

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

App. No.: 13/563,347

Reexamination No.: 90/014,045

Filed: July 31, 2012

Patent No.: 8,822,148

Patent Issued: September 2, 2014

For: METHOD OF PERFORMING PCR  
REACTION IN CONTINUOUSLY  
FLOWING MICROFLUIDIC PLUGS

Confirmation No.: 3611

Examiner: Gakh, Yelena G.

Art Unit: 1777

Submitted Via Electronic Filing On:

November 29, 2017

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PETITION UNDER 37 CFR §1.181 OR §1.182 TO TERMINATE 10X GENOMICS,  
INC.'S REQUEST FOR *EX PARTE* REEXAMINATION OF U.S. PATENT NO. 8,822,148**

The University of Chicago petitions the Director to terminate 10X Genomics, Inc.’s newly filed request for *ex parte* reexamination of U.S. Patent No. 8,822,148 (the “148 Reexam Request”) pursuant to 37 C.F.R. § 1.181 and/or § 1.182, and 35 U.S.C. § 325(d). In addition to the 148 Reexam Request, 10X has also filed a request for *ex parte* reexamination of U.S. Patent Nos. 8,329,407 (the “407 Reexam Request”) and 8,304,193 (the “193 Reexam Request”), which are the subject of separate but related petitions for termination submitted by the University of Chicago.

Over two years ago, 10X Genomics tried – and failed – to invalidate five patents currently asserted against it in co-pending litigation in the District of Delaware, including the 148, 407, and 193 Patents. These patents are owned by the University of Chicago (the “Ismagilov Patents”) and are related to the field of microfluidics. 10X was unable to develop a threshold showing sufficient to convince the PTAB to institute IPR on four of the five patents (including the 148, 407, and 193 Patents), and for the fifth patent, the Board determined after a full trial and oral hearing that 10X could not demonstrate the patent was invalid.

For its second avenue of prior art attack, 10X submitted declaratory judgment counterclaims in the District of Delaware seeking a declaration that these five patents are invalid over the prior art. Over the next two years, 10X aggressively pursued discovery to support its invalidity challenge and submitted a **1600 page** expert report based on prior art. It continues to pursue its invalidity counterclaims – which include the same prior art theories already rejected by the PTAB. With the trial of its invalidity challenges in the co-pending Delaware litigation just a few months away (April 2018), 10X now attempts to shop these invalidity challenges to a third audience, using a **third** set of proceedings by filing requests for reexamination against the 148, 407, and 193 Patents. However, 10X’s new requests fail to explain why its alleged new grounds

were not included in its IPR petitions two years ago, why 10X waited over two years to raise these challenges via reexamination requests, or why the invalidity counterclaims it is prosecuting are inadequate such that this set of proceedings is warranted. Nor does 10X contend that the art or arguments presented in its new requests were unavailable two years ago, or difficult to find. And while its reexamination requests, shot-gun style, allege **18 new grounds**, it fails to explain how its preferred two of those 18 were insufficient for the PTAB to conclude that IPR proceedings were warranted at all. This indiscriminate serial attack on the validity of the University of Chicago's patents is exactly the kind of abuse Congress had in mind when it granted the Director the power to reject a reexam request under 35 U.S.C. § 325(d) if substantially the same prior art or arguments were previously presented to the Patent Office. Indeed, the Board has previously rejected serial petitions that failed to explain why references were withheld or previously unavailable, noting that in such cases "interests of fairness, economy, and efficiency support declining review – a result that discourages the filing of a first petition that holds back prior art for use in successive attacks, should the first petition be denied." *Conopco, Inc. v. Procter & Gamble Co.*, IPR2014-00682, Paper 21 at 11 (Oct. 20, 2014) [Exhibit A].

10X's request is a wasteful attempt to circumvent the Board's prior rulings by shopping its invalidity theories to a different division of the Patent Office and the Director should therefore exercise his discretion and terminate the 148 Reexam Request.

## **I. CONGRESS GRANTED THE DIRECTOR AUTHORITY TO TERMINATE SERIAL INVALIDITY CHALLENGES**

Congress created *inter partes* review to provide an inexpensive substitute for district court litigation that secures a just and speedy resolution of every proceeding. *See* 37 C.F.R. § 42.1(b).

When the parties' dispute started, 10X declined to file an *ex parte* reexam. There was nothing preventing it from doing so. Instead, 10X elected to file a wave of IPR petitions, preferring the IPR process before the PTAB to the *ex parte* reexam process that it now attempts to invoke. Years later, and after its IPR petitions were adjudged unlikely to succeed, 10X has now filed three reexamination requests based upon substantially the same prior art and arguments as set forth in its failed IPRs. 10X's *ex parte* reexam requests unreasonably multiply the proceedings between the parties and amount to forum shopping. Congress intended post-grant review as a means to save parties time and money and avoid duplicative proceedings. 10X's eleventh hour requests covering prior art and arguments already presented to the Office epitomizes the type of conduct that Congress wanted to discourage.

To prevent this abuse of the system, the Director was given the authority to reject requests for duplicative proceedings under 35 U.S.C. § 325(d). The second sentence of section 325(d) states that “[i]n determining whether to institute or order a proceeding under this chapter, chapter 30, or chapter 31, **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 made were presented to the office.**” 35 U.S.C. § 325(d) (emphasis added). This provision applies to petitions for *inter partes* review *as well as* requests for reexamination. First, *ex parte* reexamination is codified in chapter 30, which section 325(d) explicitly references. *See* 35 U.S.C. § 302 (“Request for reexamination”). Second, the language of the statute plainly states that the Director may “reject the petition *or request*,” distinguishing between petitions for *inter partes* review and requests for *ex parte* reexamination. 35 U.S.C. § 325(d) (emphasis added). The legislative history further emphasizes this intent:

In the second sentence of section 325(d), the present bill also authorizes the Director to reject any request for *ex parte* reexamination or petition for post-

grant review or *inter partes* review on the basis that the same or substantially the same prior art or arguments previously were *presented* to the Office. This will prevent parties from mounting attacks on patents that raise issues that are substantially the same as issues that were already before the Office with respect to the patent.

157 Cong. Rec. S1376 (Statement of Sen. Kyl) (emphasis added). The legislative history further notes that section 325(d) still applies even if a party raises a substantial new question of patentability: “Under section 325(d), second sentence, however, the Office could nevertheless refuse a subsequent request for *ex parte* reexamination with respect to such an issue, *even if it raises a substantial new question of patentability*, because the issue previously was *presented* to the Office in the petition for inter partes or post-grant review.” *Id.* (emphasis added).

Congress intended section 325(d) to serve as a basis for the Director to deny a reexamination request if it raises substantially the same prior art or arguments previously presented to the Patent Office. If *either* substantially the same arguments *or* substantially the same prior art are presented, a petition may be rejected. *See, e.g., Conopco, Inc. v. Procter & Gamble Co.*, IPR2014-00682, Paper 21 at 6 (Oct. 20, 2014) (declining to institute review because the petition raised “substantially the same arguments that were previously presented to the Office” in a rejected petition, despite the later-filed petition raising new prior art) [Exhibit A]; *Agrinomix, LLC v. Mitchell Ellis Products, Inc.*, IPR2017-00525, Paper 6 at 11 (Jun. 14, 2017) (declining to institute review based on a reference that was disclosed during prosecution because the “Examiner relied upon it in rejecting certain claims during prosecution.”) [Exhibit B].

The facts presented here are identical to those Congress contemplated when codifying section 325(d). Congress wanted to avoid the waste of USPTO resources and to protect patent owners when petitioners mount serial attacks at the Patent Office, over time presenting issues

that were previously presented in an IPR, and section 325(d) gives the Director the power to do just that.

## **II. THE 148 REEXAM REQUEST RAISES SUBSTANTAILLY THE SAME ARGUMENTS THAT WERE PREVIOUSLY PRESENTED TO THE OFFICE**

The first independent ground for rejecting the request is that it includes substantially the same arguments as those rejected in 10X's failed IPR petition (and they are also included as support for its district court invalidity counterclaims). The Ismagilov patents, including the 148 Patent, relate to the field of microfluidics, which involves the manipulation of fluids on a tiny scale (i.e., droplets) so that researchers can conduct miniaturized biochemical experiments in a rapid and potentially highly parallelized fashion. Prior to the work of University of Chicago researcher Rustem Ismagilov, microfluidic droplets were only used for basic tasks, such as counting or sorting particles that had been packaged into the droplets. What had not been achieved was the much more useful and ambitious concept of using droplets as tiny chemical microreactors, a possibility that would enable researchers to perform millions of individualized chemical reactions in parallel. This was at most an aspiration until the innovations of Ismagilov made this goal a reality.

The Ismagilov Patents describe these innovations, including numerous exemplary techniques for fabricating microfluidic devices with complex structures, creating droplets, varying the concentrations of reagents in droplets, manipulating (e.g., splitting and merging) droplets, and monitoring and analyzing the composition of droplets so that researchers could, for the first time, use microfluidic droplets as chemical reactors. The Ismagilov Patents demonstrated a range of different chemical reactions and phenomena that, for the first time, could be carried out using microfluidic droplets, including autocatalytic reactions, enzyme kinetics, RNA folding kinetics, synthesis of nanoparticles, and protein crystallization.

Attempting to diminish Ismagilov's innovations, 10X's five unsuccessful IPR petitions each made the same basic argument: Droplet technology and small-scale chemical reaction technology predate the Ismagilov patents, so it would have been obvious to a person of ordinary skill in the art to combine the two. However, despite offering numerous references to argue that each technology predates the Ismagilov patents, each of these five petitions were ultimately unsuccessful because 10X failed to convince the Board that a person of ordinary skill in the art would have had a reasonable expectation of success combining the two technologies.

For example, in its petition for *inter partes* review of the 148 Patent, 10X asserted that claims of the 148 Patent were "obvious over Haff and Quake," two references that 10X offered as an example of small-scale chemical reaction technology and droplet technology, respectively. *10X Genomics, Inc., v. The University of Chicago*, IPR2015-01156, Paper No. 14 at 9 (Nov. 16, 2015) [Exhibit C]. The Board notes that "Quake's devices are designed to compartmentalize ***small droplets of aqueous solution*** within microfluidic channels filled with oil," *id.* at 11 (emphasis added), and also explains that "Haff relates to automated machines for performing amplification reactions for nucleic acids, such as polymerase chain reaction ('PCR')," further adding that "Haff states that ***PCR has been performed in*** disposable reaction tubes such as ***small, plastic microcentrifuge tubes.***" *Id.* at 9-10 (emphasis added). 10X presented Quake as an example of droplet technology and Haff as an example of chemical reactions occurring on a small scale, but as noted before, the Board was not convinced by 10X's oversimplification of Ismagilov's innovations. After considering 10X's arguments, the Board determined that 10X had "not explained why a person of ordinary skill in the art would have had a reasonable expectation of success combining Haff's capillary tube PCR system with Quake's microfluidic system" *Id.* at 16.

10X now attempts to reframe the Board’s decision in a different light in the 148 Reexam Request, suggesting that “the claims have been considered nonobvious by the Office because the *prior art was not believed to teach a technique for conducting polymerase chain reaction (PCR) in droplets formed from two continuously flowing immiscible fluids.*” 148 Reexam Request at 75 (emphasis in original). However, this characterization belies the central reason that the Board rejected 10X’s petition for IPR in the first place. As 10X acknowledges in the immediately preceding paragraph, “the PTAB denied institution of an *inter partes* review of U.S. Patent No. 8,822,148 ***because the petition failed to explain*** why a skilled artisan would have believed that the PCR technique of Haff could have been conducted on a microfluidic scale as taught in Quake.” *Id.* (emphasis added).

10X already had a full opportunity to demonstrate that the prior art teaches a “technique for conducting polymerase chain reaction (PCR) in droplets formed from two continuously flowing immiscible fluids,” and 10X failed. Its renewed attempt to recast why the Board found the 148 claims non-obvious simply ignores the fact that 10X failed to convince the Office in the first instance when it made substantially the same arguments. 10X has not explained why it could not have included in its petition the arguments in the form it is making them now.

Tellingly, 10X all but admits that the 148 Request offers the same arguments that it offered in its petition for *inter partes* review of the 148 Patent. For each of the eighteen grounds it currently alleges raise substantial new questions of patentability, 10X states the exact same thing: “The prior art submitted herewith shows that i) droplet micro reactors that formed plugs from continuously flowing immiscible fluids were well known,” “ii) microfluidic PCR devices were well known,” and “iii) there were compelling reasons to use the microfluidic droplet reactors to conduct microfluidic PCR.” 148 Reexam Request at 75; 91; 105-06; 120; 135; 150;

164; 178-79; 192; 205; 219; 233; 246; 259-60; 272; 284; 298; 310. This is the same argument that 10X offered in its petition for *inter partes* review of the 148 Patent, *i.e.*, that droplet technology (“droplet micro reactors”) and small-scale chemical reaction technology (“microfluidic PCR devices”) predate the Ismagilov patents, and that it would have been obvious to combine the two.

With the 148 Reexam Request, 10X wishes to apply the same arguments in a formulaic manner. Utilizing three prior art pieces as examples of “droplet micro reactors” and five prior art pieces as examples of “microfluidic PCR devices,” 10X mixes and matches them to form eighteen repetitive grounds. These are fundamentally the same argument that it lost already – once even after a full hearing before the Board. *See 10X Genomics, Inc. v. The University of Chicago*, IPR2015-01156; IPR2015-01158; IPR2015-01163; IPR2015-01560; IPR2015-001157 [Exhibits C-G]. Moreover, as discussed in detail below, many of the references that 10X puts forth are references that it already presented in its IPRs, that it admitted were readily available when it filed the IPRs, or that the Examiner considered during prosecution of related, earlier-filed patents.

The 148 Reexam Request is a waste of USPTO resources and, with the 407 Reexam Request and 193 Reexam Request, represents serial attacks by 10X based on the same arguments that already failed in five IPRs. The Director should exercise its power to terminate the 148 Request and preclude 10X from presenting substantially the same arguments that it already presented to the Board. It will have an opportunity to pursue them at the trial of its invalidity counterclaims in April.

### **III. THE 148 REQUEST RAISES SUBSTANTIALLY THE SAME PRIOR ART THAT WAS PREVIOUSLY PRESENTED TO THE PATENT OFFICE**

The second independent ground for rejecting the request is that it includes substantially the same prior art as those included in 10X's failed IPR petition (and they are also included as support for its district court invalidity counterclaims). 10X cites eight prior art references in the 148 Reexam Request. These references were either previously presented to the Patent Office or are substantially the same as prior art that was previously presented.

For example, the 148 Reexam Request alleges that the claims of the 148 Patent are obvious in view of WO 2002/023163 A1 to Quake et al. ("Quake"), which 10X acknowledges "corresponds to U.S. Published Application 2002/0058332 to Quake et al." 148 Reexam Request at 8. This application is the first prior art reference disclosed in 10X's failed request for *inter partes* review of the 148 Patent, and it forms the basis for both grounds for invalidity that 10X presented to the Board. *See 10X Genomics, Inc. v. The University of Chicago*, IPR2015-01156, Paper No. 3 at 1 (May 6, 2015) [Exhibit H]. The Board considered the Quake reference yet declined to institute, finding that it did not raise a substantial new question of patentability. *See id.* at Paper No. 14 (Nov. 16, 2015) [Exhibit C]. 10X should not be allowed to offer the same reference that the Board already rejected.

The 148 Reexam Request also alleges that the claims of the 148 Patent are obvious in view of UK Patent Application GB 2,097,692A to Shaw Stewart ("Shaw Stewart"), as well as Kopp, M.U. et al., Chemical Amplification: Continuous-Flow PCR on a Chip, *Science*, 1998, vol. 280, pp. 1046-48 ("Kopp"). As discussed above in Section II, 10X's fundamental argument in its renewed invalidity campaign is that droplet technology and small-scale chemical reaction technology predate the Ismagilov Patents, including the 148 Patent. The 148 Reexam Request offers Shaw Stewart as an example of the latter and Kopp as an example of the former. In 10X's

request for *inter partes* review of the 148 Patent, both these references were presented to the Board for substantially the same purpose that 10X now includes them in the 148 Reexam Request.

For example, 10X cites Shaw Stewart to support its contention that performing chemical reactions in microfluidic devices was well-known in the art prior to the 148 Patent's priority date. *See 10X Genomics, Inc. v. The University of Chicago*, IPR2015-01156, Paper No. 2 at 6 (May 6, 2015) ("Shaw Stewart developed a microfluidic system for performing chemical reactions.") [Exhibit I]. Similarly, 10X cites Kopp as an example of research that "developed similar devices for isothermal amplification of nucleic acids in ... microfabricated substrates." *Id.* at 7-8 (internal quotations omitted) [Exhibit I]. 10X chose to present these publications as background and not as individual grounds for unpatentability when it originally filed its request for *inter partes* review of the 148 Patent on May 6, 2015. Now, with just a few months until trial, and over 30 months after it filed its request for *inter partes* review of the 148 Patent, 10X identifies Shaw Stewart and Kopp in the 148 Reexam Request as separate grounds for unpatentability.

The 148 Reexam Request also alleges that the claims of the 148 Patent are obvious in view of Burns, J. R. et al., *The Intensification of Rapid Reactions in Multiphase Systems Using Slug Flow in Capillaries*, Lab on a Chip, vol. 1, 2001, pp. 10-15 ("Burns I"). 10X's petition for *inter partes* review of the 148 Patent did not cite Burns I, but correspondence from 10X demonstrates that this reference was also available to it and presented to the Board in connection with its invalidity campaign against the Ismagilov patents. An expert report submitted by 10X in the co-pending Delaware litigation offered Burns I as a ground for invalidity of U.S. Patent No. 8,889,083, one of the other Ismagilov Patents that 10X unsuccessfully challenged with an IPR

petition. The Board granted the 083 IPR petition but ultimately issued a Final Written Decision upholding the patentability of each challenged claim. And because Burns I was one of the grounds offered for invalidity, citing IPR estoppel, the Judge in the co-pending district court litigation struck any argument from 10X's expert report that suggested the 083 Patent was invalid in view of Burns I.

In the previously mentioned correspondence, 10X stated it did not dispute "that the references that [its expert] combines to establish obviousness of the 083 patent were (1) **cited during prosecution of the Ismagilov patents**; (2) cited in the 083 patent IPR petition; and/or (3) **published and reasonably accessible at the time the '083 patent IPR petition was filed.**" Correspondence with 10X's Counsel (Sept. 15, 2017) (emphasis added) [Exhibit J]. Although this statement is directed to the 083 patent, which is not currently the subject of a reexam request, it is relevant to the 148 Reexam Request because it demonstrates that Burns I was cited during prosecution of the Ismagilov patents. 10X's statement further demonstrates that Burns I was accessible to it when the 148 IPR petition was filed. Thus, according to 10X's own admission, the Patent Office was already presented with Burns I when it prosecuted the 148 Patent and determined it did not present a hurdle to patentability for the Ismagilov patents. Moreover, 10X could have – but chose not to – raise Burns I when it filed the 148 IPR petition; its delay should not be rewarded.

The 148 Reexam Request cites four additional references that were readily available when 10X filed its initial IPR petitions against the Ismagilov patents: Burns, M.A. et al., *Microfabricated structures for integrated DNA analysis*, Proc. Natl. Acad. Sci. USA, May 1996, vol. 93, pp. 5556-5561 ("Burns II"); Vogelstein, B. et al., *Digital PCR*, Proc. Natl. Acad. Sci., August 1999, Vol. 96, pp. 9236-9241 ("Vogelstein"); and U.S. Patent No. 5,270,183 to Corbett

et al. (“Corbett”); and Lagally, E.T. et al., *Single-Molecule DNA Amplification and Analysis in an Integrated Microfluidic Device*, Anal. Chem., 2001, vol. 73, pp. 565-70 (“Lagally”).

The University of Chicago presented Burns II to the Patent Office in an Information Disclosure Statement filed during prosecution of a related patent, the 193 Patent. *See* App. No. 13/024,155, Information Disclosure Statement (Aug. 26, 2011) [Exhibit K at 266]. In addition, 10X acknowledges that “Burns II was cited by the Examiner” during prosecution of the application that led to the 407 Patent – currently the subject of one of 10X’s other requests for *ex parte* reexamination, the 407 Reexam Request. 148 Reexam Request at 14. Although 10X attempts to diminish this by arguing that the Examiner only cited Burns II with respect to dependent claims, this does not change the fact that the University of Chicago presented Burns II to the Patent Office and that the Office was clearly aware of the reference. The Board has rejected petitions under similar facts. *See Agrinomix, LLC v. Mitchell Ellis Products, Inc.*, IPR2017-00525, Paper 6 at 11 (Jun. 14, 2017) (“although the Examiner may only have relied upon [reference] to address the limitation of a dependent claim, that fact does not obviate that [reference] was before the Examiner.”) [Exhibit B.] Similarly, the University of Chicago presented Vogelstein to the Patent Office during prosecution of the 193 and 407 Patents. *See* App. No. 13/024,155, Information Disclosure Statement (Aug. 26, 2011) [Exhibit K at 266]; App. No. 13/024,145, Information Disclosure Statement (Aug. 26, 2011) [Exhibit L at 383]. The application for the 148 Patent was filed over a year after the applications for the 193 and 407 Patents. Even though Burns II and Vogelstein were not disclosed in the application for the 148 Patent, the University of Chicago’s prior disclosure demonstrates that they were publicly available and easily discoverable by 10X, who does not explain its delay in asserting these references as grounds for unpatentability.

Corbett and Lagally were never presented to the Patent Office, however they contain substantially the same disclosure as Burns II and Vogelstein. As 10X explains in the 148 Reexam Request, “Corbett disclosed using a microchannel or capillary device to conduct DNA amplification reactions such as PCR **by injecting plugs of reactants into a carrier stream that is passed through different temperature zones.**” 148 Reexam Request at 55 (emphasis added). Lagally’s disclosure is similar. *See* 148 Reexam Request at 59 (“Lagally reported using a microfluidic reactor to conduct single-molecule DNA amplification by PCR.”) According to 10X, Burns II also discloses injecting plugs of reactants into a carrier stream (“a sample containing a DNA plasmid ... and a mixture of Taq enzyme and buffer ... formed droplets of about 60 nl in the parallel 500 x 25 µm channels”), which also pass through different temperature zones (“[t]he droplets then passed through the resistive heater portion ... in which PCR amplification occurred.”) 148 Reexam Request at 57. Vogelstein also teaches a similar method. *See* Vogelstein at 9236 (“PCR was performed in 7-µl volumes in 96-well polypropylene PCR plates ... reactions were performed in a HybAid Thermal cycler.”) [Exhibit 1044<sup>1</sup>]. Accordingly, Corbett and Lagally add little if anything that Burns II and Vogelstein do not already substantially disclose. Given that Corbett issued in 1993 and Lagally was published in 2001, and that both were readily discoverable by 10X when it first began its invalidity campaign, 10X should not be allowed to sustain its reexamination request even if these references were not presented to the Patent Office previously.

Whether through its unsuccessful petitions for IPR against the Ismagilov patents or during prosecution of the Ismagilov patents, the Patent Office was already presented with six out of eight of the prior art references that 10X now asserts as separate grounds for invalidity in the

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<sup>1</sup> Numbered exhibits refer to the exhibits that 10X submitted in connection with its request for reexamination of the 148 Patent.

148 Reexam Request. And the remaining two references – Corbett and Lagally – are substantially similar to other references that the Patent Office has already seen. The 148 Reexam Request is a waste of USPTO resources and, in conjunction with the 407 Reexam Request and 193 Reexam Request, represents serial attacks by 10X based on prior art that it already presented to the Patent Office. The Director should exercise its power to terminate the 148 Request and preclude 10X from presenting substantially the same prior art references.

#### **IV. CONCLUSION**

For the foregoing reasons, the University of Chicago requests that the Director terminate 10X's request for reexamination of U.S. Patent No. 8,822,148 pursuant to 37 C.F.R. § 1.181 and/or § 1.182, and 35 U.S.C. § 325(d).

Dated: November 29, 2017

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UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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10X GENOMICS, INC.,  
Petitioner,

v.

THE UNIVERSITY OF CHICAGO,  
Patent Owner.

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Case IPR2015-01156  
Patent 8,822,148 B2

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Before DONNA M. PRAISS, CHRISTOPHER L. CRUMBLEY, and  
TINA E. HULSE, *Administrative Patent Judges*.

CRUMBLEY, *Administrative Patent Judge*.

DECISION  
Denying Institution of *Inter Partes* Review  
37 C.F.R. § 42.108

## I. INTRODUCTION

10X Genomics, Inc. (“Petitioner”) filed a Petition requesting an *inter partes* review of claims 1–8 of U.S. Patent No. 8,822,148 B2 (Ex. 1001, “the ’148 patent”). Paper 2 (“Pet.”). The University of Chicago (“Patent Owner”) filed a Preliminary Response to the Petition. Paper 9 (“Prelim. Resp.”).

We have jurisdiction under 35 U.S.C. § 314, which provides that an *inter partes* review may not be instituted “unless . . . there is a reasonable likelihood that the petitioner would prevail with respect to at least 1 of the claims challenged in the petition.” 35 U.S.C. § 314(a). Upon considering the Petition and Preliminary Response, we determine that Petitioner has not established a reasonable likelihood that it would prevail in showing the unpatentability of claims 1–8. Accordingly, we decline to institute an *inter partes* review of those claims.

### A. *Related Proceedings*

Petitioner identifies as a related matter *RainDance Techs., Inc. v. 10X Genomics, Inc.*, No. 1:15-cv-00152-RGA (D. Del.). Pet. 53.

Petitioner also concurrently filed petitions for *inter partes* review of related patents in IPR2015-01163 (US 8,304,193), IPR2015-01162 (US 8,273,573), IPR2015-01158 (US 8,329,407), and IPR2015-01157 (US 8,889,083).

### B. *The ’148 Patent (Ex. 1001)*

The ’148 patent, entitled “Method of Performing PCR Reaction in Continuously Flowing Microfluidic Plugs,” issued September 2, 2014. Ex. 1001, (45), (54). Microfluidic systems transport fluids

through networks of channels, typically having micrometer dimensions. *Id.* at 1:18–20. According to the specification, the main advantages of microfluidic systems are high speed and low consumption of reagents. *Id.* at 1:23–25. The microfluidic systems may be used for various chemical and biochemical processes, including autocatalytic reactions, such as the polymerase chain reaction. *Id.* at 44:38–61.

Rather than rely on laminar flow of liquids through microfluidic channels, the '148 patent specification describes using microfluidic droplets, or “plugs” in the system. Figure 2A-2, an embodiment of the system, is annotated and reproduced below:

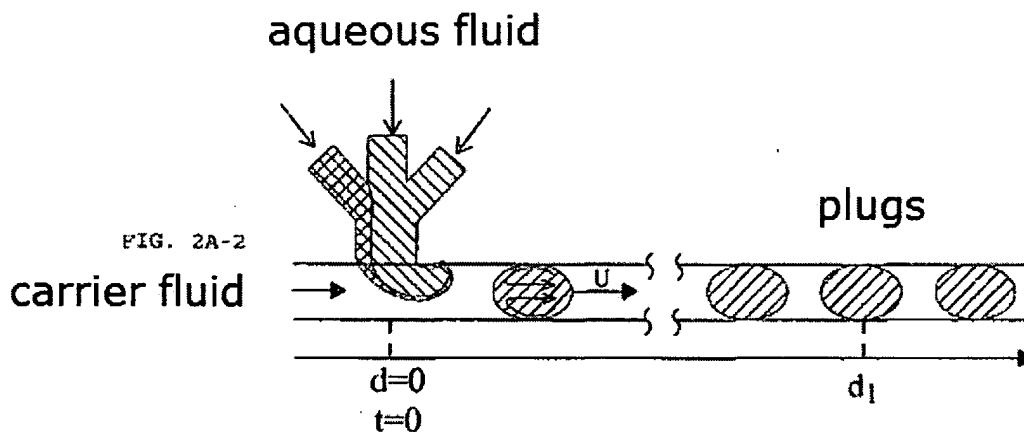


Figure 2A-2 depicts the formation of plugs, where the aqueous fluid containing a substrate and reagents enters a channel with an immiscible carrier fluid, such as an oil, to form a series of plugs. *Id.* at 17:37–41. The plug volumes, which are dependent on channel size, can range from about 1 femtoliter to about 250 nanoliters. *Id.* at 19:45–54.

*C. Illustrative Claim*

Petitioner challenges claims 1–8 of the '148 patent. Claim 1, the sole independent claim, is illustrative and is reproduced below:

1. A method comprising the steps of:

providing a microfluidic system comprising one or more channels;

providing within the one or more channels a continuously flowing carrier fluid comprising an oil and a continuously flowing aqueous fluid comprising target DNA or RNA molecules and at least one other molecule in the fluid that can react with the target DNA or RNA molecules under conditions in which the target DNA or RNA molecules and the other molecules in the fluid do not react with each other;

controlling flow rates of said aqueous fluid and said carrier fluid to partition the continuously flowing aqueous fluid with the continuously flowing carrier fluid to form a plurality of plugs of the aqueous fluid, each having a substantially uniform size of about 200  $\mu\text{m}$  or less, wherein the target DNA or RNA in said plurality of plugs represents a Poisson distribution, and at least one member of said plurality comprises a single target DNA or RNA molecule and at least one of the other molecules that can react with the target DNA or RNA molecule; and

providing conditions suitable for a polymerase-chain reaction in at least one plug of the plurality of plugs such that the target DNA or RNA is amplified.

*D. The Asserted Grounds of Unpatentability*

Petitioner challenges the patentability of claims 1–8 of the '148 patent on the following grounds:

References	Basis	Claims challenged
Haff <sup>1</sup> and Quake <sup>2</sup>	§ 103	1–8
Haff, Quake, and Ramsey <sup>3</sup>	§ 103	6

Petitioner asserts that Haff is prior art to the '148 patent under 35 U.S.C. § 102(b), while Quake and Ramsey are prior art under 35 U.S.C. § 102(e). Pet. 18, 44. Patent Owner does not contest the prior art status of any of the references in its Preliminary Response.

**II. ANALYSIS**

*A. Person of Ordinary Skill in the Art*

The parties dispute the proper definition of a person of ordinary skill in the art. Petitioner contends that a person of ordinary skill in the art would have had a Ph.D. in chemistry, biochemistry, mechanical engineering, or a related discipline, with two years of experience in using, designing or creating microfluidic devices. Pet. 2–3. Alternatively, Petitioner asserts that a skilled artisan would have had an M.S. or bachelor's degree in one of those disciplines with four or five years of additional relevant experience, respectively. *Id.* Patent Owner disagrees with Petitioner's definition, arguing that Petitioner overstates the level of ordinary skill in the art in the 2002

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<sup>1</sup> Haff et al., US 6,033,880, issued Mar. 7, 2000 (Ex. 1021).

<sup>2</sup> Quake et al., US 2002/0058332 A1, published May 16, 2002 (Ex. 1004).

<sup>3</sup> Ramsey et al., US 6,524,456 B1, issued Feb. 25, 2003 (Ex. 1006).

time frame. According to Patent Owner, a person of ordinary skill in the art would have been a researcher interested in microfluidics with at least a bachelor's degree in a "hard science," such as chemistry, physics, chemical engineering, bioengineering, or mechanical engineering. Prelim. Resp. 15–17.

For purposes of this Decision, we do not discern an appreciable difference between Petitioner and Patent Owner's proposed levels of ordinary skill in the art that would impact our ultimate conclusions. Patent Owner does not indicate how many years of experience a "researcher interested in microfluidics" would have. Accordingly, we determine that a person of ordinary skill in the art would have at least a bachelor's degree in chemistry, physics, chemical engineering, bioengineering, or mechanical engineering, or a related discipline, with at least four or five years of relevant experience. We also consider the cited prior art as representative of the level of ordinary skill in the art. *See Okajima v. Bourdeau*, 261 F.3d 1350, 1355 (Fed. Cir. 2001) (finding the absence of specific findings on "level of skill in the art does not give rise to reversible error 'where the prior art itself reflects an appropriate level and a need for testimony is not shown'" (quoting *Litton Indus. Prods., Inc. v. Solid State Sys. Corp.*, 755 F.2d 158, 163 (Fed. Cir. 1985))).

#### *B. Claim Construction*

In an *inter partes* review, the Board interprets claim terms in an unexpired patent according to the broadest reasonable construction in light of the specification of the patent in which they appear. *See In re Cuozzo Speed Techs., LLC*, 793 F.3d 1268, 1276–80 (Fed. Cir. 2015); 37 C.F.R. § 42.100(b). Under that standard, and absent any special

definitions, we give claim terms their ordinary and customary meaning, as would be understood by one of ordinary skill in the art at the time of the invention. *See In re Translogic Tech., Inc.*, 504 F.3d 1249, 1257 (Fed. Cir. 2007). Any special definitions for claim terms must be set forth with reasonable clarity, deliberateness, and precision. *See In re Paulsen*, 30 F.3d 1475, 1480 (Fed. Cir. 1994).

1. “*plugs of the aqueous fluid*”

Claim 1 requires forming “plugs of the aqueous fluid.”

Petitioner asserts that the broadest reasonable interpretation of this term is “volumes of an aqueous fluid surrounded by a carrier fluid in which it is substantially immiscible, such as a non-polar or hydrophobic fluid, e.g., an oil, and the diameter of a plug is substantially similar to the cross-section of the channel in which it is formed and the aqueous fluid is separated from the channel by a thin film of carrier fluid.” Pet. 13. Patent Owner disagrees, asserting that the term should be construed to mean “volumes of aqueous fluid formed when a stream of aqueous fluid is introduced into the flow of a substantially immiscible carrier-fluid.” Prelim. Resp. 20.

At this stage of the proceeding, we find Patent Owner’s proposed construction more persuasive because it is more consistent with the specification’s definition of “plugs.” The specification states: “‘Plugs’ in accordance with the present invention are formed in a substrate when a stream of at least one plug-fluid is introduced into the flow of a carrier-fluid in which it is substantially immiscible.” Ex. 1001, 9:27–30. To further limit the claim term, Petitioner relies on the specification’s disclosure of other optional characteristics of a plug. For example, the specification states that the plug’s “cross-

section *should be* substantially similar to the cross-section of the channels in which they are formed.” *Id.* at 9:34–37 (emphasis added). The specification also states that the carrier fluid “preferably” wets the walls of the channels and, “[i]f this condition is satisfied, the plug . . . remains separated from the walls by a thin layer of the carrier-fluid.” *Id.* at 20:59–63 (emphasis added). Because neither of these disclosures expressly limits the “plugs” of the claimed invention, we decline to include these limitations from the specification in the broadest reasonable interpretation of the claim term.

Accordingly, on the current record, we determine the broadest reasonable interpretation of the term “plugs of the aqueous fluid” to be “volumes of aqueous fluid formed when a stream of aqueous fluid is introduced into the flow of a substantially immiscible carrier-fluid.”

2. *“conditions suitable for a polymerase-chain reaction in at least one plug of the plurality of plugs such that the target DNA or RNA is amplified”*

Claim 1 recites “providing conditions suitable for a polymerase-chain reaction in at least one plug of the plurality of plugs such that the target DNA or RNA is amplified.” Petitioner asserts that this limitation “would encompass repeatedly adjusting the temperature of a plug so that PCR amplification can take place, such as by providing heat.” Pet. 17. Patent Owner disagrees with Petitioner’s construction to the extent that it simply requires a single stimulus to induce an autocatalytic reaction (regardless of whether that stimulus is sufficient to induce the reaction). Prelim. Resp. 21. According to Patent Owner, a skilled artisan would understand that the term refers

“to a global set of physical and chemical conditions that allows one to conduct PCR in droplets.” *Id.*

At this stage of the proceeding, we determine that Patent Owner’s interpretation is more consistent with the plain and ordinary meaning of the claim term, which requires more than a single stimulus to induce a reaction. We are persuaded by Patent Owner’s argument that the specification sets forth certain conditions that must be addressed when conducting PCR in a microfluidic droplet, including unwanted adsorption of proteins on the surface of the droplet. Prelim. Resp. 20–21 (citing Ex. 1001, 35:58–66). Accordingly, we construe the claim term as requiring conditions that allow the substrate molecule to be amplified in a microfluidic system.

### 3. *Remaining Claim Terms*

Petitioner proposes constructions for other claim terms of the ’148 patent. Based on the current record, however, we determine that the remaining claim terms need not be construed explicitly for purposes of this Decision. *See Vivid Techs., Inc. v. Am. Sci. & Eng’g, Inc.*, 200 F.3d 795, 803 (Fed. Cir. 1999) (only terms in controversy need to be construed, and only to the extent necessary to resolve the controversy).

### C. *Obviousness over Haff and Quake*

Petitioner asserts that claims 1–8 are unpatentable as having been obvious over Haff and Quake. Pet. 19–44. Petitioner relies on the testimony of its declarant, Wilhelm T. S. Huck, Ph.D. (Ex. 1002). Patent Owner opposes Petitioner’s assertion. Prelim. Resp. 26–47. Based on the current record, we determine that Petitioner has not established a reasonable likelihood that it would prevail in showing

the claims are unpatentable as having been obvious over the cited references.

1. *Haff (Ex. 1021)*

Haff relates to automated machines for performing amplification reactions for nucleic acids, such as a polymerase chain reaction (“PCR”). Ex. 1021, 1:12–15. Haff states that PCR has been performed in disposable reaction tubes such as small, plastic microcentrifuge tubes or test tubes that are placed in an instrument containing a thermally controlled heat exchanger. *Id.* at 1:50–53. Haff explains that rapid, small-scale PCR capillary tube instruments have appeared in which the reaction mixture is placed in capillary tubes. *Id.* at 2:7–12. The specification describes various capillary tube PCR instruments that use different means to heat and cool the PCR reaction mixture and different tube and fluid-handling means to move the reaction mixture.

Figure 2 of Haff is one embodiment and is reproduced below:

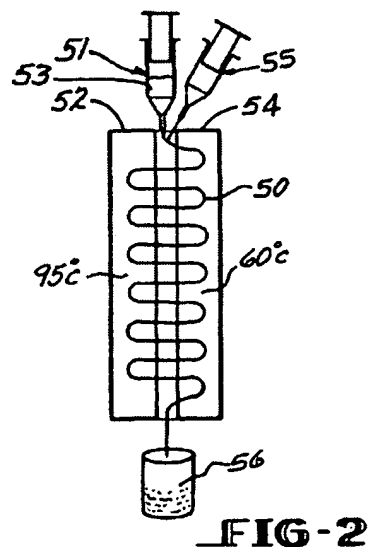


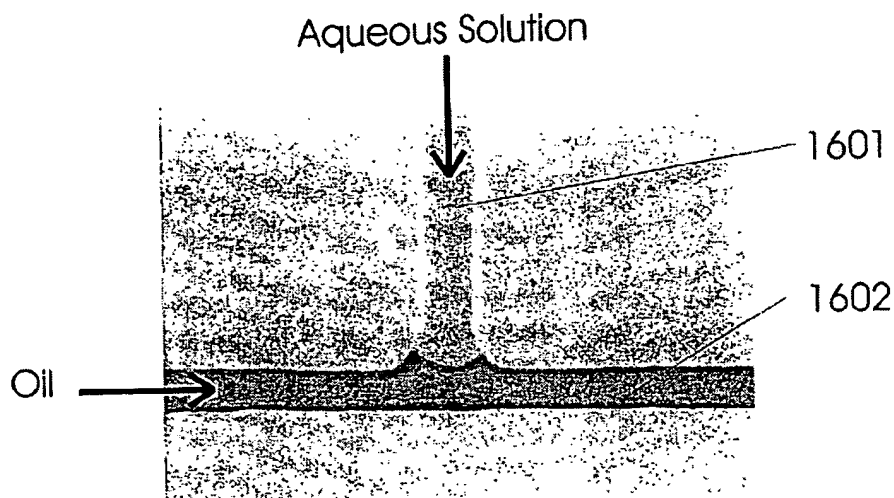
Figure 2 depicts a system that uses a length of capillary tubing 50 that is routed in and out of hot zone 52 and cool zone 54 a number of times. *Id.* at 9:58–65. Syringe 51, which contains PCR reaction mixture 53, and syringe 55, which contains air or an immiscible fluid, are connected in parallel with tubing 50. Ex. 1021, 10:20–32.

Syringe 55 is operated intermittently to inject air bubbles or immiscible fluid bubbles into the flow stream of reagent mixture 53 in tubing 50. *Id.* at 10:32–35. The use of bubbles between samples results in “slug” flow where sample “slugs” are passed through the capillary tubes. *Id.* at 9:50–52. According to Haff, “[th]e length of the tubing 50, its internal diameter, the length of tubing in each of the hot and cool zones, and the flow rate of the reaction mixture inside the tube are all factors in the control of the amplification.” *Id.* at 10:15–19.

## 2. *Quake (Ex. 1004)*

Quake relates to microfluidic devices and methods for analyzing and/or sorting biological materials. Ex. 1004, Abstract. Quake states that its device and methods “offer several advantages over traditional flow cytometry devices and methods.” *Id.* ¶ 14. Quake’s devices are designed to compartmentalize small droplets of aqueous solution within microfluidic channels filled with oil. *Id.* ¶ 3. The devices comprise a main channel, through which a pressurized stream of oil is passed, and at least one sample inlet channel, through which a pressurized stream of aqueous solution is passed. *Id.* A junction joins the main channel with the sample inlet channel. *Id.* By adjusting the pressure of the oil and/or the aqueous solution, a pressure difference can be established such that the stream of aqueous

solution is sheared off at a regular frequency as it enters the oil stream, thereby forming droplets. *Id.* Figure 16A of Quake is reproduced below:



**FIG. 16A**

Figure 16A depicts the channel architecture for the droplet extrusion region. Channel 1601 containing an aqueous solution intersects with the main channel 1602 containing oil. Ex. 1004 ¶ 292.

In preferred embodiments, the droplets have a volume of approximately 0.1 to 100 picoliters. *Id.* According to Quake, microfabrication of the device “permits other technologies to be integrated or combined with flow cytometry on a single chip, such as PCR.” *Id.* ¶ 80.

### 3. Analysis

Petitioner asserts that the combination of Haff and Quake teaches or suggests each limitation of claims 1–8. Regarding claim 1, Petitioner provides a claim chart identifying the disclosures of Haff and Quake that purportedly teach or suggest each limitation. Pet. 19–29. For example, Petitioner asserts that Figure 16A of Quake depicts

a microfluidic system with two channels having one junction. Pet. 19–20 (citing Ex. 1004 ¶¶ 3, 292). Petitioner also asserts that the combination of Haff’s PCR device and Quake’s microfluidics device suggests flowing the aqueous sample fluid and the oil through separate channels and forming a plug of aqueous sample fluid in the oil. Pet. 21–26 (citing Ex. 1021, 1:21–27, 10:20–35; Ex. 1004 ¶¶ 3, 14, 20, 120, 290, Fig. 16A). Quake teaches that the aqueous droplets are encapsulated, or substantially surrounded, by oil. Pet. 32 (citing Ex. 1004 ¶ 100). Finally, Petitioner asserts that the combination of Haff and Quake teaches providing conditions suitable for a polymerase-chain reaction in at least one plug of the plurality of plugs such that the target DNA or RNA is amplified. Pet. 28–29 (citing Ex. 1021, 1:12–15, 9:55–10:2, 10:15–19; Ex. 1004 ¶ 80).

Petitioner then argues that a person of ordinary skill in the art would have had a reason to modify Haff’s method of PCR in capillary tube devices with the microfluidic device of Quake with a reasonable expectation of success. For example, Petitioner asserts that both references are directed to performing enzymatic reactions, such as PCR, in small volumes of aqueous fluids. *Id.* at 29 (citing Ex. 1021, 9:56–63 and Fig. 2; Ex. 1004 ¶¶ 15, 80, 113, 290; Ex. 1002 ¶ 52). Petitioner also contends that a person of ordinary skill in the art would have had a reason to practice Haff’s PCR method in Quake’s microfluidic device to reduce the amount of reagents needed, which is beneficial when the availability of the reagents and substrate are limited. *Id.* at 31 (citing Ex. 1002 ¶ 72). According to Petitioner, the reason to combine Quake with a PCR method comes from Quake itself (*id.* at 34), which teaches that “[m]icrofabrication permits other

technologies to be integrated or combined with flow cytometry on a single chip, such as PCR.” Ex. 1004 ¶ 80.

Petitioner argues that a person of ordinary skill in the art would have had a reasonable expectation of success in combining Haff and Quake. Pet. 34–35; Ex. 1002 ¶ 73. Dr. Huck explains that Quake teaches controlling the flow of oil and the flow of the aqueous sample fluid to generate a stream of encapsulated droplets. Ex. 1002 ¶ 73. Dr. Huck also states that Quake teaches adjusting the concentration of the biological molecule to ensure that the droplets contain no more than a single biological molecule and teaches that the device and method can be integrated with PCR. *Id.* Accordingly, Dr. Huck concludes:

[I]t would have required no more than routine skill and knowledge in the art for a [skilled artisan] to adapt Haff’s device to create a stream of oil-encapsulated droplets of PCR reaction mixture comprising no more than a single target DNA molecule, and to amplify the single target molecule.

*Id.*

In response, Patent Owner first argues that Haff is not analogous art because the field of the ’148 patent is microfluidic devices, and Haff involves larger volumes of fluids. Prelim. Resp. 26–28. Patent Owner also argues that Haff is not reasonably pertinent to the problems being addressed in the ’148 patent. *Id.* at 28–30. We are not persuaded. Although Haff does not disclose the use of PCR in microfluidic devices, we do not believe such disclosure is necessary to consider Haff to be analogous art. “A reference is reasonably pertinent if, even though it may be in a different field from that of the inventor’s endeavor, it is one which, because of the matter with which

it deals, logically would have commended itself to an inventor's attention in considering his problem." *In re ICON Health & Fitness, Inc.*, 496 F.3d 1374, 1380–81 (Fed. Cir. 2007). On the current record, we find that Haff's disclosure of PCR in larger-volume capillary tube devices logically would have commended itself to the inventors' attention when considering methods of conducting PCR in smaller microfluidic devices. In other words, we find that the inventors logically would have considered how PCR is conducted in capillary tube devices to figure out how to scale down the reaction for microfluidic devices.

Patent Owner also argues that the Petitioner does not establish that one of ordinary skill in the art would have had a reasonable expectation of success combining Haff and Quake. Prelim. Resp. 38–47. In particular, Patent Owner challenges Petitioner's assertion that the combination of Quake and Haff would have been "routine." Patent Owner states that Petitioner's assertion "is undermined by the lack of any reasoned explanation in the Petition for why this combination would have been successful." *Id.* at 46.

We have considered Petitioner's arguments and evidence together with the Preliminary Response, and, on this record, we agree with Patent Owner that Petitioner has not met the threshold for instituting an *inter partes* review of the '148 patent. Petitioner and its declarant state that it "would have required no more than routine skill and knowledge in the art to adapt Haff's capillary PCR device to use Quake's method of creating encapsulated plugs to perform PCR on a target DNA sequence in a microfluidic device." Pet. 34 (citing Ex. 1002 ¶ 73). But Petitioner cites insufficient evidence to support this

statement. For example, Petitioner and its declarant assert that a skilled artisan would have had a reasonable expectation of success in doing so because “Quake teaches that his microfluidic device designs can be used to perform PCR.” *Id.* at 29 (citing Ex. 1002 ¶ 73); *see also id.* (citing Ex. 1004 ¶ 80 in claim chart). We are not persuaded, however, that such a conclusory statement by itself establishes a reasonable likelihood that a person of ordinary skill in the art would have had a reasonable expectation of success in combining Haff and Quake.

We acknowledge that the Petition and Dr. Huck provide an overview of the state of the art as of May 2002. Pet. 4–10; Ex. 1002 ¶¶ 16–26. For example, the Petition describes a microfluidic system for performing chemical reactions in droplets. Pet. 6 (citing Ex. 1011). And the Petition describes the development of PCR, including microfluidic devices that could perform PCR on a nanoliter scale. *Id.* at 7–8; *see, e.g.*, Ex. 1017 (describing continuous-flow PCR on a chip). According to Petitioner, those microfluidic devices “functioned by injecting a stream of a single PCR reaction mixture into the device, which was then flowed into a microfluidic PCR reaction chamber, where the target sequence was amplified via thermocycling.” Pet. 8 (citing Ex. 1002 ¶ 22).

Despite that background information, we determine that Petitioner has not explained why a person of ordinary skill in the art would have had a reasonable expectation of success combining Haff’s capillary tube PCR system with Quake’s microfluidic system to amplify a substrate in *droplets*. Simply stating that it would have been “routine” is insufficient. To the extent Petitioner relies on the

background information to support a reasonable expectation of success, Petitioner fails to explain any connection between the two. For example, if conducting PCR in a *stream* of reaction mixture in a microfluidic device was known, Petitioner has not explained why, with that knowledge, it would have been routine to conduct PCR in *droplets* in a microfluidic device. Moreover, even though Haff describes conducting PCR in a capillary tube device, neither Petitioner nor its declarant explains whether the conditions for conducting PCR in microfluidic droplets would differ, or why a person of ordinary skill in the art would consider conducting PCR in microfluidic droplets to be “routine.”

Petitioner contends that a skilled artisan would have had a reasonable expectation of success because Quake teaches how to obtain encapsulated aqueous plugs with a single substrate molecule. Pet. 34. But even with that teaching, Petitioner has not explained why that—or any teaching in Haff or Quake—would establish a reasonable expectation of success in providing conditions that are suitable to conduct PCR in a microfluidic plug.

The unexplained opinion of Dr. Huck that it would have required no more than routine skill and knowledge in the art “to adapt Haff’s device to create a stream of oil-encapsulated droplets of PCR reaction mixture comprising no more than a single target DNA molecule, and to amplify the single target molecule” (Ex. 1002 ¶ 73) also is not persuasive. *See* 37 C.F.R. § 42.65(a) (“Expert testimony that does not disclose the underlying facts or data on which the opinion is based is entitled to little or no weight.”); *Ashland Oil, Inc. v. Delta Resins & Refractories, Inc.*, 776 F.2d 281, 294 (Fed. Cir.

1985) (stating a lack of objective support for an expert opinion “may render the testimony of little probative value in [a patentability] determination”).

Without a sufficient explanation regarding the combination of Haff and Quake, we determine that Petitioner has failed to establish a reasonable likelihood that it would prevail in its assertion that claim 1, or dependent claims 2–8, are unpatentable as obvious over Haff and Quake.

*D. Obviousness of Claim 6 over Haff, Quake, and Ramsey*

Claim 6 depends from claim 1 and further requires that the oil is fluorinated oil. Petitioner argues that claim 6 is unpatentable as obvious over Haff, Quake, and Ramsey. Pet. 44–46. For the same reasons stated above with respect to claim 1, we determine that Petitioner has failed to sufficiently demonstrate that claim 6 is unpatentable as obvious over the cited references.

III. CONCLUSION

We conclude that Petitioner has not established a reasonable likelihood of prevailing on its assertions that claims 1–8 of the ’148 patent are unpatentable as obvious.

IV. ORDER

In consideration of the foregoing, it is hereby ordered that the Petition is *denied*.

IPR2015-01156  
Patent 8,822,148 B2

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APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/563,347	09/02/2014	8822148	UCH-800/US12 31097/10	3611

21710 7590 08/13/2014  
BROWN RUDNICK LLP  
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BOSTON, MA 02111

## ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

### **Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)** (application filed on or after May 29, 2000)

The Patent Term Adjustment is 0 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/563,347	07/31/2012	Rustem F. Ismagilov	UCH-800/US12 31097/10	3611
21710	7590	08/06/2014		
BROWN RUDNICK LLP ONE FINANCIAL CENTER BOSTON, MA 02111			EXAMINER GAKH, YELENA G	
			ART UNIT	PAPER NUMBER
			1797	
			NOTIFICATION DATE	DELIVERY MODE
			08/06/2014	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

ip@brownrudnick.com  
usactions@brownrudnick.com

<b>Response to Rule 312 Communication</b>	<b>Application No.</b> 13/563,347	<b>Applicant(s)</b>
	<b>Examiner</b>	<b>Art Unit</b>

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

1. ☒ The amendment filed on 17 July 2014 under 37 CFR 1.312 has been considered, and has been:

a) ☒ entered.

b) ☐ entered as directed to matters of form not affecting the scope of the invention.

c) ☐ disapproved because the amendment was filed after the payment of the issue fee.

Any amendment filed after the date the issue fee is paid must be accompanied by a petition under 37 CFR 1.313(c)(1) and the required fee to withdraw the application from issue.

d) ☐ disapproved. See explanation below.

e) ☐ entered in part. See explanation below.

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**Publishing Division**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Ismagilov et al.                      ART UNIT: 1777  
SERIAL NUMBER: 13/563,347      CONFIRMATION NO.: 3611  
FILING DATE: July 31, 2012                      EXAMINER: Gakh, Yelena G.  
TITLE: DEVICE AND METHOD FOR PRESSURE DRIVEN PLUG  
TRANSPORT AND REACTION

**FILED ELECTRONICALLY**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS**

This paper is in response to a Notice to File Corrected Application Papers dated June 16, 2014.

Applicant hereby authorizes any fees associated with this response to be charged to Deposit Account No. 500369.

**Amendments to the Specification** begin on page 2.

**Remarks** begin on p. 3.

Amendments to the Specification

Please replace the as-filed specification with the substitute specification submitted herewith.

ENCLOSURES: Marked-up Copy and Clean Copy of Substitute Specification.

Remarks

In response to the Notice to File Corrected Application Papers dated June 16, 2014, Applicant submits herewith a substitute specification. No new matter is included in the substitute specification.

The substitute specification is submitted with an amendment to the equation on page 103 so as to provide legible text and reproducible quality. This amendment is illustrated in the marked-up copy of the specification.

Summary

If there are any questions regarding these remarks, the Examiner is invited and encouraged to contact Applicants' representative.

Dated: July 17, 2014

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Respectfully submitted,  
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61699752

## DEVICE AND METHOD FOR PRESSURE-DRIVEN PLUG TRANSPORT AND REACTION

This application is a continuation of Application No. 12/777,099, filed May  
5 5, 2010, which is a continuation of Application No. 10/765,718, filed January 26,  
2004, which is a continuation-in-part of Application No. 10/434,970, filed May 9,  
2003, which claims the benefit of U.S. Provisional Application No. 60/394,544,  
filed July 8, 2002, and U.S. Provisional Application No. 60/379,927, filed May 9,  
2002, all of which are incorporated herein by reference.

### 10 BACKGROUND

Nonlinear dynamics, in conjunction with microfluidics, play a central role in  
the design of the devices and the methods according to the invention. Microfluidics  
deals with the transport of fluids through networks of channels, typically having  
micrometer dimensions. Microfluidic systems (sometimes called labs-on-a-chip) find  
15 applications in microscale chemical and biological analysis (micro-total-analysis  
systems). The main advantages of microfluidic systems are high speed and low  
consumption of reagents. They are thus very promising for medical diagnostics and  
high-throughput screening. Highly parallel arrays of microfluidic systems are used  
for the synthesis of macroscopic quantities of chemical and biological compounds,  
20 *e.g.*, the destruction of chemical warfare agents and pharmaceuticals synthesis. Their  
advantage is improved control over mass and heat transport.

Microfluidic systems generally require means of pumping fluids through the  
channels. In the two most common methods, the fluids are either driven by pressure  
or driven by electroosmotic flow (EOF). Flows driven by EOF are attractive because  
25 they can be easily controlled even in complicated networks. EOF-driven flows have  
flat, plug-like velocity profile, that is, the velocity of the fluid is the same near the  
walls and in the middle of the channel. Thus, if small volumes of multiple analytes  
are injected sequentially into a channel, these plugs are transported as non-  
overlapping plugs (low dispersion), in which case the dispersion comes mostly from  
30 the diffusion between plugs. A main disadvantage of EOF is that it is generated by  
the motion of the double layer at the charged surfaces of the channel walls. EOF can  
therefore be highly sensitive to surface contamination by charged impurities. This

may not be an issue when using channels with negative surface charges in DNA analysis and manipulation because DNA is uniformly negatively charged and does not adsorb to the walls. However, this can be a serious limitation in applications that involve proteins that are often charged and tend to adsorb on charged surfaces. In addition, high voltages are often undesirable, or sources of high voltages such as portable analyzers may not be available.

Flows driven by pressure are typically significantly less sensitive to surface chemistry than EOF. The main disadvantage of pressure-driven flows is that they normally have a parabolic flow profile instead of the flat profile of EOF. Solute in the middle of the channel move much faster (about twice the average velocity of the flow) than solutes near the walls of the channels. A parabolic velocity profile normally leads to high dispersion in pressure-driven flows; a plug of solute injected into a channel is immediately distorted and stretched along the channel. This distortion is somewhat reduced by solute transport via diffusion from the middle of the channel towards the walls and back. But the distortion is made worse by diffusion along the channel (the overall dispersion is known as Taylor dispersion).

Taylor dispersion broadens and dilutes sample plugs. Some of the sample is frequently left behind the plug as a tail. Overlap of these tails usually leads to cross-contamination of samples in different plugs. Thus, samples are often introduced into the channels individually, separated by buffer washes. On the other hand, interleaving samples with long buffer plugs, or washing the system with buffer between samples, reduces the throughput of the system.

In EOF, flow transport is essentially linear, that is, if two reactants are introduced into a plug and transported by EOF, their residence time (and reaction time) can be calculated simply by dividing the distance traveled in the channel by the velocity. This linear transport allows precise control of residence times through a proper adjustment of the channel lengths and flow rates. In contrast, dispersion in pressure-driven flow typically creates a broad range of residence times for a plug traveling in such flows, and this diminishes time control.

The issue of time control is important. Many chemical and biochemical processes occur on particular time scales, and measurement of reaction times can be indicative of concentrations of reagents or their reactivity. Stopped-flow type instruments are typically used to perform these measurements. These instruments rely on turbulent flow to mix the reagents and transport them with minimal dispersion.

Turbulent flow normally occurs in tubes with large diameter and at high flow rates. Thus stopped-flow instruments tend to use large volumes of reagents (on the order of ml/s). A microfluidic analog of stopped-flow, which consumes smaller volumes of reagents (typically  $\mu\text{L}/\text{min}$ ), could be useful as a scientific instrument, *e.g.*, as a  
5 diagnostic instrument. So far, microfluidic devices have not be able to compete with stopped-flow type instruments because EOF is usually very slow (although with less dispersion) while pressure-driven flows suffer from dispersion.

In addition, mixing in microfluidic systems is often slow regardless of the method used to drive the fluid because flow is laminar in these systems (as opposed to  
10 turbulent in larger systems). Mixing in laminar flows relies on diffusion and is especially slow for larger molecules such as DNA and proteins.

In addition, particulates present handling difficulty in microfluidic systems. While suspensions of cells in aqueous buffers can be relatively easy to handle because cells are isodense with these buffers, particulates that are not isodense with the fluid  
15 tend to settle at the bottom of the channel, thus eventually blocking the channel. Therefore, samples for analysis often require filtration to remove particulates.

## SUMMARY ACCORDING TO THE INVENTION

In one aspect, a method includes the steps of providing a microfluidic system comprising one or more channels, and providing within the one or more  
20 channels a carrier fluid comprising an oil and at least one plug substantially surrounded by the carrier fluid. The plug includes reagents sufficient for an autocatalytic reaction including a first species of molecule in a concentration such that the plug contains no more than a single molecule of the first species. The method further includes the step of conducting an autocatalytic reaction such that  
25 the single molecule is amplified.

In another aspect, the single molecule is a single biological molecule. The single biological molecule may be DNA or RNA and the autocatalytic reaction may be a polymerase-chain reaction.

In another aspect, the conducting step includes heating.

30 In a another aspect, the method further includes the step of providing a detector to detect, analyze, characterize, or monitor one or more properties of the autocatalytic reaction during and/or after it has occurred. The properties may

include light emission. The reagents may include one or more fluorescent labels and the detector may detect emissions from the one or more fluorescent labels.

In another aspect, the method further includes the step of directing the plug to a first channel of the one or more channels when the detector detects, analyzes, characterizes, or monitors one or more of a first set of properties and directing the plug to a second channel of the one or more channels when the detector detects, analyzes, characterizes, or monitors one or more property not included in the first set.

In yet another aspect, the oil is fluorinated oil.

In a further aspect, the carrier fluid further includes a surfactant. The surfactant may be a fluorinated surfactant.

In another aspect, the at least one plug is a merged plug.

In yet another aspect, the one or more channels includes an expansion portion where the at least one plug is trapped for a period of time during or after the reaction.

In a further aspect, the at least one plug is substantially spherical in shape.

In another aspect, the method further includes the step of separating the at least one plug from the carrier fluid.

## BRIEF DESCRIPTION OF THE DRAWINGS AND PHOTOGRAPHS

FIG. 1A is a schematic diagram of a basic channel design that may be used to induce rapid mixing in plugs. FIG. 1B(1)-(4) are schematic diagrams depicting a series of periodic variations of the basic channel design. FIG. 1C(1)-(4) are schematic diagrams depicting a series of aperiodic combinations resulting from a sequence of alternating elements taken from a basic design element shown in FIG. 1A and an element from the periodic variation series shown in FIGS. 10B(1)-(4).

FIG. 2A is a schematic diagram contrasting laminar flow transport and plug transport in a channel. FIG. 2B(1) shows a photograph (right side, top portion) illustrating rapid mixing inside plugs moving through winding channels. FIG. 2B(2) shows a photograph (right side, lower portion) showing that winding channels do not accelerate mixing in a laminar flow in the absence of PFD.

FIG. 3 shows photographs (right side) and schematic diagrams (left side) that depict a stream of plugs from an aqueous plug-fluid and an oil (carrier-fluid) in curved channels at flow rates of 0.5  $\mu\text{L}/\text{min}$  and 1.0  $\mu\text{L}/\text{min}$ .

FIG. 4 shows a photograph (lower portion) and a schematic diagram (upper  
5 portion) that illustrate plug formation through the injection of oil and multiple plug-fluids.

FIG. 5 is a schematic diagram that illustrates a two-step reaction in which plugs are formed through the injection of oil and multiple plug-fluids using a combination of different geometries for controlling reactions and mixing.

10 FIG. 6 is a schematic representation of part of a microfluidic network that uses multiple inlets and that allows for both splitting and merging of plugs. This schematic diagram shows two reactions that are conducted simultaneously. A third reaction (between the first two reaction mixtures) is conducted using precise time delay.

FIG. 7(a)-(b) show microphotographs (10  $\mu\text{s}$  exposure) illustrating rapid  
15 mixing inside plugs (a) and negligible mixing in a laminar flow (b) moving through winding channels at the same total flow velocity. FIG. 7(c) shows a false-color microphotograph (2 s exposure, individual plugs are invisible) showing time-averaged fluorescence arising from rapid mixing inside plugs of solutions of Fluo-4 and  $\text{CaCl}_2$ . FIG. 7(d) shows a plot of the relative normalized intensity (I) of fluorescence obtained  
20 from images such as shown in (c) as a function of distance (left) traveled by the plugs and of time required to travel that distance (right) at a given flow rate. FIG. 7(e) shows a false-color microphotograph (2 s exposure) of the weak fluorescence arising from negligible mixing in a laminar flow of the solutions used in (c).

FIG. 8 shows photographs (right side) and schematics (left side) that illustrate  
25 fast mixing at flow rates of about 0.5  $\mu\text{L}/\text{min}$  and about 1.0  $\mu\text{L}/\text{min}$  using 90°-step channels.

FIG. 9 shows schematics (left side) and photographs (right side) illustrates fast mixing at flow rates of about 1.0  $\mu\text{L}/\text{min}$  and about 0.5  $\mu\text{L}/\text{min}$  using 135°-step channels.

30 FIG. 10a) is a schematic diagram depicting three-dimensional confocal visualization of chaotic flows in plugs. FIG. 10b) is a plot showing a sequence preferably used for visualization of a three-dimensional flow.

FIG. 11 shows a schematic diagram of a channel geometry designed to implement and visualize the baker's transformation of plugs flowing through microfluidic channels.

FIG. 12 shows photographs depicting the merging of plugs (top) and splitting of plugs (bottom) that flow in separate channels or channel branches that are perpendicular.

FIG. 13 shows UV-VIS spectra of CdS nanoparticles formed by rapid mixing in plugs (spectrum with a sharp absorption peak) and by conventional mixing of solutions.

FIG. 14 shows schematic diagrams (left side) and photographs (right side) that illustrate the synthesis of CdS nanoparticles in PDMS microfluidic channels in single-phase aqueous laminar flow (FIG. 14A) and in aqueous plugs that are surrounded by water-immiscible perfluorodecaline (FIG. 14B).

FIG. 15 shows schematic representations of the synthesis of CdS nanoparticles inside plugs.

FIG. 16 is a schematic illustration of a microfluidic device according to the invention that illustrates the trapping of plugs.

FIG. 17 is a schematic of a microfluidic method for forming plugs with variable compositions for protein crystallization.

FIG. 18 is a schematic illustration of a method for controlling heterogeneous nucleation by varying the surface chemistry at the interface of an aqueous plug-fluid and a carrier-fluid.

FIG. 19 is a schematic diagram that illustrates a method of separating nucleation and growth using a microfluidic network according to the present invention.

FIG. 20 show schematic diagrams that illustrate two methods that provide a precise and reproducible degree of control over mixing and that can be used to determine the effect of mixing on protein crystallization.

FIG. 21 is a reaction diagram illustrating an unstable point in the chlorite-thiosulfate reaction.

FIG. 22A-D are schematic diagrams that show various examples of geometries of microfluidic channels according to the invention for obtaining kinetic information from single optical images.

FIG. 23 shows a schematic of a microfluidic network (left side) and a table of parameters for a network having channel heights of 15 and 2  $\mu\text{m}$ .

FIG. 24 shows a reaction scheme that depicts examples of fluorinated surfactants that form monolayers that are: (a) resistant to protein adsorption; (b) positively charged; and (c) negatively charged. FIG. 24b shows a chemical structure of neutral surfactants charged by interactions with water by protonation of an amine or a guanidinium group. FIG. 24c shows a chemical structure of neutral surfactants charged by interactions with water deprotonation of a carboxylic acid group.

FIG. 25 are schematic diagrams of microfluidic network (left side of a), b), and c)) that can be used for controlling the concentrations of aqueous solutions inside the plugs, as well as photographs (right side of a), b), and c)) showing the formation of plugs with different concentrations of the aqueous streams.

FIG. 26 are schematic diagrams of microfluidic network (left side of a) and b)) and photographs (right side of a) and b)) of the plug-forming region of the network in which the aqueous streams were dyed with red and green food dyes to show their flow patterns.

FIG. 27 are photographs and plots showing the effects of initial conditions on mixing by recirculating flow inside plugs moving through straight microchannels. FIG. 27a1) is a schematic diagram showing that recirculating flow (shown by black arrows) efficiently mixed solutions of reagents that were initially localized in the front and back halves of the plug. FIG. 27a2) is a schematic diagram showing that recirculating flow (shown by black arrows) did not efficiently mix solutions of reagents that were initially localized in the left and right halves of the plugs. FIG. 27b) shows a schematic diagram showing the inlet portions (left side) and photographs of images showing measurements of various periods and lengths of plugs. FIG. 27c1) shows a graph of the relative optical intensity of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes in plugs of varying lengths. FIG. 27c2) is the same as FIG. 7c1) except that each plug traverses a distance of 1.3 mm.

FIG. 28 is a schematic illustration of a plug showing the notation used to identify different regions of the plugs relative to the direction of motion.

FIG. 29a)-b) are plots of the periods and the lengths of plugs as a function of total flow velocity (FIG. 29a)) and water fraction (FIG. 29b)).

FIG. 30 shows photographs illustrating weak dependence of periods, length of plugs, and flow patterns inside plugs on total flow velocity.

FIG. 31 are plots showing the distribution of periods and lengths of plugs where the water fractions were 0.20, 0.40, and 0.73, respectively.

FIG. 32 shows photographs (middle and right side) that show that plug traps are not required for crystal formation in a microfluidic network, as well as a diagram of the microfluidic network (left side).

FIG. 33a-d (left side) are top views of microfluidic networks (left side) and photographs (right side) that comprise channels having either uniform or nonuniform dimension. FIG. 33a shows that merging of the plugs occurs infrequently in the T-shaped channel shown in the photographs. FIG. 33b illustrates plug merging occurring between plugs arriving at different times at the Y-shaped junction (magnified view shown). FIG. 33c depicts in-phase merging, *i.e.*, plug merging upon simultaneous arrival of at least two plugs at a junction, of plugs of different sizes generated using different oil/water ratios at the two pairs of inlets. FIG. 33d illustrates defects (*i.e.*, plugs that fail to undergo merging when they would normally merge under typical or ideal conditions) produced by fluctuations in the relative velocity of the two incoming streams of plugs.

FIG. 34a-c show a schematic diagram (a, left side) and photographs (b, c) each of which depicts a channel network viewed from the top. FIG. 34a is a schematic diagram of the channel network used in the experiment. FIG. 34b is a photograph showing the splitting of plugs into plugs of approximately one-half the size of the initial plugs. FIG. 34c is a photograph showing the asymmetric splitting of plugs which occurred when  $P_1 < P_2$ .

FIG. 35 shows a schematic diagram (a, left side) and photographs (b, c) that depicts the splitting of plugs using microfluidic networks without constrictions near the junction.

FIG. 36 shows a photograph (right side) of lysozyme crystals grown in water plugs in the wells of the microfluidic channel, as well as a diagram (left side) of the microfluidic network used in the crystallization.

FIG. 37 is a schematic diagram that depicts a microfluidic device according to the invention that can be used to amplify a small chemical signal using an autocatalytic (and possibly unstable) reaction mixture.

FIG. 38 is a schematic diagram that illustrates a method for a multi-stage chemical amplification which can be used to detect as few as a single molecule.

FIG. 39 shows a diagram (left side) of the microfluidic network and a photograph (right side) of water plugs attached to the PDMS wall.

FIG. 40 is a schematic representation (left side) of a microfluidic network used to measure kinetics data for the reaction of RNase A using a fluorogenic substrate (on-chip enzyme kinetics), and plots that shows the kinetic data for the reaction between RNase A and a fluorogenic substrate.

FIG. 41 shows a photograph (middle and right side) of the water droplet region of the microfluidic network (T stands for time), as well as a diagram of the microfluidic network (left side).

FIG. 42 shows a schematic diagram (left side) of a microfluidic network and a photograph (right side) of the ink plug region of the microfluidic network in which the gradients were formed by varying the flow rates.

FIG. 43 shows a schematic diagram (left side) of a microfluidic network and a photograph (right side) of lysozyme crystals formed in the microfluidic network using gradients.

FIG. 44 are schematic illustrations showing how an initial gradient may be created by injecting a discrete aqueous sample of a reagent B into a flowing stream of water.

FIG. 45a) shows a schematic of the microfluidic network used to demonstrate that on-chip dilutions can be accomplished by varying the flow rates of the reagents. The blue rectangle outlines the field of view for images shown in FIG. 45c)-d). FIG. 45b) shows a graph quantifying this dilution method by measuring fluorescence of a solution of fluorescein diluted in plugs in the microchannel.

FIG. 46 shows a microbatch protein crystallization analogue scheme using a substrate that includes capillary tubing.

FIG. 47a) shows a lysozyme crystal grown attached to a capillary tube wall.

FIG. 47b) shows a thaumatin crystal grown at the interface of protein solution and oil.

FIG. 48a) shows a schematic illustration of a process for direct screening of crystals in a capillary tube by x-ray diffraction.

FIG. 48b) shows an x-ray diffraction pattern from a thaumatin crystal grown inside a capillary tube using a microbatch analogue method (no evaporation).

FIG. 49 shows a vapor-diffusion protein crystallization analogue scheme with a substrate that includes capillary tubing.

FIG. 50a) shows vapor diffusion in droplets surrounded by FMS-121 inside a capillary right after the flow was stopped and the capillary was sealed.

FIG. 50b) shows vapor diffusion in droplets surrounded by FMS-121 inside a capillary 5 days after the flow was stopped and the capillary was sealed.

5        FIG. 51a) shows a schematic drawing of an experimental setup to form alternating droplets.

FIG. 51b) shows a schematic drawing of an experimental setup to form alternating droplets where instead of single solutions 1 and 2, a set of multiple solutions A and B can be used in a similar system.

10        FIG. 51c) shows a microphotograph illustrating the formation of alternating NaCl-Fe(SCN)<sub>3</sub>-NaCl droplets.

FIG. 52a) shows another example of generating alternating droplets from two different aqueous solutions.

15        FIG. 52b) shows a microphotograph illustrating the formation of alternating NaCl-Fe(SCN)<sub>3</sub>-NaCl droplets.

FIG. 53a-c) shows several representative geometries in which alternating plugs may be formed.

FIG. 54a-b) illustrates two representative geometries for indexing a component in a plug using markers.

## 20        DETAILED DESCRIPTION ACCORDING TO THE INVENTION

The term “analysis” generally refers to a process or step involving physical, chemical, biochemical, or biological analysis that includes characterization, testing, measurement, optimization, separation, synthesis, addition, filtration, dissolution, or mixing.

25        The term “analysis unit” refers to a part of or a location in a substrate or channel wherein a chemical undergoes one or more types of analyses.

The term “capillary tube” refers to a hollow, tube-shaped structure with a bore. The cross-sections of the tube and bore can be round, square or rectangular. The corners of the tube or bore can also be rounded. The bore diameters can range in size  
30        from 1 μ to several millimeters; the outer diameters can be between about 60 μm up to several millimeters. The tube can be made using any material suitable for x-ray diffraction analysis (*e.g.*, silica, plastic, etc.), and can additionally include coatings

(e.g. polyimide) suitable for use under variable (e.g. high) temperatures or for UV transparency.

The term “carrier-fluid” refers to a fluid that is immiscible with a plug-fluid. The carrier-fluid may comprise a substance having both polar and non-polar groups or moieties.

The term “channel” refers to a conduit that is typically enclosed, although it may be at least partially open, and that allows the passage through it of one or more types of substances or mixtures, which may be homogeneous or heterogeneous, including compounds, solvents, solutions, emulsions, or dispersions, any one of which may be in the solid, liquid, or gaseous phase. A channel can assume any form or shape such as tubular or cylindrical, a uniform or variable (e.g., tapered) diameter along its length, and one or more cross-sectional shapes along its length such as rectangular, circular, or triangular. A channel is typically made of a suitable material such as a polymer, metal, glass, composite, or other relatively inert materials. As used herein, the term “channel” includes microchannels that are of dimensions suitable for use in devices. A network of channels refers to a multiplicity of channels that are typically connected or in communication with each other. A channel may be connected to at least one other channel through another type of conduit such as a valve.

The term “chemical” refers to a substance, compound, mixture, solution, emulsion, dispersion, molecule, ion, dimer, macromolecule such as a polymer or protein, biomolecule, precipitate, crystal, chemical moiety or group, particle, nanoparticle, reagent, reaction product, solvent, or fluid any one of which may exist in the solid, liquid, or gaseous state, and which is typically the subject of an analysis.

The term “detection region” refers to a part of or a location in a substrate or channel wherein a chemical is identified, measured, or sorted based on a predetermined property or characteristic.

The term “device” refers to a device fabricated or manufactured using techniques such as wet or dry etching and/or conventional lithographic techniques or a micromachining technology such as soft lithography. As used herein, the term “devices” includes those that are called, known, or classified as microfabricated devices. A device according to the invention may have dimensions between about 0.3 cm to about 15 (for 6 inch wafer) cm per side and between about 1 micrometer to about 1 cm thick, but the dimensions of the device may also lie outside these ranges.

The term “discrimination region” refers to a part of or a location in a substrate or channel wherein the flow of a fluid can change direction to enter at least one other channel such as a branch channel.

5 The term “downstream” refers to a position relative to an initial position which is reached after the fluid flows past the initial point. In a circulating flow device, downstream refers to a position farther along the flow path of the fluid before it crosses the initial point again. “Upstream” refers to a point in the flow path of a fluid that the fluid reaches or passes before it reaches or passes a given initial point in a substrate or device.

10 The term “flow” means any movement of a solid or a fluid such as a liquid. For example, the movement of plug-fluid, carrier-fluid, or a plug in a substrate, or component of a substrate according to the invention, or in a substrate or component of a substrate involving a method according to the invention, *e.g.*, through channels of a microfluidic substrate according to the invention, comprises a flow. The application  
15 of any force may be used to provide a flow, including without limitation: pressure, capillary action, electro-osmosis, electrophoresis, dielectrophoresis, optical tweezers, and combinations thereof, without regard for any particular theory or mechanism of action.

The term “immiscible” refers to the resistance to mixing of at least two phases  
20 or fluids under a given condition or set of conditions (*e.g.*, temperature and/or pressure) such that the at least two phases or fluids persist or remain at least partially separated even after the phases have undergone some type of mechanical or physical agitation. Phases or fluids that are immiscible are typically physically and/or chemically discernible, or they may be separated at least to a certain extent.

25 The term “inlet port” refers to an area of a substrate that receives plug-fluids. The inlet port may contain an inlet channel, a well or reservoir, an opening, and other features that facilitate the entry of chemicals into the substrate. A substrate may contain more than one inlet port if desired. The inlet port can be in fluid communication with a channel or separated from the channel by a valve.

30 The term “nanoparticles” refers to atomic, molecular or macromolecular particles typically in the length scale of approximately 1 - 100 nanometer range. Typically, the novel and differentiating properties and functions of nanoparticles are observed or developed at a critical length scale of matter typically under 100 nm. Nanoparticles may be used in constructing nanoscale structures and they may be

integrated into larger material components, systems and architectures. In some particular cases, the critical length scale for novel properties and phenomena involving nanoparticles may be under 1 nm (*e.g.*, manipulation of atoms at approximately 0.1 nm) or it may be larger than 100 nm (*e.g.*, nanoparticle reinforced polymers have the unique feature at approximately 200-300 nm as a function of the local bridges or bonds between the nanoparticles and the polymer).

The term “nucleation composition” refers to a substance or mixture that includes one or more nuclei capable of growing into a crystal under conditions suitable for crystal formation. A nucleation composition may, for example, be induced to undergo crystallization by evaporation, changes in reagent concentration, adding a substance such as a precipitant, seeding with a solid material, mechanical agitation, or scratching of a surface in contact with the nucleation composition.

The term “outlet port” refers to an area of a substrate that collects or dispenses the plug-fluid, carrier-fluid, plugs or reaction product. A substrate may contain more than one outlet port if desired.

The term “particles” means any discrete form or unit of matter. The term “particle” or “particles” includes atoms, molecules, ions, dimers, polymers, or biomolecules.

The term “particulate” refers to a cluster or agglomeration of particles such as atoms, molecules, ions, dimers, polymers, or biomolecules. Particulates may comprise solid matter or be substantially solid, but they may also be porous or partially hollow. They may contain a liquid or gas. In addition, particulates may be homogeneous or heterogeneous, that is, they may comprise one or more substances or materials.

