UNITED STATES
PATENT AND TRADEMARK OFFICE



Boardside chat: Recently designated PTAB precedent

Scott Weidenfeller, Vice Chief Administrative Patent Judge Amanda Wieker, Administrative Patent Judge Kevin Cherry, Administrative Patent Judge September 5, 2019



Question/comment submission

To send in questions or comments during the webinar, please email:

PTABBoardsideChat@uspto.gov



Recently designated PTAB precedent

- On May 23, 2019, PTAB held a webinar discussing recently designated precedential and informative decisions.
- For information on these earlier designated decisions, the presentation and video can be accessed at:
 - https://www.uspto.gov/patents-application-process/patent-trialand-appeal-board/procedures/archived-list-previous-ptab



Agenda

- CAFC split decision study
- Decisions issued via the Precedential Opinion Panel (POP)
- Decisions designated as precedential or informative
 - Topic 1: 35 U.S.C. 314(a)
 - Topic 2: 35 U.S.C. 325(d)
 - Topic 3: Deposition Conduct
 - Topic 4: 35 U.S.C. 312(a)(3)
 - Topic 5: 35 U.S.C. 101
- How to find PTAB precedent



CAFC split decision study

Purpose of Study

- Analyzed certain issues that triggered splits at the Federal Circuit and the Patent Trial & Appeal Board ("Board")
- Reviewed how the law has since developed with respect to those issues

PHASE 1: Split Decisions at the Federal Circuit on Appeal from the Board (FY2013-FY2018)



Splits at the CAFC

 The Court of Appeals for the Federal Circuit split on several issues related to PTAB procedure

Some of those issues have since been resolved



Issues in CAFC splits

Applying broadest reasonable interpretation (BRI) claim construction standard

- Arose in <u>Synopsys, Inc. v. Mentor Graphics Corp.</u>, 814 F.3d 1309 (Fed. Cir. 2016) (Newman, J., dissenting); <u>In re Cuozzo Speed Techs., LLC</u>, 793 F.3d 1268 (Fed. Cir. 2015) (Newman, J., dissenting).
- First resolved by the Supreme Court in <u>Cuozzo Speed Techs., LLC v. Lee</u>, 136 S. Ct. 2131 (2016) (holding that the AIA authorizes the Board's application of BRI).
- Ultimately, changed to *Phillips* claim construction standard per the Office's rule change. 83 Fed. Reg. 51,340 (Oct. 11, 2018).

Instituting on only some of the claims challenged in AIA trials

- Arose in <u>SAS Inst., Inc. v. Complementsoft, LLC</u>, 825 F.3d 1341 (Fed. Cir. 2016) (Newman, J., concurring and dissenting in part); <u>Synopsys, Inc. v. Mentor Graphics Corp.</u>, 814 F.3d 1309 (Fed. Cir. 2016) (Newman, J., dissenting).
- Resolved in <u>SAS Institute</u>, Inc. v. lancu, 138 S. Ct. 1348 (2018) (holding that the Board must reach a final decision on all petitioned claims).

Issues in CAFC splits (cont.)

Applying the time bar to petitions filed in response to district court complaints

- Arose at the Federal Circuit in <u>Click-To-Call Techs., LP v. Oracle Corp.</u>, 899 F.3d 1321 (Fed. Cir. 2018) (en banc) (Taranto, J., concurring in part) (Dyk, J., dissenting in part), *cert. granted sub nom*. <u>Dex Media, Inc. v. Click-To-Call Techs., LP</u>, 139 S. Ct. 2742 (2019) (mem.).
- Before the Supreme Court in Dex Media, Inc. v. Click-To-Call Techs., LP, 139 S. Ct. 2742 (2019) (mem.).

Joining otherwise time-barred parties to an IPR

- Arose in <u>Nidec Motor Corp. v. Zhongshan Broad Ocean Motor Co. Ltd.</u>, 868 F.3d 1013 (Fed. Cir. 2017) (en banc) (Dyk, J., concurring).
- Addressed by the Board's Precedential Opinion Panel in <u>Proppant Express Investments</u>, <u>LLC v. Oren Techs.</u>, <u>LLC</u>,
 Case IPR2018-00914 (PTAB Mar. 13, 2019) (Paper 38) (Precedential Opinion Panel decision).
- At issue in <u>Facebook</u>, <u>Inc. v. Windy City Innovations</u>, <u>LLC</u>, No. 2018-1400 (Fed. Cir. argued Aug. 7, 2019).



