UNITED STATES PATENT AND TRADEMARK OFFICE BEFORE THE PATENT TRIAL AND APPEAL BOARD ______

Abiomed, Inc., Abiomed R&D, Inc., and Abiomed Europe GmbH *Petitioners*

v.

Maquet Cardiovascular, LLC Patent Owner

Case IPR2017-02151 U.S. Patent No. 9,327,068

PATENT OWNER'S EXHIBIT 2012

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                     UNITED STATES DISTRICT COURT
                       DISTRICT OF MASSACHUSETTS
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   ABIOMED, INC.,
     Plaintiff and
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   Counter-Defendant
                                     ) Civil Action
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   VS.
                                     ) No. 16-10914-FDS
   MAQUET CARDIOVASCULAR LLC,
     Defendant and
   Counter-Claimant
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   VS.
   ABIOMED R&D, INC. and ABIOMED
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   EUROPE GMBH,
     Third-Party Defendants
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    BEFORE: THE HONORABLE F. DENNIS SAYLOR, IV
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                          MOTION HEARING
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           John Joseph Moakley United States Courthouse
                          Courtroom No. 2
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                          1 Courthouse Way
                          Boston, MA 02210
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                          OCTOBER 10, 2017
21
                             2:00 p.m.
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                   Valerie A. O'Hara, FCRR, RPR
                      Official Court Reporter
24
           John Joseph Moakley United States Courthouse
                    1 Courthouse Way, Room 3204
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                          Boston, MA 02210
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	1	PROCEEDINGS
	2	THE CLERK: All rise. Thank you. Please be
	3	seated. Court is now in session in the matter of
	4	Abiomed vs. Maquet Cardiovascular, Civil Action
	5	Number 16-10914.
	6	Would counsel please identify themselves for
	7	the record.
	8	MR. WEINGAERTNER: Good afternoon, your
	9	Honor, Scott Weingaertner of White & Case for plaintiff
02:03PM	10	Abiomed, Inc.
	11	THE COURT: Good afternoon.
	12	MR. MENTZER: Stefan Mentzer from White &
	13	Case for Abiomed.
	14	THE COURT: Good afternoon.
	15	MR. COUNIHAN: Robert Counihan from White &
	16	Case for Abiomed.
	17	THE COURT: Good afternoon.
	18	MR. CONNOR: Good afternoon, your Honor,
	19	Mike Connor from Alston & Bird for the defendant Maquet
02:03PM	20	Cardiovascular.
	21	THE COURT: Good afternoon.
	22	MR. PERRIN: Your Honor, Wade Perrin of
	23	Alston & Bird for Maquet Cardiovascular.
	24	MR. DERDERIAN: And Michael Derderian for
	25	Maquet.

THE COURT: All right. Good afternoon, all. 1 2 All right. This is a motion hearing/conference in this 3 case. I have pending plaintiff's motion for leave to 4 amend the pleadings. Mr. Weingaertner, do you want to be heard on 5 6 that? I have read the pleadings. 7 MR. WEINGAERTNER: Thank you, your Honor. I'll begin, your Honor, with the portion about the 8 9 motion to amend Getinge and save the issue about the declaratory judgment claims for later. 02:04PM 10 THE COURT: All right. 11 12 MR. WEINGAERTNER: Your Honor, this case is 13 about patents that were required by an entity called 14 Getinge, an entity which continues to play a role. THE COURT: Can I deny the motion just 15 16 because it's hard to pronounce? MR. WEINGAERTNER: We struggle with it, your 17 18 Honor, too. I think I've got it right, but please 19 correct me, counsel, if I'm wrong. 02:04PM 20 MR. CONNOR: I think Getinge, yes, your 21 Honor. 22 MR. WEINGAERTNER: All right. Thank you. 23 As if Abiomed wasn't hard enough, your Honor. 24 THE COURT: I'm not a fan of that either, 25 but go on. Or how do you pronounce your client's name,