“Plugs” in accordance with the present invention are formed in a substrate when a stream of at least one plug-fluid is introduced into the flow of a carrier-fluid in which it is substantially immiscible. The flow of the fluids in the device is induced by a driving force or stimulus that arises, directly or indirectly, from the presence or application of, for example, pressure, radiation, heat, vibration, sound waves, an electric field, or a magnetic field. Plugs in accordance with the present invention may vary in size but when formed, their cross-section should be substantially similar to the cross-section of the channels in which they are formed. When plugs merge or get trapped inside plug traps, the cross-section of the plugs may change. For example, when a plug enters a wider channel, its cross-section typically increases.

Further, plugs in accordance with the present invention may vary in shape, and for example may be spherical or non-spherical. The shape of the plug may be independent of the shape of the channel (e.g., a plug may be a deformed sphere traveling in a rectangular channel). The plugs may be in the form of plugs comprising  
5 an aqueous plug-fluid containing one or more reagents and/or one or more products formed from a reaction of the reagents, wherein the aqueous plug-fluid is surrounded by a non-polar or hydrophobic fluid such as an oil. The plugs may also be in the form of plugs comprising mainly a non-polar or hydrophobic fluid which is surrounded by an aqueous fluid. The plugs may be encased by one or more layers of molecules that  
10 comprise both hydrophobic and hydrophilic groups or moieties. The term “plugs” also includes plugs comprising one or more smaller plugs, that is, plugs-within-plugs. The relative amounts of reagents and reaction products contained in the plugs at any given time depend on factors such as the extent of a reaction occurring within the plugs. Preferably, plugs contain a mixture of at least two plug fluids.

15 The term “plug-forming region” refers to a junction between an inlet port and the first channel of a substrate according to the invention. Preferably, the fluid introduced into the inlet port is “incompatible” (*i.e.*, immiscible) with the fluid in the first channel so that plugs of the fluid formed in the plug-forming region are entrained into the stream of fluid from the first channel.

20 The term “plug-fluid” refers to a fluid wherein or using which a reaction or precipitation can occur. Typically, the plug-fluid contains a solvent and a reagent although in some embodiments at least one plug-fluid may not contain a reagent. The reagent may be soluble or insoluble in the solvent. The plug-fluid may contain a surfactant. At least two different plug-fluids are used in the present invention. When  
25 both plug-fluids contain reagents, the fluids are typically miscible, but can also be partially immiscible, so long as the reagents within each plug-fluid can react to form at least one product or intermediate.

The term “polymer” means any substance or compound that is composed of two or more building blocks (‘mers’) that are repetitively linked to each other. For  
30 example, a “dimer” is a compound in which two building blocks have been joined together. Polymers include both condensation and addition polymers. Typical examples of condensation polymers include polyamide, polyester, protein, wool, silk, polyurethane, cellulose, and polysiloxane. Examples of addition polymers are polyethylene, polyisobutylene, polyacrylonitrile, poly(vinyl chloride), and

polystyrene. Other examples include polymers having enhanced electrical or optical properties (*e.g.*, a nonlinear optical property) such as electroconductive or photorefractive polymers. Polymers include both linear and branched polymers.

5 The term “protein” generally refers to a set of amino acids linked together usually in a specific sequence. A protein can be either naturally-occurring or man-made. As used herein, the term “protein” includes amino acid sequences that have been modified to contain moieties or groups such as sugars, polymers, metalloorganic groups, fluorescent or light-emitting groups, moieties or groups that enhance or participate in a process such as intramolecular or intermolecular electron transfer,  
10 moieties or groups that facilitate or induce a protein into assuming a particular conformation or series of conformations, moieties or groups that hinder or inhibit a protein from assuming a particular conformation or series of conformations, moieties or groups that induce, enhance, or inhibit protein folding, or other moieties or groups that are incorporated into the amino acid sequence and that are intended to modify the  
15 sequence’s chemical, biochemical, or biological properties. As used herein, a protein includes, but is not limited to, enzymes, structural elements, antibodies, hormones, electron carriers, and other macromolecules that are involved in processes such as cellular processes or activities. Proteins typically have up to four structural levels that include primary, secondary, tertiary, and quaternary structures.

20 The term “reaction” refers to a physical, chemical, biochemical, or biological transformation that involves at least one chemical, *e.g.*, reactant, reagent, phase, carrier-fluid, or plug-fluid and that generally involves (in the case of chemical, biochemical, and biological transformations) the breaking or formation of one or more bonds such as covalent, noncovalent, van der Waals, hydrogen, or ionic bonds. The  
25 term includes typical chemical reactions such as synthesis reactions, neutralization reactions, decomposition reactions, displacement reactions, reduction-oxidation reactions, precipitation, crystallization, combustion reactions, and polymerization reactions, as well as covalent and noncovalent binding, phase change, color change, phase formation, crystallization, dissolution, light emission, changes of light  
30 absorption or emissive properties, temperature change or heat absorption or emission, conformational change, and folding or unfolding of a macromolecule such as a protein.

The term “reagent” refers to a component of a plug-fluid that undergoes or participates (*e.g.*, by influencing the rate of a reaction or position of equilibrium) in at

least one type of reaction with one or more components of other plug-fluids or a reagent-containing carrier-fluid in the substrate to produce one or more reaction products or intermediates which may undergo a further reaction or series of reactions. A reagent contained in a plug-fluid may undergo a reaction in which a stimulus such as radiation, heat, temperature or pressure change, ultrasonic wave, or a catalyst induces a reaction to give rise to a transformation of the reagent to another reagent, intermediate, or product. A reagent may also undergo a reaction such as a phase change (*e.g.*, precipitation) upon interaction with one or more components of other plug-fluids or a reagent-containing carrier-fluid.

10       The term “substrate” refers to a layer or piece of material from which devices or chips are prepared or manufactured. As used herein, the term “substrate” includes any substrate fabricated using any traditional or known microfabrication techniques. The term “substrate” also refers either to an entire device or chip or to a portion, area, or section of a device or chip which may or may not be removable or detachable from the main body of the device or chip. The substrate may be prepared from one or more materials such as glass, silicon, silicone elastomer, and polymers including, but not limited to, polypropylene or polyethylene.

20       The discussion below provides a detailed description of various devices and methods according to the invention for forming plugs, generating gradients in a series of plugs, varying the concentration of reagents inside plugs, rapid mixing in plugs, and scaling of mixing times. In particular, a detailed description of methods for merging, splitting and/or sorting plugs using channels, which form the bases for various applications ranging from the manufacture and analysis of various products to applications in electronics, medicine, diagnostics, and pharmaceuticals, to name a few, is discussed. Methods of detection and measurement of, among others, plugs and processes occurring within plugs are also described.

30       Among the various applications involving the devices and methods according to the invention are particle separation/sorting, synthesis, investigation of nonlinear and stochastic systems, nonlinear amplification using unstable autocatalytic mixtures, use of stochastic chemical systems for chemical amplification, kinetic measurements, time control of processes, increasing the dynamic range of kinetic measurements, ultrafast measurements, crystallization of proteins, and dynamic control of surface chemistry.

In addition, the devices and methods according to the invention offer a wide-range of other applications. For example, the devices and methods according to the invention provide for effective, rapid, and precise manipulation and monitoring of solutions or reactions over a range of time scales (*e.g.*, from tens of microseconds, to  
5 hours or weeks in case of, for example, crystallization) and over a range of solution volumes (*e.g.*, from femtoliters to hundreds of nanoliters).

In one aspect of the invention, the various devices and methods according to the invention are used to overcome one or more of the following problems involving microfluidics. First, the substantial dispersion of solutes in microfluidic channels  
10 increases reagent consumption and makes experiments or measurements over long time scales (*e.g.*, minutes to hours) difficult to perform. Various devices and methods according to the invention are intended to overcome this problem by localizing reagents inside plugs that are encapsulated by an immiscible carrier-fluid.

Second, slow mixing of solutions renders experiments, tests, or reactions  
15 involving very short time scales (*e.g.*, tens of milliseconds and below) either difficult or impossible to perform with existing technologies. In addition, turbulence-based mixing techniques prohibitively increase sample consumption. In accordance with the present invention, this problem is preferably addressed by conducting the mixing process inside plugs. Rather than relying on turbulence, the various devices and  
20 methods according to the invention preferably rely on chaotic advection to accelerate the mixing process. An advantage provided by chaotic advection is that it is expected to operate efficiently in both small and large channels.

Third, achieving control over the chemistry of internal surfaces of devices can be very important at small scales. Thus, being able to control surface chemistry in  
25 small devices for example is highly desirable. In accordance with the devices and methods according to the invention, the surface chemistry to which solutions are exposed is preferably controlled through a careful selection of surfactants that are preferably designed to assemble at the interface between the plugs and the immiscible fluid that surrounds them.

30 Devices and methods of the invention are also provided for use in traditional areas of microfluidics where, for example, miniaturization and speed are important. Thus, the devices and methods according to the invention may be used to develop various tools such as those for high-throughput chemical or biophysical measurements, chemical synthesis, particle formation, and protein crystallization.

They may also be used in high-throughput screening, combinatorial synthesis, analysis, and diagnostics, either as a self-contained platform, or in combination with existing technologies particularly those that rely on the use of immiscible fluid flows.

Importantly, the devices of the invention can be adapted to work with  
5 automation and robotic technology. They may be used, for example, as a basis for ultra-high throughput automated systems for structural and functional characterization of biological molecules. Thus, the various devices and methods according to the invention provide rapid, economical, and accessible means of synthesis, analysis, and measurements in the fields of biology, chemistry, biophysics, bioengineering, and  
10 medicine (*e.g.*, for diagnostics).

The devices and methods of the invention have numerous other possible applications. For example, chaotic mixing at low values of Reynolds number can be exploited as an important tool for controlling unstable chemical reactions. In addition, the systems and devices of the invention may be used for controlling and/or  
15 monitoring reactions that generate highly unstable (or explosive) intermediates. They can also be valuable for controlling or monitoring reactions or processes involving autocatalytic reactions. For example, pure hydrogen peroxide ( $H_2O_2$ ) is an inexpensive and highly effective oxidant, but its autocatalytic decomposition often leads to explosions upon storage and handling. In the microfluidic systems of the invention,  $H_2O_2$  is preferably generated in-situ, stabilized by the chaotic flow, and  
20 used to destroy chemical and biological warfare agents. Because the unstable mixtures in these systems are localized inside plugs formed in accordance with the invention, occasional autocatalytic decomposition in one or more plugs is kept localized within those plugs thereby preventing a catastrophic reaction involving the whole system. In addition, large arrays of microfluidic reactors may be operated in  
25 parallel to provide substantial throughput.

It is also possible to couple multiple autocatalytic reactions in a single network using the devices and methods according to the invention. For example, a sample plug could be split into many smaller plugs and forwarded to individual amplification  
30 cascades. Because the contents of the cascades' outflows exhibit patterns that correspond to the patterns of analytes present in these systems, these patterns could be analyzed using artificial neural network (ANN) (Jackson, R. B. a. T. *Neural Computing: An Introduction*, Hilger, New York, 1991; Zornetzer *et al.*, *An Introduction to Neural and Electronic Networks*, Academic Press, San Diego, CA,

1990.) algorithms. For example, patterns that arise in blood or saliva analysis may correspond to certain normal or abnormal (*e.g.*, disease, fatigue, infection, poisoning) conditions involving, for example, human and animals.

Moreover, it may be possible to create intelligent microfluidic systems in accordance with the invention, where the nonlinear chemical reactions perform not only detection, but also analysis using ANN algorithms. For example, after amplification, the channels of the present invention typically will contain sufficient amounts of material to operate hydrogel-based valves (Liu *et al.*, "Fabrication and characterization of hydrogel-based microvalves," *J. Microelectromech. Syst.* 2002, vol. 11, pp. 45-53; Yu *et al.*, "Responsive biomimetic hydrogel valve for microfluidics," *Appl. Phys. Lett.* 2001, vol. 78, pp. 2589-2591; Beebe *et al.*, "Functional hydrogel structures for autonomous flow control inside microfluidic channels," *Nature*, 2000, vol. 404, 588.). These valves can be used to control flows inside the system as a function of the sample plug composition. Feedforward and even feedback (*e.g.*, by using the hydrogel valves to control the flow of the input streams) networks may thus be created and used for analysis. Such nonlinear networks may be used not only to recognize patterns pre-programmed by the connectivity of the channels (Hjelmfelt *et al.*, "Pattern-Recognition in Coupled Chemical Kinetic Systems," *Science*, 1993, 260, 335-337.) but also to learn patterns by reconfiguring themselves (Jackson, R. B. a. T. *Neural Computing: An Introduction*, Hilger, New York, 1991; Zornetzer *et al.*, *An Introduction to Neural and Electronic Networks*, Academic Press, San Diego, CA, 1990.). Such intelligent microfluidic devices could have unprecedented capabilities for fully autonomous detection, analysis, and signal processing, perhaps surpassing those of biological and current man-made systems.

The devices and methods of the invention are also useful in genomics and proteomics, which are used to identify thousands of new biomolecules that need to be characterized, or are available only in minute quantities. In particular, the success of genomics and proteomics has increased the demand for efficient, high-throughput mechanisms for protein crystallization. X-ray structure determination remains the predominant method of structural characterization of proteins. However, despite significant efforts to understand the process of crystallization, macromolecular crystallization largely remains an empirical field, with no general theory to guide a

rational approach. As a result, empirical screening has remained the most widely used method for crystallizing proteins.

The following areas also provide applications of the devices and methods according to the invention. For example, a number of problems still beset high-throughput kinetics and protein crystallization. When it comes to determining protein structure and quantitatively ascertaining protein interactions, there are at least two technological challenges: (1) most robotic technology still only automate existing methods and are often too expensive for a small research laboratory; and (2) there remains the need for conceptually new methods that provide greater degree of control over the crystallization process. In addition, setting up and monitoring crystallization trials typically involve handling of sub-microliter volumes of fluids over periods ranging from seconds to days.

Thus, various devices and methods according to the present invention are designed to provide novel and efficient means for high-throughput crystallization of soluble and membrane proteins. In addition to being a simple and economical method of setting up thousands of crystallization trials in a matter of minutes, a system according to the invention will enable unique time control of processes such as the mixing and nucleation steps leading to crystallization. A system according to the present invention may also be used to control protein crystallization by controlling not only short time-scale events such as nucleation but also long time-scale events such as crystal growth.

Further, the devices and methods of the present invention may be used in high-throughput, kinetic, and biophysical measurements spanning the  $10^{-5}$  -  $10^7$  second time regime. Preferably, the various devices and methods according to the present invention require only between about a few nanoliters to about a few microliters of each solution. Applications of such devices and methods include studies of enzyme kinetics and RNA folding, and nanoparticle characterization and synthesis, which are discussed in detail below.

## **CHANNELS AND DEVICES**

In one aspect of the invention, a device is provided that includes one or more substrates comprising a first channel comprising an inlet separated from an outlet; optionally, one or more secondary channels (or branch channels) in fluid communication with the first channel, at least one carrier-fluid reservoir in fluid

communication with the first channel, at least two plug-fluid reservoirs in fluid communication with the first channel, and a means for applying continuous pressure to a fluid within the substrate.

5 A device according to the invention preferably comprises at least one substrate.

A substrate may include one or more expansions or areas along a channel wherein plugs can be trapped. The substrates of the present invention may comprise an array of connected channels.

10 The device may have one or more outlet ports or inlet ports. Each of the outlet and inlet ports may also communicate with a well or reservoir. The inlet and outlet ports may be in fluid communication with the channels or reservoirs that they are connecting or may contain one or more valves. Fluid can be introduced into the channels via the inlet by any means. Typically, a syringe pump is used, wherein the flow rate of the fluid into the inlet can be controlled.

15 A plug-forming region generally comprises a junction between a plug-fluid inlet and a channel containing the carrier-fluid such that plugs form which are substantially similar in size to each other and which have cross-sections which are substantially similar in size to the cross-section of the channel in the plug-forming region. In one embodiment, the substrate may contain a plurality of plug-forming regions.

20 The different plug-forming regions may each be connected to the same or different channels of the substrate. Preferably, the sample inlet intersects a first channel such that the pressurized plug fluid is introduced into the first channel at an angle to a stream of carrier-fluid passing through the first channel. For example, in preferred embodiments, the sample inlet and first channel intercept at a T-shaped junction; *i.e.*, such that the sample inlet is perpendicular (*i.e.* at an angle of 90°) to the first channel. However, the sample inlet may intercept the first channel at any angle.

25 A first channel may in turn communicate with two or more branch channels at another junction or “branch point”, forming, for example, a T-shape or a Y-shape. Other shapes and channel geometries may be used as desired. In exemplary embodiments the angle between intersecting channels is in the range of from about 60° to about 120°. Particular exemplary angles are 45°, 60°, 90°, and 120°. Precise boundaries for the discrimination region are not required, but are preferred.

The first and branch channels of the present invention can, each independently, be straight or have one or more bends. The angle of a bend, relative to the substrate, can be greater than about 10°, preferably greater than about 135°, 180°, 270°, or 360°.

5           In one embodiment of the invention, a substrate comprises at least one inlet port in communication with a first channel at or near a plug-forming region, a detection region within or coincident with all or a portion of the first channel or plug-forming region, and a detector associated with the detection region. In certain embodiments the device may have two or more plug-forming regions. For example,  
10           embodiments are provided in which the analysis unit has a first inlet port in communication with the first channel at a first plug-forming region, a second inlet port in communication with the first channel at a second plug-forming region (preferably downstream from the first plug-forming region), and so forth.

          In another embodiment, a substrate according to the invention may comprise a  
15           first channel through which a pressurized stream or flow of a carrier-fluid is passed, and two or more inlet channels which intersect the first channel at plug-forming regions and through which a pressurized stream or flow of plug fluids pass. Preferably, these inlet channels are parallel to each other and each intercept the first channel at a right angle. In specific embodiments wherein the plugs introduced  
20           through the different plug forming regions are mixed, the inlet channels are preferably close together along the first channel. For example, the first channel may have a diameter of 60 μm that tapers to 30 μm at or near the plug-forming regions. The inlet channels then also preferably have a diameter of about 30 μm and, in embodiments where plug mixing is preferred, are separated by a distance along the first channel  
25           approximately equal to the diameter of the inlet channel (*i.e.*, about 30 μm).

          In an embodiment according to the invention, the substrate also has a detection region along a channel. There may be a plurality of detection regions and detectors, working independently or together, *e.g.*, to analyze one or more properties of a chemical such as a reagent.

30           A detection region is within, communicating, or coincident with a portion of a first channel at or downstream of the plug-forming region and, in sorting embodiments, at or upstream of the discrimination region or branch point. Precise boundaries for the detection region are not required, but are preferred.

A typical substrate according to the invention comprises a carrier-fluid inlet that is part of and feeds or communicates directly with a first channel, along with one or more plug fluid inlets in communication with the first channel at a plug-forming region situated downstream from the main inlet (each different plug-fluid inlet  
5 preferably communicates with the first channel at a different plug-forming region).

Plugs formed from different plug-fluids or solutions may be released in any order. For example, an aqueous solution containing a first plug-fluid may be released through a first inlet at a first plug-forming region. Subsequently, plugs of an aqueous second plug-fluid may be released through a second inlet at a second plug-forming  
10 region downstream of the first inlet.

### **Fabrication of Channels, Substrates, and Devices**

The substrates and devices according to the invention are fabricated, for example by etching a silicon substrate, chip, or device using conventional  
15 photolithography techniques or micromachining technology, including soft lithography. The fabrication of microfluidic devices using polydimethylsiloxane has been previously described. These and other fabrication methods may be used to provide inexpensive miniaturized devices, and in the case of soft lithography, can provide robust devices having beneficial properties such as improved flexibility,  
20 stability, and mechanical strength. Preferably, when optical detection is employed, the invention also provides minimal light scatter from, for example, plugs, carrier-fluid, and substrate material. Devices according to the invention are relatively inexpensive and easy to set up.

Machining methods (*e.g.*, micromachining methods) that may be used to  
25 fabricate channels, substrates, and devices according to the invention are well known in the art and include film deposition processes, such as spin coating and chemical vapor deposition, laser fabrication or photolithographic techniques, or etching methods, which maybe performed either by wet chemical or plasma processes.

Channels may be molded onto optically transparent silicone rubber or  
30 polydimethylsiloxane (PDMS), preferably PDMS. This can be done, for example, by casting the channels from a mold by etching the negative image of these channels into the same type of crystalline silicon wafer used in semiconductor fabrication. The same or similar techniques for patterning semiconductor features can be used to form the pattern of the channels. In one method of channel fabrication, an uncured PDMS

is poured onto the molds placed in the bottom of, for example, a Petri dish. To accelerate curing, the molds are preferably baked. After curing the PDMS, it is removed from on top of the mold and trimmed. Holes may be cut into the PDMS using, for example, a tool such as a cork borer or a syringe needle. Before use, the PDMS channels may be placed in a hot bath of HCl if it is desired to render the surface hydrophilic. The PDMS channels can then be placed onto a microscope cover slip (or any other suitable flat surface), which can be used to form the base/floor or top of the channels.

A substrate according to the invention is preferably fabricated from materials such as glass, polymers, silicon microchip, or silicone elastomers. The dimensions of the substrate may range, for example, between about 0.3 cm to about 7 cm per side and about 1 micron to about 1 cm in thickness, but other dimensions may be used.

A substrate can be fabricated with a fluid reservoir or well at the inlet port, which is typically in fluid communication with an inlet channel. A reservoir preferably facilitates introduction of fluids into the substrate and into the first channel. An inlet port may have an opening such as in the floor of the substrate to permit entry of the sample into the device. The inlet port may also contain a connector adapted to receive a suitable piece of tubing, such as Teflon<sup>®</sup> tubing, liquid chromatography or HPLC tubing, through which a fluid may be supplied. Such an arrangement facilitates introducing the fluid under positive pressure in order to achieve a desired pressure at the plug-forming region.

A substrate containing the fabricated flow channels and other components is preferably covered and sealed, preferably with a transparent cover, *e.g.*, thin glass or quartz, although other clear or opaque cover materials may be used. Silicon is a preferred substrate material due to well-developed technology permitting its precise and efficient fabrication, but other materials may be used, including polymers such as polytetrafluoroethylenes. Analytical devices having channels, valves, and other elements can be designed and fabricated from various substrate materials. When external radiation sources or detectors are employed, the detection region is preferably covered with a clear cover material to allow optical access to the fluid flow. For example, anodic bonding of a silicon substrate to a PYREX<sup>®</sup> cover slip can be accomplished by washing both components in an aqueous H<sub>2</sub>SO<sub>4</sub>/H<sub>2</sub>O<sub>2</sub> bath, rinsing in water, and then, for example, heating to about 350 °C while applying a voltage of 450 V.

A variety of channels for sample flow and mixing can be fabricated on the substrate and can be positioned at any location on the substrate, chip, or device as the detection and discrimination or sorting points. Channels can also be designed into the substrate that place the fluid flow at different times/distances into a field of view of a  
5 detector. Channels can also be designed to merge or split fluid flows at precise times/distances.

A group of manifolds (a region consisting of several channels that lead to or from a common channel) can be included to facilitate the movement of plugs from different analysis units, through the plurality of branch channels and to the  
10 appropriate solution outlet. Manifolds are preferably fabricated into the substrate at different depth levels. Thus, devices according to the invention may have a plurality of analysis units that can collect the solution from associated branch channels of each unit into a manifold, which routes the flow of solution to an outlet. The outlet can be adapted for receiving, for example, a segment of tubing or a sample tube, such as a  
15 standard 1.5 ml centrifuge tube. Collection can also be done using micropipettes.

## METHODS OF FORMING PLUGS

The various channels, substrates, and devices according to the invention are primarily used to form and manipulate plugs.

20 In a preferred embodiment, plug-fluids do not significantly mix at or before they are introduced into the first channel. The plug-fluids may form distinct laminar streams at or before the inlet. They may be separated by an additional fluid. Alternatively, they may be introduced into the carrier-fluid via inlets of differing size. The concentration of plug-fluids in the plugs may be adjusted by adjusting volumetric  
25 flow rates of the plug-fluids. Further, the diameters of the first channel and the branch channel(s) may differ.

FIG. 2A is a schematic diagram contrasting laminar flow transport and plug transport in a channel. In the lower figure which depicts the transport of plugs, two aqueous reagents (marked in red and blue) form laminar streams that are separated by  
30 a “divider” aqueous stream. The three streams enter a channel with flowing oil, at which point plugs form and plug fluids mix. During plug transport, rapid mixing of the plug-fluids typically occurs within the plugs. In contrast, in laminar flow transport, fluid mixing occurs slowly, and with high dispersion, as shown in the upper figure. In the upper figure, the time  $t$  at a given point  $d_1$  can be estimated from  $t_1 \approx$

$d_1/U$ , where  $d_1$  is the distance from  $d=0$  and  $U$  is the flow velocity. In the lower figure, the time  $t$  is given by  $t_1 = d_1/U$ .

FIG. 2B shows a photograph and a schematic diagram that depict mixing in water/oil plugs (upper schematic and photograph) and in laminar streams (lower schematic and photograph) comprising only aqueous plug-fluids. The oil (carrier-fluid in this case) is introduced into channel 200 of a substrate. Instead of oil, water is introduced into the corresponding channel 207 in the case of mixing using laminar streams. The three aqueous plug-fluids are introduced by inlet ports 201, 202, 203 into the carrier-fluid (and by inlet ports 204, 205, 206 in the case of laminar streams). A preferred scheme is one in which the aqueous plug-fluids initially coflow preferably along a short or minimal distance before coming in contact with the carrier-fluid. In a preferred embodiment, the distance traversed by the coflowing plug-fluids is approximately or substantially equal to the width of the channel.

The middle or second aqueous plug-fluid in the top figure may be plain water, buffer, solvent, or a different plug-fluid. The middle aqueous plug-fluid would preferably initially separate the two other aqueous plug-fluids before the aqueous fluids come into contact with the carrier-fluid. Thus, the intervening aqueous plug-fluid would prevent, delay, or minimize the reaction or mixing of the two outer aqueous plug-fluids before they come in contact with the carrier-fluid. The plugs that form in the plug-forming region can continue along an unbranched channel, can split and enter a channel, can merge with plugs from another channel, or can exit the substrate through an exit port. It can be seen in FIG. 2 that, in the absence of an oil, the aqueous plug-fluids flow in laminar streams without significant mixing or with only partial mixing. In contrast, plug-fluids mix substantially or completely in the plugs.

FIG. 3 shows photographs and schematic diagrams that depict a stream of plugs from an aqueous plug-fluid and an oil (carrier-fluid) in curved channels at flow rates of  $0.5 \mu\text{L}/\text{min}$  (top schematic diagram and photograph) and  $1.0 \mu\text{L}/\text{min}$  (bottom schematic diagram and photograph). This scheme allows enhanced mixing of reagents in the elongated plugs flowing along a curved channel with smooth corners or curves. The carrier-fluid is introduced into an inlet port 300, 307 of a substrate while the three aqueous plug-fluids are introduced in separate inlet ports 301-306. As in FIG. 2, a preferred scheme would be one in which the plug-fluids initially coflow preferably along a short or minimal distance before coming in contact with the

carrier-fluid. In a preferred embodiment, the distance traversed by the coflowing plug-fluids (*e.g.*, aqueous plug-fluids) is approximately or substantially equal to the width of the channel. The middle or second aqueous plug-fluid may comprise plain water, buffer, solvent, or a plug-fluid, and the middle aqueous plug-fluid preferably initially separates the two other aqueous plug-fluids before the aqueous plug-fluids come into contact with the carrier-fluid which, in this case, is an oil. Thus, the intervening aqueous plug-fluid would prevent, delay, or minimize the reaction or mixing of the two outer aqueous plug-fluids before they come in contact with the oil (or carrier-fluid).

FIG. 4 shows a photograph and schematic diagram that illustrate plug formation through the injection of oil and multiple plug-fluids. Although FIG. 4 shows five separate plug-fluids, one may also separately introduce less than or more than five plug-fluids into the substrate. The reagents or solvents comprising the plug-fluids may be different or some of them may be identical or similar. As in FIG. 2, the oil is introduced into an inlet port 400 of a substrate while the aqueous plug-fluid is introduced in separate inlet ports 401-405. The water plugs then flow through exit 406. A preferred scheme is one in which the aqueous plug-fluids would initially coflow preferably along a short or minimal distance before coming in contact with the oil. In a preferred embodiment, the distance traversed by the coflowing plug-fluids is approximately or substantially equal to the width of the channel. One or more of the aqueous plug-fluids may comprise plain water, buffer, solvent, or a plug-fluid, and at least one aqueous plug-fluid would preferably initially separate at least two other aqueous streams before the aqueous plug-fluid comes into contact with the oil. Thus, the at least one intervening aqueous plug-fluid would prevent, delay, or minimize the reaction or mixing of the two outer aqueous streams before the aqueous streams come in contact with the oil. FIG. 5 shows a microfluidic network, which is similar to that shown in FIG. 4, in which several reagents can be introduced into the multiple inlets. In addition, FIG. 5 shows a channel having a winding portion through which the plugs undergo mixing of the four reagents A, B, C, and D. As shown in FIG. 5, the reagents A, B, C, and D are introduced into inlet ports 501, 503, 505, and 507, while aqueous streams are introduced into inlet ports 502, 504, 506. FIG. 5 shows plugs through the various stages of mixing, wherein mixture 50 corresponds to the initial A+B mixture, mixture 51 corresponds to the initial C+D mixture, mixture 52 corresponds to the

mixed A+B mixture, mixture 53 corresponds to the mixed C+D mixture, and mixture 54 corresponds to the A+B+C+D mixture.

The formation of the plugs preferentially occurs at low values of the capillary number C.n., which is given by the equation

5 
$$\text{C.n.} = U\mu/\gamma \quad \text{Eqn. (1)}$$

where U is the flow velocity,  $\mu$  is the viscosity of the plug fluid or carrier-fluid, and  $\gamma$  is the surface tension at the water/surfactant interface.

The plugs may be formed using solvents of differing or substantially identical viscosities. Preferably, the conditions and parameters used in an experiment or  
10 reaction are such that the resulting capillary number lies in the range of about  $0.001 \leq \text{C.n.} \leq$  about 10. Preferably, the values of parameters such as viscosities and velocities are such that plugs can be formed reliably. Without wishing to be bound by theory, it is believed that as long as flow is not stopped, the C.n. is  $\leq$  about 0.2, and as long as the surface tension of the plug-fluid/carrier-fluid interface is lower than the  
15 surface tension of the solution/wall interface, plug formation will persist. The C.n. number is zero when flow is stopped.

In one embodiment, in which perfluorodecaline was used as the carrier-fluid and the plug-fluid was aqueous, it was found that this system can be operated at values of C.n. up to  $\sim 0.1$  (at  $300 \text{ mm s}^{-1}$ ). In this system, as the value of the C.n.  
20 increased above  $\sim 0.2$ , the formation of plugs became irregular. The viscosity of perfluorodecaline is  $5.10 \times 10^{-3} \text{ kg m}^{-3} \text{ s}^{-1}$ , the surface tension at the interface between the plugs and the carrier-fluid was  $13 \times 10^{-3} \text{ N m}^{-1}$ .

The length of the plugs can be controlled such that their sizes can range from, for example, about 1 to 4 times a cross-sectional dimension (d, where d is a channel  
25 cross-sectional dimension) of a channel using techniques such as varying the ratio of the plug-fluids and carrier-fluids or varying the relative volumetric flow rates of the plug-fluid and carrier-fluid streams. Short plugs tend to form when the flow rate of the aqueous stream is lower than that of a carrier-fluid stream. Long plugs tend to form when the flow rate of the plug-fluid stream is higher than that of the carrier  
30 stream.

In one approximation, the volume of a plug is taken equal to about  $2xd^3$ , where d is a cross-sectional dimension of a channel. Thus, the plugs can be formed in channels having cross-sectional areas of, for example, from  $20 \times 20$  to  $200 \times 200 \text{ } \mu\text{m}^2$ , which correspond to plug volumes of between about 16 picoliters (pL) to 16

nanoliters (nL). The size of channels may be increased to about 500  $\mu\text{m}$  (corresponding to a volume of about 250 nL) or more. The channel size can be reduced to, for example, about 1  $\mu\text{m}$  (corresponding to a volume of about 1 femtoliter). Larger plugs are particularly useful for certain applications such as protein crystallizations, while the smaller plugs are particularly useful in applications such as ultrafast kinetic measurements.

In one preferred embodiment, plugs conform to the size and shape of the channels while maintaining their respective volumes. Thus, as plugs move from a wider channel to a narrower channel they preferably become longer and thinner, and vice versa.

Plug-fluids may comprise a solvent and optionally, a reactant. Suitable solvents for use in the invention, such as those used in plug-fluids, include organic solvents, aqueous solvents, oils, or mixtures of the same or different types of solvents, *e.g.* methanol and ethanol, or methanol and water. The solvents according to the invention include polar and non-polar solvents, including those of intermediate polarity relative to polar and non-polar solvents. In a preferred embodiment, the solvent may be an aqueous buffer solution, such as ultrapure water (*e.g.*, 18 M $\Omega$  resistivity, obtained, for example, by column chromatography), 10 mM Tris HCl, and 1 mM EDTA (TE) buffer, phosphate buffer saline or acetate buffer. Other solvents that are compatible with the reagents may also be used.

Suitable reactants for use in the invention include synthetic small molecules, biological molecules (*i.e.*, proteins, DNA, RNA, carbohydrates, sugars, etc.), metals and metal ions, and the like.

The concentration of reagents in a plug can be varied. In one embodiment according to the invention, the reagent concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. In other embodiments, the reagent concentration in the plug-fluid is adjusted to concentrate enough that the amount of reaction product can be maximized.

Suitable carrier-fluids include oils, preferably fluorinated oils. Examples include viscous fluids, such as perfluorodecaline or perfluoroperhydrophenanthrene; nonviscous fluids such as perfluorohexane; and mixtures thereof (which are particularly useful for matching viscosities of the carrier-fluids and plug-fluids).

Commercially available fluorinated compounds such as Fluorinert™ liquids (3M, St. Paul, MN) can also be used.

The carrier-fluid or plug-fluid, or both may contain additives, such as agents that reduce surface tensions (*e.g.*, surfactants). Other agents that are soluble in a carrier-fluid relative to a plug-fluid can also be used when the presence of a surfactant in the plug fluid is not desirable. Surfactants may be used to facilitate the control and optimization of plug size, flow and uniformity. For example, surfactants can be used to reduce the shear force needed to extrude or inject plugs into an intersecting channel. Surfactants may affect plug volume or periodicity, or the rate or frequency at which plugs break off into an intersecting channel. In addition, surfactants can be used to control the wetting of the channel walls by fluids. In one embodiment according to the invention, at least one of the plug-fluids comprises at least one surfactant.

Preferred surfactants that may be used include, but are not limited to, surfactants such as those that are compatible with the carrier and plug-fluids. Exemplary surfactants include Tween™, Span™, and fluorinated surfactants (such as Zonyl™ (Dupont, Wilmington DE)). For example, fluorinated surfactants, such as those with a hydrophilic head group, are preferred when the carrier-fluid is a fluorinated fluid and the plug-fluid is an aqueous solution.

However, some surfactants may be less preferable in certain applications. For instance, in those cases where aqueous plugs are used as microreactors for chemical reactions (including biochemical reactions) or are used to analyze and/or sort biomaterials, a water soluble surfactant such as SDS may denature or inactivate the contents of the plug.

The carrier-fluid preferably wets the walls of the channels preferentially over the plugs. If this condition is satisfied, the plug typically does not come in contact with the walls of the channels, and instead remains separated from the walls by a thin layer of the carrier-fluid. Under this condition, the plugs remain stable and do not leave behind any residue as they are transported through the channels. The carrier-fluid's preferential wetting of the channel walls over the plug-fluid is achieved preferably by setting the surface tension by, for example, a suitable choice of surfactant. Preferably, the surface tension at a plug fluid/channel wall interface (*e.g.*, about 38 mN/m surface tension for a water/PDMS interface) is set higher than the surface tension at a plug fluid/carrier-fluid interface (*e.g.*, about 13 mN/m for a

water/carrier-fluid interface with a surfactant such as 10% 1H,1H,2H,2H-perfluorooctanol in perfluorodecaline as the carrier-fluid). If this condition is not satisfied, plugs tend to adhere to the channel walls and do not undergo smooth transport (*e.g.*, in the absence of 1H,1H,2H,2H-perfluorooctanol the surface tension at the water/perfluorodecaline interface is about 55 mN/m, which is higher than the surface tension of the water/PDMS interface (*e.g.*, about 38 mN/m)), and plugs adhere to the walls of the PDMS channels. Because the walls of the channels (PDMS, not fluorinated) and the carrier-fluid (fluorinated oil) are substantially different chemically, when a fluorinated surfactant is introduced, the surfactant reduces the surface tension at the oil-water interface preferentially over the wall-water interface. This allows the formation of plugs that do not stick to the channel walls.

The surface tension at an interface may be measured using what is known as a hanging drop method, although one may also use other methods. Preferably, the surface tension is sufficiently high to avoid destruction of the plugs by shear.

The plug-fluids and carrier-fluids may be introduced through one or more inlets. Specifically, fluids may be introduced into the substrate through pneumatically driven syringe reservoirs that contain either the plug-fluid or carrier-fluid. Plugs may be produced in the carrier-fluid stream by modifying the relative pressures such that the plug-fluids contact the carrier-fluid in the plug-forming regions then shear off into discrete plugs.

In the invention, plugs are formed by introducing the plug-fluid, at the plug-forming region, into the flow of carrier-fluid passing through the first channel. The force and direction of flow can be controlled by any desired method for controlling flow, for example, by a pressure differential, or by valve action. This permits the movement of the plugs into one or more desired branch channels or outlet ports.

In preferred embodiments according to the invention, one or more plugs are detected, analyzed, characterized, or sorted dynamically in a flow stream of microscopic dimensions based on the detection or measurement of a physical or chemical characteristic, marker, property, or tag.

The flow stream in the first channel is typically, but not necessarily continuous and may be stopped and started, reversed or changed in speed. Prior to sorting, a non-plug-fluid can be introduced into a sample inlet port (such as an inlet well or channel) and directed through the plug-forming region, *e.g.*, by capillary action, to hydrate and prepare the device for use. Likewise, buffer or oil can also be introduced into a main

inlet port that communicates directly with the first channel to purge the substrate (*e.g.*, of “dead” air) and prepare it for use. If desired, the pressure can be adjusted or equalized, for example, by adding buffer or oil to an outlet port.

5 The pressure at the plug-forming region can also be regulated by adjusting the pressure on the main and sample inlets, for example with pressurized syringes feeding into those inlets. By controlling the difference between the oil and water flow rates at the plug-forming region, the size and periodicity of the plugs generated may be regulated. Alternatively, a valve may be placed at or coincident to either the plug-forming region or the sample inlet connected thereto to control the flow of solution  
10 into the plug-forming region, thereby controlling the size and periodicity of the plugs. Periodicity and plug volume may also depend on channel diameter and/or the viscosity of the fluids.

### Mixing in Plugs

15 FIG. 7 (a)-(b) show microphotographs (10  $\mu$ s exposure) illustrating rapid mixing inside plugs (a) and negligible mixing in a laminar flow (b) moving through winding channels at the same total flow velocity. Aqueous streams were introduced into inlets 700-705 in FIGS. 7(a)-(b). In FIGS. 7(c) and 7(e), Fluo-4 was introduced into inlets 706, 709, buffer was introduced into inlets 707, 710, and  $\text{CaCl}_2$  was  
20 introduced into inlets 708, 711. FIG. 7(c) shows a false-color microphotograph (2 s exposure, individual plugs are invisible) showing time-averaged fluorescence arising from rapid mixing inside plugs of solutions of Fluo-4 (54  $\mu\text{M}$ ) and  $\text{CaCl}_2$  (70  $\mu\text{M}$ ) in aqueous sodium morpholine propanesulfonate buffer (20  $\mu\text{M}$ , pH 7.2); this buffer was also used as the middle aqueous stream. FIG. 7(d) shows a plot of the relative  
25 normalized intensity ( $I$ ) of fluorescence obtained from images such as shown in (c) as a function of distance (left) traveled by the plugs and of time required to travel that distance (right) at a given flow rate. The total intensity across the width of the channel was measured. Total PFD/water volumetric flow rates (in  $\mu\text{L min}^{-1}$ ) were 0.6:0.3, 1.0:0.6, 12.3:3.7, 10:6, and 20:6. FIG. 7(e) shows a false-color microphotograph (2 s  
30 exposure) of the weak fluorescence arising from negligible mixing in a laminar flow of the solutions used in (c). All channels were 45  $\mu\text{m}$  deep; inlet channels were 50  $\mu\text{m}$  and winding channels 28  $\mu\text{m}$  wide;  $\text{Re} \sim 5.3$  (water),  $\sim 2.0$  (PFD).

FIG. 8 shows photographs and schematics that illustrate fast mixing at flow rates of about 0.5  $\mu\text{L}/\text{min}$  (top schematic diagram and photograph) and about 1.0  $\mu\text{L}/\text{min}$  (lower schematic diagram and photograph) using 90°-step channels while FIG. 9 illustrates fast mixing at flow rates of about 1.0  $\mu\text{L}/\text{min}$  (top schematic diagram and photograph) and about 0.5  $\mu\text{L}/\text{min}$  (lower schematic diagram and photograph) using 135°-step channels. Aqueous streams are introduced into inlets 800-805 in FIG. 8 (inlets 900-905 in FIG. 9), while a carrier fluid is introduced into channels 806, 807 (channels 906, 907 in FIG. 9). The plugs that form then flow through exits 808, 809 (FIG. 8) and exits 908, 909 (FIG. 9). As can be seen in FIG. 8 and FIG. 9, the plugs are transported along multi-step channels, instead of channels with smooth curves (as opposed to channels with sharp corners). An advantage of these multi-step configurations of channels is that they may provide further enhanced mixing of the substances within the plugs.

Several approaches may be used to accelerate or improve mixing. These approaches may then be used to design channel geometries that allow control of mixing. Flow can be controlled by perturbing the flow inside a moving plug so that it differs from the symmetric flow inside a plug that moves through a straight channel. For example, flow perturbation can be accomplished by varying the geometry of a channel (*e.g.*, by using winding channels), varying the composition of the plug fluid (*e.g.*, varying the viscosities), varying the composition of the carrier-fluid (*e.g.*, using several laminar streams of carrier-fluids that are different in viscosity or surface tension to form plugs; in this case, mixing is typically affected, and in some cases enhanced), and varying the patterns on the channel walls (*e.g.*, hydrophilic and hydrophobic, or differentially charged, patches would interact with moving plugs and induce time-periodic flow inside them, which should enhance mixing).

Various channel designs can be implemented to enhance mixing in plugs. FIG. 1A shows a schematic of a basic channel design, while FIG. 1B shows a series of periodic variations of the basic channel design. FIG. 1C shows a series of aperiodic combinations resulting from a sequence of alternating elements taken from a basic design element shown in FIG. 1A and an element from the periodic variation series shown in FIGS. 1B(1)-(4). When the effects of these periodic variations are visualized, aperiodic combinations of these periodic variations are preferably used to break the symmetries arising from periodic flows (see FIG. 1C). Here, the relevant parameters are channel width, period, radius of curvature, and sequence of turns based

on the direction of the turns. The parameters of the basic design are defined such that  $c$  is the channel width,  $l$  is the period, and  $r$  is the radius of curvature. For the basic design, the sequence can be defined as (left, right, left, right), where left and right is relative to a centerline along the path taken by a plug in the channel.

5           FIGS. 1B(1)-4) show schematic diagrams of a series of periodic variations of the basic design. At least one variable parameter is preferably defined based on the parameters defined in FIG. 1a). In FIG. 1B(1), the channel width is  $c/2$ ; in FIG. 1B(2), the period is  $2l$ ; and in FIG. 1B(3), and the radius of curvature is  $2r$ . In FIG. 1B(4), the radius of curvature is  $r/2$  and the sequence is (left, left, right, right).

10           FIGS. 1C(1)-(4) show a schematic diagram of a series of aperiodic combinations formed by combining the basic design element shown in FIG. 1A with an element from the series of periodic variations in FIG. 1B(1)-(4). In FIG. 1C(1), the alternating pattern of a period of the basic design shown in FIG. 1A (here denoted as “a”) and a period of the channel in FIG. 1B(1) (here denoted as “b1”) is given by a +  
15   b1+ a+. . . In FIG. 1C(2), the aperiodic combination is given by a + b2 + a. In the channel shown in FIG. 1C(3) (here denoted as “c3”), the aperiodic combination is given by a + c3 + a. In the channel shown in FIG. 1C(4) (here denoted as “c4”), a (right, left) sequence is introduced with a kink in the pattern. A repeating (left, right) sequence would normally be observed. By adding this kink, the sequence becomes  
20   (left, right, left, right)+(right, left)+(left, right, left, right).

          Another approach for accelerating mixing relies on rationally-designed chaotic flows on a microfluidic chip using what is known as the baker’s transformation. Reorientation of the fluid is critical for achieving rapid mixing using the baker’s transformation. The baker’s transformation leads to an exponential decrease of the  
25   striation thickness (the distance over which mixing would have to occur by diffusion) of the two components via a sequence of stretching and folding operations. Typically, every stretch-fold pair reduces the striation thickness by a factor of 2, although this factor may have a different value. The striation thickness (ST) can be represented, in an ideal case, by Eqn. (2) below. Thus, in the ideal case, in a sequence of  $n$  stretch-  
30   fold-reorient operations, the striation thickness undergoes an exponential decrease given by

$$ST(t_n) = ST(t_0) \times 2^{-n} \quad \text{Eqn. (2)}$$

where  $ST(t_n)$  represents the striation thickness at time  $t_n$ ,  $ST(t_0)$  represents the initial striation thickness at time  $t_0$ , and  $n$  is the number of stretch-fold-reorient operations.

In accordance with the invention, the baker's transformation is preferably implemented by creating channels composed of a sequence of straight regions and sharp turns. FIG. 11 shows a schematic diagram of a channel geometry designed to implement and visualize the baker's transformation of plugs flowing through microfluidic channels. Other designs could also be used. The angles at the channel bends and the lengths of the straight portions are chosen so as to obtain optimal mixing corresponding to the flow patterns shown. Different lengths of straight paths and different turns may be used depending on the particular application or reaction involved.

A plug traveling through every pair of straight part 112 and sharp-turn part 111 of the channel, which is equivalent to one period of a baker's transformation, will experience a series of reorientation, stretching and folding. In a straight part of the channel, a plug will experience the usual recirculating flow. At a sharp turn, a plug normally rolls and reorients due to the much higher pressure gradient across the sharp internal corner and also due to larger travel path along the outside wall. This method of mixing based on the baker's transformation is very efficient and is thus one of the preferred types of mixing. In particular, this type of mixing leads to a rapid reduction of the time required for reagent mixing via diffusion.

It is believed that plug formation can be maintained at about the same flow rate in channels of different sizes because the limit of a flow rate is typically set by the capillary number,  $C.n.$ , which is independent of the channel size. At a fixed flow rate, the mixing time  $t_{mix}$  may decrease as the size of the channel ( $d$ ) is reduced. First, it is assumed that it takes the same number  $n$  of stretch-fold-reorient cycles to mix reagents in both large and small channels. This assumption (*e.g.*, for  $n \sim 5$ ) is in approximate agreement with previously measured mixing in  $d=55$  and  $d=20$  micrometer ( $\mu m$ ) channels. Each cycle requires a plug to travel over a distance of approximately 2 lengths of the plug (approximately  $3d$ ). Therefore, mixing time is expected to be approximately equal to the time it takes to travel  $15d$ , and will decrease linearly with the size of the channel,  $t_{mix} \sim d$ . A method that provides mixing in about 1 ms in 25- $\mu m$  channels preferably provides mixing in about 40  $\mu s$  in 1- $\mu m$  channels. Achieving microsecond mixing times generally requires the use of small channels. High pressures are normally required to drive a flow through small channels.

Without wishing to be bound by theory, theoretical modeling indicates that the number of cycles it takes for mixing to occur in a channel with diameter  $d$  is given approximately by

$$n \times 2^{2n} \approx dU/D \quad \text{Eqn. (3)}$$

5 where  $n$  is the number of cycles,  $U$  is the flow velocity,  $D$  is the diffusion constant, one cycle is assumed to be equal to  $6d$ , and mixing occurs when convection and diffusion time scales are matched. The mixing time is primarily determined by the number of cycles. This result indicates that mixing will be accelerated more than just in direct proportion to the channel diameter. For example, when  $d$  decreases by a  
10 factor of 10, mixing time decreases by a factor of  $d \times \text{Log}(d) = 10 \times \text{Log}(10)$ . With properly designed channels, mixing times in 1- $\mu\text{m}$  channels can be limited to about 20  $\mu\text{s}$ . Even at low flow rates or long channels (such as those involving protein crystallization), however, significant mixing can still occur. In addition, without being bound by theory, it is expected that increasing the flow rate  $U$  by a factor of 10  
15 will decrease the mixing time by a factor of  $\text{Log}(U)/U = (\text{Log}(10))/10$ .

To visualize mixing in a channel according to the invention, a colored marker can be used in a single plug-fluid. The initial distribution of the marker in the plug has been observed to depend strongly on the details of plug formation. As the stationary aqueous plug was extruded into the flowing carrier-fluid, shearing  
20 interactions between the flow of the carrier-fluid and the plug-fluid induced an eddy that redistributed the solution of the marker to different regions of the plug. The formation of this eddy is referred to here as “twirling” (see FIG. 27b)). Twirling is not a high Reynolds number ( $Re$ ) phenomenon (see FIG. 30) since it was observed at substantially all values of  $Re$  and at substantially all velocities. However, the flow  
25 pattern of this eddy appears to be slightly affected by the velocity.

Various characteristics and behavior of twirling were observed. Twirling redistributed the marker by transferring it from one side of the plug to the other, *e.g.*, from the right to the left side of the plug. The most efficient mixing was observed when there was minimal fluctuations in intensity, *i.e.*, when the marker was evenly  
30 distributed across the plug. While twirling was present during the formation of plugs of all lengths that were investigated, its significance to the mixing process appears to depend on the length of the plug. For example, the extent of twirling was observed to be significantly greater for short plugs than for long plugs. Twirling was also observed to affect only a small fraction of the long plugs and had a small effect on the

distribution of the marker in the plugs. Moreover, twirling occurred only at the tip of the forming plug before the tip made contact with the right wall of the microchannel. Also, the amount of twirling in a plug was observed to be related to the amount of the carrier-fluid that flowed past the tip. The results of experiments involving twirling  
5 and its effect on mixing show that twirling is one of the most important factors, if not the most important factor, in determining the ideal conditions for mixing occurring within plugs moving through straight channels. By inducing twirling, one may stimulate mixing; by preventing twirling, one may suppress complete mixing. Suppressing mixing may be important in some of the reaction schemes, for example  
10 those shown in FIG. 5 and FIG. 6. In these reaction schemes, selective mixing of reagents A with reagent B, and also reagent C with reagent D, can occur without mixing of all four reagents. Mixing of all four reagents occurs later as plugs move through, for example, the winding part of the channel. This approach allows several reactions to occur separated in time. In addition, suppressing mixing may be  
15 important when interfaces between plug fluids have to be created, for example interfaces required for some methods of protein crystallization (FIG. 20).

The eddy at the tip of a developing plug may complicate visualization and analysis of mixing. This eddy is normally significant in short plugs, but only has a minor effect on long plugs. For applications involving visualization of mixing, the  
20 substrate is designed to include a narrow channel in the plug-forming region is designed such that narrow, elongated plugs form. Immediately downstream from the plug-forming region, the channel dimension is preferably expanded. In the expanded region of the channel(s), plugs will expand and become short and rounded under the force of surface tension; this preserves the distribution of the marker inside the plugs. This approach affords a relatively straightforward way of visualizing the mixing  
25 inside plugs of various sizes. Video microscopy may be used to observe the distribution of colored markers inside the drops. A confocal microscope may also be used to visualize the average three-dimensional distribution of a fluorescent marker. Visualization can be complemented or confirmed using a  $\text{Ca}^{2+}$ /Fluo-4<sup>-4</sup> reaction. At  
30 millimolar concentrations, this reaction is expected to occur with a half-life of about 1  $\mu\text{s}$ . Thus, it can be used to measure mixing that occurs on time scales of about 10  $\mu\text{s}$  and longer.

The following discussion describes at least one method for three-dimensional visualization of flows in plugs. Visualization of chaotic transport in three-dimensions

is a challenging task especially on a small scale. Predictions based on two-dimensional systems may be used to gain insight about plugs moving through a three-dimensional microfluidic channel. Experiments and simulations involving a two-dimensional system can aid in the design of channels that ensure chaotic flow in two-dimensional liquid plugs. Confocal microscopy has been used to quantify steady, continuous three-dimensional flows in channels. However, due to instrumental limitations of an optical apparatus such as a confocal microscope, it is possible that the flow cannot be visualized with sufficiently high-resolution to observe, for example, self-similar fractal structures characteristic of chaotic flow. Nonetheless, the overall dynamics of the flow may still be captured and the absence of non-chaotic islands confirmed. Preferably, the channels (periodic or aperiodic) used in the visualization process are fabricated using soft lithography in PDMS. A PDMS replica is preferably sealed using a thin glass cover slip to observe the flow using confocal microscopy.

In one experiment according to the invention, a series of line scans are used to obtain images of a three-dimensional distribution of fluorescent markers within the plugs. FIG. 10a) is a schematic diagram depicting a three-dimensional confocal visualization of chaotic flows in plugs. Plugs are preferably formed from three laminar streams. The middle stream 11 preferably contains fluorescent markers. Preferably, the middle stream 11 is injected into the channel system at a low volumetric flow rate. The volumetric flow rates of the two side streams 10, 12 are preferably adjusted to position the marker stream in a desired section of the channel. Preferably, a confocal microscope such as a Carl Zeiss LSM 510 is used. The LSM 510 is capable of line scans at about 0.38 ms/512 pixel line or approximately 0.2 ms/100 pixel line. Fluorescent microspheres, preferably about 0.2  $\mu\text{m}$ , and fluorescently labeled high-molecular weight polymers are preferably used to visualize the flow with minimal interference from diffusion. A channel such as one with 100  $\mu\text{m}$  wide and 100  $\mu\text{m}$  deep channel may be used. The line scan technique may be applied to various sequences such as one that has about 200- $\mu\text{m}$  long plugs separated by about 800- $\mu\text{m}$  long oil stream.

A beam is preferably fixed in the x and z-directions and scanned repeatedly back and forth along the y-direction. The movement of the plug in the x-direction preferably provides resolution along the x-direction. Line scan with 100 pixels across a 100  $\mu\text{m}$ -wide channel will provide a resolution of about 1  $\mu\text{m}$ /pixel in the y-

direction. Approximately 200 line scans per plug are preferably used to give a resolution of about 1  $\mu\text{m}/\text{pixel}$  in the x-direction. For a 200  $\mu\text{m}$  plug moving at about 2000  $\mu\text{m}/\text{s}$ , about 200 line scans are preferably obtained over a period of about  $(200 \mu\text{m})/(2000 \mu\text{m}/\text{s}) = 0.1 \text{ s}$ , or about 0.5 ms per line.

5           The sequence shown in FIG. 10b) is preferably used for visualization of a three dimensional chaotic flow. Each line scan preferably takes about 0.2 ms with about 0.3 ms lag between the scans to allow the plug to move by about 500  $\mu\text{m}$ . Some optical distortions may result during the approximately 0.2 ms scan as the plug is translated along the x-direction by about 0.2  $\mu\text{m}$ . However, these distortions are  
10       believed to be comparable to the resolution of the method. For a given position along the x-direction, a series of line scans are preferably obtained for about 10 seconds for each point along the z-direction to obtain an x-y cross-sections of ten plugs. Scans along the z-direction are preferably taken in 1  $\mu\text{m}$  increments to obtain a full three-dimensional image of the distribution of the fluorescent marker in the plug. This  
15       procedure is preferably repeated at different positions along the x-direction to provide information such as changes in the three-dimensional distribution of the fluorescent marker inside the plug as the plug moves along the channels.

          In case of periodic perturbations, the fluorescent cross-sections of the plug in the y-z plane recovered from the above procedure represent Poincaré sections  
20       corresponding to the evolution of the initial thin sheet of dye. The twirling of the aqueous phase upon formation of the small plugs could distribute the dye excessively throughout the plug and could make visualization less conclusive. This twirling is prevented preferably by designing a small neck in the plug-forming region, and then beginning the first turn in a downward direction. This approach has been successfully  
25       applied to flow visualization, and may be useful for conducting reactions.

## MERGING PLUGS

          The invention also provides a method of merging of plugs within a substrate (see upper portion of FIG. 12). Plugs are formed as described above. Plugs  
30       containing different reagents can be formed by separately introducing different plug-fluids into a channel. The plugs containing different reagents may be substantially similar in viscosity or may differ. The plugs containing different reagents may be substantially similar in size or they may differ in size. Provided that the relative velocities of the plugs containing different reagents differ, the plugs will merge in the

channels. The location of merging can be controlled in a variety of ways, for example by varying the location of plug-fluid inlet ports, by varying the location of channel junctions (if one of the plug forming fluids is introduced into a secondary channel), varying the size of the plugs, adjusting the speed at which different sets of plugs are transported varying the viscosity or surface tension of plugs having substantially the same size, etc.

As shown in FIG. 12 (top photograph), plugs may be merged by directing or allowing the plugs 120, 121 to pass through a T-shaped channel or a T-shaped region of a channel. The resulting merged plugs 122 flow in separate channels or channel branches which may be perpendicular, as shown in FIG. 12, or nonperpendicular (FIG. 33). The merged plugs 122 may undergo further merging or undergo splitting, or they may be directed to other channels, channel branches, area, or region of the substrate where they may undergo one or more reactions or “treatments” such as one or more types of characterizations, measurements, detection, sorting, or analysis.

In one embodiment, large and small plugs flow along separate channels or channel branches towards a common channel where they merge. In a case where a large and a small plug do not converge at the same point at the same time, they eventually form a merged plug as the larger plug, which moves faster than the smaller plug, catches up with the small plug and merges with it. In the case where the larger and smaller plugs meet head on at the same point or region, they immediately combine to form a merged plug. The merged plugs may undergo splitting, described below, or further merging in other channels or channel regions, or they may be directed to other channels, channel branches, area, or region of the substrate where they may undergo one or more types of characterizations, measurements, detection, sorting, or analysis.

In another embodiment, plugs can be merged by controlling the arrival time of the plugs flowing in opposite directions towards a common point, area, or region of the channel so that each pair of plugs arrive at the common point, area, or region of the channel at around the same time to form a single plug.

In another embodiment, an arched, semi-circular, or circular channel provides a means for increasing the efficiency of plug merging. Thus, for example, a greater frequency of merging would occur within a more compact area or region of the substrate. Using this scheme, plugs flowing along separate channels towards a common channel may merge within a shorter distance or a shorter period of time

because the arched, semi-circular, or circular channel or channel branch converts or assists in converting initially out-of-phase plug pairs to in-phase plug pairs. Specifically, the arched, semi-circular, or circular channel or channel branch would allow a lagging plug to catch up and merge with a plug ahead of it, thereby increasing the number of merged plugs in a given period or a given area or region of a substrate.

## **SPLITTING AND/OR SORTING PLUGS**

The present invention also provides a method for splitting of plugs within a substrate. Plugs can be split by passing a first portion of a plug into a second channel through an opening, wherein the second channel is downstream of where the plug is formed. Alternatively, plugs may be split at a “Y” intersection in a channel. In both embodiment, the initial plug splits into a first portion and a second portion and thereafter each portion passes into separate channel (or outlet). Either initially formed plugs can be split or, alternatively, merged plugs can be split. FIG. 6 shows a schematic diagram illustrating part of a microfluidic network that uses multiple inlets (inlets 601, 603, 605, 607 for reagents A, B, C, and D; inlets 602, 604, 606 for aqueous streams) and that allows for both splitting and merging of plugs. This schematic diagram shows two reactions that are conducted simultaneously. A third reaction (between the first two reaction mixtures) is conducted using precise time delay. Plugs can be split before or after a reaction has occurred. In addition, FIG. 6 shows plugs at various stages of mixing from the initial mixture 60 (A+B) and initial mixture 61 (C+D) through the mixed solutions 62 (A+B), 63 (C+D), and the 4-component mixture 64 (A+B+C+D).

As shown in FIG. 12 (lower photograph), plugs may be split by directing or allowing the plugs 123, 124 to pass through a T-shaped channel or a T-shaped region of a channel. In a preferred embodiment, the area or junction at which the plugs undergo splitting may be narrower or somewhat constricted relative to the diameter of the plugs a certain distance away from the junction. The resulting split plugs 125 flow in separate channels or channel branches which may be perpendicular, as shown in FIG. 12, or nonperpendicular (FIG. 33). The split 125 plugs may undergo merging or further splitting, or they may be directed to other channels, channel branches, area, or region of the substrate where they may undergo one or more reactions or “treatments” such as one or more types of characterizations, measurements, detection, sorting, or analysis.

In another embodiment, aqueous plugs can be split or sorted from an oil carrier fluid by using divergent hydrophilic and hydrophobic channels. The channels are rendered hydrophilic or hydrophobic by pretreating a channel or region of a channel such that a channel or channel surface becomes predominantly hydrophilic or hydrophobic. As discussed in more detail below, substrates with hydrophilic channel surfaces may be fabricated using methods such as rapid prototyping in polydimethylsiloxane. The channel surface can be rendered hydrophobic either by silanization or heat treatment. For example, (tridecafluoro-1,1,2,2-tetrahydrooctyl)-1-trichlorosilane (United Chemical Technologies, Inc.) vapor may be applied to the inlets of the substrate with dry nitrogen as a carrier gas to silanize the channel surface.

Once plugs have been split into separate channels, further reactions can be performed by merging the split plugs with other plugs containing further reactants.

Manipulation of plugs and reagents/products contained therein can also be accomplished in a fluid flow using methods or techniques such as dielectrophoresis. Dielectrophoresis is believed to produce movement of dielectric objects, which have no net charge, but have regions that are positively or negatively charged in relation to each other. Alternating, nonhomogeneous electric fields in the presence of plugs and/or particles, cause the plugs and/or particles to become electrically polarized and thus to experience dielectrophoretic forces. Depending on the dielectric polarizability of the particles and the suspending medium, dielectric particles will move either toward the regions of high field strength or low field strength. Using conventional semiconductor technologies, electrodes can be fabricated onto a substrate to control the force fields in a micro fabricated device. Dielectrophoresis is particularly suitable for moving objects that are electrical conductors. The use of AC current is preferred, to prevent permanent alignment of ions. Megahertz frequencies are suitable to provide a net alignment, attractive force, and motion over relatively long distances.

Radiation pressure can also be used in the invention to deflect and move plugs and reagents/products contained therein with focused beams of light such as lasers. Flow can also be obtained and controlled by providing a thermal or pressure differential or gradient between one or more channels of a substrate or in a method according to the invention.

Preferably, both the fluid comprising the plugs and the carrier fluid have a relatively low Reynolds Number, for example  $10^{-2}$ . The Reynolds Number represents an inverse relationship between the density and velocity of a fluid and its viscosity in

a channel of given cross-sectional dimension. More viscous, less dense, slower moving fluids will have a lower Reynolds Number, and are easier to divert, stop, start, or reverse without turbulence. Because of the small sizes and slow velocities, fabricated fluid systems are often in a low Reynolds number regime ( $Re \ll 1$ ). In this regime, inertial effects, which cause turbulence and secondary flows, are negligible and viscous effects dominate the dynamics. These conditions are advantageous for analysis, and are provided by devices according to the invention. Accordingly the devices according to the invention are preferably operated at a Reynolds number of less than 100, typically less than 50, preferably less than 10, more preferably less than 5, most preferably less than 1.

## **DETECTION AND MEASUREMENT**

The systems of the present invention are well suited for performing optical measurements using an apparatus such as a standard microscope. For example, PDMS is transparent in the visible region. When it is used to construct a substrate, a glass or quartz cover slip can be used to cover or seal a PDMS network, thereby constructing a set of channels that can be characterized using visible, UV, or infrared light. Preferably, fluorescent measurements are performed, instead of absorption measurements, since the former has a higher sensitivity than the latter. When the plugs are being monitored by optical measurements, the refractive index of the carrier-fluid and the plug-fluids are preferably substantially similar, but they can be different in certain cases.

In a plug-based system according to the invention, the relative concentrations (or changes in concentrations) can be typically measured in a straightforward fashion. In some instances, the use of plugs to perform quantitative optical measurements of, for example, absolute concentrations is complicated by the presence of non-horizontal oil/water interfaces surrounding the plugs. These curved interfaces act as lenses, and may lead to losses of emitted light or optical distortions. Such distortions may adversely affect or prevent visual observation of growing protein crystals, for example. Exact modeling of these losses is usually difficult because of the complicated shape that this interface may adopt at the front and back of a plug moving in a non-trivial pressure gradient.

This problem can be overcome or minimized in accordance with the invention by using a technique such as refractive index matching. The losses and distortions

depend on the difference between the refractive index ( $\eta_D$ ) of the aqueous phase and the refractive index of the immiscible carrier-fluid. Preferably, the carrier-fluid used in an analysis have refractive indices that are substantially similar to those of water and aqueous buffers (TABLE 1), *e.g.*, fluorinated oils having refractive indices near that of water close to the sodium D line at 589 nm.

Preferably, for applications involving detection or measurement, the carrier-fluids used are those having refractive indices that match those of commonly used aqueous solutions at the wavelengths used for observation. To calibrate a system for quantitative fluorescence measurements, the plugs preferably contain known concentrations of fluorescein. Preferably, the fluorescence originating from the plugs are measured and then compared with the fluorescence arising from the same solution of fluorescein in the channel in the absence of oil. It is believed that when the refractive indexes are matched, the intensity (I) of fluorescence arising from the plugs will be substantially similar or equal to the intensity of the fluorescence from the aqueous solutions after making adjustments for the fraction of the aqueous stream:

$$I_{\text{plug}} = I_{\text{solution}} * V_{\text{water}} / (V_{\text{water}} + V_{\text{oil}}) \quad \text{Eqn. (3)}$$

where V is the volumetric flow rate of the fluid streams. It is expected that smaller plugs with a higher proportion of curved interfaces will show larger deviations from ideal plug behavior, *i.e.*, those smaller plugs will tend to cause greater optical distortion. If necessary, measurements are performed partly to determine the errors associated with refractive index mismatch. Information from these measurements is useful when unknown fluids are analyzed, or when a compromise between matching the refractive index and matching the viscosities of the two fluids is required.

TABLE 1. Physical properties of some fluids used in certain embodiments of the microfluidic devices.

Fluid	Refractive index, $\eta_D$	Viscosity, $\mu$ [mPa- s]
water	1.3330	1.00
aqueous PBS buffer, 1%	1.3343	1.02
aqueous PBS buffer, 10%	1.3460	1.25
perfluorohexane	1.251	0.66
perfluoro(methylcyclohexane)	1.30	1.56
perfluoro(1,3-dimethylcyclohexane)	1.2895	1.92
perfluorodecaline	1.314	5.10

perfluoroperhydrofluorene	1.3289	9.58
perfluoroperhydrophenanthrene	1.3348	28.4
perfluorotoluene	1.3680	N/A
hexafluorobenzene	1.3770	N/A

The detector can be any device or method for evaluating a physical characteristic of a fluid as it passes through the detection region. Examples of suitable detectors include CCD detectors. A preferred detector is an optical detector, such as a microscope, which may be coupled with a computer and/or other image processing or enhancement devices to process images or information produced by the microscope using known techniques. For example, molecules can be analyzed and/or sorted by size or molecular weight. Reactions can be monitored by measuring the concentration of a product produced or the concentration of a reactant remaining at a given time. Enzymes can be analyzed and/or sorted by the extent to which they catalyze a chemical reaction of an enzyme's substrate (conversely, an enzyme's substrate can be analyzed (*e.g.*, sorted) based on the level of chemical reactivity catalyzed by an enzyme). Biological particles or molecules such as cells and virions can be sorted according to whether they contain or produce a particular protein, by using an optical detector to examine each cell or virion for an optical indication of the presence or amount of that protein. A chemical itself may be detectable, for example by a characteristic fluorescence, or it may be labeled or associated with a tag that produces a detectable signal when, for example, a desired protein is present, or is present in at least a threshold amount.

Practically any characteristic of a chemical can be identified or measured using the techniques according to the invention, provided that the characteristic or characteristics of interest for analysis can be sufficiently identified and detected or measured to distinguish chemicals having the desired characteristic(s) from those which do not. For example, particulate size, hydrophobicity of the reagent versus carrier-fluids, etc. can be used as a basis for analyzing (*e.g.*, by sorting) plug-fluids, reaction products or plugs.

In a preferred embodiment, the plugs are analyzed based on the intensity of a signal from an optically detectable group, moiety, or compound (referred to here as "tag") associated with them as they pass through a detection window or detection region in the device. Plugs having an amount or level of the tag at a selected threshold or within a selected range can be directed into a predetermined outlet or

branch channel of the substrate. The tag signal may be collected by a microscope and measured by a detector such as a photomultiplier tube (PMT). A computer is preferably used to digitize the PMT signal and to control the flow through methods such as those based on valve action. Alternatively, the signal can be recorded or  
5 quantified as a measure of the tag and/or its corresponding characteristic or marker, *e.g.*, for the purpose of evaluation and without necessarily proceeding to, for example, sort the plugs.

In one embodiment according to the invention, a detector such as a photodiode is larger in diameter than the width of the channel, forming a detection region that is  
10 longer (along the length of channel) than it is wide. The volume of such a detection region is approximately equal to the cross sectional area of the channel above the diode multiplied by the diameter of the diode.

To detect a chemical or tag, or to determine whether a chemical or tag has a desired characteristic, the detection region may include an apparatus (*e.g.*, a light  
15 source such as a laser, laser diode, high intensity lamp such as mercury lamp) for stimulating a chemical or tag for that characteristic to, for example, emit measurable light energy. In embodiments where a lamp is used, the channels are preferably shielded from light in all regions except the detection region. In embodiments where a laser is used, the laser can be set to scan across a set of detection regions. In  
20 addition, laser diodes may be fabricated into the same substrate that contains the analysis units. Alternatively, laser diodes may be incorporated into a second substrate (*i.e.*, a laser diode chip) that is placed adjacent to the analysis or sorter substrate such that the laser light from the diodes shines on the detection region(s).

In preferred embodiments, an integrated semiconductor laser and/or an  
25 integrated photodiode detector are included on the silicon wafer in the device according to the invention. This design provides the advantages of compactness and a shorter optical path for exciting and/or emitted radiation, thus minimizing, for example, optical distortion.

As each plug passes into the detection region, it may be examined for a  
30 characteristic or property, *e.g.*, a corresponding signal produced by the plug, or the chemicals contained in the plugs, may be detected and measured to determine whether or not a given characteristic or property is present. The signal may correspond to a characteristic qualitatively or quantitatively. Typically, the amount of signal corresponds to the degree to which a characteristic is present. For example, the

strength of the signal may indicate the size of a molecule, the amount of products(s) formed in a reaction, the amount of reactant(s) remaining, the potency or amount of an enzyme expressed by a cell, a positive or negative reaction such as binding or hybridization of one molecule to another, or a chemical reaction of a substrate catalyzed by an enzyme. In response to the signal, data can be collected and/or a flow control can be activated, for example, to direct a plug from one channel to another. Thus, for example, chemicals present in a plug at a detection region may be sorted into an appropriate branch channel according to a signal produced by the corresponding examination at a detection region. Optical detection of molecular characteristics or the tag associated with a characteristic or property that is chosen for sorting, for example, may be used. However, other detection techniques, for instance electrochemistry, or nuclear magnetic resonance, may also be employed.

In one embodiment according to the invention, a portion of a channel corresponds to an analysis unit or detection region and includes a detector such as a photodiode preferably located in the floor or base of the channel. The detection region preferably encompasses a receive field of the photodiode in the channel, which receive field has a circular shape. The volume of the detection region is preferably the same as, or substantially similar, to the volume of a cylinder with a diameter equal to the receive field of the photodiode and a height equal to the depth of the channel above the photodiode.

The signals from the photodiodes may be transmitted to a processor via one or more lines representing any form of electrical communication (including *e.g.* wires, conductive lines etched in the substrate, etc.). The processor preferably acts on the signals, for example by processing them into values for comparison with a predetermined set of values for analyzing the chemicals. In one embodiment, a value corresponds to an amount (*e.g.*, intensity) of optically detectable signal emitted from a chemical which is indicative of a particular type or characteristic of a chemical giving rise to the signal. The processor preferably uses this information (*i.e.*, the values) to control active elements in a discrimination region, for example to determine how to sort the chemicals (*e.g.*, valve action).

When more than one detection region is used, detectors such as photodiodes in a laser diode substrate are preferably spaced apart relative to the spacing of the detection regions in the analysis unit. That is, for more accurate detection, the detectors are placed apart at the same spacing as the spacing of the detection region.

A processor can be integrated into the same substrate that contains at least one analysis unit, or it can be separate, *e.g.*, an independent microchip connected to the analysis unit containing substrate via electronic leads that connect to the detection region(s) and/or to the discrimination region(s), such as by a photodiode. The  
5 processor can be a computer or microprocessor, and is typically connected to a data storage unit, such as computer memory, hard disk, or the like, and/or a data output unit, such as a display monitor, printer and/or plotter.

The types and numbers of chemicals based on the detection of, for example, a tag associated with or bound to the chemical passing through the detection region, can  
10 be calculated or determined, and the data obtained can be stored in the data storage unit. This information can then be further processed or routed to a data outlet unit for presentation, *e.g.* histograms representing, for example, levels of a protein, saccharide, or some other characteristic of a cell surface in the sample. The data can also be presented in real time as the sample flows through a channel.

15 If desired, a substrate may contain a plurality of analysis units, *i.e.*, more than one detection region, and a plurality of branch channels that are in fluid communication with and that branch out from the discrimination regions. It will be appreciated that the position and fate of the reagents in the discrimination region can be monitored by additional detection regions installed, for example, immediately  
20 upstream of the discrimination region and/or within the branch channels immediately downstream of the branch point. The information obtained by the additional detection regions can be used by a processor to continuously revise estimates of the velocity of the reagents in the channels and to confirm that molecules, particles, and substances having a selected characteristic enter the desired branch channel.

25 In one embodiment, plugs are detected by running a continuous flow through a channel, taking a spatially resolved image with a CCD camera, and converting the relevant distance traversed by the plugs into time.

In another embodiment, plugs are detected following their exit through a channel point leading to a mass spectrometer (MS), *e.g.*, an electrospray MS. In this  
30 embodiment, time-resolved information (*e.g.*, mass spectrum) can be obtained when the flow rate and the distance traversed by the plugs are known. This embodiment is preferable when one wants to avoid using a label.

## **VARYING THE CONCENTRATION OF REAGENTS INSIDE PLUGS**

The various devices and methods according to the invention allow the control and manipulation of plug composition and properties. For example, they allow the variation of reagent concentration inside plugs. In one aspect according to the invention, the concentrations of the reagents in the plugs are varied by changing the relative flow rates of the plug-fluids. This is possible in conventional systems, but is complicated by problems of slow mixing and dispersion. Methods according to the invention are convenient for simultaneously testing a large number of experimental conditions (“screening”) because the concentrations can be changed within a single setup. Thus, for example, syringes do not have to be disconnected or reconnected, and the inlets of a system according to the invention do not have to be refilled when using the above technique for varying the reagent concentrations in plugs.

The concentration of aqueous solutions inside plugs can be varied by changing the flow rates of the plug-fluid streams (see FIG. 25, discussed in detail in Example 11). In FIG. 25, water is introduced into inlets 251-258 at various flow rates while perfluorodecaline flows through channels 259-261. In aqueous laminar flows, the ratio of flow rates of laminar streams in a microfluidic channel may be varied from about 1000:1 and 1:1000, preferably 100:1 to 1:100, more preferably 1:20 to 20:1.

The actual relative concentrations may be quantified using a solution of known concentration of fluorescein. In this example, the intensity of a fluorescein stream can be used as a reference point to check for fluctuations of the intensity of the excitation lamp.

To illustrate an advantage offered by the invention over other techniques, consider the following example. The method(s) described in this example may be modified or incorporated for use in various types of applications, measurements, or experiments. Two or more reagents, such as reagents A, B, C, are to be screened for the effects of different concentrations of reagents on some process, and the conditions under which an inhibitor can terminate the reaction of the enzyme with a substrate at various enzyme and substrate concentrations is of interest. If A is an enzyme, B a substrate, and C an inhibitor, a substrate with 5 inlets such as A/water/B/water/C inlets can be used, and the flow rates at which A, B and C are pumped into the substrate can be varied. Preferably, the size of the plug is kept constant by keeping the total flow rate of all plug-fluids constant. Because different amounts of A, B, C are introduced, the concentrations of A, B, C in the plugs will vary. The concentrations of the starting solutions need not be changed and one can rapidly

screen all combinations of concentrations, as long as an enzymatic reaction or other reactions being screened can be detected or monitored. Because the solutions are flowing and the transport is linear, one can determine not only the presence or absence of an interaction or reaction, but also measure the rate at which a reaction occurs. Thus, both qualitative and quantitative data can be obtained. In accordance with the invention, the substrate typically need not be cleaned between runs since most, if not all, reagents are contained inside the plugs and leave little or no residue.

To extend the range over which concentrations can be varied, one may use a combination of, say, reagents A, B, C, D, E and prepare a micromolar solution of A, a mM solution of B, and a M solution of C, and so on. This technique may be easier than controlling the flow rate over a factor of, say, more than  $10^6$ . Using other known methods is likely to be more difficult in this particular example because changing the ratio of reagents inside the plug requires changing the size of the plugs, which makes merging complicated.

In another example, one may monitor RNA folding in a solution in the presence of different concentrations of  $Mg^{2+}$  and  $H^+$ . Previously, this was done using a stopped-flow technique, which is time consuming and requires a relatively large amount of RNA. Using a method according to the invention, an entire phase space can be covered in a relatively short period of time (*e.g.*, approximately 15 minutes) using only  $\mu L$ /minute runs instead of the usual ml/shot runs.

These particular examples highlight the usefulness according to the invention in, for example, the study of protein/protein interaction mediation by small molecules, protein/RNA/DNA interaction mediation by small molecules, or binding events involving a protein and several small molecules. Other interactions involving several components at different concentrations may also be studied using the method according to the invention.

## GENERATING GRADIENTS IN A SERIES OF PLUGS

In one aspect according to the invention, dispersion in a pressure-driven flow is used to generate a gradient in a continuous stream of plug-fluid. By forming plugs, the gradient is “fixed”, *i.e.*, the plugs stop the dispersion responsible for the formation of the gradient. Although the stream does not have to be aqueous, an aqueous stream is used as a non-limiting example below.