PHASE 2: Split Decisions at the Patent Trial & Appeal Board (FY2017-FY2018)



Splits at the PTAB in AIA trials

- The PTAB split on issues related to:
 - joinder
 - availability as prior art and
 - discretion to deny

• Some of these issues have since been resolved

Issues in PTAB splits

Joining otherwise time-barred parties to an IPR

- Arose in Fresenius Kabi USA, LLC v. Hospira, Inc., Case IPR2017-01055 (PTAB Sept. 6, 2017) (Paper 10);
 GlobalFoundries U.S. v. Godo Kaisha IP Bridge 1, Case IPR2017-00921 (PTAB Aug. 8, 2017) (Paper 10); Facebook Inc. v. Windy City Innovations, LLC, Case IPR2017-00659 (PTAB July 31, 2017) (Paper 11); GlobalFoundries U.S. v. Godo Kaisha IP Bridge 1, Case IPR2017-00919 (PTAB June 9, 2017) (Paper 12); Valve Corp. v. Ironburg Inventions Ltd., Case IPR2017-00136 (PTAB May 4, 2017) (Paper 12); Stingray Digital Grp. Inc. v. Music Choice, Case IPR2018-00114 (PTAB Mar. 26, 2018) (Paper 15).
- Addressed at the Board in <u>Proppant Express Investments, LLC v. Oren Techs., LLC</u>, Case IPR2018-00914 (PTAB Mar. 13, 2019) (Paper 38) (Precedential Opinion Panel decision).
- Currently, before the Federal Circuit in <u>Facebook, Inc. v. Windy City Innovations, LLC</u>, No. 2018-1400 (Fed. Cir. argued Aug. 7, 2019).



Issues in PTAB splits (cont.)

Availability as prior art

- Arose in Hulu, LLC v. Sound View Innovations, LLC, Case IPR2018-00366 (PTAB July 6, 2018) (Paper 11).
- Currently, before the Board's Precedential Opinion Panel in <u>Hulu, LLC v. Sound View Innovations, LLC</u>, Case IPR2018-01039 (PTAB argued June 18, 2019).

Discretionary denials of follow-on petitions

- Arose in <u>Shenzhen Silver Star Intelligent Tech. Co. v. iRobot Corp.</u>, Case IPR2018-00761 (PTAB Sept. 5, 2018) (Paper 15); <u>Pfizer Inc. v. Biogen, Inc.</u>, Case IPR2018-00285 (PTAB July 9, 2018) (Paper 10); <u>Alere Inc. v. Rembrandt Diagnostics, LP</u>, Case IPR2017-01130 (PTAB Sept. 28, 2017) (Paper 10).
- Addressed at the Board in <u>Valve Corp. v. Elec. Scripting Prods., Inc.</u>, Cases IPR2019-00062, IPR2019-00063, IPR2019-00084 (PTAB Apr. 2, 2019) (Paper 11) (precedential); <u>Gen. Plastic Indus. Co. v. Canon Kabushiki Kaisha</u>, Case IPR2016-01357 (Sept. 6, 2017) (Paper 19) (precedential).



POP decisions and orders

POP decisions and orders

Case/appeal name	Case/appeal number	Topic	Status	Date decided
Proppant Express Invs., LLC v. Oren Techs., LLC	IPR2018-00914, Paper 38	AIA - Joinder - 315(c)	Decided (POP)	3/13/2019
GoPro, Inc. v. 360Heros, Inc.	IPR2018-01754, Paper 23	AIA - 315(b) - Time Bar	Decided (POP)	8/23/2019

Case/appeal Name	Case/appeal number	Topic	Status	Date order issued
Hulu, LLC v. Sound View Innovations, LLC	IPR2018-01039, Paper 15	AIA - Printed Publications	Pending (POP)	4/3/2019



35 U.S.C. 315: Relation to other proceedings or actions

• (b) Patent Owner's Action — An interpartes review may not be instituted if the petition requesting the proceeding is filed more than 1 year after the date on which the petitioner, real party in interest, or privy of the petitioner is served with a complaint alleging infringement of the patent. The time limitation set forth in the preceding sentence shall not apply to a request for joinder under subsection (c).



GoPro, Inc. v. 360Heros, Inc.

