

# (19) United States (12) Reissued Patent Pensak et al.

# (10) Patent Number: US RE41,186 E (45) Date of Reissued Patent: \*Mar. 30, 2010

- (54) METHOD OF ENCRYPTING INFORMATION FOR REMOTE ACCESS WHILE MAINTAINING ACCESS CONTROL
- (75) Inventors: David A. Pensak, Wilmington, DE (US);
   John J. Cristy, Landenberg, PA (US);
   Steven J. Singles, Landenberg, PA (US)
- (73) Assignee: EMC Corporation, Hopkinton, MA (US)

5,058,164	Α	*	10/1991	Elmer et al.		
5,098,124	А		3/1992	Breed et al.		
5,263,157	А	*	11/1993	Janis		
5,349,893	А		9/1994	Dunn		
5,356,177	А		10/1994	Weller		
5,410,598	А	*	4/1995	Shear		
5,410,602	А	*	4/1995	Finkelstein et al.	•••••	380/281
5,432,849	А	*	7/1995	Johnson et al.		
5,438,508	А	*	8/1995	Wyman		
5,440,631	А	*	8/1995	Akiyama et al.		
5,509,070	Α	*	4/1996	Schull		

(\*) Notice: This patent is subject to a terminal disclaimer.

(21) Appl. No.: 10/936,829

(22) Filed: Sep. 9, 2004

#### **Related U.S. Patent Documents**

Reissue of:

(64)	Patent No.:	6,449,721
	Issued:	Sep. 10, 2002
	Appl. No.:	09/985,096
	Filed:	Nov. 1, 2001

#### U.S. Applications:

(62) Division of application No. 09/906,811, filed on Jul. 18, 2001, now Pat. No. 6,339,825, which is a division of application No. 09/321,839, filed on May 28, 1999, now Pat. No. 6,289,450.

#### (51) **Int. Cl.**

#### (Continued)

Primary Examiner—Kambiz Zand
Assistant Examiner—Farid Homayounmehr
(74) Attorney, Agent, or Firm—Steptoe & Johnson LLP

(57) **ABSTRACT** 

#### The invention provides for encrypting electronic information such as a document so that only users with permission may access the document in decrypted form. The process of encrypting the information includes selecting a set of policies as to who may access the information and under what conditions. A remote server stores a unique identifier for the information and associates an encryption/decryption key

cies as to who may access the information and under what conditions. A remote server stores a unique identifier for the information and associates an encryption/decryption key pair and access policies with the information. Software components residing on the author's computer retrieve the encryption key from the remote server, encrypt the information, and store the encrypted information at a location chosen by the author. A user wishing to access the information acquires the encrypted information electronically. Software components residing on the viewing user's computer retrieve the associated decryption key and policies, decrypt the information to the extent authorized by the policies, and immediately delete the decryption key from the viewing user's computer upon decrypting the information and rendering the clear text to the viewing user's computer screen. The software components are also capable of prohibiting functional operations by the viewing user's computer while the clear text is being viewed.

*H04L 9/32* (2006.01)

(56) **References Cited** 

#### U.S. PATENT DOCUMENTS

4,605,820	Α	*	8/1986	Campbell, Jr.
4,803,108	А		2/1989	Leuchten et al.
4,937,863	А	*	6/1990	Robert et al.

#### 11 Claims, 2 Drawing Sheets



# **US RE41,186 E** Page 2

#### U.S. PATENT DOCUMENTS

5,673,316 A	*	9/1997	Auerbach et al.	
5,689,560 A	*	11/1997	Cooper et al.	
5,708,709 A	*	1/1998	Rose	
5,727,065 A	*	3/1998	Dillon	
5,754,646 A	*	5/1998	Williams et al.	
5,765,152 A	*	6/1998	Erickson 707/9	
5,796,825 A	*	8/1998	McDonnal et al.	
5,809,145 A	*	9/1998	Slik et al.	
5,818,936 A	*	10/1998	Mashayekhi	
5,822,524 A		10/1998	Chen et al.	

6,002,772 A	*	12/1999	Saito 705/58
6,064,736 A		5/2000	Davis et al.
6,182,220 B	1	1/2001	Chen et al.
6,245,408 B	1	6/2001	Bitzer
6,289,450 B	1 *	9/2001	Pensak et al 713/167
6,308,256 B	1	10/2001	Folmsbee
6,339,825 B	2 *	1/2002	Pensak et al 713/158
6,401,204 B	1 *	6/2002	Euchner et al 713/169
6,449,721 B	1 *	9/2002	Pensak et al 713/171
6,499,106 B	1	12/2002	Yaegashi et al.
6,547,280 B	1	4/2003	Ashmead
6,658,566 B	1 *	12/2003	Hazard 713/172

5,883,955	A	*	3/1999	Ronning
5,892,900	A	*	4/1999	Ginter et al 726/26
5,933,498	A	*	8/1999	Schneck et al 705/54
5,956,034	A	*	9/1999	Sachs et al
5,978,475	A	*	11/1999	Schneier et al 713/177
5,997,077	A		12/1999	Siebels et al.

