

UNITED STATES PATENT AND TRADEMARK OFFICE

---

BEFORE THE PATENT TRIAL AND APPEAL BOARD

---

SPECTRUM SOLUTIONS LLC,  
Petitioner,

v.

LONGHORN VACCINES & DIAGNOSTICS, LLC,  
Patent Owner.

---

IPR2021-00854  
Patent 8,669,240 B2

---

Before ZHENYU YANG, WESLEY B. DERRICK, and  
ROBERT A. POLLOCK, *Administrative Patent Judges*.

YANG, *Administrative Patent Judge*.

JUDGMENT

Adverse Judgment  
Ordering All Challenged Claims Cancelled Based on Adverse Judgment

FINAL WRITTEN DECISION  
Determining All Challenged Claims Unpatentable  
Denying Patent Owner's Revised Contingent Motion to Amend  
*35 U.S.C. §§ 318(a)*

Denying In Part and Dismissing In Part Patent Owner's Motion to Exclude  
*37 C.F.R. § 42.64(c)*

Denying Patent Owner's Motion to Seal  
*37 C.F.R. §§ 42.54, 42.55*

Executive Summary:

In the concurrently-issued Sanctions Order (Paper 108), we determine that Patent Owner failed to meet its duty of candor and fair dealing in its actions before the Board. As detailed in that Order, Patent Owner conducted, and relied on, biological testing in an attempt to distinguish the asserted Birnboim reference in this and related *inter partes* reviews, but selectively and improperly withheld material results that were inconsistent with its arguments. For the reasons set forth in our Sanctions Order, we order, as adverse judgment, that all challenged claims of the U.S. Patent No. 8,669,240 are cancelled and Patent Owner's Revised Motion to Amend is denied.

For the sake of completeness, we also address the merits of the Petition. In so doing, we further determine that Petitioner has demonstrated by a preponderance of the evidence that all challenged claims are unpatentable under 35 U.S.C. § 103. Petitioner also has shown by a preponderance of the evidence that the proposed substitute claims are unpatentable under 35 U.S.C. § 103.

## I. PROCEDURAL BACKGROUND

Spectrum Solutions LLC (“Petitioner”) filed a Petition (Paper 1 (“Pet.”)), seeking an *inter partes* review of claims 1–35 of U.S. Patent No. 8,669,240 B2 (Ex. 1001 (“the ’240 patent”)). Longhorn Vaccines & Diagnostics, LLC (“Patent Owner”) filed a Preliminary Response. Paper 6 (“Prelim. Resp.”). We instituted trial to review the challenged claims. Paper 12 (“DI”). Thereafter, Patent Owner filed its Response (Paper 102<sup>1</sup> (“PO Resp.”)), Petitioner filed a Reply to Patent Owner’s Response (Paper 38 (“Reply”)), and Patent Owner filed a Sur-reply to Petitioner’s Reply (Paper 103<sup>2</sup> (“Sur-reply”)).

Patent Owner also filed a Contingent Motion to Amend (Paper 20 (“original MTA”)), and Petitioner filed an Opposition to the MTA (Paper 39 (“first MTA Opp.” or “first MTA Opposition”)). We issued a Preliminary Guidance on the MTA, indicating our initial, preliminary, non-binding views that Petitioner had established a reasonable likelihood that the proposed substitute claims are unpatentable. Paper 48 (“PG”).

---

<sup>1</sup> Patent Owner originally filed its Response on February 11, 2022. Paper 21. It later sought, and we granted, leave to amend the Patent Owner Response. Papers 51, 62. After filing the Amended Patent Owner Response (Paper 66), Patent Owner again sought, and we granted, leave to correct certain citations therein (Ex. 3009). Patent Owner filed a corrected Amended Patent Owner Response. Paper 102. In this Decision, we cite to Paper 102 and treat all citations to Papers 21 and 66 in the Papers and Exhibits as citations to Paper 102.

<sup>2</sup> Patent Owner originally filed the Sur-reply on June 17, 2022. Paper 53. It later sought, and we granted, leave to correct certain citations therein (Ex. 3009). Patent Owner filed a corrected Sur-reply. Paper 103. In this Decision, we cite to Paper 103 and treat all citations to Paper 53 in the Papers and Exhibits as citations to Paper 103.

Thereafter, Patent Owner filed a Revised Contingent Motion to Amend (Paper 58 (“Revised MTA”)) and Petitioner filed an Opposition to the Revised MTA (Paper 68 (“second MTA Opp.” or “second MTA Opposition”)). Patent Owner filed a Reply in support of its Revised MTA (Paper 78 (“MTA Reply”)), and Petitioner filed a Sur-reply to the MTA Reply (Paper 94 (“MTA Sur-reply”)).

Patent Owner filed a Motion to Seal (Paper 41); Petitioner opposed (Paper 49); and Patent Owner filed a Reply in support of its Motion (Paper 63).

Patent Owner also filed a Motion to Exclude Evidence (Paper 82); Petitioner opposed (Paper 88); and Patent Owner filed a reply in support of the MTE (Paper 96).

Petitioner filed a Motion for Sanctions (Paper 55); Patent Owner opposed (Paper 76); and Petitioner filed a Reply in support of its Motion (Paper 84). On August 16, 2022, the panel held a hearing on the sanctions motion, and the transcript of that hearing is of record also. Paper 101. Concurrently with this Decision, we issue a separate decision discussing the Sanctions Motion. *See* Paper 108 (“Sanctions Order”).

An oral hearing on the merits for this and related proceedings was held on August 19, 2022, and the transcript of that hearing is of record. *See* Paper 105 (“Tr.”).

## II. RELATED MATTERS

According to the parties, Patent Owner asserted the ’240 patent against Petitioner in *Longhorn Vaccines & Diagnostics, LLC v. Spectrum Solutions LLC*, C.A. No. 2:20-cv-00827 (D. Utah). Pet. 1; Paper 3.

Petitioner also filed IPR2021-00847, -00850, -00851, -00857, and -00860, challenging claims of related U.S. Patents Nos. 8,084,443; 8,293,467; 8,415,330; 9,212,399; and 9,683,256, respectively. We denied review in IPR2021-00851 but instituted trial in the other four cases. Concurrently with this Decision, we issue Final Written Decisions in those proceedings.

### III. ADVERSE JUDGMENT

Petitioner moved for sanctions, seeking (1) judgment against Patent Owner; (2) a holding that a particular reference meets particular claim limitations; and (3) compensatory expenses, including attorney fees. Paper 55, 1–2. We considered the issue after further briefing (Papers 76, 84) and a hearing on the motion (Paper 101). As set forth under separate cover and issued concurrently, we determine Patent Owner has failed to meet its duty of candor and fair dealing in its actions before the Board under 37 C.F.R. §§ 1.56, 11.106(c), 11.303, 42.11(a), 42.51(b)(1)(iii). *See* Sanctions Order 59–60.

Under 37 C.F.R. §§ 42.5, 42.11, and 42.12, and based on the Sanctions Order and determinations made therein, we enter Adverse Judgment against Patent Owner as to all challenged original claims and deny Patent Owner’s Revised Contingent Motion to Amend. *Id.* Nonetheless, for the sake of completeness, we address below the merits of the Petition and the Revised Contingent Motion to Amend.

### IV. BACKGROUND

#### A. *The ’240 Patent*

The ’240 patent relates to “aqueous compositions for collection, transport, and storage of a biological specimen containing a population of

nucleic acids in a single reaction vessel, which can then be purified and/or analyzed using conventional molecular biology methods.” Ex. 1001, 1:32–36.

The ’240 patent acknowledges that prior-art methods existed, but states those methods could result in the degradation of nucleic acids, even when stored under freezing temperatures, and had the potential for exposure to infectious agents during collection, transfer, and testing. *Id.* at 1:54–2:33. The ’240 patent also states that “clinical laboratory methods for pathogen detection were labor-intensive, expensive processes that required highly knowledgeable and expert scientists with specific experience.” *Id.* at 2:34–37.

Against this background, the ’240 patent purports to disclose “new and useful compositions . . . that may advantageously improve conventional collection, lysis, transport and storage methods for the preparation of nucleic acids from one or more biological sources.” *Id.* at 3:19–23. In particular, the ’240 patent discloses a one-step, aqueous composition that

- a) inactivates viruses or microbes in the sample, b) lyses the biological cells or tissues to free the nucleic acids from cellular debris and extraneous biomolecules, c) protects the nucleic acids from degradation by endonuclease activity, and
- d) preserves the nucleic acids for subsequent isolation, detection, amplification, and/or molecular analysis.

*Id.* at 1:36–43, 6:40–48. The Specification further discloses exemplary compositions comprising a buffered solution of nuclease-free water containing

- a chaotrope, e.g., guanidine thiocyanate, guanidine hydrochloride, or guanidine isocyanate;
- a detergent, e.g., sodium dodecyl sulfate (SDS), lithium dodecyl sulfate (LDS), sodium taurodeoxycholate (NaTDC), sodium

taurocholate (NaTC), sodium glycocholate (NaGC), sodium deoxycholate (NaDC), sodium cholate, sodium alkylbenzene sulfonate (NaABS), or N-lauroyl sarcosine (NLS);

a reducing agent, e.g.,  $\beta$ -mercaptoethanol ( $\beta$ -ME), dithiothreitol (DTT), dimethylsulfoxide (DMSO), formamide, or phosphine (TCEP);

a chelator, e.g., EGTA, HEDTA, DTPA, NTA, EDTA, citrate anhydrous, sodium citrate, calcium citrate, ammonium citrate, ammonium bicitrate, citric acid, diammonium citrate, ferric ammonium citrate, or lithium citrate;

a surfactant/defoaming agent, e.g., a silicone polymer such as Antifoam A®, or a polysorbate such as Tween®; and

a short chain alkanol, e.g., methanol, ethanol, propanol, butanol, pentanol, hexanol.

*Id.* at 4:40–7:40.

According to the Specification:

In certain embodiments, the composition containing the sample suspected of containing nucleic acids will stabilize the nucleic acids to the extent that they either remain at least substantially non-degraded (i.e., at least substantially stable) even upon prolonged storage of the composition at ambient, refrigerator, or sub-zero temperatures. It will be desirable that this stability provides that at least about 70%, at least about 85%, more preferably at least about 90%, more preferably at least about 95%, or even more preferably, at least about 98% of the polynucleotides contained within the stored sample will not be degraded upon prolonged storage of the sample. In certain embodiments, substantially all of the polynucleotides contained within the sample will be stabilized such that the original integrity of the polynucleotides is preserved during the collection, lysis, storage, and transport of the processed sample.

*Id.* at 9:59–10:7.



*B. Illustrative Claims*

Independent claims 1 and 35, reproduced below, are representative.

1. A aqueous composition comprising: a) one or more chaotropes; b) one or more detergents; c) one or more reducing agents; d) one or more chelators; and e) one or more buffers, each present in an amount sufficient to denature one or more proteins, inactivate one or more nucleases, kill one or more pathogens, or prevent one or more nucleic acids from degrading in a sample suspected of containing nucleic acids, when the sample is contacted with the composition.

Ex. 1001, 32:11–18.

35. A method for preparing one-step aqueous formulation adapted to obtain a population of polynucleotides from a biological sample suspected of containing nucleic acids, comprising contacting the sample with an amount of the one-step aqueous formulation effective to:

at least substantially kill or inactivate potentially-infectious pathogens in the sample;

lyse a portion of cells to release RNAs and/or DNAs from the sample; and

substantially inhibit or prevent the released polynucleotides in the sample from further hydrolysis or enzymatic degradation, modification, or inactivation,

so as to obtain the population of polynucleotides from the sample.

*Id.* at 36:4–17.

*C. Instituted Challenges to Patentability*

We instituted trial to determine whether the challenged claims are unpatentable based on the following basis:

<b>Claim(s) Challenged</b>	<b>35 U.S.C. §<sup>3</sup></b>	<b>Reference(s)</b>
1, 2, 5–11, 16, 21–30, 32, 33, 35	§ 102(b)	Birnboim <sup>4</sup>
1, 2, 4–14, 16, 21–33, 35	§ 103(a)	Birnboim
3	§ 103(a)	Birnboim, Chen <sup>5</sup>
15	§ 103(a)	Birnboim, Mori <sup>6</sup>
16	§ 103(a)	Birnboim, Helftenbein <sup>7</sup>
17	§ 103(a)	Birnboim, Chirgwin <sup>8</sup>
18–20	§ 103(a)	Birnboim, Das, <sup>9</sup> Chen, Wangh <sup>10</sup>
31	§ 103(a)	Birnboim, Koller <sup>11</sup>
34	§ 103(a)	Birnboim, Chirgwin, Farrell <sup>12</sup>

In support of their respective positions, Petitioner relies on the Declarations of Richard F. Taylor, Ph.D. (Exs. 1002, 1071) and Christopher M. Beausoleil (Ex. 1077); and Patent Owner relies on the Declaration of

---

<sup>3</sup> The Leahy-Smith America Invents Act (“AIA”), Pub. L. No. 112-29, 125 Stat. 284, 287–88 (2011), amended 35 U.S.C. §§ 102 and 103, effective March 16, 2013. The ’443 patent issued before the effective date of the AIA. Ex. 1001, code (45). Thus, pre-AIA version of §§ 102 and 103 applies.

<sup>4</sup> US 2004/0038269 A1, published Feb. 26, 2004 (Ex. 1003).

<sup>5</sup> US 2007/0202511 A1, published Aug. 30, 2007 (Ex. 1027).

<sup>6</sup> WO 2005/111210 A1, published Nov. 24, 2005 (Ex. 1011).

<sup>7</sup> US 6,776,959 B1, issued Aug. 17, 2004 (Ex. 1019).

<sup>8</sup> Chirgwin et al., Isolation of Biologically Active Ribonucleic Acid from Sources Enriched in Ribonuclease, 18 Biochemistry 5294–99 (1979) (Ex. 1015).

<sup>9</sup> US 2005/0123928 A1, published Jun. 9, 2005 (Ex. 1008).

<sup>10</sup> WO 2004/104181 A2, published Dec. 2, 2004 (Ex. 1022).

<sup>11</sup> WO 91/02740, published Mar. 7, 1991 (Ex. 1016).

<sup>12</sup> Farrell, RNA Methodologies: A Laboratory Guide for Isolation and Characterization (3rd Ed., 2005) (Ex. 1026).

Louis DeFilippi, Ph.D. (Ex. 2001), and the Amended Supplemental Expert Report of Dr. Louis DeFilippi (Ex. 2033<sup>13</sup>).

## V. ANALYSIS

The Board has jurisdiction under 35 U.S.C. § 6 and issues this Final Written Decision pursuant to 35 U.S.C. § 318 and 37 C.F.R. § 42.73. For the reasons provided below, we conclude Petitioner has established by a preponderance of the evidence that claims 1–35 of the ’240 patent are unpatentable.

### A. *Principles of Law*

To prevail in this *inter partes* review, Petitioner “shall have the burden of proving a proposition of unpatentability by a preponderance of the evidence.” 35 U.S.C. § 316(e); 37 C.F.R. § 42.1(d) (2019).

A patent claim is unpatentable under 35 U.S.C. § 103(a) if the differences between the claimed subject matter 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. *KSR Int’l Co. v. Teleflex Inc.*, 550 U.S. 398, 406 (2007). The question of obviousness is resolved on the basis of underlying factual determinations, including (1) the scope and content of the prior art; (2) any differences between the claimed subject matter and the prior art; (3) the level of skill in the art; and (4) when in evidence, objective evidence

---

<sup>13</sup> Patent Owner originally filed the Supplemental Declaration of Dr. Louis DeFilippi (Ex. 2015) on February 11, 2022. It later sought, and we granted, leave to amend that declaration. Papers 51, 62. Patent Owner filed an Amended Supplemental Declaration of Dr. Louis DeFilippi (Ex. 2033). In this Decision, we cite to Exhibit 2033 and treat all citations to Exhibit 2015 in the Papers and Exhibits as citations to Exhibit 2033.

of nonobviousness. *Graham v. John Deere Co.*, 383 U.S. 1, 17–18 (1966); *KSR*, 550 U.S. at 406.

This analysis, however, “need not seek out precise teachings directed to the specific subject matter of the challenged claim, for a court can take account of the inferences and creative steps that a person of ordinary skill in the art would employ.” *KSR*, 550 U.S. at 406; *see also In re Preda*, 401 F.2d 825, 826 (CCPA 1968) (“[I]n considering the disclosure of a reference, it is proper to take into account not only specific teachings of the reference but also the inferences which one skilled in the art would reasonably be expected to draw therefrom.”). Rather, “any need or problem known in the field of endeavor at the time of invention and addressed by the patent can provide a reason for combining the elements in the manner claimed.” *KSR*, 550 U.S. at 420.

Accordingly, a party that petitions the Board for a determination of unpatentability based on obviousness must show that “a skilled artisan would have been motivated to combine the teachings of the prior art references to achieve the claimed invention, and that the skilled artisan would have had a reasonable expectation of success in doing so.”

*In re Magnum Oil Tools International, Ltd.*, 829 F.3d 1364, 1381 (Fed. Cir. 2016) (citations omitted).

We analyze the instituted grounds of unpatentability in accordance with these principles.

#### *B. Level of Ordinary Skill in the Art*

In determining the level of ordinary skill in the art, various factors may be considered, including the “type of problems encountered in the art; prior art solutions to those problems; rapidity with which innovations are

made; sophistication of the technology; and educational level of active workers in the field.” *In re GPAC, Inc.*, 57 F.3d 1573, 1579 (Fed. Cir. 1995). Furthermore, the prior art itself can reflect the appropriate level of ordinary skill in the art. *Okajima v. Bourdeau*, 261 F.3d 1350, 1355 (Fed. Cir. 2001).

Here, Petitioner asserts that, at the relevant time,

[a] person of ordinary skill in the art (“POSA”) would have had (1) a Ph.D. in microbiology, molecular biology, biochemistry, or related discipline; (2) at least two years of post-graduate experience in the area of nucleic acid extraction and analysis; and (3) experience with the development or use of nucleic acid extraction formulations, and the literature concerning nucleic acid extraction and analysis.

Pet. 7 (citing Ex. 1002 ¶ 38).

Patent Owner disagrees with Petitioner’s definition of the skill level in two aspects. First, Patent Owner argues “a POSA would not have experience with ‘development’ of nucleic acid extraction formulations.” PO Resp. 3. Patent Owner points out that Petitioner’s declarant, Dr. Taylor, does not have such experience. *Id.* That Dr. Taylor personally may not have been involved with this type of assay or formulation development, however, hardly speaks to the breadth of knowledge of one of ordinary skill in the art. Moreover, that the art of record is largely directed to the development of formulations and methods for extracting nucleic acids is directly contrary to Patent Owner’s position. *See, e.g.*, Exs. 1003, 1011, 1026; *Okajima*, 261 F.3d at 1355).

Second, Patent Owner alleges that requiring an ordinarily skilled artisan to have “experience” with the literature is ambiguous. PO Resp. 3. One of ordinary skill in the art is a “hypothetical person who is presumed to be aware of all the pertinent prior art.” *Standard Oil Co. v. Am. Cyanamid*

*Co.*, 774 F.2d 448, 454 (Fed. Cir. 1985). To the extent Petitioner’s proposed definition of the skill level may be misconstrued, we substitute “awareness” for “experience.”

In sum, an ordinarily skilled artisan at the critical time would have had (1) a Ph.D. in microbiology, molecular biology, biochemistry, or related discipline; (2) at least two years of post-graduate experience in the area of nucleic acid extraction and analysis; and (3) experience with the development or use of nucleic acid extraction formulations. Such an artisan also is presumed to be aware of all the pertinent prior art, including literature concerning nucleic acid extraction and analysis.

We further note that, at the hearing, counsel for both parties acknowledged that neither aspect of the dispute over the skill level affects the patentability analysis. *See* Tr. 84:18–85:5, 107:11–108:10.

### *C. Claim Construction*

In an *inter partes* review, we construe a claim term “using the same claim construction standard that would be used to construe the claim in a civil action under 35 U.S.C. [§] 282(b).” 37 C.F.R. § 42.100(b) (2020). Under that standard, the words of a claim “are generally given their ordinary and customary meaning,” which is “the meaning that the term would have to a person of ordinary skill in the art in question at the time of the invention, i.e., as of the effective filing date of the patent application.” *Phillips v. AWH Corp.*, 415 F.3d 1303, 1312–13 (Fed. Cir. 2005) (en banc).

Petitioner does not propose any claim construction in the Petition. In our decision to institute, we gave all claim terms their respective plain and ordinary meaning. *See* DI 9, 19, 23. During trial, the parties dispute the meaning of the terms “kill one or more pathogens” and “prevent one or more

nucleic acids from degrading.” *See* PO Resp. 3–15; Reply 1–4. Below, we first address whether claim 1 requires the composition with the component reagents each performing only one or all recited functions. We then address the constructions of the two disputed terms.