IPR2018-01754 (PTAB August 23, 2019) (Paper 38)

- Precedential Opinion Panel (POP) ordered review to address the following issue:
 - Whether the service of a pleading asserting a claim alleging infringement, where the serving party lacks standing to sue or the pleading is otherwise deficient, triggers the 1 year time period for a petitioner to file a petition under 35 U.S.C. § 315(b).
- The POP accepted additional briefing from the parties and amici and held an oral hearing on June 25, 2019. The POP issued a precedential decision on August 23, 2019.



GoPro, Inc. v. 360Heros, Inc.

IPR2018-01754 (PTAB August 23, 2019) (Paper 38)

- The POP concluded:
 - "Served with a complaint alleging infringement" in 35 U.S.C. § 315(b) is plain and unambiguous.
 - The service of a pleading asserting a claim alleging infringement triggers the one-year time period for a petitioner to file a petition under 35 U.S.C. § 315(b), regardless of whether the serving party lacked standing to sue or the pleading was otherwise deficient.



Hulu, LLC v. Sound View Innovations, LLC

IPR2018-01039 (PTAB Apr. 3, 2019) (Paper 15)

- Precedential Opinion Panel (POP) ordered review to address the following issue:
 - What is required for a petitioner to establish that an asserted reference qualifies as "printed publication" at the institution stage?
- Oral hearing held on June 18, 2019



Recent precedential decisions

Recent precedential and informative decisions

Precedential decisions (13)

- AIA RPI 312(a)(2), 315(b) (2)
- AIA RPI 322(a)(2) (1)
- AIA Institution 314(a) (2)
- AIA Institution 314(a), 325(d) (1)
- AIA Institution 325(d) (1)
- AIA MTA 316(d) (2)
- AIA Oral Argument (2)
- AIA Request for Rehearing (1)
- AIA Witness Testimony (1)

Informative decisions (8)

- AIA Institution 312(a)(3) (1)
- AIA Institution 314(a) (2)
- 101 (5)



Recent decisions designated precedential

Case/appeal name	Case/appeal number	Topic	Date issued	Date designated
Proppant Express Invs., LLC v. Oren Techs., LLC	IPR2017-01917, Paper 86	AIA - RPI - 312(a)(2), 315(b)	2/13/2019	4/16/2019
Ventex Co., Ltd v. Columbia Sportswear North America, Inc.	IPR2017-00651, Paper 152	AIA - RPI - 312(a)(2), 315(b)	1/24/2019	4/16/2019
Adello Biologics LLC v. Amgen Inc.	PGR2019-00001, Paper 11	AIA - RPI - 322(a)(2)	2/14/2019	4/16/2019
Valve Corp. v. Elec. Scripting Prods., Inc.	IPR2019-00062, -00063, -00084, Paper 11	AIA - Institution - 314(a)	4/2/2019	5/7/2019
Valve Corp. v. Elec. Scripting Prods., Inc.	IPR2019-00064, -00065, -00085, Paper 10	AIA - Institution - 314(a)	5/1/2019	8/2/2019
NHK Spring Co., Ltd. v. Intri-Plex Techs., Inc.	IPR2018-00752 , Paper 8	AIA - Institution - 314(a), 325(d)	9/12/2018	5/7/2019
Becton, Dickinson and Company v. B. Braun Melsungen AG	IPR2017-01586, Paper 8	AIA - Institution - 325(d)	12/15/2017	8/2/2019
Cisco Systems, Inc. v. Chrimar Systems, Inc.	IPR2018-01511, Paper 11	AIA – Institution 315(a)(1)	1/31/2019	8/29/2019



Recent decisions designated precedential (cont.)

Case/appeal Name	Case/appeal Number	Торіс	Date issued	Date designated
Lectrosonics, Inc. v. Zaxcom, Inc.	IPR2018-01129, -01130, Paper 15	AIA - MTA - 316(d)	2/25/2019	3/7/2019
Amazon.com, Inc. v. Uniloc Luxembourg S.A.	IPR2017-00948, Paper 34	AIA - MTA - 316(d)	1/18/2019	3/18/2019
DePuy Synthes Prods., Inc. v. MEDIDEA, L.L.C.	IPR2018-00315, Paper 29	AIA - Oral Argument	1/23/2019	3/18/2019
K-40 Elecs., LLC v. Escort, Inc.	IPR2013-00203, Paper 34	AIA - Oral Argument	5/21/2014	3/18/2019
Huawei Device Co., Ltd. v. Optis Wireless Tech., LLC	IPR2018-00816, Paper 19	AIA - Request for Rehearing	1/8/2019	4/5/2019
Focal Therapeutics, Inc. v. SenoRx, Inc.	IPR2014-00116, Paper 19	AIA - Depositions	7/21/2014	7/10/2019



35 U.S.C. 315(a)(1): Inter partes review barred by civil action

• An inter partes review may not be instituted if, before the date on which the petition for such a review is filed, the petitioner or real party in interest filed a civil action challenging the validity of a claim of the patent.