FIG. 44 illustrates how an initial gradient may be created by injecting a discrete aqueous sample of a reagent B into a flowing stream of water. In FIG. 44a), the water + B mixture flowed through channel 441. Channels 443 and 445 contain substantially non-flowing water + B mixture. Water streams were introduced into inlets 440, 442, 444, 446-448 while oil streams flowed through channels 449-452. FIG. 44d) shows a multiple-inlet system through which reagents A, B, and C are introduced through inlets 453, 454, and 455. A pressure-driven flow is allowed to disperse the reagent along the channel, thus creating a gradient of B along the channel. The gradient can be controlled by suitable adjustments or control of the channel dimensions, flow rates, injection volume, or frequency of sample or reagent addition in the case of multiple injections. This gradient is then "fixed" by the formation of plugs. Several of these channels are preferably combined into a single plug-forming region or section. In addition, complex gradients with several components may be created by controlling the streams. This technique may be used for various types of analysis and synthesis. For example, this technique can be used to generate plugs for protein or lysozyme crystallization. FIG. 42 shows an experiment involving the formation of gradients by varying the flow rates (the experimental details are described in Example 17). FIG. 43 illustrates the use of gradients to form lysozyme crystals (the experimental details are described in Example 18).

## **FORMATION AND ISOLATION OF UNSTABLE INTERMEDIATES**

The devices and methods according to the present invention may also be used for synthesizing and isolating unstable intermediates. The unstable intermediates that are formed using a device according to the invention are preferably made to undergo further reaction and/or analysis or directed to other parts of the device where they may undergo further reaction and/or analysis. In one aspect, at least two different plug-fluids, which together react to form an unstable intermediate, are used. As the unstable intermediates form along the flow path of the substrate, information regarding, for example, the reaction kinetics can be obtained. Such unstable intermediates can be further reacted with another reagent by merging plugs containing the unstable intermediate with another plug-fluid. Examples of unstable intermediates include, but are not limited to, free radicals, organic ions, living ionic polymer chains, living organometallic polymer chains, living free radical polymer chains, partially

folded proteins or other macromolecules, strained molecules, crystallization nuclei, seeds for composite nanoparticles, etc..

One application of devices according to the invention that involves the formation of unstable intermediates is high-throughput, biomolecular structural characterization. It can be used in both a time-resolved mode and a non-time resolved mode. Unstable (and/or reactive) intermediates (for example hydroxyl radicals (OH)) can be generated in one microfluidic stream (for example using a known reaction of metal ions with peroxides). These reactive species can be injected into another stream containing biomolecules, to induce reaction with the biomolecules. The sites on the biomolecule where the reaction takes place correlate with how accessible the sites are. This can be used to identify the sites exposed to the solvent or buried in the interior of the biomolecule, or identify sites protected by another biomolecule bound to the first one. This method could be applied to understanding structure in a range of biological problems. Examples include but are not limited to protein folding, protein-protein interaction (protein footprinting), protein-RNA interaction, protein-DNA interactions, and formation of protein-protein complexes in the presence of a ligand or ligands (such as a small molecule or another biomolecule). Interfacing such a system to a mass-spectrometer may provide a powerful method of analysis.

Experiments involving complex chemical systems can also be performed in accordance with the invention. For example, several unstable intermediates can be prepared in separate plugs, such as partially folded forms of proteins or RNA. The reactivity of the unstable intermediates can then be investigated when, for example, the plugs merge.

## **25 DYNAMIC CONTROL OF SURFACE CHEMISTRY**

Control of surface chemistry is particularly important in microfluidic devices because the surface-to-volume ratio increases as the dimensions of the systems are reduced. In particular, surfaces that are generally inert to the adsorption of proteins and cells are invaluable in microfluidics. Polyethylene glycols (PEG) and oligoethylene glycols (OEG) are known to reduce non-specific adsorption of proteins on surfaces. Self-assembled monolayers of OEG-terminated alkane thiols on gold have been used as model substrates to demonstrate and carefully characterize resistance to protein adsorption. Surface chemistry to which the solutions are exposed can be controlled by creating self-assembled monolayers on surfaces of silicone or

grafting PEG-containing polymers on PDMS and other materials used for fabrication of microfluidic devices. However, such surfaces may be difficult to mass-produce, and they may become unstable after fabrication, *e.g.*, during storage or use.

5 In one aspect according to the invention, the reagents inside aqueous plugs are exposed to the carrier-fluid/plug-fluid interface, rather than to the device/plug-fluid interface. Using perfluorocarbons as carrier-fluids in surface studies are attractive because they are in some cases more biocompatible than hydrocarbons or silicones. This is exemplified by the use of emulsified perfluorocarbons as blood substitutes in humans during surgeries. Controlling and modifying surface chemistry to which the  
10 reagents are exposed can be achieved simply by introducing appropriate surfactants into the fluorinated PFD phase.

In addition, the use of surfactants can be advantageous in problems involving unwanted adsorption of substances or particles, for example, on the channel walls. Under certain circumstances or conditions, a reaction may occur in one or more  
15 channels or regions of the substrate that give rise to particulates that then adhere to the walls of the channels. When they collect in sufficient number, the adhering particulates may thus lead or contribute to channel clogging or constriction. Using methods according to the invention, such as using one or more suitable surfactants, would prevent or minimize adhesion or adsorption of unwanted substances or  
20 particles to the channel walls thereby eliminating or minimizing, for example, channel clogging or constriction.

Encapsulated particulates may be more effectively prevented from interfering with desired reactions in one or more channels of the substrate since the particulates would be prevented from directly coming into contact with reagents outside the plugs  
25 containing the particulates.

Fluorosurfactants terminated with OEG-groups have been shown to demonstrate biocompatibility in blood substitutes and other biomedical applications. Preferably, oil-soluble fluorosurfactants terminated with oligoethylene groups are used to create interfaces in the microfluidic devices in certain applications.  
30 Surfactants with well-defined composition may be synthesized. This is preferably followed by the characterization of the formation of aqueous plugs in the presence of those surfactants. Their inertness towards nonspecific protein adsorption will also be characterized. FIG. 24 shows examples of fluorinated surfactants that form monolayers that are: resistant to protein adsorption; positively charged; and negatively

charged. For OEG-terminated surfactants, high values of  $n$  ( $\geq 16$ ) are preferred for making these surfactants oil-soluble and preventing them from entering the aqueous phase. In FIG. 24, compounds that have between about 3 to 6 EG units attached to a thiol are sufficient to prevent the adsorption of proteins to a monolayer of thiols on gold, and are thus preferred for inertness. In addition, surfactants that have been shown to be biocompatible in fluorocarbon blood substitutes may also be used as additives to fluorinated carrier fluids.

## APPLICATIONS: KINETIC MEASUREMENTS AND ASSAYS

The devices and methods of the invention can be also used for performing experiments typically done in, for example, a microtiter plate where a few reagents are mixed at many concentrations and then monitored and/or analyzed. This can be  
5 done, for example, by forming plugs with variable composition, stopping the flow if needed, and then monitoring the plugs. The assays may be positionally encoded, that is, the composition of the plug may be deduced from the position of the plug in the channel. The devices and methods of the invention may be used to perform high-throughput screening and assays useful, for example, in diagnostics and drug  
10 discovery. In particular, the devices and methods of the invention can be used to perform relatively fast kinetic measurements.

The ability to perform fast measurements has revolutionized the field of biological dynamics. Examples include studies of protein C folding and cytochrome C folding. These measurements are performed using fast kinetics instruments that  
15 rely on turbulence to mix solutions rapidly. To achieve turbulence, the channels and the flow rates normally have to be large, which require large sample volumes. Commercially available instruments for performing rapid kinetics studies can access times on the order of 1 ms. The improved on-chip version of a capillary glass-ball mixer gives a dead time of about 45  $\mu$ s with a flow rate of more than about 0.35  
20 mL/sec. The miniaturization of these existing methods is generally limited by the requirement of high flow rate to generate turbulence. Miniaturization afforded by devices and methods according to the invention is advantageous because it allows, for example, quantitative characterization, from genetic manipulation and tissue isolation, of a much wider range of biomolecules including those available only in minute  
25 quantities, *e.g.*, microgram quantities. In addition, these new techniques and instruments afford a wide range of accessible time scales for measurements.

Time control is important in many chemical and biochemical processes. Typically, stopped-flow type instruments are used to measure reaction kinetics. These types of instruments typically rely on turbulent flow to mix the reagents and  
30 transport them while minimizing dispersion. Because turbulent flow occurs in tubes with relatively large diameters and at high flow rates, stopped-flow instruments tend to use large volumes of reagents (*e.g.*, on the order of ml/s). A microfluidic analog of a stopped-flow instrument that consumes small volumes of reagents, *e.g.*, on the order of  $\mu$ L/min, would be useful in various applications such as diagnostics. Thus far,

microfluidic devices have not been able to compete with stopped-flow instruments because EOF is usually too slow (although it has less dispersion), and pressure-driven flows tend to suffer from dispersion. In addition, mixing is usually very slow in both systems.

5            Stopped-flow instruments typically have sub-millisecond mixing, and could be useful for experiments where such fast mixing is required. The devices and methods of the invention allow sub-millisecond measurements as well. In particular, the present invention can be advantageous for reactions that occur on a sub-second but slower than about 1 or about 10 millisecond (ms) time scale or where the primary  
10        concern is the solute volume required to perform a measurement.

             Further, if a plug is generated with two reactive components, it can serve as a microreactor as the plug is transported down a channel. A plug's property, such as its optical property, can then be measured or monitored as a function of distance from a given point or region of a channel or substrate. When the plugs are transported at a  
15        constant flow rate, a reaction time can be directly determined from a given distance. To probe the composition of the plug as it exits a channel, the contents of the plugs may be injected into a mass spectrometer (*e.g.*, an electrospray mass spectrometer) from an end of the channel. The time corresponding to the end of the channel may be varied by changing the flow rate. Multiple outlets may be designed along the  
20        channels to probe, for example, the plug contents using a mass spectrometer at multiple distance and time points.

             An advantage of the devices and methods of the invention is that when plugs are formed continuously, intrinsically slow methods of observation can be used. For example, plugs flowing at a flow rate of about 10 cm/s through a distance of about 1  
25        mm from a point of origin would be about 10 ms old. In this case, the invention is particularly advantageous because it allows the use of a relatively slow detection method to repeatedly perform a measurement of, for example, 10 ms-old plugs for virtually unlimited time. In contrast, to observe a reaction in a stopped-flow experiment at a time, say, between about 9 and 11 ms, one only has about 2 ms to take  
30        data. Moreover, the present invention allows one to obtain information involving complex reactions at several times, simultaneously, simply by observing the channels at different distances from the point of origin.

             The reaction time can be monitored at various points along a channel – each point will correspond to a different reaction or mixing time. Given a constant fluid

flow rate  $u$ , one may determine a reaction time corresponding to the various times  $t_1, t_2, t_3, \dots, t_n$  along the channel. Thus, if the distance between each pair of points  $n$  and  $n-1$ , which correspond to time  $t_n$  and  $t_{n-1}$ , are the same for a given value of  $n$ , then the reaction time corresponding to point  $n$  along the channel may be calculated from  $t_n =$   
5  $nl/u$ . Thus, one can conveniently and repeatedly monitor a reaction at any given time  $t_n$ . In principle, the substrate of the present invention allows one to cover a greater time period for monitoring a reaction by simply extending the length of the channel that is to be monitored at a given flow rate or by decreasing the flow rate over a given channel distance (see, for example, Fig. 22). In FIG. 22, the following can be  
10 introduced into the following inlets: enzyme into inlets 2201, 2205, 2210, 2215; buffer into inlets 2202, 2206, 2211, 2216; substrate into inlets 2203, 2207, 2212, 2217; buffer into inlets 2204, 2208, 2213, 2218; inhibitor into inlets 2228, 2209, 2214, 2219. In FIG. 22, a carrier fluid flows through the channel portions 2220, 2221, 2222, 2223 from left to right. The channel portions enclosed by the dotted square  
15 2224, 2225, 2226, 2227 represent fields of view for the purpose of monitoring a reaction at various points along the channel.

The same principle applies to an alternate embodiment of the present invention, where the distance corresponding to a point  $n$  from a common point of origin along the channel differs from that corresponding to another channel by a  
20 power or multiples of 2. This can be seen more clearly from the following discussion. Given a constant fluid flow rate  $u$ , one may determine a reaction time corresponding to the various times  $t_1, t_2, t_3, \dots, t_n$  along the channel. Thus, if the distance between each pair of points  $n$  and  $n-1$ , which correspond to time  $t_n$  and  $t_{n-1}$ , are the same for a given value of  $n$ , then the reaction time corresponding to point  $n$  along the channel  
25 may be calculated from  $t_n = nl/u$ . In a relatively more complex channel geometry such as the one shown in FIG. 22(c), the corresponding equation is given by  $t_n = 2^{(n-1)}l/u$ , which shows that the reaction times at various points  $n$  varies as a power or multiples of 2.

In one aspect, channels according to the invention are used that place into a  
30 field of view different regions that correspond to different time points of a reaction. The channels according to the invention allow various measurements such as those of a complete reaction profile, a series of linearly separated time points (such as those required for the determination of an initial reaction velocity in enzymology), and a series of exponentially separated time points (*e.g.*, first-order kinetic measurements or

other exponential analysis). Time scales in an image frame can be varied from microseconds to seconds by, for example, changing the total flow rate and channel length.

FIG. 22A-D show various examples of geometries of microfluidic channels according to the invention for obtaining kinetic information from single optical images. The illustrated channel systems are suitable for studies such as measurements of enzyme kinetics in the presence of inhibitors. The device shown in FIG. 22D has multiple outlets that can be closed or opened. In the device shown in FIG. 22D, preferably only one outlet is open at a time. At the fastest flow rates, the top outlet is preferably open, providing reduced pressure for flow through a short fluid path  $l$ . As flow rates are reduced, other outlets are preferably opened to provide a longer path and a larger dynamic range for measurements at the same total pressure.

In FIG. 22,  $n$  is the number of segments for a given channel length  $l$  traveled by the reaction mixture in time  $t_n$  (see p. 73, second full paragraph for a related discussion of reaction times and channel lengths). These systems allow the control of the ratio of reagents by varying the flow rates. The systems also allow a quick quantification of enzyme inhibition.

For example, ribonuclease A can be used with known inhibitors such as nucleoside complexes of vanadium and oxovanadium ions and other small molecules such as 5'-diphosphoadenosine 3'-phosphate and 5'-diphosphoadenosine 2'-phosphate. The kinetics may be characterized by obtaining data and making Lineweaver-Burk, Eadie-Hofstee, or Hanes-Wolfe plots in an experiment. The experiment can be accomplished using only a few microliters of the protein and inhibitor solutions. This capability is particularly useful for characterizing new proteins and inhibitors that are available in only minute quantities, *e.g.*, microgram quantities.

Kinetic measurements of reactions producing a fluorescent signal can be performed according to the invention by analyzing a single image obtained using, for example, an optical microscope. Long exposures (*i.e.*, about 2 seconds) have been used to measure fast (*i.e.*, about 2 milliseconds) kinetics. This was possible because in a continuous flow system, time is simply equal to the distance divided by the flow rate. In the continuous flow regime in accordance with the invention, the accessible time scales can be as slow as about 400 seconds, which can be extended to days or weeks if the flow is substantially slowed down or stopped. Typically, the time scale

depends on the length of the channel (*e.g.*, up to about 1 meter on a 3-inch diameter chip) at a low flow rate of about 1 mm/s, which is generally limited by the stability of the syringe pumps, but may be improved using pressure pumping. The fastest time scale is typically limited by the mixing time, but it may be reduced to about 20  $\mu$ s in the present invention. Mixing time is generally limited by two main factors: (1) the mixing distance (*e.g.*, approximately 10-15 times the width of the channel); and (2) the flow rates (*e.g.*, approximately 400 mm/s, depending on the capillary number and the pressure drop required to drive the flow). Mixing distance is normally almost independent of the flow rate. By using suitable designs of microfluidic channels, or networks of microfluidic channels, a wide range of kinetic experiments can be performed.

Reducing the channel size generally reduces the mixing time but it also increases the pressure required to drive a flow. The equation below describes the pressure drop,  $\Delta P$  (in units of Pa), for a single-phase flow in a rectangular capillary:

$$\Delta P = 28.42 U \mu l / a b \quad \text{Eqn. (9)}$$

where  $U$  (m/s) is the velocity of the flow,  $\mu$  (kilogram/meter-second,  $\text{kg m}^{-1} \text{s}^{-1}$ ) is the viscosity of the fluid,  $l$  (m) is the length of the capillary,  $a$  (m) is the height of the capillary, and  $b$  (m) is the width of the capillary. There is generally a physical limitation on how much pressure a microfluidic device can withstand, *e.g.*, about 3 atm for PDMS and about 5 atm for glass and Si. This limitation becomes crucial for very small channels and restricts the total length of the channel and thus the dynamic range (the total distance through which this flow rate can be maintained at a maximum pressure divided by the mixing distance) of the measurement.

FIG. 23 depicts a microfluidic network according to the invention with channel heights of 15 and 2  $\mu$ m. The channel design shown in FIG. 23 illustrates how a dynamic range of about 100 can be achieved by changing the cross-section of the channels. Under these conditions, mixing time in the winding channel is estimated to be about 25  $\mu$ s and observation time in the serpentine channels are estimated to be about 3 ms.

As FIG. 23 shows, rapid mixing occurs in the 2  $\mu$ m x 1  $\mu$ m (height x width) channels and measurements are taken in the 2  $\mu$ m x 3  $\mu$ m) channels. The table in FIG. 23 shows the distribution of the pressure drop, flow velocity, and flow time as a function of the channel cross-section dimensions. A transition from a 1- $\mu$ m wide to 3- $\mu$ m wide channels should occur smoothly, with plugs maintaining their stability and

decreasing their velocity when they move from a 20- $\mu\text{m}$  wide into a 50- $\mu\text{m}$  wide channel. Changing the width of the channel can be easily done and easily incorporated into a mask design. The height of the channel can be changed by, for example, using photoresist layers having two different heights that are sequentially spun on, for example, a silicon wafer. A two-step exposure method may then be used to obtain a microfluidic network having the desired cross-section dimensions.

In another example of the application of the devices and methods of the present invention, the folding of RNase P catalytic domain (P RNA C-domain) of *Bacillus subtilis* ribozyme can be investigated using channels according to the invention. RNA folding is an important problem that remains largely unsolved due to limitations in existing technology. Understanding the rate-limiting step in tertiary RNA folding is important in the design, modification, and elucidation of the evolutionary relationship of functional RNA structures.

The folding of P RNA C-domain is known to involve three populated species: unfolded (U), intermediate (I), and native (N, folded) states. Within the first millisecond, the native secondary structure and some of the tertiary structure would have already folded (the RNA is compacted to about 90% of the native dimension) but this time regime cannot be resolved using conventional techniques such as stopped-flow. Using channels and substrates according to the invention, the time-dependence of the P RNA folding kinetics upon the addition of  $\text{Mg}^{2+}$  can be studied.

Various types of assays (*e.g.*, protein assays) known in the art, including absorbance assays, Lowry assays, Hartree-Lowry assays, Biuret assays, Bradford assays, BCA assays, etc., can be used, or suitably adapted for use, in conjunction with the devices and methods of the invention. Proteins in solution absorb ultraviolet light with absorbance maxima at about 280 and 200 nm. Amino acids with aromatic rings are the primary reason for the absorbance peak at 280 nm. Peptide bonds are primarily responsible for the peak at 200 nm. Absorbance assays offer several advantages. Absorbance assays are fast and convenient since no additional reagents or incubations are required. No protein standard need be prepared. The assay does not consume the protein and the relationship of absorbance to protein concentration is linear. Further, the assay can be performed using only a UV spectrophotometer.

The Lowry assay is an often-cited general use protein assay. It was the method of choice for accurate protein determination for cell fractions, chromatography fractions, enzyme preparations, and so on. The bicinchoninic acid

(BCA) assay is based on the same principle, but it can be done in one step. However, the modified Lowry is done entirely at room temperature. The Hartree version of the Lowry assay, a more recent modification that uses fewer reagents, improves the sensitivity with some proteins, is less likely to be incompatible with some salt solutions, provides a more linear response, and is less likely to become saturated.

In the Hartree-Lowry assay, the divalent copper ion forms a complex with peptide bonds under alkaline conditions in which it is reduced to a monovalent ion. Monovalent copper ion and the radical groups of tyrosine, tryptophan, and cysteine react with Folin reagent to produce an unstable product that becomes reduced to molybdenum/tungsten blue. In addition to standard liquid handling supplies, the assay only requires a spectrophotometer with infrared lamp and filter. Glass or inexpensive polystyrene cuvettes may be used.

The Biuret assay is similar in principle to that of the Lowry, however it involves a single incubation of 20 minutes. In the Biuret assay, under alkaline conditions, substances containing two or more peptide bonds form a purple complex with copper salts in the reagent. The Biuret assay offer advantages in that there are very few interfering agents (ammonium salts being one such agent), and there were fewer reported deviations than with the Lowry or ultraviolet absorption methods. However, the Biuret consumes much more material. The Biuret is a good general protein assay for batches of material for which yield is not a problem. In addition to standard liquid handling supplies, a visible light spectrophotometer is needed, with maximum transmission in the region of 450 nm. Glass or inexpensive polystyrene cuvettes may be used.

The Bradford assay is very fast and uses about the same amount of protein as the Lowry assay. It is fairly accurate and samples that are out of range can be retested within minutes. The Bradford is recommended for general use, especially for determining protein content of cell fractions and assessing protein concentrations for gel electrophoresis. Assay materials including color reagent, protein standard, and instruction booklet are available from Bio-Rad Corporation. The assay is based on the observation that the absorbance maximum for an acidic solution of Coomassie Brilliant Blue G-250 shifts from 465 nm to 595 nm when binding to protein occurs. Both hydrophobic and ionic interactions stabilize the anionic form of the dye, causing a visible color change. The assay is useful since the extinction coefficient of a dye-albumin complex solution is constant over a 10-fold concentration range. In addition

to standard liquid handling supplies, a visible light spectrophotometer is needed, with maximum transmission in the region of 595 nm, on the border of the visible spectrum (no special lamp or filter usually needed). Glass or polystyrene cuvettes may be used, but the color reagent stains both. Disposable cuvettes are recommended.

5           The bicinchoninic acid (BCA) assay is available in kit form from Pierce (Rockford, IL). This procedure is quite applicable to microtiter plate methods. The BCA is used for the same reasons the Lowry is used. The BCA assay is advantageous in that it requires a single step, and the color reagent is stable under alkaline conditions. BCA reduces divalent copper ion to the monovalent ion under alkaline  
10 conditions, as is accomplished by the Folin reagent in the Lowry assay. The advantage of BCA is that the reagent is fairly stable under alkaline condition, and can be included in the copper solution to allow a one step procedure. A molybdenum/tungsten blue product is produced as with the Lowry. In addition to standard liquid handling supplies, a visible light spectrophotometer is needed with  
15 transmission set to 562 nm. Glass or inexpensive polystyrene cuvettes may be used.

          The range of concentrations that can be measured using the above assays range from about 20 micrograms to 3mg for absorbance at 280, between about 1-100 micrograms for absorbance at 205 nm, between about 2-100 micrograms for the Modified Lowry assay, between about 1-10 mg for the Biuret assay, between about 1-  
20 20 micrograms for the Bradford assay, and between about 0.2-50 micrograms for BCA assay. Many assays based on fluorescence or changes in fluorescence have been developed and could be performed using methods and devices of the invention.

          A detailed description of various physical and chemical assays is provided in *Remington: The Science and Practice of Pharmacy*, A. R. Gennaro (ed.), Mack  
25 Publishing Company, chap. 29, "Analysis of Medicinals," pp. 437-490 (1995) and in references cited therein while chapter 30 of the same reference provides a detailed description of various biological assays. The assays described include titrimetric assays based on acid-base reactions, precipitation reactions, redox reactions, and complexation reactions, spectrometric methods, electrochemical methods,  
30 chromatographic methods, and other methods such as gasometric assays, assays involving volumetric measurements and measurements of optical rotation, specific gravity, and radioactivity. Other assays described include assays of enzyme-containing substances, proximate assays, alkaloidal drug assays, and biological tests

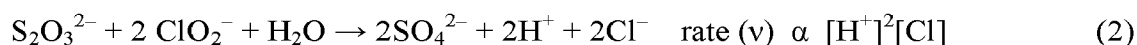
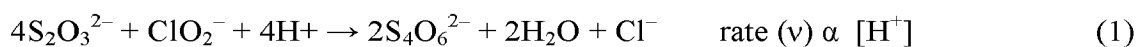
such as pyrogen test, bacterial endotoxin test, depressor substances test, and biological reactivity tests (*in-vivo* and *in-vitro*)

In addition, *Remington: The Science and Practice of Pharmacy*, A. R. Gennaro (ed.), Mack Publishing Company, chap. 31, "Clinical Analysis," pp. 501-533 (1995) and references cited therein provide a detailed description of various methods of characterizations and quantitation of blood and other body fluids. In particular, the reference includes a detailed description of various tests and assays involving various body fluid components such as erythrocytes, hemoglobin, thrombocyte, reticulocytes, blood glucose, nonprotein nitrogen compounds, enzymes, electrolytes, blood-volume and erythropoietic mechanisms, and blood coagulation.

## NONLINEAR AND STOCHASTIC SENSING

Stochastic behavior has been observed in many important chemical reactions, *e.g.*, autocatalytic reactions such as inorganic chemical reactions, combustion and explosions, and in polymerization of sickle-cell hemoglobin that leads to sickle-cell anemia. Crystallization may also be considered an autocatalytic process. Several theoretical treatments of these reactions have been developed. These reactions tend to be highly sensitive to mixing.

Consider the extensively studied stochastic autocatalytic chemical reaction between  $\text{NaClO}_2$  and  $\text{Na}_2\text{S}_2\text{O}_3$  (chlorite-thiosulfate reaction). The mechanism of this reaction can be described by reactions (1) and (2),



where  $[\text{H}^+]$  stands for the concentration of  $\text{H}^+$ . At a slightly basic  $\text{pH} = 7.5$ , the slow reaction (1) dominates and maintains a basic pH of the reaction mixture (since the rate of this reaction  $v$  is directly proportional  $[\text{H}^+]$ , this reaction consumes  $\text{H}^+$  and is auto-inhibitory). Reaction (2) dominates at acidic pH (since the rate of this reaction varies in proportion to  $[\text{H}^+]^2[\text{Cl}]$ , this reaction produces both  $\text{H}^+$  and  $\text{Cl}^-$  and is superautocatalytic). FIG. 21 shows the reaction diagram for two reactions corresponding to the curves 211, 212. The rates of the two reactions (referred to here as reaction 211 and reaction 212) are equal at an unstable critical point at a certain pH. The lifetime of the reaction mixtures of  $\text{NaClO}_2$  and  $\text{Na}_2\text{S}_2\text{O}_3$  at this critical point

crucially depends on stirring. In the absence of stirring, stochastic fluctuations of  $[H^+]$  in solution generate a localized increase in  $[H^+]$ . This increase in  $[H^+]$  marginally increases the rate of reaction 212, but it has a much stronger accelerating effect on reaction 211 because of the higher-order dependence on  $[H^+]$  of this reaction.

5 Therefore, in the region where local fluctuations increase local  $[H^+]$ , reaction 211 becomes dominant, and more  $H^+$  is produced (which rapidly diffuses out of the region of the initial fluctuation). The initiated chemical wave then triggers the rapid reaction of the entire solution. Unstirred mixtures of  $NaClO_2$  and  $NaS_2O_3$  are stable only for a few seconds, and these fluctuations arise even in the presence of stirring.

10 FIG. 21 depicts a reaction diagram illustrating an unstable point in the chlorite-thiosulfate reaction. At  $[H^+]$  values below the critical point, the slow reaction (1) dominates. At  $[H^+]$  values above the critical point, the autocatalytic reaction (2) dominates. The reaction mixture at the  $[H^+]$  value equal to the critical point is metastable in the absence of fluctuations. Under perfect mixing, the effects of small  
15 fluctuations average out and the system remains in a metastable state. Under imperfect mixing, fluctuations that reduce  $[H^+]$  grow more slowly than those that increase  $[H^+]$  due to the autocatalytic nature of reaction (2), and the reaction mixture thus rapidly becomes acidic.

It is known that chaotic flows should have a strong effect on diffusive  
20 transport within the fluid (“anomalous diffusion”). It is also known that chaotic dynamics can lead to non-Gaussian transport properties (“strange kinetics”). In one aspect according to the invention, these highly unstable mixtures are stabilized in the presence of chaotic mixing using channels according to the invention because this mixing can effectively suppress fluctuations. This invention can be used to  
25 understand the effects of mixing on the stochastic behavior of such systems, including for example, the chlorite thiosulfate system.

In a laminar flow, the flow profile in the middle of the channel is flat and there is virtually no convective mixing. Fluctuations involving  $[H^+]$  that arise in the middle of the channel can grow and cause complete decomposition of the reaction mixture.  
30 Slow mixing reduces the probability of fluctuations in plugs moving through straight channels. When fluctuations that occur in the centers of vortices are not efficiently mixed away, one or more spontaneous reactions involving some of the plugs can take place. In the present invention, chaotic mixing in plugs moving through winding

channels efficiently mix out fluctuations, and thus substantially fewer or no spontaneous reactions are expected to occur.

In a simple laminar flow, there is normally very little or no velocity gradient and substantially no mixing at the center of the channel. Thus, fluctuations that arise  
5 in the chlorite-thiosulfate reaction mixture prepared at the critical  $[H^+]$  are able to grow and lead to rapid decomposition of the reaction mixture. Propagation of chemical fronts in autocatalytic reactions occurring in laminar flows has been described with numerical simulations, and back-propagation has been predicted (that is, a reaction front traveling upstream of the direction of the laminar flow). Using the  
10 method of the present invention, this back-propagation involving the reaction between  $NaClO_2$  and  $Na_2S_2O_3$  under laminar flow conditions was observed.

In accordance with the invention, chaotic flow within plugs that flow through winding channels suppresses fluctuations and gives rise to stable reaction mixtures. There exists, of course, a finite probability that fluctuations can arise even in a  
15 chaotically stirred plug. In one aspect according to the invention, the details of the evolution of these reactions are monitored using a high-speed digital camera. The plugs are preferably separated by the oil and are not in communication with each other, so the reaction of one plug will not affect the behavior of the neighboring plug. Statistics covering the behavior of thousands of plugs can be obtained quickly under  
20 substantially identical experimental conditions.

Whether a fluctuation would be able to trigger an autocatalytic reaction depends on factors such as the magnitude of a fluctuation and its lifetime. The lifetime of a fluctuation is typically limited by the mixing time in the system. In an unstirred solution, mixing is by diffusion and quite slow, and fluctuations may persist  
25 and lead to autocatalytic reactions. In a stirred solution, the lifetime of a fluctuation is relatively short, and only large fluctuations have sufficient time to cause an autocatalytic reaction.

Mixing time and the lifetime of fluctuations typically depend on the size of the plugs. As plug size decreases, mixing is accelerated and fluctuations are suppressed.  
30 However, very small plugs (*e.g.*, about  $1\ \mu m^3$  or  $10^{-15}\ L$ ) in a solution containing about  $10^{-8}$  mole/liter concentration of  $H^+$  ( $pH = 8$ ) will contain only a few  $H^+$  ions per plug (about  $10^{-23}$  moles or about 6  $H^+$  ions). When such small plugs are formed, the number of  $H^+$  ions in them will have a Poisson distribution.

An important experimental challenge is to establish that the stochastic behavior in these systems is due mainly to internal fluctuations of concentrations. Other factors that may act as sources of noise and instability are: (1) temporal fluctuations in the flow rates of the incoming reagent streams, which can lead to the formation of plugs with varying amounts of reagents; (2) temperature fluctuations in solutions in a microfluidic device, which may arise due to, for example, illumination by a microscope; and (3) fluctuations due to impurities in carrier-fluids leading to variations in the surface properties of different plugs.

Microfluidic systems according to the invention may be used to probe various chemical and biochemical processes, such as those that show stochastic behavior in bulk due to their nonlinear kinetics. They can also be used in investigating processes that occur in systems with very small volumes (*e.g.*, about  $1\text{ }\mu\text{m}^3$ , which corresponds to the volume of a bacterial cell). In systems with very small volumes, even simple reactions are expected to exhibit stochastic behavior due to the small number of molecules localized in these volumes.

Autocatalytic reactions present an exciting opportunity for highly sensitive detection of minute amounts of autocatalysts. Several systems are known to operate on this principle, silver-halide photography being the most widely used. In silver-halide photography, the energy of photons of light is used to decompose an emulsion of silver halide AgX into nanometer-sized particles of metallic silver. A film that is embedded with the silver particles is then chemically amplified by the addition of a metastable mixture of a soluble silver(I) salt and a reducing agent (hydroquinone). Metallic silver particles catalyze reduction of silver(I) by hydroquinone, leading to the growth of the initial silver particles. Another example of an autocatalytic reaction is the polymerase-chain reaction (PCR), which is a very effective amplification method that has been widely used in the biological sciences.

However, a dilemma occurs when designing systems with very high sensitivity and amplification. To achieve a very highly sensitive amplification, the system typically has to be made very unstable. On the other hand, an unstable system is very sensitive to noise and has a very short lifetime. Also, in unstable systems, it is difficult to distinguish between spontaneous decomposition and a reaction caused by the analyte. In one aspect, microfluidic devices according to the invention, which allow chaotic mixing and compartmentalization, are used to overcome this problem.

To demonstrate the potential of microfluidic systems according to the present invention, a microfluidic system according to the invention is used to handle unstable mixtures. In one application, a microfluidic system according to the invention is preferably used to control a stochastic reaction between  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$ . In particular, this reaction is preferably used for a highly sensitive amplification process.

If a plug containing an unstable reaction mixture of  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$  is merged with a small plug containing an amount of  $\text{H}^+$  sufficient to bring the local concentration of  $\text{H}^+$  above critical, a rapid autocatalytic reactions is generally triggered. This autocatalytic reaction typically leads to the production of large amounts of  $\text{H}^+$ . Thus, a weak chemical signal, *e.g.*, a small amount of  $\text{H}^+$ , is rapidly amplified by an unstable reaction mixture. Thus, for example, this approach can be used to investigate biological reactions such as those that involve enzymes, in which small amounts of  $\text{H}^+$  are produced.

The above autocatalytic system possesses several features that contribute to its novelty and usefulness. In one aspect, an unstable amplifying reaction mixture is prepared in-situ and is used within milliseconds before it has a chance to decompose. Preferably, the system is compartmentalized so a reaction that occurs in one compartment does not affect a reaction in another compartment. This compartmentalization allows thousands of independent experiments to be conducted in seconds using only minute quantities of samples. Importantly, chaotic mixing in the system reduces fluctuations and stabilizes the reaction mixture.

The applications of controlled autocatalytic amplification in accordance with the invention are not limited to the detection of protons or  $\text{Co}^{2+}$  ions. For example, the (Co(III)-5-Br-PAPS)/peroxomonosulfate oxidation reaction can also be used indirectly, for example, for a detection of small amounts of peroxidase, which can be used as a labeling enzyme bound to an antibody. The (Co(III)-5-Br-PAPS)/peroxomonosulfate oxidation reaction, which has been characterized analytically, involves the autocatalytic decomposition of violet bis[2-(5-bromopyridylazo)-5-(N-propyl-N-sulfopropyl-amino-phenolato)] cobaltate, (Co(III)-5-Br-PAPS), upon oxidation with potassium peroxomonosulfate to produce colorless  $\text{Co}^{2+}$  ions, which serve as the autocatalyst (the order of autocatalysis has not been established for this reaction). (Endo *et al.*, "Kinetic determination of trace cobalt(II) by visual autocatalytic indication," *Talanta*, 1998, vol. 47, pp. 349-353; Endo *et al.*, "Autocatalytic decomposition of cobalt complexes as an indicator system for the

determination of trace amounts of cobalt and effectors," *Analyst*, 1996, vol. 121, pp. 391-394.)

$\text{Co(III)-[5-Br-PAPS]reduced} + \text{HSO}_5^- \rightarrow$

$\text{Co}^{2+} + \text{[5-Br-PAPS]oxidized} + \text{HSO}_4^-$

- 5            Addition of small amounts of  $\text{Co}^{2+}$  to the violet mixture of the (Co(III)-5-Br-PAPS and peroxomonosulfate produces an abrupt loss of color to give a colorless solution. The time delay before this decomposition depends on the amount of the  $\text{Co}^{2+}$  added to the solution. This reaction has been used to detect concentrations of  $\text{Co}^{2+}$  as low as  $1 \times 10^{-10}$  mole/L. The reaction shows good selectivity in the presence of
- 10   other ions (V(V), Cr(III), Cr(VI), Mn(II), Fe(II), Ni(II), Cu(II) and Zn(II)).

- The devices and methods according to the invention may be applied to other autocatalytic reactions, some of which have been described in inorganic, organic and biological chemistry. Reactions of transition metal ions such as Cr(III) (B82)  $\text{Mn}^{2+}$  or colloidal  $\text{MnO}_2$ , and reactions of halides and oxohalides are often autocatalytic.
- 15   Autocatalysis involving lanthanides ( $\text{Eu}^{2+}$ ) and actinides ( $\text{U}^{4+}$ ) has also been reported. All of these elements are potential targets for detection and monitoring in chemical waste, drinking water, or biological fluids. Intriguing possibilities arise from using asymmetric autocatalytic reactions to detect minute amounts of optically active, chiral impurities, such as biomolecules.

- 20            It is also possible to design new autocatalytic reactions. Autocatalysis is abundant in biology, and many enzymes are autocatalytic (*e.g.*, caspases involved in programmed cell death, kinases involved in regulation and amplification, and other enzymes participating in metabolism, signal transduction, and blood coagulation. Emulsions of perfluorocarbons such as perfluorodecaline (PFD) are used as blood
- 25   substitutes in humans during surgeries and should be compatible with a variety of biological molecules. Since the feasibility of quantitative measurements of enzyme kinetics has been demonstrated using plugs formed according to the invention, plugs formed according to the invention may also be applied to the detection of biological autocatalysts.

- 30            The devices and methods according to the present invention are not limited to the detection of the autocatalyst itself. For example, the labeling of an analyte using an autocatalyst is also within the scope of the present invention. Biomolecules are often labeled with metallic nanoparticles. Such metallic nanoparticles are highly effective autocatalysts for the reduction of metal ions to metals. Preferably, the

systems and methods of the present invention are used in the visual detection of a single molecule of DNA, RNA, or protein labeled with nanoparticles via an autocatalytic pathway. In preliminary experiments in accordance with the invention, clean particle formation and transport within plugs were observed.

5           In addition, the generation of metal (*e.g.*, copper, silver, gold, nickel) deposits and nanoparticles upon chemical reduction also proceed by an autocatalytic mechanism. These reactions are commonly used for electroless deposition of metals and should be useful for the detection of minute amounts of metallic particles. The presence of metallic particles in water can be indicative of the presence of operating  
10       mechanical devices. In one aspect according to the invention, devices and methods according to the invention are used to detect the presence of minute or trace quantities of metallic particles.

          The devices in accordance with the present invention are simple in design, consume minute amounts of material, and robust. They do not require high voltage  
15       sources and can be operated, for example, using gravity or a pocket-sized source of compressed air. In one aspect, the systems according to the invention are used in portable and hand-held devices.

          Autocatalytic reactions show a threshold response, that is, there is a very abrupt temporal change from unreacted mixture to reacted mixture. In the case where  
20       time is equal to distance, this abrupt transition over a short distance can be observed using the devices and methods of the invention. The time (and distance) is very sensitive to the initial concentration of the catalyst, and thus it should be easy to determine the concentration of the autocatalyst in the sample by noting how far the reaction system traveled before it reacted.

25           One example of an autocatalytic process is blood coagulation. It is very sensitive to flow and mixing, therefore experimenting with it in the absence of flow gives unreliable results or results that have little relevance to the real function of the coagulation cascade. A typical microfluidic system may be difficult to use with blood because once coagulation occurs, it blocks the channel and stops the flow in the  
30       microfluidic device. In addition, coagulated blood serves as an autocatalyst; even small amounts of coagulated blood in the channels can make measurements unreliable.

          These problems can be overcome using the devices of the present invention. Using plugs, autocatalytic reactions can be easily controlled, and the formation of

solid clots would not be a problem because any solids formed will be transported inside the plugs out of the channel without blocking the channel and without leaving autocatalytic residue. In addition, flow inside plugs can be easily controlled and adjusted to resemble flow under physiological conditions.

5           To address the sensitivity of blood coagulation to surfaces (the cascade is normally initiated on the surface), microscopic beads containing immobilized tissue factor (the cascade initiator) on the surface may be added to one of the streams and transported inside the plugs. Also, surfactants may be used to control surface chemistry.

10           Thus, the devices and methods of the invention may be used, for example, to test how well the coagulation cascade functions (*e.g.*, for hemophilia or the tendency to form thrombus) under realistic flow conditions. This test would be particularly valuable in diagnostics. Blood may be injected in one stream, and a known concentration of a molecule known to induce coagulation (*e.g.*, factor VIIa) can be  
15 added through another stream prior to plug formation. At a given flow rate, normal blood would coagulate at a certain distance (which corresponds to a given time), which can be observed optically by light scattering or microscopy. Blood of hemophiliac patients would coagulate at a later time. This type of testing would be useful before surgical operations. In particular, this type of testing is important for  
20 successful child delivery, especially when hemophilia is suspected. Fetal testing may be performed since only minute amounts of blood are required by systems according to the invention. The blood may be injected directly from the patient or collected in the presence of anticoagulating agent (for example EDTA), and then reconstituted in the plug by adding  $\text{Ca}^{2+}$ . In some cases, the addition of  $\text{Ca}^{2+}$  may be sufficient to  
25 initiate the coagulation cascade.

          The devices and methods of the invention may also be used to evaluate the efficacy of anticoagulating agents under realistic flow conditions. Plugs can be formed from normal blood (which may be used directly or reconstituted by adding  $\text{Ca}^{2+}$  or other agents), an agent known to induce coagulation, and an agent (or several  
30 agents that need to be compared) being tested as an anticoagulation agent. The concentrations of these agents can be varied by varying the flow rates. The distance at which coagulation occurs is noted, and the efficacy of various agents to prevent coagulation is compared. The effects of flow conditions and presence of various compounds in the system on the efficacy of anticoagulation agents can be investigated

quickly. The same techniques may also be used to evaluate agents that cause, rather prevent, coagulation. These tests could be invaluable in evaluating drug candidates.

## SYNTHESIS

5           In accordance with the present invention, a method of conducting a reaction within a substrate is provided. The reaction is initiated by introducing two or more plug-fluids containing reactants into the substrate of the present invention.

          In one aspect, the plug-fluids include a reagent and solvent such that mixing of the plug-fluids results in the formation of a reaction product. In another embodiment,  
10       one of the plug-fluids may be reagent free and simply contain fluid. In this embodiment, mixing of the plug-fluids will allow the concentration of the reagent in the plug to be manipulated.

          The reaction can be initiated by forming plugs from each plug-fluid and subsequently merging these different plugs.

15       When plugs are merged to form merged plugs, the first and second set of plugs may be substantially similar or different in size. Further, the first and second set of plugs may have different relative velocities. In one embodiment, large arrays of microfluidic reactors are operated in parallel to provide substantial throughput.

          The devices and methods of the invention can be used for synthesizing  
20       nanoparticles. Nanoparticles that are monodisperse are important as sensors and electronic components but are difficult to synthesize (Trindade *et al.*, *Chem. Mat.* 2001, vol. 13, pp. 3843-3858.). In one aspect, monodisperse nanoparticles of semiconductors and noble metals are synthesized under time control using channels according to the invention (Park *et al.*, *J. Phys. Chem. B*, 2001, vol. 105, pp. 11630-  
25       11635.). Fast nucleation is preferably induced by rapid mixing, thereby allowing these nanoparticles to grow for a controlled period of time. Then their growth is preferably quickly terminated by passivating the surfaces of the particles with, for example, a thiol. Nanoparticles of different sizes are preferably obtained by varying the flow rate and therefore the growth time. In addition, devices according to the  
30       invention can be used to monitor the synthesis of nanoparticles, and thus obtain nanoparticles with the desired properties. For example, the nanoparticle formation may be monitored by measuring the changes in the color of luminescence or absorption of the nanoparticles. In addition, the growth of nanoparticles may be

stopped by introducing a stream of quenching reagent at a certain position along the main channel.

Rapid millisecond mixing generated in channels according to the invention can help ensure the formation of smaller and much more monodisperse nanoparticles than nanoparticles synthesized by conventional mixing of solutions. FIG. 13 shows the UV-VIS spectra of CdS nanoparticles formed by rapid mixing in plugs (lighter shade spectrum with sharp absorption peak) and by conventional mixing of solutions (darker shade spectrum). The sharp absorption peak obtained for synthesis conducted in plugs indicates that the nanoparticles formed are highly monodisperse. In addition, the blue-shift (shift towards shorter wavelengths) of the absorption peak indicates that the particles formed are small.

FIG. 14A-B illustrates the synthesis of CdS nanoparticles performed in PDMS microfluidic channels in single-phase aqueous laminar flow (FIG. 14A) and in aqueous plugs that were surrounded by water-immiscible perfluorodecaline (FIG. 14B). In FIGS. 14A-B,  $\text{Cd}^{2+}$  was introduced into inlets 1400, 1403, aqueous stream was introduced into inlets 1401, 1404, and  $\text{S}^{2-}$  was introduced into inlets 1402, 1405. In FIG. 14A, an aqueous stream flowed through channel 1406 while in FIG. 14B, oil flowed through channel 1407. FIG. 14A shows portions of the channels 1408 and 1410 at time  $t=6$  minutes and portions of the channels 1409, 1411 at time  $t=30$  minutes. It can be seen in FIG. 14A that when laminar flow is used in the synthesis, large amounts of CdS precipitate form on the channel walls. When plugs were used for the synthesis, all CdS formed inside the plugs, and no surface contamination was observed. FIG. 15 illustrates a technique for the synthesis of CdS nanoparticles, which is discussed in detail in Example 13 below.

The following methods according to the invention can be used in synthesis involving nanoparticles:

- (a) using self-assembled monolayers to nucleate nanoparticles with crystal structures not accessible under homogeneous nucleation conditions (*e.g.*, controlling polymorphism by controlling the surface at which nucleation takes place).
- (b) using merging of plugs to create core-shell nanoparticles with a range of core and shell sizes. In a stream of plugs of a first channel, small core nanoparticles such as CdSe particles can be synthesized in a matter of few milliseconds. The CdSe particles can then be used as seeds for mixing with solutions such as those containing  $\text{Zn}^{+2}$  and  $\text{S}^{-2}$ . The CdSe particles, acting as seeds for the formation of ZnS, thus allow

the formation of CdSe(core)/ZnS(shell) nanoparticles. Core-shell particles with more than two layers may be obtained by simply repeating the merging process more than once.

5 (c) using merging of plugs to create composite nanoparticles. For example, small nanoparticles of CdSe and ZnS can be formed using streams of plugs from two separate channels. Merging of these streams leads to aggregation of these particles to form larger nanoparticles containing CdSe/ZnS composite. The composite nanoparticles that contain only a few of the original nanoparticles can be made non-centrosymmetric, which may have interesting photophysical properties.

10 (d) using the devices and methods according to the invention to synthesize medically important nanoparticles, such as encapsulated drugs and composite drugs.

(e) combinatorial synthesis of core-shell particles and other complex systems. For example, the luminescence of CdSe/ZnS particles may be monitored and the conditions adjusted to produce particles with various core and shell sizes, various  
15 doping impurities in the core and shell, and various ligand composition on the surface of the particles. These can be conducted in real time using a device according to the invention. The entire process can also be automated.

The devices and methods according to the present invention may also be used for synthesizing polymers. Since the invention allows precise control of the timing of  
20 a polymerization reaction, one or more properties of a polymer such as molecular weight, polydispersity and blockiness can be readily controlled or adjusted. In addition, use of the substrate of the present invention allows the user to precisely form block copolymers by merging plugs within a device, since the path length of the channel will correspond to a specific duration of the polymerization reaction.  
25 Similarly, a living polymer chain can be terminated with a specific end group to yield polymers with a discrete subset of molecular weights.

In addition, combinatorial libraries of drug candidates may be synthesized using similar approaches. The library may be encoded using the position of plugs in a channel. Plugs of variable composition may be created by varying flow rates.  
30 Combination of synthesis of the library may be combined with screening and assays performed on the same microfluidic chip according to the present invention. In some embodiments, merging, splitting and sorting of plugs may be used during synthesis, assays, etc.

All of the above synthesis methods of the present invention can be used to form macroscopic quantities of one or more reaction products by running multiple reactions in parallel.

## 5    **PARTICLE SEPARATION/SORTING USING PLUGS**

The flow within the moving plugs can be used for separation of polymers and particles. Plugs can be used for separation by first using flow within a moving plug to establish a distribution of the polymers or particles inside the plug (for example, an excess of the polymer inside the front, back, right or left side of the plug) and then  
10    using splitting to separate and isolate the part of the plug containing higher concentration of the polymers or particles. When two polymers or particles are present inside the plug and establish different distributions, slitting can be used to separate the polymers or particles. This approach may be useful, for example, in achieving on a microfluidic chip any of, but not limited to, the following: separation,  
15    purification, concentration, membrane-less dialysis, and filtration.

## **CRYSTALLIZATION**

The devices and methods of the invention allow fast, inexpensive miniaturization of existing crystallization methods and other methods that can be  
20    adapted into, for example, novel protein screening and crystallization techniques. The crystallization methods according to the invention may be applied to various drugs, materials, small molecules, macromolecules, colloidal and nanoparticles, or any of their combinations. Many relevant protein structures remain undetermined due to their resistance to crystallization. Also, many interesting proteins are only available  
25    in microgram quantities. Thus, a screening process must permit the use of small amounts protein for analysis. Current crystallization screening technologies generally determine the ideal conditions for protein crystallization on a milligram scale. Devices and methods according to the invention improve current bench-top methodology available to single users, and enables higher throughput automated  
30    systems with improved speed, sample economy, and entirely new methods of controlling crystallization.

A microfluidic system according to the invention can be applied to the crystallization of small molecules or macromolecules and their complexes.

For example, systems and methods in accordance with the present invention may include but are not limited to: (1) biological macromolecules (cytosolic proteins, extracellular proteins, membrane proteins, DNA, RNA, and complex combinations thereof); (2) pre- and post-translationally modified biological molecules (including but not limited to, phosphorylated, sulfolated, glycosylated, ubiquitinated, etc. proteins, as well as halogenated, abasic, alkylated, etc. nucleic acids); (3) deliberately derivatized macromolecules, such as heavy-atom labeled DNAs, RNAs, and proteins (and complexes thereof), selenomethionine-labeled proteins and nucleic acids (and complexes thereof), halogenated DNAs, RNAs, and proteins (and complexes thereof); (4) whole viruses or large cellular particles (such as the ribosome, replisome, spliceosome, tubulin filaments, actin filaments, chromosomes, etc.); (5) small-molecule compounds such as drugs, lead compounds, ligands, salts, and organic or metallo-organic compounds; (6) small-molecule/biological macromolecule complexes (*e.g.*, drug/protein complexes, enzyme/substrate complexes, enzyme/product complexes, enzyme/regulator complexes, enzyme/inhibitor complexes, and combinations thereof); (7) colloidal particles; and (8) nanoparticles.

Preferably, a general crystallization technique according to the present invention involves two primary screening steps: a crude screen of crystallization parameters using relatively small channels with a large number of small plugs, and a fine screen using larger channels and larger plugs to obtain diffraction-quality crystals. For example, ten crude screens performed using channels with a  $(50\ \mu\text{m})^2$  cross-sectional dimension and with more or less one thousand 150-picoliter (pL) plugs corresponding to 10 mg/mL final concentration of a protein (10,000 trials total) will typically require about 1.5  $\mu\text{L}$  of solution, produce crystals up to about  $(10\ \mu\text{m})^3$  in size, and will consume approximately 15  $\mu\text{g}$  of protein. Up to 300 or more of such plugs can be formed in about 1 second in these microfluidic networks. A fine screen around optimal conditions in  $(500\ \mu\text{m})^2$  channels is expected to use more or less 50 plugs. Another  $\sim 5\ \mu\text{L}$  of solution and another 50  $\mu\text{g}$  of the protein are expected to be consumed. This can produce crystals up to  $(100\ \mu\text{m})^3$  in size. Approximately 30 plugs can be formed about every second or so. The throughput of the system will generally be determined by the rate of plug formation, and may be limited by how rapidly the flow rates can be varied. Pressure control methods that operate at frequencies of 100 Hz are available and may be applied to PDMS microfluidic

networks (Unger *et al.*, "Monolithic fabricated valves and pumps by multilayer soft lithography," *Science* 2000, vol. 288, pp. 113-116.).

Crystal properties such as appearance, size, optical quality, and diffractive properties may be characterized and measured under different conditions. For  
5 example, a Raxis IIc X-ray detector mounted on a Rigaku RU 200 rotating anode X-ray generator, which is equipped with double focusing mirrors and an MSC cryosystem, may be used for at least some of the characterizations and measurements. A synchrotron beam may be useful for characterization of small crystals. Also, these devices and methods may be used to build microfluidic systems according to the  
10 invention that are compatible with structural studies using x-ray beams.

A significant problem involving current crystallization approaches is determining the conditions for forming crystals with optimal diffractive properties. Normally crystals have to be grown, isolated, mounted, and their diffractive properties determined using an x-ray generator or a synchrotron. Microfluidic systems with thin,  
15 non-scattering walls would be desirable for determining the diffractive properties of crystals inside a microfluidic system. Preferably, crystallization is carried out inside this system using methods according to the invention, which are described herein. The crystals are exposed to x-ray beams either to determine their structure or diffractive properties (the screening mode). For example, a PDMS membrane  
20 defining two side walls of the channels could be sandwiched between two very thin glass plates (defining the top and bottom walls of the channels) that do not significantly scatter X-rays. Thus, the devices of the invention offer a further advantage in that structural characterization could be conducted while the sample is inside the microfluidic device. Thus, the sample can be characterized without the  
25 need to take out the sample, *e.g.*, crystal, from the device.

The present system enables higher throughput automated systems with improved speed, sample economy, and entirely new methods of controlling crystallization. Microfluidic versions of microbatch, vapor phase diffusion and FID techniques may be carried out using the present invention, as described below, or  
30 using a combination of these techniques or other techniques. In addition, the nucleation and growth phases may be carried out in discrete steps through merging plugs, as described herein.

Screening for protein crystallization can involve varying a number of parameters. During crystallization screening, a large number of chemical compounds

may be employed. These compounds include salts, small and large molecular weight organic compounds, buffers, ligands, small-molecule agents, detergents, peptides, crosslinking agents, and derivatizing agents. Together, these chemicals can be used to vary the ionic strength, pH, solute concentration, and target concentration in the plug, and can even be used to modify the target. The desired concentration of these chemicals to achieve crystallization is variable, and can range from nanomolar to molar concentrations.

A typical crystallization mix may contain a set of fixed, but empirically-determined, types and concentrations of precipitation agent, buffers, salts, and other chemical additives (e.g., metal ions, salts, small molecular chemical additives, cryoprotectants, etc.). Water is a key solvent in many crystallization trials of biological targets, as many of these molecules may require hydration to stay active and folded. Precipitation agents act to push targets from a soluble to insoluble state, and may work by volume exclusion, changing the dielectric constant of the solvent, charge shielding, and molecular crowding. Precipitation agents compatible with the PDMS material of certain embodiments according to the invention include, but are not limited to, nonvolatile salts, high molecular weight polymers, polar solvents, aqueous solutions, high molecular weight alcohols, divalent metals.

Precipitation agents, which include large and small molecular weight organics, as well as certain salts, may be used from under 1% to upwards of 40% concentration, or from < 0.5M to greater than 4M concentration. Water itself can act in a precipitating manner for samples that require a certain level of ionic strength to stay soluble. Many precipitation agents may also be mixed with one another to increase the chemical diversity of the crystallization screen. Devices according to the invention are readily compatible with a broad range of such compounds.

A nonexclusive list of salts that may be used as precipitation agents is as follows: tartrates (Li, Na, K, Na/K, NH<sub>4</sub>); phosphates (Li, Na, K, Na/K, NH<sub>4</sub>); acetates (Li, Na, K, Na/K, Mg, Ca, Zn, NH<sub>4</sub>); formates (Li, Na, K, Na/K, Mg, NH<sub>4</sub>); citrates (Li, Na, K, Na/K, NH<sub>4</sub>); chlorides (Li, Na, K, Na/K, Mg, Ca, Zn, Mn, Cs, Rb, NH<sub>4</sub>); sulfates (Li, Na, K, Na/K, NH<sub>4</sub>); maleates (Li, Na, K, Na/K, NH<sub>4</sub>); glutamates (Li, Na, K, Na/K, NH<sub>4</sub>).

A nonexclusive list of organic materials that may be used as precipitation agents is as follows: PEG 400; PEG 1000; PEG 1500; PEG 2K; PEG 3350; PEG 4K; PEG 6K; PEG 8K; PEG 10K; PEG 20K; PEG-MME 550; PEG-MME 750; PEG-

MME 2K; PEGMME 5K; PEG-DME 2K; dioxane; methanol; ethanol; 2-butanol; *n*-butanol; *t*-butanol; jeffamine m-600; isopropanol; 2-methyl-2,4-pentanediol; 1,6 hexanediol.

5 Solution pH can be varied by the inclusion of buffering agents; typical pH ranges for biological materials lie anywhere between values of 3 and 10.5 and the concentration of buffer generally lies between 0.01 and 0.25 M. The microfluidics devices described in this document are readily compatible with a broad range of pH values, particularly those suited to biological targets.

10 A nonexclusive list of possible buffers that may be used according to the invention is as follows: Na-acetate; HEPES; Na-cacodylate; Na-citrate; Na-succinate; Na-K-phosphate; TRIS; TRIS-maleate; imidazole-maleate; bistrispropane; CAPSO, CHAPS, MES, and imidazole.

15 Additives are small molecules that affect the solubility and/or activity behavior of the target. Such compounds can speed up crystallization screening or produce alternate crystal forms or polymorphs of the target. Additives can take nearly any conceivable form of chemical, but are typically mono and polyvalent salts (inorganic or organic), enzyme ligands (substrates, products, allosteric effectors), chemical crosslinking agents, detergents and/or lipids, heavy metals, organometallic compounds, trace amounts of precipitating agents, and small molecular weight  
20 organics.

The following is a nonexclusive list of additives that may be used in accordance with the invention: 2-butanol; DMSO; hexanediol; ethanol; methanol; isopropanol; sodium fluoride; potassium fluoride; ammonium fluoride; lithium chloride anhydrous; magnesium chloride hexahydrate; sodium chloride; calcium  
25 chloride dihydrate; potassium chloride; ammonium chloride; sodium iodide; potassium iodide; ammonium iodide; sodium thiocyanate; potassium thiocyanate; lithium nitrate; magnesium nitrate hexahydrate; sodium nitrate; potassium nitrate; ammonium nitrate; magnesium formate; sodium formate; potassium formate; ammonium formate; lithium acetate dihydrate; magnesium acetate tetrahydrate; zinc  
30 acetate dihydrate; sodium acetate trihydrate; calcium acetate hydrate; potassium acetate; ammonium acetate; lithium sulfate monohydrate; magnesium sulfate heptahydrate; sodium sulfate decahydrate; potassium sulfate; ammonium sulfate; di-sodium tartrate dihydrate; potassium sodium tartrate tetrahydrate; di-ammonium tartrate; sodium dihydrogen phosphate monohydrate ; di-sodium hydrogen phosphate

dihydrate; potassium dihydrogen phosphate; di-potassium hydrogen phosphate;  
 ammonium dihydrogen phosphate; di-ammonium hydrogen phosphate; tri-lithium  
 citrate tetrahydrate; tri-sodium citrate dihydrate; tri-potassium citrate monohydrate;  
 diammonium hydrogen citrate; barium chloride; cadmium chloride dihydrate;  
 5 cobaltous chloride dihydrate; cupric chloride dihydrate; strontium chloride  
 hexahydrate; yttrium chloride hexahydrate; ethylene glycol; Glycerol anhydrous; 1,6  
 hexanediol; MPD; polyethylene glycol 400; trimethylamine HCl; guanidine HCl;  
 urea; 1,2,3-heptanetriol; benzamidine HCl; dioxane; ethanol; iso-propanol; methanol;  
 sodium iodide; L-cysteine; EDTA sodium salt; NAD; ATP disodium salt; D(+)-  
 10 glucose monohydrate; D(+)-sucrose; xylitol; spermidine; spermine tetra-HCl; 6-  
 aminocaproic acid; 1,5-diaminopentane diHCl; 1,6-diaminohexane; 1,8-  
 diaminooctane; glycine; glycyl-glycyl-glycine; hexaminecobalt trichloride; taurine;  
 betaine monohydrate; polyvinylpyrrolidone K15; non-detergent sulfo-betaine 195;  
 non-detergent sulfo-betaine 201; phenol; DMSO; dextran sulfate sodium salt;  
 15 Jeffamine M-600; 2,5 Hexanediol; (+/-)- 1,3 butanediol; polypropylene glycol P400;  
 1,4 butanediol; tert-butanol; 1,3 propanediol; acetonitrile; gamma butyrolactone;  
 propanol; ethyl acetate; acetone; dichloromethane; *n*-butanol; 2,2,2 trifluoroethanol;  
 DTT; TCEP; nonaethylene glycol monododecyl ether, nonaethylene glycol  
 monolauryl ether; polyoxyethylene (9) ether; octaethylene glycol monododecyl ether,  
 20 octaethylene glycol monolauryl ether; polyoxyethylene (8) lauryl ether; Dodecyl-  $\beta$ -  
 D-maltopyranoside; Lauric acid sucrose ester; Cyclohexyl-pentyl- $\beta$ -D-maltoside;  
 Nonaethylene glycol octylphenol ether; Cetyltrimethylammonium bromide; *N*, *N*-  
 bis(3-D-gluconamidopropyl)-deoxycholamine; Decyl- $\beta$ -D-maltopyranoside;  
 Lauryldimethylamine oxide; Cyclohexyl-pentyl- $\beta$ -D-maltoside; *n*-  
 25 Dodecylsulfobetaine, 3-(Dodecyldimethylanionio)propane-1-sulfonate; Nonyl- $\beta$ -  
 D-glucopyranoside; Octyl- $\beta$ -D-thioglucopyranoside, OSG; *N*,*N*-  
 Dimethyldecylamine- $\beta$ -oxide; Methyl 0-(*N*-heptylcarbamoyle)- $\alpha$ -D-  
 glucopyranoside; Sucrose monocaprylate; *n*-Octanoyl- $\beta$ -D-fructofuranosyl- $\alpha$ -D-  
 glucopyranoside; Heptyl- $\beta$ -D-thioglucopyranoside; Octyl- $\beta$ -D-glucopyranoside,  
 30 OG; Cyclohexyl-propyl- $\beta$ -D-maltoside; Cyclohexylbutanoyl-*N*-  
 hydroxyethylglucamide; *n*-decylsulfobetaine, 3-(Decyldimethylammonio)propane-  
 1-sulfonate; Octanoyl-*N*-methylglucamide, OMEGA; Hexyl- $\beta$ -D-glucopyranoside;  
 Brij 35; Brij 58; Triton X-114; Triton X-305; Triton X-405; Tween 20; Tween 80;

polyoxyethylene(6)decyl ether; polyoxyethylene(9)decyl ether;  
polyoxyethylene(10)dodecyl ether; polyoxyethylene(8)tridecyl ether;; Decanoyl-*N*-  
hydroxyethylglucamide; Pentaethylene glycol mono-octyl ether; 3-[(3-  
cholamidopropyl)-dimethylammonio]-1-propane sulfonate; 3-[(3-Cholamidopropyl)-  
5 dimethylammonio] hydroxy-1-propane sulfonate; Cyclohexylpentanoyl-*N*-  
hydroxyethylglucamide; Nonanoyl-*N*-hydroxyethylglucamide; Cyclohexylpropanol-  
*N*-hydroxyethylglucamide; Octanoyl-*N*-hydroxyethylglucamide; Cyclohexylethanoyl-  
*N*-hydroxyethylglucamide; Benzyl dimethyldodecyl ammonium bromide; *n*-  
Hexadecyl- $\beta$ -D-maltopyranoside; *n*-Tetradecyl- $\beta$ -D-maltopyranoside; *n*-Tridecyl-  
10  $\beta$ -D-maltopyranoside; Dodecylpoly(ethyleneglycoether); *n*-Tetradecyl-*N,N*-dimethyl  
ammonio-1-propanesulfonate; *n*-Undecyl- $\beta$ -D-maltopyranoside; *n*-Decyl D-  
thiomaltopyranoside; *n*-dodecylphosphocholine;  $\alpha$ -D-glucopyranoside,  $\beta$ -D-  
fructofuranosyl monodecanoate, sucrose mono-caprate; 1-s-Nonyl- $\beta$ -D-  
thioglucopyranoside; *n*-Nonyl- $\beta$ -D-thiomaltopyranoside; *N*-Dodecyl-*N,N*-  
15 (dimethylammonio)butyrate; *n*-Nonyl- $\beta$ -D-maltopyranoside; Cyclohexyl-butyl D-  
maltoside; *n*-Octyl- $\beta$ -D-thiomaltopyranoside; *n*-Decylphosphocholine; *n*-  
Nonylphosphocholine; Nonanoyl-*N*-methylglucamide; 1-s-Heptyl- $\beta$ -D-  
thioglucopyranoside; *n*-Octylphosphocholine; Cyclohexyl-ethyl D-maltoside; *n*-  
Octyl-*N,N*-dimethyl ammonio-1-propanesulfonate; Cyclohexyl-methyl- $\beta$ -D-  
20 maltoside.

Cryosolvents are agents that stabilize a target crystal to flash-cooling in a  
cryogen such as liquid nitrogen, liquid propane, liquid ethane, or gaseous nitrogen or  
helium (all at approximately 100- 120 °K) such that crystal becomes embedded in a  
vitreous glass rather than ice. Any number of salts or small molecular weight organic  
25 compounds can be used as a cryoprotectant, and typical ones include but are not  
limited to: MPD, PEG-400 (as well as both PEG derivatives and higher molecular-  
weight PEG compounds), glycerol, sugars (xylitol, sorbitol, erythritol, sucrose,  
glucose, etc.), ethylene glycol, alcohols (both short- and long chain, both volatile and  
nonvolatile), LiOAc, LiCl, LiCH<sub>3</sub>O<sub>2</sub>, LiNO<sub>3</sub>, Li<sub>2</sub>SO<sub>4</sub>, Mg(OAc)<sub>2</sub>, NaCl, NaCH<sub>3</sub>O<sub>2</sub>,  
30 NaNO<sub>3</sub>, etc. Again, materials from which microfluidics devices in accordance with  
the present invention are fabricated may be compatible with a range of such  
compounds.

Many of these chemicals can be obtained in predefined screening kits from a variety of vendors, including but not limited to Hampton Research of Laguna Niguel, CA, Emerald Biostructures of Bainbridge Island, WA, and Jena BioScience of Jena, Germany, that allow the researcher to perform both sparse matrix and grid screening experiments. Sparse matrix screens attempt to randomly sample as much of precipitant, buffer, and additive chemical space as possible with as few conditions as possible. Grid screens typically consist of systematic variations of two or three parameters against one another (*e.g.*, precipitant concentration vs. pH). Both types of screens have been employed with success in crystallization trials, and the majority of chemicals and chemical combinations used in these screens are compatible with the chip design and matrices in accordance with embodiments of the present invention. Moreover, current and future designs of microfluidic devices may enable flexible combinatorial screening of an array of different chemicals against a particular target or set of targets, a process that is difficult with either robotic or hand screening. This latter aspect is particularly important for optimizing initial successes generated by first-pass screens.

In addition to chemical variability, a host of other parameters can be varied during crystallization screening. Such parameters include but are not limited to: (1) volume of crystallization trial; (2) ratio of target solution to crystallization solution; (3) target concentration; (4) cocrystallization of the target with a secondary small or macromolecule; (5) hydration; (6) incubation time; (7) temperature; (8) pressure; (9) contact surfaces; (10) modifications to target molecules; and (11) gravity.

Although the discussion below refers to proteins, the particular devices or methods described can also be used or suitably adapted for the crystallization of other types of samples such as those mentioned above (*e.g.*, small molecules, other macromolecules, nanoparticles, colloidal particles, etc.). In one aspect of the present invention, protein crystallization is conducted using miniaturized microbatch conditions. The process consists of two steps. First, plugs are preferably formed wherein the concentrations of the protein, precipitant, and additive are adjusted by varying the relative flow rates of these solutions. This step corresponds to a screening step. Once the optimal concentrations have been found, the flow rates can then be kept constant at the optimal conditions. In this step, plugs are preferably transported through the channel as they form. Second, the flow is preferably stopped once the desired number of plugs are formed. The plugs are then preferably allowed to

incubate. In some embodiments according to the invention the flow may be continued, rather than stopped. In those embodiments, the flow is maintained sufficiently slow and the channels are made sufficiently long that plugs spend sufficient time in the channels for crystallization to occur (from tens of minutes to  
5 weeks, but may be faster or slower).

In one aspect, upon formation of the plugs, they are trapped using expansions in the channels. The expansions act as dead volume elements while the plugs are being formed in the presence of flow. Thus, the expansions do not interfere with the flow of the plugs through the channel. Once the flow is stopped, surface tension  
10 drives plugs into the expansions where surface tension is minimized. The expansions may be, but are not limited to, oval, round, square, rectangular, or star-shaped. In particular, a star-shaped expansion may prevent adherence of the plug or of a crystal to the walls of the expansion. The ratio of the size of the expansion opening to the width of the channel may be varied based on empirical results for a particular set of  
15 conditions. FIG. 16 is a schematic illustration of a microfluidic device according to the invention that illustrates the trapping of plugs. In experiments, plugs were sustained in perfluorodecaline inside a channel for one day, and did not appear to change during that time (a refractive index mismatch between the fluorinated and aqueous phase was introduced to aid in visualization of plugs).

The method described above allows a high degree of control over protein and precipitant concentrations. It also allows a high degree of control over a range of time  
20 scales through the control of plug size and composition. FIG. 17 shows a schematic of a microfluidic method for forming plugs with variable compositions for protein crystallization. Continuously varied flow rates of the incoming streams are preferably  
25 used to form plugs with various concentrations of the protein, precipitation agents, and additives. In FIG. 17, for example, the following can be introduced into the various inlets: buffers into inlets 171, 172; PEG into inlet 173; salt into inlet 174; solvent into inlet 175; and protein into inlet 176. These various solutions can enter a channel 177 through which a carrier fluid such as perfluorodecaline flows. For  
30 example, a 1-meter long channel with a  $200 \times 80 \mu\text{m}^2$  cross section can be used to form approximately two hundred 6 nL (nanoliter) plugs. If each plug contains enough protein to form a  $40\text{-}\mu\text{m}^3$  crystal, 200 trials will consume only about 1.2  $\mu\text{L}$  of approximately 10 mg/mL protein solution (12  $\mu\text{g}$  of protein). About one minute may be sufficient to form plugs in these trials.

In another aspect according to the invention, after plugs are formed as described above for the microbatch system, slow evaporation through a very thin PDMS membrane (or another membrane with slight water permeability) is preferably used for added control over the crystallization process. A slow decrease in the volume of the plug during evaporation is expected to produce a trajectory of the solution through the crystallization phase space similar to that in a vapor diffusion experiment. Hence, this method, in addition to microbatch methods, can be used to miniaturize and optimize vapor diffusion methods.

In the vapor diffusion method, a drop containing protein, stabilizing buffers, precipitants, and/or crystallization agents is allowed to equilibrate in a closed system with a much larger reservoir. The reservoir usually contains the same chemicals minus the protein but at an overall higher concentration so that water preferentially evaporates from the drop. If conditions are right, this will produce a gradual increase in protein concentration such that a few crystals may form.

Vapor diffusion can be performed in several ways. The one most often used is called Hanging Drop Technique. The drop is placed on a glass coverslip, which is then inverted and used to seal a small reservoir in a Linbro Plate. After a period of several hours to weeks, microscopic crystals may form and continue to grow. The other set up is known as Sitting Drop. In this method a drop (usually >10uL) is placed in a depression in either a Micro Bridge in a Linbro Plate or a glass plate and again placed in a closed system to equilibrate with a much larger reservoir. One usually uses the sitting drop technique if the drop has very low surface tension, making it hard to turn upside down or if the drops need to be larger than 20uL. Also, in some cases, crystals will grow better using one technique or the other.

In another embodiment, the plugs are preferably formed and transported such that excessive mixing of the protein with the precipitation agent is minimized or prevented. For example, gentle mixing using spiral channels may be used to achieve this and also to create interfaces between the protein and the precipitation agent. Alternatively, combining two streams of plugs in a T-junction without merging may be used to create plugs that diffuse and combine without significant mixing to establish a free interface after the flow is stopped. Diffusion of the proteins and precipitates through the interface induces crystallization. This is an analogue of the Free-Interface Diffusion method. It may be performed under either the microbatch or vapor diffusion conditions as described above.

Preferably, the spacing between plugs can be increased or the oil composition changed to reduce plug-plug diffusion. For example, a spacing of about 2.5 mm in paraffin oil can be used, which has been shown to be an effective barrier to aqueous diffusion in crystallization trials.

5           Visually identifying small crystals inside plugs with curved surfaces can be a challenge when performing microbatch experiments. In an aspect according to the invention, a method based on matching the refractive indices of carrier-fluid with that of the plug fluid to enhance visualization is used. Microscopic detection is preferably performed by using shallow channels and by matching the refractive indices of  
10 carrier-fluid mixtures to those of the aqueous solutions.

In addition, at least three other novel methods of controlling protein crystallization are described below: (1) using surface chemistry to effect nucleation of protein crystals; (2) using different mixing methods to effect crystallization; and (3) performing protein crystals seeding by separating nucleation and growth phases in  
15 space.

Control of nucleation is one of the difficult steps in protein crystallization. Heterogeneous nucleation is statistically a more favorable process than its solution-phase counterpart. Ideal surfaces for heterogeneous nucleation have complementary electrostatic maps with respect to their macromolecular counterparts. Critical nuclei  
20 are more stable on such surfaces than in solution. Further, the degree of supersaturation required for heterogeneous nucleation is much less than that required for the formation of solution-phase nuclei. Surfaces such as silicon, crystalline minerals, epoxide surfaces, polystyrene beads, and hair are known to influence the efficiency of protein crystallization. Few studies have been done, but promising  
25 results have been shown for protein crystallization at the methyl, imidazole, hydroxyl, and carboxylic acid termini of self-assembled monolayers on gold. Using self-assembled monolayers, proteins were crystallized over a broader range of crystallization conditions and at faster rates than when using the traditional silanized  
glass.

30           FIG. 18 is a schematic illustration of a method for controlling heterogeneous nucleation by varying the surface chemistry at the interface of an aqueous plug-fluid and a carrier-fluid. In FIG. 18, plugs are formed in the presence of several solutions of surfactants that possess different functional groups (left side of the diagram). The right side of FIG. 18 shows the aqueous phase region in which a precipitant, solvent,

and protein may be introduced into inlets 180, 181, and 182, respectively. The composition of the surfactant monolayer is preferably controlled by varying the flow rates. In another application of the method illustrated in FIG. 18, the surface chemistry can be varied continuously. The manipulation and control of the surface chemistry can be used for screening, assays, crystallizations, and other applications where surface chemistry is important.

In one aspect of the invention, heterogeneous nucleation of proteins is controlled by forming aqueous plugs in a carrier-fluid, preferably containing fluorosoluble surfactants if the carrier-fluid is a fluorocarbon. Varying the relative flow rates of the surfactant solutions may generate a wide variety of liquid-liquid interface conditions that can lead to the formation of mixed monolayers or mixed phase-separated monolayers. Preferably, several surfactants are used to control the heterogeneous nucleation of protein crystals. Ethylene-glycol monolayers are preferably used to reduce heterogeneous nucleation, and monolayers with electrostatic properties complementary to those of the protein are preferably used to enhance heterogeneous nucleation. These methods for controlling heterogeneous nucleation are designed to induce or enhance the formation of crystals that are normally difficult to obtain. These methods may also be used to induce or enhance the formation of different crystal polymorphs that are relatively more stable or better ordered.

As mentioned above, control of nucleation is highly desired in an advanced crystallization screen. One method that can be used to achieve control of nucleation involves the transfer of nucleating crystals from one concentration to another via dilution. This method, which has been applied in macroscopic systems primarily to vapor diffusion, was intended to allow decoupling of the nucleation and growth phases. This method is difficult to perform using traditional methods of crystallization because nucleation occurs long before the appearance of microcrystals.

FIG. 19 illustrates a method of separating nucleation and growth using a microfluidic network according to the present invention using proteins as a non-limiting example. The left side of FIG. 19 shows plugs that are formed preferably using high concentrations of protein and precipitant. In FIG. 19, the following can be introduced into the various inlets shown: buffer into inlets 191, 196; PEG into inlets 192, 197; precipitant into inlets 193, 198; solvent into inlets 194, 199; and protein into inlets 195, 200. Oil flows through the channels 201, 202 from left to right. The portions 203, 204, and 205 of the channel correspond to regions where fast nucleation

occurs (203), no nucleation occurs (204), and where crystal growth occurs (205). The concentrations used are those that correspond to the nucleating region in the phase diagram. Nucleation occurs as the plugs move through the channel to the junction over a certain period. Preferably, these plugs are then merged with plugs containing a protein solution at a point corresponding to a metastable (growth, rather than nucleation) region (right side of FIG. 19). This step ends nucleation and promotes crystal growth. When the combined channel has been filled with merged plugs, the flow is preferably stopped and the nuclei allowed to grow to produce crystals.

Nucleation time can be varied by varying the flow rate along the nucleation channel. The nucleus is preferably used as a seed crystal for a larger plug with solution concentrations that correspond to a metastable region. Existing data indicate the formation of nuclei within less than about 5 minutes.

Fluid mixing is believed to exert an important effect in crystal nucleation and growth. Methods according to the invention are provided that allow a precise and reproducible degree of control over mixing. FIG. 20 illustrates two of these methods. A method of mixing preferably places the solution into a nucleation zone of the phase diagram without causing precipitation. Preferably, gentle mixing (FIG. 20, left side) is used to achieve this by preventing, reducing, or minimizing contact between concentrated solutions of the protein and precipitant. Alternatively, rapid mixing (FIG. 20, right side) is used to achieve this by allowing passage through the precipitation zone sufficiently quickly to cause nucleation but not precipitation. The two methods used as examples involve the use of spiraling channels for gentle mixing and serpentine channels for rapid mixing.

The two methods in accordance with the invention depicted in FIG. 20 can be used to determine the effect of mixing on protein crystallization. In addition, the various methods for controlling mixing described previously (*e.g.*, slow mixing in straight channels, chaotic mixing in non-straight channels, or mixing in which twirling may or may not occur) can be applied to crystallization, among other things.