### 1. Functional Limitations

Petitioner argues “the functional limitations in claim 1 are written in the disjunctive and require only one of the claimed functions to be performed by the claimed composition.” Reply 4. Patent Owner complains “[t]his is a new interpretation of the ‘240 Patent and new argument that was not presented in the Petition, and cannot properly be asserted or considered when presented for the first time on Reply.” Sur-reply 1. We disagree with Patent Owner.

Claim 1 recites a composition comprising five categories of reagents, “each present in an amount sufficient to denature one or more proteins, inactivate one or more nucleases, kill one or more pathogens, *or* prevent one or more nucleic acids from degrading in a sample.” Ex. 1001, 32:12–18 (emphasis added). The plain language of the claim clearly requires achieving only one function, and not all of them. This is in contrast to the claims in related patents. *Compare id.* at claim 1 (“each present in an amount sufficient to denature one or more proteins, inactivate one or more nucleases, kill one or more pathogens, *or* prevent one or more nucleic acids from degrading”) (emphasis added), *with e.g.* IPR2021-00847, claim 1 (“together present in an amount sufficient to denature proteins, inactivate nucleases, kill pathogens, *and* not degrade nucleic acid”). In other words, Patent Owner knew how to draft a claim to capture the narrower scope of requiring all

recited functions, but chose to pursue a broad claim here to require only one function.

And Petitioner's argument is not newly presented in the Reply. Although Petitioner does not emphasize the use of the disjunctive "or" in the Petition, it argues "[e]ach of Birnboim's reagents performs one or more of the claimed functions." Pet. 18. This argument is inconsistent with an understanding that claim 1 requires each component reagent present in an amount sufficient to perform at least one of the recited functions.

## 2. Kill One Or More Pathogens

Claim 1 recites a composition with reagents "each present in an amount sufficient to . . . kill one or more pathogens" in a sample.<sup>14</sup> The Specification of the '240 patent does not expressly define "kill one or more pathogens" and the parties did not formally construe this term prior to institution. In its Preliminary Response, however, Patent Owner appeared to equate this term with complete sterilization of a sample "to prevent 'dissemination of live infectio[u]s pathogens.'" Prelim. Resp. 15–16.

On the limited record before us, we concluded that the challenged claims do not require "the claimed composition to clear every sample of every type of pathogenic agent." DI 18. Applying its plain and ordinary meaning, we provisionally determined that "kill one or more pathogens" merely requires that at least some potential pathogens are killed in the

---

<sup>14</sup> Claim 35, the only other independent claim, recites "kill or inactivate potentially-infectious pathogens in the sample." Patent Owner does not address this term separately. *See* PO Resp. 24 (arguing "claim 35, recites similar functional limitations for killing pathogens"). Our analysis in this Section applies to "kill or inactivate potentially-infectious pathogens" recited in claim 35.



extraction process, and invited further briefing. *Id.* at 18, 19, 25–26. For the reasons discussed below, we further refine our initial construction.

We first address what pathogens are within the scope of “kill one or more pathogens.” During the hearing, Patent Owner’s counsel clarified that “kill pathogens” only applies to those classes of pathogen disclosed in the Specification. Tr. 104:8–105:11, 134:11–15. According to Patent Owner’s counsel, those classes are “viruses, bacteria, and spores.” *Id.* at 122:9–135:15.

By way of explanation, some bacteria have the capacity to form spores (endospores) under adverse environmental conditions. *See* Ex. 1046, 50:6–23. This spore stage is generally more resistant to inactivation than the corresponding vegetative-stage bacteria. *See, e.g.*, Ex. 1096, 1005:4–1008:1 (Dr. DeFilippi explaining spore resilience); Ex. 2003, 9–10, 34, 102 (CDC Guidance discussing difficulty of eliminating bacterial spores and prions as opposed to, for example, lipid encapsulated viruses and vegetative bacteria); Ex. 1008 ¶ 38 (characterizing spores as among “the toughest cells”); Ex. 1046, 54:13–56:3 (Dr. Birkebak at Assured Bio Labs (“ABL”)<sup>15</sup> testifying that spores are more resistant to desiccation and disinfection).

Contrary to the assertion of Patent Owner’s counsel that the Specification disclosed spores, we do not identify any disclosure of bacterial spores in the ’240 patent. In addition, Dr. DeFilippi, Patent Owner’s declarant, testified that he “do[es] not believe spores were addressed in the specifications.” Ex. 1064, 185:1–186:5. Patent Owner’s counsel also was

---

<sup>15</sup> Patent Owner engaged ABL to conduct biological testing in support of Patent Owner Response and its original MTA.

unable to point to such evidence at oral argument and conceded that, to the extent the Specification does not disclose spores, the claims do not encompass killing or inactivating spores. *See* Tr. 123:19–125:5, 136:1–137:8. Also pertinent to our understanding of “kill pathogens,” Dr. DeFilippi testified that “[a] spore in the form of a spore is not pathogenic” but a “prepathogen.” Ex. 1064, 186:19–187:10.

Discussing killing bacteria and inactivating viruses,<sup>16</sup> the Specification states that “it may also be desirable to include one or more additional anti-microbial, anti-viral, or anti-fungal agents to the compositions to render them substantially non-pathogenic.” Ex. 1001, 9:37–40; *see also id.* at 18:35–52 (listing various microorganisms that may be present in a biological sample). In light of the above, we understand “kill pathogens” to encompass the killing or inactivation of fungi, viruses, or vegetative bacteria capable of causing disease—but excluding bacterial spores, which are neither pathogens (according to Dr. DeFilippi) nor disclosed in the Specification.

Having addressed the scope of “pathogens,” we turn to Patent Owner’s contention that “kill pathogens” means “rendering the sample substantially non-pathogenic as to the suspected pathogen so that the regulations for transporting ‘Infectious Substances’ would not apply—i.e., so that the suspected pathogen could not cause disease if exposure to the sample occurs.” PO Resp. 11 (citing Ex. 2033 ¶ 10); *see also id.* at 21 n.1

---

<sup>16</sup> Petitioner distinguishes killing bacteria from inactivating viruses on the basis that “[v]iruses are never alive to begin with.” Tr. 12:11–13:4. For purposes of this Decision we consider inactivation synonymous with killing.

(alternatively defining the term “as rendering the sample (that may contain pathogens) safe for shipment and handling (non-pathogenic)”);

Tr. 134:19–135:14 (Patent Owner explaining that “substantially nonpathogenic . . . doesn’t mean entirely”).<sup>17</sup> According to Patent Owner,

[t]he intrinsic record is clear that “kill one or more pathogens” in the context of the compositions of the present invention does not refer merely to killing any two or more individual pathogen organisms, but to rendering the sample safe for transportation and handling with respect to the suspected pathogen type, or “inactivation of potentially infectious biological pathogens [of the sample suspected of containing pathogens] for safe handling and transport of specimens.”

PO Resp. 4 (quoting Ex. 1001, 26:42–50) (second alteration in original).

Pointing to exemplary embodiments, the Title, and the Abstract of the ’240 patent, Patent Owner contends that the “fundamental purpose” of the invention is to “provide a solution that simultaneously renders the sample (that may contain pathogens) safe for shipment and handling (non-pathogenic) while at the same time preserving nucleic acids and inactivating nucleases in the sample.” *Id.* at 4–9 (citing Ex. 1001, Title, Abstract, 2:20–33, 3:6–15, 6:40–45, 9:27–41, 14:57–15:2, 15:61–16:9, 26:42–50).

Patent Owner also relies on extrinsic evidence, including U.S. regulatory standards and exceptions for transport of Division 6.2 infectious substances, and an Emergency Use Authorization (EUA) Memorandum for

---

<sup>17</sup> The ’240 patent defines “substantially non-pathogenic” as “leaving less than about 10 percent, less than about 5 percent, etc., of the pathogenic activity.” Ex. 1001, 20:15–18. Thus, we agree with Petitioner that “substantially non-pathogenic” would render the claims indefinite. *See* Reply 1 n.1 (citing Ex. 1001, 20:13–18).

SDNA-1000 Saliva Collection Device indicating that USDOT packaging requirement UN3373. *Id.* at 9–11 (citing 49 C.F.R. §§ 173.134(a)(1), (b)(4), (b)(5); Ex. 2016, 7). Specifically, Patent Owner asserts that “at the time of invention[,] it was known in the art that rendering a sample suspected of containing a pathogen substantially non-pathogenic ‘so it cannot cause disease when exposure to it occurs’ was the regulatory standard for transport without Division 6.2 (Infectious Substance) restrictions of samples potentially containing pathogens.” *Id.* at 10 (citing Ex. 2033 ¶¶ 8–10).

Petitioner disagrees with Patent Owner’s analysis. Reply 1–2. According to Petitioner, the unclaimed goal of “safe handling and transport” is merely desirable, and not fundamental. *Id.* (citing Ex. 1001, 9:27–33, 14:57–15:2, 15:61–16:9). Thus, Petitioner argues Patent Owner’s proposed construction improperly imports limitations into the claims. *Id.* at 1. Petitioner asks us to continue to give the term “kill pathogens” its plain meaning, that “some pathogens are killed.” *Id.* Based on the evidence of record, we find Petitioner’s argument more persuasive.

It is settled that the specification “is the single best guide to the meaning of a disputed term.” *Phillips*, 415 F.3d at 1315. Extrinsic evidence, on the other hand, is less reliable and less significant in claim construction. *Id.* at 1317–19. Considering the extrinsic evidence Patent Owner refers to, including 49 C.F.R. § 173 and the USDOT packaging requirement, in view of the Specification, we find that they provide limited value. This is because in summarizing its invention, the ’240 patent discloses that it

advantageously can provide a collection and preservation formulation to inactivate and lyse a biological specimen containing nucleic acids, and preserve nucleic acids (RNA/DNA) within the biological specimen, preferably all in a

single reaction vessel, such that the integrity of the nucleic acids is at least substantially maintained, and preferably entirely maintained, so that a portion of the nucleic acids are readily available for molecular diagnostic analysis.

Ex. 1001, 3:24–32. Although a statement’s location is not determinative, statements that describe the invention as a whole, such as those in the Summary of the Invention, rather than statements that describe only preferred embodiments, are more likely to support a limiting definition of a claim term. *C.R. Bard, Inc. v. U.S. Surgical Corp.*, 388 F.3d 858, 864 (Fed. Cir. 2004). The Summary of the Invention of the ’240 patent, however, does not mention, let alone focus on, “kill pathogens.”

Indeed, nowhere in the ’240 patent Specification does it state any one goal is mandatory. Instead, it discloses

[a] clinical or veterinary specimen or a forensic or environmental sample collection system . . . for efficiently: 1) obtaining a high yield of suitable specimen beyond what is currently available in the art; 2) inactivating potentially infectious biological pathogens so that they are no longer viable and can be handled; shipped, or transported with minimal fear of pathogen release or contamination; *or* 3) effectively stabilizing and preserving lysed ‘naked’ RNA/DNA polymers from hydrolysis or nuclease degradation for prolonged periods at ambient temperatures until samples can be processed at a diagnostic laboratory, and ***preferably for achieving two or more, or all three, of these goals.***

Ex. 1001, 14:57–15:2 (emphases added).

Using the disjunction “or,” the ’240 patent discloses “inactivating potentially infectious biological pathogens” as one of three alternative goals. The rest of the paragraph stating that achieving “two or more, or all three, of these goals” is preferable confirms our reading. Elsewhere, the ’240 patent discloses that “[t]he compositions of the present invention provide

clinical/environmental collection solutions that efficiently achieve ***at least three, and preferably all four*** of the following” benefits, including, “kill or inactivate potentially-infectious pathogens.” *Id.* at 15:61–16:9 (emphasis added); *see also id.* at 15:5–22 (“Exemplary benefits include, without limitation, ***one or more*** of the following,” including “[i]nactivation, killing, and/or lysis of microbes, viruses, or pathogens.”) (emphasis added).

The ’240 patent discloses that it is “desirable” that “pathogens will be killed or sufficiently inactivated by one or more components of the composition to facilitate safe handling of the sample by the practitioner.” *Id.* at 9:27–33. Thus, we agree with Petitioner that “kill pathogens” for “safe handling and transport” does not amount to the “fundamental purpose” of the ’240 patent. *See* Reply 1–2.

Patent Owner relies on *Praxair, Inc. v ATMI, Inc.*, 543 F.3d 1306 (Fed. Cir. 2008). PO Resp. 6–7. *Praxair* does not support Patent Owner’s proposed construction. In *Praxair*, the court addressed the term “flow restrictor,” finding that “the specification teaches that the flow restriction must be sufficient to achieve the overall object of the invention—that is, to prevent a hazardous release of gas.” 543 F.3d at 1324. The court construed “flow restrictor” as “a structure that serves to restrict the rate of flow sufficiently to prevent a hazardous situation,” because “[t]he fundamental object of the invention disclosed by the . . . specification is to prevent a hazardous situation from the uncontrolled discharge of gas.” *Id.* The court, however, rejected a construction requiring a “severe restriction of gas flow” because the specification made clear that “severe restriction” pertained only to specific, albeit the most common, embodiments rather than the full scope of the invention. *Id.* at 1323. Thus, consistent with the reasoning in *Praxair*,

we reject Patent Owner’s proposed construction, which would require us to import a desired goal from the Specification into the challenged claims.

In sum, having determined that the “pathogens” at issue are limited to fungi, viruses, and vegetative bacteria (excluding spores), we find no reason to otherwise depart from the plain and ordinary meaning of “kill one or more pathogens.” Accordingly, we construe the term as meaning killing or inactivating some fungal, viral, or vegetative bacterial pathogens in a sample.

### 3. Prevent One Or More Nucleic Acids from Degrading

Claim 1 recites a composition with reagents “each present in an amount sufficient to . . . prevent one or more nucleic acids from degrading.”<sup>18</sup> Patent Owner acknowledges “a POSA’s understanding that it is not possible to achieve exactly 0% degradation.” PO Resp. 12. According to Patent Owner, that understanding, however, does not render the term “prevent one or more nucleic acids from degrading” “so meaningless as to allow any amount of degradation (10% or 20% or 50% or 80%).” *Id.* (citing Ex. 2033 ¶¶ 13–17). Instead, Patent Owner argues that an ordinarily skilled artisan would understand the term as referring to “as stable as possible, such as disclosed in the most stable embodiments in the ’240 Patent disclosure,” which “preserves ‘at least about 98% of the

---

<sup>18</sup> Claim 35, the only other independent claim, recites “inhibit or prevent the released polynucleotides in the sample from further hydrolysis or enzymatic degradation, modification, or inactivation.” Patent Owner does not address this limitation separately. *See* PO Resp. 24 (arguing “claim 35, recites similar functional limitations for . . . preventing degradation of nucleic acids”). Our analysis in this Section applies to the limitation recited in claim 35.

polynucleotides’ upon prolonged storage and ‘no more than about 1 or 2% of the sample will be degraded.’” *Id.* at 13 (internal citations omitted).

Petitioner counters that Patent Owner’s proposed construction “arbitrarily impose[s] limits of ‘even more preferabl[e]’ embodiments to the exclusion of other disclosed embodiments.” Reply 3–4 (second alteration in original). We agree with Petitioner.

As an initial matter, the ’240 patent defines “nucleic acid” as DNA or RNA. *See* Ex. 1001, 17:41–51 (stating “the term ‘nucleic acid’ includes ***one or more types*** of: polydeoxyribonucleotides (containing 2-deoxy-D-ribose), polyribonucleotides (containing D-ribose)” and others) (emphasis added); *see also id.* at 17:52–57 (stating that exemplary nucleic acids include various types of DNA, RNA, “and any combination thereof”).

Patent Owner relies on certain passages of the ’240 patent to support its proposed construction. *See* PO Resp. 12 (citing Ex. 1001, 9:67–10:2, 10:38–39). Patent Owner, however, isolates the selected sentences from their contexts. For example, Patent Owner refers to the ’240 patent for stating “no more than 1 or 2% of the sample will be degraded” (*id.* (citing Ex. 1001, 10:38–39)), while ignoring that is only “[i]n some instances” (Ex. 1001, 10:36). Similarly, according to Patent Owner, the ’240 patent discloses “at least about 98% of the polynucleotides contained within the stored sample will not be degraded upon prolonged storage of the sample.” PO Resp. 12 (citing Ex. 1001, 9:67–10:2). Yet, Patent Owner conveniently omits the



immediately preceding language, describing the quoted portion as merely an “even more prefer[red]” embodiment.<sup>19</sup> *See* Ex. 1001, 9:67.

In fact, the ’240 patent discloses:

In certain embodiments, the composition containing the sample suspected of containing nucleic acids will stabilize the nucleic acids to the extent that they either remain at least substantially non-degraded (i.e., at least substantially stable) even upon prolonged storage of the composition at ambient, refrigerator, or sub-zero temperatures. It will be desirable that this stability provides that at least about 70%, at least about 85%, more preferably at least about 90%, more preferably at least about 95%, or even more preferably, at least about 98% of the polynucleotides contained within the stored sample will not be degraded upon prolonged storage of the sample.

*Id.* at 9:59–10:2.

Patent Owner does not explain sufficiently why an ordinarily skilled artisan would understand the term “prevent one or more nucleic acids from degrading” to require preserving “at least about 98% of the polynucleotides,” when the ’240 patent nowhere defines the lower limit of that term and explicitly states that preserving “at least about 70%” polynucleotides is within the scope of its invention. *See id.* Moreover, the ’240 patent states that preserving “at least about 70%” polynucleotides is “desirable.” *Id.* at 9:64–65. Thus, we agree with Petitioner that Patent Owner

---

<sup>19</sup> In each instance here, when quoting the ’240 patent disclosure, Patent Owner alters the first letter of the first word by capitalizing it to make a complete sentence. *See* PO Resp. 12 (citing Ex. 1001, 9:67–10:2, 10:38–39). In our view, it appears unlikely that Patent Owner merely overlooked the context of each cropped phrase. We remind the parties the importance of representing facts truthfully before the Board. *See* 37 C.F.R. § 42.11(a).

“cherry-picks ‘the most stable embodiments,’ but ignores others.”

*See* Reply 3 (internal citation omitted).

Patent Owner argues that Petitioner’s declarant, Dr. Taylor, “agreed that the Specification provides a definition of the related term ‘does not degrade nucleic acid’ using the term ‘i.e.’” PO Resp. 13. Patent Owner relies on the sentence in the ’240 patent, which discloses that its composition stabilizes the nucleic acids so they “remain at least substantially non-degraded (i.e., at least substantially stable) even upon prolonged storage of the composition.” *Id.*

To the extent Patent Owner equates “not degrade nucleic acid” or “prevent one or more nucleic acids from degrading” with the notion that nucleic acid is “substantially stable,” this does not support Patent Owner’s assertion that either term requires preserving “at least about 98% of the polynucleotides.” Indeed, the ’240 patent discloses that “preventing substantial degradation would refer to less than about 15 weight percent, less than about 10 weight percent, preferably less than about 5 weight percent, etc., being lost to degradation.” Ex. 1001, 20:10–13.

The ’240 patent summarizes its invention as providing a formulation to preserve nucleic acids of a sample “such that the integrity of the nucleic acids is at least substantially maintained, and preferably entirely maintained, so that a portion of the nucleic acids are readily available for molecular diagnostic analysis.” *Id.* at 3:24–32. In other words, the underlying goal of the ’240 patent invention is to isolate and preserve nucleic acids for analysis “using conventional molecular biology methods.” *See id.* at 1:32–36.

Indeed, in a preferred embodiment, the Specification discloses the composition containing the sample is at least sufficiently stable, or is entirely stable, to permit storage of the sample in the composition at ambient temperature or colder at least substantially (or entirely) from the time of collection to the time of analyzing a population of polynucleotides from the sample. *Id.* at 9:42–47.

In view of the Specification, we construe “prevent one or more nucleic acids from degrading” to mean preserving sufficient RNA or DNA for analysis using conventional nucleic acid detection methods known to an ordinarily skilled artisan at the time of the invention.

*D. Relevant Disclosures of Prior Art*

1. Birnboim

Birnboim discloses “compositions and methods for preserving nucleic acids at room temperature for extended periods of time and for simplifying the isolation of nucleic acids,” most particularly, DNA or RNA from sputum or saliva. Ex. 1003 ¶¶ 2, 27. According to Birnboim, isolated nucleic acid can be that of the sputum or saliva donor or “from a bacterium or a virus that is residing in the buccal, nasal, or respiratory passages of the subject.” *Id.* ¶ 27; *see id.* ¶¶ 43 (defining “nucleic acid” as meaning “a chain of the nucleotides, including deoxyribonucleic acid (DNA) or ribonucleic acid (RNA), typically found in chromosomes, mitocho[n]dria, ribosomes, bacteria, or viruses”), 18 (“The nucleic acid to be preserved by the composition can be . . . viral RNA.”), 27 (“If the nucleic acid is RNA, desirably it is mRNA or viral RNA.”), 45 (discussing quantitation of “high molecular weight nucleic acid (DNA, RNA, mRNA, or viral RNA)”); claims 7, 16.

