UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,

PLAINTIFF,

: C.A. NO. 98-1232 V.

MICROSOFT CORPORATION,

DEFENDANT.

STATE OF NEW YORK, ET AL.,

PLAINTIFFS,

٧. : C.A. NO. 98-1223

MICROSOFT CORPORATION,

DEFENDANT.

_ _ _ _ _ _ _ _ _ _ _ _ _ _ _ MICROSOFT CORPORATION,

COUNTERCLAIM-PLAINTIFF, :

V.

DENNIS C. VACCO, ET AL.,

COUNTERCLAIM-DEFENDANTS. : JANUARY 13, 1999 ----- WASHINGTON, D.C.

VOLUME 37-B

TRANSCRIBED DEPOSITION EXCERPTS

COURT REPORTER:

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1	PROCEEDINGS
2	(DEPOSITION EXCERPTS OF PHILIP BARRETT.)
3	Q. I'LL JUST ASK YOU: DID YOU ATTEND AN
4	OFFSITE IN THE EARLY PART OF APRIL OF 1994 WHILE
5	YOU WERE AT MICROSOFT?
6	A. YES, I DID.
7	Q. DO YOU RECALL ON OR ABOUT WHEN THIS
8	OFFSITE OCCURRED?
9	A. I DON'T RECALL THE SPECIFIC DATE. IT
10	WAS IN APRIL OF 1994.
11	Q. DO YOU RECALL WHAT WAS THE SUBJECT
12	MATTER THAT WAS DISCUSSED AT THIS OFFSITE?
13	A. YES. IT WAS WHAT WAS MICROSOFT GOING
14	TO DO ABOUT THE INTERNET.
15	Q. WHERE DID THIS OFFSITE TAKE PLACE?
16	A. IN THE SHUMWAY MANSION IN KIRKLAND,
17	WASHINGTON.
18	Q. AND YOU HAD ATTENDED THIS OFFSITE?
19	A. THAT IS CORRECT.
20	Q. STEPPING BACK JUST SO WE HAVE SOME
21	UNDERSTANDING, WHAT IS AN OFFSITE? WHAT DOES
22	THAT REFER TO AT MICROSOFT?
23	A. AN OFFSITE IS A FOCUSEDA VERY LONG
24	FOCUSED SEQUENCE OF MEETINGS WHERE THERE'S A
25	SINGLE SUBJECT OR A SINGLE TOPIC AREA, IF YOU

WILL, AND THE APPROPRIATE PEOPLE FROM WITHIN THE COMPANY--TYPICALLY TECHNOLOGISTS AS WELL AS MARKETING, BUSINESS, AND TECHNOLOGY PEOPLE--GET TOGETHER TO TALK ABOUT THE ISSUES, SUMMARIZE STRATEGY. IT HAS A VERY WIDE RANGING--THERE'S A VERY WIDE RANGE OF USES FOR IT, BUT GENERALLY IT'S TO FOCUS ATTENTION ON AN AREA THAT'S EITHER BEEN UNDERFOCUSED ON OR THE COMPANY OR GROUP IS DOING SOMETHING WRONG OR NEEDS TO RETHINK ITS STRATEGY.

(EXCERPT.)

- Q. WHO WAS IN YOUR BREAKOUT GROUP, IF YOU REMEMBER?
- A. WELL, BILL GATES LED MY BREAKOUT GROUP,
 AND BRAD SILVERBERG WAS THERE. I BELIEVE JOHN
 LUDWIG WAS IN THE GROUP. AND THOSE ARE THE ONLY
 PEOPLE I REMEMBER EXPLICITLY. THERE WERE AROUND
 EIGHT TO TEN, I THINK, TOTAL.
- Q. WHAT WAS DISCUSSED WITHIN YOUR BREAKOUT GROUP?
- A. THE THING THAT I REMEMBER THE MOST

 DISCUSSION ABOUT WAS THE INTERNET SERVICE

 PROVIDERS AND THE NECESSARY PLUMBING--PLUMBING

 BEING THE INFRASTRUCTURE--TO ALLOW LARGE NUMBERS

 OF PEOPLE TO GET ONLINE AND USE THE INTERNET.