6,682,128 B2	1/2004	Carroll et al.
6,711,553 B1	3/2004	Deng et al.
6,732,106 B2	5/2004	Okamoto et al.
2001/0055396 A1	12/2001	Jevans

\* cited by examiner

### **U.S. Patent** Mar. 30, 2010 Sheet 1 of 2 US RE41,186 E







### **U.S. Patent** Mar. 30, 2010 Sheet 2 of 2 US RE41,186 E



Ŋ 6

#### METHOD OF ENCRYPTING INFORMATION FOR REMOTE ACCESS WHILE MAINTAINING ACCESS CONTROL

Matter enclosed in heavy brackets [] appears in the 5 original patent but forms no part of this reissue specification; matter printed in italics indicates the additions made by reissue.

This application is a division of U.S. patent application Ser. No. 09/906,811, filed Jul. 18, 2001, which is a division 10 of U.S. patent application Ser. No. 09/321,839, filed May 28, 1999, now U.S. Pat. No. 6,289,450.

This application is a reissue of application Ser. No. 09/985,096, filed on Nov. 1, 2001, now U.S. Pat. No. 6,449, 721, which application is a division of application Ser. No. 15 09/906,811, filed on Jul. 18, 2001, now U.S. Pat. No. 6,339, 825, which is a division of application Ser. No. 09/321,839, filed on May 28, 1999, now U.S. Pat. No. 6,289,450.

These and other objects will become apparent from the figures and written description contained herein.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Preferred embodiment(s) of the invention will be discussed below with reference to attached drawings in which:

FIG. 1 is a block diagram illustrating a system configuration of an authoring tool, a viewing tool, and a remote server of the electronic encryption system.

FIG. 2 is a block diagram illustrating a detailed system configuration and functions associated with each component of the electronic encryption system.

#### BACKGROUND

This invention relates to an electronic security system for electronic objects such as documents, video and audio clips and other objects that can be transmitted via a network.

Electronic security systems have been proposed for man- 25 aging access to electronic information and electronic documents so that only authorized users may open protected information and documents. Several software tools have been developed to work with particular document readers such as Adobe Acrobat Exchange and Adobe Acrobat 30 Reader.

A need still exists for improved systems for providing access to encrypted information by authorized users and which prevent unauthorized users from gaining access to the encrypted information. The present invention allows the 35 authoring user or other controlling party to maintain access control over the electronic information.

#### DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT(S)

Referring now to the Figures wherein like reference numerals indicate like elements, in FIG. 1, the system of the preferred embodiment can be broken down conceptually into three functional components: an authoring tool 102, a viewing tool 104, and a remote server 106. For convenience, the embodiments described herein are described with respect to a document in Adobe Acrobat Exchange, but other embodiments using other base software packages are possible. Other types of electronic information, as determined by the base software package chosen, can be encrypted using the present invention.

The authoring tool 102 allows an authoring user 108 to convert a text document 110 to unreadable form 112 using a strong encryption algorithm and an encryption key, or set of encryption keys, provided by the remote server 106. The authoring tool 102 also registers the electronic document or information with the remote server 106 and associates a set of access policies with the encryption key so that only selected viewing users 116 under selected circumstances may view the document in clear text. The document or information may also be broken down into segments using the authoring tool 102, so that certain segments within a document may have different access policies. For example, a set of users may be allowed to view pages 1–5 of a 10 page document in clear text, while a subset of those users may be allowed to view all 10 pages of the document. The authoring tool 102 also allows the authoring user 108 to block certain functions normally accessible by the viewing user 116. For example, the authoring user 108 may deny a viewing user **116** privileges such as printing and copying of the clear text. The viewing tool 104 allows a viewing user 116 to decrypt the document 112 an authoring user 108 has encrypted, pro-A further object of the present invention is to provide an  $_{50}$  vided the authoring user 108 has associated an access policy with the decryption key which grants access to the clear text to the viewing user 116. The viewing tool 104 retrieves the decryption key 118 associated with the document segment 112 from the remote server 106, decrypts the document into electronic encryption/decryption system and method in 55 clear text, renders the document segment, and destroys the decryption key and the clear text version of the document segment. The viewing tool 104 prevents the saving of the decryption key or the clear text version of the document. The viewing tool 104 also blocks the viewing user's machine from performing certain functions, such as printing or copying, as directed by the authoring user 108 during registration of the document **110**.