1 while we're on the topic? 2 MR. CONNOR: Getinge. My client is Maquet. 3 THE COURT: Maquet? 4 MR. CONNOR: Yes. 5 THE COURT: Okay, go on. We struggle with that, 6 MR. WEINGAERTNER: 7 too. So, your Honor, Getinge was really involved in this case, before the case began, it acquired the 8 9 patents originally, did assign them, which is an issue 10 here that Maquet has raised, but it's maintained an 02:05PM active role. 11 12 Abiomed timely moved. We raised this issue 13 with your Honor and prior to that with opposing counsel 14 in January and sought to find a way to get more 15 discovery so we could flesh out or believe that Getinge was exercising substantial rights and otherwise just 16 involved in the case. Amending to add Getinge will not 17 18 change the scope of this case. 19 There's really the same series of 02:05PM 20 transactions and occurrences that are involved. 21 seem to be coordinating closely in our view with Maquet, 22 so there is no risk of affect on timing, no real risk on 23 anything. 24 There has been some discovery. We don't 25 know to the extent to which Getinge has provided

discovery, it's really an open issue, and we believe that because Getinge is playing an active role and is likely to have important documents through its acquisition, documents regarding valuation, documents regarding the business issues, damages surrounding that and so forth, we believe it's important and fair for them to be in the case as a party.

We also raised the issue of standing. It seems to us that there's an exercise of substantial patent rights that would affect standing, but our motion doesn't turn on that, our view rather is that if Getinge is not made a party but turns out to be exercising substantial rights, then we believe the case at some point might be ripe for dismissal under Rule 19, as has happened rarely but has happened from time to time in certain cases, so we simply wanted to note that for the Court.

During the course of the case, some of the examples of Getinge's involvement include the role of an individual who we have learned recently has become the general counsel of Getinge, who seems to be the tip of the spear in terms of the assertion of the patents, was involved with reaching out to our client before this lawsuit began, was involved with another party, and I'll

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hesitate to mention it because we've sealed that portion of the pleadings, your Honor, and I could raise it if your Honor has any questions about it, but there was another effort in which this same individual who participated who appears to be with Getinge, so they appear to be closely intertwined.

I believe Maquet's position is that, well, they really focused on the standing issue, and they say that we can't point to a writing that shows any kind of conveyance of rights back up to Getinge, but we think that's, at a minimum, an open issue. We believe the fact that Getinge is exercising its rights is clearly doing so with the assent and approval of Maquet, whether or not and the extent to which their papers are evidencing that, we still have to find out.

There has been no submission of fact by any declarant attesting to anything in Maquet's papers, and so we believe that's an open issue, and we believe if given full discovery, or at least a certain amount of discovery, more than we've gotten because Getinge is sort of inaccessible to us, that we'd be able to prove that up.

So, in a nutshell, your Honor, that's where we are with respect to Getinge. On the other point -
THE COURT: Why don't we stop there and

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let's deal with this one first. 1 2 MR. CONNOR: Yes, your Honor. 3 THE COURT: Mr. Connor. 4 MR. CONNOR: So as Mr. Weingaertner --THE COURT: Before we -- I think you all can 5 6 see that there's no exclusive licensee here, that 7 whatever the law is for exclusive licensees, we're not talking about that, is that agreed? 8 9 MR. WEINGAERTNER: Your Honor, I think 10 that's correct. 02:08PM THE COURT: Okay. Go ahead. 11 12 MR. CONNOR: Yes, your Honor. The only writings, all of the evidence adduced today, your Honor, 13 14 indicates that all title, full title, is held in these patents by Maquet Cardiovascular, your Honor, there's no 15 evidence to the contrary. There's no contract 16 17 indicating that Getinge has any rights in these patents. 18 It is true that Getinge at one time held 19 rights, and it is true that those rights were conveyed 02:09PM 20 to Maquet prior to the institution of this suit, but the 21 key point is that Mr. Weingaertner's argument that 22 Getinge is somehow involved in the matters here is 23 insufficient as a matter of law, your Honor, to add 24 Getinge as a party to a patent infringement lawsuit 25 under a claim for declaratory judgment.

There has been no action by Getinge that would be sufficient to create a reasonable apprehension of suit at Abiomed, no reasonable apprehension of suit by Getinge. Getinge has done nothing to do that, and if you look at the examples that Mr. Weingaertner alluded to, as mentioned in Abiomed's brief, none of those relate to an assertion of the patent by Getinge.

