

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
7 March 2002 (07.03.2002)

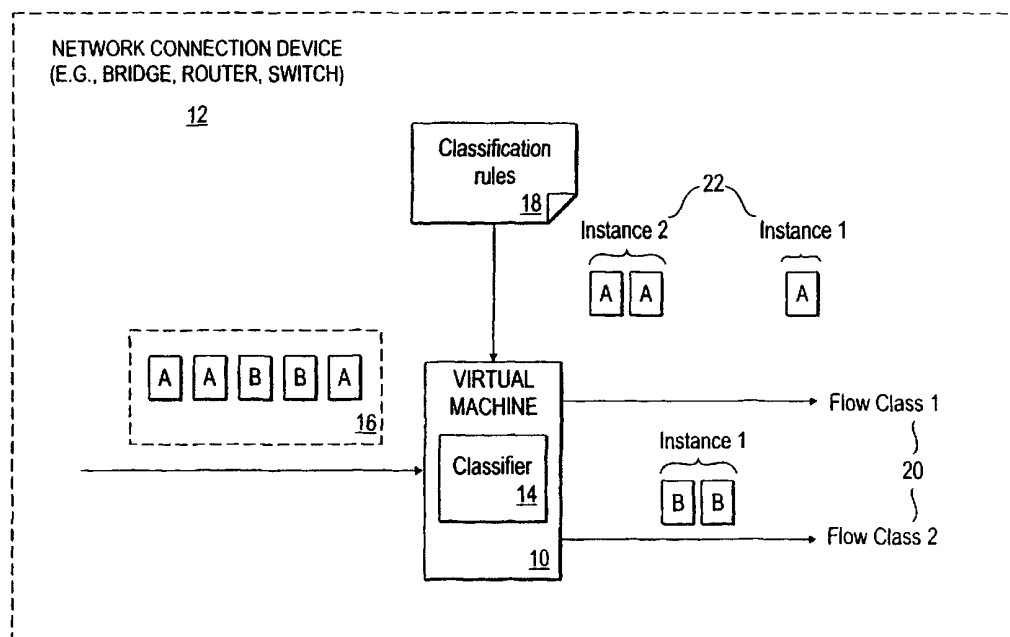
PCT

(10) International Publication Number  
**WO 02/19062 A3**

- (51) International Patent Classification<sup>7</sup>: **H04L 12/16** (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, NO, NZ, PH, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.
- (21) International Application Number: PCT/US01/27250
- (22) International Filing Date: 31 August 2001 (31.08.2001)
- (25) Filing Language: English
- (26) Publication Language: English
- (30) Priority Data:  
60/230,532 1 September 2000 (01.09.2000) US
- (71) Applicant (*for all designated States except US*): **TUT SYSTEMS, INC.** [US/US]: 5964 West Los Positas Boulevard, Pleasanton, CA 94588 (US).
- (72) Inventor; and
- (75) Inventor/Applicant (*for US only*): **MOIR, Ian** [GB/GB]; Quince House, Beckfords, Upper Basildon RG8 8PB (GB).
- (74) Agents: **BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP** et al.; 7th Floor, 12400 Wilshire Boulevard, Los Angeles, CA 90025 (US).
- (84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).
- Published:  
— with international search report
- (88) Date of publication of the international search report:  
30 May 2002

[Continued on next page]

(54) Title: A METHOD AND SYSTEM TO IMPLEMENT POLICY-BASED NETWORK TRAFFIC MANAGEMENT



(57) Abstract: A method to implement policy-based network traffic management includes receiving data (16) pertaining to a network device at a network traffic manager (10), the first data (A) being received out-of-band of network traffic. Second data (B) is extracted from the network traffic. A network traffic management policy (18) is implemented at the network traffic manager utilizing the first and second data.



---

*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.*

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US01/27250

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : H04L 12/16

US CL : 370/395

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. : 370/414, 395, 450, 235; 709/226, 224

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)  
East

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category *          | Citation of document, with indication, where appropriate, of the relevant passages           | Relevant to claim No.                                                                                         |
|---------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------|
| X, E<br>---<br>Y, E | US 2001/0026553 A1 (GALLANT et al.) 04 October, 2001 (04.10.2001), figure 4A, 9-15B, page 12 | 1-6, 11, 13, 14, 17,<br>18, 22, 24, 25, 26-32,<br>36, 38, 39, 42, 43, 47,<br>49, 50<br>-----<br>10, 35, 51-52 |
| Y, P                | US 6,154,776 A (MARTIN) 28 November 2000 (28.11.2000), figures 1, 2, and 5                   | 51-52                                                                                                         |
| Y                   | US 6,094,435 A (HOFFMAN et al.) 25 July 2000 (25.07.2000), figure 4                          | 10, 35                                                                                                        |
| A                   | US 6,047,322 A (VAID et al.) 04 April 2000 (04.04.2000), all                                 | 4, 29                                                                                                         |
| A                   | US 5,982,780 A (BOHM et al.) 09 November 1999 (09.11.1999), all                              | 4, 29                                                                                                         |

☐ 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                                                                     |
| "I" 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

18 October 2001 (18.10.2001)

Date of mailing of the international search report

01 MAR 2002

Name and mailing address of the ISA/US

Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Facsimile No. (703)305-3230

Authorized officer

Hassan Kizou

Telephone No. 703/306-0377