#### SUMMARY

The preferred embodiment(s) of the invention are summa-40rized here to highlight and introduce some aspects of the present invention. Simplifications and omissions may be made in this summary. Such simplifications and omissions are not intended to limit the scope of the invention.

The object of the present invention is to provide a system and method for encrypting electronic information so that access to the information can be controlled by the author or other controlling party.

electronic encryption/decryption system and method in which a central server maintains control over the electronic encryption and decryption keys.

A further object of the present invention is to provide an which electronic encryption and decryption keys are not retained by an encrypting or decrypting party. A further object of the present invention is to provide a system and method for encrypting electronic information so that access to the information can be dynamically changed  $_{60}$ from a single location without the necessity of collecting or redistributing the encrypted information. A further object of the present invention is to provide an electronic encryption/decryption system and method in which access to electronic information can be permanently 65 revoked by destroying the association of a decryption key to the electronic information.

The secure remote server **106** performs several functions. The remote server 106 generates encryption keys 114 for each document segment, maintains decryption keys 118 for registered encrypted documents 112, authenticates requests for viewing a document segment, grants access to registered

#### 3

documents 112 by providing decryption keys 118 and associated access policies to authorized viewing users 116, and maintains an encrypted secure central database which provides association between registered authoring users, registered documents, associated decryption keys, associated 5 policies for each document, options for each user and document, and associated registered viewing users. The remote server 106 does not store or receive the actual document, either encrypted or unencrypted.

The authoring tool 102 and the viewing tool 104 each use  $10^{-10}$ essentially the same suite of software tools. As shown in FIG. 2, the software tools reside on the authoring and viewing users' computers 222, 224, on a computer readable medium such as on the hard drive of a particular user's *computer*. Registration with the central remote server 206 <sup>15</sup> determines which functions within the suite of software tools are available to a particular user. The software tools include a Configuration Utility 226, an Administrator Utility 228, and an Application Interface 230. In the embodiment using Adobe Acrobat Exchange, the Application Interface is <sup>20</sup> a "Plug-In," which uses SDK and Plug-In Standard Interface. The three software tools run in conjunction with base viewing or playback software 232, such as Adobe Acrobat Exchange, a web browser, a word processor, an audio or video playing application, a custom data processing, or a <sup>25</sup> specialized low-level device driver, such as a hard disk driver, video driver, or audio driver. The base software package 232 will depend on the type of data stream to be encrypted/decrypted. 30

#### 4

for viewing by other users, or viewing registered document registered by other users, must contact the server independently, possibly through a separate human Coordinator 240 or separate network link which can collect payment for the authoring, viewing, and other services, can verify the identity of the user and provide the server with user identification information and user authorization profiles.

The server may be a single server, a set of synchronized servers, or dual servers with a shared database.

#### THE CONFIGURATION UTILITY

The Configuration Utility 226 defines a local user (authoring or viewing) on the user's computer 222, 224. The Configuration Utility 226 establishes the communication parameters for a local user and the remote server 206. For example, the Configuration Utility 226 will query the user to define a local user profile, to include name, password and other identifying information. This local user profile must match the information provided by a user to the Coordinator **240** at the remote server **206**. The Configuration Utility 226 is also responsible for maintaining information regarding the authentication and secure communication method used by the local user, for example, certificate, secret passphrase, smart card, etc. The Configuration Utility 226 maintains information about the local user's secure communication method, for example, the certificate and certification authority for a certificate based secure communication system.

#### THE SECURE REMOTE SERVER

The secure remote server 206 is a server which is remote from an authoring or viewing user 208, 216. The server 206 maintains a database 236 of encryption keys and associated decryption keys for distribution to registered or authorized users. The remote server 206 also maintains a database which associates registered document segments, which are identified by unique segment IDs, with authoring users, user access profiles, document access policies and options, and associated encryption/decryption keys. The remote server 206 does not actually store registered documents or segments, but instead relates identifying information about a document to the associated information. The remote server 206 also tracks and maintains records  $_{45}$ of requests to view documents and to obtain document decryption keys 238. The records may be used to monitor the system for suspicious activity. For example, a single user requesting the decryption key for a document several times during a specific time period might be an indication of suspicious activity. The server can then provide an alert message to a pager, e-mail or fax, thus allowing timely investigation of the activity. The request information may also be used for the purposes of non-repudiation or as a basis for billing in situations where access to the system or access to protected information is being sold.