1	Q. SO, WHAT WAS IT ABOUT THIS PLUMBING
2	THAT YOU RECALL DISCUSSING?
3	A. HOW TO MAKE IT HAPPEN, HOW TO
4	ENCOURAGEHOW TO ENCOURAGE MORE INTERNET SERVICE
5	PROVIDERS TO EXIST, TO CREATE WAYS TO MAKE IT
6	EASY FOR PEOPLE TO SIGN UP.
7	AT THAT TIME, SIGNING UP TO THE
8	INTERNET WAS ACTUALLY A PRETTY TORTUOUS PROCESS
9	AND REQUIRED ALMOST A PH.D. IN MUMBO-JUMBO.
10	Q. THOSE ARE HARD TO GET.
11	A. I'M SORRY?
12	Q. THOSE ARE HARD TO GET, THOSE PH.D.S IN
13	MUMBO-JUMBO.
14	A. YES.
15	MR. TAYLOR: FREELY AVAILABLE AT LAW
16	SCHOOLS.
17	BY MR. WILSON:
18	Q. WAS THERE ANY DISCUSSION ABOUT WHAT IT
19	WAS THAT MICROSOFT CAN DO TO ADVANCE THIS
20	DISCUSSION OF PLUMBING OR THESE IDEAS OF HOW TO
21	MAKE PLUMBING HAPPEN?
22	MR. O'BRIEN: OBJECTION TO FORM.
23	THE WITNESS: THERE WERE A NUMBER OF
24	DISCUSSIONS THAT FOCUSED ONTHERE WERE
25	DISCUSSIONS OF ACQUIRING ISP'S, OF GAINING ACCES

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TO MORE PLUMBING, EITHER THROUGH DIRECT CONTROL

OR INDIRECT CONTROL. THERE WAS SOME DISCUSSION

OF MAKING SURE THAT THE PROCESSES, THE PRODUCTS

THAT WERE--OR THE CAPABILITIES THAT WERE IN

PROCESS, COME TO COMPLETION TO ALLOW THE CLIENT

SIDE, THE DESKTOP OPERATING SYSTEM, TO BE A BASIS

FOR BEING ABLE TO DIAL INTO INTERNET SERVICE

PROVIDERS.

(EXCERPT)

- Q. THE TERM "INTERNET PROTOCOL," WHAT DOES THAT MEAN TO YOU?
- A. WELL, A PROTOCOL IS JUST AS MUCH IN
 DIPLOMACY AS IN COMPUTERS. IT'S A PRESCRIBED WAY
 OF TWO INDEPENDENT ENTITIES INTERACTING.

IN THE CASE OF COMPUTERS, IT'S A COMMON LANGUAGE THAT TWO COMPUTERS CAN TALK IN ORDER TO EXCHANGE INFORMATION ON BEHALF OF THE USERS OF THE COOPERATING OPERATING SYSTEMS.

Q. WHAT IS IT THAT YOU RECALL AT THE OFFSITE THAT WAS RELATED TO THESE INTERNET PROTOCOLS?

MR. O'BRIEN: OBJECTION TO FORM. VAGUE.

BY MR. WILSON:

Q. DID YOU UNDERSTAND THE QUESTION? CAN

YOU ANSWER THAT QUESTION, OR SHOULD I --

- A. YES, I CAN ANSWER YOUR QUESTION.
- O. THANK YOU.
- A. THERE WAS DISCUSSION OF A PROTOCOL

 CALLED TCP/IP, WHICH STANDS FOR--WELL, IT'S AN

 INTERNET PROTOCOL--THE UNDERLYING INTERNET

 PROTOCOL.

THERE WAS A DISCUSSION OF INSURING THAT
THAT CAPABILITY IS EASY TO INSTALL IN AN
OPERATING SYSTEM AND THAT YOU, YOU KNOW, IT'S A
BEST OF BREED.

THERE WAS ALSO DISCUSSION OF OTHER
PROTOCOLS, INCLUDING SOMETHING CALLED PPP AND
SLIP, WHICH ARE THE DIALUP CONNECTION PROTOCOLS.
SLIP, S-L-I-P, STANDS FOR SUBSCRIBER LINE
INTERFACE PROTOCOL--WAS AN EARLIER FORM, AND THAT
WAS IN THE PROCESS OF BEING SUPPLANTED--

THE WITNESS: AM I GOING TOO FAST FOR YOU?