After obtaining the crystals using any of the above described techniques, the crystals may be removed from the microfluidic device for structure determination. In other systems, the fragile and gelatinous nature of protein crystals makes crystal collection difficult. For example, removing protein crystals from solid surfaces can damage them to the point of uselessness. The present invention offers a solution to this problem by nucleating and growing crystals in liquid environments. In an aspect

according to the invention, a thin wetting layer of a carrier-fluid covered with a surfactant is used to enable or facilitate the separation of a growing crystal from a solid surface. When the crystals form, they may be separated from the PDMS layer by using a thin layer of a carrier-fluid.

5           In one aspect, a microfluidic device of the present system can include further include capillary tubing suitable for collecting plugs (“the capillary device”; FIG. 46). The tubing is preferably composed of a material that prevents uncontrolled evaporation of solutions (such as water) through its wall. Further, use of the capillary tubing can enable direct screening of crystals by x-ray diffraction analysis or other  
10   spectrophotometric detection/analysis means employing *e.g.*, optical or infrared detection. Plugs in the capillary tubing have been found to be stable and did not show signs of evaporation over several months, even in the absence of humidity control. Therefore, the capillary device can be incubated for a much longer time than all-PDMS microfluidic chips. Water diffusion can be controlled by varying the starting  
15   salt concentration differences as well the distance between plugs. Production of crystals directly inside the capillary tubes can facilitate on-chip diffraction without having to move the crystal around.

          Upon formation of plugs in the PDMS portion and their transfer into capillary tubing, the flow rates are stopped, the capillary tubing is disconnected from the  
20   PDMS portion and the ends are sealed by capillary wax. The capillary tubing may be incubated under suitable crystallization conditions (*e.g.* temperature etc.) until crystals form inside the plugs. Formation of crystals can be monitored using optical detection and/or x-ray diffraction methods. Crystals grown at the fluid-fluid interface can be easily removed from the capillary by gentle flow, or by breaking the capillary and  
25   wicking the liquid out. Upon formation of suitable crystals, the capillaries are frozen and structures are directly determined from inside the capillary using *e.g.*, synchrotron radiation. Because this method obviates the problem of handling and mounting crystals and because it can facilitate the determination of structure directly from within the capillary, it may be especially suitable for high-throughput, fully automated  
30   crystallization.

          The plugs in the capillary tubing can be stable in both hydrophilic (*e.g.*, treated with by chromic acid) or hydrophobic (*e.g.*, silanized) capillaries for over a month, even if the capillary is placed vertically for over three days.

The use of x-ray capillary tubing for protein crystallization can also be applied to a controlled vapor diffusion process which lends itself to direct monitoring and structural determination of protein crystals in the capillary tubing (FIG. 49). In this modified vapor-diffusion process an array of plugs is generated in the channel  
5 portion of a capillary device (as described above) where the protein and precipitant plugs alternate with plugs containing a high concentration of precipitant. Syringe pumps attached to the capillary device cause the plugs to flow into suitable x-ray capillary tubing. At the conclusion of the experiment, the flow is stopped, the capillary is disconnected from the PDMS portion and the ends are sealed with  
10 capillary wax. The x-ray capillary is incubated under optimal conditions until crystals form inside the plugs.

The use of carrier fluid (oil) permeable to water causes the water from the plugs to diffuse through from the oil from the plugs that are low in osmolarity into plugs that are higher in osmolarity, thereby increasing the concentration of the  
15 protein and precipitants in the plugs for crystallization. The rate of water transfer from the plugs and the amount of water transferred between the two types of plugs may be controlled by using oils having different water permeabilities, by changing the size or distance between plugs or by altering the precipitant concentrations between the different types of plugs (*i.e.*, changing the difference in osmolarity  
20 between the different plug types). All of these parameters can be conveniently altered by changing the relative flow rates of the aqueous and carrier-fluid (oil) solutions. Poly-3,3,3-trifluoropropylmethylsiloxane (FMS-121) can be a suitable carrier-oil fluid for this procedure.

One scheme for generating alternating plugs by vapor diffusion involves  
25 attaching four different syringes to a PDMS device, each syringe associated with a syringe pump for introducing each of aqueous solutions A, B into respective aqueous inlet channels and for introducing each of carrier oil fluids C, D into respective oil inlet channels. The aqueous solutions can be the same or different. Multiple, distinct aqueous solutions can also be co-introduced together in one or  
30 both of the two aqueous channels. In principle, the same oil or different oils may be used in the two oil inlets. In either case, one oil inlet channel is parallel to the main channel; the other oil inlet channel is vertical to the main channel and is

positioned between the two aqueous inlet channels to separate the two aqueous streams into alternating plugs.

Importantly, the flow rates of solutions A and B may be changed in a correlated fashion. Thus, when the flow rate of solution A<sub>1</sub> is increased and solution A<sub>2</sub> is decreased, the flow rate of solutions B<sub>1</sub> is also increased and solution B<sub>2</sub> is also decreased. This can allow one to maintain a constant difference in osmolarity between the plugs of stream A and stream B to ensure that transfer from all plugs A to all plugs B occurs at a constant rate. Moreover, if the flow rates of the corresponding A and B streams are changed in a correlated fashion, the composition of plugs B will reflect the composition of plugs A thereby allowing one to incorporate markers into the B stream plugs to serve as a code for the plugs in the A stream. Thus, if the two types of plugs are made in a correlated way, one type of droplet may be used for crystallization, while the other type of droplet is used for indexing provided it contains a label conferring a read out with respect to crystallization. In other words, absorption/fluorescent dyes or x-ray scattering/absorbing materials can be incorporated in markers in the B streams to facilitate optical density quantification or x-ray diffraction analysis to provide a read out of relative protein and precipitant concentrations in the A streams. This approach can provide a powerful means for optimizing crystallization conditions for subsequent scale-up experiments.

The use of markers may be performed using an oil that is impermeable to water (as in a microbatch procedure) to prevent transfer of water or any other material between the A plugs and B plugs. Alternatively, the B plugs may additionally incorporate a high concentration of dehydration agents (salt, other precipitants) in conjunction with a water-permeable oil as described above. In this way, the B plugs can serve both as markers for the A plugs and as sinks for excess water. Oils that are selectively permeable to materials other than water may also be used to induce transfer of other materials between the plugs and through the oil.

Alternating plugs may be generated using a range of channel geometries. The plugs may also alternate in patterns other than A:B:A:B. For example, other patterns (such as A:A:A:B:A:A:A:B, etc) may be obtained where transfer of water from A plugs adjacent to B plugs is faster than transfer of water from the middle A

plug. This can create conditions favorable for creating multiple, different sets of crystallization conditions. The alternating droplet systems may be extended to more than two types of plugs alternating in the same channel or capillary (for example, A plugs with the crystallization solutions, B plugs with the dehydrating agents, and C plugs with markers or with a cryoprotectant).

The above described capillary systems are not limited to protein crystallization -- other types of crystallizations and experiments may be performed. For example, the vapor diffusion/alternating droplet approach can be extended to e.g., a process for concentrating materials (such as protein). Such a process would be effected through diffusion of water plugs that are relatively low in osmolarity into plugs having a higher osmolarity. It should be noted, however, that solution materials in the different plug types do not have to be aqueous in nature, but can be in the form of solvents also. Alternatively, the A and B plugs do not have to be in solution at all, but can instead be in the form of emulsions or suspensions.

It will be clear to one skilled in the art that while the above techniques are described in detail for the crystallization of proteins, techniques similar to the ones described above may also be used for the crystallization of other substances, including other biomolecules or synthetic chemicals. In addition, the devices and methods according to the invention may be used to perform co-crystallization. For example, a crystal comprising more than one chemical may be obtained, for example, through the use of at least one stream of protein, a stream of precipitant, and optionally, a stream comprising a third chemical such as an inhibitor, another protein, DNA, etc. One may then vary the conditions to determine those that are optimal for forming a co-crystal.

25

## **PARTICLE SEPARATION/SORTING USING PLUGS**

The flow within the moving plugs can be used for separation of polymers and particles. Plugs can be used for separation by first using flow within a moving plug to establish a distribution of the polymers or particles inside the plug (for example, an excess of the polymer inside the front, back, right or left side of the plug) and then using splitting to separate and isolate the part of the plug containing higher concentration of the polymers or particles. When two polymers or particles are

30

present inside the plug and establish different distributions, splitting can be used to separate the polymers or particles.

The invention is further described below, by way of the following examples. It will be appreciated by persons of ordinary skill in the art that this example is one of many embodiments and is merely illustrative. In particular, the device and method described in this example (including the channel architectures, valves, switching and flow control devices and methods) may be readily adapted, *e.g.*, used in conjunction with one or more devices or methods, so that plugs may be analyzed, characterized, monitored, and/or sorted as desired by a user.

## EXAMPLE

### Example 1 - Fabrication of Microfluidic Devices and a General Experimental Procedure

Microfluidic devices with hydrophilic channel surfaces were fabricated using rapid prototyping in polydimethylsiloxane. The channel surfaces were rendered hydrophobic either by silanization or heat treatment. To silanize the surfaces of channels, (tridecafluoro-1,1,2,2-tetrahydrooctyl)-1-trichlorosilane (United Chemical Technologies, Inc.) vapor was applied to the inlets of a device with dry nitrogen as a carrier gas at around 40-60 mm Hg above about 1 atm pressure. Vacuum was simultaneously applied to the outlet of the device at about 650 mm Hg below atmospheric pressure. The silane vapor was applied for a period of between about 1-3 hours. To treat the channels using heat, a device was placed in an oven at approximately 120°C for about three hours. Alternatively, a device can be heated in a Panasonic “The Genius” 1300 Watt microwave oven at power set to “10” for about ten minutes.

Oils and aqueous solutions were pumped through devices using a kdScientific syringe pump (Model 200) or Harvard Apparatus PhD 2000 pump. Hamilton Company GASTIGHT syringes were used (10-250 µl) and Hamilton Company 30 gauge Teflon<sup>®</sup> needles were used to attach the syringes to the devices. Oils and aqueous solutions were pumped through devices at volumetric flow rates ranging from about 0.10 µL/min to about 10.0 µL/min.

Aqueous solutions were colored using Crayola Original Formula Markers or Ferroin Indicator (0.025 M, Fisher Scientific). Oils that were used included perfluorodecaline (mixture of cis and trans, 95%, Acros Organics),

perfluoroperhydrophenanthrene (tech., Alfa-Aesar), or 1H,1H,2H,2H-perfluorooctanol (98%, Alfa-Aesar). The experiments were typically performed using 10:1 mixtures of perfluorodecaline and 1H,1H,2H,2H-perfluorooctanol.

The experiments were monitored using a Lica MZFLIII stereoscope with  
5 Fostec (Schott-Fostec, LLC) Modulamps. Photographs of the experiments were taken with a Spot Insight Color Camera, Model # 3.2.0 (Diagnostic Instruments, Inc.). Spot Application version 3.4.0.0 was used to take the photographs with the camera.

#### Example 2 - Varying the Concentration of Aqueous Solutions in Plugs

10 The left side of each of FIGS. 25A-C shows a schematic diagram of the microfluidic network and the experimental conditions. The right side of each of FIGS. 25A-C shows microphotographs illustrating the formation of plugs using different concentrations of the aqueous streams. Aqueous solutions of food dyes (red/dark and green/light) and water constituted the three streams. The volumetric  
15 flow rates of the three solutions (given in  $\mu\text{L}/\text{min}$ ) are indicated. The dark stream is more viscous than the light stream. Therefore, the dark (more viscous) stream moves (measured in  $\text{mm}/\text{s}$ ) more slowly and occupies a larger fraction of the channel at a given volumetric flow rate.

FIG. 45a) shows a schematic of the microfluidic network used to demonstrate  
20 that on-chip dilutions can be accomplished by varying the flow rates of the reagents. In FIG. 45a), the reagents are introduced through inlets 451, 453 while the dilution buffer is introduced through inlet 452. An oil stream flows through channel 454. The blue rectangle outlines the field of view for images shown in FIG. 45c)-d). FIG. 45b) shows a graph quantifying this dilution method by measuring fluorescence of a  
25 solution of fluorescein diluted in plugs in the microchannel. Data are shown for 80 experiments in which fluorescein was flowed through one of the three inlets, where  $C_{\text{measured}}$  and  $C_{\text{theoretical}}$  [ $\mu\text{M}$ ] are measured and expected fluorescein concentration. FIG. 45(c) shows photographs illustrating this dilution method with streams of food dyes 455, 456, 457 having flow rates of 45 nL/s, 10 nL/s, and  
30 10nL/s, respectively. FIG. 45(d) shows photographs illustrating this dilution method with streams of food dyes 458, 459, 460 having flow rates of 10 nL/s, 45 nL/s, and 10nL/s, respectively. Carrier fluid was flowed at 60 nL/s.

### Example 3

Networks of microchannels with rectangular cross-sections were fabricated using rapid prototyping in PDMS. The PDMS used was Dow Corning Sylgard Brand 184 Silicone Elastomer, and devices were sealed using a Plasma Prep II (SPI  
5 Supplies). The surfaces of the devices were rendered hydrophobic by baking the devices at 120°C for 2-4 hours.

In FIG. 26, the red aqueous streams were McCormick® red food coloring (water, propylene glycol, FD&C Red 40 and 3, propylparaben), the green aqueous streams were McCormick® green food coloring (water, propylene glycol, FD&C  
10 yellow 5, FD&C blue 1, propylparaben) diluted 1:1 with water, and the colorless streams were water. PFD used was a 10:1 mixture of perfluorodecaline (mixture of cis and trans, 95%, Acros Organics):1H,1H,2H,2H-perfluorooctanol (Acros Organics). The red aqueous streams were introduced in inlet 260, 265 while the green aqueous streams were introduced in inlets 262, 263 in FIG. 26b). The colorless  
15 aqueous stream was introduced in inlets 261, 264. The dark shadings of the streams and plug are due mainly from the red dye while the lighter shadings are due mainly from the green dye.

Aqueous solutions were pumped using 100 µL Hamilton Gastight syringes (1700 series, TLL) or 50 µL SGE gastight syringes. PFD was pumped using 1mL  
20 Hamilton Gastight syringes (1700 series, TLL). The syringes were attached to microfluidic devices by means of Hamilton Teflon needles (30 gauge, 1 hub). Syringe pumps from Harvard Apparatus (PHD 2000 Infusion pumps; specially-ordered bronze bushings were attached to the driving mechanism to stabilize pumping) were used to infuse the aqueous solutions and PFD.

25 Microphotographs were taken with a Leica MZ12.5 stereomicroscope and a SPOT Insight Color digital camera (Model #3.2.0, Diagnostic Instruments, Inc.). SPOT Advanced software (version 3.4.0 for Windows, Diagnostic Instruments, Inc.) was used to collect the images. Lighting was provided from a Machine Vision Strobe X-Strobe X1200 (20Hz, 12µF, 600V, Perkin Elmer Optoelectronics). To obtain an  
30 image, the shutter of the camera was opened for 1 second and the strobe light was flashed once with the duration of the flash being about 10µs.

Images were analyzed using NIH Image software, Image J. Image J was used to measure periods and lengths of plugs from microphotographs such as shown in Fig. 27b). Periods corresponded to the distance from the center of one plug to the center

of an adjacent plug, and the length of a plug was the distance from the extreme front to the extreme back of the plug (see FIG. 28 for the definitions of front and back). Measurements were initially made in pixels, but could be converted to absolute measurements by comparing them to a measurement in pixels of the 50 $\mu$ m width of the channel.

To make measurements of the optical intensity of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes in plugs, microphotographs were converted from RGB to CMYK color mode in Adobe Photoshop 6.0. Using the same program, the yellow color channels of the microphotographs were then isolated and converted to grayscale images, and the intensities of the grayscale images were inverted. The yellow color channel was chosen to reduce the intensity of bright reflections at the extremities of the plugs and at the interface between the plugs and the channel. Following the work done in Photoshop, regions of plugs containing high concentrations of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes appeared white while regions of low concentration appeared black. Using Image J, the intensity was measured across a thin, rectangular region of the plug, located halfway between the front and back of the plug (white dashed lines in FIG. 27a1)). The camera used to take the microphotographs of the system was not capable of making linear measurements of optical density. Therefore, the measurements of intensity were not quantitative. Several of the plots of intensity versus relative position across the channel (FIG. 27c) were shifted vertically by less than 50 units of intensity to adjust for non-uniform illuminations of different parts of the images. These adjustments were justified because it was the shape of the distribution that was of interest, rather than the absolute concentration.

FIG. 29a)-b) shows plots of the sizes of periods and sizes of plugs as a function of total flow velocity (FIG. 29a)) and water fraction ( $wf$ ) (FIG. 29b)). Values of capillary number ( $C.n.$ ) were 0.0014, 0.0036, 0.0072 and 0.011, while values of the Reynolds number ( $R_e$ ) were 1.24, 3.10, 6.21, and 9.31, each of the  $C.n.$  and  $R_e$  value corresponding to a set of data points with water fractions ( $wf$ ) 0.20, 0.52, 0.52, and 0.20 (the data points from top to bottom in FIG. 29A)). In turn, each of these sets of data points corresponds to a particular flow velocity as shown in FIG. 29a). Plugs in FIG. 29b) travel at about 50 millimeter/second (mm/s). All measurements of length and size are relative to the width of the channels (50 $\mu$ m).

FIG. 30 shows microphotographs illustrating weak dependence of periods, length of plugs, and flow patterns inside plugs on total flow velocity. The left side of

FIG. 30 shows a diagram of the microfluidic network. Here, the same solutions were used as in the experiment corresponding to FIG. 27. The  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  solution was introduced into inlet 301 while the colorless aqueous streams were introduced into inlets 302, 303. The same carrier fluid as used in the FIG. 27 experiment was flowed into channel 304. The right side of FIG. 30 shows microphotographs of plugs formed at the same water fraction (0.20), but at different total flow velocities (20, 50, 100, 150 mm/s from top to bottom). Capillary numbers were 0.0014, 0.0036, 0.0072, and 0.011, respectively, from top to bottom. Corresponding Reynolds numbers were 1.24, 3.10, 6.21, and 9.31.

FIG. 31A-C are plots showing the distribution of periods and lengths of plugs where the water fractions were 0.20, 0.40, and 0.73, respectively. The total flow velocity was about 50 mm/s, C.n. = 0.0036,  $R_c = 3.10$  in all cases.

FIG. 27 shows the effects of initial conditions on mixing by recirculating flow inside plugs moving through straight microchannels. FIG. 27a1) shows that recirculating flow (shown by black arrows) efficiently mixed solutions of reagents that were initially localized in the front and back halves of the plug. Notations of front, back, left, and right are the same as that in FIG. 28. FIG. 27a2) shows that recirculating flow (shown by black arrows) did not efficiently mix solutions of reagents that were initially localized in the left and right halves of the plugs. The left side of FIG. 27b) shows a schematic diagram of the microfluidic network. The two colorless aqueous streams were introduced into inlets 271, 272 while a carrier fluid in the form of perfluorodecaline flowed through channel 273. These solutions did not perturb the flow patterns inside plugs.

The right side of FIG. 27b) shows microphotographs of plugs of various lengths near the plug-forming region of the microfluidic network for water fractions of from 0.14 up to 1.00. FIG. 27c1) shows a graph of the relative optical intensity of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes in plugs of varying lengths. The intensities were measured from left ( $x = 1.0$ ) to right ( $x = 0.0$ ) across the width of a plug (shown by white dashed lines in FIG. 27a1)-a2)) after the plug had traveled 4.4 times its length through the straight microchannel. The gray shaded areas indicate the walls of the microchannel. FIG. 27c2) is the same as FIG. 27c1) except that each plug had traversed a distance of 1.3 mm. The  $d/l$  of each water fraction ( $wf$ ) were 15.2 ( $wf$  0.14), 13.3 ( $wf$  0.20), 11.7 ( $wf$  0.30), 9.7 ( $wf$  0.40), 6.8 ( $wf$  0.60), 4.6 ( $wf$  0.73), and

2.7 ( $wf0.84$ ), where  $d$  is the distance traveled by the plug and  $l$  is the length of the plug.

#### Example 4 - Merging of Plugs

5           Experiments were conducted to investigate the merging of plugs using different channel junctions (T- or Y-shaped), cross-sections, and flow rates (see FIG. 33a-d). The figures on the left side of FIGS. 33a-d show top views of microfluidic networks that comprise channels having either uniform or nonuniform dimension (e.g., the same or different channel diameters). The corresponding figures on the right  
10   are microphotographs that include a magnified view of two plug streams (from the two separate channels portions of which form the branches of the Y-shaped junction) that merges into a common channel.

          In FIG. 33a, the oil-to-water volumetric ratio was 4:1 in each pair of oil and water inlets. The oil streams were introduced into inlets 330, 332, while the aqueous  
15   streams were introduced into inlets 331, 333. The flow rates of the combined oil/water stream past the junction where the oil and water meet was 8.6 mm/s. The channels, which were rectangular, had dimensions of 50 (width) x 50 (height)  $\mu\text{m}^2$ . As shown in FIG 33a, plugs that flow in uniform-sized channels typically merged only when they simultaneously arrived at the T-junction. Thus, plug merging in these  
20   channels occur infrequently. In addition, lagging plugs were typically not able to catch up with leading plugs along the common channel.

          FIG. 33b illustrates plug merging occurring between plugs arriving at different times at the Y-shaped junction (magnified view shown). The oil streams were introduced into inlets 334, 336, while the aqueous streams were introduced into inlets  
25   335, 337. In FIG. 33b, the flow rates for the combined oil/water fluid past the junction where the oil and water meet were 6.9 mm/s for channel 346 (the 50 x 50  $\mu\text{m}^2$  channel) and 8.6 mm/s for channel 347 (the 25 x 50  $\mu\text{m}^2$  channel). The oil-to-water volumetric ratio was 4:1 in each pair of oil and water inlets. The two channels (the branch channels) merged into a common channel 348 that had a 100 x 50  $\mu\text{m}^2$   
30   cross-section. As shown in the figure, the larger plugs from the bigger channel are able to merge with the smaller plugs from the narrower channel even when they do not arrive at the junction at the same time. This is because lagging larger plugs are able to catch up with the leading smaller plugs once the plugs are in the common channel.

FIG. 33c depicts in-phase merging (*i.e.*, plug merging upon simultaneous arrival of at least two plugs at a junction) of plugs of different sizes generated using different oil/water ratios at the two pairs of inlets. The oil streams were introduced into inlets 338, 340, while the aqueous streams were introduced into inlets 339, 341.

5 The flow rate corresponding to the fluid stream through channel 349 resulting from a 1:1 oil-to-water volumetric ratio was 4.0 mm/s, while that through channel 350 corresponding to the 4:1 oil-to-water volumetric ratio was 6.9 mm/s. Each branch channel of the Y-shaped portion of the network (magnified view shown) had a dimension of  $50 \times 50 \mu\text{m}^2$  while the common channel 351 (the channel to which the

10 branch channels merge) was  $125 \times 50 \mu\text{m}^2$ .

FIG. 33d illustrates defects (*i.e.*, plugs that fail to undergo merging when they would normally merge under typical or ideal conditions) produced by fluctuations in the relative velocity of the two incoming streams of plugs. The oil streams were introduced into inlets 342, 344, while the aqueous streams were introduced into inlets

15 343, 345. In this experiment, the flow rate corresponding to the fluid stream through channel 352 resulting from a 1:1 oil-to-water volumetric ratio was 4.0 mm/s, while that through channel 353 corresponding to the 4:1 oil-to-water volumetric ratio was 6.9 mm/s. Each branch channel that formed one of the two branches of the Y-shaped intersection (magnified view shown) was  $50 \times 50 \mu\text{m}^2$  while the common channel 354

20 (the channel to which the two branch channels merge) is  $125 \times 50 \mu\text{m}^2$ .

#### Example 5 - Splitting Plugs Using a Constricted Junction

The splitting of plugs was investigated using a channel network with a constricted junction. In this case, the plugs split and flowed past the junction into two

25 separate branch channels (in this case, branch channels are the channels to which a junction branches out) that are at a  $180^\circ$ -angle to each other (see FIGS. 34a-c each of which show a channel network viewed from the top). In these experiments, the outlet pressures,  $P_1$  and  $P_2$ , past the constricted junction were varied such that either  $P_1 \approx P_2$  (FIG. 34b) or  $P_1 < P_2$  (FIG. 34c). Here, the relative pressures were varied by adjusting

30 the relative heights of the channels that were under pressures  $P_1$  and  $P_2$ . Since longer plugs tend to split more reliably, this branching point (or junction) was made narrower than the channel to elongate the plugs. FIG. 34a shows a schematic diagram of the channel network used in the experiment. The oil and water were introduced into

inlets 3400 and 3401, respectively. The oil-to-water ratio was 4:1 while the flow rate past the junction where the oil and water meet was 4.3 mm/s.

FIG. 34b is a microphotograph showing the splitting of plugs into plugs of approximately one-half the size of the initial plugs. The channels 3404, which were  
5 rectangular, had a cross-section that measured  $50 \times 50 \mu\text{m}^2$ . The constricted section of the channel 3402 right next to the branching point measured  $25 \times 50 \mu\text{m}^2$ . The outlet pressures,  $P_1$  and  $P_2$ , were about the same in both branch channels. Here, the plugs split into plugs of approximately the same sizes.

FIG. 34c is a microphotograph showing the asymmetric splitting of plugs (*i.e.*,  
10 the splitting of plugs into plugs of different sizes or lengths) which occurred when  $P_1 < P_2$ . The microphotograph shows that larger plugs (somewhat rectangular in shape) flowed along the channel with the lower pressure  $P_1$ , while smaller plugs (spherical in shape) flowed along the channel with the higher pressure  $P_2$ . As in FIG. 34b, each of the channel 3405 cross-section measured  $50 \times 50 \mu\text{m}^2$ . The constricted section of the  
15 channel 3403 at the junction measured  $25 \times 50 \mu\text{m}^2$ .

#### Example 6 - Splitting Plugs Without Using a Constricted Junction

The splitting of plugs was investigated using a channel network without a constriction such as the one shown in FIGS. 35b-c. The channel network used was  
20 similar to that shown in FIG. 34(a) except that here the plugs split and flowed past the junction in two separate channels at a  $90^\circ$ -angle to each other (the plug flow being represented by arrows). The oil and aqueous streams (4:1 oil:aqueous stream ratio) were introduced into inlets 3500 and 3501, respectively. An oil-only stream flowed through channel 3502. All channels had a cross-section of  $50 \times 50 \mu\text{m}^2$ . The flow  
25 rate used was 4.3 mm/s. FIGS. 35a-c, which represent top views of a channel network, show that plugs behave differently compared to the plugs in Example 3 when they flow past a junction in the absence of a channel constriction, such as a constriction shown in FIGS. 35b-c. As FIG. 35c shows, when  $P_1 < P_2$ , the plugs remained intact after passing through the junction. Further, the plugs traveled along  
30 the channel that had the lower pressure ( $P_1$  in FIG. 35c) while the intervening oil stream split at the junction. The splitting of the oil stream at the junction gives rise to a shorter separation between plugs flowing along the channel with pressure  $P_1$  compared to the separation between plugs in the channel upstream of the branching point or junction.

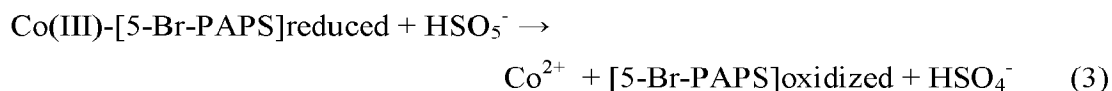
### Example 7 - Monitoring Autocatalytic Reactions Using a Microfluidic System

FIG. 37 illustrates the design of an experiment involving chemical amplification in microfluidic devices according to the invention that involves an investigation of a stochastic autocatalytic reaction. This example illustrates how the devices of the present invention can be used to study the acid-sensitive autocatalytic reaction between  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$ . On the left side of the microfluidic network, a three-channel inlet introduces an aqueous stream through channel 3702, an ester through channel 3701, and an esterase through channel 3703. Oil flowed through channels 3713, 3714. The reaction between ester and esterase yield plugs 3704 that contain a small amount of acid. On the right side of the microfluidic network, the five-channel inlet introduces  $\text{NaClO}_2$  through inlet 3705, an aqueous stream through inlet 3706, a pH indicator through inlet 3707, a second aqueous stream through inlet 3708, and  $\text{NaS}_2\text{O}_3$  through channel 3709. A carrier fluid flows through channels 3713, 3714. Unstirred mixtures of  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$  are highly unstable and even a slight concentration fluctuation within that mixture leads to rapid decomposition. Thus, the plugs 3710 containing  $\text{NaClO}_2/\text{NaS}_2\text{O}_3$  mixture must not only be quickly mixed but also promptly used after formation. In this proposed experiment, the curvy channels promote chaotic mixing. When a slightly acidic plug of the ester-esterase reaction is merged with a plug of an unstable  $\text{NaClO}_2/\text{NaS}_2\text{O}_3$  mixture at the contact region 3712, an autocatalytic reaction will generally be triggered. Upon rapid mixing of these two plugs, the resulting plugs 3711 become strongly acidic. The pH indicator introduced in the five-channel inlet is used to visualize this entire amplification process.

### Example 8 - Using Chemical Reactions as Highly Sensitive Autoamplifying Detection Elements in Microfluidic Devices

In one aspect according to the invention, a sequential amplification using controlled autocatalytic systems is used to amplify samples that contain single molecules of autocatalysts into samples containing a sufficiently high concentration of an autocatalyst such that the amplified autocatalyst can be detected with the naked eye can be detected with the naked eye. Although systems displaying stochastic behavior are expected to display high sensitivity and amplification, various autocatalytic systems can be used in accordance with the invention. A sequential amplification

using the microfluidic devices according to the invention can be illustrated using a reaction that has been characterized analytically: the autocatalytic decomposition of violet bis[2-(5-bromo-pyridylazo)-5-(*N*-propyl-*N*-sulfopropyl-amino-phenolato] cobaltate, (Co(III)-5-Br-PAPS), upon oxidation with potassium peroxomonosulfate to produce colorless Co<sup>2+</sup> ions. Here, the Co<sup>2+</sup> ions serve as the autocatalyst (the order of autocatalysis, *m*, has not been established for this reaction).



10

Addition of small amounts of Co<sup>2+</sup> to the violet mixture of (Co(III)-5-Br-PAPS and peroxomonosulfate produces an abrupt loss of color to give a colorless solution. The time delay before this decomposition depends on the amount of the Co<sup>2+</sup> added to the solution. This reaction has been used to detect concentrations of Co<sup>2+</sup> as low as about  $1 \times 10^{-10}$  mole/L. The reaction shows good selectivity in the presence of other ions (V(V), Cr(III), Cr(VI), Mn(II), Fe(II), Ni(II), Cu(II) and Zn(II)).

To use this reaction for amplification, a microfluidic network as shown in FIG. 38 is preferably used. An unstable solution of Co(III)-[5-Br-PAPS]<sub>reduced</sub> and peroxomonosulfate at pH=7 buffer in large plugs are preferably formed in a channel. These large plugs are preferably split in accordance with the invention into three different sizes of plugs. Preferably, the plug sizes are  $(1 \mu\text{m})^3 = 10^{-15}$  L in the first channel;  $(10 \mu\text{m})^3 = 10^{-12}$  L in the second channel; and  $(100 \mu\text{m})^3 = 10^{-9}$  L in the third channel. A three-step photolithography is preferably used in the fabrication of masters for these microfluidic channels.

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#### Example 9 - Multi-Stage Chemical Amplification In Microfluidic Devices For Single Molecule Detection

FIG. 38 illustrates a method for a multi-stage chemical amplification for single molecule detection using microfluidic devices according to the invention. This example illustrates the use of an autocatalytic reaction between Co(III)-5-Br-PAPS (introduced through inlet 3803) and KHSO<sub>5</sub> (introduced through inlet 3801) in a pH =7 buffer (introduced through inlet 3802) that is autocatalyzed by Co<sup>2+</sup> ions. Oil streams are allowed to flow through channels 3804, 3805. This reaction mixture

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(contained in plugs 3811) is unstable and decomposes rapidly (shown in red) when small amounts of  $\text{Co}^{2+}$  3810 are added. Thus, this reaction mixture is preferably mixed quickly and used immediately. The reaction mixture is preferably transported through the network in  $(1\text{ }\mu\text{m})^3$ ,  $(10\text{ }\mu\text{m})^3$ ,  $(100\text{ }\mu\text{m})^3$  size plugs. On the left side of the microfluidic network, the approximately  $1\text{ }\mu\text{m}^3$  plugs of the sample to be analyzed form at a junction of two channels (shown in green). The merging of plugs containing  $\text{Co}^{2+}$  ions and plugs containing the reaction mixture results in a rapid autocatalytic reaction. By using an amplification cascade in which larger and larger plugs of the reaction mixture are used for amplification, each  $\text{Co}^{2+}$  ion in a plug can be amplified to about  $10^{10}$   $\text{Co}^{2+}$  ions per plug. The result of amplification is visually detectable.

The  $(10\text{ }\mu\text{m})^3$  plugs are preferably merged with larger  $(100\text{ }\mu\text{m})^3$  plugs in the third channel to give approximately  $4 \times 10^{-8}$  mole/L solution of  $\text{Co}^{2+}$  ions. Autocatalytic decomposition in the approximately  $10^{-9}$  L plugs will produce plugs 3809 with about  $2.4 \times 10^{10}$   $\text{Co}^{2+}$  ions ( $4 \times 10^{-5}$  mole/L). The flow rates in this system are preferably controlled carefully to control the time that plugs spend in each branch. The time provided for amplification is preferably long enough to allow amplification to substantially reach completion, but short enough to prevent or minimize slow decomposition.

Using different plug sizes is advantageous when merging plugs. Plugs with a size of about  $(1\text{ }\mu\text{m})^3$  are preferably formed by flowing a sample containing about  $3 \times 10^{-9}$  mole/L  $\text{Co}^{2+}$  through channel 3806. This reaction can be used to detect  $\text{Co}^{2+}$  at this, or lower, concentration (Endo *et al.*, "Kinetic determination of trace cobalt(II) by visual autocatalytic indication," *Talanta*, 1998, vol. 47, pp. 349-353; Endo *et al.*, "Autocatalytic decomposition of cobalt complexes as an indicator system for the determination of trace amounts of cobalt and effectors," *Analyst*, 1996, vol. 121, pp. 391-394.). These plugs have a corresponding volume of about  $10^{-15}$  L and carry just a few cobalt ions, on average about 1.8 ions per plug (corresponding to a Poisson distribution). These plugs 3810 are preferably merged with the  $(1\text{ }\mu\text{m})^3$  plugs 3811 containing the Co(III)-5-Br-PAPS/peroxomonosulfate mixture (about  $4 \times 10^{-5}$  mole/L).

Upon autocatalytic decomposition of the complex, the number of  $\text{Co}^{2+}$  ions in the merged plug 3807 will increase by a factor of between about  $10^4$  to  $1.2 \times 10^4$   $\text{Co}^{2+}$  ions ( $2 \times 10^{-5}$  mole/L in  $2\text{ }\mu\text{m}^3$ ). These plugs 3807 are preferably merged with the  $(10\text{ }\mu\text{m})^3$  plugs 3811 containing the unstable mixture (about  $4 \times 10^{-5}$  mole/L). The

concentration of  $\text{Co}^{2+}$  ions in these approximately  $10^{-12}$  L plugs is preferably about  $2 \times 10^{-8}$  mole/L, which is sufficient to induce autocatalytic decomposition. The number of  $\text{Co}^{2+}$  ions will increase by a factor of between about  $10^3$  to about  $2.4 \times 10^7$  ions/plug in plugs 3808. The starting solution is dark violet ( $\epsilon = 9.8 \times 10^4$  L mol $^{-1}$ cm $^{-1}$  for Co(III)-5-Br-PAPS). Channels are preferably designed to create an optical path through at least ten consecutive 100  $\mu\text{m}$  plugs. These plugs will provide an approximately 1-mm long optical path, with absorbance of the starting  $4 \times 10^{-5}$  mole/L solution of about 0.4. This absorbance can be detected by an on-chip photodetector or with the naked eye. If  $\text{Co}^{2+}$  is present in the sample solution, an autocatalytic cascade will result in the disappearance of the color of the reaction mixture.

At low concentrations of  $\text{Co}^{2+}$  in the sample, the system may show stochastic behavior, that is, not every  $\text{Co}^{2+}$  ion would give rise to a decomposition cascade. However, the attractive feature of this system is that thousands of tests can be carried out in a matter of seconds, and statistics and averaging can be performed. Preferably, a sequence of controlled autocatalytic amplification reactions leads to a visual detection of single ions.

#### Example 10 - Enzyme Kinetics

A microfluidic chip according to the invention was used to measure millisecond single-turnover kinetics of ribonuclease A (RNase A; EC 3.1.27.5), a well-studied enzyme. Sub-microliter sample consumption makes the microfluidic chip especially attractive for performing such measurements because they require high concentrations of both the enzyme and the substrate, with the enzyme used in large excess.

The kinetic measurements were performed by monitoring the steady-state fluorescence arising from the cleavage of a fluorogenic substrate by RNase A as the reaction mixture flowed down the channel (see FIG. 40(a)). In FIG. 40, a substrate, buffer, and RNase A were introduced into inlets 401, 401, and 403, respectively. A carrier fluid flowed through channel 404. The amount of the product at a given reaction time  $t$  [s] was calculated from the intensity of fluorescence at the corresponding distance point  $d$  [m] ( $t = d/U$  where  $U = 0.43$  m/s is the velocity of the flow). The channels were designed to wind so that rapid chaotic mixing was induced, and were designed to fit within the field of view of the microscope so that the entire reaction profile could be measured in one spatially resolved image. Selwyn's test

(Duggleby, R. G., *Enzyme Kinetics and Mechanisms, Pt D*; Academic Press: San Diego, 1995, vol. 249, pp. 61-90; Selwyn, M. J. *Biochim. Biophys. Acta*, 1965, vol. 105, pp. 193-195) was successfully performed in this system to establish that there were no factors leading to product inhibition or RNase A denaturation.

5           The flow rate of the stock solution of 150  $\mu\text{M}$  of RNase A was kept constant to maintain 50  $\mu\text{M}$  of RNase A within the plugs. By varying the flow rates of the buffer and substrate (see FIG. 45), progress curves were obtained for eight different substrate concentrations. For  $[E]_0 \gg [S]_0$ , the simple reaction equation is  $[P]_t = [S]_0(1 - \text{Exp}(-kt))$ , where  $[E]_0$  is the initial enzyme concentration,  $[S]_0$  is the initial substrate  
10           concentration,  $[P]_t$  is the time-dependent product concentration and  $k [\text{s}^{-1}]$  is the single-turnover rate constant. To obtain a more accurate fit to the data, the time delay  $\Delta t_n$  required to mix a fraction of the reaction mixture  $f_n$  was accounted for.

          An attractive feature of the microfluidic system used is that the reaction mixture can be observed at time  $t = 0$  (there is no dead-time). This feature was used  
15           to determine  $\Delta t_n$  and  $f_n$  in this device by obtaining a mixing curve using fluo-4 /  $\text{Ca}^{2+}$  system as previously described (Song *et al.*, *Angew. Chem. Int. Ed.* 2002, vol. 42, pp.

$$[P]_t = \sum_n f_n [S]_0 (1 - \text{Exp}(-k(t - \Delta t_n)))$$

768-772), and correcting for differences in diffusion constants (Stroock *et al.*, *Science*, 2002, vol. 295, pp. 647-651). All eight progress curves gave a good fit with the same rate constant of  $1100 \pm 250 \text{ s}^{-1}$ . The simpler theoretical fits gave  
20           indistinguishable rate constants. These results are in agreement with previous studies, where cleavage rates of oligonucleotides by ribonucleases were shown to be  $\sim 10^3 \text{ s}^{-1}$ .

          Thus, this example demonstrates that millisecond kinetics with millisecond resolution can be performed rapidly and economically using a microchannel chip according to the invention. Each fluorescence image was acquired for 2 s, and  
25           required less than 70 nL of the reagent solutions. These experiments with stopped-flow would require at least several hundreds of microliters of solutions. Volumes of about 2  $\mu\text{L}$  are sufficient for  $\sim 25$  kinetic experiments over a range of concentrations. Fabrication of these devices in PDMS is straightforward (McDonald, *et al.*, *Accounts Chem. Res.* 2002, vol. 35, pp. 491-499) and no specialized equipment except for a  
30           standard microscope with a CCD camera is needed to run the experiments. This system could serve as an inexpensive and economical complement to stopped-flow methods for a broad range of kinetic experiments in chemistry and biochemistry.

### Example 11 - Kinetics of RNA Folding

The systems and methods of the present invention are preferably used to conduct kinetic measurements of, for example, folding in the time range from tens of  
5      microseconds to hundreds of seconds. The systems and methods according to the invention allow kinetic measurements using only small amounts of sample so that the folding of hundreds of different RNA mutants can be measured and the effect of mutation on folding established. In one aspect according to the invention, the kinetics of RNA folding is preferably measured by adding  $Mg^{2+}$  to solutions of previously  
10     synthesized unfolded RNA labeled with FRET pairs in different positions. In accordance with the invention, the concentrations of  $Mg^{2+}$  are preferably varied in the 0.04 to 0.4  $\mu M$  range by varying the flow rates (see, for example, FIGS. 25a)-c)) to rapidly determine the folding kinetics over a range of conditions. The ability to integrate the signal over many seconds using the steady-flow microfluidic devices  
15     according to the invention can further improve sensitivity.

As shown in FIGS. 25a)-c), the concentrations of aqueous solutions inside the plugs can be controlled by changing the flow rates of the aqueous streams. In FIGS. 25a)-c), aqueous streams were introduced into inlets 251-258 wherein flow rates of about 0.6  $\mu L/min$  for the two aqueous streams and 2.7  $\mu L/min$  was used for the third  
20     stream. The stream with the 2.7  $\mu L/min$  volumetric flow rate was introduced in the left, middle, and right inlet in FIGS. 25a)-c), respectively. A carrier fluid in the form of perfluorodecaline was introduced into channel 259, 260, 261. The corresponding photographs on each of the right side of FIGS. 25a)-c) illustrate the formation of plugs with different concentrations of the aqueous streams. The various shadings  
25     inside the streams and plugs arise from the use of aqueous solutions of food dyes (red/dark and green/light), which allowed visualization, and water were used as the three streams, the darker shading arising mainly from the red dye color while the lighter shading arising mainly from the green dye color. The dark stream is more viscous than the light stream, therefore it moves slower (in mm/s) and occupies a  
30     larger fraction of the channel at a given volumetric flow rate (in  $\mu L/min$ ).

### Example 12 - Nanoparticle Experiments With and Without Plugs

FIG. 15 illustrates a technique for the synthesis of CdS nanoparticles 155. In one experiment, nanoparticles were formed in a microfluidic network. The channels

of the microfluidic device had  $50\ \mu\text{m} \times 50\ \mu\text{m}$  cross-sections. A fluorinated carrier-fluid (10:1 v/v mixture of perfluorohexane and 1H,1H,2H,2H-perfluorooctanol) was flowed through the main channel at  $15\ \mu\text{m min}^{-1}$ . An aqueous solution, pH = 11.4, of 0.80 mM  $\text{CdCl}_2$  and 0.80 mM 3-mercaptopropionic acid was flowed through the left-most inlet channel 151 at  $8\ \mu\text{L min}^{-1}$ . An aqueous solution of 0.80 mM polyphosphates  $\text{Na}(\text{PO}_3)_n$  was flowed through the central inlet channel 152 at  $8\ \mu\text{L min}^{-1}$ , and an aqueous solution of 0.96 mM  $\text{Na}_2\text{S}$  was flowed through the right-most inlet channel 153 at  $8\ \mu\text{L min}^{-1}$ . To terminate the growth of nanoparticles, an aqueous solution of 26.2 mM 3-mercaptopropionic acid, pH = 12.1, was flowed through the bottom inlet of the device 157 at  $24\ \mu\text{L min}^{-1}$ . FIG. 15 shows various regions or points along the channel corresponding to regions or points where nucleation 154, growth 158, and termination 156 occurs. Based on the UV-VIS spectrum, substantially monodisperse nanoparticles formed in this experiment.

Nanoparticles were also formed without microfluidics. Solutions of  $\text{CdCl}_2$ , polyphosphates,  $\text{Na}_2\text{S}$ , and 3-mercaptopropionic acid, identical to those used in the microfluidics experiment, were used. 0.5 mL of the solution of  $\text{CdCl}_2$  and 3-mercaptopropionic acid, 0.5 mL of polyphosphates solution, and 0.5 mL of  $\text{Na}_2\text{S}$  solution were combined in a cuvette, and the cuvette was shaken by hand. Immediately after mixing, 1.5 mL of 26.2 mM 3-mercaptopropionic acid was added to the reaction mixture to terminate the reaction, and the cuvette was again shaken by hand. Based on the UV-VIS spectrum, substantially polydisperse nanoparticles formed in this experiment.

### Example 13 - Crystallization

Networks of microchannels were fabricated using rapid prototyping in polydimethylsiloxane (PDMS). The PDMS was purchased from Dow Corning Sylgard Brand 184 Silicone Elastomer. The PDMS devices were sealed after plasma oxidation treatment in Plasma Prep II (SPI Supplies). The devices were rendered hydrophobic by baking the devices at  $120^\circ\text{C}$  for 2-4 hours. Microphotographs were taken with a Leica MZ12.5 stereomicroscope and a SPOT Insight color digital camera (Model#3.2.0, Diagnostic Instruments, Inc.). Lighting was provided from a Machine Vision Strobe X-strobe X1200 (20 Hz, 12  $\mu\text{F}$ , 600V, Perkin Elmer Optoelectronics).

To obtain an image, the shutter of the camera was opened for 1 second and the strobe light was flashed once with the duration of approximately 10  $\mu$ s.

Aqueous solutions were pumped using 10  $\mu$ l or 50  $\mu$ l Hamilton Gastight syringes (1700 series). Carrier-fluid was pumped using 50  $\mu$ l Hamilton Gastight syringes (1700 series). The syringes were attached to microfluidic devices by means of Teflon tubing (Weico Wire & Cable Inc., 30 gauge). Syringe pumps from Harvard Apparatus (PHD 2000) were used to inject the liquids into microchannels.

#### *A. Microbatch Crystallization in a Microfluidic Channel*

Microbatch crystallization conditions can be achieved. This experiment shows that size of plugs can be maintained and evaporation of water prevented. In this case, the PDMS device has been soaked in water overnight before the experiment in order to saturate PDMS with water. The device was kept under water during the experiment. During the experiment, the flow rates of carrier-fluid and NaCl solution were 2.7  $\mu$ L/min and 1.0  $\mu$ L/min, respectively. The flow was stopped by cutting off the Teflon tubing of both carrier-fluid and NaCl solution.

FIG. 16 shows a schematic illustration of a microfluidic device according to the invention and a microphotograph of plugs of 1M aqueous NaCl sustained in oil. The carrier-fluid is perfluorodecaline with 2 % 1H,1H,2H,2H-perfluorooctanol. Inside a microchannel, plugs showed no appreciable change in size.

#### *B. Vapor Diffusion Crystallization in Microchannels: Controlling Evaporation of Water From Plugs*

This experiment shows that evaporation of water from plugs can be controlled by soaking devices in water for shorter amounts of time or not soaking at all. The rate of evaporation can be also controlled by the thickness of PDMS used in the fabrication of the device. Evaporation rate can be increased by keeping the device in a solution of salt or other substances instead of keeping the device in pure water.

The plug traps are separated by narrow regions that help force the plugs into the traps.

In this experiment, a composite glass/PDMS device was used. PDMS layer had microchannel and a microscopy slide (Fisher, 35x50-1) was used as the substrate. Both the glass slide and the PDMS were treated in plasma cleaner (Harrick) then sealed. The device was made hydrophobic by first baking the device at 120°C for 2-4

hours then silanizing it by (tridecafluoro-1,1,2,2-tetrahydrooctyl)-1-trichlorosilane(United Chemical Technologies, Inc.).

During the experiment, a flow of carrier-fluid at 1.0  $\mu\text{L}/\text{min}$  was established, then flow of aqueous solution was established at a total rate of 0.9  $\mu\text{L}/\text{min}$ . Plug formation was observed inside the microchannel. The flow was stopped approximately 5-10 minutes afterwards by applying a pressure from the outlet and stopping the syringe pumps at the same time.

FIG. 41 shows a microphotograph (middle and right side) of the water plugs region of the microfluidic network. FIG. 41(b)-(c) show the plugs at time  $t=0$  and  $t=2$  hours, respectively. Red aqueous solution is 50 % waterman red ink in 0.5 M NaCl solution. Ink streams were then introduced into inlets 411, 412, 413. An oil stream flowed through channel 414. The carrier-fluid is FC-3283 (3M Fluorinert Liquid) with 2 % 1H,1H,2H,2H-perfluorodecanol. This photograph demonstrates that the evaporation of water through PDMS can be controlled, and thus the concentration of the contents inside the drops can be increased (this is equivalent to microbatch crystallization). FIG. 41(a) shows a diagram of the microfluidic network.

### *C. Controlling Shape and Attachment of Water Plugs*

During the experiment, a flow of carrier fluid at 1.0  $\mu\text{L}/\text{min}$  was established, then flow of aqueous solution was established at a total rate of 2.1  $\mu\text{L}/\text{min}$ . Plug formation was observed inside the microchannel. The flow was stopped approximately 5-10 minutes afterwards by applying a pressure from the outlet and stopping the syringe pumps at the same time.

FIG. 39 shows a diagram (left side) of a microfluidic network according to the invention. Aqueous streams were introduced into inlets 3901, 3902, 3903 while an oil stream flowed through channel 3904. FIG. 39 also shows a microphotograph (right side) of the water plug region of the microfluidic network. This image shows water plugs attached to the PDMS wall. This attachment occurs when low concentrations of surfactant, or less-effective surfactants are used. In this case 1H,1H,2H,2H-perfluorooctanol is less effective than 1H,1H,2H,2H-perfluorodecanol. In this experiment the oil is FC-3283 (3M Fluorinert Liquid) with 2% 1H,1H,2H,2H-perfluorooctanol as the surfactant.

### *D. Examples of Protein Crystallization*

During the experiment, a flow of oil at 1.0  $\mu\text{L}/\text{min}$  was established. Then the flow of water was established at 0.1  $\mu\text{L}/\text{min}$ . Finally flows of lysozyme and precipitant were established at 0.2  $\mu\text{L}/\text{min}$ . Plug formation was observed inside the microchannel. The flow of water was reduced to zero after the flow inside the channel became stable. The flow was stopped approximately 5-10 minutes afterwards by applying a pressure from the outlet and stopping the syringe pumps at the same time.

Fig 36 depicts lysozyme crystals grown in water plugs in the wells of the microfluidic channel. Lysozyme crystals started to appear inside aqueous plugs both inside and outside plug traps in approximately 10 minutes. The image of the three crystals in FIG. 36 was taken 1 hour after the flow was stopped. Lysozyme crystals appear colored because they were observed under polarized light. This is common for protein crystals.

The left side of FIG. 36 is a diagram of a microfluidic network according to the invention while the right side is microphotograph of the crystals formed in plugs in the microfluidic network. A precipitant, lysozyme, and water were introduced into inlets 3601, 3602, and 3603, respectively. Oil was flowed through channel 3604. The lysozyme solution contains 100 mg/ml lysozyme in 0.05 M sodium acetate (pH 4.7); the precipitant solution contains 30% w/v PEG (M.W. 5000), 1.0 M NaCl and 0.05 M sodium acetate (pH 4.7); The carrier-fluid is FC-3283 (3M Fluorinert Liquid) with 10 % 1H,1H,2H,2H-perfluoro-octanol. The microchannel device was soaked in FC-3283/H<sub>2</sub>O for one hour before experiment.

FIG. 32 shows that plug traps are not required for formation of crystals in a microfluidic network. FIG. 32 shows a diagram (left side) of the microfluidic network. A precipitant was introduced into inlet 321, lysozyme was introduced into inlet 322, and an aqueous stream was introduced into inlet 323. Oil was flowed through channel 324. FIG. 32 also shows microphotographs (middle and right side) of lysozyme crystals grown inside the microfluidic channel. The experimental condition is same as in FIG. 36.

#### Example 14 - Oil-soluble Surfactants for Charged Surfaces

In accordance with the invention, neutral surfactants that are soluble in perfluorinated phases are preferably used to create positively and negatively-charged interfaces. To create charged surfaces, neutral surfactants that can be charged by interactions with water, *e.g.*, by protonation of an amine or a guanidinium group (FIG.

24B), or deprotonation of a carboxylic acid group (FIG. 24C), are preferably used. Preferably, charged surfaces are used to repel, immobilize, or stabilize charged biomolecules. Negatively charged surfaces are useful for handling DNA and RNA without surface adsorption. Preferably, both negatively and positively-charged surfaces are used to control the nucleation of protein crystals. Many neutral fluorinated surfactants with acidic and basic groups ( $\text{RfC(O)OH}$ ,  $\text{Rf(CH}_2)_2\text{NH}_2$ ,  $\text{Rf(CH}_2)_2\text{C(NH)NH}_2$ ) are available commercially (Lancaster, Fluorochem, Aldrich).

To synthesize oligoethylene-glycol terminated surfactants, a modification and improvement of a procedure based on the synthesis of perfluoro non-ionic surfactants is preferably used. In one aspect, the synthesis relies on the higher acidity of the fluorinated alcohol to prevent the polycondensation of the oligoethylene glycol. The modified synthesis uses a selective benzylation of one of the alcohol groups of oligoethylene glycol, followed by activation of the other alcohol group as a tosylate. A Williamson condensation is then performed under phase transfer conditions followed by a final deprotection step via catalytic hydrogenation using palladium on charcoal.

#### Example 15 - Formation of Plugs in the Presence of Fluorinated Surfactants and Surface Tension

The surface tension of the oil/water interface has to be sufficiently high in order to maintain a low value of capillary number,  $C_n$ . The fluorosurfactant/water interfaces for water-insoluble fluorosurfactants have not been characterized, but these surfactants are predicted to reduce surface tension similar to that observed in a system involving Span on hexane/water interface (about 20 mN/m). The surface tensions of the aqueous/fluorous interfaces are preferably measured in the presence of fluorosurfactants using the hanging drop method. A video microscopy apparatus specifically constructed for performing these measurements has been used to successfully characterize interfaces. FIG. 24 illustrates the synthesis of fluorinated surfactants containing perfluoroalkyl chains and an oligoethylene glycol head group.

#### Example 16 - Forming Gradients by Varying Flow Rates

FIG. 42 shows an experiment involving the formation of gradients by varying the flow rates. In this experiment, networks of microchannels were fabricated using rapid prototyping in polydimethylsiloxane (PDMS). The width and height of the

channel were both 50  $\mu\text{m}$ . 10% 1H,1H,2H,2H-perfluorodecanol in perfluoroperhydrophenanthrene was used as oil. Red aqueous solution prepared from 50 % waterman red ink in 0.5 M NaCl solution was introduced into inlet 421. The oil flowed through channel 424 at 0.5  $\mu\text{l/min}$ . Aqueous streams were introduced into inlets 422, 423. To generate the gradient of ink in the channel, the total water flow rate was gradually increased from 0.03  $\mu\text{l/min}$  to 0.23  $\mu\text{l/min}$  in 20 seconds at a ramp rate of 0.01  $\mu\text{l/min}$  per second. At the same time, ink flow rate was gradually decreased from 0.25  $\mu\text{l/min}$  to 0.05  $\mu\text{l/min}$  in 20 seconds at a ramp rate of – 0.01  $\mu\text{l/min}$  per second. The total flow rate was constant at 0.28  $\mu\text{l/min}$ . The established gradient of ink concentration inside the plugs can be clearly seen from FIG. 42: the plugs further from the inlet are darker since they were formed at a higher ink flow rate.

#### Example 17 - Lysozome Crystallization Using Gradients

FIG. 43 illustrates an experiment involving the formation of lysozome crystals using gradients. The channel regions 435, 437 correspond to channel regions with very low precipitant concentration while channel region 436 corresponds to optimal range of precipitant concentration. In this experiment, networks of microchannels were fabricated using rapid prototyping in polydimethylsiloxane (PDMS). The width of the channel was 150  $\mu\text{m}$  and the height was 100  $\mu\text{m}$ . 10% 1H,1H,2H,2H-perfluorodecanol in perfluoroperhydrophenanthrene was used as oil.

During the experiment, a flow of oil through channel 434 at 1.0  $\mu\text{l/min}$  was established. Then the flow of water introduced through inlet 432 was established at 0.2  $\mu\text{l/min}$ . The flows of lysozyme introduced through inlet 431 and precipitant introduced through inlet 433 were established at 0.2  $\mu\text{l/min}$ . Plugs formed inside the channel. To create the gradient, water flow rate was first gradually decreased from 0.35  $\mu\text{l/min}$  to 0.05  $\mu\text{l/min}$  over 45 seconds at a ramp rate of (-0.01  $\mu\text{l/min}$  per 1.5 seconds), then increased back to 0.35  $\mu\text{l/min}$  in 45 seconds at a ramp rate of (0.01  $\mu\text{l/min}$  per 1.5 seconds). At the same time, precipitant flow rate was gradually increased from 0.05  $\mu\text{l/min}$  to 0.35  $\mu\text{l/min}$  in 45 seconds at a ramp rate of (0.01  $\mu\text{l/min}$  per 1.5 seconds), then decreased to 0.05  $\mu\text{l/min}$  in 45 seconds at a ramp rate of (-0.01  $\mu\text{l/min}$  per 1.5 seconds). The flow was stopped by pulling out the inlet

tubing immediately after water and precipitant flow rates returned to the starting values. The plugs created in this way contained constant concentration of the protein, but variable concentration of the precipitant: the concentration of the precipitant was lowest in the beginning and the end of the channel, and it peaked in the middle of the channel (the center row). Only the plugs in the middle of the channel have the optimal concentration of precipitant for lysozyme crystallization, as confirmed by observing lysozyme crystals inside plugs in the center row. Visualization was performed under polarized light. Preferably, all flow rates would be varied, not just the precipitant and water.

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Example 18 - Lysozyme crystallization in capillaries using the microbatch analogue method

To grow lysozyme crystal inside plugs within capillaries, a 10  $\mu$ l Hamilton syringe was filled with 100 mg/ml lysozyme in 0.05 M NaAc buffer (pH4.7) and another 10  $\mu$ l Hamilton syringe was filled with 30% (w/v) MPEG 5000 with 2.0 M NaCl in 0.05 M NaAc buffer (pH4.7) as precipitant. A 50  $\mu$ l Hamilton syringe filled with PFP (10% PFO) was the oil supply. All three syringes were attached to the PDMS/capillary device and driven by Harvard Apparatus syringe pumps (PHD2000). The capillary has an inner diameter of 0.18 mm and outer diameter of 0.20 mm. Oil flow rate was 1.0  $\mu$ l/min and both lysozyme and precipitant solution were at 0.3  $\mu$ l/min. The channel was filled with oil first. Protein and precipitant streams converged immediately before entering the channel to form plugs. After the capillary (Hampton Research) was filled with the plugs containing lysozyme, the flows were stopped. The capillary was disconnected from the PDMS device, sealed with wax and stored in an incubator (18°C). A lysozyme crystal appeared within an hour and was stable for at least 14 days without change of size or shape (FIG. 47A).

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Example 19 - Thaumatin crystallization in capillaries using the microbatch analogue method

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Experiment 1. A 10  $\mu$ l Hamilton syringe was filled with 50 mg/ml thaumatin in 0.1 M ADA buffer (pH 6.5) and another 10  $\mu$ l Hamilton syringe was

filled with 1.5 M NaK Tartrate in 0.1 M HEPES (pH 7.0). A 50  $\mu$ l Hamilton syringe filled with PFP (10% PFO) was the oil supply. All three syringes were attached to the PDMS/capillary device and driven by Harvard Apparatus syringe pumps (PHD2000). The capillary has an inner diameter of 0.18 mm and outer  
5 diameter of 0.20 mm. Oil flow rate was 1.0  $\mu$ l/min and both thaumatin and precipitant solution were at 0.3  $\mu$ l/min. The channel was filled with oil first. Protein and precipitant streams were mixed immediately before entering the channel to form plugs. After the capillary (Hampton Research) was filled with protein plugs, the flows were stopped. The capillary was cut from the PDMS  
10 device, sealed by wax and stored in an incubator (18°C). The thaumatin crystal appeared in 2-3 days and was stable for at least 45 days without size or shape change (FIG. 47B). Some thaumatin crystals grew at the interface of protein solution and oil, while others appeared to attach to the capillary wall.

Experiment 2. Thaumatin crystals were grown inside a capillary tube using  
15 50 mg/mL thaumatin in 0.1M pH 6.5 ADA buffer and a precipitant solution of 1M Na/K tartrate in a 0.1M pH 7.5 HEPES buffer. Protein and precipitant solutions were mixed in a 1.4:1 protein:precipitant ratio. A fluorinated carrier fluid was a saturated solution of FSN surfactant in FC3283. The capillary was incubated at 18 degrees C. Tetragonal crystals appeared within 5 days (FIG. 48A, B). X-ray  
20 diffraction was performed at BioCARS station 14BM-C at the Advanced Photon Source at Argonne National Laboratory. Beam wavelength was 0.9Å. The final length of a single crystal was estimated at 100-150 microns.

Capillaries were cut to the appropriate length without disturbing crystal-containing plugs, resealed using capillary wax, and mounted on clay-tipped  
25 cryoloop holders at a distance of 12 +/- 5 mm from base to crystal. The holder was placed on the x-ray goniometer. Crystals were centered on the beam. Snapshots were taken using 10 second (thaumatin) exposures. Distance from sample to detector was 150 mm. Diffraction to better than 2.2 Å was obtained.

30 Example 20 - Vapor Diffusion Protein Crystallization in Capillaries By An Alternating Droplet System

The principle of transferring water inside a capillary from one set of plugs to another set of plugs is illustrated in FIG. 50. Briefly, a 10  $\mu\text{l}$  Hamilton syringe was filled with 0.01  $\text{Fe}(\text{SCN})_3$  and another 10  $\mu\text{l}$  Hamilton syringe was filled with 0.1 M  $\text{Fe}(\text{SCN})_3$  with 2.5 M  $\text{KNO}_3$ . Two 50  $\mu\text{l}$  Hamilton syringes were filled with FMS-121 (Gelest, Inc) (saturated with PFO), which provided the oil supply. All four syringes were attached to the PDMS/capillary device and driven by Harvard Apparatus syringe pumps (PHD2000). The capillary has an inner diameter of 0.18 mm and outer diameter of 0.20 mm. One of the oil inlet channels was between the two aqueous inlets channels to separate the two aqueous streams when forming the alternating plugs. This oil inlet channel was vertical to the main channel and had a flow rate of 2.0  $\mu\text{l}/\text{min}$ . The other oil inlet channel had a flow rate of 1.0  $\mu\text{l}/\text{min}$  and was parallel to the main channel. Both of the aqueous solutions had a flow rate of 0.5  $\mu\text{l}/\text{min}$ . After establishing alternating aqueous droplet streams in the capillary, the flows were stopped, and the capillary was disconnected from the PDMS device, sealed with wax and stored in an incubator at 18°C. The size and color change of the plugs were monitored with a Leica microscope (MZ125) having a color CCD camera (SPOT Insight, Diagnostic Instruments, Inc.).

Following the stoppage of flow and sealing of the capillary tube, plugs containing 0.01 M  $\text{Fe}(\text{SCN})_3$  in water were yellow, while those containing 0.1 M  $\text{Fe}(\text{SCN})_3$  and 2.5 M  $\text{KNO}_3$  in water were red (FIG. 50A). However, FIG. 50B shows that after 5 days, the yellow plugs were reduced in size and were more concentrated, while the red plugs increased in size and were more diluted. This demonstration reflects vapor diffusion conditions in the capillary tube that are predicted to facilitate protein crystallization. This technique can be further adapted to other applications requiring concentration of reagents, such as proteins.

Alternating plugs from two different aqueous solutions may be generated in accordance with several representative geometries as set forth in FIG. 51. In principle, the same oil or different oils may be used in the two oil inlets. One scheme for generating alternating plugs from two different aqueous solutions is depicted in FIG. 51A. In this case, one 10  $\mu\text{l}$  Hamilton syringe was filled with 0.1  $\text{Fe}(\text{SCN})_3$ , another with 1.5 M  $\text{NaCl}$ . Two 50  $\mu\text{l}$  Hamilton syringes filled with PFP (with 10% PFO) provided the oil supply. All four syringes were attached to the PDMS device and driven by Harvard Apparatus syringe pumps (PHD2000).

Alternatively, multiple solutions can be co-introduced together in each of the two aqueous channels as depicted in FIG. 51B. In each of these two cases one of the oil inlet channels was between the two aqueous inlet channels. This oil inlet channel was used to separate the two aqueous streams into alternating plugs and was vertical to the main channel, having a flow rate of 2.0  $\mu\text{l}/\text{min}$ . The other oil inlet channel was parallel to the main channel and had a flow rate of 1.0  $\mu\text{l}/\text{min}$ . Each of the two aqueous solutions had flow rates of 0.5  $\mu\text{l}/\text{min}$ . Alternating plugs were found to form in the channel (FIG. 51C).

FIG. 52 illustrates another example of generating alternating plugs from two different aqueous solutions. In this case, one 10  $\mu\text{l}$  Hamilton syringe was filled with 0.1  $\text{Fe}(\text{SCN})_3$ , the other with 1.5 M NaCl. Two 50  $\mu\text{l}$  Hamilton syringes filled with FMS-121 (saturated with PFO) provided the oil supply. All four syringes were attached to the device and driven by Harvard Apparatus syringe pumps (PHD2000). One of the oil inlet channels was between the two aqueous inlet channels and was used to separate the two aqueous streams prior to formation of alternating plugs (FIG. 52A). This oil inlet channel was vertical to the main channel and had a flow rate of 1.5  $\mu\text{l}/\text{min}$ . The other oil stream had a flow rate of 1.5  $\mu\text{l}/\text{min}$  and was parallel to the main channel. Each of the two aqueous solutions had flow rates of 0.5  $\mu\text{l}/\text{min}$ . Alternating plugs were found to form in the channel (FIG. 52B).

Other geometries that can support the formation of alternating plugs are depicted in FIG. 53. Importantly, the flow rates of solutions A and B may be changed in a correlated fashion (FIG. 54). Thus, when the flow rate of solution  $A_1$  is increased and solution  $A_2$  is decreased, the flow rate of solutions  $B_1$  is also increased and solution  $B_2$  is also decreased. This principle, depicted in FIG. 54, is useful for maintaining a constant difference in salt concentration between the plugs of stream A and stream B to ensure that transfer from all plugs A to all plugs B occurs at a constant rate.

FIG. 54 provides a schematic illustration of a device for preparing plugs of varying protein concentrations where the flow rates of the A and B streams change in a correlated fashion. In this example,  $A_1$  through  $A_3$  are for protein solution, buffer and precipitants, such as PEG or salts. Highly concentrated salt solutions

are injected through  $B_1 \sim B_3$ . The flow rate ratio of inlet  $A_i$  to that of  $B_i$  ( $i=1\sim3$ ) is maintained constant. Therefore all of the protein plugs will shrink at a rate similar to the salt plugs.

FIG. 54 shows that if the flow rates of corresponding A and B streams are  
5 changed in a correlative fashion, the composition of plugs B will reflect the  
composition of plugs A. Therefore, one can incorporate markers into the B stream  
plugs to serve as a code for the plugs in the A stream. In other words,  
absorption/fluorescent dyes or x-ray scattering/absorbing materials can be  
incorporated in markers in the B streams to facilitate optical or x-ray-mediated  
10 quantification so as to provide a read out of relative protein and precipitant  
concentrations in the A streams. This approach can provide a powerful means for  
optimizing crystallization conditions for subsequent scale-up experiments.

## DEVICE AND METHOD FOR PRESSURE-DRIVEN PLUG TRANSPORT AND REACTION

This application is a continuation of Application No. 12/777,099, filed May  
5 5, 2010, which is a continuation of Application No. 10/765,718, filed January 26,  
2004, which is a continuation-in-part of Application No. 10/434,970, filed May 9,  
2003, which claims the benefit of U.S. Provisional Application No. 60/394,544,  
filed July 8, 2002, and U.S. Provisional Application No. 60/379,927, filed May 9,  
2002, all of which are incorporated herein by reference.

### 10 BACKGROUND

Nonlinear dynamics, in conjunction with microfluidics, play a central role in  
the design of the devices and the methods according to the invention. Microfluidics  
deals with the transport of fluids through networks of channels, typically having  
micrometer dimensions. Microfluidic systems (sometimes called labs-on-a-chip) find  
15 applications in microscale chemical and biological analysis (micro-total-analysis  
systems). The main advantages of microfluidic systems are high speed and low  
consumption of reagents. They are thus very promising for medical diagnostics and  
high-throughput screening. Highly parallel arrays of microfluidic systems are used  
for the synthesis of macroscopic quantities of chemical and biological compounds,  
20 *e.g.*, the destruction of chemical warfare agents and pharmaceuticals synthesis. Their  
advantage is improved control over mass and heat transport.

Microfluidic systems generally require means of pumping fluids through the  
channels. In the two most common methods, the fluids are either driven by pressure  
or driven by electroosmotic flow (EOF). Flows driven by EOF are attractive because  
25 they can be easily controlled even in complicated networks. EOF-driven flows have  
flat, plug-like velocity profile, that is, the velocity of the fluid is the same near the  
walls and in the middle of the channel. Thus, if small volumes of multiple analytes  
are injected sequentially into a channel, these plugs are transported as non-  
overlapping plugs (low dispersion), in which case the dispersion comes mostly from  
30 the diffusion between plugs. A main disadvantage of EOF is that it is generated by  
the motion of the double layer at the charged surfaces of the channel walls. EOF can  
therefore be highly sensitive to surface contamination by charged impurities. This

may not be an issue when using channels with negative surface charges in DNA analysis and manipulation because DNA is uniformly negatively charged and does not adsorb to the walls. However, this can be a serious limitation in applications that involve proteins that are often charged and tend to adsorb on charged surfaces. In addition, high voltages are often undesirable, or sources of high voltages such as portable analyzers may not be available.

Flows driven by pressure are typically significantly less sensitive to surface chemistry than EOF. The main disadvantage of pressure-driven flows is that they normally have a parabolic flow profile instead of the flat profile of EOF. Solute in the middle of the channel move much faster (about twice the average velocity of the flow) than solutes near the walls of the channels. A parabolic velocity profile normally leads to high dispersion in pressure-driven flows; a plug of solute injected into a channel is immediately distorted and stretched along the channel. This distortion is somewhat reduced by solute transport via diffusion from the middle of the channel towards the walls and back. But the distortion is made worse by diffusion along the channel (the overall dispersion is known as Taylor dispersion).

Taylor dispersion broadens and dilutes sample plugs. Some of the sample is frequently left behind the plug as a tail. Overlap of these tails usually leads to cross-contamination of samples in different plugs. Thus, samples are often introduced into the channels individually, separated by buffer washes. On the other hand, interleaving samples with long buffer plugs, or washing the system with buffer between samples, reduces the throughput of the system.

In EOF, flow transport is essentially linear, that is, if two reactants are introduced into a plug and transported by EOF, their residence time (and reaction time) can be calculated simply by dividing the distance traveled in the channel by the velocity. This linear transport allows precise control of residence times through a proper adjustment of the channel lengths and flow rates. In contrast, dispersion in pressure-driven flow typically creates a broad range of residence times for a plug traveling in such flows, and this diminishes time control.

The issue of time control is important. Many chemical and biochemical processes occur on particular time scales, and measurement of reaction times can be indicative of concentrations of reagents or their reactivity. Stopped-flow type instruments are typically used to perform these measurements. These instruments rely on turbulent flow to mix the reagents and transport them with minimal dispersion.

Turbulent flow normally occurs in tubes with large diameter and at high flow rates. Thus stopped-flow instruments tend to use large volumes of reagents (on the order of ml/s). A microfluidic analog of stopped-flow, which consumes smaller volumes of reagents (typically  $\mu\text{L}/\text{min}$ ), could be useful as a scientific instrument, *e.g.*, as a  
5 diagnostic instrument. So far, microfluidic devices have not be able to compete with stopped-flow type instruments because EOF is usually very slow (although with less dispersion) while pressure-driven flows suffer from dispersion.

In addition, mixing in microfluidic systems is often slow regardless of the method used to drive the fluid because flow is laminar in these systems (as opposed to  
10 turbulent in larger systems). Mixing in laminar flows relies on diffusion and is especially slow for larger molecules such as DNA and proteins.

In addition, particulates present handling difficulty in microfluidic systems. While suspensions of cells in aqueous buffers can be relatively easy to handle because cells are isodense with these buffers, particulates that are not isodense with the fluid  
15 tend to settle at the bottom of the channel, thus eventually blocking the channel. Therefore, samples for analysis often require filtration to remove particulates.

## SUMMARY ACCORDING TO THE INVENTION

In one aspect, a method includes the steps of providing a microfluidic system comprising one or more channels, and providing within the one or more  
20 channels a carrier fluid comprising an oil and at least one plug substantially surrounded by the carrier fluid. The plug includes reagents sufficient for an autocatalytic reaction including a first species of molecule in a concentration such that the plug contains no more than a single molecule of the first species. The method further includes the step of conducting an autocatalytic reaction such that  
25 the single molecule is amplified.

In another aspect, the single molecule is a single biological molecule. The single biological molecule may be DNA or RNA and the autocatalytic reaction may be a polymerase-chain reaction.

In another aspect, the conducting step includes heating.

30 In a another aspect, the method further includes the step of providing a detector to detect, analyze, characterize, or monitor one or more properties of the autocatalytic reaction during and/or after it has occurred. The properties may

include light emission. The reagents may include one or more fluorescent labels and the detector may detect emissions from the one or more fluorescent labels.

In another aspect, the method further includes the step of directing the plug to a first channel of the one or more channels when the detector detects, analyzes, characterizes, or monitors one or more of a first set of properties and directing the plug to a second channel of the one or more channels when the detector detects, analyzes, characterizes, or monitors one or more property not included in the first set.

In yet another aspect, the oil is fluorinated oil.

In a further aspect, the carrier fluid further includes a surfactant. The surfactant may be a fluorinated surfactant.

In another aspect, the at least one plug is a merged plug.

In yet another aspect, the one or more channels includes an expansion portion where the at least one plug is trapped for a period of time during or after the reaction.

In a further aspect, the at least one plug is substantially spherical in shape.

In another aspect, the method further includes the step of separating the at least one plug from the carrier fluid.

## BRIEF DESCRIPTION OF THE DRAWINGS AND PHOTOGRAPHS

FIG. 1A is a schematic diagram of a basic channel design that may be used to induce rapid mixing in plugs. FIG. 1B(1)-(4) are schematic diagrams depicting a series of periodic variations of the basic channel design. FIG. 1C(1)-(4) are schematic diagrams depicting a series of aperiodic combinations resulting from a sequence of alternating elements taken from a basic design element shown in FIG. 1A and an element from the periodic variation series shown in FIGS. 10B(1)-(4).

FIG. 2A is a schematic diagram contrasting laminar flow transport and plug transport in a channel. FIG. 2B(1) shows a photograph (right side, top portion) illustrating rapid mixing inside plugs moving through winding channels. FIG. 2B(2) shows a photograph (right side, lower portion) showing that winding channels do not accelerate mixing in a laminar flow in the absence of PFD.

FIG. 3 shows photographs (right side) and schematic diagrams (left side) that depict a stream of plugs from an aqueous plug-fluid and an oil (carrier-fluid) in curved channels at flow rates of 0.5  $\mu\text{L}/\text{min}$  and 1.0  $\mu\text{L}/\text{min}$ .

FIG. 4 shows a photograph (lower portion) and a schematic diagram (upper  
5 portion) that illustrate plug formation through the injection of oil and multiple plug-fluids.

FIG. 5 is a schematic diagram that illustrates a two-step reaction in which plugs are formed through the injection of oil and multiple plug-fluids using a combination of different geometries for controlling reactions and mixing.

10 FIG. 6 is a schematic representation of part of a microfluidic network that uses multiple inlets and that allows for both splitting and merging of plugs. This schematic diagram shows two reactions that are conducted simultaneously. A third reaction (between the first two reaction mixtures) is conducted using precise time delay.

FIG. 7(a)-(b) show microphotographs (10  $\mu\text{s}$  exposure) illustrating rapid  
15 mixing inside plugs (a) and negligible mixing in a laminar flow (b) moving through winding channels at the same total flow velocity. FIG. 7(c) shows a false-color microphotograph (2 s exposure, individual plugs are invisible) showing time-averaged fluorescence arising from rapid mixing inside plugs of solutions of Fluo-4 and  $\text{CaCl}_2$ . FIG. 7(d) shows a plot of the relative normalized intensity (I) of fluorescence obtained  
20 from images such as shown in (c) as a function of distance (left) traveled by the plugs and of time required to travel that distance (right) at a given flow rate. FIG. 7(e) shows a false-color microphotograph (2 s exposure) of the weak fluorescence arising from negligible mixing in a laminar flow of the solutions used in (c).

FIG. 8 shows photographs (right side) and schematics (left side) that illustrate  
25 fast mixing at flow rates of about 0.5  $\mu\text{L}/\text{min}$  and about 1.0  $\mu\text{L}/\text{min}$  using 90°-step channels.

FIG. 9 shows schematics (left side) and photographs (right side) illustrates fast mixing at flow rates of about 1.0  $\mu\text{L}/\text{min}$  and about 0.5  $\mu\text{L}/\text{min}$  using 135°-step channels.

30 FIG. 10a) is a schematic diagram depicting three-dimensional confocal visualization of chaotic flows in plugs. FIG. 10b) is a plot showing a sequence preferably used for visualization of a three-dimensional flow.

FIG. 11 shows a schematic diagram of a channel geometry designed to implement and visualize the baker's transformation of plugs flowing through microfluidic channels.

FIG. 12 shows photographs depicting the merging of plugs (top) and splitting of plugs (bottom) that flow in separate channels or channel branches that are perpendicular.

FIG. 13 shows UV-VIS spectra of CdS nanoparticles formed by rapid mixing in plugs (spectrum with a sharp absorption peak) and by conventional mixing of solutions.

FIG. 14 shows schematic diagrams (left side) and photographs (right side) that illustrate the synthesis of CdS nanoparticles in PDMS microfluidic channels in single-phase aqueous laminar flow (FIG. 14A) and in aqueous plugs that are surrounded by water-immiscible perfluorodecaline (FIG. 14B).

FIG. 15 shows schematic representations of the synthesis of CdS nanoparticles inside plugs.

FIG. 16 is a schematic illustration of a microfluidic device according to the invention that illustrates the trapping of plugs.

FIG. 17 is a schematic of a microfluidic method for forming plugs with variable compositions for protein crystallization.

FIG. 18 is a schematic illustration of a method for controlling heterogeneous nucleation by varying the surface chemistry at the interface of an aqueous plug-fluid and a carrier-fluid.