#### THE ADMINISTRATOR UTILITY

The Administrator Utility 226 is a network client application used by the human Coordinator 240 and other users to control access to documents selected for encryption by defining policies associated with a document. The Administrator Utility 228 is a software program residing on the user's computer 222, 224. The Coordinator 240 or authoring user 208 uses the Administrator Utility 228 to define policies related to a particular user. For example, the Coordinator 240 can use the Administrator Utility **228** to control the functions  $_{40}$  available to a particular authoring user 208, which might depend on the fees paid by the authoring user 208, or the Coordinator **240** can control the amount of access an authoring user 208 can allow to viewing users 216. Other policies that an individual can define using the Administrator Utility 228 are site policies, group policies, and default policies. The Administrator Utility 228 allows the Coordinator 240 or authoring or viewing user 208, 216 to determine what documents have been registered by a particular user by accessing the registered user database 236. The Administrator Utility **228** also allows an authoring user to permanently disable the viewing of documents by deleting the associated decryption key from the server. The Administrator Utility 228 also allows an authoring user 208 to initially define the policies related to his documents and to change the policies 55 after the documents have initially been registered.

All communication between the remote server **206** and a

The Administrator Utility **228** allows a normal authoring user **208** to create, edit, and delete time windows, network specifications and policy templates; view the list of registered documents; and view and edit the policies of documents that are registered. The Administrator Utility **228** allows the Coordinator **240** to create, edit, and delete users and user policies; create, edit, and delete groups of users and group polices; create, edit, and delete document groups and document group policies; define and modify the Site and Default polices; create, edit, and delete document override policies; and view the activity log and set up notification policies

user's computer 222, 224 is encrypted using Secure Socket Layer (SSL) protocols. Once an SSL tunnel has been negotiated between a user's machine 222, 224 and the secure <sub>60</sub> server 206, a session key is negotiated. Thus, communications to and from the secure server 206 and a user's computer 222, 224 are doubly encrypted.

Registration with the remote server **206** of a user or automated system wishing to use the system is done separately 65 from any communication for registering a document or viewing a document. A user wishing to register documents

10

#### 5

#### THE APPLICATION INTERFACE

The Application Interface **230** of the preferred embodiment is a standard "Plug-In" to Adobe Acrobat Exchange using SDK and Plug-In Standard Interface. The Plug-In **230** provides a user screen interface to allow the user to access the particular functions associated with registering and viewing documents and communicating with the server. The Plug-In Screen may be integral to the Adobe User Interface Window or may be a separate window. In the preferred embodiment, the Plug-In **230** modifies the Adobe User Interface Window by adding functional "buttons" such as register, create policies, tag, encrypt, view and decrypt.

The Plug-In 230 allows encryption and decryption of PDF files using encryption keys from the remote server 206. The 15 Plug-In 230 connects to the server 206, authenticates the user to the server, registers documents with the server, selects policies at the server as they have been defined -by the authoring user 208 using the Administrator Utility 228.

## CREATING POLICIES USING THE ADMINISTRATOR

D

Once a user 208, 216 is registered and the Configuration Utility 226 has set up identification and encryption information for the user 208, 216, the user authorized to do so can use the Administrator Utility 228 to create policies associated with a specific document. An authoring user 208 wishing to register a document creates policies to define who, when and how a document may be viewed or otherwise accessed.

The authoring user **208** runs the Administrator Utility **228** which has been installed on his machine **222** and instructs the Administrator Utility **228** to create policies for a document. The Administrator Utility **228** will request the information provided during set up to the Configuration Utility **226** such as username, passphrase, and method of authentication to verify the user's identity. The Administrator Utility **228** will also ask on which server the authoring user **208** wishes to register his document. The Administrator Utility **228** will then establish a connection to the remote server through the Application Interface **230**.

In addition, the Plug-In 230 blocks certain functions at the 20 viewing user's computer 224 that are otherwise available in Adobe Acrobat Exchange. For example, if the authoring user 208 has limited access to a document so that a viewing user 216 is prohibited from printing a viewed document, the Plug-In 230 temporarily disables the print function of Adobe 25 Acrobat Exchange. Among the functions that the Plug-In 230 can disable are print, copy, cut, paste, save, and other functions. Other functions may be disabled or limited as appropriate for the type of file viewed and the access level. The Application Interface 230 is designed in such a way that 30 it does not disclose either the decryption key or the clear text or unencrypted representation of the protected information content in electronic form.

#### THE GRAPHICAL USER INTERFACE

The remote server 206 and the authoring or viewing user's computer 222, 224 communicating with the server 206 will negotiate a standard Secure Socket Layet (SSL) encryption tunnel, as represented in FIG. 2 by reference numerals 1046, 1056.