COURT REPORTER: NO, BUT THANK YOU.

THE WITNESS: --IN THE PROCESS OF BEING SUPPLANTED BY PPP, WHICH STANDS FOR POINT-TO-POINT PROTOCOL. THERE WAS DISCUSSION ABOUT INSURING THAT PPP WAS BROUGHT INTO THE OPERATING SYSTEM IN A TIMELY FASHION, BUT THAT

WAS A SMALL PORTION OF THE DISCUSSION.

BY MR. WILSON:

Q. DO YOU KNOW WHETHER THESE PARTICULAR
PROTOCOLS THAT YOU DESCRIBED WERE BEING DEVELOPED
AT MICROSOFT AT OR AROUND THE TIME OF THIS
OFFSITE?

MR. O'BRIEN: OBJECTION TO FORM.

VAGUE.

THE WITNESS: I'LL ANSWER IT.

YES, ALL OF THOSE IMPLEMENTATIONS OF
THOSE PROTOCOLS WERE BEING DEVELOPED. THE
PROTOCOLS THEMSELVES HAD BEEN DEVELOPED
ELSEWHERE, PARTICULARLY BY STANDARDS, BODIES, OR
GROUPS--AFFILIATED WITH STANDARDS, BODIES. THE
IMPLEMENTATIONS WERE BEING DONE MOSTLY IN THE
WINDOWS NT GROUP.

BY MR. WILSON:

Q. CAN YOU JUST DESCRIBE GENERALLY WHAT IT
IS THAT THE IMPLEMENTATION OF THESE PROTOCOLS
SERVES? I MEAN, YOU HAD DESCRIBED BRINGING IT
INTO THE OPERATING SYSTEM--YOU DESCRIBED SLIP
BEING BROUGHT INTO THE OPERATING SYSTEM.

WHAT SERVICES DID THESE TYPE OF

INTERNET PROTOCOLS SERVE IN THE OPERATING SYSTEM?

MR. O'BRIEN: OBJECTION.

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MISCHARACTERIZES THE TESTIMONY, AND VAGUE.

THE WITNESS: I'LL BE HONEST. I DON'T KNOW HOW TO ANSWER THAT QUESTION.

BY MR. WILSON:

Q. OKAY. WHAT PLANS WERE YOU AWARE OF AT OR AROUND THIS TIME TO INCLUDE INTERNET PROTOCOLS INTO THE NEXT VERSION OF WINDOWS?

MR. O'BRIEN: OBJECTION. FOUNDATION.

THE WITNESS: THE PLANS WERE TO PUT A TCP/IP PACK, THE UNDERLYING THING, AND THEN DIAL UP MODEM SUPPORT, CALLED DIALUP NETWORKING--OFTEN REFERRED TO AS D-U-N, DUN--INTO EITHER WINDOWS 95 OR INTO--I DON'T KNOW IF THEY CALLED IT "SERVICE PACK," BUT THE SUBSEQUENT RELEASE.

BY MR. WILSON:

- Q. DURING THE OFFSITE, WERE THERE DISCUSSIONS RELATED TO WEB BROWSERS?
- A. THAT WASN'T IN MY FOCUS GROUP, SO I DON'T RECALL ANY OF THAT, OBVIOUSLY.

I DO RECALL THAT THERE WAS ANOTHER
GROUP THAT FOCUSED ON THAT, ALTHOUGH I BELIEVE--I
JUST DON'T RECALL WHAT WAS SAID IN GREAT DETAIL.

(EXCERPT.)