We have cited cases, your Honor, that indicate that a parent is well within its rights, a parent corporation is well within its rights to oversee the activities of its subsidiary. That's exactly what's going on here, your Honor, with Getinge's relationship with its wholly-owned subsidiary, Maquet, the owner of the patents.

We have cited authorities in the briefing, your Honor, to which no response has been made, in particular, the *Mobile Media* case and the *Google* case that we cited that indicate that the parent has the right to oversee the activities of its subsidiary.

Mr. Weingaertner mentions a desire for discovery, and I would note that they have pursued no discovery through Hague or any other means, your Honor, and that has been discussed at various prior appearances before your Honor, including the status conference back in June.

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1 THE COURT: Is Getinge, a Swedish company, 2 not subject to discovery in this jurisdiction in any way 3 other than through the Hague Convention? 4 MR. CONNOR: I'm not -- are you asking 5 whether they're subject to subpoena or --6 THE COURT: Yes. In other words, I 7 obviously don't know what the company does, you know, for all I know, they have a huge building out on 8 9 Route 128. 02:11PM 10 MR. CONNOR: I don't know any facility in the District of Massachusetts, your Honor. They 11 12 certainly -- there are Getinge facilities in the United States. There are various Getinge entities, but 13 14 the Getinge headquarters are in Sweden, Getinge AB, that is, which I believe is the ultimate parent company. 15 But, in any event, if you look at the 16 authorities that plaintiff has cited, they have cited no 17 authority, your Honor, that indicates that a party may 18 19 assert a declaratory judgment claim against a parent 02:12PM 20 entity based on the assertions of a patent by its subsidiary, there's just no authority to substantiate 21 2.2 that. 23 I have nothing else at this time, your 24 Honor. 25 THE COURT: Okay. Do you want to respond?

MR. WEINGAERTNER: Yes, your Honor, thank you. A couple of points. The issue of title really has more to do with the issue of standing, which we believe is one of the bases for which this Court should assert jurisdiction, but we don't think it's the only one, and on page 11 of Maquet's brief, there's an admission that Getinge has been involved in the bringing of this action.

I also want to make a point about the case law that Mr. Connor mentioned regarding, for example, In Re: Google. I was actually lead counsel in that case, so I know a little bit about it, and that's -- I think it's a distinguished fact pattern. actually -- there was an actual writing.

The Court interpreted it in a way that wasn't in accordance with the way we had, but that's the way it worked out, and the Court said that the actions of the parties didn't override the way the Court had interpreted the agreement. It was Judge White in Northern California on that, your Honor, and you'll see there's been a certain amount of discovery.

We have not had a chance -- we actually issued a 30(b)(6) notice on this at the beginning of September. We were told we couldn't get the witness until the end of October, so we're kind of stuck short

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there. Regarding the Hague, I also have one note about that. We have an office in Sweden, and we have litigators there who advised me that in order -- it's very difficult to get documents.

You have to know exactly what you're asking for in advance, which is a kind of a no end situation for us because we don't know what to ask for, and we were very hesitant to go down that path only to find ourselves caught short because of the lack of specificity that we were hoping to get in advance through 30(b)(6) and through the examination of Mr. Ronai, who we noticed back in May, who we think is a central figure who would know this, and Maquet initially gave us some dates and then changed their mind, and we moved to compel, and Judge Boal has said that she has denied without prejudice to pursue it, our deposition of him, so we've tried a number of ways.

We have some interrogatories that are out there that we don't think we have adequate responses to, so there's open fact questions, and just one last point is we believe that the standard for this is really that it should be liberally granted and that Maquet's position seems to be we need to prove our case before we are allowed to bring it.

They will have ample opportunity if it turns

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out that we are wrong, which we don't think we are, to move to dismiss. We think we'll survive that, but we think it would be wrong to preclude us even from going down that path at this stage, your Honor.

THE COURT: What is your response to the argument that there has to be an instrument in writing under Section 261? In other words, it seems to me that if there is an instrument in writing and it grants, you know, the rights to Maquet, isn't that the end of the story, you know, assuming that no one is perpetrating a fraud on the Court, I mean, that it's a legitimate document, you know, that's what the statute says?

MR. WEINGAERTNER: Your Honor, I don't think that that actually is the end of the story. If it turns out that after discovery and there was -- well, right as we stand here right now, there really is no explanation for under what framework Getinge is actually participating in this case. We haven't seen anything.