Once the SSL tunnel is established, the user's computer **222**, **224** and the server **206** negotiate a secondary session key, as represented in FIG. **2** by reference numerals **1048**, **1058**. All subsequent communications is additionally encrypted using 128-bit RC4 and this secondary session key. All communication between the users' computers **222**, **224** and the server **206** is thus doubly encrypted.

Once the doubly encrypted communication link is estab-35 lished between the authoring user's computer 222 and the server 206, the authoring user's computer 222 provides login and authentication information to the server **206**, **1050**. The server 206 authenticates the authoring user's 208 identity and verifies that the authoring user 208 has authority to use 40 the system by checking a database of registered users 236 maintained on the server. The information provided by the authoring user 208 to the Configuration Utility 226 is compared to the information provided by the user to the Coordinator 240 during the independent user registration process 45 1042, 1044. The database 234 contains all of the access controls related to a particular user, so that if a user is only authorized to view documents, he will not be allowed to use the system to register or encrypt documents. After the server 206 authenticates the authoring user 208 and verifies that the authoring user 208 is authorized to register documents, the Administrator Utility 228 allows the authoring use 208 to create policies applicable to a particular viewing user 216, a group of viewing users, or a default policy for all other users. The policies are then communicated to the server 206, 1051. Policies define who may view a document, when, and under what conditions. Policies are created by combining a set of constraints including allowable or denied users and groups, time ranges, and Internet Protocol (IP) addresses. Access to a document by a viewing user 216 is determined by combining the user policy, document policy, as well as possibly the group policy and document group policy. If the Coordinator 240 has created a document override policy for a document, then the override takes precedence over the regular document policy defined by the authoring user. Policies include limiting who may view a document or portion of a document and the time frame during which a user may view the document.

The Graphical User Interface ("GUI")supports standard user interface objects such as push buttons, text input fields, lists, menus, and message boxes. The GUI is controlled by the mouse and keypad. The GUI has multiple windows that allow real time setup of server configuration such as who may register a document, who may view a document, when a document may be viewed and on which host the document key and viewing information resides.

#### INITIAL USER SETUP

A user who wishes to register or to access information must first register and be recognized by the server 206, as represented by reference numeral **1042**, **1044** in FIG. **2**. The user 208, 216 contacts the server 206 independently, possibly through a separate human Coordinator 240 or separate network link which can collect payment for the authoring, viewing and other services; verify the identity of the user; and provide the server with user identification information and user authorization profiles. Once the user 208, 216 is 55 registered with the server 206, the suite of software tools is provided to the user. The user must have installed the base software 230, such as Adobe Acrobat Exchange, on his computer. The user then installs the Application Interface 230 provided by the Coor- 60 dinator 240, as well as the Administrator and Configuration Utilities 228, 226. In one embodiment, upon running the Application Interface 230, the Application Interface 230 will install the Administrator and Configuration Utilities 228, 226 on the user's machine. There is no network activity 65 involved in the installation of the Application Interface 230, Administrator, or Configuration Utilities 228, 226.

#### 7

The Administrator Utility **228** also allows the authoring user **208** to create options. Options specify what functions of the base software **232** are temporarily disabled so that the viewing user **216** is prohibited from accessing them while viewing the document. An option can also enforce a watermark on printing. For example, the authoring user **208** can prohibit a particular viewing user **216** from printing, saving, or copying a particular document or portion of a document. These Options are defined by the authoring user **208** using the Administrator Utility **228**, but the options are enforced 10 by the Application Interface **230**.

#### ENCRYPTING DOCUMENTS AND DATA STREAMS

#### 8

stores the hash with the keys associated with the document. Thus, the document is never transmitted to the server **206**, only the segment IDs and hash.

A pop-up window asks the authoring user **208** where he wishes to store the encrypted document. By default, the encrypted document overwrites the clear text document on the authoring user's machine **222**.

