

(19) World Intellectual Property
Organization
International Bureau



(43) International Publication Date
8 January 2004 (08.01.2004)

PCT

(10) International Publication Number
WO 2004/003706 A3

(51) International Patent Classification⁷: **G06F 11/30**,
G09G 5/00

(21) International Application Number:
PCT/US2003/020761

(22) International Filing Date: 1 July 2003 (01.07.2003)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:
60/393,335 1 July 2002 (01.07.2002) US
10/611,656 30 June 2003 (30.06.2003) US

(81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, UZ, VC, VN, YU, ZA, ZM, ZW.

(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

Published:

- with international search report
- before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments

(71) Applicant: **FIRST DATA CORPORATION** [US/US];
12500 East Belford Avenue, Englewood, CO 80112-5939 (US).

(72) Inventors: **MELLINGER, Phillip, T.**; 9685 Gwynn Park Drive, Ellicott City, MD 21042 (US). **DEGEN, Robert**; 624 N. Pines Trail, Parker, CO 80138 (US).

(74) Agents: **GIBBY, Darin, J.** et al.; Townsend and Townsend and Crew LLP, Two Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834 (US).

(88) Date of publication of the international search report:
26 February 2004

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: METHODS AND SYSTEMS FOR PERFORMING SECURITY RISK ASSESSMENTS OF SHARED-NETWORK ENTITIES

(57) Abstract: Methods and systems are provided for assessing a security risk for a merchant entity having connectivity to a shared network. Information describing characteristics of the merchant entity are received from the merchant entity. A determination is made which test requirements of a security test scheme are to be used in assessing the security risk for the merchant entity. The security test scheme includes a set of test requirements whose satisfaction by the merchant entity is sufficient to ensure compliance with a multiple sets of security requirements defined by multiple payment-processing organizations. The security test scheme is executed with a security compliance authority server in accordance with the determined test requirements.



WO 2004/003706 A3

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US03/20761

A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : G06F 11/30; G09G 5/00

US CL : 713/201; 345/736

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 713/201; 345/736

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
|------------|--|-----------------------|
| X,P | EP 1 310 891 A2 (SUGIMOTO) 14 May 2003 (14.05.2003) | 1-24 |
| A | US 6,185,689 B1 (TODD, Sr. et al) 06 February 2001 (06.02.2001) | 1-24 |
| A | US 6,301,668 B1 (GLEICHAUF et al) 09 October 2001 (09.10.2001) | 1-24 |
| A | US 6,374,358 B1 (TOWSEND) 16 April 2002 (16.04.2002) | 1-24 |
| A,P | US 6,535,227 B1 (FOX et al) 18 March 2003 (18.03.2003) | 1-24 |



Further documents are listed in the continuation of Box C.



See patent family annex.

| | |
|---|--|
| * Special categories of cited documents: | |
| "A" document defining the general state of the art which is not considered to be of particular relevance | "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention |
| "E" earlier application or patent published on or after the international filing date | "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone |
| "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) | "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art |
| "O" document referring to an oral disclosure, use, exhibition or other means | |
| "P" document published prior to the international filing date but later than the priority date claimed | "&" document member of the same patent family |

Date of the actual completion of the international search

01 December 2003 (01.12.2003)

Date of mailing of the international search report

15 DEC 2003

Name and mailing address of the ISA/US

Mail Stop PCT, Attn: ISA/US
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Facsimile No. (703)305-3230

Authorized officer

Ayaz Sheikh

Telephone No. 703-305-9648

Peggy Hancock