Cisco Systems, Inc. v. Chrimar Systems, Inc. IPR2018-01511 (PTAB Jan. 31, 2019) (Paper 11) (Precedential)

- Designated precedential on August 29, 2019.
- Denied institution under 35 U.S.C. § 315(a)(1) after applying Click-to-Call Technologies, LP v. Ingenio, Inc., 899 F.3d 1321 (Fed. Cir. Aug. 16, 2018).
- Determined that § 315(a)(1) bars institution of an inter partes review of a
 patent where Petitioner voluntarily dismissed its earlier civil action challenging
 the validity of that patent. Explained that denial is appropriate because:
 - § 315(a)(1) does not include an exception for a civil action that was dismissed without prejudice and Congress knew how to, but did not provide such an exception.
 - The ordinary meanings of the terms "file" and "civil action" show that the phrase "filed a civil action" in § 315(a)(1) applies to a civil action that was dismissed without prejudice.

35 U.S.C. 314(a): Institution of inter partes review

 Threshold — The Director may not authorize an inter partes review to be instituted unless the Director determines that the information presented in the petition filed under section 311 and any response filed under section 313 shows that there is a reasonable likelihood that the petitioner would prevail with respect to at least 1 of the claims challenged in the petition.



Discretion to institute under § 314(a)

General Plastic Indus. Co. v. Canon Kabushiki Kaisha IPR2016-01357 (PTAB Sept. 6, 2017) (Paper 19) (§ II.B.4.i) (Precedential)

- Non-exhaustive factors (multiple petitions)
 - 1. Whether same petitioner previously filed a petition directed to same claims of same patent;
 - 2. Whether, at time of filing of first petition, petitioner knew of prior art asserted in second petition or should have known of it;
 - 3. Whether, at time of filing of second petition, petitioner already received patent owner's preliminary response to first petition or received Board's decision on whether to institute review in first petition;
 - 4. Length of time that elapsed between time petitioner learned of prior art asserted in second petition and filing of second petition;
 - 5. Whether petitioner provides adequate explanation for time elapsed between filings of multiple petitions directed to same claims of same patent;
 - 6. Finite resources of the Board; and
 - 7. Requirement under § 316(a)(11) to issue a final determination not later than 1 year after date on which Director notices institution of review.



Valve Corporation v. Electronic Scripting Products, Inc.,

IPR2019-00064, -00065, -00085 (PTAB May 1, 2019) (Paper 10) (Precedential)

- Designated precedential on August 2, 2019
- Denied institution under 35 U.S.C. § 314(a), after applying the General Plastic factors
- Determined that the first General Plastic factor ("whether the same petitioner previously filed a petition directed to the same claims of the same patent") applies to Petitioner because Petitioner joined a previously instituted inter partes review proceeding and, therefore, is considered to have previously filed a petition directed to the same claims of the same patent
- Explained that the Board's application of the *General Plastic* factors is not limited to instances in which a single petitioner has filed multiple petitions



35 U.S.C. 325(d): Multiple proceedings

• ... In determining whether to institute or order a proceeding . . . the Director may take into account whether, and reject the petition or request because, the same or substantially the same prior art or arguments previously were presented to the Office.