#### VIEWING REPLAYING AND DECRYPTING

A user wishing to view a document must have installed the Configuration Utility 226, Administrator Utility 228, and the Application Interface 230 on his computer 224. The viewing user **216** must be independently registered with the Coordinator 240 as a user. The viewing user 216 must also have installed the base software application 232 for viewing the document, such as Adobe Acrobat Exchange. The viewing user **216** must enter the Configuration Utility **226** and provide user set up information. If the viewing user **216** has not opened the Configuration Utility 226, the Administrator Utility 228 and the Application Interface 230, these programs will automatically be opened once the information to be accessed has been selected, and the system has recognized that the information is encrypted. Once the Configuration Utility 226 has opened, it will request the user to provide information defining both the viewing user 216 and the viewing user's computer 224. If the viewing user 216 is a new user, the viewing user 216 will select a button on the Configuration Utility's interface window indicating that a new user profile needs to be provided. The Configuration Utility 226 will provide a query screen to the user and the user will input identification information, such as a user name. The identification information will be checked against the information provided to the server 206 or Coordinator 240 during the independent user registration process. The Application Interface 230 will check to see if the user is logged onto the remote server 206. If the viewing user 216 has not logged onto the remote server, the Application Interface 230 provides a pop-up window so that the user can log in to the server. An SSL tunnel and session key are negotiated, 1056, 1058. The viewing user's computer 224 provides login and authentication information to the server **206**, **1060**. Once logged into the server **206**, the Application Interface 230 requests access to the document or information 1062 by asking the server 206 for the decryption key for the first segment of the document or information to be accessed. The server **206** uses the segment ID to check the database to find the policies associated with the segment and thus to determine whether the viewing user 216 is authorized to access this segment or the document as a whole.

An authoring user 208 wishing to encrypt a document will  $_{15}$ open the document on his computer 222. The Application Interface 230 must also be loaded before the document or information can be encrypted. In the preferred embodiment, the Plug-In 230 adds menu items to the menu bar in Adobe Acrobat Exchange such as "tag" and "encrypt" "Tag" allows 20 the authoring user 208 to select segments of the document to be encrypted. The authoring user 208 can assign different policies to different tagged segments of a single document, i.e., policies are associated with segments. A segment may consist of any subset of the entire document or the entire 25 document. Once the document has been segmented or "tagged," the authoring user selects "encrypt" from the menu bar. If the authoring user 208 has not already logged into the remote server 206, the Plug-In 230 will force a log in to the remote server 206 through the Administrator Utility 228. A  $_{30}$ log-in screen is provided and the authoring user 208 must log-in to the server 206. The server 206 authenticates the authoring user 208 and verifies that the authoring user 208 is authorized to register documents.

Once the authoring user has been authenticated, the 35

authoring user is asked to associate the overall document with a policy, and this information is communicated to the remote server 1052. This policy becomes the default policy for any portions of the document which are not tagged and associated with a specific policy. The Plug-In 230 assigns a  $_{40}$ unique segment ID for each tagged segment after the authoring user has tagged all segments and has instructed the Plug-In 230 to go ahead with the encryption. The PlugIn 230 transmits the segment IDs to the server 206. The server 206 generates a random encryption key for each segment ID and 45 communicates the encryption key to the authoring user's computer 222, 1054. The server 206 stores the segment ID, the key associated with the particular segment ID, and the policy associated with a particular segment ID in the central database 234, and then transmits the key to the Plug-In 230 50 at the authoring user's computer 222. The Plug-In 230 at the authoring user's computer 222 encrypts the segment, immediately destroys or removes the key from the authoring user's machine 222, and then deletes the clear text for the segment from the Plug-In 230. Thus, key lifetime is very 55 short on the authoring user's machine. The encryption key is never stored on the authoring user's machine where it is accessible, such as the hard disk. The key can even be obfuscated while in the memory of the authoring user's machine. The duration of the key's existence depends on the speed of  $_{60}$ the computer which actually performs the encryption, since the key is destroyed immediately after the encryption. In the preferred embodiment, 128-bit RC4 is used for document and segment encryption. Once all segments have been encrypted, the Plug-In 230 65 produces a hash of the entire document and sends the hash to the server as document identification, 1055. The server 206

If the viewing user **216** is not authorized to access the segment, the viewing user **216** is so informed. If the user **216** is authorized to access the segment, the server **206** sends the decryption key and options for that segment to the Application Interface **230** at the viewing user's computer **224** and the Application Interface **230** decrypts the segment using the decryption key. After decrypting the segment, the Application Interface **230** immediately discards/destroys the key, renders the decrypted version of the segment. When the viewing user moves to a different segment, the process is repeated.

The Application Interface 230 enforces the options which were assigned by the authoring user 230 to the segment viewed by the viewing user 216. For example, if the author-

#### 9

ing user 208 assigned that the viewing user 216 cannot print the clear text document or segment, then the Plug-In 230 disables the print function of Adobe Acrobat Exchange while the clear text document or segment is available to the viewing user 216. Other functions which can be controlled 5 or disabled by the Plug-In 230 are save, copy, paste, and print with watermark. For other base software packages such as audio 230, the functions controlled by the Application Interface 230 could be play, copy, and save unencrypted. Thus, using the options, the viewing user 216 has no ability 10 to permanently acquire the clear text document or data.