Q. WERE THERE DISCUSSIONS ABOUT BUILDING A WEB BROWSER INTO THE NEXT RELEASE OF WINDOWS 95?

YOU

1 MR. O'BRIEN: OBJECTION. FOUNDATION. 2 THE WITNESS: I DO NOT RECALL ANY 3 DISCUSSIONS TAKING PLACE, ALTHOUGH THEY COULD 4 HAVE, BUT I JUST DON'T KNOW. 5 BY MR. WILSON: 6 YOU ATTENDED THE OFFSITE, BUT AS FAR AS Q. 7 YOU KNOW, THERE WEREN'T ANY PLANS MADE TO BUILD A 8 WEB BROWSER INTO WINDOWS 95? 9 MR. O'BRIEN: OBJECTION. 10 MISCHARACTERIZES THE TESTIMONY, AND LEADING. 11 THE WITNESS: WOULD YOU READ BACK THE 12 QUESTION, PLEASE? COURT REPORTER: QUESTION: 13 14 ATTENDED THE OFFSITE, BUT AS FAR AS YOU KNOW, 15 THERE WEREN'T ANY PLANS MADE TO BUILD A WEB 16 BROWSER INTO WINDOWS 95? 17 BY MR. WILSON: 18 Q. ACTUALLY, I CAN JUST TAKE THE LEADING 19 OUT OF THE QUESTION. WHO KNOWS, THIS MIGHT 20 MATTER SOMEDAY. 21 AT THE CONCLUSION OF THE OFFSITE, WERE 22 THERE ANY PLANS MADE TO BUILD A BROWSER INTO 23 WINDOWS 95 AT LEAST THAT YOU'RE AWARE OF? 24 TO MY KNOWLEDGE, NO, THERE WERE NOT. 25 AFTER THE OFFSITE, WHAT DID YOU DO AT Q.

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1	MICROSOFT? DID YOUR JOB POSITION CHANGE?
2	A. YES. I WAS ACTUALLYDURING THE
3	OFFSITE, I WAS ACTUALLY PART OF THE ADVANCED
4	CONSUMER TECHNOLOGY GROUP, AND I WAS IN
5	TRANSITION TO WORK IN THE WINDOWS GROUP. SO,
6	AFTER THAT, I DID TRANSITION INTO THE WINDOWS
7	GROUP TO FOCUS ON INTERNET TECHNOLOGY.
8	(EXCERPT.)
9	Q. DURING THIS APRIL '94 TO OCTOBER '94
LO	TIME FRAME, DID YOU CREATE ANY PLANS FOR
L1	DEVELOPING A BROWSER?
2	A. NO, I DID NOT.
L3	Q. WHAT INSTRUCTIONS FROM YOUR MANAGEMENT
4	DID YOU HAVE WITH RESPECT TO THE DEVELOPMENT OF
.5	THE BROWSER?
۱6	A. TO FIGURE OUT A STRATEGY.
L 7	(EXCERPT.)
18	BY MR. WILSON:
او ا	Q. EARLIER YOU SAID YOU FORMALLY LEFT
20	MICROSOFT IN OCTOBER OF 1994.
21	BY THE TIME THAT YOU HAD LEFT
22	MICROSOFT, DO YOU KNOW WHETHER A WEB BROWSER HAD
23	BEEN BUILT YET?
24	A. NO, I DON'T.
25	Q. WAS A BROWSER BUILT THEN?

1	A. NO.
2	Q. DID YOUR GROUP ACCOMPLISH BUILDING A
3	PROTOTYPE OF A BROWSER?
4	A. NO.
5	Q. WERE THERE ANY PLANS TO BUILD A BROWSER
6	TO BE RELEASED IN THE NEXT VERSION OF WINDOWS?
7	MR. O'BRIEN: OBJECTION TO FORM.
8	THE WITNESS: I KNOW OF NO PLANS IN
9	THAT FORUM.
10	BY MR. WILSON:
11	Q. IN THE POSITION THAT YOU WERE IN, WOULD
12	YOU HAVE BEEN SOMEONE WHO WOULD HAVE KNOWN ABOUT
13	SUCH PLANS?
14	MR. O'BRIEN: OBJECTION TO FORM.
15	THE WITNESS: YES, I WOULD HAVE.
16	BY MR. WILSON:
17	Q. WHY DO YOU THINK YOU WOULD HAVEN'T HAVE
18	BEEN SOMEONE WHO WOULD HAVE KNOWN ABOUT SUCH
19	PLANS?
20	A. BECAUSE THAT WOULD HAVE FALLEN INTO MY
21	AREA OF RESPONSIBILITY.
22	(EXCERPT.)
23	BY MR. WILSON:
24	Q. I'LL SHOW YOU WHAT'S BEEN MARKED
25	GOVERNMENT EXHIBIT 1206. IT IS AN ARTICLE THAT'S

BEEN DOWNLOADED FROM THE INTERNET, ENTITLED
"GATES BROWSER CONCEIVED BEFORE NETSCAPE WAS
BORN." IT APPEARS THAT THIS ARTICLE WAS
ORIGINALLY PUBLISHED AUGUST 16, 1998, IN THE
SEATTLE TIMES.