FIG. 19 is a schematic diagram that illustrates a method of separating nucleation and growth using a microfluidic network according to the present invention.

FIG. 20 show schematic diagrams that illustrate two methods that provide a precise and reproducible degree of control over mixing and that can be used to determine the effect of mixing on protein crystallization.

FIG. 21 is a reaction diagram illustrating an unstable point in the chlorite-thiosulfate reaction.

FIG. 22A-D are schematic diagrams that show various examples of geometries of microfluidic channels according to the invention for obtaining kinetic information from single optical images.

FIG. 23 shows a schematic of a microfluidic network (left side) and a table of parameters for a network having channel heights of 15 and 2  $\mu\text{m}$ .

FIG. 24 shows a reaction scheme that depicts examples of fluorinated surfactants that form monolayers that are: (a) resistant to protein adsorption; (b) positively charged; and (c) negatively charged. FIG. 24b shows a chemical structure of neutral surfactants charged by interactions with water by protonation of an amine or a guanidinium group. FIG. 24c shows a chemical structure of neutral surfactants charged by interactions with water deprotonation of a carboxylic acid group.

FIG. 25 are schematic diagrams of microfluidic network (left side of a), b), and c)) that can be used for controlling the concentrations of aqueous solutions inside the plugs, as well as photographs (right side of a), b), and c)) showing the formation of plugs with different concentrations of the aqueous streams.

FIG. 26 are schematic diagrams of microfluidic network (left side of a) and b)) and photographs (right side of a) and b)) of the plug-forming region of the network in which the aqueous streams were dyed with red and green food dyes to show their flow patterns.

FIG. 27 are photographs and plots showing the effects of initial conditions on mixing by recirculating flow inside plugs moving through straight microchannels. FIG. 27a1) is a schematic diagram showing that recirculating flow (shown by black arrows) efficiently mixed solutions of reagents that were initially localized in the front and back halves of the plug. FIG. 27a2) is a schematic diagram showing that recirculating flow (shown by black arrows) did not efficiently mix solutions of reagents that were initially localized in the left and right halves of the plugs. FIG. 27b) shows a schematic diagram showing the inlet portions (left side) and photographs of images showing measurements of various periods and lengths of plugs. FIG. 27c1) shows a graph of the relative optical intensity of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes in plugs of varying lengths. FIG. 27c2) is the same as FIG. 27c1) except that each plug traverses a distance of 1.3 mm.

FIG. 28 is a schematic illustration of a plug showing the notation used to identify different regions of the plugs relative to the direction of motion.

FIG. 29a)-b) are plots of the periods and the lengths of plugs as a function of total flow velocity (FIG. 29a)) and water fraction (FIG. 29b)).

FIG. 30 shows photographs illustrating weak dependence of periods, length of plugs, and flow patterns inside plugs on total flow velocity.

FIG. 31 are plots showing the distribution of periods and lengths of plugs where the water fractions were 0.20, 0.40, and 0.73, respectively.

FIG. 32 shows photographs (middle and right side) that show that plug traps are not required for crystal formation in a microfluidic network, as well as a diagram of the microfluidic network (left side).

FIG. 33a-d (left side) are top views of microfluidic networks (left side) and photographs (right side) that comprise channels having either uniform or nonuniform dimension. FIG. 33a shows that merging of the plugs occurs infrequently in the T-shaped channel shown in the photographs. FIG. 33b illustrates plug merging occurring between plugs arriving at different times at the Y-shaped junction (magnified view shown). FIG. 33c depicts in-phase merging, *i.e.*, plug merging upon simultaneous arrival of at least two plugs at a junction, of plugs of different sizes generated using different oil/water ratios at the two pairs of inlets. FIG. 33d illustrates defects (*i.e.*, plugs that fail to undergo merging when they would normally merge under typical or ideal conditions) produced by fluctuations in the relative velocity of the two incoming streams of plugs.

FIG. 34a-c show a schematic diagram (a, left side) and photographs (b, c) each of which depicts a channel network viewed from the top. FIG. 34a is a schematic diagram of the channel network used in the experiment. FIG. 34b is a photograph showing the splitting of plugs into plugs of approximately one-half the size of the initial plugs. FIG. 34c is a photograph showing the asymmetric splitting of plugs which occurred when  $P_1 < P_2$ .

FIG. 35 shows a schematic diagram (a, left side) and photographs (b, c) that depicts the splitting of plugs using microfluidic networks without constrictions near the junction.

FIG. 36 shows a photograph (right side) of lysozyme crystals grown in water plugs in the wells of the microfluidic channel, as well as a diagram (left side) of the microfluidic network used in the crystallization.

FIG. 37 is a schematic diagram that depicts a microfluidic device according to the invention that can be used to amplify a small chemical signal using an autocatalytic (and possibly unstable) reaction mixture.

FIG. 38 is a schematic diagram that illustrates a method for a multi-stage chemical amplification which can be used to detect as few as a single molecule.

FIG. 39 shows a diagram (left side) of the microfluidic network and a photograph (right side) of water plugs attached to the PDMS wall.

FIG. 40 is a schematic representation (left side) of a microfluidic network used to measure kinetics data for the reaction of RNase A using a fluorogenic substrate (on-chip enzyme kinetics), and plots that shows the kinetic data for the reaction between RNase A and a fluorogenic substrate.

FIG. 41 shows a photograph (middle and right side) of the water droplet region of the microfluidic network (T stands for time), as well as a diagram of the microfluidic network (left side).

FIG. 42 shows a schematic diagram (left side) of a microfluidic network and a photograph (right side) of the ink plug region of the microfluidic network in which the gradients were formed by varying the flow rates.

FIG. 43 shows a schematic diagram (left side) of a microfluidic network and a photograph (right side) of lysozyme crystals formed in the microfluidic network using gradients.

FIG. 44 are schematic illustrations showing how an initial gradient may be created by injecting a discrete aqueous sample of a reagent B into a flowing stream of water.

FIG. 45a) shows a schematic of the microfluidic network used to demonstrate that on-chip dilutions can be accomplished by varying the flow rates of the reagents. The blue rectangle outlines the field of view for images shown in FIG. 45c)-d). FIG. 45b) shows a graph quantifying this dilution method by measuring fluorescence of a solution of fluorescein diluted in plugs in the microchannel.

FIG. 46 shows a microbatch protein crystallization analogue scheme using a substrate that includes capillary tubing.

FIG. 47a) shows a lysozyme crystal grown attached to a capillary tube wall.

FIG. 47b) shows a thaumatin crystal grown at the interface of protein solution and oil.

FIG. 48a) shows a schematic illustration of a process for direct screening of crystals in a capillary tube by x-ray diffraction.

FIG. 48b) shows an x-ray diffraction pattern from a thaumatin crystal grown inside a capillary tube using a microbatch analogue method (no evaporation).

FIG. 49 shows a vapor-diffusion protein crystallization analogue scheme with a substrate that includes capillary tubing.

FIG. 50a) shows vapor diffusion in droplets surrounded by FMS-121 inside a capillary right after the flow was stopped and the capillary was sealed.

FIG. 50b) shows vapor diffusion in droplets surrounded by FMS-121 inside a capillary 5 days after the flow was stopped and the capillary was sealed.

5        FIG. 51a) shows a schematic drawing of an experimental setup to form alternating droplets.

FIG. 51b) shows a schematic drawing of an experimental setup to form alternating droplets where instead of single solutions 1 and 2, a set of multiple solutions A and B can be used in a similar system.

10        FIG. 51c) shows a microphotograph illustrating the formation of alternating NaCl-Fe(SCN)<sub>3</sub>-NaCl droplets.

FIG. 52a) shows another example of generating alternating droplets from two different aqueous solutions.

15        FIG. 52b) shows a microphotograph illustrating the formation of alternating NaCl-Fe(SCN)<sub>3</sub>-NaCl droplets.

FIG. 53a-c) shows several representative geometries in which alternating plugs may be formed.

FIG. 54a-b) illustrates two representative geometries for indexing a component in a plug using markers.

## 20        DETAILED DESCRIPTION ACCORDING TO THE INVENTION

The term “analysis” generally refers to a process or step involving physical, chemical, biochemical, or biological analysis that includes characterization, testing, measurement, optimization, separation, synthesis, addition, filtration, dissolution, or mixing.

25        The term “analysis unit” refers to a part of or a location in a substrate or channel wherein a chemical undergoes one or more types of analyses.

The term “capillary tube” refers to a hollow, tube-shaped structure with a bore. The cross-sections of the tube and bore can be round, square or rectangular. The corners of the tube or bore can also be rounded. The bore diameters can range in size  
30        from 1 μ to several millimeters; the outer diameters can be between about 60 μm up to several millimeters. The tube can be made using any material suitable for x-ray diffraction analysis (*e.g.*, silica, plastic, etc.), and can additionally include coatings

(e.g. polyimide) suitable for use under variable (e.g. high) temperatures or for UV transparency.

The term “carrier-fluid” refers to a fluid that is immiscible with a plug-fluid. The carrier-fluid may comprise a substance having both polar and non-polar groups or moieties.

The term “channel” refers to a conduit that is typically enclosed, although it may be at least partially open, and that allows the passage through it of one or more types of substances or mixtures, which may be homogeneous or heterogeneous, including compounds, solvents, solutions, emulsions, or dispersions, any one of which may be in the solid, liquid, or gaseous phase. A channel can assume any form or shape such as tubular or cylindrical, a uniform or variable (e.g., tapered) diameter along its length, and one or more cross-sectional shapes along its length such as rectangular, circular, or triangular. A channel is typically made of a suitable material such as a polymer, metal, glass, composite, or other relatively inert materials. As used herein, the term “channel” includes microchannels that are of dimensions suitable for use in devices. A network of channels refers to a multiplicity of channels that are typically connected or in communication with each other. A channel may be connected to at least one other channel through another type of conduit such as a valve.

The term “chemical” refers to a substance, compound, mixture, solution, emulsion, dispersion, molecule, ion, dimer, macromolecule such as a polymer or protein, biomolecule, precipitate, crystal, chemical moiety or group, particle, nanoparticle, reagent, reaction product, solvent, or fluid any one of which may exist in the solid, liquid, or gaseous state, and which is typically the subject of an analysis.

The term “detection region” refers to a part of or a location in a substrate or channel wherein a chemical is identified, measured, or sorted based on a predetermined property or characteristic.

The term “device” refers to a device fabricated or manufactured using techniques such as wet or dry etching and/or conventional lithographic techniques or a micromachining technology such as soft lithography. As used herein, the term “devices” includes those that are called, known, or classified as microfabricated devices. A device according to the invention may have dimensions between about 0.3 cm to about 15 (for 6 inch wafer) cm per side and between about 1 micrometer to about 1 cm thick, but the dimensions of the device may also lie outside these ranges.

The term “discrimination region” refers to a part of or a location in a substrate or channel wherein the flow of a fluid can change direction to enter at least one other channel such as a branch channel.

5 The term “downstream” refers to a position relative to an initial position which is reached after the fluid flows past the initial point. In a circulating flow device, downstream refers to a position farther along the flow path of the fluid before it crosses the initial point again. “Upstream” refers to a point in the flow path of a fluid that the fluid reaches or passes before it reaches or passes a given initial point in a substrate or device.

10 The term “flow” means any movement of a solid or a fluid such as a liquid. For example, the movement of plug-fluid, carrier-fluid, or a plug in a substrate, or component of a substrate according to the invention, or in a substrate or component of a substrate involving a method according to the invention, *e.g.*, through channels of a microfluidic substrate according to the invention, comprises a flow. The application  
15 of any force may be used to provide a flow, including without limitation: pressure, capillary action, electro-osmosis, electrophoresis, dielectrophoresis, optical tweezers, and combinations thereof, without regard for any particular theory or mechanism of action.

The term “immiscible” refers to the resistance to mixing of at least two phases  
20 or fluids under a given condition or set of conditions (*e.g.*, temperature and/or pressure) such that the at least two phases or fluids persist or remain at least partially separated even after the phases have undergone some type of mechanical or physical agitation. Phases or fluids that are immiscible are typically physically and/or chemically discernible, or they may be separated at least to a certain extent.

25 The term “inlet port” refers to an area of a substrate that receives plug-fluids. The inlet port may contain an inlet channel, a well or reservoir, an opening, and other features that facilitate the entry of chemicals into the substrate. A substrate may contain more than one inlet port if desired. The inlet port can be in fluid communication with a channel or separated from the channel by a valve.

30 The term “nanoparticles” refers to atomic, molecular or macromolecular particles typically in the length scale of approximately 1 - 100 nanometer range. Typically, the novel and differentiating properties and functions of nanoparticles are observed or developed at a critical length scale of matter typically under 100 nm. Nanoparticles may be used in constructing nanoscale structures and they may be

integrated into larger material components, systems and architectures. In some particular cases, the critical length scale for novel properties and phenomena involving nanoparticles may be under 1 nm (*e.g.*, manipulation of atoms at approximately 0.1 nm) or it may be larger than 100 nm (*e.g.*, nanoparticle reinforced polymers have the unique feature at approximately 200-300 nm as a function of the local bridges or bonds between the nanoparticles and the polymer).

The term “nucleation composition” refers to a substance or mixture that includes one or more nuclei capable of growing into a crystal under conditions suitable for crystal formation. A nucleation composition may, for example, be induced to undergo crystallization by evaporation, changes in reagent concentration, adding a substance such as a precipitant, seeding with a solid material, mechanical agitation, or scratching of a surface in contact with the nucleation composition.

The term “outlet port” refers to an area of a substrate that collects or dispenses the plug-fluid, carrier-fluid, plugs or reaction product. A substrate may contain more than one outlet port if desired.

The term “particles” means any discrete form or unit of matter. The term “particle” or “particles” includes atoms, molecules, ions, dimers, polymers, or biomolecules.

The term “particulate” refers to a cluster or agglomeration of particles such as atoms, molecules, ions, dimers, polymers, or biomolecules. Particulates may comprise solid matter or be substantially solid, but they may also be porous or partially hollow. They may contain a liquid or gas. In addition, particulates may be homogeneous or heterogeneous, that is, they may comprise one or more substances or materials.

“Plugs” in accordance with the present invention are formed in a substrate when a stream of at least one plug-fluid is introduced into the flow of a carrier-fluid in which it is substantially immiscible. The flow of the fluids in the device is induced by a driving force or stimulus that arises, directly or indirectly, from the presence or application of, for example, pressure, radiation, heat, vibration, sound waves, an electric field, or a magnetic field. Plugs in accordance with the present invention may vary in size but when formed, their cross-section should be substantially similar to the cross-section of the channels in which they are formed. When plugs merge or get trapped inside plug traps, the cross-section of the plugs may change. For example, when a plug enters a wider channel, its cross-section typically increases.

Further, plugs in accordance with the present invention may vary in shape, and for example may be spherical or non-spherical. The shape of the plug may be independent of the shape of the channel (e.g., a plug may be a deformed sphere traveling in a rectangular channel). The plugs may be in the form of plugs comprising  
5 an aqueous plug-fluid containing one or more reagents and/or one or more products formed from a reaction of the reagents, wherein the aqueous plug-fluid is surrounded by a non-polar or hydrophobic fluid such as an oil. The plugs may also be in the form of plugs comprising mainly a non-polar or hydrophobic fluid which is surrounded by an aqueous fluid. The plugs may be encased by one or more layers of molecules that  
10 comprise both hydrophobic and hydrophilic groups or moieties. The term “plugs” also includes plugs comprising one or more smaller plugs, that is, plugs-within-plugs. The relative amounts of reagents and reaction products contained in the plugs at any given time depend on factors such as the extent of a reaction occurring within the plugs. Preferably, plugs contain a mixture of at least two plug fluids.

15 The term “plug-forming region” refers to a junction between an inlet port and the first channel of a substrate according to the invention. Preferably, the fluid introduced into the inlet port is “incompatible” (*i.e.*, immiscible) with the fluid in the first channel so that plugs of the fluid formed in the plug-forming region are entrained into the stream of fluid from the first channel.

20 The term “plug-fluid” refers to a fluid wherein or using which a reaction or precipitation can occur. Typically, the plug-fluid contains a solvent and a reagent although in some embodiments at least one plug-fluid may not contain a reagent. The reagent may be soluble or insoluble in the solvent. The plug-fluid may contain a surfactant. At least two different plug-fluids are used in the present invention. When  
25 both plug-fluids contain reagents, the fluids are typically miscible, but can also be partially immiscible, so long as the reagents within each plug-fluid can react to form at least one product or intermediate.

The term “polymer” means any substance or compound that is composed of two or more building blocks (‘mers’) that are repetitively linked to each other. For  
30 example, a “dimer” is a compound in which two building blocks have been joined together. Polymers include both condensation and addition polymers. Typical examples of condensation polymers include polyamide, polyester, protein, wool, silk, polyurethane, cellulose, and polysiloxane. Examples of addition polymers are polyethylene, polyisobutylene, polyacrylonitrile, poly(vinyl chloride), and

polystyrene. Other examples include polymers having enhanced electrical or optical properties (*e.g.*, a nonlinear optical property) such as electroconductive or photorefractive polymers. Polymers include both linear and branched polymers.

5 The term “protein” generally refers to a set of amino acids linked together usually in a specific sequence. A protein can be either naturally-occurring or man-made. As used herein, the term “protein” includes amino acid sequences that have been modified to contain moieties or groups such as sugars, polymers, metalloorganic groups, fluorescent or light-emitting groups, moieties or groups that enhance or participate in a process such as intramolecular or intermolecular electron transfer,  
10 moieties or groups that facilitate or induce a protein into assuming a particular conformation or series of conformations, moieties or groups that hinder or inhibit a protein from assuming a particular conformation or series of conformations, moieties or groups that induce, enhance, or inhibit protein folding, or other moieties or groups that are incorporated into the amino acid sequence and that are intended to modify the  
15 sequence’s chemical, biochemical, or biological properties. As used herein, a protein includes, but is not limited to, enzymes, structural elements, antibodies, hormones, electron carriers, and other macromolecules that are involved in processes such as cellular processes or activities. Proteins typically have up to four structural levels that include primary, secondary, tertiary, and quaternary structures.

20 The term “reaction” refers to a physical, chemical, biochemical, or biological transformation that involves at least one chemical, *e.g.*, reactant, reagent, phase, carrier-fluid, or plug-fluid and that generally involves (in the case of chemical, biochemical, and biological transformations) the breaking or formation of one or more bonds such as covalent, noncovalent, van der Waals, hydrogen, or ionic bonds. The  
25 term includes typical chemical reactions such as synthesis reactions, neutralization reactions, decomposition reactions, displacement reactions, reduction-oxidation reactions, precipitation, crystallization, combustion reactions, and polymerization reactions, as well as covalent and noncovalent binding, phase change, color change, phase formation, crystallization, dissolution, light emission, changes of light  
30 absorption or emissive properties, temperature change or heat absorption or emission, conformational change, and folding or unfolding of a macromolecule such as a protein.

The term “reagent” refers to a component of a plug-fluid that undergoes or participates (*e.g.*, by influencing the rate of a reaction or position of equilibrium) in at

least one type of reaction with one or more components of other plug-fluids or a reagent-containing carrier-fluid in the substrate to produce one or more reaction products or intermediates which may undergo a further reaction or series of reactions. A reagent contained in a plug-fluid may undergo a reaction in which a stimulus such as radiation, heat, temperature or pressure change, ultrasonic wave, or a catalyst induces a reaction to give rise to a transformation of the reagent to another reagent, intermediate, or product. A reagent may also undergo a reaction such as a phase change (*e.g.*, precipitation) upon interaction with one or more components of other plug-fluids or a reagent-containing carrier-fluid.

The term “substrate” refers to a layer or piece of material from which devices or chips are prepared or manufactured. As used herein, the term “substrate” includes any substrate fabricated using any traditional or known microfabrication techniques. The term “substrate” also refers either to an entire device or chip or to a portion, area, or section of a device or chip which may or may not be removable or detachable from the main body of the device or chip. The substrate may be prepared from one or more materials such as glass, silicon, silicone elastomer, and polymers including, but not limited to, polypropylene or polyethylene.

The discussion below provides a detailed description of various devices and methods according to the invention for forming plugs, generating gradients in a series of plugs, varying the concentration of reagents inside plugs, rapid mixing in plugs, and scaling of mixing times. In particular, a detailed description of methods for merging, splitting and/or sorting plugs using channels, which form the bases for various applications ranging from the manufacture and analysis of various products to applications in electronics, medicine, diagnostics, and pharmaceuticals, to name a few, is discussed. Methods of detection and measurement of, among others, plugs and processes occurring within plugs are also described.

Among the various applications involving the devices and methods according to the invention are particle separation/sorting, synthesis, investigation of nonlinear and stochastic systems, nonlinear amplification using unstable autocatalytic mixtures, use of stochastic chemical systems for chemical amplification, kinetic measurements, time control of processes, increasing the dynamic range of kinetic measurements, ultrafast measurements, crystallization of proteins, and dynamic control of surface chemistry.

In addition, the devices and methods according to the invention offer a wide-range of other applications. For example, the devices and methods according to the invention provide for effective, rapid, and precise manipulation and monitoring of solutions or reactions over a range of time scales (*e.g.*, from tens of microseconds, to  
5 hours or weeks in case of, for example, crystallization) and over a range of solution volumes (*e.g.*, from femtoliters to hundreds of nanoliters).

In one aspect of the invention, the various devices and methods according to the invention are used to overcome one or more of the following problems involving microfluidics. First, the substantial dispersion of solutes in microfluidic channels  
10 increases reagent consumption and makes experiments or measurements over long time scales (*e.g.*, minutes to hours) difficult to perform. Various devices and methods according to the invention are intended to overcome this problem by localizing reagents inside plugs that are encapsulated by an immiscible carrier-fluid.

Second, slow mixing of solutions renders experiments, tests, or reactions  
15 involving very short time scales (*e.g.*, tens of milliseconds and below) either difficult or impossible to perform with existing technologies. In addition, turbulence-based mixing techniques prohibitively increase sample consumption. In accordance with the present invention, this problem is preferably addressed by conducting the mixing process inside plugs. Rather than relying on turbulence, the various devices and  
20 methods according to the invention preferably rely on chaotic advection to accelerate the mixing process. An advantage provided by chaotic advection is that it is expected to operate efficiently in both small and large channels.

Third, achieving control over the chemistry of internal surfaces of devices can be very important at small scales. Thus, being able to control surface chemistry in  
25 small devices for example is highly desirable. In accordance with the devices and methods according to the invention, the surface chemistry to which solutions are exposed is preferably controlled through a careful selection of surfactants that are preferably designed to assemble at the interface between the plugs and the immiscible fluid that surrounds them.

30 Devices and methods of the invention are also provided for use in traditional areas of microfluidics where, for example, miniaturization and speed are important. Thus, the devices and methods according to the invention may be used to develop various tools such as those for high-throughput chemical or biophysical measurements, chemical synthesis, particle formation, and protein crystallization.

They may also be used in high-throughput screening, combinatorial synthesis, analysis, and diagnostics, either as a self-contained platform, or in combination with existing technologies particularly those that rely on the use of immiscible fluid flows.

Importantly, the devices of the invention can be adapted to work with  
5 automation and robotic technology. They may be used, for example, as a basis for ultra-high throughput automated systems for structural and functional characterization of biological molecules. Thus, the various devices and methods according to the invention provide rapid, economical, and accessible means of synthesis, analysis, and measurements in the fields of biology, chemistry, biophysics, bioengineering, and  
10 medicine (*e.g.*, for diagnostics).

The devices and methods of the invention have numerous other possible applications. For example, chaotic mixing at low values of Reynolds number can be exploited as an important tool for controlling unstable chemical reactions. In addition, the systems and devices of the invention may be used for controlling and/or  
15 monitoring reactions that generate highly unstable (or explosive) intermediates. They can also be valuable for controlling or monitoring reactions or processes involving autocatalytic reactions. For example, pure hydrogen peroxide ( $H_2O_2$ ) is an inexpensive and highly effective oxidant, but its autocatalytic decomposition often leads to explosions upon storage and handling. In the microfluidic systems of the invention,  $H_2O_2$  is preferably generated in-situ, stabilized by the chaotic flow, and  
20 used to destroy chemical and biological warfare agents. Because the unstable mixtures in these systems are localized inside plugs formed in accordance with the invention, occasional autocatalytic decomposition in one or more plugs is kept localized within those plugs thereby preventing a catastrophic reaction involving the whole system. In addition, large arrays of microfluidic reactors may be operated in  
25 parallel to provide substantial throughput.

It is also possible to couple multiple autocatalytic reactions in a single network using the devices and methods according to the invention. For example, a sample plug could be split into many smaller plugs and forwarded to individual amplification  
30 cascades. Because the contents of the cascades' outflows exhibit patterns that correspond to the patterns of analytes present in these systems, these patterns could be analyzed using artificial neural network (ANN) (Jackson, R. B. a. T. *Neural Computing: An Introduction*, Hilger, New York, 1991; Zornetzer *et al.*, *An Introduction to Neural and Electronic Networks*, Academic Press, San Diego, CA,

1990.) algorithms. For example, patterns that arise in blood or saliva analysis may correspond to certain normal or abnormal (*e.g.*, disease, fatigue, infection, poisoning) conditions involving, for example, human and animals.

Moreover, it may be possible to create intelligent microfluidic systems in accordance with the invention, where the nonlinear chemical reactions perform not only detection, but also analysis using ANN algorithms. For example, after amplification, the channels of the present invention typically will contain sufficient amounts of material to operate hydrogel-based valves (Liu *et al.*, "Fabrication and characterization of hydrogel-based microvalves," *J. Microelectromech. Syst.* 2002, vol. 11, pp. 45-53; Yu *et al.*, "Responsive biomimetic hydrogel valve for microfluidics," *Appl. Phys. Lett.* 2001, vol. 78, pp. 2589-2591; Beebe *et al.*, "Functional hydrogel structures for autonomous flow control inside microfluidic channels," *Nature*, 2000, vol. 404, 588.). These valves can be used to control flows inside the system as a function of the sample plug composition. Feedforward and even feedback (*e.g.*, by using the hydrogel valves to control the flow of the input streams) networks may thus be created and used for analysis. Such nonlinear networks may be used not only to recognize patterns pre-programmed by the connectivity of the channels (Hjelmfelt *et al.*, "Pattern-Recognition in Coupled Chemical Kinetic Systems," *Science*, 1993, 260, 335-337.) but also to learn patterns by reconfiguring themselves (Jackson, R. B. a. T. *Neural Computing: An Introduction*, Hilger, New York, 1991; Zornetzer *et al.*, *An Introduction to Neural and Electronic Networks*, Academic Press, San Diego, CA, 1990.). Such intelligent microfluidic devices could have unprecedented capabilities for fully autonomous detection, analysis, and signal processing, perhaps surpassing those of biological and current man-made systems.

The devices and methods of the invention are also useful in genomics and proteomics, which are used to identify thousands of new biomolecules that need to be characterized, or are available only in minute quantities. In particular, the success of genomics and proteomics has increased the demand for efficient, high-throughput mechanisms for protein crystallization. X-ray structure determination remains the predominant method of structural characterization of proteins. However, despite significant efforts to understand the process of crystallization, macromolecular crystallization largely remains an empirical field, with no general theory to guide a

rational approach. As a result, empirical screening has remained the most widely used method for crystallizing proteins.

The following areas also provide applications of the devices and methods according to the invention. For example, a number of problems still beset high-throughput kinetics and protein crystallization. When it comes to determining protein structure and quantitatively ascertaining protein interactions, there are at least two technological challenges: (1) most robotic technology still only automate existing methods and are often too expensive for a small research laboratory; and (2) there remains the need for conceptually new methods that provide greater degree of control over the crystallization process. In addition, setting up and monitoring crystallization trials typically involve handling of sub-microliter volumes of fluids over periods ranging from seconds to days.

Thus, various devices and methods according to the present invention are designed to provide novel and efficient means for high-throughput crystallization of soluble and membrane proteins. In addition to being a simple and economical method of setting up thousands of crystallization trials in a matter of minutes, a system according to the invention will enable unique time control of processes such as the mixing and nucleation steps leading to crystallization. A system according to the present invention may also be used to control protein crystallization by controlling not only short time-scale events such as nucleation but also long time-scale events such as crystal growth.

Further, the devices and methods of the present invention may be used in high-throughput, kinetic, and biophysical measurements spanning the  $10^{-5}$  -  $10^7$  second time regime. Preferably, the various devices and methods according to the present invention require only between about a few nanoliters to about a few microliters of each solution. Applications of such devices and methods include studies of enzyme kinetics and RNA folding, and nanoparticle characterization and synthesis, which are discussed in detail below.

## **CHANNELS AND DEVICES**

In one aspect of the invention, a device is provided that includes one or more substrates comprising a first channel comprising an inlet separated from an outlet; optionally, one or more secondary channels (or branch channels) in fluid communication with the first channel, at least one carrier-fluid reservoir in fluid

communication with the first channel, at least two plug-fluid reservoirs in fluid communication with the first channel, and a means for applying continuous pressure to a fluid within the substrate.

5 A device according to the invention preferably comprises at least one substrate.

A substrate may include one or more expansions or areas along a channel wherein plugs can be trapped. The substrates of the present invention may comprise an array of connected channels.

10 The device may have one or more outlet ports or inlet ports. Each of the outlet and inlet ports may also communicate with a well or reservoir. The inlet and outlet ports may be in fluid communication with the channels or reservoirs that they are connecting or may contain one or more valves. Fluid can be introduced into the channels via the inlet by any means. Typically, a syringe pump is used, wherein the flow rate of the fluid into the inlet can be controlled.

15 A plug-forming region generally comprises a junction between a plug-fluid inlet and a channel containing the carrier-fluid such that plugs form which are substantially similar in size to each other and which have cross-sections which are substantially similar in size to the cross-section of the channel in the plug-forming region. In one embodiment, the substrate may contain a plurality of plug-forming regions.

20 The different plug-forming regions may each be connected to the same or different channels of the substrate. Preferably, the sample inlet intersects a first channel such that the pressurized plug fluid is introduced into the first channel at an angle to a stream of carrier-fluid passing through the first channel. For example, in preferred embodiments, the sample inlet and first channel intercept at a T-shaped junction; *i.e.*, such that the sample inlet is perpendicular (*i.e.* at an angle of 90°) to the first channel. However, the sample inlet may intercept the first channel at any angle.

25 A first channel may in turn communicate with two or more branch channels at another junction or “branch point”, forming, for example, a T-shape or a Y-shape. Other shapes and channel geometries may be used as desired. In exemplary embodiments the angle between intersecting channels is in the range of from about 60° to about 120°. Particular exemplary angles are 45°, 60°, 90°, and 120°. Precise boundaries for the discrimination region are not required, but are preferred.

The first and branch channels of the present invention can, each independently, be straight or have one or more bends. The angle of a bend, relative to the substrate, can be greater than about 10°, preferably greater than about 135°, 180°, 270°, or 360°.

5           In one embodiment of the invention, a substrate comprises at least one inlet port in communication with a first channel at or near a plug-forming region, a detection region within or coincident with all or a portion of the first channel or plug-forming region, and a detector associated with the detection region. In certain embodiments the device may have two or more plug-forming regions. For example,  
10           embodiments are provided in which the analysis unit has a first inlet port in communication with the first channel at a first plug-forming region, a second inlet port in communication with the first channel at a second plug-forming region (preferably downstream from the first plug-forming region), and so forth.

          In another embodiment, a substrate according to the invention may comprise a  
15           first channel through which a pressurized stream or flow of a carrier-fluid is passed, and two or more inlet channels which intersect the first channel at plug-forming regions and through which a pressurized stream or flow of plug fluids pass. Preferably, these inlet channels are parallel to each other and each intercept the first channel at a right angle. In specific embodiments wherein the plugs introduced  
20           through the different plug forming regions are mixed, the inlet channels are preferably close together along the first channel. For example, the first channel may have a diameter of 60 µm that tapers to 30 µm at or near the plug-forming regions. The inlet channels then also preferably have a diameter of about 30 µm and, in embodiments where plug mixing is preferred, are separated by a distance along the first channel  
25           approximately equal to the diameter of the inlet channel (*i.e.*, about 30 µm).

          In an embodiment according to the invention, the substrate also has a detection region along a channel. There may be a plurality of detection regions and detectors, working independently or together, *e.g.*, to analyze one or more properties of a chemical such as a reagent.

30           A detection region is within, communicating, or coincident with a portion of a first channel at or downstream of the plug-forming region and, in sorting embodiments, at or upstream of the discrimination region or branch point. Precise boundaries for the detection region are not required, but are preferred.

A typical substrate according to the invention comprises a carrier-fluid inlet that is part of and feeds or communicates directly with a first channel, along with one or more plug fluid inlets in communication with the first channel at a plug-forming region situated downstream from the main inlet (each different plug-fluid inlet  
5 preferably communicates with the first channel at a different plug-forming region).

Plugs formed from different plug-fluids or solutions may be released in any order. For example, an aqueous solution containing a first plug-fluid may be released through a first inlet at a first plug-forming region. Subsequently, plugs of an aqueous second plug-fluid may be released through a second inlet at a second plug-forming  
10 region downstream of the first inlet.

### **Fabrication of Channels, Substrates, and Devices**

The substrates and devices according to the invention are fabricated, for example by etching a silicon substrate, chip, or device using conventional  
15 photolithography techniques or micromachining technology, including soft lithography. The fabrication of microfluidic devices using polydimethylsiloxane has been previously described. These and other fabrication methods may be used to provide inexpensive miniaturized devices, and in the case of soft lithography, can provide robust devices having beneficial properties such as improved flexibility,  
20 stability, and mechanical strength. Preferably, when optical detection is employed, the invention also provides minimal light scatter from, for example, plugs, carrier-fluid, and substrate material. Devices according to the invention are relatively inexpensive and easy to set up.

Machining methods (*e.g.*, micromachining methods) that may be used to  
25 fabricate channels, substrates, and devices according to the invention are well known in the art and include film deposition processes, such as spin coating and chemical vapor deposition, laser fabrication or photolithographic techniques, or etching methods, which maybe performed either by wet chemical or plasma processes.

Channels may be molded onto optically transparent silicone rubber or  
30 polydimethylsiloxane (PDMS), preferably PDMS. This can be done, for example, by casting the channels from a mold by etching the negative image of these channels into the same type of crystalline silicon wafer used in semiconductor fabrication. The same or similar techniques for patterning semiconductor features can be used to form the pattern of the channels. In one method of channel fabrication, an uncured PDMS

is poured onto the molds placed in the bottom of, for example, a Petri dish. To accelerate curing, the molds are preferably baked. After curing the PDMS, it is removed from on top of the mold and trimmed. Holes may be cut into the PDMS using, for example, a tool such as a cork borer or a syringe needle. Before use, the PDMS channels may be placed in a hot bath of HCl if it is desired to render the surface hydrophilic. The PDMS channels can then be placed onto a microscope cover slip (or any other suitable flat surface), which can be used to form the base/floor or top of the channels.

A substrate according to the invention is preferably fabricated from materials such as glass, polymers, silicon microchip, or silicone elastomers. The dimensions of the substrate may range, for example, between about 0.3 cm to about 7 cm per side and about 1 micron to about 1 cm in thickness, but other dimensions may be used.

A substrate can be fabricated with a fluid reservoir or well at the inlet port, which is typically in fluid communication with an inlet channel. A reservoir preferably facilitates introduction of fluids into the substrate and into the first channel. An inlet port may have an opening such as in the floor of the substrate to permit entry of the sample into the device. The inlet port may also contain a connector adapted to receive a suitable piece of tubing, such as Teflon<sup>®</sup> tubing, liquid chromatography or HPLC tubing, through which a fluid may be supplied. Such an arrangement facilitates introducing the fluid under positive pressure in order to achieve a desired pressure at the plug-forming region.

A substrate containing the fabricated flow channels and other components is preferably covered and sealed, preferably with a transparent cover, *e.g.*, thin glass or quartz, although other clear or opaque cover materials may be used. Silicon is a preferred substrate material due to well-developed technology permitting its precise and efficient fabrication, but other materials may be used, including polymers such as polytetrafluoroethylenes. Analytical devices having channels, valves, and other elements can be designed and fabricated from various substrate materials. When external radiation sources or detectors are employed, the detection region is preferably covered with a clear cover material to allow optical access to the fluid flow. For example, anodic bonding of a silicon substrate to a PYREX<sup>®</sup> cover slip can be accomplished by washing both components in an aqueous H<sub>2</sub>SO<sub>4</sub>/H<sub>2</sub>O<sub>2</sub> bath, rinsing in water, and then, for example, heating to about 350 °C while applying a voltage of 450 V.

A variety of channels for sample flow and mixing can be fabricated on the substrate and can be positioned at any location on the substrate, chip, or device as the detection and discrimination or sorting points. Channels can also be designed into the substrate that place the fluid flow at different times/distances into a field of view of a  
5 detector. Channels can also be designed to merge or split fluid flows at precise times/distances.

A group of manifolds (a region consisting of several channels that lead to or from a common channel) can be included to facilitate the movement of plugs from different analysis units, through the plurality of branch channels and to the  
10 appropriate solution outlet. Manifolds are preferably fabricated into the substrate at different depth levels. Thus, devices according to the invention may have a plurality of analysis units that can collect the solution from associated branch channels of each unit into a manifold, which routes the flow of solution to an outlet. The outlet can be adapted for receiving, for example, a segment of tubing or a sample tube, such as a  
15 standard 1.5 ml centrifuge tube. Collection can also be done using micropipettes.

## METHODS OF FORMING PLUGS

The various channels, substrates, and devices according to the invention are primarily used to form and manipulate plugs.  
20 In a preferred embodiment, plug-fluids do not significantly mix at or before they are introduced into the first channel. The plug-fluids may form distinct laminar streams at or before the inlet. They may be separated by an additional fluid. Alternatively, they may be introduced into the carrier-fluid via inlets of differing size. The concentration of plug-fluids in the plugs may be adjusted by adjusting volumetric  
25 flow rates of the plug-fluids. Further, the diameters of the first channel and the branch channel(s) may differ.

FIG. 2A is a schematic diagram contrasting laminar flow transport and plug transport in a channel. In the lower figure which depicts the transport of plugs, two aqueous reagents (marked in red and blue) form laminar streams that are separated by  
30 a “divider” aqueous stream. The three streams enter a channel with flowing oil, at which point plugs form and plug fluids mix. During plug transport, rapid mixing of the plug-fluids typically occurs within the plugs. In contrast, in laminar flow transport, fluid mixing occurs slowly, and with high dispersion, as shown in the upper figure. In the upper figure, the time  $t$  at a given point  $d_1$  can be estimated from  $t_1 \approx$

$d_1/U$ , where  $d_1$  is the distance from  $d=0$  and  $U$  is the flow velocity. In the lower figure, the time  $t$  is given by  $t_1 = d_1/U$ .

FIG. 2B shows a photograph and a schematic diagram that depict mixing in water/oil plugs (upper schematic and photograph) and in laminar streams (lower schematic and photograph) comprising only aqueous plug-fluids. The oil (carrier-fluid in this case) is introduced into channel 200 of a substrate. Instead of oil, water is introduced into the corresponding channel 207 in the case of mixing using laminar streams. The three aqueous plug-fluids are introduced by inlet ports 201, 202, 203 into the carrier-fluid (and by inlet ports 204, 205, 206 in the case of laminar streams). A preferred scheme is one in which the aqueous plug-fluids initially coflow preferably along a short or minimal distance before coming in contact with the carrier-fluid. In a preferred embodiment, the distance traversed by the coflowing plug-fluids is approximately or substantially equal to the width of the channel.

The middle or second aqueous plug-fluid in the top figure may be plain water, buffer, solvent, or a different plug-fluid. The middle aqueous plug-fluid would preferably initially separate the two other aqueous plug-fluids before the aqueous fluids come into contact with the carrier-fluid. Thus, the intervening aqueous plug-fluid would prevent, delay, or minimize the reaction or mixing of the two outer aqueous plug-fluids before they come in contact with the carrier-fluid. The plugs that form in the plug-forming region can continue along an unbranched channel, can split and enter a channel, can merge with plugs from another channel, or can exit the substrate through an exit port. It can be seen in FIG. 2 that, in the absence of an oil, the aqueous plug-fluids flow in laminar streams without significant mixing or with only partial mixing. In contrast, plug-fluids mix substantially or completely in the plugs.

FIG. 3 shows photographs and schematic diagrams that depict a stream of plugs from an aqueous plug-fluid and an oil (carrier-fluid) in curved channels at flow rates of  $0.5 \mu\text{L}/\text{min}$  (top schematic diagram and photograph) and  $1.0 \mu\text{L}/\text{min}$  (bottom schematic diagram and photograph). This scheme allows enhanced mixing of reagents in the elongated plugs flowing along a curved channel with smooth corners or curves. The carrier-fluid is introduced into an inlet port 300, 307 of a substrate while the three aqueous plug-fluids are introduced in separate inlet ports 301-306. As in FIG. 2, a preferred scheme would be one in which the plug-fluids initially coflow preferably along a short or minimal distance before coming in contact with the

carrier-fluid. In a preferred embodiment, the distance traversed by the coflowing plug-fluids (*e.g.*, aqueous plug-fluids) is approximately or substantially equal to the width of the channel. The middle or second aqueous plug-fluid may comprise plain water, buffer, solvent, or a plug-fluid, and the middle aqueous plug-fluid preferably initially separates the two other aqueous plug-fluids before the aqueous plug-fluids come into contact with the carrier-fluid which, in this case, is an oil. Thus, the intervening aqueous plug-fluid would prevent, delay, or minimize the reaction or mixing of the two outer aqueous plug-fluids before they come in contact with the oil (or carrier-fluid).

FIG. 4 shows a photograph and schematic diagram that illustrate plug formation through the injection of oil and multiple plug-fluids. Although FIG. 4 shows five separate plug-fluids, one may also separately introduce less than or more than five plug-fluids into the substrate. The reagents or solvents comprising the plug-fluids may be different or some of them may be identical or similar. As in FIG. 2, the oil is introduced into an inlet port 400 of a substrate while the aqueous plug-fluid is introduced in separate inlet ports 401-405. The water plugs then flow through exit 406. A preferred scheme is one in which the aqueous plug-fluids would initially coflow preferably along a short or minimal distance before coming in contact with the oil. In a preferred embodiment, the distance traversed by the coflowing plug-fluids is approximately or substantially equal to the width of the channel. One or more of the aqueous plug-fluids may comprise plain water, buffer, solvent, or a plug-fluid, and at least one aqueous plug-fluid would preferably initially separate at least two other aqueous streams before the aqueous plug-fluid comes into contact with the oil. Thus, the at least one intervening aqueous plug-fluid would prevent, delay, or minimize the reaction or mixing of the two outer aqueous streams before the aqueous streams come in contact with the oil. FIG. 5 shows a microfluidic network, which is similar to that shown in FIG. 4, in which several reagents can be introduced into the multiple inlets. In addition, FIG. 5 shows a channel having a winding portion through which the plugs undergo mixing of the four reagents A, B, C, and D. As shown in FIG. 5, the reagents A, B, C, and D are introduced into inlet ports 501, 503, 505, and 507, while aqueous streams are introduced into inlet ports 502, 504, 506. FIG. 5 shows plugs through the various stages of mixing, wherein mixture 50 corresponds to the initial A+B mixture, mixture 51 corresponds to the initial C+D mixture, mixture 52 corresponds to the

mixed A+B mixture, mixture 53 corresponds to the mixed C+D mixture, and mixture 54 corresponds to the A+B+C+D mixture.

The formation of the plugs preferentially occurs at low values of the capillary number C.n., which is given by the equation

5 
$$\text{C.n.} = U\mu/\gamma \quad \text{Eqn. (1)}$$

where U is the flow velocity,  $\mu$  is the viscosity of the plug fluid or carrier-fluid, and  $\gamma$  is the surface tension at the water/surfactant interface.

The plugs may be formed using solvents of differing or substantially identical viscosities. Preferably, the conditions and parameters used in an experiment or  
10 reaction are such that the resulting capillary number lies in the range of about  $0.001 \leq \text{C.n.} \leq$  about 10. Preferably, the values of parameters such as viscosities and velocities are such that plugs can be formed reliably. Without wishing to be bound by theory, it is believed that as long as flow is not stopped, the C.n. is  $\leq$  about 0.2, and as long as the surface tension of the plug-fluid/carrier-fluid interface is lower than the  
15 surface tension of the solution/wall interface, plug formation will persist. The C.n. number is zero when flow is stopped.

In one embodiment, in which perfluorodecaline was used as the carrier-fluid and the plug-fluid was aqueous, it was found that this system can be operated at values of C.n. up to  $\sim 0.1$  (at  $300 \text{ mm s}^{-1}$ ). In this system, as the value of the C.n.  
20 increased above  $\sim 0.2$ , the formation of plugs became irregular. The viscosity of perfluorodecaline is  $5.10 \times 10^{-3} \text{ kg m}^{-3} \text{ s}^{-1}$ , the surface tension at the interface between the plugs and the carrier-fluid was  $13 \times 10^{-3} \text{ N m}^{-1}$ .

The length of the plugs can be controlled such that their sizes can range from, for example, about 1 to 4 times a cross-sectional dimension (d, where d is a channel  
25 cross-sectional dimension) of a channel using techniques such as varying the ratio of the plug-fluids and carrier-fluids or varying the relative volumetric flow rates of the plug-fluid and carrier-fluid streams. Short plugs tend to form when the flow rate of the aqueous stream is lower than that of a carrier-fluid stream. Long plugs tend to form when the flow rate of the plug-fluid stream is higher than that of the carrier  
30 stream.

In one approximation, the volume of a plug is taken equal to about  $2xd^3$ , where d is a cross-sectional dimension of a channel. Thus, the plugs can be formed in channels having cross-sectional areas of, for example, from  $20 \times 20$  to  $200 \times 200 \text{ } \mu\text{m}^2$ , which correspond to plug volumes of between about 16 picoliters (pL) to 16

nanoliters (nL). The size of channels may be increased to about 500  $\mu\text{m}$  (corresponding to a volume of about 250 nL) or more. The channel size can be reduced to, for example, about 1  $\mu\text{m}$  (corresponding to a volume of about 1 femtoliter). Larger plugs are particularly useful for certain applications such as protein crystallizations, while the smaller plugs are particularly useful in applications such as ultrafast kinetic measurements.

In one preferred embodiment, plugs conform to the size and shape of the channels while maintaining their respective volumes. Thus, as plugs move from a wider channel to a narrower channel they preferably become longer and thinner, and vice versa.

Plug-fluids may comprise a solvent and optionally, a reactant. Suitable solvents for use in the invention, such as those used in plug-fluids, include organic solvents, aqueous solvents, oils, or mixtures of the same or different types of solvents, *e.g.* methanol and ethanol, or methanol and water. The solvents according to the invention include polar and non-polar solvents, including those of intermediate polarity relative to polar and non-polar solvents. In a preferred embodiment, the solvent may be an aqueous buffer solution, such as ultrapure water (*e.g.*, 18 M $\Omega$  resistivity, obtained, for example, by column chromatography), 10 mM Tris HCl, and 1 mM EDTA (TE) buffer, phosphate buffer saline or acetate buffer. Other solvents that are compatible with the reagents may also be used.

Suitable reactants for use in the invention include synthetic small molecules, biological molecules (*i.e.*, proteins, DNA, RNA, carbohydrates, sugars, etc.), metals and metal ions, and the like.

The concentration of reagents in a plug can be varied. In one embodiment according to the invention, the reagent concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. In other embodiments, the reagent concentration in the plug-fluid is adjusted to concentrate enough that the amount of reaction product can be maximized.

Suitable carrier-fluids include oils, preferably fluorinated oils. Examples include viscous fluids, such as perfluorodecaline or perfluoroperhydrophenanthrene; nonviscous fluids such as perfluorohexane; and mixtures thereof (which are particularly useful for matching viscosities of the carrier-fluids and plug-fluids).

Commercially available fluorinated compounds such as Fluorinert™ liquids (3M, St. Paul, MN) can also be used.

The carrier-fluid or plug-fluid, or both may contain additives, such as agents that reduce surface tensions (*e.g.*, surfactants). Other agents that are soluble in a carrier-fluid relative to a plug-fluid can also be used when the presence of a surfactant in the plug fluid is not desirable. Surfactants may be used to facilitate the control and optimization of plug size, flow and uniformity. For example, surfactants can be used to reduce the shear force needed to extrude or inject plugs into an intersecting channel. Surfactants may affect plug volume or periodicity, or the rate or frequency at which plugs break off into an intersecting channel. In addition, surfactants can be used to control the wetting of the channel walls by fluids. In one embodiment according to the invention, at least one of the plug-fluids comprises at least one surfactant.

Preferred surfactants that may be used include, but are not limited to, surfactants such as those that are compatible with the carrier and plug-fluids. Exemplary surfactants include Tween™, Span™, and fluorinated surfactants (such as Zonyl™ (Dupont, Wilmington DE)). For example, fluorinated surfactants, such as those with a hydrophilic head group, are preferred when the carrier-fluid is a fluorinated fluid and the plug-fluid is an aqueous solution.

However, some surfactants may be less preferable in certain applications. For instance, in those cases where aqueous plugs are used as microreactors for chemical reactions (including biochemical reactions) or are used to analyze and/or sort biomaterials, a water soluble surfactant such as SDS may denature or inactivate the contents of the plug.

The carrier-fluid preferably wets the walls of the channels preferentially over the plugs. If this condition is satisfied, the plug typically does not come in contact with the walls of the channels, and instead remains separated from the walls by a thin layer of the carrier-fluid. Under this condition, the plugs remain stable and do not leave behind any residue as they are transported through the channels. The carrier-fluid's preferential wetting of the channel walls over the plug-fluid is achieved preferably by setting the surface tension by, for example, a suitable choice of surfactant. Preferably, the surface tension at a plug fluid/channel wall interface (*e.g.*, about 38 mN/m surface tension for a water/PDMS interface) is set higher than the surface tension at a plug fluid/carrier-fluid interface (*e.g.*, about 13 mN/m for a

water/carrier-fluid interface with a surfactant such as 10% 1H,1H,2H,2H-perfluorooctanol in perfluorodecaline as the carrier-fluid). If this condition is not satisfied, plugs tend to adhere to the channel walls and do not undergo smooth transport (*e.g.*, in the absence of 1H,1H,2H,2H-perfluorooctanol the surface tension at the water/perfluorodecaline interface is about 55 mN/m, which is higher than the surface tension of the water/PDMS interface (*e.g.*, about 38 mN/m)), and plugs adhere to the walls of the PDMS channels. Because the walls of the channels (PDMS, not fluorinated) and the carrier-fluid (fluorinated oil) are substantially different chemically, when a fluorinated surfactant is introduced, the surfactant reduces the surface tension at the oil-water interface preferentially over the wall-water interface. This allows the formation of plugs that do not stick to the channel walls.

The surface tension at an interface may be measured using what is known as a hanging drop method, although one may also use other methods. Preferably, the surface tension is sufficiently high to avoid destruction of the plugs by shear.

The plug-fluids and carrier-fluids may be introduced through one or more inlets. Specifically, fluids may be introduced into the substrate through pneumatically driven syringe reservoirs that contain either the plug-fluid or carrier-fluid. Plugs may be produced in the carrier-fluid stream by modifying the relative pressures such that the plug-fluids contact the carrier-fluid in the plug-forming regions then shear off into discrete plugs.

In the invention, plugs are formed by introducing the plug-fluid, at the plug-forming region, into the flow of carrier-fluid passing through the first channel. The force and direction of flow can be controlled by any desired method for controlling flow, for example, by a pressure differential, or by valve action. This permits the movement of the plugs into one or more desired branch channels or outlet ports.

In preferred embodiments according to the invention, one or more plugs are detected, analyzed, characterized, or sorted dynamically in a flow stream of microscopic dimensions based on the detection or measurement of a physical or chemical characteristic, marker, property, or tag.

The flow stream in the first channel is typically, but not necessarily continuous and may be stopped and started, reversed or changed in speed. Prior to sorting, a non-plug-fluid can be introduced into a sample inlet port (such as an inlet well or channel) and directed through the plug-forming region, *e.g.*, by capillary action, to hydrate and prepare the device for use. Likewise, buffer or oil can also be introduced into a main

inlet port that communicates directly with the first channel to purge the substrate (*e.g.*, of “dead” air) and prepare it for use. If desired, the pressure can be adjusted or equalized, for example, by adding buffer or oil to an outlet port.

The pressure at the plug-forming region can also be regulated by adjusting the pressure on the main and sample inlets, for example with pressurized syringes feeding into those inlets. By controlling the difference between the oil and water flow rates at the plug-forming region, the size and periodicity of the plugs generated may be regulated. Alternatively, a valve may be placed at or coincident to either the plug-forming region or the sample inlet connected thereto to control the flow of solution into the plug-forming region, thereby controlling the size and periodicity of the plugs. Periodicity and plug volume may also depend on channel diameter and/or the viscosity of the fluids.

### Mixing in Plugs

FIG. 7 (a)-(b) show microphotographs (10  $\mu$ s exposure) illustrating rapid mixing inside plugs (a) and negligible mixing in a laminar flow (b) moving through winding channels at the same total flow velocity. Aqueous streams were introduced into inlets 700-705 in FIGS. 7(a)-(b). In FIGS. 7(c) and 7(e), Fluo-4 was introduced into inlets 706, 709, buffer was introduced into inlets 707, 710, and  $\text{CaCl}_2$  was introduced into inlets 708, 711. FIG. 7(c) shows a false-color microphotograph (2 s exposure, individual plugs are invisible) showing time-averaged fluorescence arising from rapid mixing inside plugs of solutions of Fluo-4 (54  $\mu\text{M}$ ) and  $\text{CaCl}_2$  (70  $\mu\text{M}$ ) in aqueous sodium morpholine propanesulfonate buffer (20  $\mu\text{M}$ , pH 7.2); this buffer was also used as the middle aqueous stream. FIG. 7(d) shows a plot of the relative normalized intensity ( $I$ ) of fluorescence obtained from images such as shown in (c) as a function of distance (left) traveled by the plugs and of time required to travel that distance (right) at a given flow rate. The total intensity across the width of the channel was measured. Total PFD/water volumetric flow rates (in  $\mu\text{L min}^{-1}$ ) were 0.6:0.3, 1.0:0.6, 12.3:3.7, 10:6, and 20:6. FIG. 7(e) shows a false-color microphotograph (2 s exposure) of the weak fluorescence arising from negligible mixing in a laminar flow of the solutions used in (c). All channels were 45  $\mu\text{m}$  deep; inlet channels were 50  $\mu\text{m}$  and winding channels 28  $\mu\text{m}$  wide;  $\text{Re} \sim 5.3$  (water),  $\sim 2.0$  (PFD).

FIG. 8 shows photographs and schematics that illustrate fast mixing at flow rates of about 0.5  $\mu\text{L}/\text{min}$  (top schematic diagram and photograph) and about 1.0  $\mu\text{L}/\text{min}$  (lower schematic diagram and photograph) using 90°-step channels while FIG. 9 illustrates fast mixing at flow rates of about 1.0  $\mu\text{L}/\text{min}$  (top schematic diagram and photograph) and about 0.5  $\mu\text{L}/\text{min}$  (lower schematic diagram and photograph) using 135°-step channels. Aqueous streams are introduced into inlets 800-805 in FIG. 8 (inlets 900-905 in FIG. 9), while a carrier fluid is introduced into channels 806, 807 (channels 906, 907 in FIG. 9). The plugs that form then flow through exits 808, 809 (FIG. 8) and exits 908, 909 (FIG. 9). As can be seen in FIG. 8 and FIG. 9, the plugs are transported along multi-step channels, instead of channels with smooth curves (as opposed to channels with sharp corners). An advantage of these multi-step configurations of channels is that they may provide further enhanced mixing of the substances within the plugs.

Several approaches may be used to accelerate or improve mixing. These approaches may then be used to design channel geometries that allow control of mixing. Flow can be controlled by perturbing the flow inside a moving plug so that it differs from the symmetric flow inside a plug that moves through a straight channel. For example, flow perturbation can be accomplished by varying the geometry of a channel (*e.g.*, by using winding channels), varying the composition of the plug fluid (*e.g.*, varying the viscosities), varying the composition of the carrier-fluid (*e.g.*, using several laminar streams of carrier-fluids that are different in viscosity or surface tension to form plugs; in this case, mixing is typically affected, and in some cases enhanced), and varying the patterns on the channel walls (*e.g.*, hydrophilic and hydrophobic, or differentially charged, patches would interact with moving plugs and induce time-periodic flow inside them, which should enhance mixing).

Various channel designs can be implemented to enhance mixing in plugs. FIG. 1A shows a schematic of a basic channel design, while FIG. 1B shows a series of periodic variations of the basic channel design. FIG. 1C shows a series of aperiodic combinations resulting from a sequence of alternating elements taken from a basic design element shown in FIG. 1A and an element from the periodic variation series shown in FIGS. 1B(1)-(4). When the effects of these periodic variations are visualized, aperiodic combinations of these periodic variations are preferably used to break the symmetries arising from periodic flows (see FIG. 1C). Here, the relevant parameters are channel width, period, radius of curvature, and sequence of turns based

on the direction of the turns. The parameters of the basic design are defined such that  $c$  is the channel width,  $l$  is the period, and  $r$  is the radius of curvature. For the basic design, the sequence can be defined as (left, right, left, right), where left and right is relative to a centerline along the path taken by a plug in the channel.

5           FIGS. 1B(1)-4) show schematic diagrams of a series of periodic variations of the basic design. At least one variable parameter is preferably defined based on the parameters defined in FIG. 1a). In FIG. 1B(1), the channel width is  $c/2$ ; in FIG. 1B(2), the period is  $2l$ ; and in FIG. 1B(3), and the radius of curvature is  $2r$ . In FIG. 1B(4), the radius of curvature is  $r/2$  and the sequence is (left, left, right, right).

10           FIGS. 1C(1)-(4) show a schematic diagram of a series of aperiodic combinations formed by combining the basic design element shown in FIG. 1A with an element from the series of periodic variations in FIG. 1B(1)-(4). In FIG. 1C(1), the alternating pattern of a period of the basic design shown in FIG. 1A (here denoted as “a”) and a period of the channel in FIG. 1B(1) (here denoted as “b1”) is given by a +  
15   b1+ a+. . . . In FIG. 1C(2), the aperiodic combination is given by a + b2 + a. In the channel shown in FIG. 1C(3) (here denoted as “c3”), the aperiodic combination is given by a + c3 + a. In the channel shown in FIG. 1C(4) (here denoted as “c4”), a (right, left) sequence is introduced with a kink in the pattern. A repeating (left, right) sequence would normally be observed. By adding this kink, the sequence becomes  
20   (left, right, left, right)+(right, left)+(left, right, left, right).

          Another approach for accelerating mixing relies on rationally-designed chaotic flows on a microfluidic chip using what is known as the baker’s transformation. Reorientation of the fluid is critical for achieving rapid mixing using the baker’s transformation. The baker’s transformation leads to an exponential decrease of the  
25   striation thickness (the distance over which mixing would have to occur by diffusion) of the two components via a sequence of stretching and folding operations. Typically, every stretch-fold pair reduces the striation thickness by a factor of 2, although this factor may have a different value. The striation thickness (ST) can be represented, in an ideal case, by Eqn. (2) below. Thus, in the ideal case, in a sequence of  $n$  stretch-  
30   fold-reorient operations, the striation thickness undergoes an exponential decrease given by

$$ST(t_n) = ST(t_0) \times 2^{-n} \quad \text{Eqn. (2)}$$

where  $ST(t_n)$  represents the striation thickness at time  $t_n$ ,  $ST(t_0)$  represents the initial striation thickness at time  $t_0$ , and  $n$  is the number of stretch-fold-reorient operations.

In accordance with the invention, the baker's transformation is preferably implemented by creating channels composed of a sequence of straight regions and sharp turns. FIG. 11 shows a schematic diagram of a channel geometry designed to implement and visualize the baker's transformation of plugs flowing through microfluidic channels. Other designs could also be used. The angles at the channel bends and the lengths of the straight portions are chosen so as to obtain optimal mixing corresponding to the flow patterns shown. Different lengths of straight paths and different turns may be used depending on the particular application or reaction involved.

A plug traveling through every pair of straight part 112 and sharp-turn part 111 of the channel, which is equivalent to one period of a baker's transformation, will experience a series of reorientation, stretching and folding. In a straight part of the channel, a plug will experience the usual recirculating flow. At a sharp turn, a plug normally rolls and reorients due to the much higher pressure gradient across the sharp internal corner and also due to larger travel path along the outside wall. This method of mixing based on the baker's transformation is very efficient and is thus one of the preferred types of mixing. In particular, this type of mixing leads to a rapid reduction of the time required for reagent mixing via diffusion.

It is believed that plug formation can be maintained at about the same flow rate in channels of different sizes because the limit of a flow rate is typically set by the capillary number,  $C.n.$ , which is independent of the channel size. At a fixed flow rate, the mixing time  $t_{mix}$  may decrease as the size of the channel ( $d$ ) is reduced. First, it is assumed that it takes the same number  $n$  of stretch-fold-reorient cycles to mix reagents in both large and small channels. This assumption (*e.g.*, for  $n \sim 5$ ) is in approximate agreement with previously measured mixing in  $d=55$  and  $d=20$  micrometer ( $\mu m$ ) channels. Each cycle requires a plug to travel over a distance of approximately 2 lengths of the plug (approximately  $3d$ ). Therefore, mixing time is expected to be approximately equal to the time it takes to travel  $15d$ , and will decrease linearly with the size of the channel,  $t_{mix} \sim d$ . A method that provides mixing in about 1 ms in 25- $\mu m$  channels preferably provides mixing in about 40  $\mu s$  in 1- $\mu m$  channels. Achieving microsecond mixing times generally requires the use of small channels. High pressures are normally required to drive a flow through small channels.

Without wishing to be bound by theory, theoretical modeling indicates that the number of cycles it takes for mixing to occur in a channel with diameter  $d$  is given approximately by

$$n \times 2^{2n} \approx dU/D \quad \text{Eqn. (3)}$$

5 where  $n$  is the number of cycles,  $U$  is the flow velocity,  $D$  is the diffusion constant, one cycle is assumed to be equal to  $6d$ , and mixing occurs when convection and diffusion time scales are matched. The mixing time is primarily determined by the number of cycles. This result indicates that mixing will be accelerated more than just in direct proportion to the channel diameter. For example, when  $d$  decreases by a  
10 factor of 10, mixing time decreases by a factor of  $d \times \text{Log}(d) = 10 \times \text{Log}(10)$ . With properly designed channels, mixing times in 1- $\mu\text{m}$  channels can be limited to about 20  $\mu\text{s}$ . Even at low flow rates or long channels (such as those involving protein crystallization), however, significant mixing can still occur. In addition, without being bound by theory, it is expected that increasing the flow rate  $U$  by a factor of 10  
15 will decrease the mixing time by a factor of  $\text{Log}(U)/U = (\text{Log}(10))/10$ .

To visualize mixing in a channel according to the invention, a colored marker can be used in a single plug-fluid. The initial distribution of the marker in the plug has been observed to depend strongly on the details of plug formation. As the stationary aqueous plug was extruded into the flowing carrier-fluid, shearing  
20 interactions between the flow of the carrier-fluid and the plug-fluid induced an eddy that redistributed the solution of the marker to different regions of the plug. The formation of this eddy is referred to here as “twirling” (see FIG. 27b)). Twirling is not a high Reynolds number ( $Re$ ) phenomenon (see FIG. 30) since it was observed at substantially all values of  $Re$  and at substantially all velocities. However, the flow  
25 pattern of this eddy appears to be slightly affected by the velocity.

Various characteristics and behavior of twirling were observed. Twirling redistributed the marker by transferring it from one side of the plug to the other, *e.g.*, from the right to the left side of the plug. The most efficient mixing was observed when there was minimal fluctuations in intensity, *i.e.*, when the marker was evenly  
30 distributed across the plug. While twirling was present during the formation of plugs of all lengths that were investigated, its significance to the mixing process appears to depend on the length of the plug. For example, the extent of twirling was observed to be significantly greater for short plugs than for long plugs. Twirling was also observed to affect only a small fraction of the long plugs and had a small effect on the

distribution of the marker in the plugs. Moreover, twirling occurred only at the tip of the forming plug before the tip made contact with the right wall of the microchannel. Also, the amount of twirling in a plug was observed to be related to the amount of the carrier-fluid that flowed past the tip. The results of experiments involving twirling and its effect on mixing show that twirling is one of the most important factors, if not the most important factor, in determining the ideal conditions for mixing occurring within plugs moving through straight channels. By inducing twirling, one may stimulate mixing; by preventing twirling, one may suppress complete mixing. Suppressing mixing may be important in some of the reaction schemes, for example those shown in FIG. 5 and FIG. 6. In these reaction schemes, selective mixing of reagents A with reagent B, and also reagent C with reagent D, can occur without mixing of all four reagents. Mixing of all four reagents occurs later as plugs move through, for example, the winding part of the channel. This approach allows several reactions to occur separated in time. In addition, suppressing mixing may be important when interfaces between plug fluids have to be created, for example interfaces required for some methods of protein crystallization (FIG. 20).

The eddy at the tip of a developing plug may complicate visualization and analysis of mixing. This eddy is normally significant in short plugs, but only has a minor effect on long plugs. For applications involving visualization of mixing, the substrate is designed to include a narrow channel in the plug-forming region is designed such that narrow, elongated plugs form. Immediately downstream from the plug-forming region, the channel dimension is preferably expanded. In the expanded region of the channel(s), plugs will expand and become short and rounded under the force of surface tension; this preserves the distribution of the marker inside the plugs. This approach affords a relatively straightforward way of visualizing the mixing inside plugs of various sizes. Video microscopy may be used to observe the distribution of colored markers inside the drops. A confocal microscope may also be used to visualize the average three-dimensional distribution of a fluorescent marker. Visualization can be complemented or confirmed using a  $\text{Ca}^{2+}$ /Fluo-4<sup>-4</sup> reaction. At millimolar concentrations, this reaction is expected to occur with a half-life of about 1  $\mu\text{s}$ . Thus, it can be used to measure mixing that occurs on time scales of about 10  $\mu\text{s}$  and longer.

The following discussion describes at least one method for three-dimensional visualization of flows in plugs. Visualization of chaotic transport in three-dimensions

is a challenging task especially on a small scale. Predictions based on two-dimensional systems may be used to gain insight about plugs moving through a three-dimensional microfluidic channel. Experiments and simulations involving a two-dimensional system can aid in the design of channels that ensure chaotic flow in two-dimensional liquid plugs. Confocal microscopy has been used to quantify steady, continuous three-dimensional flows in channels. However, due to instrumental limitations of an optical apparatus such as a confocal microscope, it is possible that the flow cannot be visualized with sufficiently high-resolution to observe, for example, self-similar fractal structures characteristic of chaotic flow. Nonetheless, the overall dynamics of the flow may still be captured and the absence of non-chaotic islands confirmed. Preferably, the channels (periodic or aperiodic) used in the visualization process are fabricated using soft lithography in PDMS. A PDMS replica is preferably sealed using a thin glass cover slip to observe the flow using confocal microscopy.

In one experiment according to the invention, a series of line scans are used to obtain images of a three-dimensional distribution of fluorescent markers within the plugs. FIG. 10a) is a schematic diagram depicting a three-dimensional confocal visualization of chaotic flows in plugs. Plugs are preferably formed from three laminar streams. The middle stream 11 preferably contains fluorescent markers. Preferably, the middle stream 11 is injected into the channel system at a low volumetric flow rate. The volumetric flow rates of the two side streams 10, 12 are preferably adjusted to position the marker stream in a desired section of the channel. Preferably, a confocal microscope such as a Carl Zeiss LSM 510 is used. The LSM 510 is capable of line scans at about 0.38 ms/512 pixel line or approximately 0.2 ms/100 pixel line. Fluorescent microspheres, preferably about 0.2  $\mu\text{m}$ , and fluorescently labeled high-molecular weight polymers are preferably used to visualize the flow with minimal interference from diffusion. A channel such as one with 100  $\mu\text{m}$  wide and 100  $\mu\text{m}$  deep channel may be used. The line scan technique may be applied to various sequences such as one that has about 200- $\mu\text{m}$  long plugs separated by about 800- $\mu\text{m}$  long oil stream.

A beam is preferably fixed in the x and z-directions and scanned repeatedly back and forth along the y-direction. The movement of the plug in the x-direction preferably provides resolution along the x-direction. Line scan with 100 pixels across a 100  $\mu\text{m}$ -wide channel will provide a resolution of about 1  $\mu\text{m}$ /pixel in the y-

direction. Approximately 200 line scans per plug are preferably used to give a resolution of about 1  $\mu\text{m}/\text{pixel}$  in the x-direction. For a 200  $\mu\text{m}$  plug moving at about 2000  $\mu\text{m}/\text{s}$ , about 200 line scans are preferably obtained over a period of about  $(200 \mu\text{m})/(2000 \mu\text{m}/\text{s}) = 0.1 \text{ s}$ , or about 0.5 ms per line.

5           The sequence shown in FIG. 10b) is preferably used for visualization of a three dimensional chaotic flow. Each line scan preferably takes about 0.2 ms with about 0.3 ms lag between the scans to allow the plug to move by about 500  $\mu\text{m}$ . Some optical distortions may result during the approximately 0.2 ms scan as the plug is translated along the x-direction by about 0.2  $\mu\text{m}$ . However, these distortions are  
10       believed to be comparable to the resolution of the method. For a given position along the x-direction, a series of line scans are preferably obtained for about 10 seconds for each point along the z-direction to obtain an x-y cross-sections of ten plugs. Scans along the z-direction are preferably taken in 1  $\mu\text{m}$  increments to obtain a full three-dimensional image of the distribution of the fluorescent marker in the plug. This  
15       procedure is preferably repeated at different positions along the x-direction to provide information such as changes in the three-dimensional distribution of the fluorescent marker inside the plug as the plug moves along the channels.

          In case of periodic perturbations, the fluorescent cross-sections of the plug in the y-z plane recovered from the above procedure represent Poincaré sections  
20       corresponding to the evolution of the initial thin sheet of dye. The twirling of the aqueous phase upon formation of the small plugs could distribute the dye excessively throughout the plug and could make visualization less conclusive. This twirling is prevented preferably by designing a small neck in the plug-forming region, and then beginning the first turn in a downward direction. This approach has been successfully  
25       applied to flow visualization, and may be useful for conducting reactions.

## MERGING PLUGS

          The invention also provides a method of merging of plugs within a substrate (see upper portion of FIG. 12). Plugs are formed as described above. Plugs  
30       containing different reagents can be formed by separately introducing different plug-fluids into a channel. The plugs containing different reagents may be substantially similar in viscosity or may differ. The plugs containing different reagents may be substantially similar in size or they may differ in size. Provided that the relative velocities of the plugs containing different reagents differ, the plugs will merge in the

channels. The location of merging can be controlled in a variety of ways, for example by varying the location of plug-fluid inlet ports, by varying the location of channel junctions (if one of the plug forming fluids is introduced into a secondary channel), varying the size of the plugs, adjusting the speed at which different sets of plugs are transported varying the viscosity or surface tension of plugs having substantially the same size, etc.

As shown in FIG. 12 (top photograph), plugs may be merged by directing or allowing the plugs 120, 121 to pass through a T-shaped channel or a T-shaped region of a channel. The resulting merged plugs 122 flow in separate channels or channel branches which may be perpendicular, as shown in FIG. 12, or nonperpendicular (FIG. 33). The merged plugs 122 may undergo further merging or undergo splitting, or they may be directed to other channels, channel branches, area, or region of the substrate where they may undergo one or more reactions or “treatments” such as one or more types of characterizations, measurements, detection, sorting, or analysis.

In one embodiment, large and small plugs flow along separate channels or channel branches towards a common channel where they merge. In a case where a large and a small plug do not converge at the same point at the same time, they eventually form a merged plug as the larger plug, which moves faster than the smaller plug, catches up with the small plug and merges with it. In the case where the larger and smaller plugs meet head on at the same point or region, they immediately combine to form a merged plug. The merged plugs may undergo splitting, described below, or further merging in other channels or channel regions, or they may be directed to other channels, channel branches, area, or region of the substrate where they may undergo one or more types of characterizations, measurements, detection, sorting, or analysis.

In another embodiment, plugs can be merged by controlling the arrival time of the plugs flowing in opposite directions towards a common point, area, or region of the channel so that each pair of plugs arrive at the common point, area, or region of the channel at around the same time to form a single plug.

In another embodiment, an arched, semi-circular, or circular channel provides a means for increasing the efficiency of plug merging. Thus, for example, a greater frequency of merging would occur within a more compact area or region of the substrate. Using this scheme, plugs flowing along separate channels towards a common channel may merge within a shorter distance or a shorter period of time

because the arched, semi-circular, or circular channel or channel branch converts or assists in converting initially out-of-phase plug pairs to in-phase plug pairs. Specifically, the arched, semi-circular, or circular channel or channel branch would allow a lagging plug to catch up and merge with a plug ahead of it, thereby increasing the number of merged plugs in a given period or a given area or region of a substrate.

## **SPLITTING AND/OR SORTING PLUGS**

The present invention also provides a method for splitting of plugs within a substrate. Plugs can be split by passing a first portion of a plug into a second channel through an opening, wherein the second channel is downstream of where the plug is formed. Alternatively, plugs may be split at a “Y” intersection in a channel. In both embodiment, the initial plug splits into a first portion and a second portion and thereafter each portion passes into separate channel (or outlet). Either initially formed plugs can be split or, alternatively, merged plugs can be split. FIG. 6 shows a schematic diagram illustrating part of a microfluidic network that uses multiple inlets (inlets 601, 603, 605, 607 for reagents A, B, C, and D; inlets 602, 604, 606 for aqueous streams) and that allows for both splitting and merging of plugs. This schematic diagram shows two reactions that are conducted simultaneously. A third reaction (between the first two reaction mixtures) is conducted using precise time delay. Plugs can be split before or after a reaction has occurred. In addition, FIG. 6 shows plugs at various stages of mixing from the initial mixture 60 (A+B) and initial mixture 61 (C+D) through the mixed solutions 62 (A+B), 63 (C+D), and the 4-component mixture 64 (A+B+C+D).

As shown in FIG. 12 (lower photograph), plugs may be split by directing or allowing the plugs 123, 124 to pass through a T-shaped channel or a T-shaped region of a channel. In a preferred embodiment, the area or junction at which the plugs undergo splitting may be narrower or somewhat constricted relative to the diameter of the plugs a certain distance away from the junction. The resulting split plugs 125 flow in separate channels or channel branches which may be perpendicular, as shown in FIG. 12, or nonperpendicular (FIG. 33). The split 125 plugs may undergo merging or further splitting, or they may be directed to other channels, channel branches, area, or region of the substrate where they may undergo one or more reactions or “treatments” such as one or more types of characterizations, measurements, detection, sorting, or analysis.

In another embodiment, aqueous plugs can be split or sorted from an oil carrier fluid by using divergent hydrophilic and hydrophobic channels. The channels are rendered hydrophilic or hydrophobic by pretreating a channel or region of a channel such that a channel or channel surface becomes predominantly hydrophilic or hydrophobic. As discussed in more detail below, substrates with hydrophilic channel surfaces may be fabricated using methods such as rapid prototyping in polydimethylsiloxane. The channel surface can be rendered hydrophobic either by silanization or heat treatment. For example, (tridecafluoro-1,1,2,2-tetrahydrooctyl)-1-trichlorosilane (United Chemical Technologies, Inc.) vapor may be applied to the inlets of the substrate with dry nitrogen as a carrier gas to silanize the channel surface.

Once plugs have been split into separate channels, further reactions can be performed by merging the split plugs with other plugs containing further reactants.

Manipulation of plugs and reagents/products contained therein can also be accomplished in a fluid flow using methods or techniques such as dielectrophoresis. Dielectrophoresis is believed to produce movement of dielectric objects, which have no net charge, but have regions that are positively or negatively charged in relation to each other. Alternating, nonhomogeneous electric fields in the presence of plugs and/or particles, cause the plugs and/or particles to become electrically polarized and thus to experience dielectrophoretic forces. Depending on the dielectric polarizability of the particles and the suspending medium, dielectric particles will move either toward the regions of high field strength or low field strength. Using conventional semiconductor technologies, electrodes can be fabricated onto a substrate to control the force fields in a micro fabricated device. Dielectrophoresis is particularly suitable for moving objects that are electrical conductors. The use of AC current is preferred, to prevent permanent alignment of ions. Megahertz frequencies are suitable to provide a net alignment, attractive force, and motion over relatively long distances.

Radiation pressure can also be used in the invention to deflect and move plugs and reagents/products contained therein with focused beams of light such as lasers. Flow can also be obtained and controlled by providing a thermal or pressure differential or gradient between one or more channels of a substrate or in a method according to the invention.

Preferably, both the fluid comprising the plugs and the carrier fluid have a relatively low Reynolds Number, for example  $10^{-2}$ . The Reynolds Number represents an inverse relationship between the density and velocity of a fluid and its viscosity in

a channel of given cross-sectional dimension. More viscous, less dense, slower moving fluids will have a lower Reynolds Number, and are easier to divert, stop, start, or reverse without turbulence. Because of the small sizes and slow velocities, fabricated fluid systems are often in a low Reynolds number regime ( $Re \ll 1$ ). In this regime, inertial effects, which cause turbulence and secondary flows, are negligible and viscous effects dominate the dynamics. These conditions are advantageous for analysis, and are provided by devices according to the invention. Accordingly the devices according to the invention are preferably operated at a Reynolds number of less than 100, typically less than 50, preferably less than 10, more preferably less than 5, most preferably less than 1.

## **DETECTION AND MEASUREMENT**

The systems of the present invention are well suited for performing optical measurements using an apparatus such as a standard microscope. For example, PDMS is transparent in the visible region. When it is used to construct a substrate, a glass or quartz cover slip can be used to cover or seal a PDMS network, thereby constructing a set of channels that can be characterized using visible, UV, or infrared light. Preferably, fluorescent measurements are performed, instead of absorption measurements, since the former has a higher sensitivity than the latter. When the plugs are being monitored by optical measurements, the refractive index of the carrier-fluid and the plug-fluids are preferably substantially similar, but they can be different in certain cases.

In a plug-based system according to the invention, the relative concentrations (or changes in concentrations) can be typically measured in a straightforward fashion. In some instances, the use of plugs to perform quantitative optical measurements of, for example, absolute concentrations is complicated by the presence of non-horizontal oil/water interfaces surrounding the plugs. These curved interfaces act as lenses, and may lead to losses of emitted light or optical distortions. Such distortions may adversely affect or prevent visual observation of growing protein crystals, for example. Exact modeling of these losses is usually difficult because of the complicated shape that this interface may adopt at the front and back of a plug moving in a non-trivial pressure gradient.

This problem can be overcome or minimized in accordance with the invention by using a technique such as refractive index matching. The losses and distortions

depend on the difference between the refractive index ( $\eta_D$ ) of the aqueous phase and the refractive index of the immiscible carrier-fluid. Preferably, the carrier-fluid used in an analysis have refractive indices that are substantially similar to those of water and aqueous buffers (TABLE 1), *e.g.*, fluorinated oils having refractive indices near that of water close to the sodium D line at 589 nm.