#### THE DATABASE

The secure central database 234 resides on the remote server 206. It may be a distributed or shared database resid-15ing on multiple remote servers 206. In the preferred embodiment the database 234 is maintained in Berkley DB software. All records maintained in the central database 234 are encrypted and the database is password protected. The Coordinator 240 controls the database 234 and has access to the  $_{20}$ database 234 using the password. All keys for encryption and decryption are maintained in the database 234. The database 234 provides a structure for associating segment IDs with an associated decryption key, policies for accessing that segment, and options for access- 25 ing that segment. The authoring user 208 may change a policy associated with a segment ID through the Administrator Utility 228 on his computer. The change in policy is communicated to the remote server 206 and the database 234 is updated accordingly. The update policy function allows an 30 authoring user 208 to revoke access to a segment or document by a user or group of users. The authoring user 208 can destroy the decryption key or the association of a decryption key to a segment or document on the database 234 using the Administrator Utility 228. By 35 destroying the decryption key or the association of the decryption key with a Segment or Document, the authoring user 208 destroys the ability to decrypt the information, effectively shredding all copies of the information.

#### 10

defending the decryption key at the user location when the decryption key is resident at the user location;

wherein a processing between and including said receiving the decryption key and said destroying the decryption key occurs with sufficient speed such that the decryption key is only resident at the user location for a moment, and said defending resists capturing of the decryption key during the moment.

2. A method of controlling distribution of a segment of encrypted electronic information, comprising:

receiving, at a user location from a key server, a decryption key for the segment;

immediately decrypting the segment with the decryption key after said receiving; immediately destroying the decryption key after [to] said decrypting; and defending the decryption key at the user location when the decryption key is resident at the user location; wherein said receiving, said immediately decrypting and said immediately destroying only permit the decryption key to be resident at the user location for a brief moment in time, and said defending resists capture of the decryption key during the brief moment in time, such that it is difficult to improperly capture the decryption key at the user location. **3**. A method of controlling distribution of a segment of encrypted electronic information, comprising: attempting to access the segment at a user location; requesting from the user location to the key server a decryption key for the segment;

- receiving, at a user location from a key server, [a] *the* decryption key for the segment;
- decrypting the segment with the decryption key in response to said receiving;

destroying the decryption key in response to said decrypt-

Regular backups of the database **234** are made without <sup>40</sup> shutting down the whole database **234**.

One or more preferred embodiments have been described to illustrate the invention(s). Additions, modifications, and/ or omissions may be made to the preferred embodiment(s) without departing from the scope or spirit of the invention <sup>45</sup> (s). It is the intent that the following claims encompass all such additions, modifications, and/or variations to the fullest extent permitted by law.

What is claimed is:

1. A method of controlling distribution of a segment of <sup>50</sup> encrypted electronic information, comprising:

- receiving, at a user location, a user code and an identification of the segment;
- transmitting the user code and the identification from the user location to a key server; 55
- receiving, at a user location from a key server in response

- ing; and defending the decryption key at the user location when the decryption key is resident at the user location; wherein processing between and including said receiving and said destroying occurs with sufficient speed such that the decryption key is only resident at the user location for a moment, and said defending resists capture of the decryption key during the moment.
- 4. A method of controlling distribution of a segment of encrypted electronic information, comprising: receiving, at a user location from a key server, a decryption key for the segment;
  - immediately decrypting the segment into clear text with the decryption key after said receiving;
    immediately rendering said clear text on a display;
    immediately destroying the decryption key after one of said decrypting and said rendering; and
    defending the decryption key at the user location when the decryption key is resident at the user location;
    wherein said receiving, said immediately decrypting and

to the user code representing a user authorized to view the segment, a decryption key for the segment and at least one access policy associated with the segment; decrypting the segment with the decryption key into clear text in response to said receiving; destroying the decryption key in response to said decrypting; rendering the clear text; 65 limiting access to the clear text consistent with the at least

one access policy; and

said immediately destroying only permit the decryption key to be resident at the user location for a brief moment in time, and said defending resists capture of the decryption key during the brief moment in time, such that it is difficult to improperly capture the decryption key at the user location.

**5**. A method of controlling distribution of a segment of encrypted electronic information, comprising:

attempting to access the segment at a user location, including receiving, at [a] the user location, a user code and an identification of the segment;

20

#### 11

transmitting, *in response to the attempting to access*, the user code and the identification to a server;

receiving, at a user location from a key server, a decryption key for the segment in response to the user code representing a user authorized to view the segment;

decrypting the segment with the decryption key in response to said receiving;

destroying the decryption key in response to said decrypting; and

defending the decryption key at the user location when the decryption key is resident at the user location; wherein a processing between and including said receiving the decryption key and said destroying the decryption key occurs with sufficient speed such that the decryption key is only resident at the user location for a moment, and said defending resists capturing of the decryption key during the moment.