Becton, Dickinson and Company v. B. Braun Melsungen AG

IPR2017-01586 (PTAB Dec. 15, 2017) (Paper 8) (Precedential as to the first paragraph of Section III.C.5 only; Informative for the rest)

- Designated informative on March 21, 2018
- Designated precedential on August 2, 2019 as to the first paragraph of Section III.C.5 only
- The first paragraph of Section III.C.5, identifies six non-exclusive factors that the Board considers in evaluating whether to exercise discretion, under 35 U.S.C. § 325(d), when a petition includes the same or substantially the same prior art or arguments that previously were presented to the Office, such as:
 - the similarities and material differences between the asserted art and the prior art involved during examination;
 - the cumulative nature of the asserted art and the prior art evaluated during examination;
 - the extent to which the asserted art was evaluated during examination, including whether the prior art was the basis for rejection;
 - the extent of the overlap between the arguments made during examination and the manner in which Petitioner relies on the prior art or Patent Owner distinguishes the prior art;
 - whether Petitioner has pointed out sufficiently how the Examiner erred in its evaluation of the asserted prior art; and
 - the extent to which additional evidence and facts presented in the Petition warrant reconsideration of the prior art or arguments.



Focal Therapeutics, Inc. v. SenoRx, Inc.

IPR2014-00116 (PTAB July 21, 2014) (Paper 19) (Precedential)

- Designated precedential on July 10, 2019
- Clarified the Board's Testimony Guidelines set forth in the Patent Trial Practice Guide at 77 Fed. Reg. 48756, 48772-48773 (Aug. 14, 2012) that provides:
 - Once the cross-examination of a witness has commenced, and until crossexamination of the witness has concluded, counsel offering the witness on direct examination shall not: (a) consult or confer with the witness regarding the substance of the witness' testimony already given, or anticipated to be given, except for the purpose of conferring on whether to assert a privilege against testifying or on how to comply with a Board order; or (b) suggest to the witness the manner in which any questions should be answered.
- Clarified that the prohibition of conferring with the witness ends once crossexamination concludes, and, if relevant, begins again when re-cross commences, and continues until re-cross concludes

Recent informative decisions

Recent decisions designated informative

Case/appeal name	Case/appeal number	Topic	Date issued	Date designated
Adaptics Limited v. Perfect Company	IPR2018-01596, Paper 20	AIA – Grounds – 312(a)(3)	3/6/2019	8/2/2019
Deeper, UAB v. Vexilar, Inc.	IPR2018-01310, Paper 7	AIA - Institution - 314(a)	1/24/2019	4/5/2019
Chevron Oronite Company LLC v. Infineum USA L.P.	IPR2018-00923, Paper 9	AIA - Institution - 314(a)	11/7/2018	4/5/2019
Ex Parte Smith	2018-000064	101	2/1/2019	3/19/2019
Ex Parte Olson	Appeal 2017-006489	101	3/25/2019	7/1/2019
Ex Parte Kimizuka	Appeal 2018-001081	101	5/15/2019	7/1/2019
Ex Parte Savescu	Appeal 2018-003174	101	4/1/2019	7/1/2019
Ex Parte Fautz	Appeal 2019-000106	101	5/15/2019	7/1/2019



35 U.S.C. 312(a): Requirements of Petition

- A petition filed under section 311 may be considered only if –
 - ... (3) the petition identifies, in writing and with particularity, each claim challenged, the grounds on which the challenge to each claim is based, and the evidence that supports the grounds for the challenge to each claim



Adaptics Limited v. Perfect Company

IPR2018-01596 (PTAB Mar. 6, 2019) (Paper 20)

- Designated informative on August 2, 2019
- Denied institution based on 35 U.S.C. § 312(a)(3)
- Determined the Petition lacks particularity in its identification of its asserted challenges that results in voluminous and excessive grounds
- Determined the entire Petition should be denied, weighing the interests of the efficient administration of the Office, the integrity of the patent system, and procedural fairness to Patent Owner

Ex Parte Fautz

Appeal 2019-000106 (PTAB May 15, 2019) (Informative)

- Designated informative on July 1, 2019
- Recited claims are directed to magnetic resonance tomography
- Applied the revised guidance published in the USPTO's January 7, 2019 Memorandum, 2019 Revised Patent Subject Matter Eligibility Guidance
- Concluded that the claims recite a judicial exception, a mathematical concept, but that the claims recite additional elements that integrate the judicial exception into a practical application

Ex Parte Olson

Appeal 2017-006489 (PTAB Mar. 25, 2019) (Informative)

- Designated informative on July 1, 2019
- Recited claims are directed to a catheter navigation system
- Applied the revised guidance published in the USPTO's January 7, 2019 Memorandum, 2019 Revised Patent Subject Matter Eligibility Guidance
- Concluded that the claims recite a judicial exception, a mathematical concept, but that the claims recite additional elements that integrate the judicial exception into a practical application

