

(19) World Intellectual Property Organization
International Bureau



(43) International Publication Date
26 October 2006 (26.10.2006)

PCT

(10) International Publication Number
WO 2006/113751 A3

(51) International Patent Classification:

G07C 13/00 (2006.01)

(21) International Application Number:

PCT/US2006/014621

(22) International Filing Date: 19 April 2006 (19.04.2006)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:

60/672,901 19 April 2005 (19.04.2005) US

11/406,037 18 April 2006 (18.04.2006) US

(71) Applicant: **SWINGVOTE, LLC** [US/US]; 950 Easr Paces Ferry Road, Suite 2175, Atlanta, Georgia 30326 (US).

(72) Inventor: **FAULK, Anne O.**; 63 W. Wieuca Road #8, Atlanta, Georgia 30342 (US).

(74) Agent: **TIMAR, John J.**; WOMBLE CARLYLE SANDRIDGE & RICE, PLLC, P.O.Box 7037, Atlanta, Georgia 30357-0037 (US).

(81) Designated States (unless otherwise indicated, for every kind of national protection available): AE, AG, AL, AM,

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

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

Declaration under Rule 4.17:

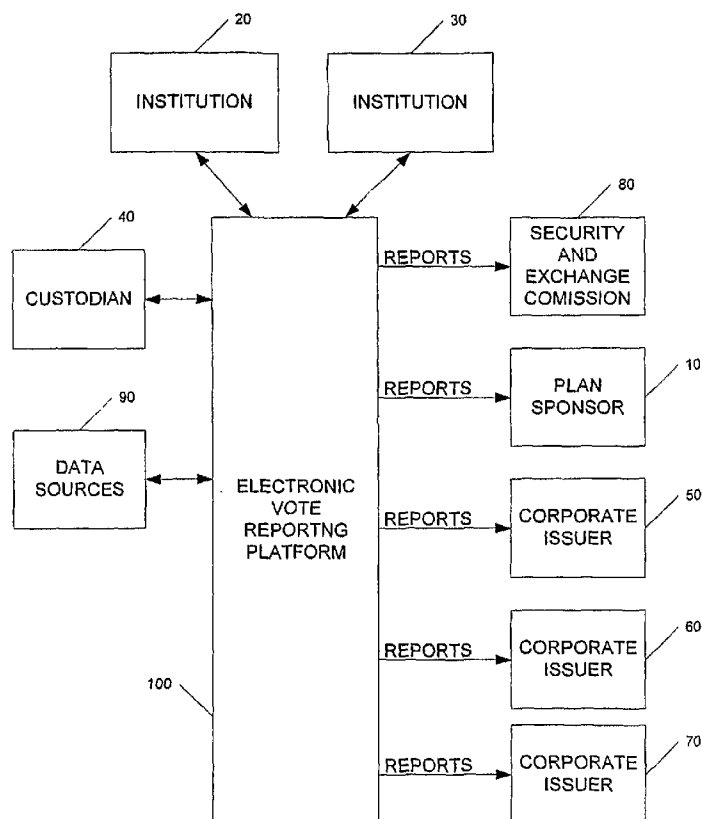
— as to applicant's entitlement to apply for and be granted a patent (Rule 4.17(ii))

Published:

— with international search report

[Continued on next page]

(54) Title: ELECTRONIC REPORTING OF INSTITUTIONAL VOTES



(57) Abstract: A method, system and program product for the electronic delivery of reports of institutional votes affecting corporate governance to an institutional account holder, also referred to as a plan sponsor. An electronic template is provided to each institutional manager to declare a proxy voting position on each issue that can appear on a corporate proxy ballot. Subsequently, each institutional manager is presented with an electronic proxy ballot for each position in the corporation's stock. Each institutional manager is enabled to vote proxies using an electronic vote reporting platform. A plurality of voting results from the votes of the institutional managers is aggregated by the electronic vote reporting platform. An electronically-generated report for the aggregated voting results is then provided to the institutional account holder. A separate electronically-generated report for the voting results for each institutional manager over a selected period of time can also be provided to the institutional account holder. The electronically-generated reports can include a summary and/or detailed voting records across all managers or for each institutional manager over selected time periods. The user interface associated with the electronic vote reporting platform enables the plan sponsor to customize certain displays of voting results.



(88) Date of publication of the international search report:

15 November 2007

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/US 06/14621

A. CLASSIFICATION OF SUBJECT MATTER

USPC: 235/386

IPC(8): G07C 13/00 (2007.01)

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)

USPC: 235/386

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

USPC: 235/51, 386; 705/1, 50

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

PUB WEST (USPT, PGPB, EPAB, JPAB); Google Scholar

Search Terms Used: corporate, proxy, reporting, governance, vote, ballot, stock, share, manager

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 5,671,358 A (Debe et al.) 23 September 1997 (23.09.1997), col. 7, ln 24 - col. 13, ln 32.	1-22
Y	US 2005/0067493 A1 (Urken) 31 March 2005 (31.03.2005), para [0070]-[0198].	1-22
A	US 2005/0061881 A1 (Clancey) 24 March 2005 (24.03.2005).	1-22
A	US 2004/0117244 A1 (Scott) 17 June 2004 (17.06.2004).	1-22

☐ Further documents are listed in the continuation of Box C.

* Special categories of cited documents:

"A" document defining the general state of the art which is not considered to be of particular relevance

"E" earlier application or patent but published on or after the international filing date

"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)

"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

"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

"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

"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

"&" document member of the same patent family

Date of the actual completion of the international search

07 June 2007 (07.06.2007)

Date of mailing of the international search report

23 AUG 2007

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. 571-273-3201

Authorized officer:

Lee W. Young

PCT Helpdesk: 571-272-4300

PCT OSP: 571-272-7774