YOU MAY NOT HAVE SEEN IT IN THIS

PARTICULAR FORM, BUT HAVE YOU SEEN THIS ARTICLE

IN ONE FORM OR ANOTHER BEFORE?

- A. YES, I HAVE. I BELIEVE I'VE SEEN THIS ONE ALSO.
- Q. WERE YOU INTERVIEWED FOR THIS PARTICULAR ARTICLE?
 - A. NO, I WASN'T.
- Q. I'M GOING TO ASK JUST A VERY FEW OUESTIONS ABOUT THIS.

IN THE SECOND PARAGRAPH OF THIS

ARTICLE, THERE'S A REFERENCE HERE, IT SAYS--AND

I'LL JUST READ IT--"IN AN INTERVIEW FRIDAY, GATES

SAID THE DECISION TO DEVELOP A BROWSER WAS MADE

AT AN EXECUTIVE RETREAT ON APRIL 5, 1994, AT THE

HISTORIC SHUMWAY MANSION IN KIRKLAND."

ALL I WANT TO KNOW IS, BASED ON OUR
DISCUSSION AND YOUR RECOLLECTION OF THIS OFFSITE
RETREAT IN EARLY APRIL AT THE SHUMWAY MANSION, IS
THIS AN ACCURATE STATEMENT?

Q. AT THE BOTTOM IT SAYS "FOUR OF FOUR."

THE TOP PARAGRAPH IN THIS DOCUMENT READS, "SOON

AFTER THE SHUMWAY SESSION, PHIL BARRETT, A

WINDOWS EXECUTIVE, WAS ASSIGNED TO BEGIN WORK ON

A BROWSER. BARRETT, WHO TODAY WORKS FOR

REALNETWORKS IN SEATTLE, MADE LITTLE PROGRESS,

HOWEVER, AND THE PROJECT EVENTUALLY WAS

TRANSFERRED TO BEN SLIVKA."

FIRST OF ALL, IS IT FAIR TO ASSUME THAT
THE PHIL BARRETT REFERENCED IN THIS ARTICLE WOULD
BE YOU?

- A. YES.
- Q. AND THE AUTHOR, HOWEVER, DID NOT TALK
 TO YOU ABOUT THIS ARTICLE?
 - A. THAT IS CORRECT.

 (EXCERPT.)
- Q. FOCUSING ON THE REALPLAYER AND THE PLAYERPLUS, DOES REALNETWORKS DISTRIBUTE A VERSION OF THE PLAYER THAT INCLUDES THE PLAYERPLUS FEATURES NOT ACTIVATED?
- A. YES. THE WAY THE PLAYER AND PLAYERPLUS
 ARE RELATED IS BASICALLY THERE'S ONE PLAYER.

 PLAYERPLUS FEATURES ARE ACTIVATED BY A LICENSE
 KEY THAT ONE GETS BY COMING TO OUR WEB SITE AND
 GOING THROUGH A SECURE FORM AND PURCHASING THAT

LICENSE KEY, ALTHOUGH THEY BELIEVE THEY ARE PURCHASING PLAYERPLUS.

- Q. SO, IF A CUSTOMER DOESN'T PURCHASE THIS ACTIVATION KEY, WHAT DOES THE USER HAVE?
- A. THE USER HAS THE STANDARD, WHAT WE CALL "UBIQUITY PLAYER," THE FREE PLAYER.
- Q. BUT AS A TECHNICAL MATTER, DOES THE USER HAVE THE CODE THAT IMPLEMENTS THE PLAYERPLUS FEATURES?
 - A. YES.
- Q. IS IT CORRECT TO SAY THAT EVEN IF A CUSTOMER HAS THE BITS OF CODE THAT MAKE UP THE PLAYERPLUS, IF THE USER DOES NOT HAVE ACCESS TO THE PLAYERPLUS FEATURES, THEN, AS A PRACTICAL MATTER, THE USER DOESN'T HAVE THE PLAYERPLUS PRODUCT?