Preferably, for applications involving detection or measurement, the carrier-fluids used are those having refractive indices that match those of commonly used aqueous solutions at the wavelengths used for observation. To calibrate a system for quantitative fluorescence measurements, the plugs preferably contain known concentrations of fluorescein. Preferably, the fluorescence originating from the plugs are measured and then compared with the fluorescence arising from the same solution of fluorescein in the channel in the absence of oil. It is believed that when the refractive indexes are matched, the intensity (I) of fluorescence arising from the plugs will be substantially similar or equal to the intensity of the fluorescence from the aqueous solutions after making adjustments for the fraction of the aqueous stream:

$$I_{\text{plug}} = I_{\text{solution}} * V_{\text{water}} / (V_{\text{water}} + V_{\text{oil}}) \quad \text{Eqn. (3)}$$

where V is the volumetric flow rate of the fluid streams. It is expected that smaller plugs with a higher proportion of curved interfaces will show larger deviations from ideal plug behavior, *i.e.*, those smaller plugs will tend to cause greater optical distortion. If necessary, measurements are performed partly to determine the errors associated with refractive index mismatch. Information from these measurements is useful when unknown fluids are analyzed, or when a compromise between matching the refractive index and matching the viscosities of the two fluids is required.

TABLE 1. Physical properties of some fluids used in certain embodiments of the microfluidic devices.

Fluid	Refractive index, $\eta_D$	Viscosity, $\mu$ [mPa- s]
water	1.3330	1.00
aqueous PBS buffer, 1%	1.3343	1.02
aqueous PBS buffer, 10%	1.3460	1.25
perfluorohexane	1.251	0.66
perfluoro(methylcyclohexane)	1.30	1.56
perfluoro(1,3-dimethylcyclohexane)	1.2895	1.92
perfluorodecaline	1.314	5.10

perfluoroperhydrofluorene	1.3289	9.58
perfluoroperhydrophenanthrene	1.3348	28.4
perfluorotoluene	1.3680	N/A
hexafluorobenzene	1.3770	N/A

The detector can be any device or method for evaluating a physical characteristic of a fluid as it passes through the detection region. Examples of suitable detectors include CCD detectors. A preferred detector is an optical detector, such as a microscope, which may be coupled with a computer and/or other image processing or enhancement devices to process images or information produced by the microscope using known techniques. For example, molecules can be analyzed and/or sorted by size or molecular weight. Reactions can be monitored by measuring the concentration of a product produced or the concentration of a reactant remaining at a given time. Enzymes can be analyzed and/or sorted by the extent to which they catalyze a chemical reaction of an enzyme's substrate (conversely, an enzyme's substrate can be analyzed (*e.g.*, sorted) based on the level of chemical reactivity catalyzed by an enzyme). Biological particles or molecules such as cells and virions can be sorted according to whether they contain or produce a particular protein, by using an optical detector to examine each cell or virion for an optical indication of the presence or amount of that protein. A chemical itself may be detectable, for example by a characteristic fluorescence, or it may be labeled or associated with a tag that produces a detectable signal when, for example, a desired protein is present, or is present in at least a threshold amount.

Practically any characteristic of a chemical can be identified or measured using the techniques according to the invention, provided that the characteristic or characteristics of interest for analysis can be sufficiently identified and detected or measured to distinguish chemicals having the desired characteristic(s) from those which do not. For example, particulate size, hydrophobicity of the reagent versus carrier-fluids, etc. can be used as a basis for analyzing (*e.g.*, by sorting) plug-fluids, reaction products or plugs.

In a preferred embodiment, the plugs are analyzed based on the intensity of a signal from an optically detectable group, moiety, or compound (referred to here as "tag") associated with them as they pass through a detection window or detection region in the device. Plugs having an amount or level of the tag at a selected threshold or within a selected range can be directed into a predetermined outlet or

branch channel of the substrate. The tag signal may be collected by a microscope and measured by a detector such as a photomultiplier tube (PMT). A computer is preferably used to digitize the PMT signal and to control the flow through methods such as those based on valve action. Alternatively, the signal can be recorded or  
5 quantified as a measure of the tag and/or its corresponding characteristic or marker, *e.g.*, for the purpose of evaluation and without necessarily proceeding to, for example, sort the plugs.

In one embodiment according to the invention, a detector such as a photodiode is larger in diameter than the width of the channel, forming a detection region that is  
10 longer (along the length of channel) than it is wide. The volume of such a detection region is approximately equal to the cross sectional area of the channel above the diode multiplied by the diameter of the diode.

To detect a chemical or tag, or to determine whether a chemical or tag has a desired characteristic, the detection region may include an apparatus (*e.g.*, a light  
15 source such as a laser, laser diode, high intensity lamp such as mercury lamp) for stimulating a chemical or tag for that characteristic to, for example, emit measurable light energy. In embodiments where a lamp is used, the channels are preferably shielded from light in all regions except the detection region. In embodiments where a laser is used, the laser can be set to scan across a set of detection regions. In  
20 addition, laser diodes may be fabricated into the same substrate that contains the analysis units. Alternatively, laser diodes may be incorporated into a second substrate (*i.e.*, a laser diode chip) that is placed adjacent to the analysis or sorter substrate such that the laser light from the diodes shines on the detection region(s).

In preferred embodiments, an integrated semiconductor laser and/or an  
25 integrated photodiode detector are included on the silicon wafer in the device according to the invention. This design provides the advantages of compactness and a shorter optical path for exciting and/or emitted radiation, thus minimizing, for example, optical distortion.

As each plug passes into the detection region, it may be examined for a  
30 characteristic or property, *e.g.*, a corresponding signal produced by the plug, or the chemicals contained in the plugs, may be detected and measured to determine whether or not a given characteristic or property is present. The signal may correspond to a characteristic qualitatively or quantitatively. Typically, the amount of signal corresponds to the degree to which a characteristic is present. For example, the

strength of the signal may indicate the size of a molecule, the amount of products(s) formed in a reaction, the amount of reactant(s) remaining, the potency or amount of an enzyme expressed by a cell, a positive or negative reaction such as binding or hybridization of one molecule to another, or a chemical reaction of a substrate catalyzed by an enzyme. In response to the signal, data can be collected and/or a flow control can be activated, for example, to direct a plug from one channel to another. Thus, for example, chemicals present in a plug at a detection region may be sorted into an appropriate branch channel according to a signal produced by the corresponding examination at a detection region. Optical detection of molecular characteristics or the tag associated with a characteristic or property that is chosen for sorting, for example, may be used. However, other detection techniques, for instance electrochemistry, or nuclear magnetic resonance, may also be employed.

In one embodiment according to the invention, a portion of a channel corresponds to an analysis unit or detection region and includes a detector such as a photodiode preferably located in the floor or base of the channel. The detection region preferably encompasses a receive field of the photodiode in the channel, which receive field has a circular shape. The volume of the detection region is preferably the same as, or substantially similar, to the volume of a cylinder with a diameter equal to the receive field of the photodiode and a height equal to the depth of the channel above the photodiode.

The signals from the photodiodes may be transmitted to a processor via one or more lines representing any form of electrical communication (including *e.g.* wires, conductive lines etched in the substrate, etc.). The processor preferably acts on the signals, for example by processing them into values for comparison with a predetermined set of values for analyzing the chemicals. In one embodiment, a value corresponds to an amount (*e.g.*, intensity) of optically detectable signal emitted from a chemical which is indicative of a particular type or characteristic of a chemical giving rise to the signal. The processor preferably uses this information (*i.e.*, the values) to control active elements in a discrimination region, for example to determine how to sort the chemicals (*e.g.*, valve action).

When more than one detection region is used, detectors such as photodiodes in a laser diode substrate are preferably spaced apart relative to the spacing of the detection regions in the analysis unit. That is, for more accurate detection, the detectors are placed apart at the same spacing as the spacing of the detection region.

A processor can be integrated into the same substrate that contains at least one analysis unit, or it can be separate, *e.g.*, an independent microchip connected to the analysis unit containing substrate via electronic leads that connect to the detection region(s) and/or to the discrimination region(s), such as by a photodiode. The  
5 processor can be a computer or microprocessor, and is typically connected to a data storage unit, such as computer memory, hard disk, or the like, and/or a data output unit, such as a display monitor, printer and/or plotter.

The types and numbers of chemicals based on the detection of, for example, a tag associated with or bound to the chemical passing through the detection region, can  
10 be calculated or determined, and the data obtained can be stored in the data storage unit. This information can then be further processed or routed to a data outlet unit for presentation, *e.g.* histograms representing, for example, levels of a protein, saccharide, or some other characteristic of a cell surface in the sample. The data can also be presented in real time as the sample flows through a channel.

15 If desired, a substrate may contain a plurality of analysis units, *i.e.*, more than one detection region, and a plurality of branch channels that are in fluid communication with and that branch out from the discrimination regions. It will be appreciated that the position and fate of the reagents in the discrimination region can be monitored by additional detection regions installed, for example, immediately  
20 upstream of the discrimination region and/or within the branch channels immediately downstream of the branch point. The information obtained by the additional detection regions can be used by a processor to continuously revise estimates of the velocity of the reagents in the channels and to confirm that molecules, particles, and substances having a selected characteristic enter the desired branch channel.

25 In one embodiment, plugs are detected by running a continuous flow through a channel, taking a spatially resolved image with a CCD camera, and converting the relevant distance traversed by the plugs into time.

In another embodiment, plugs are detected following their exit through a channel point leading to a mass spectrometer (MS), *e.g.*, an electrospray MS. In this  
30 embodiment, time-resolved information (*e.g.*, mass spectrum) can be obtained when the flow rate and the distance traversed by the plugs are known. This embodiment is preferable when one wants to avoid using a label.

## VARYING THE CONCENTRATION OF REAGENTS INSIDE PLUGS

The various devices and methods according to the invention allow the control and manipulation of plug composition and properties. For example, they allow the variation of reagent concentration inside plugs. In one aspect according to the invention, the concentrations of the reagents in the plugs are varied by changing the relative flow rates of the plug-fluids. This is possible in conventional systems, but is complicated by problems of slow mixing and dispersion. Methods according to the invention are convenient for simultaneously testing a large number of experimental conditions (“screening”) because the concentrations can be changed within a single setup. Thus, for example, syringes do not have to be disconnected or reconnected, and the inlets of a system according to the invention do not have to be refilled when using the above technique for varying the reagent concentrations in plugs.

The concentration of aqueous solutions inside plugs can be varied by changing the flow rates of the plug-fluid streams (see FIG. 25, discussed in detail in Example 11). In FIG. 25, water is introduced into inlets 251-258 at various flow rates while perfluorodecaline flows through channels 259-261. In aqueous laminar flows, the ratio of flow rates of laminar streams in a microfluidic channel may be varied from about 1000:1 and 1:1000, preferably 100:1 to 1:100, more preferably 1:20 to 20:1.

The actual relative concentrations may be quantified using a solution of known concentration of fluorescein. In this example, the intensity of a fluorescein stream can be used as a reference point to check for fluctuations of the intensity of the excitation lamp.

To illustrate an advantage offered by the invention over other techniques, consider the following example. The method(s) described in this example may be modified or incorporated for use in various types of applications, measurements, or experiments. Two or more reagents, such as reagents A, B, C, are to be screened for the effects of different concentrations of reagents on some process, and the conditions under which an inhibitor can terminate the reaction of the enzyme with a substrate at various enzyme and substrate concentrations is of interest. If A is an enzyme, B a substrate, and C an inhibitor, a substrate with 5 inlets such as A/water/B/water/C inlets can be used, and the flow rates at which A, B and C are pumped into the substrate can be varied. Preferably, the size of the plug is kept constant by keeping the total flow rate of all plug-fluids constant. Because different amounts of A, B, C are introduced, the concentrations of A, B, C in the plugs will vary. The concentrations of the starting solutions need not be changed and one can rapidly

screen all combinations of concentrations, as long as an enzymatic reaction or other reactions being screened can be detected or monitored. Because the solutions are flowing and the transport is linear, one can determine not only the presence or absence of an interaction or reaction, but also measure the rate at which a reaction occurs. Thus, both qualitative and quantitative data can be obtained. In accordance with the invention, the substrate typically need not be cleaned between runs since most, if not all, reagents are contained inside the plugs and leave little or no residue.

To extend the range over which concentrations can be varied, one may use a combination of, say, reagents A, B, C, D, E and prepare a micromolar solution of A, a mM solution of B, and a M solution of C, and so on. This technique may be easier than controlling the flow rate over a factor of, say, more than  $10^6$ . Using other known methods is likely to be more difficult in this particular example because changing the ratio of reagents inside the plug requires changing the size of the plugs, which makes merging complicated.

In another example, one may monitor RNA folding in a solution in the presence of different concentrations of  $Mg^{2+}$  and  $H^+$ . Previously, this was done using a stopped-flow technique, which is time consuming and requires a relatively large amount of RNA. Using a method according to the invention, an entire phase space can be covered in a relatively short period of time (*e.g.*, approximately 15 minutes) using only  $\mu L$ /minute runs instead of the usual ml/shot runs.

These particular examples highlight the usefulness according to the invention in, for example, the study of protein/protein interaction mediation by small molecules, protein/RNA/DNA interaction mediation by small molecules, or binding events involving a protein and several small molecules. Other interactions involving several components at different concentrations may also be studied using the method according to the invention.

## GENERATING GRADIENTS IN A SERIES OF PLUGS

In one aspect according to the invention, dispersion in a pressure-driven flow is used to generate a gradient in a continuous stream of plug-fluid. By forming plugs, the gradient is “fixed”, *i.e.*, the plugs stop the dispersion responsible for the formation of the gradient. Although the stream does not have to be aqueous, an aqueous stream is used as a non-limiting example below.

FIG. 44 illustrates how an initial gradient may be created by injecting a discrete aqueous sample of a reagent B into a flowing stream of water. In FIG. 44a), the water + B mixture flowed through channel 441. Channels 443 and 445 contain substantially non-flowing water + B mixture. Water streams were introduced into inlets 440, 442, 444, 446-448 while oil streams flowed through channels 449-452. FIG. 44d) shows a multiple-inlet system through which reagents A, B, and C are introduced through inlets 453, 454, and 455. A pressure-driven flow is allowed to disperse the reagent along the channel, thus creating a gradient of B along the channel. The gradient can be controlled by suitable adjustments or control of the channel dimensions, flow rates, injection volume, or frequency of sample or reagent addition in the case of multiple injections. This gradient is then "fixed" by the formation of plugs. Several of these channels are preferably combined into a single plug-forming region or section. In addition, complex gradients with several components may be created by controlling the streams. This technique may be used for various types of analysis and synthesis. For example, this technique can be used to generate plugs for protein or lysozyme crystallization. FIG. 42 shows an experiment involving the formation of gradients by varying the flow rates (the experimental details are described in Example 17). FIG. 43 illustrates the use of gradients to form lysozyme crystals (the experimental details are described in Example 18).

## **FORMATION AND ISOLATION OF UNSTABLE INTERMEDIATES**

The devices and methods according to the present invention may also be used for synthesizing and isolating unstable intermediates. The unstable intermediates that are formed using a device according to the invention are preferably made to undergo further reaction and/or analysis or directed to other parts of the device where they may undergo further reaction and/or analysis. In one aspect, at least two different plug-fluids, which together react to form an unstable intermediate, are used. As the unstable intermediates form along the flow path of the substrate, information regarding, for example, the reaction kinetics can be obtained. Such unstable intermediates can be further reacted with another reagent by merging plugs containing the unstable intermediate with another plug-fluid. Examples of unstable intermediates include, but are not limited to, free radicals, organic ions, living ionic polymer chains, living organometallic polymer chains, living free radical polymer chains, partially

folded proteins or other macromolecules, strained molecules, crystallization nuclei, seeds for composite nanoparticles, etc..

One application of devices according to the invention that involves the formation of unstable intermediates is high-throughput, biomolecular structural characterization. It can be used in both a time-resolved mode and a non-time resolved mode. Unstable (and/or reactive) intermediates (for example hydroxyl radicals (OH)) can be generated in one microfluidic stream (for example using a known reaction of metal ions with peroxides). These reactive species can be injected into another stream containing biomolecules, to induce reaction with the biomolecules. The sites on the biomolecule where the reaction takes place correlate with how accessible the sites are. This can be used to identify the sites exposed to the solvent or buried in the interior of the biomolecule, or identify sites protected by another biomolecule bound to the first one. This method could be applied to understanding structure in a range of biological problems. Examples include but are not limited to protein folding, protein-protein interaction (protein footprinting), protein-RNA interaction, protein-DNA interactions, and formation of protein-protein complexes in the presence of a ligand or ligands (such as a small molecule or another biomolecule). Interfacing such a system to a mass-spectrometer may provide a powerful method of analysis.

Experiments involving complex chemical systems can also be performed in accordance with the invention. For example, several unstable intermediates can be prepared in separate plugs, such as partially folded forms of proteins or RNA. The reactivity of the unstable intermediates can then be investigated when, for example, the plugs merge.

## **25 DYNAMIC CONTROL OF SURFACE CHEMISTRY**

Control of surface chemistry is particularly important in microfluidic devices because the surface-to-volume ratio increases as the dimensions of the systems are reduced. In particular, surfaces that are generally inert to the adsorption of proteins and cells are invaluable in microfluidics. Polyethylene glycols (PEG) and oligoethylene glycols (OEG) are known to reduce non-specific adsorption of proteins on surfaces. Self-assembled monolayers of OEG-terminated alkane thiols on gold have been used as model substrates to demonstrate and carefully characterize resistance to protein adsorption. Surface chemistry to which the solutions are exposed can be controlled by creating self-assembled monolayers on surfaces of silicone or

grafting PEG-containing polymers on PDMS and other materials used for fabrication of microfluidic devices. However, such surfaces may be difficult to mass-produce, and they may become unstable after fabrication, *e.g.*, during storage or use.

5 In one aspect according to the invention, the reagents inside aqueous plugs are exposed to the carrier-fluid/plug-fluid interface, rather than to the device/plug-fluid interface. Using perfluorocarbons as carrier-fluids in surface studies are attractive because they are in some cases more biocompatible than hydrocarbons or silicones. This is exemplified by the use of emulsified perfluorocarbons as blood substitutes in humans during surgeries. Controlling and modifying surface chemistry to which the  
10 reagents are exposed can be achieved simply by introducing appropriate surfactants into the fluorinated PFD phase.

In addition, the use of surfactants can be advantageous in problems involving unwanted adsorption of substances or particles, for example, on the channel walls. Under certain circumstances or conditions, a reaction may occur in one or more  
15 channels or regions of the substrate that give rise to particulates that then adhere to the walls of the channels. When they collect in sufficient number, the adhering particulates may thus lead or contribute to channel clogging or constriction. Using methods according to the invention, such as using one or more suitable surfactants, would prevent or minimize adhesion or adsorption of unwanted substances or  
20 particles to the channel walls thereby eliminating or minimizing, for example, channel clogging or constriction.

Encapsulated particulates may be more effectively prevented from interfering with desired reactions in one or more channels of the substrate since the particulates would be prevented from directly coming into contact with reagents outside the plugs  
25 containing the particulates.

Fluorosurfactants terminated with OEG-groups have been shown to demonstrate biocompatibility in blood substitutes and other biomedical applications. Preferably, oil-soluble fluorosurfactants terminated with oligoethylene groups are used to create interfaces in the microfluidic devices in certain applications.  
30 Surfactants with well-defined composition may be synthesized. This is preferably followed by the characterization of the formation of aqueous plugs in the presence of those surfactants. Their inertness towards nonspecific protein adsorption will also be characterized. FIG. 24 shows examples of fluorinated surfactants that form monolayers that are: resistant to protein adsorption; positively charged; and negatively

charged. For OEG-terminated surfactants, high values of  $n$  ( $\geq 16$ ) are preferred for making these surfactants oil-soluble and preventing them from entering the aqueous phase. In FIG. 24, compounds that have between about 3 to 6 EG units attached to a thiol are sufficient to prevent the adsorption of proteins to a monolayer of thiols on gold, and are thus preferred for inertness. In addition, surfactants that have been shown to be biocompatible in fluorocarbon blood substitutes may also be used as additives to fluorinated carrier fluids.

## APPLICATIONS: KINETIC MEASUREMENTS AND ASSAYS

The devices and methods of the invention can be also used for performing experiments typically done in, for example, a microtiter plate where a few reagents are mixed at many concentrations and then monitored and/or analyzed. This can be  
5 done, for example, by forming plugs with variable composition, stopping the flow if needed, and then monitoring the plugs. The assays may be positionally encoded, that is, the composition of the plug may be deduced from the position of the plug in the channel. The devices and methods of the invention may be used to perform high-throughput screening and assays useful, for example, in diagnostics and drug  
10 discovery. In particular, the devices and methods of the invention can be used to perform relatively fast kinetic measurements.

The ability to perform fast measurements has revolutionized the field of biological dynamics. Examples include studies of protein C folding and cytochrome C folding. These measurements are performed using fast kinetics instruments that  
15 rely on turbulence to mix solutions rapidly. To achieve turbulence, the channels and the flow rates normally have to be large, which require large sample volumes. Commercially available instruments for performing rapid kinetics studies can access times on the order of 1 ms. The improved on-chip version of a capillary glass-ball mixer gives a dead time of about 45  $\mu$ s with a flow rate of more than about 0.35  
20 mL/sec. The miniaturization of these existing methods is generally limited by the requirement of high flow rate to generate turbulence. Miniaturization afforded by devices and methods according to the invention is advantageous because it allows, for example, quantitative characterization, from genetic manipulation and tissue isolation, of a much wider range of biomolecules including those available only in minute  
25 quantities, *e.g.*, microgram quantities. In addition, these new techniques and instruments afford a wide range of accessible time scales for measurements.

Time control is important in many chemical and biochemical processes. Typically, stopped-flow type instruments are used to measure reaction kinetics. These types of instruments typically rely on turbulent flow to mix the reagents and  
30 transport them while minimizing dispersion. Because turbulent flow occurs in tubes with relatively large diameters and at high flow rates, stopped-flow instruments tend to use large volumes of reagents (*e.g.*, on the order of ml/s). A microfluidic analog of a stopped-flow instrument that consumes small volumes of reagents, *e.g.*, on the order of  $\mu$ L/min, would be useful in various applications such as diagnostics. Thus far,

microfluidic devices have not been able to compete with stopped-flow instruments because EOF is usually too slow (although it has less dispersion), and pressure-driven flows tend to suffer from dispersion. In addition, mixing is usually very slow in both systems.

5            Stopped-flow instruments typically have sub-millisecond mixing, and could be useful for experiments where such fast mixing is required. The devices and methods of the invention allow sub-millisecond measurements as well. In particular, the present invention can be advantageous for reactions that occur on a sub-second but slower than about 1 or about 10 millisecond (ms) time scale or where the primary  
10        concern is the solute volume required to perform a measurement.

             Further, if a plug is generated with two reactive components, it can serve as a microreactor as the plug is transported down a channel. A plug's property, such as its optical property, can then be measured or monitored as a function of distance from a given point or region of a channel or substrate. When the plugs are transported at a  
15        constant flow rate, a reaction time can be directly determined from a given distance. To probe the composition of the plug as it exits a channel, the contents of the plugs may be injected into a mass spectrometer (*e.g.*, an electrospray mass spectrometer) from an end of the channel. The time corresponding to the end of the channel may be varied by changing the flow rate. Multiple outlets may be designed along the  
20        channels to probe, for example, the plug contents using a mass spectrometer at multiple distance and time points.

             An advantage of the devices and methods of the invention is that when plugs are formed continuously, intrinsically slow methods of observation can be used. For example, plugs flowing at a flow rate of about 10 cm/s through a distance of about 1  
25        mm from a point of origin would be about 10 ms old. In this case, the invention is particularly advantageous because it allows the use of a relatively slow detection method to repeatedly perform a measurement of, for example, 10 ms-old plugs for virtually unlimited time. In contrast, to observe a reaction in a stopped-flow experiment at a time, say, between about 9 and 11 ms, one only has about 2 ms to take  
30        data. Moreover, the present invention allows one to obtain information involving complex reactions at several times, simultaneously, simply by observing the channels at different distances from the point of origin.

             The reaction time can be monitored at various points along a channel – each point will correspond to a different reaction or mixing time. Given a constant fluid

flow rate  $u$ , one may determine a reaction time corresponding to the various times  $t_1, t_2, t_3, \dots, t_n$  along the channel. Thus, if the distance between each pair of points  $n$  and  $n-1$ , which correspond to time  $t_n$  and  $t_{n-1}$ , are the same for a given value of  $n$ , then the reaction time corresponding to point  $n$  along the channel may be calculated from  $t_n =$   
 5  $nl/u$ . Thus, one can conveniently and repeatedly monitor a reaction at any given time  $t_n$ . In principle, the substrate of the present invention allows one to cover a greater time period for monitoring a reaction by simply extending the length of the channel that is to be monitored at a given flow rate or by decreasing the flow rate over a given channel distance (see, for example, Fig. 22). In FIG. 22, the following can be  
 10 introduced into the following inlets: enzyme into inlets 2201, 2205, 2210, 2215; buffer into inlets 2202, 2206, 2211, 2216; substrate into inlets 2203, 2207, 2212, 2217; buffer into inlets 2204, 2208, 2213, 2218; inhibitor into inlets 2228, 2209, 2214, 2219. In FIG. 22, a carrier fluid flows through the channel portions 2220, 2221, 2222, 2223 from left to right. The channel portions enclosed by the dotted square  
 15 2224, 2225, 2226, 2227 represent fields of view for the purpose of monitoring a reaction at various points along the channel.

The same principle applies to an alternate embodiment of the present invention, where the distance corresponding to a point  $n$  from a common point of origin along the channel differs from that corresponding to another channel by a  
 20 power or multiples of 2. This can be seen more clearly from the following discussion. Given a constant fluid flow rate  $u$ , one may determine a reaction time corresponding to the various times  $t_1, t_2, t_3, \dots, t_n$  along the channel. Thus, if the distance between each pair of points  $n$  and  $n-1$ , which correspond to time  $t_n$  and  $t_{n-1}$ , are the same for a given value of  $n$ , then the reaction time corresponding to point  $n$  along the channel  
 25 may be calculated from  $t_n = nl/u$ . In a relatively more complex channel geometry such as the one shown in FIG. 22(c), the corresponding equation is given by  $t_n = 2^{(n-1)}l/u$ , which shows that the reaction times at various points  $n$  varies as a power or multiples of 2.

In one aspect, channels according to the invention are used that place into a  
 30 field of view different regions that correspond to different time points of a reaction. The channels according to the invention allow various measurements such as those of a complete reaction profile, a series of linearly separated time points (such as those required for the determination of an initial reaction velocity in enzymology), and a series of exponentially separated time points (*e.g.*, first-order kinetic measurements or

other exponential analysis). Time scales in an image frame can be varied from microseconds to seconds by, for example, changing the total flow rate and channel length.

FIG. 22A-D show various examples of geometries of microfluidic channels according to the invention for obtaining kinetic information from single optical images. The illustrated channel systems are suitable for studies such as measurements of enzyme kinetics in the presence of inhibitors. The device shown in FIG. 22D has multiple outlets that can be closed or opened. In the device shown in FIG. 22D, preferably only one outlet is open at a time. At the fastest flow rates, the top outlet is preferably open, providing reduced pressure for flow through a short fluid path  $l$ . As flow rates are reduced, other outlets are preferably opened to provide a longer path and a larger dynamic range for measurements at the same total pressure.

In FIG. 22,  $n$  is the number of segments for a given channel length  $l$  traveled by the reaction mixture in time  $t_n$  (see p. 73, second full paragraph for a related discussion of reaction times and channel lengths). These systems allow the control of the ratio of reagents by varying the flow rates. The systems also allow a quick quantification of enzyme inhibition.

For example, ribonuclease A can be used with known inhibitors such as nucleoside complexes of vanadium and oxovanadium ions and other small molecules such as 5'-diphosphoadenosine 3'-phosphate and 5'-diphosphoadenosine 2'-phosphate. The kinetics may be characterized by obtaining data and making Lineweaver-Burk, Eadie-Hofstee, or Hanes-Wolfe plots in an experiment. The experiment can be accomplished using only a few microliters of the protein and inhibitor solutions. This capability is particularly useful for characterizing new proteins and inhibitors that are available in only minute quantities, *e.g.*, microgram quantities.

Kinetic measurements of reactions producing a fluorescent signal can be performed according to the invention by analyzing a single image obtained using, for example, an optical microscope. Long exposures (*i.e.*, about 2 seconds) have been used to measure fast (*i.e.*, about 2 milliseconds) kinetics. This was possible because in a continuous flow system, time is simply equal to the distance divided by the flow rate. In the continuous flow regime in accordance with the invention, the accessible time scales can be as slow as about 400 seconds, which can be extended to days or weeks if the flow is substantially slowed down or stopped. Typically, the time scale

depends on the length of the channel (*e.g.*, up to about 1 meter on a 3-inch diameter chip) at a low flow rate of about 1 mm/s, which is generally limited by the stability of the syringe pumps, but may be improved using pressure pumping. The fastest time scale is typically limited by the mixing time, but it may be reduced to about 20  $\mu$ s in the present invention. Mixing time is generally limited by two main factors: (1) the mixing distance (*e.g.*, approximately 10-15 times the width of the channel); and (2) the flow rates (*e.g.*, approximately 400 mm/s, depending on the capillary number and the pressure drop required to drive the flow). Mixing distance is normally almost independent of the flow rate. By using suitable designs of microfluidic channels, or networks of microfluidic channels, a wide range of kinetic experiments can be performed.

Reducing the channel size generally reduces the mixing time but it also increases the pressure required to drive a flow. The equation below describes the pressure drop,  $\Delta P$  (in units of Pa), for a single-phase flow in a rectangular capillary:

$$\Delta P = 28.42 U \mu l / a b \quad \text{Eqn. (9)}$$

where  $U$  (m/s) is the velocity of the flow,  $\mu$  (kilogram/meter-second,  $\text{kg m}^{-1} \text{s}^{-1}$ ) is the viscosity of the fluid,  $l$  (m) is the length of the capillary,  $a$  (m) is the height of the capillary, and  $b$  (m) is the width of the capillary. There is generally a physical limitation on how much pressure a microfluidic device can withstand, *e.g.*, about 3 atm for PDMS and about 5 atm for glass and Si. This limitation becomes crucial for very small channels and restricts the total length of the channel and thus the dynamic range (the total distance through which this flow rate can be maintained at a maximum pressure divided by the mixing distance) of the measurement.

FIG. 23 depicts a microfluidic network according to the invention with channel heights of 15 and 2  $\mu$ m. The channel design shown in FIG. 23 illustrates how a dynamic range of about 100 can be achieved by changing the cross-section of the channels. Under these conditions, mixing time in the winding channel is estimated to be about 25  $\mu$ s and observation time in the serpentine channels are estimated to be about 3 ms.

As FIG. 23 shows, rapid mixing occurs in the 2  $\mu$ m x 1  $\mu$ m (height x width) channels and measurements are taken in the 2  $\mu$ m x 3  $\mu$ m) channels. The table in FIG. 23 shows the distribution of the pressure drop, flow velocity, and flow time as a function of the channel cross-section dimensions. A transition from a 1- $\mu$ m wide to 3- $\mu$ m wide channels should occur smoothly, with plugs maintaining their stability and

decreasing their velocity when they move from a 20- $\mu\text{m}$  wide into a 50- $\mu\text{m}$  wide channel. Changing the width of the channel can be easily done and easily incorporated into a mask design. The height of the channel can be changed by, for example, using photoresist layers having two different heights that are sequentially spun on, for example, a silicon wafer. A two-step exposure method may then be used to obtain a microfluidic network having the desired cross-section dimensions.

In another example of the application of the devices and methods of the present invention, the folding of RNase P catalytic domain (P RNA C-domain) of *Bacillus subtilis* ribozyme can be investigated using channels according to the invention. RNA folding is an important problem that remains largely unsolved due to limitations in existing technology. Understanding the rate-limiting step in tertiary RNA folding is important in the design, modification, and elucidation of the evolutionary relationship of functional RNA structures.

The folding of P RNA C-domain is known to involve three populated species: unfolded (U), intermediate (I), and native (N, folded) states. Within the first millisecond, the native secondary structure and some of the tertiary structure would have already folded (the RNA is compacted to about 90% of the native dimension) but this time regime cannot be resolved using conventional techniques such as stopped-flow. Using channels and substrates according to the invention, the time-dependence of the P RNA folding kinetics upon the addition of  $\text{Mg}^{2+}$  can be studied.

Various types of assays (*e.g.*, protein assays) known in the art, including absorbance assays, Lowry assays, Hartree-Lowry assays, Biuret assays, Bradford assays, BCA assays, etc., can be used, or suitably adapted for use, in conjunction with the devices and methods of the invention. Proteins in solution absorb ultraviolet light with absorbance maxima at about 280 and 200 nm. Amino acids with aromatic rings are the primary reason for the absorbance peak at 280 nm. Peptide bonds are primarily responsible for the peak at 200 nm. Absorbance assays offer several advantages. Absorbance assays are fast and convenient since no additional reagents or incubations are required. No protein standard need be prepared. The assay does not consume the protein and the relationship of absorbance to protein concentration is linear. Further, the assay can be performed using only a UV spectrophotometer.

The Lowry assay is an often-cited general use protein assay. It was the method of choice for accurate protein determination for cell fractions, chromatography fractions, enzyme preparations, and so on. The bicinchoninic acid

(BCA) assay is based on the same principle, but it can be done in one step. However, the modified Lowry is done entirely at room temperature. The Hartree version of the Lowry assay, a more recent modification that uses fewer reagents, improves the sensitivity with some proteins, is less likely to be incompatible with some salt solutions, provides a more linear response, and is less likely to become saturated.

In the Hartree-Lowry assay, the divalent copper ion forms a complex with peptide bonds under alkaline conditions in which it is reduced to a monovalent ion. Monovalent copper ion and the radical groups of tyrosine, tryptophan, and cysteine react with Folin reagent to produce an unstable product that becomes reduced to molybdenum/tungsten blue. In addition to standard liquid handling supplies, the assay only requires a spectrophotometer with infrared lamp and filter. Glass or inexpensive polystyrene cuvettes may be used.

The Biuret assay is similar in principle to that of the Lowry, however it involves a single incubation of 20 minutes. In the Biuret assay, under alkaline conditions, substances containing two or more peptide bonds form a purple complex with copper salts in the reagent. The Biuret assay offer advantages in that there are very few interfering agents (ammonium salts being one such agent), and there were fewer reported deviations than with the Lowry or ultraviolet absorption methods. However, the Biuret consumes much more material. The Biuret is a good general protein assay for batches of material for which yield is not a problem. In addition to standard liquid handling supplies, a visible light spectrophotometer is needed, with maximum transmission in the region of 450 nm. Glass or inexpensive polystyrene cuvettes may be used.

The Bradford assay is very fast and uses about the same amount of protein as the Lowry assay. It is fairly accurate and samples that are out of range can be retested within minutes. The Bradford is recommended for general use, especially for determining protein content of cell fractions and assessing protein concentrations for gel electrophoresis. Assay materials including color reagent, protein standard, and instruction booklet are available from Bio-Rad Corporation. The assay is based on the observation that the absorbance maximum for an acidic solution of Coomassie Brilliant Blue G-250 shifts from 465 nm to 595 nm when binding to protein occurs. Both hydrophobic and ionic interactions stabilize the anionic form of the dye, causing a visible color change. The assay is useful since the extinction coefficient of a dye-albumin complex solution is constant over a 10-fold concentration range. In addition

to standard liquid handling supplies, a visible light spectrophotometer is needed, with maximum transmission in the region of 595 nm, on the border of the visible spectrum (no special lamp or filter usually needed). Glass or polystyrene cuvettes may be used, but the color reagent stains both. Disposable cuvettes are recommended.

5           The bicinchoninic acid (BCA) assay is available in kit form from Pierce (Rockford, IL). This procedure is quite applicable to microtiter plate methods. The BCA is used for the same reasons the Lowry is used. The BCA assay is advantageous in that it requires a single step, and the color reagent is stable under alkaline conditions. BCA reduces divalent copper ion to the monovalent ion under alkaline  
10 conditions, as is accomplished by the Folin reagent in the Lowry assay. The advantage of BCA is that the reagent is fairly stable under alkaline condition, and can be included in the copper solution to allow a one step procedure. A molybdenum/tungsten blue product is produced as with the Lowry. In addition to standard liquid handling supplies, a visible light spectrophotometer is needed with  
15 transmission set to 562 nm. Glass or inexpensive polystyrene cuvettes may be used.

          The range of concentrations that can be measured using the above assays range from about 20 micrograms to 3mg for absorbance at 280, between about 1-100 micrograms for absorbance at 205 nm, between about 2-100 micrograms for the Modified Lowry assay, between about 1-10 mg for the Biuret assay, between about 1-  
20 20 micrograms for the Bradford assay, and between about 0.2-50 micrograms for BCA assay. Many assays based on fluorescence or changes in fluorescence have been developed and could be performed using methods and devices of the invention.

          A detailed description of various physical and chemical assays is provided in *Remington: The Science and Practice of Pharmacy*, A. R. Gennaro (ed.), Mack  
25 Publishing Company, chap. 29, "Analysis of Medicinals," pp. 437-490 (1995) and in references cited therein while chapter 30 of the same reference provides a detailed description of various biological assays. The assays described include titrimetric assays based on acid-base reactions, precipitation reactions, redox reactions, and complexation reactions, spectrometric methods, electrochemical methods,  
30 chromatographic methods, and other methods such as gasometric assays, assays involving volumetric measurements and measurements of optical rotation, specific gravity, and radioactivity. Other assays described include assays of enzyme-containing substances, proximate assays, alkaloidal drug assays, and biological tests

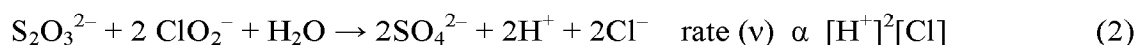
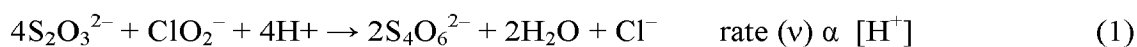
such as pyrogen test, bacterial endotoxin test, depressor substances test, and biological reactivity tests (*in-vivo* and *in-vitro*)

In addition, *Remington: The Science and Practice of Pharmacy*, A. R. Gennaro (ed.), Mack Publishing Company, chap. 31, "Clinical Analysis," pp. 501-533 (1995) and references cited therein provide a detailed description of various methods of characterizations and quantitation of blood and other body fluids. In particular, the reference includes a detailed description of various tests and assays involving various body fluid components such as erythrocytes, hemoglobin, thrombocyte, reticulocytes, blood glucose, nonprotein nitrogen compounds, enzymes, electrolytes, blood-volume and erythropoietic mechanisms, and blood coagulation.

## NONLINEAR AND STOCHASTIC SENSING

Stochastic behavior has been observed in many important chemical reactions, *e.g.*, autocatalytic reactions such as inorganic chemical reactions, combustion and explosions, and in polymerization of sickle-cell hemoglobin that leads to sickle-cell anemia. Crystallization may also be considered an autocatalytic process. Several theoretical treatments of these reactions have been developed. These reactions tend to be highly sensitive to mixing.

Consider the extensively studied stochastic autocatalytic chemical reaction between  $\text{NaClO}_2$  and  $\text{Na}_2\text{S}_2\text{O}_3$  (chlorite-thiosulfate reaction). The mechanism of this reaction can be described by reactions (1) and (2),



where  $[\text{H}^+]$  stands for the concentration of  $\text{H}^+$ . At a slightly basic  $\text{pH} = 7.5$ , the slow reaction (1) dominates and maintains a basic pH of the reaction mixture (since the rate of this reaction  $v$  is directly proportional  $[\text{H}^+]$ , this reaction consumes  $\text{H}^+$  and is auto-inhibitory). Reaction (2) dominates at acidic pH (since the rate of this reaction varies in proportion to  $[\text{H}^+]^2[\text{Cl}]$ , this reaction produces both  $\text{H}^+$  and  $\text{Cl}^-$  and is superautocatalytic). FIG. 21 shows the reaction diagram for two reactions corresponding to the curves 211, 212. The rates of the two reactions (referred to here as reaction 211 and reaction 212) are equal at an unstable critical point at a certain pH. The lifetime of the reaction mixtures of  $\text{NaClO}_2$  and  $\text{Na}_2\text{S}_2\text{O}_3$  at this critical point

crucially depends on stirring. In the absence of stirring, stochastic fluctuations of  $[H^+]$  in solution generate a localized increase in  $[H^+]$ . This increase in  $[H^+]$  marginally increases the rate of reaction 212, but it has a much stronger accelerating effect on reaction 211 because of the higher-order dependence on  $[H^+]$  of this reaction.

5 Therefore, in the region where local fluctuations increase local  $[H^+]$ , reaction 211 becomes dominant, and more  $H^+$  is produced (which rapidly diffuses out of the region of the initial fluctuation). The initiated chemical wave then triggers the rapid reaction of the entire solution. Unstirred mixtures of  $NaClO_2$  and  $NaS_2O_3$  are stable only for a few seconds, and these fluctuations arise even in the presence of stirring.

10 FIG. 21 depicts a reaction diagram illustrating an unstable point in the chlorite-thiosulfate reaction. At  $[H^+]$  values below the critical point, the slow reaction (1) dominates. At  $[H^+]$  values above the critical point, the autocatalytic reaction (2) dominates. The reaction mixture at the  $[H^+]$  value equal to the critical point is metastable in the absence of fluctuations. Under perfect mixing, the effects of small  
15 fluctuations average out and the system remains in a metastable state. Under imperfect mixing, fluctuations that reduce  $[H^+]$  grow more slowly than those that increase  $[H^+]$  due to the autocatalytic nature of reaction (2), and the reaction mixture thus rapidly becomes acidic.

It is known that chaotic flows should have a strong effect on diffusive  
20 transport within the fluid (“anomalous diffusion”). It is also known that chaotic dynamics can lead to non-Gaussian transport properties (“strange kinetics”). In one aspect according to the invention, these highly unstable mixtures are stabilized in the presence of chaotic mixing using channels according to the invention because this mixing can effectively suppress fluctuations. This invention can be used to  
25 understand the effects of mixing on the stochastic behavior of such systems, including for example, the chlorite thiosulfate system.

In a laminar flow, the flow profile in the middle of the channel is flat and there is virtually no convective mixing. Fluctuations involving  $[H^+]$  that arise in the middle of the channel can grow and cause complete decomposition of the reaction mixture.  
30 Slow mixing reduces the probability of fluctuations in plugs moving through straight channels. When fluctuations that occur in the centers of vortices are not efficiently mixed away, one or more spontaneous reactions involving some of the plugs can take place. In the present invention, chaotic mixing in plugs moving through winding

channels efficiently mix out fluctuations, and thus substantially fewer or no spontaneous reactions are expected to occur.

In a simple laminar flow, there is normally very little or no velocity gradient and substantially no mixing at the center of the channel. Thus, fluctuations that arise  
5 in the chlorite-thiosulfate reaction mixture prepared at the critical  $[H^+]$  are able to grow and lead to rapid decomposition of the reaction mixture. Propagation of chemical fronts in autocatalytic reactions occurring in laminar flows has been described with numerical simulations, and back-propagation has been predicted (that is, a reaction front traveling upstream of the direction of the laminar flow). Using the  
10 method of the present invention, this back-propagation involving the reaction between  $NaClO_2$  and  $Na_2S_2O_3$  under laminar flow conditions was observed.

In accordance with the invention, chaotic flow within plugs that flow through winding channels suppresses fluctuations and gives rise to stable reaction mixtures. There exists, of course, a finite probability that fluctuations can arise even in a  
15 chaotically stirred plug. In one aspect according to the invention, the details of the evolution of these reactions are monitored using a high-speed digital camera. The plugs are preferably separated by the oil and are not in communication with each other, so the reaction of one plug will not affect the behavior of the neighboring plug. Statistics covering the behavior of thousands of plugs can be obtained quickly under  
20 substantially identical experimental conditions.

Whether a fluctuation would be able to trigger an autocatalytic reaction depends on factors such as the magnitude of a fluctuation and its lifetime. The lifetime of a fluctuation is typically limited by the mixing time in the system. In an unstirred solution, mixing is by diffusion and quite slow, and fluctuations may persist  
25 and lead to autocatalytic reactions. In a stirred solution, the lifetime of a fluctuation is relatively short, and only large fluctuations have sufficient time to cause an autocatalytic reaction.

Mixing time and the lifetime of fluctuations typically depend on the size of the plugs. As plug size decreases, mixing is accelerated and fluctuations are suppressed.  
30 However, very small plugs (*e.g.*, about  $1\ \mu m^3$  or  $10^{-15}\ L$ ) in a solution containing about  $10^{-8}$  mole/liter concentration of  $H^+$  ( $pH = 8$ ) will contain only a few  $H^+$  ions per plug (about  $10^{-23}$  moles or about 6  $H^+$  ions). When such small plugs are formed, the number of  $H^+$  ions in them will have a Poisson distribution.

An important experimental challenge is to establish that the stochastic behavior in these systems is due mainly to internal fluctuations of concentrations. Other factors that may act as sources of noise and instability are: (1) temporal fluctuations in the flow rates of the incoming reagent streams, which can lead to the formation of plugs with varying amounts of reagents; (2) temperature fluctuations in solutions in a microfluidic device, which may arise due to, for example, illumination by a microscope; and (3) fluctuations due to impurities in carrier-fluids leading to variations in the surface properties of different plugs.

Microfluidic systems according to the invention may be used to probe various chemical and biochemical processes, such as those that show stochastic behavior in bulk due to their nonlinear kinetics. They can also be used in investigating processes that occur in systems with very small volumes (*e.g.*, about  $1\ \mu\text{m}^3$ , which corresponds to the volume of a bacterial cell). In systems with very small volumes, even simple reactions are expected to exhibit stochastic behavior due to the small number of molecules localized in these volumes.

Autocatalytic reactions present an exciting opportunity for highly sensitive detection of minute amounts of autocatalysts. Several systems are known to operate on this principle, silver-halide photography being the most widely used. In silver-halide photography, the energy of photons of light is used to decompose an emulsion of silver halide AgX into nanometer-sized particles of metallic silver. A film that is embedded with the silver particles is then chemically amplified by the addition of a metastable mixture of a soluble silver(I) salt and a reducing agent (hydroquinone). Metallic silver particles catalyze reduction of silver(I) by hydroquinone, leading to the growth of the initial silver particles. Another example of an autocatalytic reaction is the polymerase-chain reaction (PCR), which is a very effective amplification method that has been widely used in the biological sciences.

However, a dilemma occurs when designing systems with very high sensitivity and amplification. To achieve a very highly sensitive amplification, the system typically has to be made very unstable. On the other hand, an unstable system is very sensitive to noise and has a very short lifetime. Also, in unstable systems, it is difficult to distinguish between spontaneous decomposition and a reaction caused by the analyte. In one aspect, microfluidic devices according to the invention, which allow chaotic mixing and compartmentalization, are used to overcome this problem.

To demonstrate the potential of microfluidic systems according to the present invention, a microfluidic system according to the invention is used to handle unstable mixtures. In one application, a microfluidic system according to the invention is preferably used to control a stochastic reaction between  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$ . In particular, this reaction is preferably used for a highly sensitive amplification process.

If a plug containing an unstable reaction mixture of  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$  is merged with a small plug containing an amount of  $\text{H}^+$  sufficient to bring the local concentration of  $\text{H}^+$  above critical, a rapid autocatalytic reactions is generally triggered. This autocatalytic reaction typically leads to the production of large amounts of  $\text{H}^+$ . Thus, a weak chemical signal, *e.g.*, a small amount of  $\text{H}^+$ , is rapidly amplified by an unstable reaction mixture. Thus, for example, this approach can be used to investigate biological reactions such as those that involve enzymes, in which small amounts of  $\text{H}^+$  are produced.

The above autocatalytic system possesses several features that contribute to its novelty and usefulness. In one aspect, an unstable amplifying reaction mixture is prepared in-situ and is used within milliseconds before it has a chance to decompose. Preferably, the system is compartmentalized so a reaction that occurs in one compartment does not affect a reaction in another compartment. This compartmentalization allows thousands of independent experiments to be conducted in seconds using only minute quantities of samples. Importantly, chaotic mixing in the system reduces fluctuations and stabilizes the reaction mixture.

The applications of controlled autocatalytic amplification in accordance with the invention are not limited to the detection of protons or  $\text{Co}^{2+}$  ions. For example, the (Co(III)-5-Br-PAPS)/peroxomonosulfate oxidation reaction can also be used indirectly, for example, for a detection of small amounts of peroxidase, which can be used as a labeling enzyme bound to an antibody. The (Co(III)-5-Br-PAPS)/peroxomonosulfate oxidation reaction, which has been characterized analytically, involves the autocatalytic decomposition of violet bis[2-(5-bromopyridylazo)-5-(N-propyl-N-sulfopropyl-amino-phenolato)] cobaltate, (Co(III)-5-Br-PAPS), upon oxidation with potassium peroxomonosulfate to produce colorless  $\text{Co}^{2+}$  ions, which serve as the autocatalyst (the order of autocatalysis has not been established for this reaction). (Endo *et al.*, "Kinetic determination of trace cobalt(II) by visual autocatalytic indication," *Talanta*, 1998, vol. 47, pp. 349-353; Endo *et al.*, "Autocatalytic decomposition of cobalt complexes as an indicator system for the

determination of trace amounts of cobalt and effectors," *Analyst*, 1996, vol. 121, pp. 391-394.)

$\text{Co(III)-[5-Br-PAPS]reduced} + \text{HSO}_5^- \rightarrow$

$\text{Co}^{2+} + \text{[5-Br-PAPS]oxidized} + \text{HSO}_4^-$

- 5            Addition of small amounts of  $\text{Co}^{2+}$  to the violet mixture of the (Co(III)-5-Br-PAPS and peroxomonosulfate produces an abrupt loss of color to give a colorless solution. The time delay before this decomposition depends on the amount of the  $\text{Co}^{2+}$  added to the solution. This reaction has been used to detect concentrations of  $\text{Co}^{2+}$  as low as  $1 \times 10^{-10}$  mole/L. The reaction shows good selectivity in the presence of
- 10   other ions (V(V), Cr(III), Cr(VI), Mn(II), Fe(II), Ni(II), Cu(II) and Zn(II)).

- The devices and methods according to the invention may be applied to other autocatalytic reactions, some of which have been described in inorganic, organic and biological chemistry. Reactions of transition metal ions such as Cr(III) (B82)  $\text{Mn}^{2+}$  or colloidal  $\text{MnO}_2$ , and reactions of halides and oxohalides are often autocatalytic.
- 15   Autocatalysis involving lanthanides ( $\text{Eu}^{2+}$ ) and actinides ( $\text{U}^{4+}$ ) has also been reported. All of these elements are potential targets for detection and monitoring in chemical waste, drinking water, or biological fluids. Intriguing possibilities arise from using asymmetric autocatalytic reactions to detect minute amounts of optically active, chiral impurities, such as biomolecules.

- 20            It is also possible to design new autocatalytic reactions. Autocatalysis is abundant in biology, and many enzymes are autocatalytic (*e.g.*, caspases involved in programmed cell death, kinases involved in regulation and amplification, and other enzymes participating in metabolism, signal transduction, and blood coagulation. Emulsions of perfluorocarbons such as perfluorodecaline (PFD) are used as blood
- 25   substitutes in humans during surgeries and should be compatible with a variety of biological molecules. Since the feasibility of quantitative measurements of enzyme kinetics has been demonstrated using plugs formed according to the invention, plugs formed according to the invention may also be applied to the detection of biological autocatalysts.

- 30            The devices and methods according to the present invention are not limited to the detection of the autocatalyst itself. For example, the labeling of an analyte using an autocatalyst is also within the scope of the present invention. Biomolecules are often labeled with metallic nanoparticles. Such metallic nanoparticles are highly effective autocatalysts for the reduction of metal ions to metals. Preferably, the

systems and methods of the present invention are used in the visual detection of a single molecule of DNA, RNA, or protein labeled with nanoparticles via an autocatalytic pathway. In preliminary experiments in accordance with the invention, clean particle formation and transport within plugs were observed.

5           In addition, the generation of metal (*e.g.*, copper, silver, gold, nickel) deposits and nanoparticles upon chemical reduction also proceed by an autocatalytic mechanism. These reactions are commonly used for electroless deposition of metals and should be useful for the detection of minute amounts of metallic particles. The presence of metallic particles in water can be indicative of the presence of operating  
10       mechanical devices. In one aspect according to the invention, devices and methods according to the invention are used to detect the presence of minute or trace quantities of metallic particles.

          The devices in accordance with the present invention are simple in design, consume minute amounts of material, and robust. They do not require high voltage  
15       sources and can be operated, for example, using gravity or a pocket-sized source of compressed air. In one aspect, the systems according to the invention are used in portable and hand-held devices.

          Autocatalytic reactions show a threshold response, that is, there is a very abrupt temporal change from unreacted mixture to reacted mixture. In the case where  
20       time is equal to distance, this abrupt transition over a short distance can be observed using the devices and methods of the invention. The time (and distance) is very sensitive to the initial concentration of the catalyst, and thus it should be easy to determine the concentration of the autocatalyst in the sample by noting how far the reaction system traveled before it reacted.

25           One example of an autocatalytic process is blood coagulation. It is very sensitive to flow and mixing, therefore experimenting with it in the absence of flow gives unreliable results or results that have little relevance to the real function of the coagulation cascade. A typical microfluidic system may be difficult to use with blood because once coagulation occurs, it blocks the channel and stops the flow in the  
30       microfluidic device. In addition, coagulated blood serves as an autocatalyst; even small amounts of coagulated blood in the channels can make measurements unreliable.

          These problems can be overcome using the devices of the present invention. Using plugs, autocatalytic reactions can be easily controlled, and the formation of

solid clots would not be a problem because any solids formed will be transported inside the plugs out of the channel without blocking the channel and without leaving autocatalytic residue. In addition, flow inside plugs can be easily controlled and adjusted to resemble flow under physiological conditions.

5           To address the sensitivity of blood coagulation to surfaces (the cascade is normally initiated on the surface), microscopic beads containing immobilized tissue factor (the cascade initiator) on the surface may be added to one of the streams and transported inside the plugs. Also, surfactants may be used to control surface chemistry.

10           Thus, the devices and methods of the invention may be used, for example, to test how well the coagulation cascade functions (*e.g.*, for hemophilia or the tendency to form thrombus) under realistic flow conditions. This test would be particularly valuable in diagnostics. Blood may be injected in one stream, and a known concentration of a molecule known to induce coagulation (*e.g.*, factor VIIa) can be  
15 added through another stream prior to plug formation. At a given flow rate, normal blood would coagulate at a certain distance (which corresponds to a given time), which can be observed optically by light scattering or microscopy. Blood of hemophiliac patients would coagulate at a later time. This type of testing would be useful before surgical operations. In particular, this type of testing is important for  
20 successful child delivery, especially when hemophilia is suspected. Fetal testing may be performed since only minute amounts of blood are required by systems according to the invention. The blood may be injected directly from the patient or collected in the presence of anticoagulating agent (for example EDTA), and then reconstituted in the plug by adding  $\text{Ca}^{2+}$ . In some cases, the addition of  $\text{Ca}^{2+}$  may be sufficient to  
25 initiate the coagulation cascade.

          The devices and methods of the invention may also be used to evaluate the efficacy of anticoagulating agents under realistic flow conditions. Plugs can be formed from normal blood (which may be used directly or reconstituted by adding  $\text{Ca}^{2+}$  or other agents), an agent known to induce coagulation, and an agent (or several  
30 agents that need to be compared) being tested as an anticoagulation agent. The concentrations of these agents can be varied by varying the flow rates. The distance at which coagulation occurs is noted, and the efficacy of various agents to prevent coagulation is compared. The effects of flow conditions and presence of various compounds in the system on the efficacy of anticoagulation agents can be investigated

quickly. The same techniques may also be used to evaluate agents that cause, rather prevent, coagulation. These tests could be invaluable in evaluating drug candidates.

## SYNTHESIS

5           In accordance with the present invention, a method of conducting a reaction within a substrate is provided. The reaction is initiated by introducing two or more plug-fluids containing reactants into the substrate of the present invention.

          In one aspect, the plug-fluids include a reagent and solvent such that mixing of the plug-fluids results in the formation of a reaction product. In another embodiment,  
10       one of the plug-fluids may be reagent free and simply contain fluid. In this embodiment, mixing of the plug-fluids will allow the concentration of the reagent in the plug to be manipulated.

          The reaction can be initiated by forming plugs from each plug-fluid and subsequently merging these different plugs.

15       When plugs are merged to form merged plugs, the first and second set of plugs may be substantially similar or different in size. Further, the first and second set of plugs may have different relative velocities. In one embodiment, large arrays of microfluidic reactors are operated in parallel to provide substantial throughput.

          The devices and methods of the invention can be used for synthesizing  
20       nanoparticles. Nanoparticles that are monodisperse are important as sensors and electronic components but are difficult to synthesize (Trindade *et al.*, *Chem. Mat.* 2001, vol. 13, pp. 3843-3858.). In one aspect, monodisperse nanoparticles of semiconductors and noble metals are synthesized under time control using channels according to the invention (Park *et al.*, *J. Phys. Chem. B*, 2001, vol. 105, pp. 11630-  
25       11635.). Fast nucleation is preferably induced by rapid mixing, thereby allowing these nanoparticles to grow for a controlled period of time. Then their growth is preferably quickly terminated by passivating the surfaces of the particles with, for example, a thiol. Nanoparticles of different sizes are preferably obtained by varying the flow rate and therefore the growth time. In addition, devices according to the  
30       invention can be used to monitor the synthesis of nanoparticles, and thus obtain nanoparticles with the desired properties. For example, the nanoparticle formation may be monitored by measuring the changes in the color of luminescence or absorption of the nanoparticles. In addition, the growth of nanoparticles may be

stopped by introducing a stream of quenching reagent at a certain position along the main channel.

Rapid millisecond mixing generated in channels according to the invention can help ensure the formation of smaller and much more monodisperse nanoparticles than nanoparticles synthesized by conventional mixing of solutions. FIG. 13 shows the UV-VIS spectra of CdS nanoparticles formed by rapid mixing in plugs (lighter shade spectrum with sharp absorption peak) and by conventional mixing of solutions (darker shade spectrum). The sharp absorption peak obtained for synthesis conducted in plugs indicates that the nanoparticles formed are highly monodisperse. In addition, the blue-shift (shift towards shorter wavelengths) of the absorption peak indicates that the particles formed are small.

FIG. 14A-B illustrates the synthesis of CdS nanoparticles performed in PDMS microfluidic channels in single-phase aqueous laminar flow (FIG. 14A) and in aqueous plugs that were surrounded by water-immiscible perfluorodecaline (FIG. 14B). In FIGS. 14A-B,  $\text{Cd}^{2+}$  was introduced into inlets 1400, 1403, aqueous stream was introduced into inlets 1401, 1404, and  $\text{S}^{2-}$  was introduced into inlets 1402, 1405. In FIG. 14A, an aqueous stream flowed through channel 1406 while in FIG. 14B, oil flowed through channel 1407. FIG. 14A shows portions of the channels 1408 and 1410 at time  $t=6$  minutes and portions of the channels 1409, 1411 at time  $t=30$  minutes. It can be seen in FIG. 14A that when laminar flow is used in the synthesis, large amounts of CdS precipitate form on the channel walls. When plugs were used for the synthesis, all CdS formed inside the plugs, and no surface contamination was observed. FIG. 15 illustrates a technique for the synthesis of CdS nanoparticles, which is discussed in detail in Example 13 below.

The following methods according to the invention can be used in synthesis involving nanoparticles:

- (a) using self-assembled monolayers to nucleate nanoparticles with crystal structures not accessible under homogeneous nucleation conditions (*e.g.*, controlling polymorphism by controlling the surface at which nucleation takes place).
- (b) using merging of plugs to create core-shell nanoparticles with a range of core and shell sizes. In a stream of plugs of a first channel, small core nanoparticles such as CdSe particles can be synthesized in a matter of few milliseconds. The CdSe particles can then be used as seeds for mixing with solutions such as those containing  $\text{Zn}^{+2}$  and  $\text{S}^{-2}$ . The CdSe particles, acting as seeds for the formation of ZnS, thus allow

the formation of CdSe(core)/ZnS(shell) nanoparticles. Core-shell particles with more than two layers may be obtained by simply repeating the merging process more than once.

5 (c) using merging of plugs to create composite nanoparticles. For example, small nanoparticles of CdSe and ZnS can be formed using streams of plugs from two separate channels. Merging of these streams leads to aggregation of these particles to form larger nanoparticles containing CdSe/ZnS composite. The composite nanoparticles that contain only a few of the original nanoparticles can be made non-centrosymmetric, which may have interesting photophysical properties.

10 (d) using the devices and methods according to the invention to synthesize medically important nanoparticles, such as encapsulated drugs and composite drugs.

(e) combinatorial synthesis of core-shell particles and other complex systems. For example, the luminescence of CdSe/ZnS particles may be monitored and the conditions adjusted to produce particles with various core and shell sizes, various  
15 doping impurities in the core and shell, and various ligand composition on the surface of the particles. These can be conducted in real time using a device according to the invention. The entire process can also be automated.

The devices and methods according to the present invention may also be used for synthesizing polymers. Since the invention allows precise control of the timing of  
20 a polymerization reaction, one or more properties of a polymer such as molecular weight, polydispersity and blockiness can be readily controlled or adjusted. In addition, use of the substrate of the present invention allows the user to precisely form block copolymers by merging plugs within a device, since the path length of the channel will correspond to a specific duration of the polymerization reaction.  
25 Similarly, a living polymer chain can be terminated with a specific end group to yield polymers with a discrete subset of molecular weights.

In addition, combinatorial libraries of drug candidates may be synthesized using similar approaches. The library may be encoded using the position of plugs in a channel. Plugs of variable composition may be created by varying flow rates.  
30 Combination of synthesis of the library may be combined with screening and assays performed on the same microfluidic chip according to the present invention. In some embodiments, merging, splitting and sorting of plugs may be used during synthesis, assays, etc.

All of the above synthesis methods of the present invention can be used to form macroscopic quantities of one or more reaction products by running multiple reactions in parallel.

## 5    **PARTICLE SEPARATION/SORTING USING PLUGS**

The flow within the moving plugs can be used for separation of polymers and particles. Plugs can be used for separation by first using flow within a moving plug to establish a distribution of the polymers or particles inside the plug (for example, an excess of the polymer inside the front, back, right or left side of the plug) and then  
10    using splitting to separate and isolate the part of the plug containing higher concentration of the polymers or particles. When two polymers or particles are present inside the plug and establish different distributions, slitting can be used to separate the polymers or particles. This approach may be useful, for example, in achieving on a microfluidic chip any of, but not limited to, the following: separation,  
15    purification, concentration, membrane-less dialysis, and filtration.

## **CRYSTALLIZATION**

The devices and methods of the invention allow fast, inexpensive miniaturization of existing crystallization methods and other methods that can be  
20    adapted into, for example, novel protein screening and crystallization techniques. The crystallization methods according to the invention may be applied to various drugs, materials, small molecules, macromolecules, colloidal and nanoparticles, or any of their combinations. Many relevant protein structures remain undetermined due to their resistance to crystallization. Also, many interesting proteins are only available  
25    in microgram quantities. Thus, a screening process must permit the use of small amounts protein for analysis. Current crystallization screening technologies generally determine the ideal conditions for protein crystallization on a milligram scale. Devices and methods according to the invention improve current bench-top methodology available to single users, and enables higher throughput automated  
30    systems with improved speed, sample economy, and entirely new methods of controlling crystallization.

A microfluidic system according to the invention can be applied to the crystallization of small molecules or macromolecules and their complexes.

For example, systems and methods in accordance with the present invention may include but are not limited to: (1) biological macromolecules (cytosolic proteins, extracellular proteins, membrane proteins, DNA, RNA, and complex combinations thereof); (2) pre- and post-translationally modified biological molecules (including but not limited to, phosphorylated, sulfolated, glycosylated, ubiquitinated, etc. proteins, as well as halogenated, abasic, alkylated, etc. nucleic acids); (3) deliberately derivatized macromolecules, such as heavy-atom labeled DNAs, RNAs, and proteins (and complexes thereof), selenomethionine-labeled proteins and nucleic acids (and complexes thereof), halogenated DNAs, RNAs, and proteins (and complexes thereof); (4) whole viruses or large cellular particles (such as the ribosome, replisome, spliceosome, tubulin filaments, actin filaments, chromosomes, etc.); (5) small-molecule compounds such as drugs, lead compounds, ligands, salts, and organic or metallo-organic compounds; (6) small-molecule/biological macromolecule complexes (*e.g.*, drug/protein complexes, enzyme/substrate complexes, enzyme/product complexes, enzyme/regulator complexes, enzyme/inhibitor complexes, and combinations thereof); (7) colloidal particles; and (8) nanoparticles.

Preferably, a general crystallization technique according to the present invention involves two primary screening steps: a crude screen of crystallization parameters using relatively small channels with a large number of small plugs, and a fine screen using larger channels and larger plugs to obtain diffraction-quality crystals. For example, ten crude screens performed using channels with a  $(50\ \mu\text{m})^2$  cross-sectional dimension and with more or less one thousand 150-picoliter (pL) plugs corresponding to 10 mg/mL final concentration of a protein (10,000 trials total) will typically require about 1.5  $\mu\text{L}$  of solution, produce crystals up to about  $(10\ \mu\text{m})^3$  in size, and will consume approximately 15  $\mu\text{g}$  of protein. Up to 300 or more of such plugs can be formed in about 1 second in these microfluidic networks. A fine screen around optimal conditions in  $(500\ \mu\text{m})^2$  channels is expected to use more or less 50 plugs. Another  $\sim 5\ \mu\text{L}$  of solution and another 50  $\mu\text{g}$  of the protein are expected to be consumed. This can produce crystals up to  $(100\ \mu\text{m})^3$  in size. Approximately 30 plugs can be formed about every second or so. The throughput of the system will generally be determined by the rate of plug formation, and may be limited by how rapidly the flow rates can be varied. Pressure control methods that operate at frequencies of 100 Hz are available and may be applied to PDMS microfluidic

networks (Unger *et al.*, "Monolithic fabricated valves and pumps by multilayer soft lithography," *Science* 2000, vol. 288, pp. 113-116.).

Crystal properties such as appearance, size, optical quality, and diffractive properties may be characterized and measured under different conditions. For  
5 example, a Raxis IIc X-ray detector mounted on a Rigaku RU 200 rotating anode X-ray generator, which is equipped with double focusing mirrors and an MSC cryosystem, may be used for at least some of the characterizations and measurements. A synchrotron beam may be useful for characterization of small crystals. Also, these devices and methods may be used to build microfluidic systems according to the  
10 invention that are compatible with structural studies using x-ray beams.

A significant problem involving current crystallization approaches is determining the conditions for forming crystals with optimal diffractive properties. Normally crystals have to be grown, isolated, mounted, and their diffractive properties determined using an x-ray generator or a synchrotron. Microfluidic systems with thin,  
15 non-scattering walls would be desirable for determining the diffractive properties of crystals inside a microfluidic system. Preferably, crystallization is carried out inside this system using methods according to the invention, which are described herein. The crystals are exposed to x-ray beams either to determine their structure or diffractive properties (the screening mode). For example, a PDMS membrane  
20 defining two side walls of the channels could be sandwiched between two very thin glass plates (defining the top and bottom walls of the channels) that do not significantly scatter X-rays. Thus, the devices of the invention offer a further advantage in that structural characterization could be conducted while the sample is inside the microfluidic device. Thus, the sample can be characterized without the  
25 need to take out the sample, *e.g.*, crystal, from the device.

The present system enables higher throughput automated systems with improved speed, sample economy, and entirely new methods of controlling crystallization. Microfluidic versions of microbatch, vapor phase diffusion and FID techniques may be carried out using the present invention, as described below, or  
30 using a combination of these techniques or other techniques. In addition, the nucleation and growth phases may be carried out in discrete steps through merging plugs, as described herein.

Screening for protein crystallization can involve varying a number of parameters. During crystallization screening, a large number of chemical compounds

may be employed. These compounds include salts, small and large molecular weight organic compounds, buffers, ligands, small-molecule agents, detergents, peptides, crosslinking agents, and derivatizing agents. Together, these chemicals can be used to vary the ionic strength, pH, solute concentration, and target concentration in the plug, and can even be used to modify the target. The desired concentration of these chemicals to achieve crystallization is variable, and can range from nanomolar to molar concentrations.

A typical crystallization mix may contain a set of fixed, but empirically-determined, types and concentrations of precipitation agent, buffers, salts, and other chemical additives (e.g., metal ions, salts, small molecular chemical additives, cryoprotectants, etc.). Water is a key solvent in many crystallization trials of biological targets, as many of these molecules may require hydration to stay active and folded. Precipitation agents act to push targets from a soluble to insoluble state, and may work by volume exclusion, changing the dielectric constant of the solvent, charge shielding, and molecular crowding. Precipitation agents compatible with the PDMS material of certain embodiments according to the invention include, but are not limited to, nonvolatile salts, high molecular weight polymers, polar solvents, aqueous solutions, high molecular weight alcohols, divalent metals.

Precipitation agents, which include large and small molecular weight organics, as well as certain salts, may be used from under 1% to upwards of 40% concentration, or from < 0.5M to greater than 4M concentration. Water itself can act in a precipitating manner for samples that require a certain level of ionic strength to stay soluble. Many precipitation agents may also be mixed with one another to increase the chemical diversity of the crystallization screen. Devices according to the invention are readily compatible with a broad range of such compounds.

A nonexclusive list of salts that may be used as precipitation agents is as follows: tartrates (Li, Na, K, Na/K, NH<sub>4</sub>); phosphates (Li, Na, K, Na/K, NH<sub>4</sub>); acetates (Li, Na, K, Na/K, Mg, Ca, Zn, NH<sub>4</sub>); formates (Li, Na, K, Na/K, Mg, NH<sub>4</sub>); citrates (Li, Na, K, Na/K, NH<sub>4</sub>); chlorides (Li, Na, K, Na/K, Mg, Ca, Zn, Mn, Cs, Rb, NH<sub>4</sub>); sulfates (Li, Na, K, Na/K, NH<sub>4</sub>); maleates (Li, Na, K, Na/K, NH<sub>4</sub>); glutamates (Li, Na, K, Na/K, NH<sub>4</sub>).

A nonexclusive list of organic materials that may be used as precipitation agents is as follows: PEG 400; PEG 1000; PEG 1500; PEG 2K; PEG 3350; PEG 4K; PEG 6K; PEG 8K; PEG 10K; PEG 20K; PEG-MME 550; PEG-MME 750; PEG-

MME 2K; PEGMME 5K; PEG-DME 2K; dioxane; methanol; ethanol; 2-butanol; *n*-butanol; *t*-butanol; jeffamine m-600; isopropanol; 2-methyl-2,4-pentanediol; 1,6 hexanediol.

5 Solution pH can be varied by the inclusion of buffering agents; typical pH ranges for biological materials lie anywhere between values of 3 and 10.5 and the concentration of buffer generally lies between 0.01 and 0.25 M. The microfluidics devices described in this document are readily compatible with a broad range of pH values, particularly those suited to biological targets.

10 A nonexclusive list of possible buffers that may be used according to the invention is as follows: Na-acetate; HEPES; Na-cacodylate; Na-citrate; Na-succinate; Na-K-phosphate; TRIS; TRIS-maleate; imidazole-maleate; bistrispropane; CAPSO, CHAPS, MES, and imidazole.

15 Additives are small molecules that affect the solubility and/or activity behavior of the target. Such compounds can speed up crystallization screening or produce alternate crystal forms or polymorphs of the target. Additives can take nearly any conceivable form of chemical, but are typically mono and polyvalent salts (inorganic or organic), enzyme ligands (substrates, products, allosteric effectors), chemical crosslinking agents, detergents and/or lipids, heavy metals, organometallic compounds, trace amounts of precipitating agents, and small molecular weight  
20 organics.

The following is a nonexclusive list of additives that may be used in accordance with the invention: 2-butanol; DMSO; hexanediol; ethanol; methanol; isopropanol; sodium fluoride; potassium fluoride; ammonium fluoride; lithium chloride anhydrous; magnesium chloride hexahydrate; sodium chloride; calcium  
25 chloride dihydrate; potassium chloride; ammonium chloride; sodium iodide; potassium iodide; ammonium iodide; sodium thiocyanate; potassium thiocyanate; lithium nitrate; magnesium nitrate hexahydrate; sodium nitrate; potassium nitrate; ammonium nitrate; magnesium formate; sodium formate; potassium formate; ammonium formate; lithium acetate dihydrate; magnesium acetate tetrahydrate; zinc  
30 acetate dihydrate; sodium acetate trihydrate; calcium acetate hydrate; potassium acetate; ammonium acetate; lithium sulfate monohydrate; magnesium sulfate heptahydrate; sodium sulfate decahydrate; potassium sulfate; ammonium sulfate; di-sodium tartrate dihydrate; potassium sodium tartrate tetrahydrate; di-ammonium tartrate; sodium dihydrogen phosphate monohydrate ; di-sodium hydrogen phosphate

dihydrate; potassium dihydrogen phosphate; di-potassium hydrogen phosphate;  
 ammonium dihydrogen phosphate; di-ammonium hydrogen phosphate; tri-lithium  
 citrate tetrahydrate; tri-sodium citrate dihydrate; tri-potassium citrate monohydrate;  
 diammonium hydrogen citrate; barium chloride; cadmium chloride dihydrate;  
 5 cobaltous chloride dihydrate; cupric chloride dihydrate; strontium chloride  
 hexahydrate; yttrium chloride hexahydrate; ethylene glycol; Glycerol anhydrous; 1,6  
 hexanediol; MPD; polyethylene glycol 400; trimethylamine HCl; guanidine HCl;  
 urea; 1,2,3-heptanetriol; benzamidine HCl; dioxane; ethanol; iso-propanol; methanol;  
 sodium iodide; L-cysteine; EDTA sodium salt; NAD; ATP disodium salt; D(+)-  
 10 glucose monohydrate; D(+)-sucrose; xylitol; spermidine; spermine tetra-HCl; 6-  
 aminocaproic acid; 1,5-diaminopentane diHCl; 1,6-diaminohexane; 1,8-  
 diaminooctane; glycine; glycyl-glycyl-glycine; hexaminecobalt trichloride; taurine;  
 betaine monohydrate; polyvinylpyrrolidone K15; non-detergent sulfo-betaine 195;  
 non-detergent sulfo-betaine 201; phenol; DMSO; dextran sulfate sodium salt;  
 15 Jeffamine M-600; 2,5 Hexanediol; (+/-)- 1,3 butanediol; polypropylene glycol P400;  
 1,4 butanediol; tert-butanol; 1,3 propanediol; acetonitrile; gamma butyrolactone;  
 propanol; ethyl acetate; acetone; dichloromethane; *n*-butanol; 2,2,2 trifluoroethanol;  
 DTT; TCEP; nonaethylene glycol monododecyl ether, nonaethylene glycol  
 monolauryl ether; polyoxyethylene (9) ether; octaethylene glycol monododecyl ether,  
 20 octaethylene glycol monolauryl ether; polyoxyethylene (8) lauryl ether; Dodecyl-  $\beta$ -  
 D-maltopyranoside; Lauric acid sucrose ester; Cyclohexyl-pentyl- $\beta$ -D-maltoside;  
 Nonaethylene glycol octylphenol ether; Cetyltrimethylammonium bromide; *N*, *N*-  
 bis(3-D-gluconamidopropyl)-deoxycholamine; Decyl- $\beta$ -D-maltopyranoside;  
 Lauryldimethylamine oxide; Cyclohexyl-pentyl- $\beta$ -D-maltoside; *n*-  
 25 Dodecylsulfobetaine, 3-(Dodecyldimethylanionio)propane-1-sulfonate; Nonyl- $\beta$ -  
 D-glucopyranoside; Octyl- $\beta$ -D-thioglucopyranoside, OSG; *N*,*N*-  
 Dimethyldecylamine- $\beta$ -oxide; Methyl 0-(*N*-heptylcarbamoyle)- $\alpha$ -D-  
 glucopyranoside; Sucrose monocaprylate; *n*-Octanoyl- $\beta$ -D-fructofuranosyl- $\alpha$ -D-  
 glucopyranoside; Heptyl- $\beta$ -D-thioglucopyranoside; Octyl- $\beta$ -D-glucopyranoside,  
 30 OG; Cyclohexyl-propyl- $\beta$ -D-maltoside; Cyclohexylbutanoyl-*N*-  
 hydroxyethylglucamide; *n*-decylsulfobetaine, 3-(Decyldimethylammonio)propane-  
 1-sulfonate; Octanoyl-*N*-methylglucamide, OMEGA; Hexyl- $\beta$ -D-glucopyranoside;  
 Brij 35; Brij 58; Triton X-114; Triton X-305; Triton X-405; Tween 20; Tween 80;

polyoxyethylene(6)decyl ether; polyoxyethylene(9)decyl ether;  
polyoxyethylene(10)dodecyl ether; polyoxyethylene(8)tridecyl ether;; Decanoyl-*N*-  
hydroxyethylglucamide; Pentaethylene glycol monoethyl ether; 3-[(3-  
cholamidopropyl)-dimethylammonio]-1-propane sulfonate; 3-[(3-Cholamidopropyl)-  
5 dimethylammonio] hydroxy-1-propane sulfonate; Cyclohexylpentanoyl-*N*-  
hydroxyethylglucamide; Nonanoyl-*N*-hydroxyethylglucamide; Cyclohexylpropanol-  
*N*-hydroxyethylglucamide; Octanoyl-*N*-hydroxyethylglucamide; Cyclohexylethanoyl-  
*N*-hydroxyethylglucamide; Benzyl dimethyldodecyl ammonium bromide; *n*-  
Hexadecyl- $\beta$ -D-maltopyranoside; *n*-Tetradecyl- $\beta$ -D-maltopyranoside; *n*-Tridecyl-  
10  $\beta$ -D-maltopyranoside; Dodecylpoly(ethyleneglycoether); *n*-Tetradecyl-*N,N*-dimethyl  
ammonio-1-propanesulfonate; *n*-Undecyl- $\beta$ -D-maltopyranoside; *n*-Decyl D-  
thiomaltopyranoside; *n*-dodecylphosphocholine;  $\alpha$ -D-glucopyranoside,  $\beta$ -D-  
fructofuranosyl monodecanoate, sucrose mono-caprate; 1-s-Nonyl- $\beta$ -D-  
thioglucopyranoside; *n*-Nonyl- $\beta$ -D-thiomaltopyranoside; *N*-Dodecyl-*N,N*-  
15 (dimethylammonio)butyrate; *n*-Nonyl- $\beta$ -D-maltopyranoside; Cyclohexyl-butyl D-  
maltoside; *n*-Octyl- $\beta$ -D-thiomaltopyranoside; *n*-Decylphosphocholine; *n*-  
Nonylphosphocholine; Nonanoyl-*N*-methylglucamide; 1-s-Heptyl- $\beta$ -D-  
thioglucopyranoside; *n*-Octylphosphocholine; Cyclohexyl-ethyl D-maltoside; *n*-  
Octyl-*N,N*-dimethyl ammonio-1-propanesulfonate; Cyclohexyl-methyl- $\beta$ -D-  
20 maltoside.

