel.

## Nine Reasons Not to Miss this Event:

1. Understand the latest IP threats, trends, and tactics.
2. Network with experts from a wide range of leading companies.
3. Learn how to incorporate your patent portfolio into a comprehensive business-building strategy.
4. Ward off patent predators and protect your inventions.
5. Discover new areas to generate revenue for your firm by monetizing your patents.
6. Find out the latest innovations within the banking and insurance sectors in two specially designed sessions.
7. Make the most of extraterritorial applications of patent laws.
8. Find out how new 2006 legislation affects your patent portfolio.
9. Participate in a high-level dialogue regarding the future of patents within the financial services

## Sponsors:



With the addition of the Fish & Neave IP Group, Ropes & Gray has increased its formidable capacity to serve the IP needs of financial-services companies. The IP Group excels in patent litigation, including business-method patents; the protection of trade secrets; and complex IP transactions, to name just a few. With more than 275 professionals dedicated to IP matters, the group is one of the nation's largest and most acclaimed.

## Who should attend and whom will I meet?

Corporate Counsel, IP Counsel, IP Strategists, Patent Portfolio Managers, Product Development Managers, Chief Risk Officers, Actuaries

### FROM

Financial and banking institutions, insurance companies, mutual fund companies, and financial technology firms

### AND

Attorneys, Patent Agents, and Consultants

### FROM

Law Firms and Consulting Firms

## BROWN RAYSMAN

BROWN RAYSMAN MILLSTEIN FELDER & STEINER, LLP

Founded in 1979, Brown Raysman Millstein Felder & Steiner LLP is national law firm that focuses on technology. The firm's IP Department concentrates on helping clients strengthen their

IP positions through procurement, enforcement and litigation. The patent attorneys in the firm are well versed in business methods and financial services patents as well as the ins-and-outs of how various patent offices and courts handle such patents. Armed with that knowledge, Brown Raysman has successfully represented clients in preserving the way that they do business and in gaining an edge over their competitors. The firm advises clients through an integrated network of offices located in New York, Los Angeles, Silicon Valley, Connecticut and New Jersey.

## ADMINISTRATIVE DETAILS

### 5 Easy Ways to Register

REGISTRATIONS: Please complete and return the registration form to Customer Service Manager:

FAX: (941) 365-2507

CALL: (888) 670-8200 or (941) 951-7885

MAIL: IIR NY, P.O. Box 3685, Boston, MA 02241-3685

EMAIL: register@iirusa.com

WEB: <http://www.iirusa.com/iprights>

### Group Discounts Available

Please contact Aloycia Bellillie at (212) 661-3500 ext. 3702 for details. No two discounts can be combined.

### Fee

The standard fee for attending IIR's 2nd Annual Summit on Intellectual Property Rights Protection for Financial Services is outlined on the registration form. This includes the luncheon and refreshments, and the conference documentation and materials submitted by the speakers. You may enclose payment with your registration or we will send an invoice. Payment is due within 30 days of registering. If registering within 30 days of the event, payment is due immediately. Payments may be made by check, Visa, MasterCard, Discover, Diners Club or American Express. Please make all checks payable to the "Institute for International Research, Inc." and write the name of the delegate(s) on the face of the check, as well as our reference code: U1991. If payment has not been received prior to registration the morning of the conference, a credit card hold will be required.

### Dates and Venue

April 25-26, 2006

Embassy Suites

102 North End Ave

New York, NY 10282

### Accommodations

A block of rooms will be held for a limited period of time at the Embassy Suites. All hotel bookings must be made through The Global Executive's Internet booking site. Please visit [www.globalexec.com/iir](http://www.globalexec.com/iir) to make your reservation. If you do not have web access, or need additional assistance, please call The Global Executive at (800) 516-4265 or (203) 431-8950. You can also send them an email at [conf@globalexec.com](mailto:conf@globalexec.com) or fax them at (203) 431-9305. The hotel will not accept individual calls for room reservations at the IIR negotiated group rate.

### Substitutions and Cancellations

Should you be unable to attend for any reason, please inform IIR IN WRITING prior to April 11, 2006 and a credit voucher for the full amount will be issued which must be used within one year of issuance. If you prefer, a full refund less a \$395 non-refundable deposit will be issued. No refunds or credits will be given for cancellations received on or after April 11, 2006.

Substitutions of enrolled delegates may be made at any time. Please indicate upon registration whether you are eligible for a discount. No two discounts can be combined. If, for any reason, IIR decides to cancel this conference, IIR does not accept responsibility for covering airfare, hotel or other costs incurred by registrants including delegates, speakers, sponsors and guests. Program content subject to change without notice. Press permission must be obtained prior to the event and is dependant upon speakers' approval. The press may not quote speakers or delegates unless they have obtained their approval in writing. Press passes do not include admittance to break-out sessions.

### Documentation Order

If you are unable to attend the program, or would simply like to order additional sets of documentation for your colleagues, they are available for \$395 per set, including taxes, postage and shipping in the U.S. Please fill out the order form on the back of the brochure. The documentation is available for shipment two weeks after the conference takes place. CREDIT CARD PAYMENT ONLY.



Any disabled individual desiring an auxiliary aid for this conference should notify IIR at least 3 weeks prior to the conference in writing by faxing (212) 661-6045.

**Exhibitions:** Exhibit space will be available at this conference offering you the perfect forum to showcase your products and services. This is your chance to make valuable contacts and have your tabletop display serve as your communications center. Please call Jeffrey Dubs, 212-661-3500, ext. 3082 for showcase opportunities.

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**2nd Annual Summit on Rights Protection for Financial Services  
Registration Form**

Five Easy Ways to Register  
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Conference Only U1991C	<input type="checkbox"/> \$1795	<input type="checkbox"/> \$1895	<input type="checkbox"/> \$1995
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Please send me more information on how to:  Exhibit     Sponsor

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**IIR's 2nd Annual Summit on**

***"The substance of this conference was great!"***

- Raymond B. Ryan, GR Solutions, LLC

# IP Rights for Financial Services

Institute for International Research

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