Birnboim discloses “nucleic acid preserving compositions” for use in a one-step method to lyse nucleic acid-containing cells or viruses, release the nucleic acids into the composition, inactivate nucleases in the sample, and stabilize the extracted nucleic acid for future analysis. *See generally id.*

¶¶ 11, 22, 27, 64, 114–122. With respect to stability of the extracted nucleic acid, Birnboim defines “stable” to mean “at least about 50% of the initial amount of high molecular weight nucleic acid (DNA, RNA, mRNA, or viral RNA) contained in a sample is still present after storing the sample at ambient temperature (i.e., 20° C. to 25°C.) for the specified time period.” *Id.*

¶ 45.

Birnboim explains:

When sputum is mixed with a composition of the present invention, cells are disrupted, nucleic acids are liberated from the cells, membranous material is solubilized, proteins are stripped from the nucleic acids, and protein digestion begins . . . . If transferred to a laboratory soon after collection, incubation at 55° C. for 4 to 16 hours is sufficient to allow the activated protease to digest the majority of protein to small peptides or amino acids. Under such conditions, nucleic acids and polysaccharides remain relatively intact.

Once digestion is complete, nucleic acid isolation can be performed using any technique known in the art.

*Id.* ¶¶ 84–85.

In Example 1, Birnboim discloses an embodiment wherein a subject spits saliva into a collection tube which is mixed with an equal volume of the nucleic acid-preserving composition. *Id.* ¶¶ 107–109. Once the container is capped and the contents shaken, the nucleic acid is “in an intermediate preserved state” and “can be maintained in a frozen state or at any

temperature up to about 60° C.” *Id.* ¶ 110. Alternatively, “[t]he container can be mailed back to the testing lab at room temperature.” *Id.* ¶ 111.

In Example 3, Birnboim discloses the collection and extraction of DNA using a nucleic acid-preserving composition comprising “33 mM TRIS-HCl, 0.67 M urea, 0.67 M LiCl, 0.6% sodium dodecyl sulfate, 3.3 mM CDTA, 30% ethanol, and 0.25 M sodium ascorbate, all adjusted to a final pH of 8.0.” *Id.* ¶¶ 114–122. Birnboim also discloses that a similar composition comprising “0.3 M TRIS-HCl, 0.67 M urea, 0.67 M NaOAc, 0.6% sodium dodecyl sulfate, 3.3 mM CDTA, 30% ethanol, and 0.1 M sodium ascorbate, all adjusted to a final pH of 8.0, stabilizes DNA for longer periods of time.” *Id.* ¶ 115.

In Example 4, Birnboim subjects the DNA extracted from saliva collected in the composition of Example 3 and stored for 14 days to agarose gel electrophoresis and ethidium bromide staining, noting “the characteristic band of chromosomal DNA present in all samples.” *Id.* ¶ 117, Fig. 1.

In Examples 5 and 6, Birnboim analyzes samples 62 and 30 days, respectively, after collection. *Id.* ¶¶ 118–121. Birnboim subjects “[m]inimally purified DNA” to real time PCR. *Id.* According to Birnboim, the results using real time PCR demonstrate the suitability of the DNA for PCR analysis. *Id.* ¶ 119.

## 2. Chen

Chen teaches “extraction compositions and methods for the rapid and efficient isolation of small RNA molecules from a biological sample.” Ex. 1027, Abstract. In Chen, the composition typically has a chaotropic agent, such as guanidine hydrochloride, guanidine thiocyanate, guanidine carbonate, and urea. *Id.* ¶¶ 11–12. Chen teaches “the chaotropic agent

denatures proteins, disrupts membranes, releases nucleic acids, protects RNA from degradation, and facilitates cell lysis.” *Id.* ¶ 12. Chen teaches that the extraction compositions also include detergents, reducing agents, chelators, buffers, and antifoaming agents. *Id.* ¶¶ 17–24.

### 3. Mori

Mori teaches isolating nucleic acids from a test sample (e.g., bodily fluids, plants, animals, bacteria, viruses, and cultured cells) by treating the sample with a “nucleic acid-solubilizing reagent,” which “dissolves cell membranes and nuclear membrane, and solubilizes nucleic acid.”

Ex. 1011, 57. Exemplary nucleic acid-solubilizing reagents may include “a chaotropic salt, a surfactant, a defoaming agent, a protease and a nucleic acid stabilizing agent.” *Id.* at 58.

According to Mori, preferred chaotropic salts are guanidine hydrochloride, guanidine isothiocyanate and guanidine thiocyanate, but “[i]t is possible to use a chaotropic substance such as urea instead of a chaotropic salt.” *Id.* at 61. Mori teaches that the nucleic acid stabilizing agent is a reducing agent, preferably a mercapto compound such as mercapto ethanol. *Id.* at 63 (stating a reducing agent has “functions to inactivate the nuclease activity”). Mori further teaches that the defoaming agent may be any number of silicon-, alcohol-, ether-, fatty oil-, fatty acid-, phosphate ester-, amine-, or amide-based compounds, “preferably in a range of 0.1 to 10% by weight.” *Id.* at 64. Specifically, Mori teaches using a silicon-based defoaming agent, such as dimethyl polysiloxane (*id.*), which, Petitioner asserts, and Patent Owner does not dispute, is a silicone polymer (*see* Pet. 53).

Mori teaches an anionic surfactant or a cationic surfactant as a preferred surfactant. Ex. 1011, 61. According to Mori,

[n]onionic surfactants include a polyoxyethylene alkyl phenyl ether-based surfactant, a polyoxyethylene alkyl ether-based surfactant, and fatty acid alkanolamide, and the preferable one is a polyoxyethylene alkyl ether-based surfactant. Among the polyoxyethylene (POE) alkyl ether surfactant, POE decylether, POE lauryl ether, POE tridecyl ether, POE alkylenedecyl ether, POE sorbitan monolaurate, POE sorbitan monooleate, POE sorbitan monostearate, tetraoleic polyoxyethylene sorbit, POE alkyl amine, and POE acetylene glycol are more preferred.

Cationic surfactants include cetyl trimethyl ammonium bromide, dodecyl trimethyl ammonium chloride, tetradecyl trimethyl ammonium chloride, cetyl pyridinium chloride.

*Id.* at 61–62. Mori states that “[t]he concentration of the surfactant in the nucleic acid-solubilizing reagent is preferably from 0.1 to 20% by weight.”

*Id.* at 62.

#### 4. Das

Das is directed to techniques for detecting *Mycobacterium Tuberculosis* in clinical samples using PCR amplification. Ex. 1008 ¶¶ 1, 29, 37–38. Specifically, Das teaches “methods of nucleic acid extraction and mix of reagents to lyse mycobacteria and purify nucleic acid from a clinical specimen.” *Id.* ¶ 38. Das teaches a modified lysis buffer to lyse the mycobacteria cells in a specimen sample and extract the nucleic acid, where the lysis buffer contains guanidinium isothiocyanate (chaotrope), N lauryl sarcosyl (detergent),  $\beta$ -ME (reducing agent), EDTA (chelator), and Tris (buffer). *Id.* ¶¶ 63–64, 89. According to Das, “most proteins are denatured in this buffer leading to through lysis of the mycobacteria present in the specimens.” *Id.* ¶ 39.

In one embodiment, Das obtains saliva samples from tuberculosis patients and using the modified lysis buffer to lyse the mycobacteria cells in the samples, extract the bacteria nucleic acid, and analyze the extracted DNA using PCR. *Id.* ¶¶ 83–85, 89–98. According to Das:

The modified lysis buffer . . . uses a strong chaotropic agent[.] i.e[.] guanidinium isothiocyanate. This helps to inactivate all mycobacteria present in a clinical specimen, lyse tough mycobacterial cell and denature and remove proteins thus results into cleaner preparation of DNA (Table 3) and also ensure safety for the operator. By heating specimen in modified lysis buffer even the toughest cells and objects like spores and baculovirus polyhedra are lysed easily.

*Id.* ¶ 38.

Das further explains that the modified lysis buffer can “precipitate even minute amount[s] of DNA” and “results in cleaner DNA preparation with improved yield.” *Id.* ¶ 39.

## 5. Helftenbein

Helftenbein teaches a vessel for withdrawing blood, the vessel containing a guanidinium salt (preferably guanidinium thiocyanate and/or guanidinium chloride), a buffer (such as Tris, HEPES, MOPS, citrate, or phosphate buffer), a reducing agent (such as DTT,  $\beta$ -ME, or TCEP), and/or detergent (such as Triton X-100, NP40, Tween 20, or polidocanol) as components. Ex. 1019, Abstract, 2:38–44, 3:4–35. According to Helftenbein, these reagents form a nucleic acid-stabilizing substance (N-sS). *Id.* at 2:46–48, 4:60–64. In one embodiment, Helftenbein teaches when blood is drawn into the vessel and mixed with an equal volume of N-sS, “[t]he nucleic acids contained in the inflowing blood flow were immediately converted into a stable form.” *Id.* at 4:47–5:6 (Example 1).



Helftenbein teaches adding an internal standard to N-sS. According to Helftenbein, “[t]his permits the control of the whole method from the moment of sampling up to the detection of nucleic acids.” *Id.* at 2:60–63.

#### 6. Chirgwin

Chirgwin teaches that disruption of cells “results in rapid mixing of RNA and RNase.” Ex. 1015, 5294. According to Chirgwin, “[o]ne way to eliminate nucleolytic degradation of RNA is to denature all of the cellular proteins including RNase.” *Id.* Chirgwin explains that “[t]his approach would be successful only if the rate of denaturation exceeds the rate of RNA hydrolysis by RNase.” *Id.* “The rate of denaturation,” Chirgwin continues, “is maximized by the combined use of a strong denaturant, guanidinium thiocyanate, in which both cation and anion are potent chaotropic agents (Jencks, 1969), and a reductant to break protein disulfide bonds which are essential for RNase activity (Sela et al., 1956).” *Id.*

Chirgwin describes a method for preparing intact RNA “from tissues rich in ribonuclease such as the rat pancreas by efficient homogenization in a 4 M solution of the potent protein denaturant guanidinium thiocyanate plus 0.1 M 2-mercaptoethanol to break protein disulfide bonds.” *Id.* at Abstract. In particular, Chirgwin’s formulation contains 4 M guanidine thiocyanate, 0.5% of sodium N-lauroylsarcosine, 25 mM sodium citrate, 0.1 M  $\beta$ -ME, and 0.1% Antifoam A. *Id.* at 5294–95.

Chirgwin further teaches that, after denaturation, the RNA may be “isolated free of protein by ethanol precipitation or by sedimentation through cesium chloride,” though “these steps can be varied according to the specific circumstances.” *Id.* at Abstract, 5296. In addition, “for some cultured cells

no homogenization is needed since the cells lyse upon addition of the guanidine solution.” *Id.* at 5296.

7. Wangh

Wangh teaches compositions and methods “for preparing DNA or RNA molecules, or both, for amplification and detection or for other enzymatic processing of mixtures of DNA and RNA molecules that have been freed of bound proteins.” Ex. 1022, 6:9–11. Wangh’s compositions include detergents, chaotropes, reducing agents, chelators, and buffers. *Id.* at 8:8–18.

8. Farrell

Farrell is another such reference. It is a laboratory guide describing the isolation and characterization of RNA. Ex. 1026, Title. Farrell teaches that it was widely known that nucleases, which are enzymes that degrade nucleic acids, should be purged from solutions when trying to isolate RNA. *Id.* at 48–49. According to Farrell, various compounds have been used to inhibit RNase activity, including vanadyl ribonucleoside complexes, RNasin, heparin, iodoacetate, polyvinyl (dextran) sulfate, cationic surfactant, macaloid and bentonite clays. *Id.* at 50–53. Furthermore, readily available reagents, such as hydrogen peroxide, and mixtures of sodium hydroxide and SDS also inhibit RNase activity. *Id.* at 53.

Farrell states that “stock solutions and buffers prepared in the laboratory can be treated, directly or indirectly, with the potent chemical RNase inhibitor [diethylpyrocarbonate] DEPC.” *Id.* at 55. Farrell notes that “DEPC is an efficient, nonspecific inhibitor of RNase,” but “must be destroyed completely” after the treatment, because “[e]ven trace amounts of residual DEPC will result in chemical modification of the base adenine.” *Id.*

For the same reason, Farrell cautions that DEPC should not be added directly to cell suspensions or lysates containing RNAs to be purified. *Id.* at 56.

Farrell teaches that there are additional “legitimate reasons” not to use DEPC in the laboratory. *Id.* at 57. Instead, according to Farrell,

[a] suitable alternative to DEPC treatment of water to render it nuclease-free is to simply buy nuclease-free water from one’s favorite vendor. For those laboratories affiliated with hospitals, it is interesting to note that water labeled “sterile water for irrigation,” is free of contaminants and is good for RNA work. Purified RNA may be rehydrated in this water and stored at  $-80^{\circ}\text{C}$ . This water is also excellent for making dilutions of nuclease-free stock solutions.

*Id.*

#### 9. Koller

Koller teaches “methods and compositions for isolation of nucleic acids from cells.” Ex. 1016, Abstract. Koller’s composition “contain[s] a chaotropic agent, salt, detergent and a reducing agent.” *Id.* at 7:1–3.

#### 10. Other Prior Art

Petitioner also presents numerous other prior art references. Although they do not form the bases of the asserted unpatentability challenges, we consider them in our analyses because they provide the background knowledge of an ordinarily skilled artisan. *See Qualcomm Inc. v. Apple Inc.*, 24 F.4th 1367, 1375–76 (Fed. Cir. 2022) (explaining “a petitioner may rely on evidence beyond prior art documents in an *inter partes* review, even if such evidence itself may not qualify as the ‘basis’ for a ground set forth in a petition” because “the assessment of a claim’s patentability is inextricably tied to a skilled artisan’s knowledge and skill level”).

For example, the 1982 Maniatis Laboratory Manual teaches isolating RNA using a buffered, nuclease-free, aqueous solution of guanidinium isothiocyanate (a chaotrope), sodium lauryl sarkosinate (a detergent),  $\beta$ -ME (a reducing agent), and EDTA (a chelator). Ex. 1004, 189–90.

Other references, such as Goldrick (Ex. 1009), provide further background of the knowledge in the relevant field. Goldrick teaches methods and compositions for the “recovery of nucleic acid from in vitro reaction mixtures that contain nucleases.” Ex. 1009, 1:8–11. Goldrick’s compositions include chaotropes, reducing agents, detergents, chelating agents, and buffers. *Id.* at 4:57–5:28, 7:30–8:54. Goldrick also incorporates into its composition a “carrier” that “serves to promote precipitation of minute amounts of RNA.” *Id.* at 3:38–48.

*E. Alleged Obviousness over Birnboim*

Petitioner asserts that claims 1, 2, 4–14, 21–30, 32, 33, and 35 would have been obvious over Birnboim.<sup>20,21</sup> Pet. 35–50. After reviewing the entire record developed at trial, and as explained below, we determine that Petitioner has shown, by a preponderance of the evidence, that Birnboim teaches or suggests each limitation of claims 1, 2, 4–14, 21–30, 32, 33,

---

<sup>20</sup> Petitioner also asserts that claim 16 would have been obvious over Birnboim alone. Pet. 47–49. We do not address this argument because, as explained below, we find Petitioner has shown claim 16 would have been obvious over the combination of Birnboim and Helftenbein. *See infra* Section V.H.

<sup>21</sup> Petitioner also asserts that claim 31 would have been obvious over Birnboim alone. Pet. 64–65. We do not address this argument because, as explained below, we find Petitioner has shown claim 31 would have been obvious over the combination of Birnboim and Koller. *See infra* Section V.K.

and 35. Petitioner has also shown that an ordinarily skilled artisan would have had a reason to modify the teachings of Birnboim and would have had a reasonable expectation of success when doing so.

1. Claim 1

Petitioner argues that Birnboim teaches preserving nucleic acids from a bacterium or a virus. Pet. 10 (citing Ex. 1003 ¶ 27); *see also id.* at 19 (the same). According to Petitioner, just like the '240 patent, Birnboim teaches “using chaotropes, detergents, reducing agents, chelators, and buffers in their one-step aqueous compositions.” *Id.* at 37 (citing Ex. 1003 ¶¶ 64–74, 115). And, just like the '240 patent, Petitioner continues, Birnboim teaches “employ[ing] a combination of well-known compounds and use them in accordance with their well-understood functions” of denaturing proteins, killing pathogens, and preserving nucleic acids at room temperature for extended periods of time to “yield predictable results.” *Id.* at 37–38 (Ex. 1003 ¶¶ 114–121).

Patent Owner alleges multiple faults with Petitioner’s challenge. PO Resp. 16–48. Specifically, Patent Owner contends that applying its claim construction, Birnboim does not teach “kill pathogens.” *Id.* at 16–18. Patent Owner also argues that Birnboim’s composition degrades nucleic acids, and does not inactivate nucleases. *Id.* at 21–23. Patent Owner further contends that Petitioner fails to show (1) Birnboim teaches chaotropes; or (2) an ordinarily skilled artisan would have modified Birnboim’s Example 3 with a reasonable expectation of success. *Id.* at 33–37. On this record, we find Petitioner’s arguments more persuasive.

*a. Chaotropes and Detergents*

As Petitioner points out, Birnboim teaches that its compositions stabilize nucleic acids and inhibit nucleases and microbial growth. Pet. 11 (citing Ex. 1003 ¶ 64). Birnboim specifically teaches that its compositions contain (1) denaturing agents to lyse cells, denature proteins, inactivate nucleases, and inhibit microbial growth (*id.* (citing, e.g., Ex. 1003 ¶¶ 64, 68, 73, 84)); (2) reducing agents to prevent nucleic acid degradation (*id.* (citing Ex. 1003 ¶¶ 13, 14, 70–72)); (3) chelating agents to stabilize nucleic acids and inhibit microbial growth (*id.* at 12 (citing Ex. 1003 ¶¶ 64, 67, 68, 73)); and (4) buffers to maintain an appropriate pH to prevent nucleic acid degradation (*id.* (citing Ex. 1003 ¶ 64)). *See id.* at 18–19 (summarizing reagents and their functions in Birnboim’s compositions). We agree with Petitioner, and Patent Owner does not dispute, that these well-known reagents perform well-understood functions. *See* Ex. 1003 ¶¶ 64–74.

Birnboim’s Example 3 teaches a composition comprising urea, which is a chaotrope, and SDS, which is a detergent. *Id.* ¶ 115. Patent Owner contends that Birnboim does not teach “the use of chaotropes and detergents as individual and separate components.” PO Resp. 34. Patent Owner argues that Birnboim’s Example 3 just “happens to include” urea and SDS, both of which are labeled as “denaturing agents,” a term Birnboim uses “extremely broadly.” *Id.* at 33–34. According to Patent Owner, “[n]owhere does Birnboim teach or disclose which denaturing agents should be used in combination with one another, let alone teach that a denaturing agent that works as a detergent should be combined with a denaturing agent that works as a chaotrope.” *Id.* at 34 (citing Ex. 2033 ¶ 22).

To the extent Patent Owner argues that an ordinarily skilled artisan would not have had a reason to select both a chaotrope and a detergent (as shown in Birnboim Example 3), or to modify Birnboim's Example 3 to use other chaotropes or detergents, we do not agree. An ordinarily skilled artisan would have understood the individual properties and uses of, as well as relevant differences between, a chaotrope and a detergent. Indeed, in explaining the difference between these two classes of denaturing agents, Dr. DeFilippi testifies that:

Detergent molecules each have a hydrophobic tail and a hydrophilic head. Detergents bring the hydrophobic portions of the protein into the aqueous phase because the hydrophobic tail of the detergent binds to hydrophobic regions of the proteins while the hydrophilic portion of the detergent interacts directly with the aqueous phase. Chaotropes disrupt the hydrogen bonding network between water molecules and reduce the stability of the native state of proteins by weakening the hydrophobic effect, permitting the hydrophobic regions of the protein that are normally internal to the protein to be turned outwards.

Ex. 2033 ¶ 21.

Dr. DeFilippi, however, asserts, without any support, that “a POSA at the time of the invention was not aware of the relevance of this distinction.” *Id.* That statement is contradicted by the prior art of record. Das, for example, teaches a lysis buffer containing the detergent N lauryl sarcosyl and the chaotrope guanidinium isothiocyanate. *See, e.g.*, Ex. 1008 ¶ 89. Das explains that a “[d]etergent helps in solubilization of cell wall lipid and of protein and thus result in complete lysis of the mycobacterial cell wall, which is rich in different types of complex lipids,” whereas “a strong chaotropic agent i.e[.] guanidinium isothiocyanate . . . helps to inactivate all mycobacteria present in a clinical specimen, lyse tough mycobacterial cell

and denature and remove proteins thus results into cleaner preparation of DNA . . . and also ensure safety for the operator.” *Id.* ¶¶ 38–39.

Similarly, Goldrick teaches isolating RNA using a mixture of, among other reagents, a chaotropic agent (guanidinium chloride or guanidinium thiocyanate) and a detergent (e.g., N-lauroyl sarcosine or SDS).