#### 12

**8**. A system for controlling access to a segment of encrypted electronic content, comprising:

a computer readable medium containing instructions designed to operate in conjunction with computer hardware and other computer software to:
attempt to access the segment at a user location;
request from the user location to the key server a decryption key for the segment;
receive, at a user location from a key server, [a] the decryption key for the segment;
decrypt the segment with the decryption key in response to said receiving;
destroy the decryption key in response to said decrypting; and

**6**. A system for controlling access to a segment of encrypted electronic content, comprising:

- a computer readable medium containing instructions designed to operate in conjunction with computer hardware and other computer software to:
  - receive, at a user location, a user code and an identification of the segment;
  - transmit the user code and the identification from the user location to a key server;
  - receive, at a user location from a key server in response to the user code representing a user authorized to view the segment, a decryption key for the segment 30 and at least one access policy associated with the segment;
  - decrypt the segment with the decryption key into clear text in response to said receiving;
  - destroy the decryption key in response to said decrypt- 35

defend the decryption key at the user location when the decryption key is resident at the user location; wherein said instructions require computer processing between and including said receive and said destroy to occur with sufficient speed such that the decryption key is only resident at the user location for a moment, and said defend resists capture of the decryption key during the moment.

9. A system for controlling access to a segment of encrypted electronic content, comprising:

a computer readable medium containing instructions designed to operate in conjunction with computer hardware and other computer software to: receive, at a user location from a key server, a decryption key for the segment;

immediately decrypt the segment into clear text with the decryption key after said receiving; immediately render said clear text on a display; immediately destroy the decryption key in response to one of said decrypting and said rendering; and defend the decryption key at the user location when the decryption key is resident at the user location; wherein the decryption key will only be resident at the user location for a brief moment in time, and said defend resists capture of the decryption key during the brief moment in time, such that it is difficult to improperly capture the decryption key at the user location. 10. A system for controlling access to a segment of encrypted electronic content, comprising: a computer readable medium containing instructions designed to operate in conjunction with computer hardware and other computer software to: [receive] attempt to access the segment at a user *location, including receiving, at a user location, a* user code and an identification of the segment; transmit, in response to the attempt to access, the user code and the identification to a server; receive, at a user location from a key server, a decryption key for the segment in response to the user code representing a user authorized to view the segment; decrypt the segment with the decryption key in response to said receiving;

ing; render the clear text;

limit access to the clear text consistent with the at least one access policy; and

defend the decryption key at the user location when the 40 decryption key is resident at the user location; wherein said instructions require that computer processing between and including said receive the decryption key and said destroy the decryption key occurs with sufficient speed such that the decryption 45 key is only resident at the user location for a moment, and said defend the decryption key resists capture of the decryption key during the moment.

7. A system for controlling access to a segment of encrypted electronic content, comprising: 50

- a computer readable medium containing instructions designed to operate in conjunction with computer hardware and other computer software to:
  - receive, at a user location from a key server, a decryption key for the segment;
  - immediately decrypt the segment with the decryption key after said receiving;

destroy the decryption key in response to said decrypt-

immediately destroy the decryption key after said decrypting; and

defend the decryption key at the user location when the 60 decryption key is resident at the user location;
wherein the decryption key will only be resident at the user location for a brief moment in time, and said defend the key resists capture of the decryption key during the brief moment in time, such that it is difficult to improperly capture the decryption key at the user location.

· · · · · ·

#### ing; and

55

defend the decryption key at the user location when the decryption key is resident at the user location; wherein said instructions require that computer processing between and including said receiving the decryption key and said destroying the decryption key occurs with sufficient speed such that the decryption key is only resident at the user location for a moment, and said defend resists capturing of the decryption key during the moment.

#### 13

11. A system for controlling distribution of a segment of encrypted electronic information, comprising:

means for receiving, at a user location, a user code and an identification of the segment;

means for transmitting the user code and the identifica-<sup>5</sup> tion of the segment from the user location to a key server;

means for receiving, at a user location from a key server in response to the user code representing a user authorized to view the segment, a decryption key for the segment and at least one access policy associated with the segment;

means for decrypting the segment with the decryption key into clear text in response to said receiving; means for destroying the decryption key in response to said decrypting;

#### 14

means for rendering the clear text;

means for limiting access to the clear text consistent with the at least one access policy; and

means for defending the decryption key at the user location when the decryption key is resident at the user location;

wherein a time between operations performed by and including said means for receiving the decryption key and said means for destroying the decryption key occurs with sufficient speed such that the decryption key is only resident at the user location for a moment, and said means for defending resists capturing of the decryption key during the moment.

\* \* \* \* \*