MR. O'BRIEN: OBJECTION TO FORM AND ESPECIALLY TO THE EXTENT IT CALLS FOR A LEGAL CONCLUSION ABOUT WHAT IS AND WHAT ISN'T A PRODUCT, BUT GO AHEAD.

THE WITNESS: FROM THE USER'S

PERSPECTIVE, WHAT THEY HAVE IS THE STANDARD

PLAYER.

BY MR. WILSON:

Q. BUT NOT PLAYERPLUS?

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Α.	CORRECT.	NOT	PLAYERPLUS.
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- Q. AND THAT'S BECAUSE THEY'RE UNABLE TO ACCESS THE PLAYERPLUS FEATURES?
 - A. THAT IS CORRECT.

 (EXCERPT.)
- Q. OKAY. AND I BELIEVE YOU TESTIFIED THAT
 YOU ACTUALLY LEFT MICROSOFT--CEASED WORKING
 THERE--IN SEPTEMBER OF 1995; IS THAT TRUE?
 - A. THAT'S THE BEST OF MY RECOLLECTION.

 MR. TAYLOR: '95 OR '94?

 BY MR. O'BRIEN:
 - Q. I'M SORRY, IN '94.
- A. THAT'S RIGHT. FOR THE RECORD, I

 BELIEVE THAT MY LAST DAY AT MICROSOFT OCCURRED IN

 SEPTEMBER OF--MY LAST WORKING DAY AT MICROSOFT

 OCCURRED IN SEPTEMBER OF 1994.

(EXCERPT.)

- Q. AND SO THE INTERNET OFFSITE THAT THEY
 HELD IN APRIL 1994 DID NOT, TO YOU, REFLECT A
 SUFFICIENT DEGREE OF INTEREST IN THE INTERNET?
- A. WHAT IT REFLECTED TO ME WAS THAT, WHILE THE CHAIRMAN WAS WILLING TO STAND UP AND SAY THE INTERNET IS IMPORTANT, NOBODY IS WILLING TO PUT ANY RESOURCES BEHIND DOING THE SORTS OF THINGS TO MAKE THE INTERNET HAPPEN. THAT'S WHAT I GOT FROM

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THAT.

2	Q. OKAY. AND WHAT WAS THESTRIKE THAT.
3	WHAT KIND OF RESOURCES WERE BEING PUT
4	INTO THE MICROSOFT NETWORK PROJECT AND THE
5	BLACKBIRD PROJECT?
6	A. I'M NOT PERSONALLY FAMILIAR WITH THE

- STAFFING PLANS AND THAT SORT OF THING, BUT I BELIEVED IT TO BE IN THE, YOU KNOW, NEIGHBORHOOD OF 100 PEOPLE. I THINK IT WAS A PRETTY SIGNIFICANT EFFORT.
- IT WAS SOMETHING THAT--WOULD YOU Ο. CHARACTERIZE IT? -- MICROSOFT TOOK VERY SERIOUSLY?
- Α. CERTAINLY PARTS OF MICROSOFT TOOK THAT VERY SERIOUSLY.

(EXCERPT.)

BY MR. O'BRIEN:

- WHEN YOU LEFT MICROSOFT IN SEPTEMBER OF Q. 1994, ARE YOU AWARE OF ANY EFFORTS THAT HAD BEEN MADE ON A PROJECT CALLED INTERNET SHORTCUTS, EITHER A PROJECT OR A FUNCTIONALITY KNOWN AS INTERNET SHORTCUTS?
- Α. YEAH, I'M AWARE OF SHORTCUTS IN GENERAL. THERE WAS--YEAH, THERE WAS SOME DISCUSSION GOING ON. I THINK THERE MIGHT HAVE BEEN A LITTLE BIT OF WORK DONE ON INTERNET

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SHORTCUTS AT THAT TIME FRAME, LATE SUMMER.