*See, e.g.*, Ex. 1009, 7:30–8:54. Goldrick explains that the chaotropic agent is for inactivating nucleases, and the detergent and other ingredients, such as reducing agents, “aid in the inactivation of the nucleases.” *Id.* at Abstract, 1:39–54; *see also id.* at claim 9 (reciting “the nuclease inactivation enhancing detergent is SDS or N-lauroyl sarcosine”).

In addition, Farrell similarly discusses “homogenization in lysis buffers consisting of guanidinium thiocyanate or guanidinium hydrochloride is widely accepted as the method of choice.” Ex. 1026, 58. Farrell explains that “[s]olutions containing guanidine HCl or guanidine thiocyanate (GTC) are often referred to as chaotropic buffers because of their biologically disruptive nature.” *Id.* at 59; *see also* Ex. 1004, 189–90 (1982 Maniatis Laboratory Manual teaching solution for isolating RNA comprising guanidinium isothiocyanate, sodium lauryl sarkosinate,  $\beta$ -ME, and EDTA).

Furthermore, Koller teaches nucleic acid releasing compositions containing a chaotrope, detergent, reducing agent, and chelator salt. Ex. 1016, 7:1–5. According to Koller, “[t]he chaotropic component of the nucleic acid releasing composition is both an effective protein denaturant and a strong inhibitor of nucleases. The effect of a chaotropic agent on growing cells is an almost instantaneous dissolution of the cells.” *Id.* at 7:19–23. Koller teaches urea as a useful chaotropic agent. *Id.* at 7:23–25. Koller also teaches that for the nucleic acid releasing



composition, it is “beneficial to incorporate a surface-active anionic detergent to further aid in lysis and disruption of the cells,” and SDS is such a detergent. *Id.* at 8:8–15.

Thus, the preponderance of the evidence shows that an ordinarily skilled artisan at the critical time would have understood the identity, as well as the individual properties and use, of the various chaotropes and detergents (and other reagents), as well as the benefits of combining them in a single composition for isolating nucleic acids.

*b. Functional Limitations*

As explained earlier, the plain language of claim 1 requires each component reagent present in an amount sufficient to perform at least one of the recited functions. *See supra* Section V.C.1. According to Patent Owner, “Petitioner has presented no such evidence.” Sur-reply 1. We disagree with Patent Owner.

Petitioner argues:

***Each of Birnboim’s reagents performs one or more of the claimed functions.*** For example, Birnboim’s denaturing agents denature proteins, inactivate nucleases, and kill pathogens by lysing cells. Ex. 1003, ¶¶[0020], [0041], [0064], [0067]-[0068], [0073], [0084]. Birnboim’s chelating agents prevent nucleic acid degradation and provide antimicrobial activity. *Id.*, ¶¶[0064], [0067]-[0068], [0073]. Birnboim’s reducing agents prevent nucleic acid degradation. *Id.*, ¶¶[0013]-[0014], [0070]-[0072]. Birnboim’s buffers stabilize the pH to prevent nucleic acid degradation. *Id.*, ¶¶[0019], [0064], [0066].

Pet. 18–19 (emphasis added). We agree with Petitioner, and Patent Owner does not dispute, that these well-known reagents perform well-understood functions. Thus, Petitioner has presented a preponderance of the evidence to show that each recited reagent performing at least one recited function.

Patent Owner faults Petitioner for “instead asserting that ‘Birnboim discloses aqueous compositions that include chaotropes, detergents, reducing agents, chelators, and buffers *together in amounts sufficient to accomplish* the same functional objectives recited in claim 1.’” Sur-reply 1–2 (quoting Pet. 13 (emphasis added by Patent Owner)). But, we are not aware of evidence of record, and Patent Owner does not bring any to our attention, that shows each recited reagent depends on another recited reagent to perform its recited well-known function. Thus, when each reagent performs at least one recited function, the composition as a whole necessarily accomplishes all the recited function. Below, we analyze claim 1 with this understanding.

*c. Kill One or More Pathogens*

Petitioner asserts that Birnboim’s compositions inhibit and kill microbes in the sample. Pet. 36 (citing Ex. 1003 ¶¶ 21, 64, 73). Patent Owner counters that “Applying the Correct Claim Construction, Birnboim Does Not Teach Killing Pathogens.” PO Resp. 16. As support, Patent Owner submits data from tests conducted by ABL of compositions prepared according to Birnboim Example 3. *Id.* at 17. Patent Owner asserts that “[t]he testing showed that Birnboim’s composition failed to kill the vast majority of both viral (MS2) and bacterial (*B. subtilis*) pathogen organisms in a sample.” *Id.* Thus, Patent Owner concludes “Birnboim’s compound did not render a sample substantially non-pathogenic.” *Id.* We disagree with Patent Owner’s analysis and conclusion.

As explained in our Decision on Institution, “Birnboim expressly discloses isolating nucleic acid from bacteria and viruses. Ex. 1003 ¶¶ 18, 22, 27. It does not suggest such isolation is non-destructive, and we presume

that at least some pathogens are ‘killed’ in the extraction process according to the plain and ordinary meaning of the term.” DI 18. In other words, Birnboim’s instruction to isolate nucleic acid “from a bacterium or a virus that is residing in the buccal, nasal, or respiratory passages of the subject” would kill the bacterium or the virus. *See* Ex. 1003 ¶ 27. Consistent with our interpretation, Birnboim further teaches that its compositions may be “bactericidal,” i.e., capable of killing bacteria. *Id.* ¶ 21. Thus, Birnboim teaches “kill pathogens.”

Additional evidence of record supports our determination. Indeed, ABL test data initially withheld by Patent Owner [REDACTED]  
[REDACTED]  
[REDACTED]. Exs. 1202–1204; Ex. 1069, 272:13–273:7; Ex. 1071 ¶¶ 15–23.

Patent Owner downplays these data. PO Resp. 16–17 (“Even if Petitioner could show that Birnboim teaches a compound that would lyse some small subset of individual pathogen cells from a sample, that is a far cry from, and nothing in Birnboim teaches, rendering a sample substantially non-pathogenic as to the suspected pathogen.”). Instead, it emphasizes other ABL test data showing Birnboim’s compositions do not kill MS2 and *B. subtilis*. *Id.* at 17; *see also* Ex. 2033 ¶ 18 (Dr. DeFilippi testifying that two Birnboim compositions were not able to “inactivate or kill MS2 viruses or *B. subtilis* bacteria”).

As a preliminary matter, we note MS2 is a bacteriophage. Ex. 2019, 1. Other than ABL stating MS2 is “commonly used as a surrogate for human pathogenic virus” (*id.*), Patent Owner does not directly address whether MS2 is the type of pathogens contemplated in the Specification. In addition, ABL

apparently included spores in its testing of *B. subtilis*. As explained above, under our construction, “kill pathogens” does not encompass the killing or inactivation of spores. *See supra* Section V.C.2. Thus, ABL’s data on these two microorganisms have limited value.

Nonetheless, even if we were to accept Patent Owner’s assertion that Birnboim’s compositions failed to kill both viral (MS2) and bacterial (*B. subtilis*) pathogen organisms in a sample, we still must reject its conclusion that Birnboim’s compositions do not “kill pathogens.” *See* PO Resp. 16–17. As explained above, “kill one or more pathogens” does not require that every pathogen in sample is killed. Instead, it merely requires killing or inactivating some fungal, viral, or vegetative bacterial pathogens in a sample. *See supra* Section V.C.2. [REDACTED]

[REDACTED]

[REDACTED]

*d. Prevent One Or More Nucleic Acids from Degrading*

Petitioner argues that Birnboim teaches this limitation because its compositions “preserve sufficient quantities of nucleic acids for subsequent analysis.” Pet. 37 (citing Ex. 1003 ¶¶ 88, 116–121). Patent Owner contends that nothing in Birnboim teaches this limitation because its compositions do not preserve RNA and only preserve 50% of the DNA in a sample. PO Resp. 21. Based on this record, we agree with Petitioner’s argument.

Birnboim is directed to isolating nucleic acids from a sample and stabilizing the isolated nucleic acids for future analysis. *See* Ex. 1003 ¶¶ 11, 22, 27, 64, 114–122. Birnboim defines “stable” as meaning “that at least about 50% of the initial amount of high molecular weight nucleic acid (DNA, RNA, mRNA, or viral RNA) contained in a sample is still present

after storing the sample at ambient temperature (i.e., 20° C. to 25° C.) for the specified time period.” *Id.* ¶ 45; *see also id.* ¶¶ 2 (teaching its compositions are “for preserving nucleic acids at room temperature for extended periods of time”), 25 (teaching that, in one embodiment, the isolated DNA is stable “for more than 14 days, desirably more than 30 days, and more desirably more than 60 days,” and in another embodiment, when its composition does not contain ascorbic acid, a specific reducing agent, “the DNA is stable for more than 60 days, and desirably more than 360 days”).

As explained above, the ’240 patent does not define the lower limit of the nucleic acid that must be preserved to be encompassed by “prevent one or more nucleic acids from degrading.” *See supra* Section V.C.3 (citing Ex. 1001, 9:64–65 (stating preserving “at least about 70%” polynucleotides is “desirable”)). Instead, the term “prevent one or more nucleic acids from degrading” means preserving sufficient RNA or DNA for analysis using conventional nucleic acid detection methods known to an ordinarily skilled artisan at the time of the invention. *Id.* Under our construction, Birnboim’s compositions satisfy this limitation.

Indeed, Birnboim teaches isolating nucleic acids “for any application requiring a nucleic acid sample,” including, for example, “forensic applications, medical applications (including genetic screening and disease typing), and paternity testing.” Ex. 1003 ¶ 88. In addition, as Petitioner correctly points out, “Birnboim Examples 4–6 establish that the DNA is successfully stabilized and preserved sufficiently to analyze the DNA via gel electrophoresis (Example 4) and via PCR (Examples 5 and 6).” Pet. 19 (citing Ex. 1003 ¶¶ 116–122). Thus, we are persuaded that Birnboim’s

compositions do “not degrade nucleic acid” beyond the extent allowed by the challenged claims.

Patent Owner points to Birnboim’s Example 3, which includes NaOAc (sodium acetate) and LiCl (lithium chloride) in the composition.<sup>22</sup> PO Resp. 23. Patent Owner argues that these ingredients, not recited in challenged claim 1, are responsible for the preservation of DNA. *Id.* We are not persuaded.

As a preliminary matter, we note that, for its obviousness challenge, Petitioner relies on not only Example 3, but also the general teachings of Birnboim. *See* Pet. 36–37 (citing Ex. 1003 ¶¶ 2, 21, 64–74, 84, 88, 114–121). And the general teachings of Birnboim do not suggest that either NaOAc or LiCl must be present in the composition.

Nonetheless, in our Decision to Institute, we explained that an ordinarily skilled artisan would have understood the roles of NaOAc and LiCl. DI 20. Patent Owner argues that is not true. PO Resp. 23. According to Patent Owner, the parties’ experts propose competing hypotheses of why Birnboim includes LiCl and NaOAc. *Id.* (citing Ex. 2001 ¶ 39; Ex. 2020, 201:1–2, 201:21–203:2). We disagree with Patent Owner’s argument.

NaOAc and LiCl are salts frequently used in the art, often in the context of promoting nucleic acid precipitation from aqueous samples. *See, e.g.*, Ex. 1004, 192 (using NaOAc to wash/precipitate nucleic acids); Ex. 1009, 1:66–68 (same); Ex. 1013, 4.3.1 (“separation of RNA from DNA and other impurities by selective precipitation using [2 M and 8 M] LiCl”),

---

<sup>22</sup> Claim 1 recites a composition “comprising” five categories of reagents. Because of the open-ended transition phrase “comprising,” the claimed composition includes the listed reagents, but does not exclude others.

4.5.2 (0.15 M LiCl as a wash buffer component, precipitating “RNA by adjusting the salt concentration to 0.3 M sodium acetate”); Ex. 1018, 15:55–67 (discussing commercial RNA extraction kits comprising LiCl in combination with guanidine or urea).

In Birnboim’s Example 3, the formulation with NaOAc “stabilizes DNA for *longer periods of time*” than the formulation with LiCl. Ex. 1003 ¶ 115 (emphasis added). That result, however, does not mean a formulation without NaOAc does not sufficiently stabilize sufficient DNA “for analysis using conventional nucleic acid detection methods known to an ordinarily skilled artisan at the time of the invention,” which is all that is required to satisfy the limitation of “prevent one or more nucleic acids from degrading.” *See supra* Section V.C.3.

In addition, Koller teaches nucleic acid releasing compositions comprising “a chaotropic agent, salt, detergent and reducing agent.” Ex. 1016, 7:1–3. Koller explains that salt is “at a concentration effective to aid in the dissociation, purification and eventual dissolution of the isolated nucleic acids.” *Id.* at 8:27–29. The type of salt included in the composition, Koller continues, “is not critical.” *Id.* at 8:33–34; *see also id.* at 8:35–9:2 (“For example[,] sodium chloride, sodium acetate, potassium acetate, ammonium acetate or other derivatives thereof, would suffice, however, optimum results are obtained with either sodium chloride or sodium acetate.”). Patent Owner does not present competent evidence or otherwise explain adequately how NaOAc and LiCl would be responsible for preserving DNA.

In sum, we find Petitioner has met its burden in showing that the ingredients recited in claim 1, as taught in Birnboim, “prevent one or more nucleic acids from degrading.”

*e. Reason to Modify and Reasonable Expectation of Success*

Patent Owner argues that the Petition fails to show a reason to modify Birnboim’s Example 3 with reasonable expectation of success.

PO Resp. 32–37. But, as explained above, for its obviousness challenge, Petitioner relies on the general teachings of Birnboim, as well as Example 3. *See supra* Section V.E.1.d.

Claim 1 of the ’240 patent recites five general categories of reagents: chaotropes, detergents, reducing agents, chelators, and buffers. It requires these reagents to perform recited functions: denature proteins, inactivate nucleases, kill pathogens, and prevent one or more nucleic acids from degrading. As explained above, Petitioner has shown that Birnboim teaches all the reagents recited, and those reagents together perform the recited functions.<sup>23</sup> *See supra* Sections V.E.1.a–V.E.1.c.

The Federal Circuit has held that combining teachings in a single prior art reference “does not require a leap of inventiveness.” *Bos. Sci. Scimed, Inc. v. Cordis Corp.*, 554 F.3d 982, 991 (Fed. Cir. 2009). This is especially true when the claimed composition is used for the identical purpose taught by the prior art. *Id.*

---

<sup>23</sup> Petitioner argues that Birnboim teaches the limitations of “denature one or more proteins” and “inactivate one or more nucleases.” *See* Pet. 10, 11, 14, 18, 35 (citing Ex. 1003 ¶¶ 11, 41, 64, 68, 84). We agree with Petitioner’s arguments, and Patent Owner does not dispute them.



Such is the case here. Petitioner argues, and we agree, Birnboim teaches “employ[ing] a combination of well-known compounds and use them in accordance with their well-understood functions” to “yield predictable results.” Pet. 37–38. Thus, we find an ordinarily skilled artisan would have had a reason to use these known compounds to perform their known functions taught in the prior art with a reasonable expectation of success. *See KSR*, 550 U.S. at 417 (“If a person of ordinary skill can implement a predictable variation, § 103 likely bars its patentability.”).

*f. Summary*

After reviewing the record, we determine Petitioner demonstrates by a preponderance of the evidence that Birnboim teaches or suggests all limitations of claim 1, and that an ordinarily skilled artisan at the critical time would have had a reason to implement these teachings to arrive at the subject matter of claim 1 with a reasonable expectation of success. Patent Owner does not present evidence on objective indicia of nonobviousness. Thus, for the reasons discussed above, we determine Petitioner demonstrates by a preponderance of the evidence that claim 1 would have been obvious over Birnboim.

2. Claims 2, 5, and 7

Claim 2 depends from claim 1 and further recites specific reducing agents, including  $\beta$ -ME and DTT. Petitioner argues that Birnboim teaches  $\beta$ -ME and DTT as exemplary reducing agents for use with its compositions. Pet. 38 (citing Ex. 1003 ¶ 13).

Claim 5 depends from claim 1 and further recites specific chaotropes, including guanidine thiocyanate and guanidine hydrochloride. Petitioner

argues that Birnboim teaches guanidine thiocyanate and guanidine hydrochloride in its compositions. *Id.* at 41 (citing Ex. 1003 ¶¶ 20, 68).

Claim 7 depends from claim 1 and further recites specific chelators, including ethylenediamine tetraacetic acid (EDTA) and diethylene triamine pentaacetic acid (DTPA). Petitioner argues that Birnboim teaches using either EDTA or DTPA as the chelator in its compositions. *Id.* at 42 (citing Ex. 1003 ¶¶ 16, 67).

Petitioner also contends that an ordinarily skilled artisan would have had a reason to use the specific reducing agents, chaotropes, or chelators, and would have had a reasonable expectation of success in doing so. *Id.* at 38–39, 41–42 (citing Ex. 1002 ¶¶ 188–190, 199–201, 206–208; Ex. 1003 ¶¶ 13, 115; Ex. 1008 ¶¶ 60–64, claims 6, 7; Ex. 1009, 5:5–11, 7:33–47, 11:64–68).

Patent Owner points out that Birnboim's Example 3 uses sodium ascorbate (a salt of ascorbic acid) as the reducing agent, urea as the chaotrope, and CDTA as the chelator, none of which are recited in claims 2, 5, and 7. PO Resp. 25–29, 37–44 (citing Ex. 1003 ¶ 115). According to Patent Owner, Birnboim does not teach or suggest substituting these reagents with those recited in claims 2, 5, and 7, and an ordinarily skilled artisan would not have had a reasonable expectation of success when doing so. *Id.* at 37–44. We disagree with Patent Owner.

Again, as noted above, for its obviousness challenge, Petitioner relies on not only Example 3, but also the general teachings of Birnboim. *See supra* Section V.E.1.d. As such, Birnboim itself teaches using the specific reducing agent, chaotrope, or chelator recited in claim 2, 5, or 7. *See* Ex. 1003 ¶¶ 13 (exemplary reducing agents including ascorbic acid,

$\beta$ -ME, and DTT), 20, 68 (known chaotropes urea, guanidine thiocyanate, and guanidine chloride), 16, 67 (exemplary chelators including EDTA, CDTA, and DTPA).

In addition, other prior art of record also makes clear that numerous such reagents may be used for essentially the same purpose as those recited in the challenged claims. With respect to the specific chaotropes of claim 5, Das, Mori, Goldrick, Maniatis, and Chirgwin, for example, all teach using guanidinium compounds for the isolation of nucleic acids. *See, e.g.*, Ex. 1004, 189–90; Ex. 1008 ¶ 89; Ex. 1009, 7:30–8:54; Ex. 1011, 61; Ex. 1015, Abstract. Specifically, Mori teaches guanidinium salt as the preferred chaotropic salt, and guanidine thiocyanate as especially preferred. Ex. 1011, 61. Mori, however, states that “[i]t is possible to use a chaotropic substance such as urea instead of a chaotropic salt.” *Id.*

With respect to the specific reducing agents of claim 2 and the specific chelators of claim 7, Goldrick, for example, teaches isolating RNA using a composition comprising a guanidinium compound, a detergent, a reducing agent such as  $\beta$ -ME or DTT and, optionally, a chelator such as EDTA. Ex. 1009, 7:30–8:54, 4:31–34. Similarly, Maniatis teaches a solution comprising guanidinium isothiocyanate, the detergent sodium lauryl sarkosinate, “reducing agents like  $\beta$ -mercaptoethanol,” and the chelator EDTA for simultaneously disrupting cells and inactivating nucleases. *See* Ex. 1004, 189; *see also* Ex. 1008 ¶ 63 (lysis buffer comprising guanidinium isothiocyanate, N lauryl sarcosyl,  $\beta$ -ME, and EDTA).

According to Patent Owner, Birnboim prefers ascorbic acid<sup>24</sup> as the “most desirabl[e]” reducing agent, and prefers other, non-guanidine denaturing agents ahead of guanidine compounds. PO Resp. 25, 37–38 (citing Ex. 1003 ¶¶ 13, 72). But, “the fact that a specific embodiment is taught to be preferred is not controlling, since all disclosures of the prior art, including unpreferred embodiments, must be considered.” *Merck & Co., Inc. v. Biocraft Labs., Inc.*, 874 F.2d 804, 807 (Fed. Cir. 1989) (brackets omitted); *see also In re Mouttet*, 686 F.3d 1322, 1334 (Fed. Cir. 2012) (“[J]ust because better alternatives exist in the prior art does not mean that an inferior combination is inapt for obviousness purposes.”).

Based on the prior art of record, we find that an ordinarily skilled artisan would have been familiar with the use and combinations of reagents recited in the challenged claims. *See* Ex. 1002 ¶¶ 49–74 (Dr. Taylor’s review of the state of the art). Thus, we find claims 2, 5, and 7 would have been obvious because they each “recite[] a combination of elements that were all known in the prior art, and all that was required to obtain that combination was to substitute one well-known . . . agent for another.” *See Wm. Wrigley Jr. Co. v. Cadbury Adams USA LLC*, 683 F.3d 1356, 1364 (Fed. Cir. 2012).