Cryosolvents are agents that stabilize a target crystal to flash-cooling in a  
cryogen such as liquid nitrogen, liquid propane, liquid ethane, or gaseous nitrogen or  
helium (all at approximately 100- 120 °K) such that crystal becomes embedded in a  
vitreous glass rather than ice. Any number of salts or small molecular weight organic  
25 compounds can be used as a cryoprotectant, and typical ones include but are not  
limited to: MPD, PEG-400 (as well as both PEG derivatives and higher molecular-  
weight PEG compounds), glycerol, sugars (xylitol, sorbitol, erythritol, sucrose,  
glucose, etc.), ethylene glycol, alcohols (both short- and long chain, both volatile and  
nonvolatile), LiOAc, LiCl, LiCH<sub>3</sub>O<sub>2</sub>, LiNO<sub>3</sub>, Li<sub>2</sub>SO<sub>4</sub>, Mg(OAc)<sub>2</sub>, NaCl, NaCH<sub>3</sub>O<sub>2</sub>,  
30 NaNO<sub>3</sub>, etc. Again, materials from which microfluidics devices in accordance with  
the present invention are fabricated may be compatible with a range of such  
compounds.

Many of these chemicals can be obtained in predefined screening kits from a variety of vendors, including but not limited to Hampton Research of Laguna Niguel, CA, Emerald Biostructures of Bainbridge Island, WA, and Jena BioScience of Jena, Germany, that allow the researcher to perform both sparse matrix and grid screening experiments. Sparse matrix screens attempt to randomly sample as much of precipitant, buffer, and additive chemical space as possible with as few conditions as possible. Grid screens typically consist of systematic variations of two or three parameters against one another (*e.g.*, precipitant concentration vs. pH). Both types of screens have been employed with success in crystallization trials, and the majority of chemicals and chemical combinations used in these screens are compatible with the chip design and matrices in accordance with embodiments of the present invention. Moreover, current and future designs of microfluidic devices may enable flexible combinatorial screening of an array of different chemicals against a particular target or set of targets, a process that is difficult with either robotic or hand screening. This latter aspect is particularly important for optimizing initial successes generated by first-pass screens.

In addition to chemical variability, a host of other parameters can be varied during crystallization screening. Such parameters include but are not limited to: (1) volume of crystallization trial; (2) ratio of target solution to crystallization solution; (3) target concentration; (4) cocrystallization of the target with a secondary small or macromolecule; (5) hydration; (6) incubation time; (7) temperature; (8) pressure; (9) contact surfaces; (10) modifications to target molecules; and (11) gravity.

Although the discussion below refers to proteins, the particular devices or methods described can also be used or suitably adapted for the crystallization of other types of samples such as those mentioned above (*e.g.*, small molecules, other macromolecules, nanoparticles, colloidal particles, etc.). In one aspect of the present invention, protein crystallization is conducted using miniaturized microbatch conditions. The process consists of two steps. First, plugs are preferably formed wherein the concentrations of the protein, precipitant, and additive are adjusted by varying the relative flow rates of these solutions. This step corresponds to a screening step. Once the optimal concentrations have been found, the flow rates can then be kept constant at the optimal conditions. In this step, plugs are preferably transported through the channel as they form. Second, the flow is preferably stopped once the desired number of plugs are formed. The plugs are then preferably allowed to

incubate. In some embodiments according to the invention the flow may be continued, rather than stopped. In those embodiments, the flow is maintained sufficiently slow and the channels are made sufficiently long that plugs spend sufficient time in the channels for crystallization to occur (from tens of minutes to  
5 weeks, but may be faster or slower).

In one aspect, upon formation of the plugs, they are trapped using expansions in the channels. The expansions act as dead volume elements while the plugs are being formed in the presence of flow. Thus, the expansions do not interfere with the flow of the plugs through the channel. Once the flow is stopped, surface tension  
10 drives plugs into the expansions where surface tension is minimized. The expansions may be, but are not limited to, oval, round, square, rectangular, or star-shaped. In particular, a star-shaped expansion may prevent adherence of the plug or of a crystal to the walls of the expansion. The ratio of the size of the expansion opening to the width of the channel may be varied based on empirical results for a particular set of  
15 conditions. FIG. 16 is a schematic illustration of a microfluidic device according to the invention that illustrates the trapping of plugs. In experiments, plugs were sustained in perfluorodecaline inside a channel for one day, and did not appear to change during that time (a refractive index mismatch between the fluorinated and aqueous phase was introduced to aid in visualization of plugs).

The method described above allows a high degree of control over protein and precipitant concentrations. It also allows a high degree of control over a range of time  
20 scales through the control of plug size and composition. FIG. 17 shows a schematic of a microfluidic method for forming plugs with variable compositions for protein crystallization. Continuously varied flow rates of the incoming streams are preferably  
25 used to form plugs with various concentrations of the protein, precipitation agents, and additives. In FIG. 17, for example, the following can be introduced into the various inlets: buffers into inlets 171, 172; PEG into inlet 173; salt into inlet 174; solvent into inlet 175; and protein into inlet 176. These various solutions can enter a channel 177 through which a carrier fluid such as perfluorodecaline flows. For  
30 example, a 1-meter long channel with a  $200 \times 80 \mu\text{m}^2$  cross section can be used to form approximately two hundred 6 nL (nanoliter) plugs. If each plug contains enough protein to form a  $40\text{-}\mu\text{m}^3$  crystal, 200 trials will consume only about 1.2  $\mu\text{L}$  of approximately 10 mg/mL protein solution (12  $\mu\text{g}$  of protein). About one minute may be sufficient to form plugs in these trials.

In another aspect according to the invention, after plugs are formed as described above for the microbatch system, slow evaporation through a very thin PDMS membrane (or another membrane with slight water permeability) is preferably used for added control over the crystallization process. A slow decrease in the volume of the plug during evaporation is expected to produce a trajectory of the solution through the crystallization phase space similar to that in a vapor diffusion experiment. Hence, this method, in addition to microbatch methods, can be used to miniaturize and optimize vapor diffusion methods.

In the vapor diffusion method, a drop containing protein, stabilizing buffers, precipitants, and/or crystallization agents is allowed to equilibrate in a closed system with a much larger reservoir. The reservoir usually contains the same chemicals minus the protein but at an overall higher concentration so that water preferentially evaporates from the drop. If conditions are right, this will produce a gradual increase in protein concentration such that a few crystals may form.

Vapor diffusion can be performed in several ways. The one most often used is called Hanging Drop Technique. The drop is placed on a glass coverslip, which is then inverted and used to seal a small reservoir in a Linbro Plate. After a period of several hours to weeks, microscopic crystals may form and continue to grow. The other set up is known as Sitting Drop. In this method a drop (usually >10uL) is placed in a depression in either a Micro Bridge in a Linbro Plate or a glass plate and again placed in a closed system to equilibrate with a much larger reservoir. One usually uses the sitting drop technique if the drop has very low surface tension, making it hard to turn upside down or if the drops need to be larger than 20uL. Also, in some cases, crystals will grow better using one technique or the other.

In another embodiment, the plugs are preferably formed and transported such that excessive mixing of the protein with the precipitation agent is minimized or prevented. For example, gentle mixing using spiral channels may be used to achieve this and also to create interfaces between the protein and the precipitation agent. Alternatively, combining two streams of plugs in a T-junction without merging may be used to create plugs that diffuse and combine without significant mixing to establish a free interface after the flow is stopped. Diffusion of the proteins and precipitates through the interface induces crystallization. This is an analogue of the Free-Interface Diffusion method. It may be performed under either the microbatch or vapor diffusion conditions as described above.

Preferably, the spacing between plugs can be increased or the oil composition changed to reduce plug-plug diffusion. For example, a spacing of about 2.5 mm in paraffin oil can be used, which has been shown to be an effective barrier to aqueous diffusion in crystallization trials.

5           Visually identifying small crystals inside plugs with curved surfaces can be a challenge when performing microbatch experiments. In an aspect according to the invention, a method based on matching the refractive indices of carrier-fluid with that of the plug fluid to enhance visualization is used. Microscopic detection is preferably performed by using shallow channels and by matching the refractive indices of  
10 carrier-fluid mixtures to those of the aqueous solutions.

In addition, at least three other novel methods of controlling protein crystallization are described below: (1) using surface chemistry to effect nucleation of protein crystals; (2) using different mixing methods to effect crystallization; and (3) performing protein crystals seeding by separating nucleation and growth phases in  
15 space.

Control of nucleation is one of the difficult steps in protein crystallization. Heterogeneous nucleation is statistically a more favorable process than its solution-phase counterpart. Ideal surfaces for heterogeneous nucleation have complementary electrostatic maps with respect to their macromolecular counterparts. Critical nuclei  
20 are more stable on such surfaces than in solution. Further, the degree of supersaturation required for heterogeneous nucleation is much less than that required for the formation of solution-phase nuclei. Surfaces such as silicon, crystalline minerals, epoxide surfaces, polystyrene beads, and hair are known to influence the efficiency of protein crystallization. Few studies have been done, but promising  
25 results have been shown for protein crystallization at the methyl, imidazole, hydroxyl, and carboxylic acid termini of self-assembled monolayers on gold. Using self-assembled monolayers, proteins were crystallized over a broader range of crystallization conditions and at faster rates than when using the traditional silanized  
glass.

30           FIG. 18 is a schematic illustration of a method for controlling heterogeneous nucleation by varying the surface chemistry at the interface of an aqueous plug-fluid and a carrier-fluid. In FIG. 18, plugs are formed in the presence of several solutions of surfactants that possess different functional groups (left side of the diagram). The right side of FIG. 18 shows the aqueous phase region in which a precipitant, solvent,

and protein may be introduced into inlets 180, 181, and 182, respectively. The composition of the surfactant monolayer is preferably controlled by varying the flow rates. In another application of the method illustrated in FIG. 18, the surface chemistry can be varied continuously. The manipulation and control of the surface chemistry can be used for screening, assays, crystallizations, and other applications where surface chemistry is important.

In one aspect of the invention, heterogeneous nucleation of proteins is controlled by forming aqueous plugs in a carrier-fluid, preferably containing fluorosoluble surfactants if the carrier-fluid is a fluorocarbon. Varying the relative flow rates of the surfactant solutions may generate a wide variety of liquid-liquid interface conditions that can lead to the formation of mixed monolayers or mixed phase-separated monolayers. Preferably, several surfactants are used to control the heterogeneous nucleation of protein crystals. Ethylene-glycol monolayers are preferably used to reduce heterogeneous nucleation, and monolayers with electrostatic properties complementary to those of the protein are preferably used to enhance heterogeneous nucleation. These methods for controlling heterogeneous nucleation are designed to induce or enhance the formation of crystals that are normally difficult to obtain. These methods may also be used to induce or enhance the formation of different crystal polymorphs that are relatively more stable or better ordered.

As mentioned above, control of nucleation is highly desired in an advanced crystallization screen. One method that can be used to achieve control of nucleation involves the transfer of nucleating crystals from one concentration to another via dilution. This method, which has been applied in macroscopic systems primarily to vapor diffusion, was intended to allow decoupling of the nucleation and growth phases. This method is difficult to perform using traditional methods of crystallization because nucleation occurs long before the appearance of microcrystals.

FIG. 19 illustrates a method of separating nucleation and growth using a microfluidic network according to the present invention using proteins as a non-limiting example. The left side of FIG. 19 shows plugs that are formed preferably using high concentrations of protein and precipitant. In FIG. 19, the following can be introduced into the various inlets shown: buffer into inlets 191, 196; PEG into inlets 192, 197; precipitant into inlets 193, 198; solvent into inlets 194, 199; and protein into inlets 195, 200. Oil flows through the channels 201, 202 from left to right. The portions 203, 204, and 205 of the channel correspond to regions where fast nucleation

occurs (203), no nucleation occurs (204), and where crystal growth occurs (205). The concentrations used are those that correspond to the nucleating region in the phase diagram. Nucleation occurs as the plugs move through the channel to the junction over a certain period. Preferably, these plugs are then merged with plugs containing a protein solution at a point corresponding to a metastable (growth, rather than nucleation) region (right side of FIG. 19). This step ends nucleation and promotes crystal growth. When the combined channel has been filled with merged plugs, the flow is preferably stopped and the nuclei allowed to grow to produce crystals.

Nucleation time can be varied by varying the flow rate along the nucleation channel. The nucleus is preferably used as a seed crystal for a larger plug with solution concentrations that correspond to a metastable region. Existing data indicate the formation of nuclei within less than about 5 minutes.

Fluid mixing is believed to exert an important effect in crystal nucleation and growth. Methods according to the invention are provided that allow a precise and reproducible degree of control over mixing. FIG. 20 illustrates two of these methods. A method of mixing preferably places the solution into a nucleation zone of the phase diagram without causing precipitation. Preferably, gentle mixing (FIG. 20, left side) is used to achieve this by preventing, reducing, or minimizing contact between concentrated solutions of the protein and precipitant. Alternatively, rapid mixing (FIG. 20, right side) is used to achieve this by allowing passage through the precipitation zone sufficiently quickly to cause nucleation but not precipitation. The two methods used as examples involve the use of spiraling channels for gentle mixing and serpentine channels for rapid mixing.

The two methods in accordance with the invention depicted in FIG. 20 can be used to determine the effect of mixing on protein crystallization. In addition, the various methods for controlling mixing described previously (*e.g.*, slow mixing in straight channels, chaotic mixing in non-straight channels, or mixing in which twirling may or may not occur) can be applied to crystallization, among other things.

After obtaining the crystals using any of the above described techniques, the crystals may be removed from the microfluidic device for structure determination. In other systems, the fragile and gelatinous nature of protein crystals makes crystal collection difficult. For example, removing protein crystals from solid surfaces can damage them to the point of uselessness. The present invention offers a solution to this problem by nucleating and growing crystals in liquid environments. In an aspect

according to the invention, a thin wetting layer of a carrier-fluid covered with a surfactant is used to enable or facilitate the separation of a growing crystal from a solid surface. When the crystals form, they may be separated from the PDMS layer by using a thin layer of a carrier-fluid.

5           In one aspect, a microfluidic device of the present system can include further include capillary tubing suitable for collecting plugs (“the capillary device”; FIG. 46). The tubing is preferably composed of a material that prevents uncontrolled evaporation of solutions (such as water) through its wall. Further, use of the capillary tubing can enable direct screening of crystals by x-ray diffraction analysis or other  
10       spectrophotometric detection/analysis means employing *e.g.*, optical or infrared detection. Plugs in the capillary tubing have been found to be stable and did not show signs of evaporation over several months, even in the absence of humidity control. Therefore, the capillary device can be incubated for a much longer time than all-PDMS microfluidic chips. Water diffusion can be controlled by varying the starting  
15       salt concentration differences as well the distance between plugs. Production of crystals directly inside the capillary tubes can facilitate on-chip diffraction without having to move the crystal around.

          Upon formation of plugs in the PDMS portion and their transfer into capillary tubing, the flow rates are stopped, the capillary tubing is disconnected from the  
20       PDMS portion and the ends are sealed by capillary wax. The capillary tubing may be incubated under suitable crystallization conditions (*e.g.*, temperature etc.) until crystals form inside the plugs. Formation of crystals can be monitored using optical detection and/or x-ray diffraction methods. Crystals grown at the fluid-fluid interface can be easily removed from the capillary by gentle flow, or by breaking the capillary and  
25       wicking the liquid out. Upon formation of suitable crystals, the capillaries are frozen and structures are directly determined from inside the capillary using *e.g.*, synchrotron radiation. Because this method obviates the problem of handling and mounting crystals and because it can facilitate the determination of structure directly from within the capillary, it may be especially suitable for high-throughput, fully automated  
30       crystallization.

          The plugs in the capillary tubing can be stable in both hydrophilic (*e.g.*, treated with by chromic acid) or hydrophobic (*e.g.*, silanized) capillaries for over a month, even if the capillary is placed vertically for over three days.

The use of x-ray capillary tubing for protein crystallization can also be applied to a controlled vapor diffusion process which lends itself to direct monitoring and structural determination of protein crystals in the capillary tubing (FIG. 49). In this modified vapor-diffusion process an array of plugs is generated in the channel portion of a capillary device (as described above) where the protein and precipitant plugs alternate with plugs containing a high concentration of precipitant. Syringe pumps attached to the capillary device cause the plugs to flow into suitable x-ray capillary tubing. At the conclusion of the experiment, the flow is stopped, the capillary is disconnected from the PDMS portion and the ends are sealed with capillary wax. The x-ray capillary is incubated under optimal conditions until crystals form inside the plugs.

The use of carrier fluid (oil) permeable to water causes the water from the plugs to diffuse through from the oil from the plugs that are low in osmolarity into plugs that are higher in osmolarity, thereby increasing the concentration of the protein and precipitants in the plugs for crystallization. The rate of water transfer from the plugs and the amount of water transferred between the two types of plugs may be controlled by using oils having different water permeabilities, by changing the size or distance between plugs or by altering the precipitant concentrations between the different types of plugs (*i.e.*, changing the difference in osmolarity between the different plug types). All of these parameters can be conveniently altered by changing the relative flow rates of the aqueous and carrier-fluid (oil) solutions. Poly-3,3,3-trifluoropropylmethylsiloxane (FMS-121) can be a suitable carrier-oil fluid for this procedure.

One scheme for generating alternating plugs by vapor diffusion involves attaching four different syringes to a PDMS device, each syringe associated with a syringe pump for introducing each of aqueous solutions A, B into respective aqueous inlet channels and for introducing each of carrier oil fluids C, D into respective oil inlet channels. The aqueous solutions can be the same or different. Multiple, distinct aqueous solutions can also be co-introduced together in one or both of the two aqueous channels. In principle, the same oil or different oils may be used in the two oil inlets. In either case, one oil inlet channel is parallel to the main channel; the other oil inlet channel is vertical to the main channel and is

positioned between the two aqueous inlet channels to separate the two aqueous streams into alternating plugs.

Importantly, the flow rates of solutions A and B may be changed in a correlated fashion. Thus, when the flow rate of solution A<sub>1</sub> is increased and solution A<sub>2</sub> is decreased, the flow rate of solutions B<sub>1</sub> is also increased and solution B<sub>2</sub> is also decreased. This can allow one to maintain a constant difference in osmolarity between the plugs of stream A and stream B to ensure that transfer from all plugs A to all plugs B occurs at a constant rate. Moreover, if the flow rates of the corresponding A and B streams are changed in a correlated fashion, the composition of plugs B will reflect the composition of plugs A thereby allowing one to incorporate markers into the B stream plugs to serve as a code for the plugs in the A stream. Thus, if the two types of plugs are made in a correlated way, one type of droplet may be used for crystallization, while the other type of droplet is used for indexing provided it contains a label conferring a read out with respect to crystallization. In other words, absorption/fluorescent dyes or x-ray scattering/absorbing materials can be incorporated in markers in the B streams to facilitate optical density quantification or x-ray diffraction analysis to provide a read out of relative protein and precipitant concentrations in the A streams. This approach can provide a powerful means for optimizing crystallization conditions for subsequent scale-up experiments.

The use of markers may be performed using an oil that is impermeable to water (as in a microbatch procedure) to prevent transfer of water or any other material between the A plugs and B plugs. Alternatively, the B plugs may additionally incorporate a high concentration of dehydration agents (salt, other precipitants) in conjunction with a water-permeable oil as described above. In this way, the B plugs can serve both as markers for the A plugs and as sinks for excess water. Oils that are selectively permeable to materials other than water may also be used to induce transfer of other materials between the plugs and through the oil.

Alternating plugs may be generated using a range of channel geometries. The plugs may also alternate in patterns other than A:B:A:B. For example, other patterns (such as A:A:A:B:A:A:A:B, etc) may be obtained where transfer of water from A plugs adjacent to B plugs is faster than transfer of water from the middle A

plug. This can create conditions favorable for creating multiple, different sets of crystallization conditions. The alternating droplet systems may be extended to more than two types of plugs alternating in the same channel or capillary (for example, A plugs with the crystallization solutions, B plugs with the dehydrating agents, and C plugs with markers or with a cryoprotectant).

The above described capillary systems are not limited to protein crystallization -- other types of crystallizations and experiments may be performed. For example, the vapor diffusion/alternating droplet approach can be extended to e.g., a process for concentrating materials (such as protein). Such a process would be effected through diffusion of water plugs that are relatively low in osmolarity into plugs having a higher osmolarity. It should be noted, however, that solution materials in the different plug types do not have to be aqueous in nature, but can be in the form of solvents also. Alternatively, the A and B plugs do not have to be in solution at all, but can instead be in the form of emulsions or suspensions.

It will be clear to one skilled in the art that while the above techniques are described in detail for the crystallization of proteins, techniques similar to the ones described above may also be used for the crystallization of other substances, including other biomolecules or synthetic chemicals. In addition, the devices and methods according to the invention may be used to perform co-crystallization. For example, a crystal comprising more than one chemical may be obtained, for example, through the use of at least one stream of protein, a stream of precipitant, and optionally, a stream comprising a third chemical such as an inhibitor, another protein, DNA, etc. One may then vary the conditions to determine those that are optimal for forming a co-crystal.

25

## **PARTICLE SEPARATION/SORTING USING PLUGS**

The flow within the moving plugs can be used for separation of polymers and particles. Plugs can be used for separation by first using flow within a moving plug to establish a distribution of the polymers or particles inside the plug (for example, an excess of the polymer inside the front, back, right or left side of the plug) and then using splitting to separate and isolate the part of the plug containing higher concentration of the polymers or particles. When two polymers or particles are

30

present inside the plug and establish different distributions, splitting can be used to separate the polymers or particles.

The invention is further described below, by way of the following examples. It will be appreciated by persons of ordinary skill in the art that this example is one of many embodiments and is merely illustrative. In particular, the device and method described in this example (including the channel architectures, valves, switching and flow control devices and methods) may be readily adapted, *e.g.*, used in conjunction with one or more devices or methods, so that plugs may be analyzed, characterized, monitored, and/or sorted as desired by a user.

## EXAMPLE

### Example 1 - Fabrication of Microfluidic Devices and a General Experimental Procedure

Microfluidic devices with hydrophilic channel surfaces were fabricated using rapid prototyping in polydimethylsiloxane. The channel surfaces were rendered hydrophobic either by silanization or heat treatment. To silanize the surfaces of channels, (tridecafluoro-1,1,2,2-tetrahydrooctyl)-1-trichlorosilane (United Chemical Technologies, Inc.) vapor was applied to the inlets of a device with dry nitrogen as a carrier gas at around 40-60 mm Hg above about 1 atm pressure. Vacuum was simultaneously applied to the outlet of the device at about 650 mm Hg below atmospheric pressure. The silane vapor was applied for a period of between about 1-3 hours. To treat the channels using heat, a device was placed in an oven at approximately 120°C for about three hours. Alternatively, a device can be heated in a Panasonic “The Genius” 1300 Watt microwave oven at power set to “10” for about ten minutes.

Oils and aqueous solutions were pumped through devices using a kdScientific syringe pump (Model 200) or Harvard Apparatus PhD 2000 pump. Hamilton Company GASTIGHT syringes were used (10-250  $\mu$ l) and Hamilton Company 30 gauge Teflon<sup>®</sup> needles were used to attach the syringes to the devices. Oils and aqueous solutions were pumped through devices at volumetric flow rates ranging from about 0.10  $\mu$ L/min to about 10.0  $\mu$ L/min.

Aqueous solutions were colored using Crayola Original Formula Markers or Ferroin Indicator (0.025 M, Fisher Scientific). Oils that were used included perfluorodecaline (mixture of cis and trans, 95%, Acros Organics),

perfluoroperhydrophenanthrene (tech., Alfa-Aesar), or 1H,1H,2H,2H-perfluorooctanol (98%, Alfa-Aesar). The experiments were typically performed using 10:1 mixtures of perfluorodecaline and 1H,1H,2H,2H-perfluorooctanol.

The experiments were monitored using a Lica MZFLIII stereoscope with  
5 Fostec (Schott-Fostec, LLC) Modulamps. Photographs of the experiments were taken with a Spot Insight Color Camera, Model # 3.2.0 (Diagnostic Instruments, Inc.). Spot Application version 3.4.0.0 was used to take the photographs with the camera.

#### Example 2 - Varying the Concentration of Aqueous Solutions in Plugs

10 The left side of each of FIGS. 25A-C shows a schematic diagram of the microfluidic network and the experimental conditions. The right side of each of FIGS. 25A-C shows microphotographs illustrating the formation of plugs using different concentrations of the aqueous streams. Aqueous solutions of food dyes (red/dark and green/light) and water constituted the three streams. The volumetric  
15 flow rates of the three solutions (given in  $\mu\text{L}/\text{min}$ ) are indicated. The dark stream is more viscous than the light stream. Therefore, the dark (more viscous) stream moves (measured in  $\text{mm}/\text{s}$ ) more slowly and occupies a larger fraction of the channel at a given volumetric flow rate.

FIG. 45a) shows a schematic of the microfluidic network used to demonstrate  
20 that on-chip dilutions can be accomplished by varying the flow rates of the reagents. In FIG. 45a), the reagents are introduced through inlets 451, 453 while the dilution buffer is introduced through inlet 452. An oil stream flows through channel 454. The blue rectangle outlines the field of view for images shown in FIG. 45c)-d). FIG. 45b) shows a graph quantifying this dilution method by measuring fluorescence of a  
25 solution of fluorescein diluted in plugs in the microchannel. Data are shown for 80 experiments in which fluorescein was flowed through one of the three inlets, where  $C_{\text{measured}}$  and  $C_{\text{theoretical}}$  [ $\mu\text{M}$ ] are measured and expected fluorescein concentration. FIG. 45(c) shows photographs illustrating this dilution method with streams of food dyes 455, 456, 457 having flow rates of 45 nL/s, 10 nL/s, and  
30 10nL/s, respectively. FIG. 45(d) shows photographs illustrating this dilution method with streams of food dyes 458, 459, 460 having flow rates of 10 nL/s, 45 nL/s, and 10nL/s, respectively. Carrier fluid was flowed at 60 nL/s.

### Example 3

Networks of microchannels with rectangular cross-sections were fabricated using rapid prototyping in PDMS. The PDMS used was Dow Corning Sylgard Brand 184 Silicone Elastomer, and devices were sealed using a Plasma Prep II (SPI  
5 Supplies). The surfaces of the devices were rendered hydrophobic by baking the devices at 120°C for 2-4 hours.

In FIG. 26, the red aqueous streams were McCormick® red food coloring (water, propylene glycol, FD&C Red 40 and 3, propylparaben), the green aqueous streams were McCormick® green food coloring (water, propylene glycol, FD&C  
10 yellow 5, FD&C blue 1, propylparaben) diluted 1:1 with water, and the colorless streams were water. PFD used was a 10:1 mixture of perfluorodecaline (mixture of cis and trans, 95%, Acros Organics):1H,1H,2H,2H-perfluorooctanol (Acros Organics). The red aqueous streams were introduced in inlet 260, 265 while the green aqueous streams were introduced in inlets 262, 263 in FIG. 26b). The colorless  
15 aqueous stream was introduced in inlets 261, 264. The dark shadings of the streams and plug are due mainly from the red dye while the lighter shadings are due mainly from the green dye.

Aqueous solutions were pumped using 100 µL Hamilton Gastight syringes (1700 series, TLL) or 50 µL SGE gastight syringes. PFD was pumped using 1mL  
20 Hamilton Gastight syringes (1700 series, TLL). The syringes were attached to microfluidic devices by means of Hamilton Teflon needles (30 gauge, 1 hub). Syringe pumps from Harvard Apparatus (PHD 2000 Infusion pumps; specially-ordered bronze bushings were attached to the driving mechanism to stabilize pumping) were used to infuse the aqueous solutions and PFD.

Microphotographs were taken with a Leica MZ12.5 stereomicroscope and a  
25 SPOT Insight Color digital camera (Model #3.2.0, Diagnostic Instruments, Inc.). SPOT Advanced software (version 3.4.0 for Windows, Diagnostic Instruments, Inc.) was used to collect the images. Lighting was provided from a Machine Vision Strobe X-Strobe X1200 (20Hz, 12µF, 600V, Perkin Elmer Optoelectronics). To obtain an  
30 image, the shutter of the camera was opened for 1 second and the strobe light was flashed once with the duration of the flash being about 10µs.

Images were analyzed using NIH Image software, Image J. Image J was used to measure periods and lengths of plugs from microphotographs such as shown in Fig. 27b). Periods corresponded to the distance from the center of one plug to the center

of an adjacent plug, and the length of a plug was the distance from the extreme front to the extreme back of the plug (see FIG. 28 for the definitions of front and back). Measurements were initially made in pixels, but could be converted to absolute measurements by comparing them to a measurement in pixels of the 50 $\mu$ m width of the channel.

To make measurements of the optical intensity of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes in plugs, microphotographs were converted from RGB to CMYK color mode in Adobe Photoshop 6.0. Using the same program, the yellow color channels of the microphotographs were then isolated and converted to grayscale images, and the intensities of the grayscale images were inverted. The yellow color channel was chosen to reduce the intensity of bright reflections at the extremities of the plugs and at the interface between the plugs and the channel. Following the work done in Photoshop, regions of plugs containing high concentrations of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes appeared white while regions of low concentration appeared black. Using Image J, the intensity was measured across a thin, rectangular region of the plug, located halfway between the front and back of the plug (white dashed lines in FIG. 27a1)). The camera used to take the microphotographs of the system was not capable of making linear measurements of optical density. Therefore, the measurements of intensity were not quantitative. Several of the plots of intensity versus relative position across the channel (FIG. 27c) were shifted vertically by less than 50 units of intensity to adjust for non-uniform illuminations of different parts of the images. These adjustments were justified because it was the shape of the distribution that was of interest, rather than the absolute concentration.

FIG. 29a)-b) shows plots of the sizes of periods and sizes of plugs as a function of total flow velocity (FIG. 29a)) and water fraction ( $wf$ ) (FIG. 29b)). Values of capillary number ( $C.n.$ ) were 0.0014, 0.0036, 0.0072 and 0.011, while values of the Reynolds number ( $R_e$ ) were 1.24, 3.10, 6.21, and 9.31, each of the  $C.n.$  and  $R_e$  value corresponding to a set of data points with water fractions ( $wf$ ) 0.20, 0.52, 0.52, and 0.20 (the data points from top to bottom in FIG. 29A)). In turn, each of these sets of data points corresponds to a particular flow velocity as shown in FIG. 29a). Plugs in FIG. 29b) travel at about 50 millimeter/second (mm/s). All measurements of length and size are relative to the width of the channels (50 $\mu$ m).

FIG. 30 shows microphotographs illustrating weak dependence of periods, length of plugs, and flow patterns inside plugs on total flow velocity. The left side of

FIG. 30 shows a diagram of the microfluidic network. Here, the same solutions were used as in the experiment corresponding to FIG. 27. The  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  solution was introduced into inlet 301 while the colorless aqueous streams were introduced into inlets 302, 303. The same carrier fluid as used in the FIG. 27 experiment was flowed into channel 304. The right side of FIG. 30 shows microphotographs of plugs formed at the same water fraction (0.20), but at different total flow velocities (20, 50, 100, 150 mm/s from top to bottom). Capillary numbers were 0.0014, 0.0036, 0.0072, and 0.011, respectively, from top to bottom. Corresponding Reynolds numbers were 1.24, 3.10, 6.21, and 9.31.

FIG. 31A-C are plots showing the distribution of periods and lengths of plugs where the water fractions were 0.20, 0.40, and 0.73, respectively. The total flow velocity was about 50 mm/s, C.n. = 0.0036,  $R_c = 3.10$  in all cases.

FIG. 27 shows the effects of initial conditions on mixing by recirculating flow inside plugs moving through straight microchannels. FIG. 27a1) shows that recirculating flow (shown by black arrows) efficiently mixed solutions of reagents that were initially localized in the front and back halves of the plug. Notations of front, back, left, and right are the same as that in FIG. 28. FIG. 27a2) shows that recirculating flow (shown by black arrows) did not efficiently mix solutions of reagents that were initially localized in the left and right halves of the plugs. The left side of FIG. 27b) shows a schematic diagram of the microfluidic network. The two colorless aqueous streams were introduced into inlets 271, 272 while a carrier fluid in the form of perfluorodecaline flowed through channel 273. These solutions did not perturb the flow patterns inside plugs.

The right side of FIG. 27b) shows microphotographs of plugs of various lengths near the plug-forming region of the microfluidic network for water fractions of from 0.14 up to 1.00. FIG. 27c1) shows a graph of the relative optical intensity of  $\text{Fe}(\text{SCN})_x^{(3-x)+}$  complexes in plugs of varying lengths. The intensities were measured from left ( $x = 1.0$ ) to right ( $x = 0.0$ ) across the width of a plug (shown by white dashed lines in FIG. 27a1)-a2)) after the plug had traveled 4.4 times its length through the straight microchannel. The gray shaded areas indicate the walls of the microchannel. FIG. 27c2) is the same as FIG. 27c1) except that each plug had traversed a distance of 1.3 mm. The  $d/l$  of each water fraction ( $wf$ ) were 15.2 ( $wf$  0.14), 13.3 ( $wf$  0.20), 11.7 ( $wf$  0.30), 9.7 ( $wf$  0.40), 6.8 ( $wf$  0.60), 4.6 ( $wf$  0.73), and

2.7 ( $wf0.84$ ), where  $d$  is the distance traveled by the plug and  $l$  is the length of the plug.

#### Example 4 - Merging of Plugs

5 Experiments were conducted to investigate the merging of plugs using different channel junctions (T- or Y-shaped), cross-sections, and flow rates (see FIG. 33a-d). The figures on the left side of FIGS. 33a-d show top views of microfluidic networks that comprise channels having either uniform or nonuniform dimension (e.g., the same or different channel diameters). The corresponding figures on the right  
10 are microphotographs that include a magnified view of two plug streams (from the two separate channels portions of which form the branches of the Y-shaped junction) that merges into a common channel.

In FIG. 33a, the oil-to-water volumetric ratio was 4:1 in each pair of oil and water inlets. The oil streams were introduced into inlets 330, 332, while the aqueous  
15 streams were introduced into inlets 331, 333. The flow rates of the combined oil/water stream past the junction where the oil and water meet was 8.6 mm/s. The channels, which were rectangular, had dimensions of 50 (width) x 50 (height)  $\mu\text{m}^2$ . As shown in FIG 33a, plugs that flow in uniform-sized channels typically merged only when they simultaneously arrived at the T-junction. Thus, plug merging in these  
20 channels occur infrequently. In addition, lagging plugs were typically not able to catch up with leading plugs along the common channel.

FIG. 33b illustrates plug merging occurring between plugs arriving at different times at the Y-shaped junction (magnified view shown). The oil streams were introduced into inlets 334, 336, while the aqueous streams were introduced into inlets  
25 335, 337. In FIG. 33b, the flow rates for the combined oil/water fluid past the junction where the oil and water meet were 6.9 mm/s for channel 346 (the 50 x 50  $\mu\text{m}^2$  channel) and 8.6 mm/s for channel 347 (the 25 x 50  $\mu\text{m}^2$  channel). The oil-to-water volumetric ratio was 4:1 in each pair of oil and water inlets. The two channels (the branch channels) merged into a common channel 348 that had a 100 x 50  $\mu\text{m}^2$   
30 cross-section. As shown in the figure, the larger plugs from the bigger channel are able to merge with the smaller plugs from the narrower channel even when they do not arrive at the junction at the same time. This is because lagging larger plugs are able to catch up with the leading smaller plugs once the plugs are in the common channel.

FIG. 33c depicts in-phase merging (*i.e.*, plug merging upon simultaneous arrival of at least two plugs at a junction) of plugs of different sizes generated using different oil/water ratios at the two pairs of inlets. The oil streams were introduced into inlets 338, 340, while the aqueous streams were introduced into inlets 339, 341.

5 The flow rate corresponding to the fluid stream through channel 349 resulting from a 1:1 oil-to-water volumetric ratio was 4.0 mm/s, while that through channel 350 corresponding to the 4:1 oil-to-water volumetric ratio was 6.9 mm/s. Each branch channel of the Y-shaped portion of the network (magnified view shown) had a dimension of  $50 \times 50 \mu\text{m}^2$  while the common channel 351 (the channel to which the

10 branch channels merge) was  $125 \times 50 \mu\text{m}^2$ .

FIG. 33d illustrates defects (*i.e.*, plugs that fail to undergo merging when they would normally merge under typical or ideal conditions) produced by fluctuations in the relative velocity of the two incoming streams of plugs. The oil streams were introduced into inlets 342, 344, while the aqueous streams were introduced into inlets

15 343, 345. In this experiment, the flow rate corresponding to the fluid stream through channel 352 resulting from a 1:1 oil-to-water volumetric ratio was 4.0 mm/s, while that through channel 353 corresponding to the 4:1 oil-to-water volumetric ratio was 6.9 mm/s. Each branch channel that formed one of the two branches of the Y-shaped intersection (magnified view shown) was  $50 \times 50 \mu\text{m}^2$  while the common channel 354

20 (the channel to which the two branch channels merge) is  $125 \times 50 \mu\text{m}^2$ .

#### Example 5 - Splitting Plugs Using a Constricted Junction

The splitting of plugs was investigated using a channel network with a constricted junction. In this case, the plugs split and flowed past the junction into two

25 separate branch channels (in this case, branch channels are the channels to which a junction branches out) that are at a  $180^\circ$ -angle to each other (see FIGS. 34a-c each of which show a channel network viewed from the top). In these experiments, the outlet pressures,  $P_1$  and  $P_2$ , past the constricted junction were varied such that either  $P_1 \approx P_2$  (FIG. 34b) or  $P_1 < P_2$  (FIG. 34c). Here, the relative pressures were varied by adjusting

30 the relative heights of the channels that were under pressures  $P_1$  and  $P_2$ . Since longer plugs tend to split more reliably, this branching point (or junction) was made narrower than the channel to elongate the plugs. FIG. 34a shows a schematic diagram of the channel network used in the experiment. The oil and water were introduced into

inlets 3400 and 3401, respectively. The oil-to-water ratio was 4:1 while the flow rate past the junction where the oil and water meet was 4.3 mm/s.

FIG. 34b is a microphotograph showing the splitting of plugs into plugs of approximately one-half the size of the initial plugs. The channels 3404, which were  
5 rectangular, had a cross-section that measured  $50 \times 50 \mu\text{m}^2$ . The constricted section of the channel 3402 right next to the branching point measured  $25 \times 50 \mu\text{m}^2$ . The outlet pressures,  $P_1$  and  $P_2$ , were about the same in both branch channels. Here, the plugs split into plugs of approximately the same sizes.

FIG. 34c is a microphotograph showing the asymmetric splitting of plugs (*i.e.*,  
10 the splitting of plugs into plugs of different sizes or lengths) which occurred when  $P_1 < P_2$ . The microphotograph shows that larger plugs (somewhat rectangular in shape) flowed along the channel with the lower pressure  $P_1$ , while smaller plugs (spherical in shape) flowed along the channel with the higher pressure  $P_2$ . As in FIG. 34b, each of the channel 3405 cross-section measured  $50 \times 50 \mu\text{m}^2$ . The constricted section of the  
15 channel 3403 at the junction measured  $25 \times 50 \mu\text{m}^2$ .

#### Example 6 - Splitting Plugs Without Using a Constricted Junction

The splitting of plugs was investigated using a channel network without a constriction such as the one shown in FIGS. 35b-c. The channel network used was  
20 similar to that shown in FIG. 34(a) except that here the plugs split and flowed past the junction in two separate channels at a  $90^\circ$ -angle to each other (the plug flow being represented by arrows). The oil and aqueous streams (4:1 oil:aqueous stream ratio) were introduced into inlets 3500 and 3501, respectively. An oil-only stream flowed through channel 3502. All channels had a cross-section of  $50 \times 50 \mu\text{m}^2$ . The flow  
25 rate used was 4.3 mm/s. FIGS. 35a-c, which represent top views of a channel network, show that plugs behave differently compared to the plugs in Example 3 when they flow past a junction in the absence of a channel constriction, such as a constriction shown in FIGS. 35b-c. As FIG. 35c shows, when  $P_1 < P_2$ , the plugs remained intact after passing through the junction. Further, the plugs traveled along  
30 the channel that had the lower pressure ( $P_1$  in FIG. 35c) while the intervening oil stream split at the junction. The splitting of the oil stream at the junction gives rise to a shorter separation between plugs flowing along the channel with pressure  $P_1$  compared to the separation between plugs in the channel upstream of the branching point or junction.

### Example 7 - Monitoring Autocatalytic Reactions Using a Microfluidic System

FIG. 37 illustrates the design of an experiment involving chemical amplification in microfluidic devices according to the invention that involves an investigation of a stochastic autocatalytic reaction. This example illustrates how the devices of the present invention can be used to study the acid-sensitive autocatalytic reaction between  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$ . On the left side of the microfluidic network, a three-channel inlet introduces an aqueous stream through channel 3702, an ester through channel 3701, and an esterase through channel 3703. Oil flowed through channels 3713, 3714. The reaction between ester and esterase yield plugs 3704 that contain a small amount of acid. On the right side of the microfluidic network, the five-channel inlet introduces  $\text{NaClO}_2$  through inlet 3705, an aqueous stream through inlet 3706, a pH indicator through inlet 3707, a second aqueous stream through inlet 3708, and  $\text{NaS}_2\text{O}_3$  through channel 3709. A carrier fluid flows through channels 3713, 3714. Unstirred mixtures of  $\text{NaClO}_2$  and  $\text{NaS}_2\text{O}_3$  are highly unstable and even a slight concentration fluctuation within that mixture leads to rapid decomposition. Thus, the plugs 3710 containing  $\text{NaClO}_2/\text{NaS}_2\text{O}_3$  mixture must not only be quickly mixed but also promptly used after formation. In this proposed experiment, the curvy channels promote chaotic mixing. When a slightly acidic plug of the ester-esterase reaction is merged with a plug of an unstable  $\text{NaClO}_2/\text{NaS}_2\text{O}_3$  mixture at the contact region 3712, an autocatalytic reaction will generally be triggered. Upon rapid mixing of these two plugs, the resulting plugs 3711 become strongly acidic. The pH indicator introduced in the five-channel inlet is used to visualize this entire amplification process.

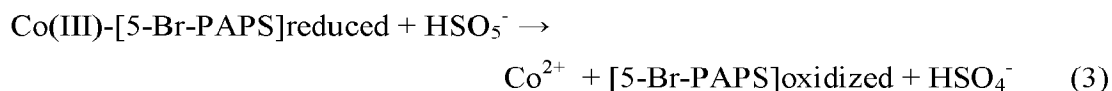
25

### Example 8 - Using Chemical Reactions as Highly Sensitive Autoamplifying Detection Elements in Microfluidic Devices

In one aspect according to the invention, a sequential amplification using controlled autocatalytic systems is used to amplify samples that contain single molecules of autocatalysts into samples containing a sufficiently high concentration of an autocatalyst such that the amplified autocatalyst can be detected with the naked eye can be detected with the naked eye. Although systems displaying stochastic behavior are expected to display high sensitivity and amplification, various autocatalytic systems can be used in accordance with the invention. A sequential amplification

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using the microfluidic devices according to the invention can be illustrated using a reaction that has been characterized analytically: the autocatalytic decomposition of violet bis[2-(5-bromo-pyridylazo)-5-(*N*-propyl-*N*-sulfopropyl-amino-phenolato] cobaltate, (Co(III)-5-Br-PAPS), upon oxidation with potassium peroxomonosulfate to produce colorless Co<sup>2+</sup> ions. Here, the Co<sup>2+</sup> ions serve as the autocatalyst (the order of autocatalysis, *m*, has not been established for this reaction).



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Addition of small amounts of Co<sup>2+</sup> to the violet mixture of (Co(III)-5-Br-PAPS and peroxomonosulfate produces an abrupt loss of color to give a colorless solution. The time delay before this decomposition depends on the amount of the Co<sup>2+</sup> added to the solution. This reaction has been used to detect concentrations of Co<sup>2+</sup> as low as about  $1 \times 10^{-10}$  mole/L. The reaction shows good selectivity in the presence of other ions (V(V), Cr(III), Cr(VI), Mn(II), Fe(II), Ni(II), Cu(II) and Zn(II)).

To use this reaction for amplification, a microfluidic network as shown in FIG. 38 is preferably used. An unstable solution of Co(III)-[5-Br-PAPS]<sub>reduced</sub> and peroxomonosulfate at pH=7 buffer in large plugs are preferably formed in a channel. These large plugs are preferably split in accordance with the invention into three different sizes of plugs. Preferably, the plug sizes are  $(1 \mu\text{m})^3 = 10^{-15}$  L in the first channel;  $(10 \mu\text{m})^3 = 10^{-12}$  L in the second channel; and  $(100 \mu\text{m})^3 = 10^{-9}$  L in the third channel. A three-step photolithography is preferably used in the fabrication of masters for these microfluidic channels.

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#### Example 9 - Multi-Stage Chemical Amplification In Microfluidic Devices For Single Molecule Detection

FIG. 38 illustrates a method for a multi-stage chemical amplification for single molecule detection using microfluidic devices according to the invention. This example illustrates the use of an autocatalytic reaction between Co(III)-5-Br-PAPS (introduced through inlet 3803) and KHSO<sub>5</sub> (introduced through inlet 3801) in a pH=7 buffer (introduced through inlet 3802) that is autocatalyzed by Co<sup>2+</sup> ions. Oil streams are allowed to flow through channels 3804, 3805. This reaction mixture

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(contained in plugs 3811) is unstable and decomposes rapidly (shown in red) when small amounts of  $\text{Co}^{2+}$  3810 are added. Thus, this reaction mixture is preferably mixed quickly and used immediately. The reaction mixture is preferably transported through the network in  $(1\mu\text{m})^3$ ,  $(10\mu\text{m})^3$ ,  $(100\mu\text{m})^3$  size plugs. On the left side of the microfluidic network, the approximately  $1\mu\text{m}^3$  plugs of the sample to be analyzed form at a junction of two channels (shown in green). The merging of plugs containing  $\text{Co}^{2+}$  ions and plugs containing the reaction mixture results in a rapid autocatalytic reaction. By using an amplification cascade in which larger and larger plugs of the reaction mixture are used for amplification, each  $\text{Co}^{2+}$  ion in a plug can be amplified to about  $10^{10}$   $\text{Co}^{2+}$  ions per plug. The result of amplification is visually detectable.

The  $(10\mu\text{m})^3$  plugs are preferably merged with larger  $(100\mu\text{m})^3$  plugs in the third channel to give approximately  $4 \times 10^{-8}$  mole/L solution of  $\text{Co}^{2+}$  ions. Autocatalytic decomposition in the approximately  $10^{-9}$  L plugs will produce plugs 3809 with about  $2.4 \times 10^{10}$   $\text{Co}^{2+}$  ions ( $4 \times 10^{-5}$  mole/L). The flow rates in this system are preferably controlled carefully to control the time that plugs spend in each branch. The time provided for amplification is preferably long enough to allow amplification to substantially reach completion, but short enough to prevent or minimize slow decomposition.

Using different plug sizes is advantageous when merging plugs. Plugs with a size of about  $(1\mu\text{m})^3$  are preferably formed by flowing a sample containing about  $3 \times 10^{-9}$  mole/L  $\text{Co}^{2+}$  through channel 3806. This reaction can be used to detect  $\text{Co}^{2+}$  at this, or lower, concentration (Endo *et al.*, "Kinetic determination of trace cobalt(II) by visual autocatalytic indication," *Talanta*, 1998, vol. 47, pp. 349-353; Endo *et al.*, "Autocatalytic decomposition of cobalt complexes as an indicator system for the determination of trace amounts of cobalt and effectors," *Analyst*, 1996, vol. 121, pp. 391-394.). These plugs have a corresponding volume of about  $10^{-15}$  L and carry just a few cobalt ions, on average about 1.8 ions per plug (corresponding to a Poisson distribution). These plugs 3810 are preferably merged with the  $(1\mu\text{m})^3$  plugs 3811 containing the  $\text{Co(III)-5-Br-PAPS/}$ peroxomonosulfate mixture (about  $4 \times 10^{-5}$  mole/L).

Upon autocatalytic decomposition of the complex, the number of  $\text{Co}^{2+}$  ions in the merged plug 3807 will increase by a factor of between about  $10^4$  to  $1.2 \times 10^4$   $\text{Co}^{2+}$  ions ( $2 \times 10^{-5}$  mole/L in  $2\mu\text{m}^3$ ). These plugs 3807 are preferably merged with the  $(10\mu\text{m})^3$  plugs 3811 containing the unstable mixture (about  $4 \times 10^{-5}$  mole/L). The

concentration of  $\text{Co}^{2+}$  ions in these approximately  $10^{-12}$  L plugs is preferably about  $2 \times 10^{-8}$  mole/L, which is sufficient to induce autocatalytic decomposition. The number of  $\text{Co}^{2+}$  ions will increase by a factor of between about  $10^3$  to about  $2.4 \times 10^7$  ions/plug in plugs 3808. The starting solution is dark violet ( $\epsilon = 9.8 \times 10^4$  L mol $^{-1}$ cm $^{-1}$  for Co(III)-5-Br-PAPS). Channels are preferably designed to create an optical path through at least ten consecutive 100  $\mu\text{m}$  plugs. These plugs will provide an approximately 1-mm long optical path, with absorbance of the starting  $4 \times 10^{-5}$  mole/L solution of about 0.4. This absorbance can be detected by an on-chip photodetector or with the naked eye. If  $\text{Co}^{2+}$  is present in the sample solution, an autocatalytic cascade will result in the disappearance of the color of the reaction mixture.

At low concentrations of  $\text{Co}^{2+}$  in the sample, the system may show stochastic behavior, that is, not every  $\text{Co}^{2+}$  ion would give rise to a decomposition cascade. However, the attractive feature of this system is that thousands of tests can be carried out in a matter of seconds, and statistics and averaging can be performed. Preferably, a sequence of controlled autocatalytic amplification reactions leads to a visual detection of single ions.

#### Example 10 - Enzyme Kinetics

A microfluidic chip according to the invention was used to measure millisecond single-turnover kinetics of ribonuclease A (RNase A; EC 3.1.27.5), a well-studied enzyme. Sub-microliter sample consumption makes the microfluidic chip especially attractive for performing such measurements because they require high concentrations of both the enzyme and the substrate, with the enzyme used in large excess.

The kinetic measurements were performed by monitoring the steady-state fluorescence arising from the cleavage of a fluorogenic substrate by RNase A as the reaction mixture flowed down the channel (see FIG. 40(a)). In FIG. 40, a substrate, buffer, and RNase A were introduced into inlets 401, 401, and 403, respectively. A carrier fluid flowed through channel 404. The amount of the product at a given reaction time  $t$  [s] was calculated from the intensity of fluorescence at the corresponding distance point  $d$  [m] ( $t = d/U$  where  $U = 0.43$  m/s is the velocity of the flow). The channels were designed to wind so that rapid chaotic mixing was induced, and were designed to fit within the field of view of the microscope so that the entire reaction profile could be measured in one spatially resolved image. Selwyn's test

(Duggleby, R. G., *Enzyme Kinetics and Mechanisms, Pt D*; Academic Press: San Diego, 1995, vol. 249, pp. 61-90; Selwyn, M. J. *Biochim. Biophys. Acta*, 1965, vol. 105, pp. 193-195) was successfully performed in this system to establish that there were no factors leading to product inhibition or RNase A denaturation.

5           The flow rate of the stock solution of 150  $\mu\text{M}$  of RNase A was kept constant to maintain 50  $\mu\text{M}$  of RNase A within the plugs. By varying the flow rates of the buffer and substrate (see FIG. 45), progress curves were obtained for eight different substrate concentrations. For  $[E]_0 \gg [S]_0$ , the simple reaction equation is  $[P]_t = [S]_0(1 - \text{Exp}(-kt))$ , where  $[E]_0$  is the initial enzyme concentration,  $[S]_0$  is the initial substrate  
10           concentration,  $[P]_t$  is the time-dependent product concentration and  $k [\text{s}^{-1}]$  is the single-turnover rate constant. To obtain a more accurate fit to the data, the time delay  $\Delta t_n$  required to mix a fraction of the reaction mixture  $f_n$  was accounted for.

          An attractive feature of the microfluidic system used is that the reaction mixture can be observed at time  $t = 0$  (there is no dead-time). This feature was used  
15           to determine  $\Delta t_n$  and  $f_n$  in this device by obtaining a mixing curve using fluo-4 /  $\text{Ca}^{2+}$  system as previously described (Song *et al.*, *Angew. Chem. Int. Ed.* 2002, vol. 42, pp.

$$[P]_t = \sum_n f_n [S]_0 (1 - \text{Exp}(-k(t - \Delta t_n))) \quad [P]_t = \sum_n f_n [S]_0 (1 - \text{Exp}(-k(t - \Delta t_n)))$$

768-772), and correcting for differences in diffusion constants (Stroock *et al.*, *Science*, 2002, vol. 295, pp. 647-651). All eight progress curves gave a good fit with the same rate constant of  $1100 \pm 250 \text{ s}^{-1}$ . The simpler theoretical fits gave  
20           indistinguishable rate constants. These results are in agreement with previous studies, where cleavage rates of oligonucleotides by ribonucleases were shown to be  $\sim 10^3 \text{ s}^{-1}$ .

          Thus, this example demonstrates that millisecond kinetics with millisecond resolution can be performed rapidly and economically using a microchannel chip according to the invention. Each fluorescence image was acquired for 2 s, and  
25           required less than 70 nL of the reagent solutions. These experiments with stopped-flow would require at least several hundreds of microliters of solutions. Volumes of about 2  $\mu\text{L}$  are sufficient for  $\sim 25$  kinetic experiments over a range of concentrations. Fabrication of these devices in PDMS is straightforward (McDonald, *et al.*, *Accounts Chem. Res.* 2002, vol. 35, pp. 491-499) and no specialized equipment except for a  
30           standard microscope with a CCD camera is needed to run the experiments. This system could serve as an inexpensive and economical complement to stopped-flow methods for a broad range of kinetic experiments in chemistry and biochemistry.

### Example 11 - Kinetics of RNA Folding

The systems and methods of the present invention are preferably used to conduct kinetic measurements of, for example, folding in the time range from tens of  
5      microseconds to hundreds of seconds. The systems and methods according to the invention allow kinetic measurements using only small amounts of sample so that the folding of hundreds of different RNA mutants can be measured and the effect of mutation on folding established. In one aspect according to the invention, the kinetics of RNA folding is preferably measured by adding  $Mg^{2+}$  to solutions of previously  
10     synthesized unfolded RNA labeled with FRET pairs in different positions. In accordance with the invention, the concentrations of  $Mg^{2+}$  are preferably varied in the 0.04 to 0.4  $\mu M$  range by varying the flow rates (see, for example, FIGS. 25a)-c)) to rapidly determine the folding kinetics over a range of conditions. The ability to integrate the signal over many seconds using the steady-flow microfluidic devices  
15     according to the invention can further improve sensitivity.

As shown in FIGS. 25a)-c), the concentrations of aqueous solutions inside the plugs can be controlled by changing the flow rates of the aqueous streams. In FIGS. 25a)-c), aqueous streams were introduced into inlets 251-258 wherein flow rates of about 0.6  $\mu L/min$  for the two aqueous streams and 2.7  $\mu L/min$  was used for the third  
20     stream. The stream with the 2.7  $\mu L/min$  volumetric flow rate was introduced in the left, middle, and right inlet in FIGS. 25a)-c), respectively. A carrier fluid in the form of perfluorodecaline was introduced into channel 259, 260, 261. The corresponding photographs on each of the right side of FIGS. 25a)-c) illustrate the formation of plugs with different concentrations of the aqueous streams. The various shadings  
25     inside the streams and plugs arise from the use of aqueous solutions of food dyes (red/dark and green/light), which allowed visualization, and water were used as the three streams, the darker shading arising mainly from the red dye color while the lighter shading arising mainly from the green dye color. The dark stream is more viscous than the light stream, therefore it moves slower (in mm/s) and occupies a  
30     larger fraction of the channel at a given volumetric flow rate (in  $\mu L/min$ ).

### Example 12 - Nanoparticle Experiments With and Without Plugs

FIG. 15 illustrates a technique for the synthesis of CdS nanoparticles 155. In one experiment, nanoparticles were formed in a microfluidic network. The channels

of the microfluidic device had  $50\ \mu\text{m} \times 50\ \mu\text{m}$  cross-sections. A fluorinated carrier-fluid (10:1 v/v mixture of perfluorohexane and 1H,1H,2H,2H-perfluorooctanol) was flowed through the main channel at  $15\ \mu\text{m min}^{-1}$ . An aqueous solution, pH = 11.4, of 0.80 mM  $\text{CdCl}_2$  and 0.80 mM 3-mercaptopropionic acid was flowed through the left-most inlet channel 151 at  $8\ \mu\text{L min}^{-1}$ . An aqueous solution of 0.80 mM polyphosphates  $\text{Na}(\text{PO}_3)_n$  was flowed through the central inlet channel 152 at  $8\ \mu\text{L min}^{-1}$ , and an aqueous solution of 0.96 mM  $\text{Na}_2\text{S}$  was flowed through the right-most inlet channel 153 at  $8\ \mu\text{L min}^{-1}$ . To terminate the growth of nanoparticles, an aqueous solution of 26.2 mM 3-mercaptopropionic acid, pH = 12.1, was flowed through the bottom inlet of the device 157 at  $24\ \mu\text{L min}^{-1}$ . FIG. 15 shows various regions or points along the channel corresponding to regions or points where nucleation 154, growth 158, and termination 156 occurs. Based on the UV-VIS spectrum, substantially monodisperse nanoparticles formed in this experiment.

Nanoparticles were also formed without microfluidics. Solutions of  $\text{CdCl}_2$ , polyphosphates,  $\text{Na}_2\text{S}$ , and 3-mercaptopropionic acid, identical to those used in the microfluidics experiment, were used. 0.5 mL of the solution of  $\text{CdCl}_2$  and 3-mercaptopropionic acid, 0.5 mL of polyphosphates solution, and 0.5 mL of  $\text{Na}_2\text{S}$  solution were combined in a cuvette, and the cuvette was shaken by hand. Immediately after mixing, 1.5 mL of 26.2 mM 3-mercaptopropionic acid was added to the reaction mixture to terminate the reaction, and the cuvette was again shaken by hand. Based on the UV-VIS spectrum, substantially polydisperse nanoparticles formed in this experiment.

### Example 13 - Crystallization

Networks of microchannels were fabricated using rapid prototyping in polydimethylsiloxane (PDMS). The PDMS was purchased from Dow Corning Sylgard Brand 184 Silicone Elastomer. The PDMS devices were sealed after plasma oxidation treatment in Plasma Prep II (SPI Supplies). The devices were rendered hydrophobic by baking the devices at  $120^\circ\text{C}$  for 2-4 hours. Microphotographs were taken with a Leica MZ12.5 stereomicroscope and a SPOT Insight color digital camera (Model#3.2.0, Diagnostic Instruments, Inc.). Lighting was provided from a Machine Vision Strobe X-strobe X1200 (20 Hz, 12  $\mu\text{F}$ , 600V, Perkin Elmer Optoelectronics).

To obtain an image, the shutter of the camera was opened for 1 second and the strobe light was flashed once with the duration of approximately 10  $\mu$ s.

Aqueous solutions were pumped using 10  $\mu$ l or 50  $\mu$ l Hamilton Gastight syringes (1700 series). Carrier-fluid was pumped using 50  $\mu$ l Hamilton Gastight syringes (1700 series). The syringes were attached to microfluidic devices by means of Teflon tubing (Weico Wire & Cable Inc., 30 gauge). Syringe pumps from Harvard Apparatus (PHD 2000) were used to inject the liquids into microchannels.

#### *A. Microbatch Crystallization in a Microfluidic Channel*

Microbatch crystallization conditions can be achieved. This experiment shows that size of plugs can be maintained and evaporation of water prevented. In this case, the PDMS device has been soaked in water overnight before the experiment in order to saturate PDMS with water. The device was kept under water during the experiment. During the experiment, the flow rates of carrier-fluid and NaCl solution were 2.7  $\mu$ L/min and 1.0  $\mu$ L/min, respectively. The flow was stopped by cutting off the Teflon tubing of both carrier-fluid and NaCl solution.

FIG. 16 shows a schematic illustration of a microfluidic device according to the invention and a microphotograph of plugs of 1M aqueous NaCl sustained in oil. The carrier-fluid is perfluorodecaline with 2 % 1H,1H,2H,2H-perfluorooctanol. Inside a microchannel, plugs showed no appreciable change in size.

#### *B. Vapor Diffusion Crystallization in Microchannels: Controlling Evaporation of Water From Plugs*

This experiment shows that evaporation of water from plugs can be controlled by soaking devices in water for shorter amounts of time or not soaking at all. The rate of evaporation can be also controlled by the thickness of PDMS used in the fabrication of the device. Evaporation rate can be increased by keeping the device in a solution of salt or other substances instead of keeping the device in pure water.

The plug traps are separated by narrow regions that help force the plugs into the traps.

In this experiment, a composite glass/PDMS device was used. PDMS layer had microchannel and a microscopy slide (Fisher, 35x50-1) was used as the substrate. Both the glass slide and the PDMS were treated in plasma cleaner (Harrick) then sealed. The device was made hydrophobic by first baking the device at 120°C for 2-4

hours then silanizing it by (tridecafluoro-1,1,2,2-tetrahydrooctyl)-1-trichlorosilane(United Chemical Technologies, Inc.).

During the experiment, a flow of carrier-fluid at 1.0  $\mu\text{L}/\text{min}$  was established, then flow of aqueous solution was established at a total rate of 0.9  $\mu\text{L}/\text{min}$ . Plug formation was observed inside the microchannel. The flow was stopped approximately 5-10 minutes afterwards by applying a pressure from the outlet and stopping the syringe pumps at the same time.

FIG. 41 shows a microphotograph (middle and right side) of the water plugs region of the microfluidic network. FIG. 41(b)-(c) show the plugs at time  $t=0$  and  $t=2$  hours, respectively. Red aqueous solution is 50 % waterman red ink in 0.5 M NaCl solution. Ink streams were then introduced into inlets 411, 412, 413. An oil stream flowed through channel 414. The carrier-fluid is FC-3283 (3M Fluorinert Liquid) with 2 % 1H,1H,2H,2H-perfluorodecanol. This photograph demonstrates that the evaporation of water through PDMS can be controlled, and thus the concentration of the contents inside the drops can be increased (this is equivalent to microbatch crystallization). FIG. 41(a) shows a diagram of the microfluidic network.

### *C. Controlling Shape and Attachment of Water Plugs*

During the experiment, a flow of carrier fluid at 1.0  $\mu\text{L}/\text{min}$  was established, then flow of aqueous solution was established at a total rate of 2.1  $\mu\text{L}/\text{min}$ . Plug formation was observed inside the microchannel. The flow was stopped approximately 5-10 minutes afterwards by applying a pressure from the outlet and stopping the syringe pumps at the same time.

FIG. 39 shows a diagram (left side) of a microfluidic network according to the invention. Aqueous streams were introduced into inlets 3901, 3902, 3903 while an oil stream flowed through channel 3904. FIG. 39 also shows a microphotograph (right side) of the water plug region of the microfluidic network. This image shows water plugs attached to the PDMS wall. This attachment occurs when low concentrations of surfactant, or less-effective surfactants are used. In this case 1H,1H,2H,2H-perfluorooctanol is less effective than 1H,1H,2H,2H-perfluorodecanol. In this experiment the oil is FC-3283 (3M Fluorinert Liquid) with 2% 1H,1H,2H,2H-perfluorooctanol as the surfactant.

### *D. Examples of Protein Crystallization*

During the experiment, a flow of oil at 1.0  $\mu\text{L}/\text{min}$  was established. Then the flow of water was established at 0.1  $\mu\text{L}/\text{min}$ . Finally flows of lysozyme and precipitant were established at 0.2  $\mu\text{L}/\text{min}$ . Plug formation was observed inside the microchannel. The flow of water was reduced to zero after the flow inside the channel became stable. The flow was stopped approximately 5-10 minutes afterwards by applying a pressure from the outlet and stopping the syringe pumps at the same time.

Fig 36 depicts lysozyme crystals grown in water plugs in the wells of the microfluidic channel. Lysozyme crystals started to appear inside aqueous plugs both inside and outside plug traps in approximately 10 minutes. The image of the three crystals in FIG. 36 was taken 1 hour after the flow was stopped. Lysozyme crystals appear colored because they were observed under polarized light. This is common for protein crystals.

The left side of FIG. 36 is a diagram of a microfluidic network according to the invention while the right side is microphotograph of the crystals formed in plugs in the microfluidic network. A precipitant, lysozyme, and water were introduced into inlets 3601, 3602, and 3603, respectively. Oil was flowed through channel 3604. The lysozyme solution contains 100 mg/ml lysozyme in 0.05 M sodium acetate (pH 4.7); the precipitant solution contains 30% w/v PEG (M.W. 5000), 1.0 M NaCl and 0.05 M sodium acetate (pH 4.7); The carrier-fluid is FC-3283 (3M Fluorinert Liquid) with 10 % 1H,1H,2H,2H-perfluoro-octanol. The microchannel device was soaked in FC-3283/H<sub>2</sub>O for one hour before experiment.

FIG. 32 shows that plug traps are not required for formation of crystals in a microfluidic network. FIG. 32 shows a diagram (left side) of the microfluidic network. A precipitant was introduced into inlet 321, lysozyme was introduced into inlet 322, and an aqueous stream was introduced into inlet 323. Oil was flowed through channel 324. FIG. 32 also shows microphotographs (middle and right side) of lysozyme crystals grown inside the microfluidic channel. The experimental condition is same as in FIG. 36.

#### Example 14 - Oil-soluble Surfactants for Charged Surfaces

In accordance with the invention, neutral surfactants that are soluble in perfluorinated phases are preferably used to create positively and negatively-charged interfaces. To create charged surfaces, neutral surfactants that can be charged by interactions with water, *e.g.*, by protonation of an amine or a guanidinium group (FIG.

24B), or deprotonation of a carboxylic acid group (FIG. 24C), are preferably used. Preferably, charged surfaces are used to repel, immobilize, or stabilize charged biomolecules. Negatively charged surfaces are useful for handling DNA and RNA without surface adsorption. Preferably, both negatively and positively-charged surfaces are used to control the nucleation of protein crystals. Many neutral fluorinated surfactants with acidic and basic groups ( $\text{RfC(O)OH}$ ,  $\text{Rf(CH}_2)_2\text{NH}_2$ ,  $\text{Rf(CH}_2)_2\text{C(NH)NH}_2$ ) are available commercially (Lancaster, Fluorochem, Aldrich).

To synthesize oligoethylene-glycol terminated surfactants, a modification and improvement of a procedure based on the synthesis of perfluoro non-ionic surfactants is preferably used. In one aspect, the synthesis relies on the higher acidity of the fluorinated alcohol to prevent the polycondensation of the oligoethylene glycol. The modified synthesis uses a selective benzylation of one of the alcohol groups of oligoethylene glycol, followed by activation of the other alcohol group as a tosylate. A Williamson condensation is then performed under phase transfer conditions followed by a final deprotection step via catalytic hydrogenation using palladium on charcoal.

#### Example 15 - Formation of Plugs in the Presence of Fluorinated Surfactants and Surface Tension

The surface tension of the oil/water interface has to be sufficiently high in order to maintain a low value of capillary number,  $C_n$ . The fluorosurfactant/water interfaces for water-insoluble fluorosurfactants have not been characterized, but these surfactants are predicted to reduce surface tension similar to that observed in a system involving Span on hexane/water interface (about 20 mN/m). The surface tensions of the aqueous/fluorous interfaces are preferably measured in the presence of fluorosurfactants using the hanging drop method. A video microscopy apparatus specifically constructed for performing these measurements has been used to successfully characterize interfaces. FIG. 24 illustrates the synthesis of fluorinated surfactants containing perfluoroalkyl chains and an oligoethylene glycol head group.

#### Example 16 - Forming Gradients by Varying Flow Rates

FIG. 42 shows an experiment involving the formation of gradients by varying the flow rates. In this experiment, networks of microchannels were fabricated using rapid prototyping in polydimethylsiloxane (PDMS). The width and height of the

channel were both 50  $\mu\text{m}$ . 10% 1H,1H,2H,2H-perfluorodecanol in perfluoroperhydrophenanthrene was used as oil. Red aqueous solution prepared from 50 % waterman red ink in 0.5 M NaCl solution was introduced into inlet 421. The oil flowed through channel 424 at 0.5  $\mu\text{l/min}$ . Aqueous streams were introduced into inlets 422, 423. To generate the gradient of ink in the channel, the total water flow rate was gradually increased from 0.03  $\mu\text{l/min}$  to 0.23  $\mu\text{l/min}$  in 20 seconds at a ramp rate of 0.01  $\mu\text{l/min}$  per second. At the same time, ink flow rate was gradually decreased from 0.25  $\mu\text{l/min}$  to 0.05  $\mu\text{l/min}$  in 20 seconds at a ramp rate of – 0.01  $\mu\text{l/min}$  per second. The total flow rate was constant at 0.28  $\mu\text{l/min}$ . The established gradient of ink concentration inside the plugs can be clearly seen from FIG. 42: the plugs further from the inlet are darker since they were formed at a higher ink flow rate.

#### Example 17 - Lysozome Crystallization Using Gradients

FIG. 43 illustrates an experiment involving the formation of lysozome crystals using gradients. The channel regions 435, 437 correspond to channel regions with very low precipitant concentration while channel region 436 corresponds to optimal range of precipitant concentration. In this experiment, networks of microchannels were fabricated using rapid prototyping in polydimethylsiloxane (PDMS). The width of the channel was 150  $\mu\text{m}$  and the height was 100  $\mu\text{m}$ . 10% 1H,1H,2H,2H-perfluorodecanol in perfluoroperhydrophenanthrene was used as oil.

During the experiment, a flow of oil through channel 434 at 1.0  $\mu\text{l/min}$  was established. Then the flow of water introduced through inlet 432 was established at 0.2  $\mu\text{l/min}$ . The flows of lysozyme introduced through inlet 431 and precipitant introduced through inlet 433 were established at 0.2  $\mu\text{l/min}$ . Plugs formed inside the channel. To create the gradient, water flow rate was first gradually decreased from 0.35  $\mu\text{l/min}$  to 0.05  $\mu\text{l/min}$  over 45 seconds at a ramp rate of (-0.01  $\mu\text{l/min}$  per 1.5 seconds), then increased back to 0.35  $\mu\text{l/min}$  in 45 seconds at a ramp rate of (0.01  $\mu\text{l/min}$  per 1.5 seconds). At the same time, precipitant flow rate was gradually increased from 0.05  $\mu\text{l/min}$  to 0.35  $\mu\text{l/min}$  in 45 seconds at a ramp rate of (0.01  $\mu\text{l/min}$  per 1.5 seconds), then decreased to 0.05  $\mu\text{l/min}$  in 45 seconds at a ramp rate of (-0.01  $\mu\text{l/min}$  per 1.5 seconds). The flow was stopped by pulling out the inlet

tubing immediately after water and precipitant flow rates returned to the starting values. The plugs created in this way contained constant concentration of the protein, but variable concentration of the precipitant: the concentration of the precipitant was lowest in the beginning and the end of the channel, and it peaked in the middle of the channel (the center row). Only the plugs in the middle of the channel have the optimal concentration of precipitant for lysozyme crystallization, as confirmed by observing lysozyme crystals inside plugs in the center row. Visualization was performed under polarized light. Preferably, all flow rates would be varied, not just the precipitant and water.

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Example 18 - Lysozyme crystallization in capillaries using the microbatch analogue method

To grow lysozyme crystal inside plugs within capillaries, a 10  $\mu$ l Hamilton syringe was filled with 100 mg/ml lysozyme in 0.05 M NaAc buffer (pH4.7) and another 10  $\mu$ l Hamilton syringe was filled with 30% (w/v) MPEG 5000 with 2.0 M NaCl in 0.05 M NaAc buffer (pH4.7) as precipitant. A 50  $\mu$ l Hamilton syringe filled with PFP (10% PFO) was the oil supply. All three syringes were attached to the PDMS/capillary device and driven by Harvard Apparatus syringe pumps (PHD2000). The capillary has an inner diameter of 0.18 mm and outer diameter of 0.20 mm. Oil flow rate was 1.0  $\mu$ l/min and both lysozyme and precipitant solution were at 0.3  $\mu$ l/min. The channel was filled with oil first. Protein and precipitant streams converged immediately before entering the channel to form plugs. After the capillary (Hampton Research) was filled with the plugs containing lysozyme, the flows were stopped. The capillary was disconnected from the PDMS device, sealed with wax and stored in an incubator (18°C). A lysozyme crystal appeared within an hour and was stable for at least 14 days without change of size or shape (FIG. 47A).

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Example 19 - Thaumatin crystallization in capillaries using the microbatch analogue method

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Experiment 1. A 10  $\mu$ l Hamilton syringe was filled with 50 mg/ml thaumatin in 0.1 M ADA buffer (pH 6.5) and another 10  $\mu$ l Hamilton syringe was

filled with 1.5 M NaK Tartrate in 0.1 M HEPES (pH 7.0). A 50  $\mu$ l Hamilton syringe filled with PFP (10% PFO) was the oil supply. All three syringes were attached to the PDMS/capillary device and driven by Harvard Apparatus syringe pumps (PHD2000). The capillary has an inner diameter of 0.18 mm and outer diameter of 0.20 mm. Oil flow rate was 1.0  $\mu$ l/min and both thaumatin and precipitant solution were at 0.3  $\mu$ l/min. The channel was filled with oil first. Protein and precipitant streams were mixed immediately before entering the channel to form plugs. After the capillary (Hampton Research) was filled with protein plugs, the flows were stopped. The capillary was cut from the PDMS device, sealed by wax and stored in an incubator (18°C). The thaumatin crystal appeared in 2-3 days and was stable for at least 45 days without size or shape change (FIG. 47B). Some thaumatin crystals grew at the interface of protein solution and oil, while others appeared to attach to the capillary wall.

Experiment 2. Thaumatin crystals were grown inside a capillary tube using 50 mg/mL thaumatin in 0.1M pH 6.5 ADA buffer and a precipitant solution of 1M Na/K tartrate in a 0.1M pH 7.5 HEPES buffer. Protein and precipitant solutions were mixed in a 1.4:1 protein:precipitant ratio. A fluorinated carrier fluid was a saturated solution of FSN surfactant in FC3283. The capillary was incubated at 18 degrees C. Tetragonal crystals appeared within 5 days (FIG. 48A, B). X-ray diffraction was performed at BioCARS station 14BM-C at the Advanced Photon Source at Argonne National Laboratory. Beam wavelength was 0.9Å. The final length of a single crystal was estimated at 100-150 microns.

Capillaries were cut to the appropriate length without disturbing crystal-containing plugs, resealed using capillary wax, and mounted on clay-tipped cryoloop holders at a distance of 12 +/- 5 mm from base to crystal. The holder was placed on the x-ray goniometer. Crystals were centered on the beam. Snapshots were taken using 10 second (thaumatin) exposures. Distance from sample to detector was 150 mm. Diffraction to better than 2.2 Å was obtained.

Example 20 - Vapor Diffusion Protein Crystallization in Capillaries By An Alternating Droplet System

The principle of transferring water inside a capillary from one set of plugs to another set of plugs is illustrated in FIG. 50. Briefly, a 10  $\mu$ l Hamilton syringe was filled with 0.01  $\text{Fe}(\text{SCN})_3$  and another 10  $\mu$ l Hamilton syringe was filled with 0.1 M  $\text{Fe}(\text{SCN})_3$  with 2.5 M  $\text{KNO}_3$ . Two 50  $\mu$ l Hamilton syringes were filled with FMS-121 (Gelest, Inc) (saturated with PFO), which provided the oil supply. All four syringes were attached to the PDMS/capillary device and driven by Harvard Apparatus syringe pumps (PHD2000). The capillary has an inner diameter of 0.18 mm and outer diameter of 0.20 mm. One of the oil inlet channels was between the two aqueous inlets channels to separate the two aqueous streams when forming the alternating plugs. This oil inlet channel was vertical to the main channel and had a flow rate of 2.0  $\mu$ l/min. The other oil inlet channel had a flow rate of 1.0  $\mu$ l/min and was parallel to the main channel. Both of the aqueous solutions had a flow rate of 0.5  $\mu$ l/min. After establishing alternating aqueous droplet streams in the capillary, the flows were stopped, and the capillary was disconnected from the PDMS device, sealed with wax and stored in an incubator at 18°C. The size and color change of the plugs were monitored with a Leica microscope (MZ125) having a color CCD camera (SPOT Insight, Diagnostic Instruments, Inc.).

Following the stoppage of flow and sealing of the capillary tube, plugs containing 0.01 M  $\text{Fe}(\text{SCN})_3$  in water were yellow, while those containing 0.1 M  $\text{Fe}(\text{SCN})_3$  and 2.5 M  $\text{KNO}_3$  in water were red (FIG. 50A). However, FIG. 50B shows that after 5 days, the yellow plugs were reduced in size and were more concentrated, while the red plugs increased in size and were more diluted. This demonstration reflects vapor diffusion conditions in the capillary tube that are predicted to facilitate protein crystallization. This technique can be further adapted to other applications requiring concentration of reagents, such as proteins.

Alternating plugs from two different aqueous solutions may be generated in accordance with several representative geometries as set forth in FIG. 51. In principle, the same oil or different oils may be used in the two oil inlets. One scheme for generating alternating plugs from two different aqueous solutions is depicted in FIG. 51A. In this case, one 10  $\mu$ l Hamilton syringe was filled with 0.1  $\text{Fe}(\text{SCN})_3$ , another with 1.5 M NaCl. Two 50  $\mu$ l Hamilton syringes filled with PFP (with 10% PFO) provided the oil supply. All four syringes were attached to the PDMS device and driven by Harvard Apparatus syringe pumps (PHD2000).

Alternatively, multiple solutions can be co-introduced together in each of the two aqueous channels as depicted in FIG. 51B. In each of these two cases one of the oil inlet channels was between the two aqueous inlet channels. This oil inlet channel was used to separate the two aqueous streams into alternating plugs and was vertical to the main channel, having a flow rate of 2.0  $\mu\text{l}/\text{min}$ . The other oil inlet channel was parallel to the main channel and had a flow rate of 1.0  $\mu\text{l}/\text{min}$ . Each of the two aqueous solutions had flow rates of 0.5  $\mu\text{l}/\text{min}$ . Alternating plugs were found to form in the channel (FIG. 51C).