There's been no explanation proffered for it, and I would disagree with Mr. Connor's characterization. The supervision of a company, of a subsidiary is one thing, but to specifically take direct action in that case, to appear to be on phone calls asserting rights to be presented to other parties, it seems to us to be a different species of act, which is a

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sort of Rule 20 involvement, you know, they are involved in the case separate and apart from standing.

I think standing is an issue if it turns out they are not joined and needed to be, then there's a real problem with their case, but I don't think standing is necessary for Getinge to be a party. I think they're jointly involved from what we can tell, and I don't think there's been a real denial of Getinge's involvement.

There was a characterization, well, that's just what parent companies do, but it seems to us, if that's the argument, then the corporate form is sort of being ignored to bring this case but is being strictly enforced to deny us discovery, and we don't think that's fair, your Honor.

 $$\operatorname{MR.}$ CONNOR: Your Honor, if I might address that quickly.

THE COURT: Yes.

MR. CONNOR: The Google case that

Mr. Weingaertner mentioned and apparently was involved

in, that is not analogous, your Honor, that's an order

concerning a motion to dismiss. It's not a motion to

bring or motion to amend to bring a declaratory judgment

counterclaim where a party had not taken any affirmative

action to enforce the patents in its own name, your

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Honor. There's no, as I mentioned, no affirmative act by Getinge to assert the patent in the name of Getinge.

Mr. Ronai does perform services for the subsidiary Maquet, but there's no indication that Maquet does not control what happens in this case. Merely that he's involved is not sufficient to include Getinge as a party in a declaratory judgment claim, and I think your Honor is correct that, you know, the writing answers the question, your Honor, as to who has standing to sue for purposes of this case.

THE COURT: All right. Let's talk about the second piece of this now, which I'm struggling to understand what difference it makes, frankly, whether, you know, how this claim is framed, but let me hear from you, Mr. Weingaertner.

MR. WEINGAERTNER: Thank you, your Honor, and I recall your Honor raised this precise issue the last time we met, and we didn't disagree. We think it may be a form over substance issue. It's sort of the way things unfolded.

Maquet sought earlier for leave to amend to add some false advertising claims and then said they want to add the additional patents, and then we said we won't oppose the motion for leave to amend on that, please go ahead and do it.

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Then we answered, but we knew we were going to be moving basically to add our DJ claims to make them symmetrical to the ones that are already pending in the case, and we thought it should be pro forma, it shouldn't really be a big dial and it just would be sorted out, but we thought it might be less confusing for all of the claims to be aligned among all six patents, and Maquet, for reasons I didn't quite understand, but I assume they were for good reasons, said that they wouldn't oppose our motion to amend, and we assumed that by doing that, they would simply be in the case.

There seemed to be no controversy about that, and then if need be, the defenses we had to raise as counterclaims would simply be joined in because they're really the same thing, they're just declaratory judgment claims. So we think it's a real form over substance issue, your Honor, as best we can figure.

THE COURT: Okay.

MR. CONNOR: Your Honor, so I think the situation is that we've already pled, right, our pleading has already been filed some time ago. Of course, we think that the declaratory judgment claim shouldn't be allowed, but if they are allowed, we would have no problem to Abiomed asserting them or pleading

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them in response to our already pled counterclaims, and if we need to file a pleading denying or otherwise responding to the declaratory judgment claims, we would do so, but I think that reflects accurately what has happened here, your Honor, is that we had the patents that were issued, we asked your Honor for leave, your Honor granted leave, and we pled, and if a declaratory judgment claim is to be brought, it should be in response, which is properly what it is.

THE COURT: All right. On the second part, here's what I'm going to do. I can't figure out, frankly, what difference it makes, so I'm going to allow that amendment to that extent because, you know, on the theory that sometimes we have alternative forms of the pleading in the sense, you know, they're inconsistent.

At the end of the day, if this claim somehow winds up being litigated, if it affects the burden of proof, if it affects how it's presented to a jury or something, I may revisit them, I may realign it.

I'm just struggling to understand what difference it makes, so I'm just simply going to allow it because I don't see, at least as I sit here, that it prejudices either side or it helps either side. going to litigate this one way or the other, so to that extent, I'm going to allow it.