Patent Owner argues that any substitution of known reagents for those in Birnboim’s Example 3 is unpredictable and, thus, undercuts any reasonable expectation of success in arriving at the claimed invention. PO Resp. 25–29, 37–44; Sur-reply 5–7, 11–12. For example, Patent Owner argues that “test results show that substitution of guanidine in Birnboim’s

---

<sup>24</sup> According to Patent Owner, sodium ascorbate, which is used in Birnboim’s Example 3, “is the same thing as ascorbic acid.” PO Resp. 37 n.4.

Example 3 causes the Example 3 composition to form a precipitate, removing the precipitated reagents from the aqueous composition and making the composition unusable for collection of nucleic acid.” PO Resp. 42 (citing Ex. 2033 ¶¶ 20, 36–38; Ex. 2019). Patent Owner’s argument is unavailing.

We acknowledge the results in Exhibit 2019 but disagree with the conclusion Patent Owner draws from it. Patent Owner argues that “the guanidine compounds are active compounds that are likely to react with other reagents in the composition.” *Id.* (citing Ex. 2033 ¶ 37; Ex. 2020, 224:17–225:7). For example, Dr. DeFilippi notes that “DTT is chemically reactive with guanidinium and would not function in composition with guanidinium salts such as those listed in Birnboim ¶.”<sup>25</sup> Ex. 2033 ¶ 22. This interaction, however, was well-known in the art. *See, e.g.*, Ex. 1015, 5296 (Chirgwin teaching that in place of  $\beta$ -ME, “[d]ithiothreitol can be used with the guanidine hydrochloride stock . . . but it undergoes a chemical reaction with the thiocyanate anion to produce hydrogen sulfide and a green color”).

Considering the level of skill in the art and the extensive use of guanidinium compounds in combination with reducing agents, detergents, and chelators as discussed above, we find an ordinarily skilled artisan would have been aware of such complications and known how to avoid them. Indeed, as Patent Owner points out, Dr. Taylor testified that an ordinarily skilled artisan “should take into account the reactivity of guanidinium before combining it with other reagents.” PO Resp. 42 (citing Ex. 2020,

---

<sup>25</sup> Dr. DeFilippi fails to point out which paragraph(s) of Birnboim he is relying on. Based on our review, Birnboim teaches guanidinium salts as denaturing agents in, for example, paragraphs 20 and 68.

223:17–224:15). Yet, Patent Owner does not show that it has accounted for this well-known reactivity when considering the simple substitution of 0.67 M guanidine thiocyanate for the 0.67 M urea in Birnboim’s Example 3.

In addition, Patent Owner focuses on the composition in Birnboim’s Example 3 as the starting material. We repeat that, for its obviousness challenge, Petitioner relies on not only Example 3, but also the general teachings of Birnboim. *See supra* Section V.E.1.d. When an ordinarily skilled artisan is not limited to start from Example 3, other prior art of record shows that guanidine compounds have been routinely used in compositions for extracting and preserving nucleic acids. *See supra* Section V.E.1.a.

For example, Das teaches a lysis buffer containing about 4 M guanidinium isothiocyanate (chaotrope), about 1 % N lauryl sarcosyl (detergent), about 10 mM  $\beta$ -ME (reducing agent), about 1 mM EDTA (chelator), and about 50 mM Tris.Cl pH 7.6 (buffer). Ex. 1008 ¶ 64; *see also id.* ¶ 63 (teaching guanidinium isothiocyanate in the range of about 0.5–8 M). Thus, we accord limited value to the results in Exhibit 2019 in view of both the limitations of its experimental design and the prior art teachings of successful use of guanidine compounds. *See supra* Section V.E.1.a.

The Federal Circuit’s opinion in *Pfizer, Inc. v. Apotex, Inc.* sheds light on the issue and guides our analysis. *See* 480 F.3d 1348 (Fed. Cir. 2007). There, the court asked where “a formulation must be tested by routine procedures to verify its expected properties . . . how far does that need for testing go toward supporting a conclusion of non-obviousness?” *Id.* at 1365. In answering that question, the court explained that “obviousness cannot be

avoided simply by a showing of some degree of unpredictability in the art so long as there was a reasonable probability of success.” *Id.* at 1364.

In the instant case, to the extent some substitutions might fail, it is important to keep in mind that expectation of success need only be reasonable, not absolute. *Id.* With respect to the substitution of well-known reagents in Birnboim’s Example 3 formulations, Dr. Taylor testified that adjusting denaturing agents, for example, “is something that a freshman college student could do with a little bit of direction,” and that substituting chaotropes or detergents is “just a standard methodology.” *See* Ex. 2020, 191:10–17, 338:15–20, 487:15–22.

In sum, Petitioner demonstrates by a preponderance of the evidence that Birnboim teaches or suggests all limitations of claims 2, 5, and 7, and that an ordinarily skilled artisan would have had a reason to implement these teachings to arrive at the subject matter of these claims with a reasonable expectation of success. Patent Owner does not present evidence on objective indicia of nonobviousness. Thus, for the reasons discussed above, we determine Petitioner demonstrates by a preponderance of the evidence that claims 2, 5, and 7 would have been obvious over Birnboim.

### 3. Claim 4

Claim 4 depends from claim 1 and further recites the concentration ranges for the five ingredient categories. Petitioner argues that Birnboim Example 3 teaches “a specific composition with a chaotrope, detergent, reducing agent, and buffer in amounts that fall within the claimed range[s].” Pet. 20; *see also id.* at 20–21 (comparing the ranges recited in claim 4 with the those taught in Birnboim) (citing Ex. 1003 ¶ 115). Acknowledging that “the concentration of the chelator (CDTA) in Birnboim’s Example 3,

at 3.3 mM, is higher than the range in claim 4 (0.01 mM–1 mM),” Petitioner refers to Birnboim’s teaching elsewhere that for CDTA, “concentrations in the 1–20 mM range are sufficient” and “other concentrations would work, and the compositions of the invention are not intending to be limited to this range.” *Id.* at 21 (citing Ex. 1003 ¶ 67). Thus, Petitioner contends that an ordinarily skilled artisan “would have been motivated to use a chelator at the claimed concentration of 0.01 mM–1 mM” and would have had a reasonable expectation of success when doing so. *Id.* at 39–40.

Patent Owner counters that “Birnboim provides no suggestion to reduce the concentration of CDTA by more than two-thirds.” PO Resp. 39 (citing Ex. 2033 ¶¶ 28–29). We disagree.

Birnboim teaches that

[t]he amount or concentration of chelator will depend upon the strength of the chelator, which would need to be determined empirically. For CDTA, concentrations in the 1–20 mM range are sufficient, however other concentrations would work, and the compositions of the invention are not intending to be limited to this range.

Ex. 1003 ¶ 67. CDTA is the chelator in Example 3. *Id.* ¶ 115. Thus, contrary to Patent Owner’s assertion, Birnboim, in fact, explicitly teaches using CDTA at the concentration of 1–20 mM, which overlaps with the “about 0.01 mM to about 1 mM” range recited in claim 4.

In cases involving overlapping ranges, the Federal Circuit has “consistently held that even a slight overlap in range establishes a *prima facie* case of obviousness.” *In re Peterson*, 315 F.3d 1325, 1329 (Fed. Cir. 2003); *see also In re Geisler*, 116 F.3d 1465, 1469 (Fed. Cir. 1997) (concluding a prior art reference that teaches the range 100–600 Å renders obvious a claimed invention with the range 50–100 Å); *In re Woodruff*,



919 F.2d 1575, 1577–78 (CCPA 1990) (concluding a prior art reference that teaches the range “about 1–5%” renders obvious a claimed invention with the range “more than 5% to about 25%”).

The case for obviousness based on encompassing or overlapping ranges shifts the burden of production to the patentee to rebut the case, and this is applicable in the context of an *inter partes* review. See *E.I. DuPont de Nemours & Co. v. Synvina C.V.*, 904 F.3d 996, 1008 (Fed. Cir. 2018) (“[W]here there is a range disclosed in the prior art, and the claimed invention falls within that range, the burden of production falls upon the patentee to come forward with evidence of teaching away, unexpected results, or other pertinent evidence of nonobviousness.”) (quoting *Galderma Labs., L.P. v. Tolmar, Inc.*, 737 F.3d 731, 738 (Fed. Cir. 2013)). Likewise, there is a rebuttable presumption grounded on a claimed range overlapping a range disclosed in the prior art. *Id.*

“The presumption [of obviousness] can be rebutted if it can be shown that the prior art teaches away from the claimed range, or the claimed range produces new and unexpected results.” *Ormco Corp. v. Align Tech., Inc.*, 463 F.3d 1299, 1311 (Fed. Cir. 2006); see also *Peterson*, 315 F.3d at 1330–31 (the same). Here, Patent Owner has done neither.

Patent Owner contends “[t]he Petition and Taylor Declaration conclude that a POSA would try other concentrations and expect them to work without explaining why this motivates a POSA to reduce the chelator concentration to less than a third of the concentration in Example 3.” PO Resp. 39 (citing Pet. 39–40; Ex. 1002 ¶ 193). We, again, disagree with Patent Owner’s argument.

Both Petitioner and Dr. Taylor cite Birnboim for teaching CDTA at the concentration of 1–20 mM, which overlaps with the claimed range of 0.01–1 mM. Pet. 39 (citing Ex. 1003 ¶ 67); Ex. 1002 ¶ 193 (citing Ex. 1003 ¶ 67). As the Federal Circuit explained, “[s]uch overlap itself provides sufficient motivation to optimize the ranges.” *In re Applied Materials, Inc.*, 692 F.3d 1289, 1295 (Fed. Cir. 2012); *see also Peterson*, 315 F.3d at 1330 (“The normal desire of scientists or artisans to improve upon what is already generally known provides the motivation to determine where in a disclosed set of . . . ranges is the optimum combination.”). Indeed, Birnboim’s teaching that “[t]he amount or concentration of chelator . . . would need to be determined empirically” comports with the guidance from our reviewing court. *See* Ex. 1003 ¶ 67.

Moreover, both Petitioner and Dr. Taylor cite Das and Goldrick as examples of prior art that teaches an ordinarily skilled artisan “to use a chelator such as CDTA or EDTA at a concentration within the claimed range in aqueous solutions further comprising a chaotrope, a detergent, a reducing agent, and a buffer to preserve and stabilize nucleic acids.” Pet. 39–40 (citing Ex. 1008 ¶¶ 63–64, claims 6–7; Ex. 1009, 5:5–11, 7:5–10); Ex. 1002 ¶ 194 (citing the same). Thus, Petitioner has shown by a preponderance of the evidence that an ordinarily skilled artisan would have had a reason to change the concentration of the chelator in Birnboim’s Example 3.

Patent Owner further contends that the effect of decreasing the concentration of chelator in Birnboim’s Example 3 is unpredictable and “testing would be necessary.” PO Resp. 32–40. Relying on Dr. Taylor’s testimony that “the concentrations going up, going down . . . that would take

research,” Patent Owner argues that there would be no reasonable expectation of success. *See id.* at 36–37 (citing Ex. 2020, 399:22–400:12); *see also id.* at 33 (arguing that “the effect [of modifying Birnboim’s Example 3] would be unknown and testing would be necessary”) (citing Ex. 2020, 199:4–22). Patent Owner’s argument is unavailing.

Under the guidance of *Pfizer*, we find that, although there is some degree of unpredictability, “the mere possibility that [a chelator at certain concentration may not work] does not demand a conclusion that those that do are necessarily non-obvious.” 480 F.3d at 1366. This is especially true here, where Birnboim explicitly teaches a concentration range that overlaps with the claimed range. *See* Ex. 1003 ¶ 67 (also stating “other concentrations would work”). Moreover, other prior art of record confirms chelators at lower concentrations, including those that fall within or overlap with the claimed range, work for their intended purposes. *See* Ex. 1008 ¶¶ 63–64, claims 6–7 (teaching using EDTA in the range of 0.1–20 mM and specifically at 1 mM to extract DNA); Ex. 1009, 5:5–11, 7:33–47, 11:64–68 (teaching using EDTA at 0.1 mM for RNA preservation).

We also find Patent Owner’s reliance on Dr. Taylor’s testimony misplaced. Dr. Taylor testified that “the changing of -- keeping the chelator in that -- in that range should theoretically at least have no real effect on the . . . formulation.” Ex. 2020, 481:6–13. He also testified that based on his own experience in using chelators, he did not see a problem in “[i]ncreasing or decreasing” the concentration of chelators, even though “there would have to be experimental work to prove it.” *Id.* at 481:24–482:21; *see also id.* at 199:19–22 (Dr. Taylor testifying that “testing out the concentrations . . . would need to be done by laboratory work”). But, as in *Pfizer*, the

experimental work Dr. Taylor referred to in his testimony is the type an ordinarily skilled artisan would have routinely used to verify the expectation of success, which is different from “the trial and error procedures often employed to *discover* a new compound where the prior art gave no motivation or suggestion to make the new compound nor a reasonable expectation of success.” *See Pfizer*, 480 F.3d at 1367.

Indeed, the experimentation needed to arrive at the subject matter of claim 4, that is, changing the chelator concentration to one taught in Birnboim, is “nothing more than routine application of a well-known problem-solving strategy” and not the work “of an inventor.” *Id.* at 1368 (internal quotation marks omitted). Thus, the facts of this case show an ordinarily skilled artisan would have had a reasonable expectation of success that 1 mM chelator, such as CDTA, would work for its intended purpose.

In sum, Petitioner demonstrates by a preponderance of the evidence that Birnboim teaches or suggests all limitations of claim 4, and that an ordinarily skilled artisan would have had a reason to implement these teachings to arrive at the subject matter of claim 4 with a reasonable expectation of success. Patent Owner does not present evidence on objective indicia of nonobviousness. Thus, for the reasons discussed above, we determine Petitioner demonstrates by a preponderance of the evidence that claim 4 would have been obvious over Birnboim.

#### 4. Claims 6, 8–14, 21–30, 32, 33, and 35

Petitioner asserts that Birnboim renders obvious claims 6, 8–14, 21–30, 32, 33, and 35. Pet. 24–25, 27–35, 41–47, 49–50. Petitioner provides a detailed analysis, showing that Birnboim teaches the additional limitations recited in these claims, and that an ordinarily skilled artisan would have had

a reason to combine or modify Birnboim's teachings to arrive at the claimed invention with a reasonable expectation of success. *Id.* (citing Ex. 1002 ¶¶ 117–119, 123–166, 169–178; Ex. 1003, Abstract, ¶¶ 4, 11, 19–21, 24, 27, 43, 60, 61, 64, 66–68, 73, 77, 84, 88, 92, 109, 114–122, Figs. 10, 11; Ex. 1021, 2:30–37).

Patent Owner does not address these claims separately in its Response. In our Decision to Institute, we warned that “[a]ny argument not raised in a timely Patent Owner Response to the Petition, or as permitted in another manner during trial, shall be deemed waived even if asserted in the Preliminary Response.” DI 29. Thus, we agree with Petitioner that Patent Owner has waived any argument for these claims. Reply 15; *see also In re NuVasive, Inc.*, 842 F.3d 1376, 1380–81 (Fed. Cir. 2016) (holding patent owner waived arguments on issues not raised in its response after institution).

After reviewing the record, we agree with Petitioner's analyses and adopt them as our own. *See* Pet. 24–25, 27–35, 41–47, 49–50. Thus, we determine Petitioner demonstrates by a preponderance of the evidence that Birnboim renders obvious claims 6, 8–14, 21–30, 32, 33, and 35.

### 5. Summary

After reviewing the record, we determine Petitioner demonstrates by a preponderance of the evidence that Birnboim teaches or suggests all limitations of claims 1, 2, 4–14, 21–30, 32, 33, and 35, and that an ordinarily skilled artisan would have had a reason to implement these teachings to arrive at the subject matter of those claims with a reasonable expectation of success. Patent Owner does not present evidence on objective indicia of nonobviousness. Thus, for the reasons discussed above, we determine

Petitioner demonstrates by a preponderance of the evidence that claims 1, 2, 4–14, 21–30, 32, 33, and 35 would have been obvious over Birnboim.

*F. Alleged Obviousness over Birnboim and Chen*

Petitioner argues that the combination of Birnboim and Chen renders claim 3 obvious. Pet. 51–52. Claim 3 depends from claim 2 and recites the “reducing agent comprises tris(2-carboxyethyl)phosphine.” Ex. 1001, 32:59–60. Tris(2-carboxyethyl)phosphine is abbreviated as TCEP. *Id.* at 4:61–63.

Petitioner refers to Birnboim for teaching  $\beta$ -ME and DTT as exemplary reducing agents for use with its compositions. Pet. 51 (citing Ex. 1003 ¶ 70). In addition, Petitioner refers to Chen for teaching a nucleic acid preserving solution comprising a reducing agent that includes  $\beta$ -ME, DTT, or TCEP. *Id.* (citing Ex. 1027 ¶ 23). According to Petitioner, “[t]he simple substitution of the reducing agent(s) disclosed in Birnboim for TCEP, as disclosed in Chen, would have yielded predictable results.” *Id.* (citing Ex. 1002 ¶ 245); *see also id.* (arguing TCEP is a well-known reducing agent in nucleic acid preserving solutions and “a POSA would have recognized that TCEP would be a beneficial reducing agent for use in Birnboim’s solution”) (citing Ex. 1031, 7:14–16); *id.* at 52 (“[C]laim 3 is merely the predictable result of a simple substitution of known elements.”) (citing *KSR*, 550 U.S. at 416).

Patent Owner presents the same counter arguments as those presented in addressing claim 2. *Compare* PO Resp. 37–39, *with id.* at 48–49. For the same reasons explained above, we are not persuaded by Patent Owner’s arguments. *See supra* Section V.E.2.

In sum, Petitioner demonstrates by a preponderance of the evidence that the combination of Birnboim and Chen teaches or suggests all limitations of claim 3, and that an ordinarily skilled artisan would have had a reason to implement these teachings to arrive at the subject matter of claim 3 with a reasonable expectation of success. *See* Pet. 51–52. Patent Owner does not present evidence on objective indicia of nonobviousness. Thus, we determine Petitioner demonstrates by a preponderance of the evidence that claim 3 would have been obvious over Birnboim and Chen.

*G. Alleged Obviousness over Birnboim and Mori*

Petitioner argues that the combination of Birnboim and Mori renders claim 15 obvious. Pet. 52–55. Claim 15 depends from claim 1 and recites that the composition further comprises “a defoaming agent that comprises a silicone polymer or a polysorbate.”

Petitioner relies on Mori for teaching defoaming agents. *Id.* at 53 (citing Ex. 1011, 58, 59, 64). According to Petitioner, an ordinarily skilled artisan “would have been motivated to use a defoaming agent as disclosed in Mori in Birnboim’s aqueous solution” and would have had a reasonable expectation of success in doing so. *Id.* at 53–55 (citing Ex. 1002 ¶¶ 252, 255).

Patent Owner does not address claim 15 separately in its Response. Thus, we agree with Petitioner that Patent Owner has waived any argument regarding the patentability of this claim. Reply 15.

After reviewing the record, we agree with Petitioner’s analysis and adopt it as our own. *See* Pet. 52–55. Specifically, we find Petitioner has met its burden in showing some reasoning for combining the teachings of Birnboim and Mori. Indeed, Birnboim teaches that, after the nucleic acid

preserving composition is combined with the sample and introduced into a container, the container is “vigorously shaken” to place the nucleic acid into a “preserved state.” Ex. 1003 ¶¶ 110, 113. Similarly, Mori teaches “homogenization treatment,” including high-speed stirring and sonication, “[i]n the step of obtaining a sample solution containing nucleic acids from a sample by lysis of cell membrane and nuclear membrane to thereby solubilize nucleic acids.” Ex. 1011, 59.

Recognizing that shaking causes foaming, Mori teaches “where cell membrane and nuclear membrane are dissolved . . . it is preferred that an antifoaming agent (defoaming agent) is contained in a sample solution containing nucleic acid.” *Id.* at 64. In addition, Dr. Taylor testifies “[t]he use of defoaming agents to reduce bubbles and foaming in nucleic acid preserving solutions was well known in the prior art.” Ex. 1002 ¶ 253 (citing Ex. 1012, Abstract, ¶¶ 1, 41).

For example, Moon explains that foaming occurs “during mechanical agitation, including mixing, transferring, movement through tubing, dispensing, etc.” Ex. 1012 ¶ 41. According to Moon, “[f]oam and bubble formation can block or interfere with the detection or transfer of reagent” in, for example, PCR. *Id.* Moon teaches “[t]he presence of an antifoam agent in the reaction mixture prevents or reduces these effects, thereby allowing for increased accuracy of measuring of the contents of a mixture.” *Id.*; *see also id.* ¶ 52 (teaching silicone-based defoaming agents for “improved performance in high foaming detergent compositions”).