FIG. 52 illustrates another example of generating alternating plugs from two different aqueous solutions. In this case, one 10  $\mu\text{l}$  Hamilton syringe was filled with 0.1  $\text{Fe}(\text{SCN})_3$ , the other with 1.5 M NaCl. Two 50  $\mu\text{l}$  Hamilton syringes filled with FMS-121 (saturated with PFO) provided the oil supply. All four syringes were attached to the device and driven by Harvard Apparatus syringe pumps (PHD2000). One of the oil inlet channels was between the two aqueous inlet channels and was used to separate the two aqueous streams prior to formation of alternating plugs (FIG. 52A). This oil inlet channel was vertical to the main channel and had a flow rate of 1.5  $\mu\text{l}/\text{min}$ . The other oil stream had a flow rate of 1.5  $\mu\text{l}/\text{min}$  and was parallel to the main channel. Each of the two aqueous solutions had flow rates of 0.5  $\mu\text{l}/\text{min}$ . Alternating plugs were found to form in the channel (FIG. 52B).

Other geometries that can support the formation of alternating plugs are depicted in FIG. 53. Importantly, the flow rates of solutions A and B may be changed in a correlated fashion (FIG. 54). Thus, when the flow rate of solution  $A_1$  is increased and solution  $A_2$  is decreased, the flow rate of solutions  $B_1$  is also increased and solution  $B_2$  is also decreased. This principle, depicted in FIG. 54, is useful for maintaining a constant difference in salt concentration between the plugs of stream A and stream B to ensure that transfer from all plugs A to all plugs B occurs at a constant rate.

FIG. 54 provides a schematic illustration of a device for preparing plugs of varying protein concentrations where the flow rates of the A and B streams change in a correlated fashion. In this example,  $A_1$  through  $A_3$  are for protein solution, buffer and precipitants, such as PEG or salts. Highly concentrated salt solutions

are injected through  $B_1 \sim B_3$ . The flow rate ratio of inlet  $A_i$  to that of  $B_i$  ( $i=1\sim3$ ) is maintained constant. Therefore all of the protein plugs will shrink at a rate similar to the salt plugs.

FIG. 54 shows that if the flow rates of corresponding A and B streams are  
5 changed in a correlative fashion, the composition of plugs B will reflect the  
composition of plugs A. Therefore, one can incorporate markers into the B stream  
plugs to serve as a code for the plugs in the A stream. In other words,  
absorption/fluorescent dyes or x-ray scattering/absorbing materials can be  
incorporated in markers in the B streams to facilitate optical or x-ray-mediated  
10 quantification so as to provide a read out of relative protein and precipitant  
concentrations in the A streams. This approach can provide a powerful means for  
optimizing crystallization conditions for subsequent scale-up experiments.



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13/563,347	07/31/2012	Rustem F. Ismagilov	UCH-800/US12 31097/10	3611
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Application No. : 13563347  
Applicant : Ismagilov  
Filing Date : 07/31/2012  
Date Mailed : 06/16/2014

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Notice of Allowance Mailed*

This application has been accorded an Allowance Date and is being prepared for issuance. The application, however, is incomplete for the reasons below.

**Applicant is given two (2) months from the mail date of this Notice within which to respond. This time period for reply is extendable under 37 CFR 1.136(a) for only TWO additional MONTHS.**

The informalities requiring correction are indicated in the attachment(s). If the informality pertains to the abstract, specification (including claims) or drawings, the informality must be corrected with an amendment in compliance with 37 CFR 1.121 (or, if the application is a reissue application, 37 CFR 1.173). Such an amendment may be filed after payment of the issue fee if limited to correction of informalities noted herein. See Waiver of 37 CFR 1.312 for Documents Required by the Office of Patent Publication, 1280 Off. Gaz. Patent Office 918 (March 23, 2004). In addition, if the informality is not corrected until after payment of the issue fee, for purposes of 35 U.S.C. 154(b)(1)(iv), "all outstanding requirements" will be considered to have been satisfied when the informality has been corrected. A failure to respond within the above-identified time period will result in the application being ABANDONED.

See attachment(s).

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- ☐ Applicant must provide legible text for the following item(s).
- ☐ Specification filed , page(s) .
  - ☐ Claims filed , claim(s) .
  - ☐ Oath/declaration filed .
  - ☐ Other: .
- ☒ Applicant must provide missing information on the following page(s) of the specification by amending the specification to add the missing text. No new matter may be added. Page 103; the equation on the page appears to be illegible/missing data
- ☐ The specification refers to one or more applications by attorney docket number and does not show the U.S. application number(s). Applicant must supply the U.S. application number in place of each attorney docket number.
- ☐ Applicant must provide an Abstract of the Disclosure.
- ☐ Applicant has submitted a DECLARATION (37 CFR 1.63) FOR A UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76) (e.g., form PTO/SB/01A). The Application Data Sheet, however, is not present with the filed application. Applicant must submit an Application Data Sheet or file a new oath or declaration (e.g., PTO/SB/01) executed by the inventors and containing the information required in 37 CFR 1.63.
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- ☐ Applicant must provide a declaration signed by inventor(s) .
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## NOTICE OF ALLOWANCE AND FEE(S) DUE

21710 7590 05/09/2014  
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EXAMINER

GAKH, YELENA G

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13/563,347

07/31/2012

Rustem F. Ismagilov

UCH-800/US12 31097/10

3611

TITLE OF INVENTION: Method of performing PCR reaction in continuously flowing microfluidic plugs

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	\$480	\$0	\$0	\$480	08/11/2014

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II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**

# PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** **Mail Stop ISSUE FEE**  
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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

21710 7590 05/09/2014  
**BROWN RUDNICK LLP**  
**ONE FINANCIAL CENTER**  
**BOSTON, MA 02111**

## Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/563,347	07/31/2012	Rustem F. Ismagilov	UCH-800/US12 31097/10	3611

TITLE OF INVENTION: Method of performing PCR reaction in continuously flowing microfluidic plugs

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	\$480	\$0	\$0	\$480	08/11/2014

EXAMINER	ART UNIT	CLASS-SUBCLASS
GAKH, YELENA G	1777	435-006120

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. <b>Use of a Customer Number is required.</b></p>	<p>2. For printing on the patent front page, list</p> <p>(1) The names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____</p> <p>(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 _____</p> <p>3 _____</p>
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## 3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ☐ Individual ☐ Corporation or other private group entity ☐ Government

<p>4a. The following fee(s) are submitted:</p> <p><input type="checkbox"/> Issue Fee</p> <p><input type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies _____</p>	<p>4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The Director is hereby authorized to charge the required fee(s), any deficiency, or credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).</p>
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5. **Change in Entity Status** (from status indicated above)

☐ Applicant certifying micro entity status. See 37 CFR 1.29

☐ Applicant asserting small entity status. See 37 CFR 1.27

☐ Applicant changing to regular undiscounted fee status.

**NOTE:** Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

**NOTE:** If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

**NOTE:** Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_ Registration No. \_\_\_\_\_



# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/563,347	07/31/2012	Rustem F. Ismagilov	UCH-800/US12 31097/10	3611
21710 7590 05/09/2014 BROWN RUDNICK LLP ONE FINANCIAL CENTER BOSTON, MA 02111			EXAMINER GAKH, YELENA G	
			ART UNIT	PAPER NUMBER
			1777	
DATE MAILED: 05/09/2014				

## Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (Applications filed on or after May 29, 2000)

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

## OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

The information collected by PTOL-85 Part B is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

### Privacy Act Statement

**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

<b>Notice of Allowability</b>	<b>Application No.</b> 13/563,347	<b>Applicant(s)</b> ISMAGILOV ET AL.	
	<b>Examiner</b> Yelena G. Gakh, Ph.D.	<b>Art Unit</b> 1777	<b>AIA (First Inventor to File) Status</b> No

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to Amendment filed on 02/14/14.  
☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on \_\_\_\_\_.
2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on \_\_\_\_\_; the restriction requirement and election have been incorporated into this action.
3. ☒ The allowed claim(s) is/are 1, 4-5 and 8-11. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see [http://www.uspto.gov/patents/init\\_events/pph/index.jsp](http://www.uspto.gov/patents/init_events/pph/index.jsp) or send an inquiry to [PPHfeedback@uspto.gov](mailto:PPHfeedback@uspto.gov).
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

**Certified copies:**

- a) ☐ All    b) ☐ Some    \*c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ CORRECTED DRAWINGS ( as "replacement sheets") must be submitted.  
☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.  
**Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

- |  |  |
|--|--|
| 1. <input type="checkbox"/> Notice of References Cited (PTO-892)   | 5. <input checked="" type="checkbox"/> Examiner's Amendment/Comment                  |
| 2. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),<br>Paper No./Mail Date _____    | 6. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| 3. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit<br>of Biological Material | 7. <input type="checkbox"/> Other _____.   |
| 4. <input type="checkbox"/> Interview Summary (PTO-413),<br>Paper No./Mail Date _____.                     |  |

/Yelena G. Gakh, Ph.D./  
Primary Examiner, Art Unit 1777

The present application is being examined under the pre-AIA first to invent provisions.

### **EXAMINER'S AMENDMENT**

1. The Title is amended as the following: "Method of performing PCR reaction in continuously flowing microfluidic plugs".

#### ***Allowable Subject Matter***

2. **Claims 1, 4-5, and 7-11** are allowed. The numbering of claim is 1 through 8.

The following is an examiner's statement of reasons for allowance: the Applicants' representatives and the examiner had numerous interviews and discussions on the prior art rejections and priority documents for this and co-pending applications.

As a result of these discussions the examiner allows the claims of the instant application, because the Applicants convinced the examiner that they pioneered performing PCR reactions in flowing droplets in the high-competitive field of microfluidics related to biochemical applications.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Yelena G. Gakh, Ph.D. whose telephone number is (571)272-1257. The examiner can normally be reached on 9:30am-6:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vickie Kim can be reached on 571-272-0579. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 1777

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Yelena G. Gakh, Ph.D./  
Primary Examiner, Art Unit 1777

5/7/2014

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TERMINAL DISCLAIMER TO OBIATE A DOUBLE PATENTING  
REJECTION OVER A "PRIOR" PATENT**Docket Number (Optional)  
UCH-800/US12 31097/10

In re Application of: Rustem F. Ismagilov, et al.

Application No.: 13/563,347

Filed: July 31, 2012

For: DEVICE AND METHOD FOR PRESSURE-DRIVEN PLUG TRANSPORT

The owner\*, The University of Chicago, of 100 percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application which would extend beyond the expiration date of the full statutory term **prior patent** No. 8,304,193 as the term of said prior patent is defined in 35 U.S.C. 154 and 173, and as the term of said **prior patent** is presently shortened by any terminal disclaimer. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the **prior patent** are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of the term of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of the **prior patent**, "as the term of said **prior patent** is presently shortened by any terminal disclaimer," in the event that said **prior patent** later:

- expires for failure to pay a maintenance fee;
- is held unenforceable;
- is found invalid by a court of competent jurisdiction;
- is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321;
- has all claims canceled by a reexamination certificate;
- is reissued; or
- is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.

Check either box 1 or 2 below, if appropriate.

1. ☐ For submissions on behalf of a business/organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the business/organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2. ☒ The undersigned is an attorney or agent of record. Reg. No. 36,989

\_\_\_\_\_  
/Thomas C. Meyers/  
Signature

\_\_\_\_\_  
April 30, 2014  
Date

\_\_\_\_\_  
Thomas C. Meyers  
Typed or printed name

\_\_\_\_\_  
Telephone Number

- ☒ Terminal disclaimer fee under 37 CFR 1.20(d) included.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

\*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).  
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

This collection of information is required by 37 CFR 1.321. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Amendments to the claims

Please amend claims 1, 4-5, 7, and 8, and cancel claims 3 and 6 as follows. This listing of claims will replace all prior versions and listings of claims in the application.

1. (Currently Amended) A method comprising the steps of:

providing a microfluidic system comprising one or more channels;  
providing within the one or more channels a continuously flowing carrier fluid comprising an oil and a continuously flowing aqueous fluid comprising target DNA or RNA biological molecules and at least one other molecule in the fluid that can react with the target DNA or RNA biological molecules under conditions in which the target DNA or RNA biological molecules and the other molecules in the fluid do not react with each other;

controlling flow rates of said aqueous fluid and said carrier fluid to partition ~~partitioning~~ the continuously flowing aqueous fluid with the continuously flowing carrier fluid to form a plurality of plugs of the aqueous fluid, each having a substantially uniform size of about 200µm or less, where wherein the target DNA or RNA in said ~~subset of the~~ plurality of plugs represents a Poisson distribution, and at least one member of said plurality comprises a single target DNA or RNA biological molecule and at least one of the other molecules that can react with the target DNA or RNA biological molecule; and

providing conditions suitable for a polymerase-chain reaction in ~~the~~ at least one plug ~~subset of the plurality of plugs such that the target DNA or RNA single biological molecule is~~ amplified.

2-3. (Canceled)

4. (Currently Amended) The method of claim 1, wherein the ~~providing~~ step of providing conditions includes heating.

5. (Currently Amended) The method of claim 1, further comprising the step of providing a detector to detect, analyze, characterize, or monitor ~~one or more properties of the target DNA or RNA molecule in the at least one member of the plurality of plugs the polymerase chain reaction~~ during and/or after the reaction has occurred.

6. (Canceled)

7. (Currently Amended) The method of claim 56, wherein the at least one other molecule includes ~~reagents include~~ one or more fluorescent labels and the detector is configured to monitor progress of the reaction by detecting fluorescence emissions from the one or more fluorescent labels.

8. (Currently amended) The method of claim 5, further comprising the step of directing ~~the subset of a subset of the~~ plurality of plugs to a first channel in fluid communication with ~~of the~~ one or more channels ~~wherein the detector is configured to detect, analyze, characterize, or monitor one or more of a first set of properties of the reaction and directing the subset to a second channel of the one or more channels wherein the detector is configured to detect, analyze, characterize, or monitor one or more properties not included in the first set.~~

9. (Original) The method of claim 1, wherein the oil is fluorinated oil.

10. (Original) The method of claim 1, wherein the carrier fluid further comprises a surfactant.

11. (Original) The method of claim 10, wherein the surfactant is fluorinated surfactant.

12-15. (Canceled)

Remarks

Applicants and the undersigned thank Examiner Gakh for the courtesy of a telephonic interview held on February 11, 2014 in which the presently-amended claims were discussed in view of the prior art and Applicants disclosure. Applicants and the undersigned thank Examiner Gakh for her helpful suggestions regarding the claims, which suggestions have been incorporated into the amended claims in this Response.

Claim 1 has been amended to recite a plurality of plugs including DNA or RNA, support for which is found at page 29, lines 21-29, page 25, lines 20-26, page 48, line 34 to page 50, line 26, page 68, line 30 to page 69, line 4, and Examples 8-9 at pages 99-102 of the as-filed specification. Claim 1 has been further amended to recite that the carrier fluid and the aqueous fluid are subjected to a controlled flow rate. Support for that amendment is found at page 21, lines 9-14, page 28, lines 23-30, and page 32, lines 4-12. Claim 1 is also amended to recite that the claimed plugs are of substantially uniform size of not less than 200µm and that there is a Poisson distribution of DNA or RNA in the plurality of plugs. Support for that amendment is found at page 28, line 31, through page 29, line 1, page 30, lines 3-7 and, at page 100 (Example 9), at page 65, lines 28-33, and at page 29, lines 24-29. Claim 5 is amended to be consistent with the amendments to claim 1. Claims 3 and 6 are canceled and claim 7 is amended to change the dependency of that claim based on the cancellation of claim 6. Claim 8 is amended to be consistent with the amendments to claim 1. No new matter is added.

Rejection under 35 U.S.C. § 112, ¶1, Written Description

The Office Action rejects claims 1 and 3-11 under 35 U.S.C. §112, first paragraph, as failing to comply with the written description requirement. In particular, the Office Action states that the recitation "where a subset of the plurality of plugs comprises a single biological molecule" is not adequately described by the as-filed application. Claim 1 is amended to remove that phrase. Amended claim 1 recites at least one plug of a plurality of plugs includes a single DNA or RNA. That language is supported by page 29 lines 20-29 of the as-filed application, which states:

The concentration of reagents in a plug can be varied. In one embodiment according to the invention, the reagent concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle,

with only a small statistical chance that a plug will contain two or more molecules or particles. In other embodiments, the reagent concentration in the plug-fluid is adjusted to concentrate enough that the amount of reaction product can be maximized.

Based upon the foregoing, Applicants respectfully request withdrawal of the 35 U.S.C. §112 ¶1 rejection for lack of written description.

Rejection under 35 U.S.C. § 112, ¶1, Enablement

The Office Action rejects claims 1 and 4-11 under 35 U.S.C. §112, first paragraph, as failing to comply with the enablement requirement. Applicants respectfully disagree. The Office Action states that the as-filed application is enabling for DNA or RNA, but is non-enabling for any other biological molecule that may undergo a polymerase-chain reaction. Without acquiescing to the rejection and in order to advance the case to allowability, claim 1 has been amended to incorporate the subject matter of claim 3, removing the term “biological molecules” and reciting “DNA or RNA molecules” instead. Accordingly, Applicants respectfully request withdrawal of the 35 U.S.C. §112 ¶1, enablement rejection of claims 1 and 4-11.

The Office Action further rejects claims 6 and 7 under 35 U.S.C. §112, first paragraph, as failing to comply with the enablement requirement. The Office Action states that, while the as-filed application is enabling for PCR in which the biological molecules are labeled with fluorophores, the as-filed application does not provide enablement for PCR of unlabeled molecules. Without acquiescing to the rejection and in order to advance the case to allowability, claim 6 is canceled. Accordingly, Applicants respectfully request withdrawal of the 35 U.S.C. §112 ¶1, enablement rejection.

Rejections Under 35 U.S.C. §112, Second Paragraph

The Office Action rejects claim 1 under 35 U.S.C. §112, paragraph 2, stating that it is unclear what is meant by "at least one other molecule". As suggested by the Office Action on page 7, claim 1 is amended to clarify that the at least one other molecule is in the fluid with the DNA or RNA molecules.

The Office Action rejects claim 1 under 35 U.S.C. §112 ¶2, stating that it is unclear from the claim how the partitioning step of the claim occurs. Applicants respectfully disagree.

The law states that an assessment of a claim under 35 U.S.C. §112 ¶2 must be made in light of the content of the particular application disclosure. M.P.E.P. §2173.02(II). The as-filed application at page 25 line 16, to page 32, line 12, describes how to form plugs by partitioning aqueous fluid with an immiscible fluid. The as-filed application, at Figs. 2A, 3-9, 11, 17, 19, 25-27, 30, 37-38, 44-46, 49, 51-52, and 54, show forming plugs by partitioning aqueous fluid with an immiscible fluid. One of skill in the art, reading the as-filed application at page 25 line 16 to page 32 line 12 and looking at Figs. 2A, 3-9, 11, 17, 19, 25-27, 30, 37-38, 44-46, 49, 51-52, and 54 would have understood how the partitioning step of the claim occurs. In order to advance the application to allowance, Applicants have adopted the Examiner's language in claim 1. Applicants respectfully request that the rejection be withdrawn.

The Office Action rejects claim 1 under 35 U.S.C. §112 ¶2, stating only DNA or RNA can undergo PCR. Claim 1 is amended to remove the term "biological molecules" and recite "DNA or RNA molecules".

The Office Action rejects claim 5 under 35 U.S.C. §112 ¶2, stating the phrase "one or more of the properties" is unclear. Claim 5 has been amended to remove that phrase.

The Office Action rejects claim 6 under 35 U.S.C. §112 ¶2. Claim 6 is canceled, therefore this rejection can be withdrawn.

The Office Action rejects claim 7 under 35 U.S.C. §112 ¶2, stating that the mechanism of detection is not properly recited. Claim 7 has been amended to recite detecting fluorescence from the one or more fluorescent labels.

The Office Action rejects claim 8 under 35 U.S.C. §112 ¶2, stating the phrase "one or more of the properties" is unclear. Claim 8 has been amended to remove that phrase.

Based on the foregoing, Applicants respectfully request withdrawal of the 35 U.S.C. §112 ¶2 rejections.

#### Rejections Under 35 U.S.C. § 103

The Office Action rejects claims 1, 3-4, and 9-11 under 35 U.S.C. §103(a) in view of the combination of Stewart (WO 84/02000) and Thorsen et al. (Phys. Rev. Lett., 2001) and Nakano et al. (J. Biotech., 2003). The Office Action further rejects claims 5-8 under 35 U.S.C. §103(a)

in view of the combination of Stewart, Thorsen, Nakano and Kalinina (Nucleic Acids Research, 1997). Applicants respectfully disagree.

To be used in a 35 U.S.C. §103(a) rejection, a reference must first qualify as prior art under 35 U.S.C. §102. Nakano is not prior art to the pending claims, and therefore cannot be used as part of any rejection of the pending claims.

Nakano was published in April of 2003. The pending claims have priority to U.S. Provisional Application No. 60/394,544, filed July 8, 2002. As discussed below, all of the subject matter of the pending claims is found in that provisional application. Accordingly, the Nakano reference is not prior art and thus cannot be used in any rejection of the pending claims. Therefore, the claims are not obvious in view of the combination of the cited references.

Applicants respectfully request withdrawal of the 35 U.S.C. §103(a) rejections.

#### Priority Date

The Office Action questions Applicants' claim to priority to U.S. provisional application 60/394,544, filed July 8, 2002, alleging that the subject matter of the claims of a single molecule in a plug is not supported by USSN 60/394,544. Applicants respectfully disagree.

USSN 60/394,544 at page 23 lines 13-20 discloses the subject matter of a single molecule in a plug. That section of USSN 60/394,544 states:

The concentration of molecules, particles, or substances in a plug can influence sorting efficiently and therefore is preferably optimized. Thus, in one embodiment of the invention, the sample concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. This is to ensure that for the large majority of measurements, the level of tag measured in each plug as it passes through the detection region corresponds to a single molecule or particle and not two or more molecules or particles. USSN 60/394,544 at page 23 lines 13-20 [emphases added].

Clearly, USSN 60/394,544 discloses the subject matter of a single molecule in a plug. Accordingly, the present claims that recite a single molecule in a plug are entitled to priority to USSN 60/394,544 and to the filing date of that U.S. provisional application, July 8, 2002.

The Office Action appears to allege that the cited section cannot support the pending claims because the cited section cannot be considered as reduction to practice of the invention. Applicants respectfully disagree.

The law states that a U.S. nonprovisional application is entitled to priority to an earlier filed U.S. provisional application so long as the prior-filed U.S. provisional application discloses the claimed invention of the later-filed U.S. nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. 112. See 35 U.S.C. §119(e) and M.P.E.P. §201.11. The standards under 35 U.S.C. §112 clearly state that actual reduction to practice is not required to show possession and enablement of an invention. See M.P.E.P. §2163 for written description, stating: possession may be shown in a variety of ways including description of an actual reduction to practice, or by showing that the invention was “ready for patenting” such as by the disclosure of drawings or structural chemical formulas that show that the invention was complete, or by describing distinguishing identifying characteristics sufficient to show that the applicant was in possession of the claimed invention. See also M.P.E.P. §2164.02 for enablement, stating: an applicant need not have actually reduced the invention to practice prior to filing. Therefore, the standard being applied by the Office Action is not the proper standard for determining priority. Accordingly, the Office Action has not established under any applicable legal standard that Applicants are not entitled to priority to USSN 60/394,544 and to the filing date of that U.S. provisional application, July 8, 2002.

Additionally, USSN 60/394,544 at page 23 lines 13-20 discloses the claimed invention of the present application in the manner provided by the first paragraph of 35 U.S.C. 112.

The cited section clearly refers to a single molecule in a plug. Based on that disclosure, one of skill in the art would have believed at the time of filing of USSN 60/394,544 that Applicants were in possession of methods that involved plugs that included a single molecule.

Further, the cited section describes how to achieve plugs that include a single molecule. That section states that sample concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule. That statement provides to the skilled artisan that sample concentration governs the number of molecules in any given plug. Given that information and the known volume of the plugs being produced, the skilled artisan would understand how to dilute the sample concentration to a point that at least one of the plugs would

have included a single molecule. Accordingly, the skilled artisan would have known from the disclosure in USSN 60/394,544 how to achieve plugs including a single molecule.

Therefore, USSN 60/394,544 at page 23 lines 13-20 discloses the claimed invention of the present application in the manner provided by the first paragraph of 35 U.S.C. 112. Accordingly, the present claims that recite a single molecule in a plug are entitled to priority to USSN 60/394,544 and to the filing date of that U.S. provisional application, July 8, 2002.

The Office Action also denies Applicants' claim to priority USSN 60/394,544, alleging that USSN 60/394,544 does not disclose PCR or DNA. Applicants respectfully disagree.

USSN 60/394,544 at page 3 line 4 specifically discloses DNA. Since USSN 60/394,544 discloses DNA, USSN 60/394,544 clearly conveyed to the skilled artisan that the devices and methods disclosed in USSN 60/394,544 could be used to manipulate and analyze DNA. Additionally, page 4 lines 13-22 and page 29 lines 26-31 of USSN 60/394,544 disclose reactions in which a polymer is in a plug and a polymerization reaction is conducted on the polymer in the plug. It is known that DNA is a polymer and PCR is clearly a polymerization reaction. Accordingly, USSN 60/394,544 discloses PCR and DNA. Also, page 7, lines 22-30 of 60/394,544 describe initiating a reaction using a stimulus such as heat or a catalyst. PCR is a reaction initiated with such stimulus.

For the above reasons, Applicants respectfully assert that the skilled artisan, reading USSN 60/394,544, would have believed that applicants invented and possessed methods in which a PCR reaction was conducted on a single DNA or RNA molecule in a plug. Accordingly, the present claims are entitled to priority to USSN 60/394,544 and to the filing date of that U.S. provisional application, July 8, 2002.

#### Double Patenting

The Office Action rejects claims 1 and 3-11 on the grounds of nonstatutory obviousness-type double patenting in view of claims 1-14 of U.S. patent number 8,304,193. Applicants respectfully request that the double patenting rejection be held in abeyance until the Examiner deems that all outstanding rejections have been addressed, at which time Applicants will file a terminal disclaimer over U.S. patent number 8,304,193.

Summary

Applicants again thank the Examiner for her helpful comments on the claims. In view of the fact that Applicants have incorporated the Examiner's suggestions into the claims, Applicants respectfully submit that the claims are now in condition for allowance.

If there are any questions regarding these remarks, the Examiner is invited and encouraged to contact Applicants' representative.

Dated: February 14, 2014

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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

ip@brownrudnick.com  
usactions@brownrudnick.com

<b>Office Action Summary</b>	<b>Application No.</b> 13/563,347	<b>Applicant(s)</b> ISMAGILOV ET AL.	
	<b>Examiner</b> Yelena G. Gakh, Ph.D.	<b>Art Unit</b> 1777	<b>AIA (First Inventor to File) Status</b> No

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 11/27/13.  
☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on \_\_\_\_; the restriction requirement and election have been incorporated into this action.
- 4) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims\*

- 5) ☒ Claim(s) 1 and 3-11 is/are pending in the application.  
5a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 6) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 7) ☒ Claim(s) 1 and 3-11 is/are rejected.
- 8) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 9) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

\* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see [http://www.uspto.gov/patents/init\\_events/pph/index.jsp](http://www.uspto.gov/patents/init_events/pph/index.jsp) or send an inquiry to [PPHfeedback@uspto.gov](mailto:PPHfeedback@uspto.gov).

### Application Papers

- 10) ☒ The specification is objected to by the Examiner.
- 11) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

#### Certified copies:

- a) ☐ All    b) ☐ Some\*\*    c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\*\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 3) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. ____. |
| 2) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b)<br>Paper No(s)/Mail Date ____. | 4) <input type="checkbox"/> Other: ____.  |

The present application is being examined under the pre-AIA first to invent provisions.

### **DETAILED ACTION**

1. RCE and amendment filed on 11/27/13 is acknowledged. Claims 1 and 3-11 are pending in the application and considered on merits.

### ***Response to Amendment***

2. The amendment filed on 11/27/13 is objected to under 35 U.S.C. 132(a) because it introduces new matter into the disclosure. 35 U.S.C. 132(a) states that no amendment shall introduce new matter into the disclosure of the invention. The added material which is not supported by the original disclosure is as follows: “where a subset of the plurality of plugs comprises a single biological molecule”.

Applicant is required to cancel the new matter in the reply to this Office Action.

3. In response to the amendment the examiner slightly modifies the grounds for rejections, established in the previous Office action, and adds the rejection of the claims under 35 U.S.C. 112(a), first paragraph, regarding the scope of enablement.

### ***Information Disclosure Statement***

4. The Applicants are respectfully referred to the following excerpt from MPEP:

#### **2001 Duty of Disclosure, Candor, and Good Faith**

*37 CFR 1.56. Duty to disclose information material to patentability.*

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was

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violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) Prior art cited in search reports of a foreign patent office in a counterpart application, and
  - (2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- (1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or
  - (2) It refutes, or is inconsistent with, a position the applicant takes in:
    - (i) Opposing an argument of unpatentability relied on by the Office, or
    - (ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) Each inventor named in the application;
  - (2) Each attorney or agent who prepares or prosecutes the application; and
  - (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.
- (e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

### ***Priority***

5. The instant application claims priority to US provisional application US 60/394,544, filed 07/08/2002. However, the priority date is not supported by the disclosure of US 60/394,544, as it does not disclose the claimed subject matter.

The only referral to a single molecule in plugs is found in the following excerpt:

“The concentration of molecules, particles, or substances in a plug can influence sorting efficiently and therefore is preferably optimized. Thus, in one embodiment of the invention, the sample concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. This is to ensure that for the large majority of measurements, the level of tag measured in each plug as it passes through the detection region corresponds to a single molecule or particle and not to two or more molecules or particles.” (Page 23, lines 13-20).

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Not only the specification does not disclose anything related to PCR and/or DNA molecules, but this disclosure cannot be considered as reduction the invention to the practice. The disclosure is written in a format of an intended goal, rather than the invention reduced to practice. Therefore, the provisional application US 60/394,544 is not the priority document for the instant application.

***Claim Rejections - 35 USC § 112***

6. The following is a quotation of 35 U.S.C. 112 (pre-AIA), first paragraph:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

7. Claims 1 and 3-11 are rejected under 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor or a joint inventor, or for pre-AIA the inventor(s), at the time the application was filed, had possession of the claimed invention.

Amended claim 1 recites “where a subset of the plurality of plugs comprises a single biological molecule”. This expression is not supported by the originally filed specification and is not clear. It is not apparent, what does it mean that a subset of the plurality of plugs comprises a single molecule? Is this the whole subset that comprises a single molecule? Is this one plug in the subset that comprises the single molecule? How big is the subset and how is it formed? The specification is completely silent regarding this newly claimed subject matter.

Furthermore, the only detailed disclosure which is related to obtaining the plug comprising only a single biological molecule is found in paragraph [0160]:

[0160] The concentration of reagents in a plug can be varied. In one embodiment according to the invention, the reagent concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. In other embodiments, the reagent concentration in the plug-fluid is adjusted to concentrate enough that the amount of reaction product can be maximized.

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This disclosure is apparently insufficient for performing the method recited in the claims, as can be clearly seen from e.g. Beer et al. in “On-Chip, Real-Time, Single-Copy Polymerase Chain Reaction in Picoliter Droplets” (Anal. Chem., 2007) (Beer). Not only the specification does not disclose particulars of the method provided in Beer’s reference, but also Beer specifically indicates that with all the specially optimized parameters the DNA copies are distributed in droplets according to Poisson statistics, with one out of 21 singlet droplets having 1 DNA copy. Furthermore, Leng et al. in “Agarose droplet microfluidics for highly parallel and efficient single molecule emulsion PCR” (Lab on a Chip, 2010) (Leng) specifically indicate that Poisson distribution leads to many void droplets (plugs) and suggests using agarose encapsulation for obtaining single copy DNA molecule in a single droplet.

None of this disclosure is provided in the instant specification, and the claim language is not supported by the disclosure, since according to Poisson distribution even for optimized conditions only one out of 21 droplets (plugs) will contain a single copy DNA.

Also, the claims, except for claim 3 recite a biological molecule which will undergo an autocatalytic reaction. The specification does not provide any other examples besides PCR which would meet the scope of the claims.

The examiner respectfully reminds the Applicants that according to MPEP §2163:

**"2163.02. Standard for Determining Compliance with Written Description Requirement:**

The courts have described the essential question to be addressed in a description requirement issue in a variety of ways. An objective standard for determining compliance with the written description requirement is, “does the description clearly allow persons of ordinary skill in the art to recognize that he or she invented what is claimed.” *In re Gosteli*, 872 F.2d 1008, 1012, 10 USPQ2d 1614, 1618 (Fed. Cir. 1989). Under *Vas-Cath, Inc. v. Mahurkar*, 935 F.2d 1555, 1563-64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991), to satisfy the written description requirement, an applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of the invention, and that the invention, in that context, is whatever is now claimed. The test for sufficiency of support in a parent application is whether the disclosure of the application relied upon “reasonably conveys to the artisan that the inventor had possession at that time of the later claimed subject matter.” *Ralston Purina Co. v. Far-Mar-Co., Inc.*, 772 F.2d 1570, 1575, 227 USPQ 177, 179 (Fed. Cir. 1985) (quoting *In re Kaslow*, 707 F.2d 1366, 1375, 217 USPQ 1089, 1096 (Fed. Cir. 1983)). Whenever the issue arises, the fundamental factual inquiry is whether the specification conveys with reasonable clarity to those skilled in the art that, as of the filing date sought, applicant was in possession of the invention as now claimed. See, e.g., *Vas-Cath, Inc. v. Mahurkar*, 935 F.2d 1555, 1563-64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991). An applicant shows possession of the claimed invention by describing the claimed invention with all of its limitations using such descriptive means as words, structures, figures,

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diagrams, and formulas that fully set forth the claimed invention. *Lockwood v. American Airlines, Inc.*, 107 F.3d 1565, 1572, 41 USPQ2d 1961, 1966 (Fed. Cir. 1997). Possession may be shown in a variety of ways including description of an actual reduction to practice, or by showing that the invention was “ready for patenting” such as by the disclosure of drawings or structural chemical formulas that show that the invention was complete, or by describing distinguishing identifying characteristics sufficient to show that the applicant was in possession of the claimed invention. See, e.g., *Pfaff v. Wells Elecs., Inc.*, 525 U.S. 55, 68, 119 S.Ct. 304, 312, 48 USPQ2d 1641, 1647 (1998); *Regents of the University of California v. Eli Lilly*, 119 F.3d 1559, 1568, 43 USPQ2d 1398, 1406 (Fed. Cir. 1997); *Amgen, Inc. v. Chugai Pharmaceutical*, 927 F.2d 1200, 1206, 18 USPQ2d 1016, 1021 (Fed. Cir. 1991) (one must define a compound by “whatever characteristics sufficiently distinguish it”).

The Applicants did not show “possession of claimed invention by describing the claimed invention with all of its limitations using such descriptive means as words, structures, figures, diagrams, and formulas that fully set forth the claimed invention.”

8. Claims 1, 4-11 are rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, because the specification, while being enabling for biological molecules which are DNA or RNA, does not reasonably provide enablement for any other biological molecules. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to practice the invention commensurate in scope with these claims. A polymerase-chain reaction is a specific reaction of amplifying DNA, and therefore no other biological molecules can undergo this reaction. It would have been impossible for a routineer in the art to perform PCR reaction with any other biomolecules besides DNA or RNA.

9. Claims 6 and 7 are further rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, because the specification, while being enabling for PCR reaction in which the molecules are labeled with fluorophores, does not reasonably provide enablement for the reaction in which the molecules are unlabeled. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to practice the invention commensurate in scope with these claims. It would have been an undue experimentation for a practitioner in the art to find conditions for PCR reaction which would emit light without fluorophore labels, because PCR reaction itself does not generate any light.

10. The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

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11. Claims 1 and 3-11 are rejected under 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention.

Claim 1 recites “providing ... a continuously flowing aqueous fluid comprising biological molecules and at least one other molecule”. What does it mean? Does it mean the at least one other molecule should be present in the fluid *versus* plurality of other molecules, or that there should be at least one type of other molecules present in the fluid?

Claim 1 further recites that partitioning the continuously flowing aqueous solution with the continuously flowing carrier fluid leads to formation of plurality of plugs of the aqueous solution, where a subset of the plurality of plugs comprises a single biological molecule. It is not clear from the claim, how this is achieved. It appears that essential method steps or conditions for such partitioning are omitted from the claim, which renders this and dependent claims unclear and indefinite.

Further, the only biological molecules that can undergo a polymerase-chain reaction are DNA or RNA molecules.

Claim 5 recites properties of the PCR reaction. It is not clear, which properties of the reaction are meant in the claim, and what the “properties of the reaction” might be in general.

From claim 6 it is not clear, why the reaction has as a property of light emission.

Claim 7 recites that the reagents include fluorescent labels. This means that the detector is supposed to monitor the progress of the reaction by detecting fluorescence from fluorescent labels. This subject matter is not properly recited in the claims.

Claim 8 is not clear. It is not apparent, which “sets of properties” of the reaction are meant in the claim, which renders the claim unclear and indefinite.

### ***Claim Rejections - 35 USC § 103***

12. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

13. **Claims 1, 3-4 and 9-11** are rejected under 35 U.S.C. 103(a) as being unpatentable over Stewart (WO 84/02000) in view of e.g. Thorsen et al. (Phys. Rev. Lett., 2001) (Thorsen) and e.g. Nakano et al. (J. Biotech., 2003) (Nakano).

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Regarding claims 1 and 9-10 Stewart teaches a method comprising:  
providing a microfluidic system comprising one or more channels;  
providing within the one or more channels a carrier fluid comprising an oil and at least one plug substantially surrounded by the carrier fluid, wherein the plug comprises reagents for performing reactions, see Abstract and Description of the Invention, specifically pages 3 and 4:

“Suitable carrier phases include mineral oils, light silicon oils, water, and fluorinated hydrocarbons. The carrier phase may be a mixture of several substances, and preferably has approximately the same density as the reactants. Surface acting agents may be included in the carrier and/or reactant phase to produce suitable surface properties, e.g. to allow efficient merging”.

Stewart does not specifically disclose forming plugs by two immiscible flowing fluids.

Thorsen teaches “Dynamic Pattern Formation in a Vesicle-Generating Microfluidic Device” (Title), which comprises forming well-controlled plugs (reverse micelles) in a microchannel by flowing two immiscible liquids, one of which is an oil carrier, and the other is water. In conclusion Thorsen indicates: “This system may also find application as a component in a microfluidic screening chip, since it has been shown that subnanoliter vesicles have significant potential as tools for screening of biological and synthetic compounds”.

It would have been obvious for a person of ordinary skill in the art to modify Stewart’s teaching by using Thorsen’s method of forming plugs using two flowing immiscible fluids, one of which is an oil carrier, because this allows better control of the formed plugs compared to Stewart’s formation of the plugs.

Stewart and Thorsen do not specifically teach that the reaction is an autocatalytic reaction involving a biological molecule, specifically PCR for DNA, and that it is monitoring using fluorescence.

Nakano teaches “Single-molecule PCR using water-in-oil emulsion”:

“Polymerase chain reaction (PCR) using a single molecule of DNA is very useful for analysis, detection and cloning of the desired DNA fragment. We developed a simple PCR method utilizing a water-in-oil (W/O) emulsion that included numerous droplets of reaction mixture in bulk oil phase. These droplets, which were stable even at high temperatures, functioned as micro-reactors. This allows the effective concentration of template DNA to be increased, even for low concentrations of template DNA. The present method consists of a two-step thermal cycle. The first step was carried out using the W/O emulsion. During this step, the template DNA was amplified in the limited volume of the droplets in the W/O emulsion. The W/O emulsion was

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broken and the second PCR step was carried out. This method can be easily applied to amplify a single DNA molecule.” (Abstract).

Heating is used as a conventional condition for performing PCR, see paragraph 2.3, page 119.

It would have been obvious for a routineer in the art to adapt Stewart-Thorsen system for performing PCR reaction with a single molecule of DNA in a plug, because Nakano specifically teaches efficiency of PCR in water droplets in an oil phase, being micro-reactors.

14. **Claims 5-8** are rejected under 35 U.S.C. 103(a) as being unpatentable over Stewart in view of Thorsen and Nakano, as applied to claims 1, 3-4 and 9-11 above, and further in view of Kalinina et al. (Nucleic Acids Research, 1997) (Kalinina).

Stewart in view of Thorsen and Nakano do not specifically teach monitoring reaction using fluorescence.

Kalinina teaches “Nanoliter scale PCR with TaqMan detection”, which comprises fluorescence detection of the TaqMan labeled DNA when performing PCR of a single DNA. The labeled DNA and corresponding reagents for performing PCR are placed in a droplet and into a capillary tube for monitoring PCR.

It would have been obvious for a person of ordinary skill in the art to apply Kalinina’s teaching in Stewart-Thorsen-Nakano’s method, since Stewart-Thorsen-Nakano’s method provides exact conditions which are required for fluorescence monitoring of PCR of a single labeled DNA molecule in a small volume, which is easily controllable.

### ***Double Patenting***

15. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225

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USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

16. Claims 1 and 3-11 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-14 of U.S. Patent No. 8,304,193. Although the conflicting claims are not identical, they are not patentably distinct from each other because the claims of the instant application basically recite the same subject matter without particulates of the patented claims, which are essential for performing the claimed method.

### ***Response to Arguments***

17. Applicant's arguments filed 11/27/13 have been fully considered but they are not persuasive.

First, the examiner would like to remind the Applicants that it is the Applicants' duty to provide all patent and non-patent literature ***pertinent*** to the claimed subject matter, namely, performing PCR reaction in droplets formed in microfluidic devices. The Applicants did not respond to the corresponding examiner's inquiry.

Regarding rejection of the claims under 35 U.S.C. 112 (pre-AIA), first paragraph, as lacking the written disclosure related to obtaining a single biological molecule (specifically DNA or RNA) in a subset of droplets, the Applicants refer the examiner to several excerpts from the specification, which the examiner provides here for convenience:

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Suitable reactants for use in the invention include synthetic small molecules, biological molecules (i.e., proteins, DNA, RNA, carbohydrates, sugars, etc.), metals and metal ions, and the like.

The concentration of reagents in a plug can be varied. In one embodiment according to the invention, the reagent concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. In other embodiments, the reagent concentration in the plug-fluid is adjusted to concentrate enough that the amount of reaction product can be maximized. (Page 29 *sic!*, lines 21-29).

In a preferred embodiment, plug-fluids do not significantly mix at or before they are introduced into the first channel. The plug-fluids may form distinct laminar streams at or before the inlet. They may be separated by an additional fluid. Alternatively, they may be introduced into the carrier-fluid via inlets of differing size. The concentration of plug-fluids in the plugs may be adjusted by adjusting volumetric flow rates of the plug-fluids. Further, the diameters of the first channel and the branch channel(s) may differ. (Page 25, lines 20-26).

As to the disclosure from page 48, line 34 to page 50, line 26, the specification provides a very general description of varying concentration of reagents inside the plugs by changing the flow rate and changes of the concentration of the reagents in the fluid flow; however no specific disclosure related to specific conditions for obtaining a single DNA or RNA molecule in a subseries of the plugs is provided in any of the referred excerpts.

As it has been demonstrated by the examiner, the related art (see Beer et al. and Lang et al., the references of which are provided in the present Office action) specifically discloses that obtaining a single DNA or RNA molecule in a plug is a non-trivial and non-obvious procedure. The instant specification does not provide any disclosure of how to do this, and thus the Applicants did not convey to a practitioner in the art that they possessed the claimed invention at the time of filing the application.

Regarding rejection of the claims under 35 U.S.C. 112 (pre-AIA), second paragraph, while some issues are clarified, the main issues regarding unclarity are remained, because the amendment did not overcome them.

Regarding rejection of the claimed subject matter over the prior art, the examiner failed to find any disclosure of PCR reaction of a single DNA or RNA in a subset of the plugs in US 60/394,544, filed 07/08/22. Moreover, a mere mentioning that it is possible to have one particle (molecule) in the plug by diluting the concentration "enough" (page 23, lines 15-20) cannot be

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considered as a disclosure for the invention reduced to practice. Therefore, the priority date for the referred provisional application is not valid and the rejection over the prior art is maintained.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Yelena G. Gakh, Ph.D. whose telephone number is (571)272-1257. The examiner can normally be reached on 9:30am-6:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vickie Kim can be reached on 571-272-0579. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Yelena G. Gakh, Ph.D./  
Primary Examiner, Art Unit 1777

12/11/2013

<b>Notice of References Cited</b>	Application/Control No. 13/563,347	Applicant(s)/Patent Under Reexamination ISMAGILOV ET AL.	
	Examiner Yelena G. Gakh, Ph.D.	Art Unit 1777	Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-			
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

**FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Beer et al. "On-Chip, Real-Time, Single-Copy Polymerase Chain Reaction in Picoliter Droplets", Anal. Chem. 2007, v. 79, pp. 8471-8475.
	V	Leng et al. "Agarose droplet microfluidics for highly parallel and efficient single molecule emulsion PCR", Lab Chip, 2010, v. 10, pp. 2841-2843.
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

## REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL (Submitted Only via EFS-Web)

Application Number	13563347	Filing Date	2012-07-31	Docket Number (if applicable)	UCH-800/US12 31097/10	Art Unit	1777
First Named Inventor	Rustem F. Ismagliov			Examiner Name	Y. G. Gakh		

**This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.**

Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV

### SUBMISSION REQUIRED UNDER 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_

☐ Other \_\_\_\_\_

☒ Enclosed

☒ Amendment/Reply

☐ Information Disclosure Statement (IDS)

☐ Affidavit(s)/ Declaration(s)

☐ Other \_\_\_\_\_

### MISCELLANEOUS

☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months \_\_\_\_\_  
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

☐ Other \_\_\_\_\_

### FEES

**The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.**

☒ The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to  
Deposit Account No 50-0369

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

☒ Patent Practitioner Signature

☐ Applicant Signature

Signature of Registered U.S. Patent Practitioner			
Signature	/Thomas C. Meyers/	Date (YYYY-MM-DD)	2013-11-27
Name	Thomas C. Meyers	Registration Number	36989

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

## Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Ismagilov et al.                      ART UNIT: 1777  
SERIAL NUMBER: 13/563,347      CONFIRMATION NO.: 3611  
FILING DATE: July 31, 2012                      EXAMINER: Gakh, Yelena G.  
TITLE: DEVICE AND METHOD FOR PRESSURE DRIVEN PLUG  
TRANSPORT AND REACTION

**FILED ELECTRONICALLY**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**AMENDMENT AND RESPONSE**

This paper is in response to a final Office Action mailed August 29, 2013 from the United States Patent and Trademark Office. This response is also submitted with a Request for Continued Examination (RCE). Applicants authorize the Commissioner to charge the RCE fee and any other fees due to Deposit Account No. 500369.

**Amendments to the claims** begin on page 2.

**Remarks** begin on page 4.

Amendments to the claims

Please amend claims 1, 3, 5, and 7-8 as follows. This listing of claims will replace all prior versions and listings of claims in the application.

1. (Currently amended) A method comprising the steps of:

providing a microfluidic system comprising one or more channels;  
providing within the one or more channels a continuously flowing carrier fluid comprising an oil and a continuously flowing aqueous fluid comprising biological molecules and at least one other molecule that can react ~~reacts~~ with the biological molecules under conditions in which the biological molecules and the other molecules do not react with each other;  
partitioning the continuously flowing aqueous fluid with the continuously flowing carrier fluid to form a plurality of plugs of the aqueous fluid, where a subset of the plurality of plugs comprises the plug comprising only a single biological molecule and at least one of the other molecules that can react ~~reacts~~ with the biological molecule[[s]]; and  
providing conditions suitable for a polymerase-chain ~~an autocatalytic~~ reaction in the subset of the plurality of plugs such that the single biological molecule is amplified.

2. (Canceled)

3. (Currently Amended) The method of claim 1, wherein the single biological molecule is DNA or RNA ~~and the autocatalytic reaction is a polymerase chain reaction.~~

4. (Previously Presented) The method of claim 1, wherein the providing step includes heating.

5. (Currently Amended) The method of claim 1, further comprising the step of providing a detector to detect, analyze, characterize, or monitor one or more properties of the polymerase-chain ~~autocatalytic~~ reaction during and/or after the reaction ~~[[it]]~~ has occurred.

6. (Original) The method of claim 5, wherein the properties comprise light emission.

7. (Currently Amended) The method of claim 6, wherein the reagents include one or more fluorescent labels and the detector is configured to monitor progress of the reaction by detecting ~~detects~~ emissions from the one or more fluorescent labels.

8. (Currently Amended) The method of claim 5, further comprising the step of directing the subset of the plurality of plugs to a first channel of the one or more channels wherein ~~when~~ the detector is configured to detect[[s]], analyze[[s]], characterize[[s]], or monitor[[s]] one or more of a first set of properties of the reaction and directing the subset plug to a second channel of the one or more channels wherein ~~when~~ the detector is configured to detect[[s]], analyze[[s]], characterize[[s]], or monitor[[s]] one or more properties ~~property~~ not included in the first set.

9. (Original) The method of claim 1, wherein the oil is fluorinated oil.

10. (Original) The method of claim 1, wherein the carrier fluid further comprises a surfactant.

11. (Original) The method of claim 10, wherein the surfactant is fluorinated surfactant.

12-15. (Canceled)

### Remarks

Claim 1 is amended to clarify the claim and further incorporate the subject matter of claim 3. Claims 3, 5, and 7-8 are amended to be consistent with amended claim 1. Support for the amendments to claim 1 are found in claim 3 as originally filed, and throughout the as-filed application, for example at page 29, lines 21-29, page 25, lines 20-26, page 48, line 34 to page 50, line 26, page 68, line 30 to page 69, line 4, and Examples 8-9 at pages 99-102 of the as-filed specification. No new matter is added.

### Rejections Under 35 U.S.C. §112, First Paragraph

The Office Action rejects claims 1 and 3-11 under 35 U.S.C. §112, first paragraph, as failing to comply with the written description requirement. In particular, the Office Action states that the step of "partitioning the continuously flowing aqueous fluid with the continuously flowing carrier fluid to form a plug of the aqueous fluid, the plug comprising only a single biological molecule..." is not adequately described by the as-filed application.

Without acquiescing to the rejection and in order to advance the case to allowability, claim 1 is amended to recite "partitioning the continuously flowing aqueous fluid with the continuously flowing carrier fluid to form a plurality of plugs of the aqueous fluid, where a subset of the plurality of plugs comprises a single biological molecule..." Support for this amendment can be found at least on page 28, lines 21-29, which describe that plugs may contain biological molecules (i.e., proteins, DNA, RNA, etc) and the some plugs may contain no more than a single biological molecule based on varying the concentration of reagents when forming plugs. More specifically, the reagent concentration may be adjusted to be dilute enough to result in the inclusion of no more than a single biological molecule. The methods of adjusting and varying concentrations of the reagents of the present invention is described at least on page 25, lines 20-26 and page 48, line 34 to page 50, line 26 of the as-filed specification.

Further, the Office Action notes on page 4 that all of the claims recite and "autocatalytic reaction", while the specification only provides PCR as an example autocatalytic reaction (as claimed in claim 3). Amended claim 1 recites "providing conditions suitable for a polymerase-chain reaction in the subset such that the single biological molecule is amplified." Support for this amendment can be found in claim 3 as originally filed and page 66, lines 16-26 of the as-filed specification.

Based on those amendments and reasons, Applicants respectfully request withdrawal of the 35 U.S.C. §112, first paragraph, written description rejection.

Rejections Under 35 U.S.C. §112, Second Paragraph

The Office Action rejects claims 1 and 3-11 under 35 U.S.C. §112, paragraph 2, for a variety reasons. Claim 1 was rejected due to issues of clarity. Claim 1 has been amended as suggested by the Examiner. Claims 5 and 6 were rejected as being unclear, particularly with respect to what is meant by the phrase "properties of the reaction" in claim 5 and the "property of light emission" of claim 6. Claims 5 and 6 have been amended to be consistent with the amendments of claim 1, particularly specifying that the autocatalytic reaction is PCR. Claims 7 and 8 were rejected as not properly reciting the subject matter of the claims. Claims 7 and 8 have been amended as suggested by the Examiner.

Based on those amendments and reasons, Applicants respectfully request withdrawal of the 35 U.S.C. §112 ¶2 rejection.

Rejections Under 35 U.S.C. § 103

The Office Action rejects claims 1, 3-4, and 9-11 under 35 U.S.C. §103(a) in view of the combination of Stewart (WO 84/02000) and Thorsen et al. (Phys. Rev. Lett., 2001) and Nakano et al. (J. Biotech., 2003). The Office Action further rejects claims 5-8 under 35 U.S.C. §103(a) in view of the combination of Stewart, Thorsen, Nakano and Kalinina (Nucleic Acids Research, 1997). Applicants respectfully disagree.

To be used in a 35 U.S.C. §103(a) rejection, a reference must first qualify as prior art under 35 U.S.C. §102. Nakano is not prior art to the pending claims, and therefore cannot be used as part of any rejection of the pending claims.

Nakano was published in April of 2003. The pending claims have priority to U.S. Provisional Application No. 60/394,544, filed July 8, 2002. All of the subject matter of the pending claims is found in that provisional application. For example, microfluidic systems with channels and forming a plurality of plugs in those channels is found at page 10 line 5 to page 18 line 30 and Figures 1-9 of USSN 60/394,544. That section of USSN 60/394,544 also discloses partitioning a continuously flowing aqueous fluid with a continuously flowing carrier fluid to form the plurality of plugs. Support for having no more than a single molecule in a plurality of

the plugs is found at page 23 lines 13-20 of USSN 60/394,544. Support for conducting polymerization reactions in the plurality of plugs is found at page 29 line 26-30.

Accordingly, the Nakano reference is not prior art and thus cannot be used in any rejection of the pending claims. Therefore, the claims are not obvious in view of the combination of the cited references.

Applicants respectfully request withdrawal of the 35 U.S.C. §103(a) rejections.

#### Double Patenting

The Office Action rejects claims 1 and 3-11 on the grounds of nonstatutory obviousness-type double patenting in view of claims 1-14 of U.S. patent number 8,304,193. Applicants respectfully request that the double patenting rejection be held in abeyance until the Examiner deems that all outstanding rejections have been addressed, at which time Applicants will file a terminal disclaimer over U.S. patent number 8,304,193.

#### Summary

On the basis of the foregoing amendments and reasons, Applicants respectfully submit that the pending claims are in condition for allowance, which is respectfully requested.

If there are any questions regarding these remarks, the Examiner is invited and encouraged to contact Applicants' representative.

Dated: November 27, 2013

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Respectfully submitted,  
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# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/563,347	07/31/2012	Rustem F. Ismagilov	RDT-800/US12 29168/273	3611
21710	7590	08/29/2013	EXAMINER	
BROWN RUDNICK LLP ONE FINANCIAL CENTER BOSTON, MA 02111			GAKH, YELENA G	
			ART UNIT	PAPER NUMBER
			1777	
			NOTIFICATION DATE	DELIVERY MODE
			08/29/2013	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

ip@brownrudnick.com  
usactions@brownrudnick.com

<b>Office Action Summary</b>	<b>Application No.</b> 13/563,347	<b>Applicant(s)</b> ISMAGILOV ET AL.	
	<b>Examiner</b> Yelena G. Gakh, Ph.D.	<b>Art Unit</b> 1777	<b>AIA (First Inventor to File) Status</b> No

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 06/27/13.  
☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on \_\_\_\_.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on \_\_\_\_; the restriction requirement and election have been incorporated into this action.
- 4) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 5) ☒ Claim(s) 1 and 3-11 is/are pending in the application.  
5a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 6) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 7) ☒ Claim(s) 1 and 3-11 is/are rejected.
- 8) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 9) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

\* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see [http://www.uspto.gov/patents/init\\_events/pph/index.jsp](http://www.uspto.gov/patents/init_events/pph/index.jsp) or send an inquiry to [PPHfeedback@uspto.gov](mailto:PPHfeedback@uspto.gov).

### Application Papers

- 10) ☐ The specification is objected to by the Examiner.
- 11) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

#### Certified copies:

- a) ☐ All    b) ☐ Some \*    c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 3) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. ____. |
| 2) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date ____. | 4) <input type="checkbox"/> Other: ____.  |

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The present application is being examined under the pre-AIA first to invent provisions.

### **DETAILED ACTION**

1. Amendment filed on 06/27/13 is acknowledged. Claims 2 and 12-15 are cancelled.

Claims 1 and 3-11 are pending in the application and considered on merits.

TD filed on 06/27/13 is disapproved.

### ***Response to Amendment***

2. In response to the amendment the examiner modifies grounds for rejection.

### ***Information Disclosure Statement***

3. The Applicants are respectfully referred to the following excerpt from MPEP:

#### **2001 Duty of Disclosure, Candor, and Good Faith**

*37 CFR 1.56. Duty to disclose information material to patentability.*

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and  
(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

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(ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;  
(2) Each attorney or agent who prepares or prosecutes the application; and  
(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

### ***Claim Rejections - 35 USC § 112***

4. The following is a quotation of 35 U.S.C. 112(a):

(a) IN GENERAL.—The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same, and shall set forth the best mode contemplated by the inventor or joint inventor of carrying out the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), first paragraph:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

5. Claims 1 and 3-11 are rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor or a joint inventor, or for pre-AIA the inventor(s), at the time the application was filed, had possession of the claimed invention.

Claim 1 recites “partitioning the continuously flowing aqueous fluid with the continuously flowing carrier fluid to form a plug of the aqueous fluid, the plug comprising only a

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single biological molecule and at least one of the other molecules that reacts with the biological molecules”.

The only detailed disclosure which is related to obtaining the plug comprising only a single biological molecule is found in paragraph [0160]:

[0160] The concentration of reagents in a plug can be varied. In one embodiment according to the invention, the reagent concentration may be adjusted to be dilute enough that most of the plugs contain no more than a single molecule or particle, with only a small statistical chance that a plug will contain two or more molecules or particles. In other embodiments, the reagent concentration in the plug-fluid is adjusted to concentrate enough that the amount of reaction product can be maximized.

This disclosure is apparently insufficient for performing the method recited in the claims, as can be clearly seen from e.g. Beer et al. (Anal. Chem., 2007) (Beer). Not only the specification does not disclose particulars of the method provided in Beer’s reference, but also Beer specifically indicates that with all the specially optimized parameters the DNA copies are distributed in droplets according to Poisson statistics, with one out of 21 singlet droplets having 1 DNA copy. Furthermore, Leng et al. in “Agarose droplet microfluidics for highly parallel and efficient single molecule emulsion PCR” (Lab on a Chip, 2010) (Leng) specifically indicate that Poisson distribution leads to many void droplets (plugs) and suggests using agarose encapsulation for obtaining single copy DNA molecule in a single droplet.

None of this disclosure is provided in the instant specification, and the claim language is not supported by the disclosure, since according to Poisson distribution even for optimized conditions only one out of 21 droplets (plugs) will contain a single copy DNA.

Also, the claims, except for claim 3 recite a biological molecule which will undergo an autocatalytic reaction. The specification does not provide any other examples besides PCR which would meet the scope of the claims.

The examiner respectfully reminds the Applicants that according to MPEP §2163:

**"2163.02. Standard for Determining Compliance with Written Description Requirement:**

The courts have described the essential question to be addressed in a description requirement issue in a variety of ways. An objective standard for determining compliance with the written description requirement is, “does the description clearly allow persons of ordinary skill in the art to recognize that he or she invented what is claimed.” *In re Gosteli*, 872 F.2d 1008, 1012, 10 USPQ2d 1614, 1618 (Fed. Cir. 1989). Under *Vas-Cath, Inc. v. Mahurkar*, 935 F.2d 1555, 1563-

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64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991), to satisfy the written description requirement, an applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of the invention, and that the invention, in that context, is whatever is now claimed. The test for sufficiency of support in a parent application is whether the disclosure of the application relied upon “reasonably conveys to the artisan that the inventor had possession at that time of the later claimed subject matter.” *Ralston Purina Co. v. Far-Mar-Co., Inc.*, 772 F.2d 1570, 1575, 227 USPQ 177, 179 (Fed. Cir. 1985) (quoting *In re Kaslow*, 707 F.2d 1366, 1375, 217 USPQ 1089, 1096 (Fed. Cir. 1983)). Whenever the issue arises, the fundamental factual inquiry is whether the specification conveys with reasonable clarity to those skilled in the art that, as of the filing date sought, applicant was in possession of the invention as now claimed. See, e.g., *Vas-Cath, Inc. v. Mahurkar*, 935 F.2d 1555, 1563-64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991). An applicant shows possession of the claimed invention by describing the claimed invention with all of its limitations using such descriptive means as words, structures, figures, diagrams, and formulas that fully set forth the claimed invention. *Lockwood v. American Airlines, Inc.*, 107 F.3d 1565, 1572, 41 USPQ2d 1961, 1966 (Fed. Cir. 1997). Possession may be shown in a variety of ways including description of an actual reduction to practice, or by showing that the invention was “ready for patenting” such as by the disclosure of drawings or structural chemical formulas that show that the invention was complete, or by describing distinguishing identifying characteristics sufficient to show that the applicant was in possession of the claimed invention. See, e.g., *Pfaff v. Wells Elecs., Inc.*, 525 U.S. 55, 68, 119 S.Ct. 304, 312, 48 USPQ2d 1641, 1647 (1998); *Regents of the University of California v. Eli Lilly*, 119 F.3d 1559, 1568, 43 USPQ2d 1398, 1406 (Fed. Cir. 1997); *Amgen, Inc. v. Chugai Pharmaceutical*, 927 F.2d 1200, 1206, 18 USPQ2d 1016, 1021 (Fed. Cir. 1991) (one must define a compound by “whatever characteristics sufficiently distinguish it”).

The Applicants did not show “possession of claimed invention by describing the claimed invention with all of its limitations using such descriptive means as words, structures, figures, diagrams, and formulas that fully set forth the claimed invention.”

6. The following is a quotation of 35 U.S.C. 112(b):

(B) CONCLUSION.—The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the inventor or a joint inventor regards as the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

7. Claims 1 and 3-11 are rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention.

Claim 1 recites “continuously flowing aqueous fluid comprising biological molecules and at least one biological molecule that reacts with the biological molecules under conditions in which the biological molecule and the other molecules do not react with each other”. This is quite a confusing expression. The examiner suggests replacing “reacts” with “can react”.

Further, the claims recites that partitioning the continuously flowing aqueous fluid with the continuously flowing carrier fluid forms a plug, which comprises only a single biological molecule. First, it is not clear, how such partitioning can form only one plug. Second, it is also not clear, how this plug can contain just one molecule. The claim does not recite any conditions which are essential for obtaining such plug. Omitting these essential features renders the claim and dependent claims unclear and indefinite.

Moreover, it is not clear, which autocatalytic reactions are possible with a biological molecule besides PCR.

Claim 5 recites properties of the catalytic reaction. It is not clear, which properties of the reaction are meant in the claim, and what the "properties of the reaction" might be in general.

From claim 6 it is not clear, why the reaction has as a property of light emission.

Claim 7 recites that the reagents include fluorescent labels. This means that the detector is supposed to monitor the progress of the reaction by detecting fluorescence from fluorescent labels. This subject matter is not properly recited in the claims.

The same is true for claim 8.

### ***Claim Rejections - 35 USC § 103***

8. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

9. **Claims 1, 3-4 and 9-11** are rejected under 35 U.S.C. 103(a) as being unpatentable over Stewart (WO 84/02000) in view of e.g. Thorsen et al. (Phys. Rev. Lett., 2001) (Thorsen) and e.g. Nakano et al. (J. Biotech., 2003) (Nakano).

Regarding claims 1 and 9-10 Stewart teaches a method comprising:  
providing a microfluidic system comprising one or more channels;

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providing within the one or more channels a carrier fluid comprising an oil and at least one plug substantially surrounded by the carrier fluid, wherein the plug comprises reagents for performing reactions, see Abstract and Description of the Invention, specifically pages 3 and 4:

“Suitable carrier phases include mineral oils, light silicon oils, water, and fluorinated hydrocarbons. The carrier phase may be a mixture of several substances, and preferably has approximately the same density as the reactants. Surface acting agents may be included in the carrier and/or reactant phase to produce suitable surface properties, e.g. to allow efficient merging”.

Stewart does not specifically disclose forming plugs by two immiscible flowing fluids.

Thorsen teaches “Dynamic Pattern Formation in a Vesicle-Generating Microfluidic Device” (Title), which comprises forming well-controlled plugs (reverse micelles) in a microchannel by flowing two immiscible liquids, one of which is an oil carrier, and the other is water. In conclusion Thorsen indicates: “This system may also find application as a component in a microfluidic screening chip, since it has been shown that subnanoliter vesicles have significant potential as tools for screening of biological and synthetic compounds”.

It would have been obvious for a person of ordinary skill in the art to modify Stewart’s teaching by using Thorsen’s method of forming plugs using two flowing immiscible fluids, one of which is an oil carrier, because this allows better control of the formed plugs compared to Stewart’s formation of the plugs.

Stewart and Thorsen do not specifically teach that the reaction is an autocatalytic reaction involving a biological molecule, specifically PCR for DNA, and that it is monitoring using fluorescence.

Nakano teaches “Single-molecule PCR using water-in-oil emulsion”:

“Polymerase chain reaction (PCR) using a single molecule of DNA is very useful for analysis, detection and cloning of the desired DNA fragment. We developed a simple PCR method utilizing a water-in-oil (W/O) emulsion that included numerous droplets of reaction mixture in bulk oil phase. These droplets, which were stable even at high temperatures, functioned as micro-reactors. This allows the effective concentration of template DNA to be increased, even for low concentrations of template DNA. The present method consists of a two-step thermal cycle. The first step was carried out using the W/O emulsion. During this step, the template DNA was amplified in the limited volume of the droplets in the W/O emulsion. The W/O emulsion was broken and the second PCR step was carried out. This method can be easily applied to amplify a single DNA molecule.” (Abstract).

Heating is used as a conventional condition for performing PCR, see paragraph 2.3, page 119.

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It would have been obvious for a routineer in the art to adapt Stewart-Thoren system for performing PCR reaction with a single molecule of DNA in a plug, because Nakano specifically teaches efficiency of PCR in water droplets in an oil phase, being micro-reactors.

10. **Claims 5-8** are rejected under 35 U.S.C. 103(a) as being unpatentable over Stewart in view of Thorsen and Nakano, as applied to claims 1, 3-4 and 9-11 above, and further in view of Kalinina et al. (Nucleic Acids Research, 1997) (Kalinina).

Stewart in view of Thorsen and Nakano do not specifically teach monitoring reaction using fluorescence.

Kalinina teaches “Nanoliter scale PCR with TaqMan detection”, which comprises fluorescence detection of the TaqMan labeled DNA when performing PCR of a single DNA. The labeled DNA and corresponding reagents for performing PCR are placed in a droplet and into a capillary tube for monitoring PCR.

It would have been obvious for a person of ordinary skill in the art to apply Kalinina’s teaching in Stewart-Thorsen-Nakano’s method, since Stewart-Thorsen-Nakano’s method provides exact conditions which are required for fluorescence monitoring of PCR of a single labeled DNA molecule in a small volume, which is easily controllable.

### ***Double Patenting***

11. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the “right to exclude” granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

12. Claims 1 and 3-11 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-14 of U.S. Patent No. 8,304,193. Although the conflicting claims are not identical, they are not patentably distinct from each other because the claims of the instant application basically recite the same subject matter without particulates of the patented claims, which are essential for performing the claimed method.

### ***Response to Arguments***

12. Applicant's arguments with respect to claims 1-15 have been considered but are moot because the arguments do not apply to any current rejections.

### ***Conclusion***

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Yelena G. Gakh, Ph.D. whose telephone number is (571)272-1257. The examiner can normally be reached on 9:30am-6:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vickie Kim can be reached on 571-272-0579. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Yelena G. Gakh, Ph.D./  
Primary Examiner, Art Unit 1777

8/23/2013

<b>Notice of References Cited</b>	Application/Control No. 13/563,347	Applicant(s)/Patent Under Reexamination ISMAGILOV ET AL.	
	Examiner Yelena G. Gakh, Ph.D.	Art Unit 1777	Page 1 of 1

#### U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-			
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

#### FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

#### NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Thorsen et al. "Dynamic Pattern Formation in a Vesicle-Generating Microfluidic Device", Phys. Rev. Lett., 2001, v. 86, No. 18, pp. 4164-4166.
	V	Nakano et al. "Single-molecule PCR using water-in-oil emulsion", J. Biotech., 2003, v. 102, pp. 117-124.
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.



# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/563,347	07/31/2012	Rustem F. Ismagilov	RDT-800/US12 29168/273	3611
21710	7590	12/27/2012		
BROWN RUDNICK LLP ONE FINANCIAL CENTER BOSTON, MA 02111			EXAMINER GAKH, YELENA G	
			ART UNIT	PAPER NUMBER
			1777	
			MAIL DATE	DELIVERY MODE
			12/27/2012	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 13/563,347	<b>Applicant(s)</b> ISMAGLIOV ET AL.	
	<b>Examiner</b> Yelena G. Gakh, Ph.D.	<b>Art Unit</b> 1777	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 31 July 2012.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on \_\_\_\_; the restriction requirement and election have been incorporated into this action.
- 4) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 5) ☒ Claim(s) 1-15 is/are pending in the application.
- 5a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 6) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 7) ☒ Claim(s) 1-15 is/are rejected.
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#### Application Papers

- 10) ☐ The specification is objected to by the Examiner.
- 11) ☒ The drawing(s) filed on 09/04/12 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_.
- 3) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_.
- 4) ☐ Other: \_\_\_\_.

Art Unit: 1777

**DETAILED ACTION*****Information Disclosure Statement***

1. The Applicants are respectfully referred to the following excerpt from MPEP:

**2001 Duty of Disclosure, Candor, and Good Faith**

*37 CFR 1.56. Duty to disclose information material to patentability.*

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) Prior art cited in search reports of a foreign patent office in a counterpart application, and
  - (2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- (1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or
  - (2) It refutes, or is inconsistent with, a position the applicant takes in:
    - (i) Opposing an argument of unpatentability relied on by the Office, or
    - (ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) Each inventor named in the application;
- (2) Each attorney or agent who prepares or prosecutes the application; and

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(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of 35 U.S.C. 112(a):

(a) IN GENERAL.—The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same, and shall set forth the best mode contemplated by the inventor or joint inventor of carrying out the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), first paragraph:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

3. Claims 1-15 are rejected under 35 U.S.C. 112(a) or 35 U.S.C. 112 (pre-AIA), first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor or a joint inventor, or for pre-AIA the inventor(s), at the time the application was filed, had possession of the claimed invention. The claims recite providing a microfluidic system comprising one or more channels and providing within one or more channels a carrier fluid comprising an oil and at least one plug substantially surrounded with the plug comprising reagents for an autocatalytic reaction.

The specification discloses specifically forming the plugs but *continuously* flowing through the inlets a carrier oil and at least one fluid comprising reagents which form plugs at the junction. Furthermore, the fluids should comprise the catalysts for performing an autocatalytic reaction and have specific reaction conditions only at specific time in order to prevent occurring the reaction in the fluid comprising the reagents before the plug is formed.

The examiner respectfully reminds the Applicants that according to MPEP §2163:

**"2163.02. Standard for Determining Compliance with Written Description Requirement:**

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The courts have described the essential question to be addressed in a description requirement issue in a variety of ways. An objective standard for determining compliance with the written description requirement is, “does the description clearly allow persons of ordinary skill in the art to recognize that he or she invented what is claimed.” *In re Gosteli*, 872 F.2d 1008, 1012, 10 USPQ2d 1614, 1618 (Fed. Cir. 1989). Under *Vas-Cath, Inc. v. Mahurkar*, 935 F.2d 1555, 1563-64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991), to satisfy the written description requirement, an applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of the invention, and that the invention, in that context, is whatever is now claimed. The test for sufficiency of support in a parent application is whether the disclosure of the application relied upon “reasonably conveys to the artisan that the inventor had possession at that time of the later claimed subject matter.” *Ralston Purina Co. v. Far-Mar-Co., Inc.*, 772 F.2d 1570, 1575, 227 USPQ 177, 179 (Fed. Cir. 1985) (quoting *In re Kaslow*, 707 F.2d 1366, 1375, 217 USPQ 1089, 1096 (Fed. Cir. 1983)). Whenever the issue arises, the fundamental factual inquiry is whether the specification conveys with reasonable clarity to those skilled in the art that, as of the filing date sought, applicant was in possession of the invention as now claimed. See, e.g., *Vas-Cath, Inc. v. Mahurkar*, 935 F.2d 1555, 1563-64, 19 USPQ2d 1111, 1117 (Fed. Cir. 1991). An applicant shows possession of the claimed invention by describing the claimed invention with all of its limitations using such descriptive means as words, structures, figures, diagrams, and formulas that fully set forth the claimed invention. *Lockwood v. American Airlines, Inc.*, 107 F.3d 1565, 1572, 41 USPQ2d 1961, 1966 (Fed. Cir. 1997). Possession may be shown in a variety of ways including description of an actual reduction to practice, or by showing that the invention was “ready for patenting” such as by the disclosure of drawings or structural chemical formulas that show that the invention was complete, or by describing distinguishing identifying characteristics sufficient to show that the applicant was in possession of the claimed invention. See, e.g., *Pfaff v. Wells Elecs., Inc.*, 525 U.S. 55, 68, 119 S.Ct. 304, 312, 48 USPQ2d 1641, 1647 (1998); *Regents of the University of California v. Eli Lilly*, 119 F.3d 1559, 1568, 43 USPQ2d 1398, 1406 (Fed. Cir. 1997); *Amgen, Inc. v. Chugai Pharmaceutical*, 927 F.2d 1200, 1206, 18 USPQ2d 1016, 1021 (Fed. Cir. 1991) (one must define a compound by “whatever characteristics sufficiently distinguish it”).

The Applicants did not show “possession of claimed invention by describing the claimed invention with all of its limitations using such descriptive means as words, structures, figures, diagrams, and formulas that fully set forth the claimed invention.”

4. The following is a quotation of 35 U.S.C. 112(b):

(B) CONCLUSION.—The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the inventor or a joint inventor regards as the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-15 are rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention.

Claim 1 recites a method “providing a microfluidic system comprising one or more channels; providing within the one or more channels a carrier fluid comprising an oil and at least one plug substantially surrounded by the carrier fluid, wherein the plug”. It is not clear, how it is possible to provide at least one plug (which means that there can be just one plug provided) surrounded by the oil in the channel, with the plug being in "at least one channel", which means that there may be multiple channels. It is not clear, how the plug (or plugs) is provided; it is also not clear, what does it mean – “conduct an autocatalytic reaction”, since the reaction should occur on its own as soon as the reagents are mixed together. If there are special conditions which prevent such reaction when the reagents are in the fluid, rather than in the plug, this should be recited in the claim.

The language of the claims renders it and dependent claims unclear and indefinite.

Claim 13 recites an expansion portion. It is not clear, whether this expansion portion is symmetrical relative to the axis of the channel, or it is rather a trap.

Claim 14 recites that the plug is substantially spherical; it is not clear, how the plugs in the microfluidic channels can be spherical. It appears that the drawings show them as oval. It is also not clear, how the shape of the plugs further limit the method, since it is not clear, which active steps are required to be performed in order to obtain spherical shapes of the plugs. The examiner considers the shape of the plugs to be inherent to the method.

From claim 15 it is not clear, where the separation occurs, and what should be the structure of the microfluidic device in order to perform such separation.

Also, all claims recite just one plug. However, it is not clear, as it was outlined above, how it is possible to obtain just one plug in the channel(s).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

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(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

7. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

8. **Claims 1-12 and 14-15** are rejected under 35 U.S.C. 103(a) as being unpatentable over Stewart (WO 84/02000) in view of e.g. Kalinina et al. (Nucleic Acids Research, 1997) (Kalinina).

Stewart teaches a method comprising:

providing a microfluidic system comprising one or more channels;

providing within the one or more channels a carrier fluid comprising an oil and at least one plug substantially surrounded by the carrier fluid, wherein the plug comprises reagents for performing reactions, see Abstract and Description of the Invention, specifically pages 3 and 4 (the suitable carrier liquids are mineral oils and fluorinated hydrocarbons).

Stewart does not specifically disclose autocatalytic reaction, and especially PCR.

Kalinina teaches “Nanoliter scale PCR with TaqMan detection”, which comprises fluorescence detection of the TaqMan labeled DNA when performing PCR of a single DNA.

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The labeled DNA and corresponding reagents for performing PCR are placed in a droplet and into a capillary tube for monitoring PCR.

It would have been obvious for a person of ordinary skill in the art to apply Kalinina's teaching in Stewart's method, since Stewart's method provides exact conditions which are required for fluorescence monitoring of PCR of a single labeled DNA molecule in a small volume, which is easily controllable.

9. **Claim 13** is rejected under 35 U.S.C. 103(a) as being unpatentable over Stewart in view of Kalinina, as applied to claims 1-12 and 14-15 above, and further in view of e.g. Hayenga et al. (US 2002/0160518) (Hayenga).

Stewart in view of Kalinina do not specifically disclose an expansion portion in the channel, where at least one plug is trapped.

Hayenga discloses this type of traps for separating particles, such as blood cells from the flowing fluid, see Fig. 3.

It would have been obvious for a person of ordinary skill in the art to modify Stewart-Kalinina's method by incorporating Hayenga's traps for trapping the plug the same way, as Hayenga separates a portion of the flowing fluid, for e.g. further analysis, because the traps serve the same purpose of separating a portion of a flowing fluid.

### ***Double Patenting***

10. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory obviousness-type double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re*

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*Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent either is shown to be commonly owned with this application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement.

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

11. Claims 1-15 are rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 1-14 of U.S. Patent No. 8,304,193. Although the conflicting claims are not identical, they are not patentably distinct from each other because the claims of the instant application basically recite the same subject matter without particulates of the patented claims, which are essential for performing the claimed method.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Yelena G. Gakh, Ph.D. whose telephone number is (571)272-1257. The examiner can normally be reached on 9:30am-6:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vickie Kim can be reached on 571-272-0579. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Yelena G. Gakh, Ph.D./  
Primary Examiner, Art Unit 1777

12/20/2012

<b>Notice of References Cited</b>	Application/Control No. 13/563,347		Applicant(s)/Patent Under Reexamination ISMAGLIOV ET AL.	
	Examiner Yelena G. Gakh, Ph.D.		Art Unit 1777	Page 1 of 1

#### U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2002/0160518	10-2002	Hayenga et al.	436/70
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

#### FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
*	N	WO 8402000 A	05-1984	World Intellect	STEWART P D S	
	O					
	P					
	Q					
	R					
	S					
	T					

#### NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	Kalinina et al. "Nanoliter scale PCR with TaqMan detection", Nucleic Acids Research, 1997, v. 25, No. 10, pp. 1999-2004
	V	
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.