Ex Parte Kimizuka

Appeal 2018-001081 (PTAB May 15, 2019) (Informative)

- Designated informative on July 1, 2019
- Recited claims are directed to a golf-club fitting method
- Applied the revised guidance published in the USPTO's January 7, 2019 Memorandum, 2019 Revised Patent Subject Matter Eligibility Guidance
- Concluded that the claims recite a judicial exception, a mental process, and determined that the claims do not integrate the exception into a practical application or provide an inventive concept

Ex Parte Savescu

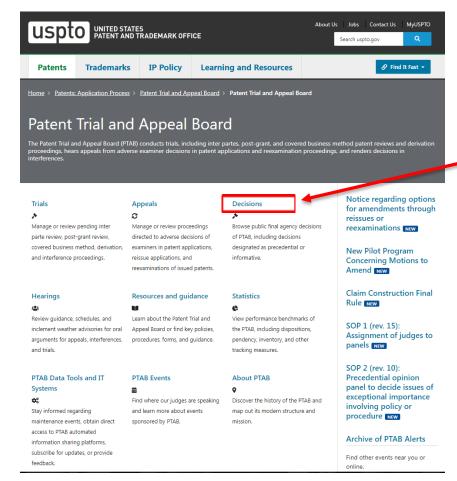
Appeal 2018-003174 (PTAB Apr. 1, 2019) (Informative)

- Designated informative on July 1, 2019
- Recited claims are directed to a life-cycle workflow method
- Applied the revised guidance published in the USPTO's January 7, 2019 Memorandum, 2019 Revised Patent Subject Matter Eligibility Guidance
- Concluded that the claims recite a judicial exception, a method of organizing human activity, and determined that the claims do not integrate the exception into a practical application or provide an inventive concept

How to find PTAB precedent

PTAB webpage on USPTO website

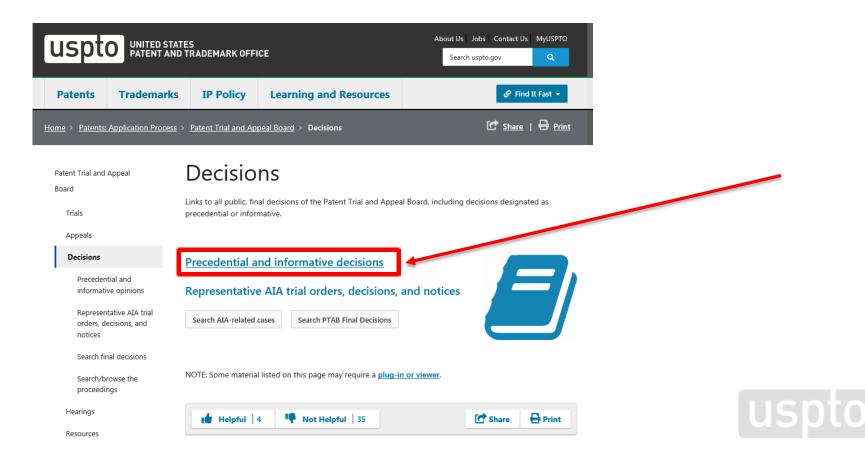
https://www.uspto.gov/patents-application-process/patenttrialandappealboard





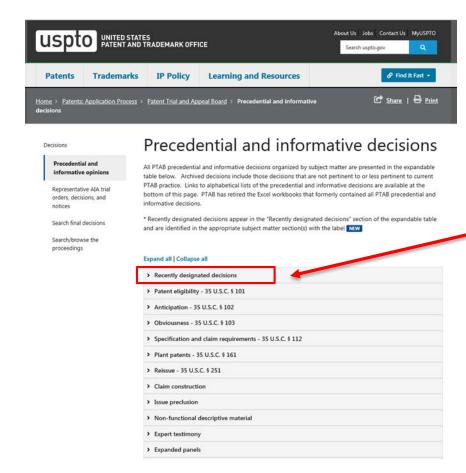
PTAB decisions webpage

https://www.uspto.gov/patents-application-process/patent-trial-and-appeal-board/decisions



Precedential and informative decisions

https://www.uspto.gov/patents-application-process/patent-trial-and-appeal-board/precedential-informative-decisions





Question/comment submission

To send in questions or comments during the webinar, please email:

PTABBoardsideChat@uspto.gov



Thank you