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On the motion, the more substantive piece of it, to permit the amendment to add Getinge, the Swedish corporate parent, I'm going to deny that motion without prejudice. As I understand it, the question is whether the parent has substantial rights to the patents.

The statute does provide that any transfer has to be by instrument in writing. It appears, and it has been represented, and I'm expressly relying on the representation that all the rights have been conveyed to Maquet. It appears from the record that this appears to be a relatively commonplace exercise of control by a corporation over its subsidiary, not an assertion of actual patent rights.

In the corporate world, people wear multiple hats all the time, and that's particularly true for things like a general counsel's office, where it's quite difficult for there to be a substantial overlap of the role of general counsel of a parent with the affairs of its subsidiary, and I'd be concerned that if substantial parental involvement in the sub's affairs, such as helping direct negotiations and discuss settlements and so forth, if that were enough to trigger a transfer of substantial rights, it could be a considerable impact in the way corporations handle their affairs, that people would be afraid of crossing the line or getting involved

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for fear of creating this transfer of rights inadvertently.

It doesn't seem to be what the statute requires. I don't see any practical reason for having such a rule. Again, there has to be standing, the proper entity has to own the patents and assert the patents, that has to be in writing, and at least as I see it on the record here before me, it all looks fairly commonplace to me.

I'm not going to permit an amendment to the complaint in order to permit fishing around to see if there's something more going on. Normally to get a license to go fishing, you need a little bit more than that, and I don't see it here.

Now, the denial will be without prejudice. It's possible the evidence will develop differently over time, and, of course, we can revisit it, and, again, I'm expressly relying on representations made by Maquet as to ownership of the patents, and if it turns out that those are not accurate in any way, we'll revisit that in any variety of ways, but in the short term, anyway, the motion to amend to the extent it seeks to add a new defendant of Getinge is denied, it's granted otherwise to permit the declaratory judgment claim, which is almost certainly redundant, but we'll sort out all of

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that later on as may be required.

All right. With that, let me turn to, and I appreciate the letter that the parties sent, which was quite helpful talking about claim construction and kind of where we are from here.

In terms of my preferences on the technology tutorial, I don't really care. These things are expensive. I'll let you present this any way you want to present it. If you think it's better to have some expert show up on autopilot, that's fine, if you think you're a better presenter than your expert because they're too technical, you can have a lawyer do it. It really doesn't matter, whatever you think is the best and most cost-effective way to get this across.

I hope you aren't going to spend an enormous amount of money attempting to get me to understand something, but, again, that's your choice. I don't consider myself unintelligent. On the other hand, sometimes it helps to have things laid out basically, and it's really up to you.

I do tend to like charts, graphs, pictures, visual presentations and so forth, but don't create something to, you know, just because it can convey visually what is not really that difficult to understand, but you asked for my preferences, those are

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my preferences.

Anything else on the tutorial? I will leave it up to you. I guess I will want to know how much time, if it's going to be more than let's say an hour or so per side, we're going to need to know that so we can set aside enough time. I don't know how complex it is, so it's up to you.

In terms of the indefinite issues, it's not at all clear to me what the right way to approach this is, whether it's intertwined with claim construction or not, I'm just not deep enough into the case. I'm not going to constrain you. I guess I'll let you frame the issues how you think they are best framed taking into account efficiency and all of that.

I guess I'll ask only that you have sympathy on the Judge and his law clerks. Don't overburden us necessarily or, you know, try to get two bites at the apple if really only one is called for, but I can't answer the question which is the best way to frame this, I just don't have enough information.

You know, it's, in my experience, often so intertwined with claim construction, it is dealt with at the same time, but this may be different, or it may be different in part.

In terms of narrowing the number of asserted

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claims, I think that is a highly useful exercise. What I'm going to do is to -- you've got a meet and confer coming up, right, is it scheduled in November; is that right?

MR. CONNOR: November 1, your Honor.

THE COURT: November 1. If I get involved in this, it's going to be ham-handed and arbitrary. I can't say what is the right number. I mean, you know, I see the figure that I have to interpret 7,926 words, and it gives me some pause, but I'm sure there's a whole lot of duplication in that. I will leave it up to you to see if you can meet and confer and either agree or narrow this as much as possible.