Moreover, as Petitioner points out, “[a] POSA would have also understood that ingredients such as detergents used to lyse cells and denature proteins may exacerbate foaming upon agitation.” Pet. 54 (citing Ex. 1002



¶ 254; Ex. 1013, 4.4.7; Ex. 1014, 20.2.6). Indeed, prior art Petitioner relies on teaches “[g]lycerol and Triton X-100 tend to cause foaming during sonication, thus reducing its effectiveness” (Ex. 1014, 20.2.6), and suggests “care should be taken to avoid foaming the lysate (which contains SDS) during sonication” (Ex. 1013, 4.4.7). Thus, we are persuaded that an ordinarily skilled artisan would have had a reason to add Mori’s defoaming agent into Birnboim’s composition.

And the ordinarily skilled artisan would have had a reasonable expectation of success in doing so, because Mori teaches, in a nucleic acid solubilizing composition, using a defoaming agent along with the same categories of ingredients in Birnboim: chaotropes, reducing agents, nuclease inhibitors, and buffers. Ex. 1011, 58, 63, 66; *see also* Ex. 1012 ¶¶ 41, 52, 67–90 (teaching using defoaming agents in similar compositions).

In sum, after reviewing the record, we determine Petitioner demonstrates by a preponderance of the evidence that the combination of Birnboim and Mori teaches or suggests all limitations of claim 15, and that an ordinarily skilled artisan would have had a reason to implement these teachings to arrive at the subject matter of claim 15 with a reasonable expectation of success. Thus, for the reasons discussed above, we determine Petitioner demonstrates by a preponderance of the evidence that claim 15 would have been obvious over Birnboim and Mori.

*H. Alleged Obviousness over Birnboim and Helftenbein*

Petitioner argues that the combination of Birnboim and Helftenbein renders claim 16 obvious. Pet. 55–56. Claim 16 recites “[t]he composition of claim 1, further comprising a population of isolated polynucleotides that comprises RNA, DNA, or a combination thereof.”

Petitioner refers to Birnboim's Examples 5 and 6 for using a highly purified sample of DNA as a control. *Id.* at 56 (citing Ex. 1003 ¶¶ 119, 121). Petitioner also refers to Helftenbein for teaching the use of carrier DNA or RNA as an internal standard to its nucleic acid-stabilizing substance ("N-sS"). *Id.* (citing Ex. 1019, 2:60–63). According to Petitioner, Helftenbein teaches adding naked MS2-RNA as a positive control to the composition in Examples 5–8. *Id.* (citing Ex. 1019, 6:27–8:36, 8:64–9:5). Thus, Petitioner contends "[i]n view of Helftenbein, a POSA would have been motivated to use carrier DNA or RNA as an internal positive control in Birnboim's composition with a reasonable expectation of success." *Id.* (citing Ex. 1002 ¶¶ 258–264).

Patent Owner disagrees. PO Resp. 50–51. Patent Owner further contends that "Helftenbein does not provide a motivation to modify Birnboim." *Id.* at 50. We are not persuaded by this argument.

In an obviousness analysis, we need not seek out "precise teachings" in the prior art; instead, we "can take account of the inferences and creative steps that a person of ordinary skill in the art would employ." *KSR*, 550 U.S. at 418. Moreover, Helftenbein teaches that adding internal control to the N-sS "permits the control of the whole method from the moment of sampling up to the detection of nucleic acids." Ex. 1019, 2:60–63. We find this explicit statement, in fact, amounts to the "precise teachings" and provides the reasoning for an ordinarily skilled artisan to modify Birnboim by adding internal control to the sample. *See* Reply 21.

Patent Owner further contends that "Helftenbein's Examples 5–8 disclose testing Helftenbein's 'serum' on separate samples of MS2-RNA as a control, *not including the MS2-RNA in the serum itself*." PO Resp. 50

(citing Ex. 1019, 6:27–9:37; Ex. 2033 ¶ 61). Thus, Patent Owner argues that the MS2-RNA “does not operate as an internal control.” Sur-reply 15. For the reasons explained below, we disagree with Patent Owner’s arguments.

First, claim 16 only recites that the composition further comprises “a population of isolated polynucleotides that comprises RNA, DNA, or a combination thereof;” it does not mention an internal control. Petitioner argues that Helftenbein teaches carrier DNA or RNA, and specifically naked MS2-RNA. Pet. 56 (citing Ex. 1019, 2:60–63, 6:27–8:36, 8:64–9:37). Patent Owner does not dispute this assertion.

Second, Patent Owner appears to have misunderstood Helftenbein’s teaching and/or Petitioner’s argument. Petitioner relies on Helftenbein for teaching N-sS. *Id.* at 56 (citing Ex. 1019, 2:60–63). In Examples 5–8, Helftenbein teaches mixing N-sS with serum, and adding MS2-RNA as a control. Ex. 1019, 6:32–35, 6:52–56, 7:17–19, 8:16–18. In other words, serum is the sample, containing the nucleic acid to be extracted and stabilized. Claim 16 requires the claimed composition, not the sample, to further comprise “a population of isolated polynucleotides that comprises RNA, DNA, or a combination thereof.” Thus, the fact that the serum in Helftenbein does not include MS2-RNA is irrelevant.

Third, to the extent Patent Owner means to argue Helftenbein does not teach including the MS2-RNA in N-sS, we are not persuaded. According to the ’240 patent, in certain embodiments, nucleic acids can be added to the claimed composition for a variety of purposes, including “as an internal positive control for downstream molecular processes and to track or monitor the fidelity of the nucleic acid preparation from sample collection to

detection.” Ex. 1001, 6:1–4, 6:8–11. This is the only mention of “internal” positive control in the ’240 patent.

Indeed, in explaining Figure 8A, which “depicts the real-time RT-PCR analysis of ‘naked’ influenza A avian H5 RNA template preserved in PrimeStore™ Solution after incubation in RNA/DNA nucleases,” the ’240 patent states “[r]eal-time RT-PCR Cycle threshold (CT) values of naked RNA preserved in PrimeStore with added nucleases . . . were similar to an equal quantity of template cRNA control . . . . Template cRNA reactions subjected to nuclease digestion without PrimeStore™ were almost completely degraded.” *Id.* at 12:51–63. In other words, here, the ’240 patent discloses an RNA control that is not part of the claimed composition.

Similarly, in explaining Figure 8C, the ’240 patent states “Lane 5 amplification of positive control RNA. Lane 5 (no amplification) is RNA without PrimeStore™.” *Id.* at 13:12–14. Putting aside the apparently contradictory statements regarding amplification of the RNA in lane 5, this description of Figure 8C suggests the “positive control RNA” therein also is not part of the claimed composition.

Thus, other than a general statement (*id.* at 6:8–11), the ’240 patent does not otherwise discuss including an “internal” positive control in the claimed composition. Instead, it only describes control DNA and RNA that are not part of the claimed composition. *See id.* at 12:51–63, 13:12–14. This reflects Patent Owner’s “own view of the ordinary skill in the art at the time it filed the application that led to the [’240] patent and it does so not by what the [’240] patent discloses but by what it *does not* disclose.” *Cf. Abbott Labs. v. Andrx Pharms., Inc.*, 452 F.3d 1331, 1341 (Fed. Cir. 2006).

With this understanding, we revisit Helftenbein, which teaches adding naked MS2-RNA as a positive control to the mixture of N-sS and serum. Ex. 1019, 6:48–8:36, 8:64–9:5. Considering Patent Owner’s own view of ordinary skill at the relevant time, as discussed above, we find that an ordinarily skilled artisan would have had a reason to include an internal positive control. This is further supported by Helftenbein, which teaches adding an “*internal* standard” to N-sS. *Id.* at 2:60–61 (emphasis added). The “internal standard” in Helftenbein serves the same purpose as the “internal positive control” required in challenged claim 16. *Compare* Ex. 1019, 2:61–63 (Helftenbein teaching the “internal standard” “permits the control of the whole method from the moment of sampling up to the detection of nucleic acids”), *with* Ex. 1001, 6:8–11 (the ’240 patent disclosing “an internal positive control for downstream molecular processes and to track or monitor the fidelity of the nucleic acid preparation from sample collection to detection”).

Patent Owner points out that the controls in Birnboim’s Examples 5 and 6 are not included in the composition of Birnboim’s Example 3. PO Resp. 50 (citing Ex. 1003 ¶ 115; Ex. 2033 ¶ 60). But Petitioner relies on Helftenbein, and not Birnboim, for teaching the addition of carrier RNA or DNA to the nucleic acid-stabilizing substance. Pet. 56 (citing Ex. 1019, 2:60–63). Thus, we are satisfied with Petitioner’s showing that the combination of Birnboim and Helftenbein teaches including carrier RNA or DNA in the claimed composition.

In sum, we find Helftenbein teaches or suggests an internal positive control, and an ordinarily skilled artisan would have had a reason to include such an internal positive control in Birnboim’s composition. As a result, we

determine Petitioner demonstrates by a preponderance of the evidence that claim 16 would have been obvious over Birnboim and Helftenbein.

*I. Alleged Obviousness over Birnboim and Chirgwin*

Petitioner argues that the combination of Birnboim and Chirgwin renders claim 17 obvious. Pet. 57–59. Claim 17 depends from claim 1 and recites specific reagents from the five categories of reagents recited in claim 1, each at a specific concentration.

Petitioner asserts that the composition of claim 17 is “nearly identical to the one disclosed by Chirgwin in 1979.” *Id.* at 57 (citing Ex. 1002 ¶ 268; Ex. 1015). Petitioner provides the following table comparing the compositions of claim 17 and of Chirgwin:

<b>'240 Patent, Claim 17</b>	<b>Chirgwin's Composition</b>
a) 4 M guanidine thiocyanate [chaotrope]	4M guanidinium thiocyanate
b) 30 mM sodium citrate [chelator]	25 mM sodium citrate
c) SDS & d) N-lauroyl sarcosine, each at 0.25% wt./vol. [detergents]	0.5% [wt./vol.] N-lauroyl sarcosine
e) 0.1 M 2-mercaptoethanol [reducing agent]	0.1 M 2-mercaptoethanol
f) 0.1% wt./vol. silicone polymer [defoaming agent]	0.1% [wt./vol.] Antifoam A

The table above compares the compositions of claim 17 and Chirgwin, as provided by Petitioner. *Id.* (citing Ex. 1015, 5294–95); *see also* Reply 21 (presenting another comparing the compositions of claim 17 and

Chirgwin). According to Petitioner, “[o]nly insubstantial differences exist between claim 17 and Chirgwin’s composition,” and those differences are mere “routine modification to the detergents and to the concentration of the chelator.” Pet. 57–58 (citing Ex. 1002 ¶¶ 268, 269).

For the concentration of the chelator, Petitioner points to prior art of record teaching “30 mM to be an optimal concentration for sodium citrate.” *Id.* at 58 (citing Ex. 1010, 14:9–11). Petitioner contends that an ordinarily “skilled artisan would have been motivated to modify the sodium citrate concentration to 30 mM and would have had a reasonable expectation of success in doing so.” *Id.* (citing Ex. 1002 ¶ 269).

For the detergents, Petitioner acknowledges Chirgwin’s composition only includes 0.5% N-lauroyl sarcosine. *Id.* Petitioner, however, refers to Birnboim for including “one or more denaturing agents” in its composition and listing SDS among the denaturing agents that can be used “alone or in combination.” *Id.* (citing Ex. 1003 ¶¶ 65, 68). Petitioner also refers to Koller for using 0.5% sarkosyl in “a formulation nearly identical to Chirgwin’s.” *Id.* (citing Ex. 1016, 19:19–24). According to Petitioner, Koller states that the type of detergent used “is not critical,” and that “those skilled in the art” would understand that other detergents such as SDS can also be used and “would likely prove equally as effective.” *Id.* (citing Ex. 1016, 8:12–16). Thus, Petitioner concludes “it would have been obvious to use both SDS and N-lauroyl sarcosine, each at 0.25% wt./vol., which renders obvious the detergents recited by Claim 17.” *Id.* at 58–59 (citing Ex. 1002 ¶¶ 270, 271).

Patent Owner contends “[c]laim 17 is not obvious for the reasons discussed above in relation to claim 2, claim 4, claim 5, and claim 7 that a POSA would not be motivated to modify any one of the reducing agent,

chelator concentration, chaotrope, or chelator of Birnboim Example 3.” For the same reasons explained above in relation to claims 2, 4, 5, and 7, we reject this argument. *See supra* Sections V.E.2, V.E.3.

Patent Owner also contends that Petitioner does not rely on Chirgwin as the primary reference. PO Resp. 52. According to Patent Owner, “Chirgwin does not disclose a composition that performs the functional limitations of the composition of [’]240 claim 1,” because Chirgwin describes, for example, homogenizing the sample, and uses DEPC to prevent RNA degradation. *Id.* at 52–53 (citing Ex. 1015, 5295–96). We, again, disagree with Patent Owner’s argument.

As a preliminary matter, where an obviousness challenge “is predicated on two references each containing pertinent disclosure which has been pointed out to [Patent Owner], we deem it to be of no significance, but merely a matter of exposition, that the [challenge] is stated to be on A in view of B instead of on B in view of A, or to term one reference primary and the other secondary.” *In re Bush*, 296 F.2d 491, 496 (CCPA 1961). Thus, it matters not whether Petitioner relies on Chirgwin as primary reference.

We also disagree with Patent Owner that “Chirgwin does not disclose a composition that performs the functional limitations of the composition of [’]240 claim 1.” PO Resp. 52. As explained above, by using the disjunctive “or” to connect the recited functions, the plain language of claim 1 requires each component reagent present in an amount sufficient to perform at least one of the recited functions, not all of them. *See supra* Section V.C.1. There is no dispute that each well-known reagent in Chirgwin performs at least one well-understood function recited in claim 1.



Moreover, as Petitioner correctly points out, the composition taught in Chirgwin is nearly identical to that of claim 23. *See* Pet. 57; Reply 21. We also find that (1) Chirgwin's citrate concentration of 25 mM, although slightly less than, is close to, the claimed 30 mM, and thus, any functional difference would be expected to be insubstantial; and (2) the difference between Chirgwin's 0.5% N-lauroyl sarcosine versus the claimed SDS and N-lauroyl sarcosine, each at 0.25%, is not critical (*see, e.g.*, Ex. 1016, 8:12–16). Furthermore, the function of Chirgwin's composition to isolate intact RNA from liver cells indicates that it rapidly denatures protein, inactivates nucleases, and prevents degradation of a nucleic acid, while, in extracting RNA from liver cells, indicates an ability to kill pathogens. *See* Ex. 1015, 5294.

Patent Owner's reliance on the language in Chirgwin requiring homogenizing the sample is misplaced. *See* PO Resp. 52–53 (citing Ex. 1015, 5295–96). After all, the '240 patent also teaches homogenization when the sample is a large piece of tissue. *See* Ex. 1001, 11:64–67, 23:51–54. Patent Owner is also mistaken in stating that Chirgwin requires DEPC to prevent RNA degradation. *Id.* (citing Ex. 1015, 5296). To the contrary, Chirgwin states that the “deleterious effects” of DEPC “led us to develop the improved guanidinium thiocyanate method described here.” Ex. 1015, 5296–97. Indeed, Patent Owner's own declarant confirmed that Chirgwin does not use DEPC. Ex. 1064, 682:18–683:4.

Patent Owner argues that the challenge of claim 17 “requires modifying each one of the chaotrope, chelator, and reducing agent in Birnboim Example 3, as well as adding a defoaming agent.” PO Resp. 52. Patent Owner points to a footnote of our Decision to Institute in a related

case, where we stated that “we agree with Patent Owner that an ordinarily skilled artisan ‘would not have used the Birnboim Example 3 composition as a starting point and arrived at the composition of claim 48,’ because ‘doing so would have required substituting the chaotrope . . . the reducing agent, and the chelator.’” IPR2021-00847, Paper 13, 27 n.22

(quoting IPR2021-00847 Prelim. Resp. (Paper 8) 36). Relying on that statement, Patent Owner argues that Petitioner provides no reason to modify all three components in Birnboim’s Example 3 together to arrive at the composition of claim 17. PO Resp. 51–52.

Patent Owner appears to have misunderstood footnote 22 in our Decision to Institute in IPR2021-00847. There, we merely agreed with Patent Owner that an ordinarily skilled artisan would not have started with Birnboim’s Example 3. But for its obviousness challenge, Petitioner relies on the general teachings of Birnboim, not just Example 3. Indeed, Petitioner cites previous section of the Petition, which in turn cite to teachings throughout Birnboim. *See* Pet. 59 (relying on Birnboim’s general teaching of “a compilation of well-known compounds,” and not just Example 3’s specific set).

In its Sur-reply, Patent Owner continues to characterize the Petition as relying on modifying Birnboim’s Example 3. *See* Sur-reply 4–5. With this misinterpretation, Patent Owner relies on cases that are inapposite. *Id.* at 4–5, 8–9, 12 (citing *DSS Tech. Mgmt., Inc. v. Apple Inc.*, 885 F.3d 1367 (Fed. Cir. 2018); *Intel Corp. v. Tela Innovations, Inc.*, IPR2019-01521, Paper 65 at 9 (PTAB Mar. 9, 2021)).

For example, in *DSS*, the Federal Circuit reversed the Board’s obviousness finding because the Board “relied on ordinary creativity as a

wholesale substitute for reasoned analysis and evidentiary support, and did so when dealing with a limitation missing from the prior art references specified.” 885 F.3d at 1377 (internal quotation marks omitted). In the instant case, however, no limitation is missing and no modification is required. Indeed, Petitioner maps the specific reagents at the specific concentrations recited in claim 17 to the prior art of record. Pet. 57–59. As a result, *DSS* is distinguishable.

Patent Owner’s reliance on *Intel* is similarly misplaced. There, the Board found the petitioner did not sufficiently establish that an ordinarily skilled artisan “would have combined and modified the *different embodiments*” depicted in separate figures. *Intel*, Paper 65 at 9 (emphasis added). Here, Petitioner relies on not different embodiments, but the general teachings, of Birnboim and Chirgwin. Thus, *Intel* is distinguishable too.

In sum, we find persuasive Petitioner’s mapping of claim 17’s limitations to prior art’s teachings and its argument why an ordinarily skilled artisan would have modified any insubstantial differences between the prior art teaching and the claimed composition. See Pet. 57–59; Reply 21–23. We adopt Petitioner’s analysis as our own, and accordingly, determine Petitioner demonstrates by a preponderance of the evidence that claim 17 would have been obvious over Birnboim and Chirgwin.

*J. Alleged Obviousness over Birnboim, Das, Chen, and Wangh*

Petitioner argues that the combination of Birnboim, Das, Chen, and Wangh teaches the claimed compounds and overlapping concentrations, and thus, renders claims 18–20 obvious. Pet. 60–63 (citing Ex. 1002 ¶¶ 283–286; Ex. 1008 ¶ 63; Ex. 1022, 8:8–18; Ex. 1027 ¶¶ 12–13, 23–24, 26). Each of

claims 18–20 depends from claim 1 and recites specific reagents, each at a specific concentration or a range of concentrations.

Petitioner contends that the combination of Birnboim, Das, Chen, and Wangh teaches or suggests each of the recited reagents and concentrations. *Id.* at 61–62. According to Petitioner, “[b]ecause the prior art discloses the claimed ingredients and overlapping concentrations, claims 18–20 would have been obvious as a matter of routine optimization.” *Id.* at 63 (citing *E.I. DuPont*, 904 F.3d at 1006).

Patent Owner’s counterarguments are similar to those presented when addressing claim 17. *Compare* PO Resp. 51–53, *with id.* at 54–55. For the same reasons explained above, we are not persuaded by Patent Owner’s arguments. *See supra* Section V.I.

Patent Owner also argues that “Petitioner provides no reason why a POSA would undertake to modify each one of the chaotrope, chelator, and reducing agent of Birnboim’s Example 3 together while also adding a defoaming agent as recited in claims 18–20.” PO Resp. 55. Citing *In re Fine*, Patent Owner asserts Petitioner has “use[d] hindsight reconstruction to pick and choose among isolated disclosures in the prior art to deprecate the claimed invention.” *Id.* (quoting 837 F.2d 1071, 1075 (Fed. Cir. 1988) (brackets added by Patent Owner)). We disagree with Patent Owner’s argument.

*Fine* is materially different from this case, at least because in that case, one of the two prior-art references to be combined warned against using the teachings of the other. *Fine*, 837 F.2d at 1074. Here, none of the prior art Petitioner relies on contains such warning; instead, they all compile overlapping, well-known compounds long in use according to their

well-understood functions. Indeed, each of Birnboim, Das, Chen, and Wangh teaches compositions having chaotropes, detergents, reducing agents, chelators, and buffers. *See* Ex. 1003 ¶¶ 64, 68, 115; Ex. 1008 ¶¶ 63–64, 89; Ex. 1022, 8:8–18; Ex. 1027 ¶¶ 11–12, 17–23. For example, each asserted prior art teaches guanidium salts as a chaotropic agent (Ex. 1003 ¶ 68; Ex. 1008 ¶ 38; Ex. 1022, 7:24–25; Ex. 1027 ¶ 12) and EDTA as a chelator (Ex. 1003 ¶ 16; Ex. 1008 ¶¶ 63–64, 89; Ex. 1022, 23:28; Ex. 1027 ¶ 19). In addition, Das and Wangh teach using sodium citrate in their compositions. Ex. 1008 ¶¶ 61–62, 80; Ex. 1022, 8:8–18, 13:19–20, 19:23–27; *see also* Ex. 1009, 4:34–35; Ex. 1015, 5294–95; Ex. 1016, 19:19–24, 20:16–23; Ex. 1019, 3:22–23; Ex. 1026, 85, 89 (other prior art references teaching using sodium citrate in their compositions). Moreover, Chen teaches including a defoaming agent in its composition. Ex. 1027 ¶ 24; *see also* Ex. 1011, 64; Ex. 1012 ¶¶ 41, 52 (other prior art references teaching using defoaming agent in their compositions).

