17/30

(21) International Application Number: PCT/US2004/014773

(22) International Filing Date: 12 May 2004 (12.05.2004)

(25) Filing Language: English

(26) Priority Language: English

(30) Priority Data:
60/469,842 13 May 2003 (13.05.2003) US


(72) Inventors and
(75) Inventors/Applicants (for US only): KIRKLAND, Dale

[US/US]; 2904 Egret Court, North Port, FL 34287 (US).


(54) Title: IDENTIFYING VIOLATIVE BEHAVIOR IN A MARKET

(57) Abstract: Systems and methods consistent with the invention for monitoring a market for a predetermined behavior by a market participant (a) receive textual information from a source (51), (b) extract targeted information from the received information, storing the extracted information in an organized form in a database (110), (c) compute summary and profile information describing the activity on an issue in the market (220 & 210), storing the summary and profile information in the database (220 & 110), (d) solve a selected equation using targeted information stored in the database relating to the market participant to produce a solution representing a probability that the predetermined behavior has occurred (310), and (e) adjusting the probability that the behavior has occurred based on the application of one or more expert rules (600) to the targeted information.
PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, 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, IT, LU, 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).

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

(88) Date of publication of the international search report: 1 September 2005

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

A. CLASSIFICATION OF SUBJECT MATTER
   IPC(7) : G06F 17/00; G06F 17/30
   US CL : 705/10, 35, 36, 37, 38; 707/104.1
   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.: 705/10, 35, 36, 37, 38; 707/104.1

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)
   Please See Continuation Sheet

C. DOCUMENTS CONSIDERED TO BE RELEVANT

<table>
<thead>
<tr>
<th>Category</th>
<th>Citation of document, with indication, where appropriate, of the relevant passages</th>
<th>Relevant to claim No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>US 2003/0069834 A1 (CULTER) 10 April 2003 (10.04.2003), page 4, [0052]–page 8 [0089], page 9 [0098]–page 14 [0143], page 15 [0153], page 17, [0172]–page 20 [0205].</td>
<td>1-26</td>
</tr>
</tbody>
</table>

☐ 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
   "E" earlier application or patent 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
   "A" document member of the same patent family

Date of the actual completion of the international search
28 May 2005 (28.05.2005)

Date of mailing of the international search report
7 JUL 2005

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
Ella Colbert

Telephone No. 571-272-6741

Form PCT/ISA/210 (second sheet) (January 2004)
Continuation of B. FIELDS SEARCHED Item 3:
WEST
Search terms: monitoring, behavior, characteristics, market, trading, database, organize, summary, profile, market surveillance, theta equation, edgar filing, research report, fraud, insider, decline, rapid.