I ask that you be practical. I know a lot of courts will say, you know, pick the five you really care about or pick the ten or two or six or whatever the number is. Again, I don't know enough about this case to know whether or not that makes sense, all right, so pick the ones you care most about, focus on those, make sure that they're on the list.

Maybe we need -- maybe we can narrow this down, maybe I need to decide, I don't know, but let's -- I would like you to meet and confer, and I'd like to have a clear position, and why don't I set a deadline. How about two weeks after November 1st for

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written submissions to the Court about how you think we ought to proceed, either joint submission if you agree, separate submissions or joint in part, separate in part, and we'll just take it from there.

November 15th. I'll set it for -- do I have another conference in the calendar? I'll put one in the calendar and talk about that. An inter partes' review, I understand that there's nothing for me to do at this point, you're just letting me know where things stand?

MR. CONNOR: Correct, your Honor.

MR. WEINGAERTNER: Sure.

THE COURT: Before I forget the thought, let me put this in the calendar for a further conference. I have some time November 16th on Thursday. What I was going to propose though is to make sure I have had a chance to digest this. How about the Tuesday before Thanksgiving and the parties appear by telephone?

MR. WEINGAERTNER: Sure.

MR. CONNOR: That's fine, your Honor.

THE COURT: 2:00, Tuesday, November 21st, and you don't need to get on airplanes during that Tuesday travel day is just about as bad as Wednesday nowadays, so I'm happy to see your smiling faces, but don't do it unless you absolutely think you need to be here for some reason.

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Why don't we leave it this way, if you do want a substantive hearing, let's move it to a different date, if you think you do need to be here and we need argument and all of that, let's just move it to a different date.

MR. WEINGAERTNER: Thank you, your Honor.

MR. CONNOR: Thank you.

THE COURT: Otherwise Tuesday, November 21st at two.

All right. Is there anything else that we ought to talk about or that you need more guidance such as it is from me about how to proceed going forward?

MR. WEINGAERTNER: Yes, your Honor. My colleague, Robert Counihan, would like to raise a discovery issue.

THE COURT: Yes, Mr. Counihan.

MR. COUNIHAN: Yes, your Honor, thank you.

On Friday, Judge Boal issued an order on some discovery issues, including granting Maquet's motion for us to produce certain documents. We're working through with our client how exactly to do that, and we're working with Maquet on a path forward. It might involve the magistrate as well, but we would just like to ask your Honor if we could have two extra weeks in case we do need to object to the order in the end?

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                        THE COURT: Two weeks to object, in other
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           words, from your normal, whatever it is, 14-day period
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            for objecting?
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                        MR. COUNIHAN: Correct. I believe the
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           objections would be due next Friday. We are just asking
           for two extra weeks so that the process can work itself
            out.
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                        THE COURT: Any problem with that,
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           Mr. Connor?
                        MR. CONNOR: That's okay, your Honor.
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                        THE COURT: Okay. So any objections/appeal
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            to the magistrate judge's order, you'll have an extra
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           two weeks in which to do that.
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                        MR. COUNIHAN: Thank you, your Honor.
                        THE COURT: Anything else?
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                        MR. CONNOR: I have nothing, your Honor.
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                        THE COURT: Thank you, all, and I will see
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           or hear from you in a little more than a month.
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            Thank you.
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                        THE CLERK: All rise.
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                        (Whereupon, the hearing was adjourned at
           2:32 p.m.)
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1	CERTIFICATE
3	INTER CENTER DISTRICT COURT \
	UNITED STATES DISTRICT COURT)
4	DISTRICT OF MASSACHUSETTS) ss.
5	CITY OF BOSTON)
6	
7	I do hereby certify that the foregoing
8	transcript, Pages 1 through 26 inclusive, was recorded
9	by me stenographically at the time and place aforesaid
10	in Civil Action No. 16-10914-FDS, ABIOMED, INC. vs.
11	MAQUET CARDIOVASCULAR, LLC, and thereafter by me reduced
12	to typewriting and is a true and accurate record of the
13	proceedings.
14	Dated October 17, 2017.
15	
16	s/s Valerie A. O'Hara
17	
18	VALERIE A. O'HARA
19	OFFICIAL COURT REPORTER
20	OTTICIAL COOKT KETOKTEK
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