“Any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning, but so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made and does not include knowledge gleaned only from applicant’s disclosure, such a reconstruction is proper.” *In re McLaughlin*, 443 F.2d 1392, 1395 (CCPA 1971). Here, the evidence of record shows an ordinarily skilled artisan at the relevant time would have understood the well-known functions of the overlapping compounds in each recited category of reagents. Thus, the alleged reconstruction through picking and choosing by Petitioner is not improper.

In sum, we find persuasive Petitioner’s mapping of the limitations of claims 18–20 to prior art’s teachings and its argument why an ordinarily skilled artisan would have modified any insubstantial differences between the prior art teaching and the claimed composition. *See* Pet. 60–63. We adopt Petitioner’s analysis as our own, and accordingly, determine Petitioner demonstrates by a preponderance of the evidence that claims 18–20 would have been obvious over Birnboim, Das, Chen, and Wangh.

*K. Alleged Obviousness over Birnboim and Koller*

Petitioner argues that the combination of Birnboim and Koller renders claim 31 obvious. Pet. 64–66. Claim 31 depends from claim 21. Both claims are reproduced below.

21. A method for obtaining a population of polynucleotides from a sample Suspected of containing nucleic acids, comprising contacting the sample with an amount of a composition in accordance with claim 1, under conditions effective to obtain a population of polynucleotides from the sample.

31. The method of claim 21, wherein less than about 5% of the population of polynucleotides contained in the sample is degraded after the composition comprising the sample has been stored at a temperature of from about 10°C. to about 40°C. for a period of about 7 to about 30 days.

Ex. 1001, 34:10–14, 34:53–57.

Petitioner argues that, “as explained for claims 1, 4, and 9,” Birnboim teaches using the same categories of reagents to accomplish the same objective as the ’240 patent discloses. *Id.* at 65. Petitioner asserts that in Examples 4 and 6, Birnboim teaches contacting samples with the compositions of Example 3 and maintaining the mixtures at room temperature for periods of 14 days and 30 days, respectively, which satisfies

the duration and temperature limitations of claim 31. *Id.* (citing Ex. 1003 ¶¶ 117, 121). According to Petitioner, Birnboim then confirms, via electrophoresis and PCR, that nucleic acids are not degraded, and remain stable over these time periods. *Id.* (citing Ex. 1003 ¶¶ 117, 121).

Petitioner further asserts Koller teaches cells lysed in its composition can be stored at room-temperature for “up to 6–8 months and perhaps longer *without degradation of nucleic acids.*” *Id.* at 66 (quoting Ex. 1016, 12:18–25, 23:10–15). Citing Dr. Taylor’s testimony, Petitioner argues that “[a] POSA would understand Koller’s disclosure of nucleic acid as ‘not degraded’ and ‘without degradation’ to be within the scope of claim 31 since *no degradation* is ‘less than 5% degradation.’” *Id.* (citing Ex. 1002 ¶ 292). Thus, Petitioner concludes “a POSA would have reasonably expected success in achieving less than 5% degradation of the population of DNA contained in Birnboim’s samples after being stored at room temperature for periods of 14 days or 30 days based on Koller’s demonstrated results with a highly similar composition.” *Id.* (citing Ex. 1002 ¶¶ 288–294).

Patent Owner disagrees. PO Resp. 46–48. According to Patent Owner, “Birnboim is silent regarding the percentage of polynucleotides preserved,” and thus, “[a] POSA would have to assume—without basis—that less than 5% of the population of polynucleotides was degraded.” *Id.* at 46–47 (citing Ex. 2033 ¶ 52). Patent Owner also argues that “Koller uses a different composition than Birnboim Example 3, and a POSA would expect different results.” *Id.* at 47 (citing Ex. 2033 ¶ 53). We are not persuaded by Patent Owner’s arguments.

First, Birnboim teaches its compositions “for preserving nucleic acids at room temperature for extended periods of time.” Ex. 1003 ¶ 2. This

suggests that, contrary to Patent Owner’s argument, the nucleic acids preserved with Birnboim’s compositions are stable.

Second, we repeat that Petitioner relies on Birnboim’s general teachings, and not just Example 3. Thus, Patent Owner’s emphasis that Koller’s composition is different from Birnboim Example 3’s is irrelevant. Instead, as Petitioner points out, Koller teaches nucleic acid releasing compositions containing chaotropes, detergents, reducing agents, and chelator salts (*see* Pet. 6 (citing Ex. 1016, 1:15–2:11, 7:1–5, 12:17–25, 19:19–24, 20:16–27)), the same categories of reagents as Birnboim’s and as claimed.

Third, Koller teaches cells lysed in its compositions can be stored at room-temperature for “up to 6–8 months and perhaps longer without degradation of nucleic acids.” Ex. 1016, 12:18–25. We find it reasonable to interpret “without degradation” to mean “less than 5% degradation.” Given Birnboim and Koller teach highly similar compositions, we are persuaded that an ordinarily skilled artisan would have reasonably expected the same “without degradation” result with Birnboim’s compositions.

In sum, we determine Petitioner demonstrates by a preponderance of the evidence that claim 31 would have been obvious over Birnboim and Koller.

*L. Alleged Obviousness over Birnboim, Chirgwin, and Farrell*

Petitioner argues that the combination of Birnboim, Chirgwin, and Farrell renders claim 34 obvious. Pet. 67–69. Claim 34 is directed to a method of preparing the aqueous composition of claim 1. It recites eight steps, but four steps are recited as optional. We, thus, do not consider them in the obviousness analysis. *See In re Johnston*, 435 F.3d 1381, 1384 (Fed.



Cir. 2006) (“As a matter of linguistic precision, optional elements do not narrow the claim because they can always be omitted.”). The other four steps are:

[(1)] combining said one or more chaotropes and nuclease-free water at a temperature of about 20° C. to 90° C.;

[(2)] then combining the dissolved said one or more chaotropes with one or more reducing agents, one or more chelators, and one or more detergents to form an intermediate composition;

[(3)] combining a sufficient amount of buffer to the intermediate composition to obtain a pH of about 6 to 6.9; and

[(4)] then increasing the temperature of the intermediate composition to about 60 to 95° C. for about 1 to 30 minutes and then lowering the temperature to ambient.

Ex. 1001, 35:1–19 (numbering added).

Citing Dr. Taylor’s testimony, Petitioner contends “[t]he recited method is no more than a conventional procedure to prepare the compositions taught in the prior art.” Pet. 67 (citing Ex. 1002 ¶ 299). Petitioner refers to Chirgwin for teaching combining the ingredients recited in steps (1) and (2) of claim 17. *Id.* (citing Ex. 1002 ¶ 300; Ex. 1015, 5294–95). According to Petitioner, it would have been obvious to combine the chaotrope with water before adding the other ingredients “as a simple matter of design choice.” *Id.* at 68 (citing Ex. 1002 ¶ 301). Referring to Farrell’s teachings of disadvantages of DEPC and desirability of nuclease-free water, Petitioner contends that it would have been obvious to use nuclease-free water instead of DEPC as in Chirgwin to render the solution nuclease free. *Id.* at 68–69 (citing Ex. 1002 ¶ 303; Ex. 1015, 5294; Ex. 1026, 55, 57).

Petitioner also argues that it would have obvious to include a buffer to obtain a pH of 6–6.9, as recited in step (3) (*id.* at 69 (citing Ex. 1002 ¶ 304; Ex. 1003 ¶ 19; Ex. 1015, 5295)); and to raise the temperature to 60–90° C for 1–30 minutes, as recited in step (4) (*id.* (citing Ex. 1002 ¶ 305; Ex. 1004, 189; Ex. 1015, 5295)).

Patent Owner does not dispute Petitioner’s reliance on Chirgwin and Farrell for teaching steps (1)–(4). We find Petitioner’s analysis on these limitations persuasive, and thus, adopt it as our own. *See* Pet. 67–69.

Patent Owner, however, argues that “even if Chirgwin in view of Farrell taught a method of preparing an aqueous composition, Petitioner has not shown that such method can prepare a composition meeting the limitations of claim 1.” PO Resp. 56. We are not persuaded by this argument.

We disagree with Patent Owner that Petitioner’s challenge of claim 34 “does not identify any composition to meet the ‘composition of Claim 1’ element.” *See id.* Indeed, throughout the Petition, Petitioner relies on Birnboim for teaching the composition of claim 1. Because “Birnboim does not describe mundane steps for mixing reagents,” Petitioner relies on Chirgwin to “demonstrate[] such methods were known in the art.” Pet. 67.

Patent Owner next repeats its argument that Petitioner has not shown why an ordinarily skilled artisan would have modified the composition of Birnboim’s Example 3. PO Resp. 56. As we repeatedly explained above, Petitioner relies on Birnboim’s general teachings, and not just Example 3. Birnboim’s composition comprises chaotrope, chelator, detergent, and reducing agent (*see, e.g.*, Ex. 1003 ¶ 64), the same reagents Chirgwin uses to

prepare its composition (Ex. 1015, 5294–95). And Chirgwin’s method, as modified in view of Farrell, follows the same steps as recited in claim 34.

As a result, we determine Petitioner demonstrates by a preponderance of the evidence that claim 34 would have been obvious over Birnboim, Chirgwin, and Farrell.

### *M. Summary*

After reviewing the entire record and weighing evidence offered by both parties, we determine that Petitioner has demonstrated by a preponderance of the evidence that claims 1–35 of the ’240 patent would have been obvious over the asserted prior art.<sup>26</sup>

## VI. REVISED CONTINGENT MOTION TO AMEND

Having determined that Petitioner has shown by a preponderance of the evidence that original claims 1–35 of the ’240 patent are unpatentable, we proceed to address Patent Owner’s Revised Contingent Motion to Amend.

### *A. Principles of Law Concerning a Motion to Amend*

In an *inter partes* review, amended claims are not added to a patent as of right, but rather must be proposed as a part of a motion to amend.

---

<sup>26</sup> Petitioner also argues that Birnboim anticipates claims 1, 2, 5–11, 16, 21–30, 32, 33, and 35. Pet. 9–35. Having determined that Petitioner has shown these claims would have been obvious over the asserted prior art, we do not address the anticipation ground. *See SAS Inst. Inc. v. Iancu*, 138 S. Ct. 1348, 1359 (2018) (holding a petitioner “is entitled to a final written decision addressing all of the claims it has challenged”); *Bos. Sci. Scimed, Inc. v. Cook Grp. Inc.*, 809 F. App’x 984, 990 (Fed. Cir. 2020) (recognizing that the “Board need not address issues that are not necessary to the resolution of the proceeding” and, thus, agreeing that the Board has “discretion to decline to decide additional instituted grounds once the petitioner has prevailed on all its challenged claims”).

35 U.S.C. § 316(d). Ordinarily, the petitioner “bears the burden of persuasion to show, by a preponderance of the evidence, that any proposed substitute claims are unpatentable.” 37 C.F.R. § 42.121(d)(2); *Lectrosonics, Inc. v. Zaxcom, Inc.*, IPR2018-01129, Paper 15 at 3–4 (PTAB Feb. 25, 2019) (precedential); *Bosch Auto. Serv. Sols. LLC v. Iancu*, 878 F.3d 1027, 1040 (Fed. Cir. 2017).

But before considering the patentability of the substitute claims, we first must determine whether the Revised MTA meets the statutory and regulatory requirements set forth in 35 U.S.C. § 316(d) and 37 C.F.R. § 42.121. Patent Owner bears the burden of persuasion to show that: (1) the amendment proposes a reasonable number of substitute claims; (2) the amendment responds to a ground of unpatentability involved in the trial; (3) the amendment does not seek to enlarge the scope of the claims of the patent or introduce new subject matter; and (4) the original disclosure sets forth written description support for each proposed claim. *Id.*; 35 U.S.C. § 316(d); 37 C.F.R. § 42.121(d)(1).

#### *B. Proposed Substitute Claims*

Patent Owner proposes substitute claims 36–70 to replace original claims 1–35. Revised MTA 1, App. A. Specifically, Patent Owner proposes substitute claims 36, 56, and 70 to replace original claims 1, 21, and 35, respectively. *Id.* at 2. According to Patent Owner, “[a]ll other amendments update the dependencies of certain dependent claims to depend from a corresponding substitute claim.” *Id.* at 3.

In support of their respective positions regarding the Motion to Amend, Patent Owner relies on the Declarations of Dr. DeFilippi

(Exs. 2033, 2042); and Petitioner relies on the Declarations of Dr. Taylor (Exs. 1071, 1082) and Christopher M. Beausoleil (Ex. 1077).

*C. Statutory and Regulatory Requirements*

A motion to amend must “propose a reasonable number of substitute claims.” 35 U.S.C. § 316(d)(1)(B); *see* 37 C.F.R. § 42.121(a)(3) (“A motion to amend may cancel a challenged claim or propose a reasonable number of substitute claims.”). “There is a rebuttable presumption that a reasonable number of substitute claims per challenged claim is one (1) substitute claim.” *Lectrosonics*, Paper 15 at 4; *see* 37 C.F.R. § 42.221(a)(3). Patent Owner proposes no more than one substitute claim for each challenged claim. Revised MTA 2; *see id.* at App. A. Petitioner does not argue otherwise. We determine that Patent Owner proposes a reasonable number of substitute claims.

“A motion to amend may be denied where . . . [t]he amendment does not respond to a ground of unpatentability involved in the trial.” 37 C.F.R. § 42.121(a)(2)(i). Patent Owner asserts that none of the references cited by Petitioner teaches or suggests the limitations added by the proposed amendments, and that the amended claims are patentable over the prior art of record. Revised MTA 11–24. Petitioner does not dispute that Patent Owner’s amendment responds to a ground of unpatentability in this trial. We determine that the amended language in the proposed substitute claims is responsive to a ground of unpatentability involved in this trial.

An amendment may not enlarge the scope of the claims of the patent or introduce new matter. 35 U.S.C. § 316(d)(3); 37 C.F.R. §§ 42.121(b)(1), 42.121(b)(2). Patent Owner argues that proposed amendments “are all narrowing amendments,” and, as a result, “[n]o substitute claim enlarges the

scope of the claim that it replaces.” Revised MTA 2. Petitioner does not contest Patent Owner’s arguments on this point. We determine that each proposed substitute claim includes narrowing limitations and does not enlarge the scope of the corresponding original claim. *See id.* at App. A.

Patent Owner also is required to show written description support in the original disclosure for each amended claim. 37 C.F.R. § 42.121(b). The ’240 patent issued from Patent Application No. 13/847,202 (Ex. 2023, “the ’202 application”). Ex. 1001, code (21). Pointing to paragraphs of the ’202 application, Patent Owner argues that “the proposed substitute claims are fully supported.” Revised MTA 4–7.

Petitioner argues that “[i]f the proposed limitation ‘wherein the sample is rendered entirely non-pathogenic and safe for human handling’ requires the claimed composition to clear every sample of every type of pathogenic agent,” the limitation would lack written description support, in addition to be indefinite and non-operative. Second MTA Opp. 20–22; MTA Sur-reply 9–12. We do not address this argument because, as explained below, we do not interpret the proposed limitation to require inactivation of every type of pathogen. *See infra* Section VI.D.2.

After reviewing Patent Owner’s identification (*see* Revised MTA 4–7), we are satisfied that, under proper claim construction, the ’202 application provides sufficient written-description support for proposed substitute claims 36–70.

In sum, the Revised MTA meets the statutory and regulatory requirements set forth in 35 U.S.C. § 316(d) and 37 C.F.R. § 42.121.

*D. Additional Limitations of Proposed Substitute Claims*

As explained above, Petitioner has shown by a preponderance of the evidence that the asserted prior art teaches each limitation of original claims 1–35. *See supra* Sections V.E–V.L. For the same reasons provided there, we find that the prior art asserted in the Petition challenging the original claims teaches the limitations of proposed substitute claims 36–70 that are identical to those of claims 1–35. We focus our discussion here on the additional limitations of proposed substitute claims 36–70.

1. Endogenous and Exogenous Nucleases

Proposed substitute claims 56 and 70 require the claimed composition to inactivate “endogenous and exogenous nucleases” and “endogenous and exogenous RNases and DNases,” respectively. Patent Owner contends that Birnboim does not teach inactivating exogenous nucleases. Revised MTA 13. We disagree.

Birnboim explains that, in the digestive tract, DNases and RNases are found in secretions of the pancreas and cells of the salivary gland and buccal mucosa. Ex. 1003 ¶ 68. According to Birnboim, “microorganisms resident in the mouth or from recently ingested foods may contain” DNases and RNases. *Id.* Birnboim states that chelators, including EDTA, and those stronger than EDTA, such as cyclohexane diaminetetraacetate (CDTA) and diethylenetriamine pentaacetic acid (DTPA), inhibit pancreatic DNases. *Id.* ¶¶ 16, 67, 68. In addition, the activity of DNases and RNases “can also be inhibited by denaturing agents that will destroy the complex structures of these enzymes (proteins).” *Id.* ¶ 68. Thus, Birnboim explicitly teaches including denaturing agents, such as urea, SDS, guanidinium chloride, and

guanidinium thiocyanate, in “the nucleic acid preserving composition” of its invention. *Id.*

Relying on these disclosures, Dr. Taylor testifies that “Birnboim expressly discloses that its compositions inactivate nucleases that are internal or external to the target cell.” Ex. 1082 ¶ 6 (citing Ex. 1003 ¶ 68). Petitioner, citing Dr. Taylor’s testimony, argues that “Birnboim discloses the inactivation of endogenous and exogenous nucleases.” Second MTA Opp. 2 (citing Ex. 1003 ¶ 68; Ex. 1082 ¶¶ 5–8).

Patent Owner does not address Dr. Taylor’s testimony or Petitioner’s argument on this point. Instead, Patent Owner disputes Petitioner’s contention that “there is no difference in inactivating an endogenous or exogenous nuclease.” MTA Reply 2 (citing second MTA Opp. 2). According to Patent Owner, endogenous and exogenous nucleases are not equivalent because “coming from different sources, they may have different rates of activity and susceptibility to inactivation.” *Id.* (citing Ex. 2042 ¶ 11; Ex. 2044).

As an initial matter, we note that Exhibit 2044, titled “Biofilms: Survival Mechanisms of Clinically Relevant Microorganisms,” is a twenty-seven-page document. Yet, Patent Owner does not direct us to any specific disclosure that supports its argument.

With respect to the testimony Patent Owner relies on, Dr. DeFilippi testifies that

[o]ne cannot equate the properties, and thus sensitivity to denaturing conditions, of endogenous and exogenous nucleases, which may include different specific enzymes from different biological sources that may be in different types of biofilms (particularly relevant in the context of a sputum sample) and thus may have different rates of activity and different rates and



susceptibility to inactivation (and which may differ depending on the specific method of inactivation at issue).

Ex. 2042 ¶ 11 (citing Ex. 2044, 168). Page 168 of Exhibit 2044—or for that matter, the Exhibit in its entirety—however, does not appear to discuss nucleases. Instead, as Dr. DeFilippi testified, Exhibit 2044 “mostly related to biofilms,” and did not make any reference to nucleases.<sup>27</sup> Ex. 1096, 1065:18–1066:6.

More importantly, we find Patent Owner’s argument and Dr. DeFilippi’s testimony here inconsistent with the position they took elsewhere. For example, in a related case, Patent Owner argued that inactivation of RNases “turns on the number of RN[ase] molecules, not their activity level.” IPR2021-00847, Paper 106, 3. As Petitioner points out, Patent Owner does not reconcile this argument with its attempt here to distinguish endogenous and exogenous nucleases inactivation, even if the enzymes “may have different rates of activity.” *See* MTA Sur-reply 1–2.

Similarly, pointing to the claim language “sufficient to denature proteins,” Dr. DeFilippi testified: “So I’m denaturing proteins in general. And included in that would be inactivation of the nucleases.” Ex. 1064, 525:1–4; *see also id.* at 525:17–19 (“We are denaturing proteins, and the result of denaturing proteins would be destroying the activity of enzymes.”).

Prior art, such as Birnboim, confirms this testimony, that is, denaturing agents, by destroying protein structures, inactivate nucleases (which are proteins), regardless of their type or source. *See, e.g.*, Ex. 1003

---

<sup>27</sup> To the extent Dr. DeFilippi emphasizes “different types of biofilms” (Ex. 1096, 1067:2–10; Ex. 2042 ¶ 22), neither he, nor Patent Owner, sufficiently explains the relevance of biofilms to the proposed substitute claims at issue.

¶ 68; *see also* Ex. 1015, 5296 (“Since the early steps of the procedure are always carried out in the presence of denaturants, sterile procedures and glassware are unnecessary, but as soon as the RNA is no longer in the presence of guanidine, stringent precautions against adventitious nucleases must be taken.”<sup>28</sup>).

Thus, Dr. DeFilippi’s own testimony that denaturants inactivate nucleases, which is consistent with the express teachings of the prior art, contradicts his opinion that exogenous nucleases may not be inactivated merely because they are from “different biological sources.”

Patent Owner emphasizes that, in Example 7, Birnboim added ribonuclease to digest and remove the majority of RNA present in the sample. Revised MTA 13. According to Patent Owner, this ribonuclease is an exogenous nuclease, and it is “clearly not inactivated.” *Id.* Therefore, Patent Owner concludes the “Birnboim composition cannot be said to inactivate both endogenous and exogenous nucleases.” *Id.* We disagree.

Example 7 teaches incubating a saliva sample with Birnboim’s composition. Ex. 1003 ¶ 124. It is after this incubation that Birnboim added extra ribonuclease to digest RNA. *Id.* The ’240 patent, on the hand, discloses that its compositions “typically at least substantially inactivate, and preferably entirely inactivate, any endogenous or exogenous RNAses or DNAses present *in the sample*.” Ex. 1001, 6:28–31 (emphasis added). Thus,

---

<sup>28</sup> Dr. DeFilippi appears to have misunderstood the term “adventitious.” *See* Ex. 1096, 985:22–986:1 (testifying that the term “‘adventitious’ means it takes advantage of the situation”). In fact, the term means “coming from another source and not inherent or innate.” *See* <https://www.merriam-webster.com/dictionary/adventitious>. Ex. 3011.

the '240 patent does not contemplate inactivating nucleases, such as the extra ribonuclease added in Birnboim Example 7, which is unrelated to the sample studied.<sup>29</sup> *See id.* at 9:15–17 (disclosing inactivating “exogenous or endogenous nucleases that may be *present in, on, or about the sample itself*”) (emphasis added).

In sum, Petitioner has shown by a preponderance of the evidence that Birnboim explicitly teaches that its compositions “inactivate endogenous and exogenous nucleases.”

## 2. Entirely Non-Pathogenic

Proposed substitute claim 36 recites “wherein the sample is rendered entirely non-pathogenic and safe for human handling when contacted by the composition.” Patent Owner asserts paragraph 48 of the '202 application provide written description support for this additional limitation. Revised MTA 5.

Paragraph 48 states it is desirable that the “microbes, viruses, and/or pathogens . . . present in, on, or about the sample when collected . . . will be killed or sufficiently inactivated by one or more components of the composition to facilitate safe handling of the sample by the practitioner.” Ex. 2023 ¶ 48. According to the '202 application, “[p]referably, one or more components of the disclosed composition are effective to render a pathogenic sample substantially, or preferably entirely, non-pathogenic

---

<sup>29</sup> Were it otherwise, the proposed substitute claims reciting inactivating exogenous nucleases would lack written description support. Those claims also would be indefinite because they do not limit the amount of the extra nucleases. Furthermore, the '240 patent does not teach how to inactivate an overwhelmingly large amount of added nucleases, and thus, would not enable the proposed substitute claims.

without the need for adding additional components to the composition.” *Id.* Paragraph 48, however, does not explain what “entirely non-pathogenic” means. Nor does the Revised MTA. At the hearing, when inquired, Patent Owner asserted that the term means “zero pathogenic activity,” so that the sample “could not infect someone, rendering it safe for handling.” Tr. 134:19–135:14.

We look to the ’240 patent Specification to interpret the limitations added in the Revised MTA. In Example 8, the ’240 patent discloses “Killing of [Methicillin-resistant *Staphylococcus aureus*] MRSA (ATCC33592) in PrimeStore™ Solution.” Ex. 1001, 27:36–37. According to this example, “the effectiveness of the PrimeStore™ Solution (ver. 2.2) in killing a potential bacterial contaminant,” MRSA strain ATCC33592, is demonstrated when “the bacteria suspended in PrimeStore™ Solution and plated onto blood agar plates had no detectable colonies.” *Id.* at 27:39–44, 28:28–30; *see also id.* at 29:15–17 (the same).

Similarly, Example 9 demonstrates that “the disclosed composition could quickly kill or inactiv[at]e microorganisms” in a chicken cloacal sample. *Id.* at 29:59–61. According to the ’240 patent, this result is illustrated in Figure 7A, which shows chicken cloacal samples “immersed in PrimeStore™ Solution (top row) or water (bottom row) and subsequently plated on blood agar plates.” *Id.* at 12:37–42. Although the image quality is not ideal, it appears the plates with samples treated with the disclosed composition have no detectable colonies. *See id.* at Fig. 7A.

Thus, in view of the disclosures of the ’240 patent, we conclude that a sample is rendered “entirely non-pathogenic” when the treated sample forms no detectable colonies or plaques on agar plates.

That, however, does not resolve the issue completely because the parties disagree over whether rendering a sample “entirely non-pathogenic” requires the composition to kill or inactivate all types of pathogens disclosed in the ’240 patent. Petitioner argues that ABL test data [REDACTED]

[REDACTED]  
Second MTA Opp. 5 (citing Exs. 1201–1204; Ex. 1069, 272:13–273:7). This, Petitioner contends, demonstrates that the tested samples were rendered “entirely non-pathogenic.” *Id.*

Patent Owner counters that data from the same set show Birnboim’s composition did not inactivate two [REDACTED] types of pathogens. Revised MTA 10–11 (citing Ex. 2019). Thus, Patent Owner asserts, regardless of whether Birnboim’s composition kills or biologically inactivates some types of viruses or bacteria, it does not render the sample “entirely non-pathogenic and safe for human handling.” *Id.* at 11 (citing Ex. 2033 ¶ 12); *see also* MTA Reply 3 (citing Ex. 2019; Ex. 2033 ¶¶ 8, 18 n.1; Ex. 2042 ¶¶ 59, 60) (the same).

Based on this record, and as explained below, we find Petitioner’s argument more persuasive. Our conclusion is supported by other proposed substitute claims. For example, proposed substitute claim 57 recites “the sample comprises ***one or more*** vital, bacterial, fungal, animal, ***or*** plant cells.” The plain language makes it clear that a sample may contain a single type of pathogen, for example, influenza viruses or bacteria that cause tuberculosis. If, after contacted by a composition, such a sample forms no detectable plaques or colonies on an applicable plate assay, then the composition satisfies the requirement of rendering the sample entirely non-pathogenic.

And Birnboim's composition satisfies this test. Indeed, as Petitioner points out, and Patent Owner does not dispute, ABL's test data show

[REDACTED]  
[REDACTED]<sup>30</sup> Second MTA Opp. 5  
(citing Exs. 1201–1204; Ex. 1069, 272:13–273:7); *see also* Ex. 1069,  
245:5–246:16 (Dr. Birkebak at ABL testifying [REDACTED]  
[REDACTED]  
[REDACTED]); 247:13–248:21 (similar testimony [REDACTED]  
[REDACTED]). We agree with Petitioner that when a pathogen in a  
sample is no longer detectable in the sample, the sample is biologically  
inactivated and rendered entirely non-pathogenic and safe for human  
handling. *See* second MTA Opp. 5 (citing Ex. 1082 ¶¶ 16, 17).

In sum, Petitioner has shown, by a preponderance of the evidence, that Birnboim explicitly teaches that its compositions inactivate the sample contacted and render the sample “entirely non-pathogenic and safe for human handling.”

### 3. In One Step

Proposed substitute claim 70 recites a method that “in one step” performing the functions of killing or inactivating pathogens; lysing cells to release polynucleotides; and preventing the released polynucleotides from degradation, to obtain the population of polynucleotides.

Patent Owner argues that “each of Chirgwin, Casas, Donofrio, Laulier, Zinkevich, and Das teaches a multi-step process for obtaining

---

<sup>30</sup> Unreported validation testing on *E. coli* by ABL showed Birnboim's composition also inactivated *E. coli*. *See* Ex. 1069, 236:11–237:15.

nucleic acids.” Revised MTA 15. Patent Owner, however, does not assert that Birnboim fails to meet the newly added limitation of “in one step.”

Petitioner argues that Birnboim teaches the “in one step” limitation. *See* second MTA Opp. 14 (citing PG 13–14). For the reasons explained below, we agree with Petitioner.

The ’240 patent Specification discloses:

The one-step formulations disclosed herein accomplish the following main functions: inactivation or killing of pathogens within the sample; lysis of cells and separation or release of nucleic acids from the cells; inactivation of endogenous or exogenous nucleases and other cellular enzymes to prevent degradation of the nucleic acids present in the sample; and facilitation of collection and handling of the sample at ambient temperatures, stabilization of the nucleic acids during subsequent transport and storage of the sample, and preservation/maintenance of the integrity of one or more polynucleotides contained with the liberated nucleic acids.

Ex. 1001, 3:38–48; *see also id.* at 1:37–42 (disclosing “a one-step composition that a) inactivates viruses or microbes in the sample, b) lyses the biological cells or tissues to free the nucleic acids from cellular debris and extraneous biomolecules, c) protects the nucleic acids from degradation by endonuclease activity, and d) preserves the nucleic acids”).

The ’240 patent discloses that the functions of killing pathogens, lysing cells, and preventing polynucleotide degradation recited in proposed amended claim 70 occur in one step, that is, by contacting the sample with the composition. *See id.* at 4:5–7 (“In all embodiments, the one-step formulation is combined with the sample to initiate these functions.”). “This is in contrast to previous technology in which inactivation did not necessarily occur, and lysis, stabilization, and preservation occurred in a

succession of separate steps, each step typically using one or more distinct reagents and protocols that were separately added.” *Id.* at 4:7–12.

Petitioner refers to Birnboim for teaching contacting a sample with its nucleic acid-preserving composition in one step under conditions that are effective to detect a population of polynucleotides from the sample.

First MTA Opp. 12 (citing Ex. 1003 ¶¶ 109, 115–121). We agree that Birnboim’s compositions, upon contacting a sample suspected of containing pathogens, perform the recited functions. *See supra* Sections V.E.1, VI.D.1, VI.D.2. Because these functions occur in one step, by contacting the sample with Birnboim’s compositions, Birnboim teaches the “in one step” limitation.

#### 4. Without Further Separation

Proposed substitute claim 70 further requires the polynucleotides from the sample “are compatible with a nucleic acid test without further separation from the sample.” This additional limitation was first presented in the original MTA. *See* original MTA 16.

Petitioner argues that Birnboim teaches this additional limitation because, in Example 7, Birnboim discloses contacting a sample with its composition, incubating the treated sample, digesting the sample with ribonuclease to remove RNA, and applying the sample to an agarose gel. First MTA Opp. 8 (citing Ex. 1003 ¶ 124). Petitioner points out that “the DNA is not separated from the sample prior to running the samples on the agarose gel.” *Id.* According to Petitioner,

[t]o reduce the time and labor necessary to preliminarily test if the sample includes the target polynucleotide, a POSA would have been motivated to add a nuclease to digest the non-target nucleic acid in the sample (like in Birnboim Example 7), then proceed directly to running the sample on a gel. Ex. 1003, ¶124;



Ex. 1071, ¶37. This would obviate time-consuming separation after the sample has been contacted with the composition.

Ex. 1071, ¶37.

*Id.* at 9.

In the Preliminary Guidance, we found Petitioner’s argument persuasive. *See* PG 14. We explained that “[w]e do not find that adding a ribonuclease remove RNA causes separation of the sample.” *Id.*

In the Revised MTA, Patent Owner does not address Birnboim as it relates to the “no further separation” limitation. *See* Revised MTA 15 (only arguing “Birnboim fails to teach a composition that inactivates endogenous and exogenous RNases and DNases to prevent degradation of the population of polynucleotides”).

In the MTA Reply, however, Patent Owner argues Birnboim does not teach the limitation of “without further separation” because “Birnboim’s use of RNase in Ex[ample] 7 is a separation step used prior to DNA testing using gel electrophoresis that separates hydrolyzed RNA fragments from the intact DNA.” MTA Sur-reply 5. We disagree with Patent Owner’s arguments.

Proposed substitute claim 70 recites “a biological sample suspected of containing nucleic acids.” It also recites “lyse a portion of cells to release polynucleotides.” Thus, the sample is cells, and not merely the nucleic acids contained within. In Birnboim’s Example 7, the sample is saliva.

Proposed substitute claim 70 requires the polynucleotides from the sample “are compatible with a nucleic acid test without further separation *from the sample*.” Thus, even if we were to agree with Patent Owner that “Birnboim’s use of RNase in Ex[ample] 7 . . . separates hydrolyzed RNA fragments from the intact DNA,” such separation would not be “from the

sample” saliva. We apply essentially the same analysis in rejecting Patent Owner’s contention that “Birnboim’s use of Proteinase K in Ex[ample] 4 is a separation step.” *See* MTA Sur-reply 5.

In sum, Petitioner has shown, by a preponderance of the evidence, that Birnboim teaches that the polynucleotides from the sample “are compatible with a nucleic acid test without further separation from the biological sample.”

*E. Proposed Substitute Claim 36*

Proposed substitute claim 36, which would replace claim 1, recites (with underlining representing addition and strikethrough representing deletion):

36. An aqueous composition comprising: a) one or more chaotropes; b) one or more detergents; c) one or more reducing agents; d) one or more chelators; and e) one or more buffers, together each present in an amount sufficient to denature ~~one or more~~ proteins, inactivate ~~one or more~~ nucleases, kill ~~one or more~~ pathogens, and ~~or~~ prevent ~~one or more~~ nucleic acids from degrading in a sample suspected of containing nucleic acids, when the sample is contacted with the composition, wherein the sample is rendered entirely non-pathogenic and safe for human handling when contacted by the composition.

As explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders claim 1 obvious. *See supra* Section V.E.1. We adopt that analysis for the identical limitations of proposed substitute claim 36. Also as explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim’s compositions render the sample “entirely non-pathogenic and safe for human handling.” *See supra* Section VI.D.2. Thus, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders obvious proposed substitute claim 36.

*F. Proposed Substitute Claim 56*

Proposed substitute claim 56, which would replace claim 21, recites (with underlining representing addition and strikethrough representing deletion):

56. A method for obtaining a population of polynucleotides from a sample suspected of containing nucleic acids, comprising contacting the sample with an amount of a composition in accordance with claim ~~36~~<sup>1</sup>, under conditions effective to obtain the a population of polynucleotides containing DNA and RNA from the sample wherein the amount of the composition inactivates endogenous and exogenous nucleases to prevent degradation of the population of polynucleotides in the sample.

As explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders claim 21 obvious. *See supra* Section V.E.4. We adopt that analysis for the identical limitations of proposed substitute claim 56. Also as explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim’s compositions inactivate “endogenous and exogenous nucleases.” *See supra* Section VI.D.1.

Petitioner argues that Birnboim also teaches a population of polynucleotides “containing DNA and RNA.” Second MTA Opp. 7 (citing Ex. 1003 ¶ 45). In fact, according to Petitioner, Patent Owner acknowledges that Birnboim’s compositions obtain polynucleotides containing DNA and RNA. *Id.* (citing Revised MTA 13). We agree with Petitioner.

Indeed, in Example 7, Birnboim teaches detecting DNA present in saliva samples via gel electrophoresis, after adding “ribonuclease to remove the majority of the RNA present in the sample.” Ex. 1003 ¶ 124. Thus, the

population of polynucleotides obtained in Birnboim contain DNA and RNA, as required in proposed substitute claim 56.

Thus, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders obvious proposed substitute claim 56.

*G. Proposed Substitute Claim 70*

Proposed substitute claim 70, which would replace claim 29, recites (with underlining representing addition and strikethrough representing deletion):

70. A method for using a ~~preparing~~ one-step aqueous formulation adapted to obtain a population of polynucleotides from a biological sample suspected of containing nucleic acids, comprising contacting the sample with an amount of the one-step aqueous formulation effective to, in one step:

i) ~~at least substantially~~ kill or inactivate potentially-infectious pathogens in the sample;

ii) lyse a portion of cells to release polynucleotides comprising RNAs and/or DNAs from the sample; and

iii) ~~substantially inhibit or~~ prevent the released polynucleotides in the sample from ~~further~~ hydrolysis or enzymatic degradation from endogenous and exogenous RNases and DNases, modification, or inactivation, so as to obtain the population of polynucleotides from the sample that are compatible with a nucleic acid test without further separation from the sample,

wherein the one-step aqueous formulation comprises: a) one or more chaotropes; b) one or more detergents; c) one or more reducing agents; d) one or more chelators; and e) one or more buffers, together present in an amount sufficient to denature proteins, inactivate nucleases, kill pathogens, and prevent nucleic acids from degrading in the sample suspected of containing nucleic acids when the sample is contacted with the formulation.

As explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders claim 35 obvious. *See supra* Section V.E.4.

We adopt that analysis for the identical limitations of proposed substitute claim 70. Also as explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim's compositions inactivate "endogenous and exogenous nucleases," including RNases and DNases. *See supra* Section VI.D.1. Furthermore, as explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim teaches the "in one step" and "without further separation" limitations. *See supra* Sections VI.D.3, VI.D.4. Lastly, as explained above, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders proposed substitute claim 36 obvious. *See supra* Section VI.E.

Thus, Petitioner has shown, by a preponderance of the evidence, that Birnboim renders proposed substitute claim 70 obvious.

#### *H. Other Proposed Substitute Claims*

According to Patent Owner, "[a]ll other amendments update the dependencies of certain dependent claims to depend from a corresponding substitute claim." Revised MTA 3. As explained above, we find Petitioner demonstrates by a preponderance of the evidence that original claims 1–35 would have been obvious over the asserted prior art. *See supra* Sections V.E–V.M. Also as explained above, we find Petitioner demonstrates by a preponderance of the evidence that proposed substitute claims 36, 56, and 70 would have been obvious over the asserted prior art. *See supra* Sections VI.E–VI.G. Thus, we determine Petitioner has shown, by a preponderance of the evidence, that the asserted prior art renders obvious proposed substitute claims 37–55 and 57–69.

*I. Summary*

In sum, Petitioner has shown, by a preponderance of the evidence, that the asserted prior art renders proposed substitute claims 36–70 obvious.

VII. MOTION TO EXCLUDE

Patent Owner filed a Motion to Exclude Evidence. Paper 82 (“MTE”). Specifically, Patent Owner moves to exclude Birnboim, the primary prior art reference relied on in the Petition. *Id.* at 1–2. Patent Owner also moves to exclude certain test results from ABL, the third-party laboratory Patent Owner engaged to perform tests on several biological samples, as well as the deposition transcripts of three ABL employees. *Id.* at 6–8, 11–15. Patent Owner further moves to exclude test results from Nelson Labs, a third-party laboratory Petitioner engaged to perform tests on two biological samples. *Id.* at 4–5. Additionally, Patent Owner moves to exclude certain declarations of Dr. Taylor. *Id.* at 6–8. Patent Owner also moves to exclude numerous articles published in peer-reviewed journals and published U.S. patent applications. *Id.* at 2–4, 8–11.

Patent Owner, as the party moving to exclude evidence, bears the burden of proving that it is entitled to the relief requested, namely, that the material sought to be excluded is inadmissible under the Federal Rules of Evidence. *See* 37 C.F.R. §§ 42.20(c), 42.62(a). For the reasons explained below, Patent Owner has not met that burden. Thus, Patent Owner’s MTE is dismissed-in-part and denied-in-part.

*A. Exhibit 1003*

Exhibit 1003 is Birnboim, the primary reference Petitioner relies on. Patent Owner moves to exclude Birnboim “to the extent Petitioner relies on Birnboim’s specification to *prove the truth* of testing data stated and

described therein without submitting an affidavit by an individual having first-hand knowledge of how the data was generated, which contravenes 37 C.F.R. §42.61(c).” MTE 1. According to Patent Owner, Petitioner cannot rely on the test results reported in Birnboim’s specification and figures because Petitioner has not provided any affidavit from a person with first-hand knowledge of the experiments discussed therein. *Id.* We are not persuaded.

Petitioner relies on Birnboim, a U.S. patent application, to prove what its specification describes, which renders Birnboim admissible. *See* 37 C.F.R. § 42.61(c) (stating a patent application is admissible as evidence “only to prove what the specification or drawing describes”); *see also* 77 Fed. Reg. 48,612, 48,624 (Aug. 14, 2012) (explaining that § 42.61(c) addresses the “problem in which a party mistakenly relies on a specification to prove a fact other than what the specification says”).

In seeking to exclude Birnboim, Patent Owner faults Petitioner for “repeatedly rel[ying] on *other references*” to support the arguments “regarding Birnboim’s performance of functional limitations.” MTE 1 (emphasis added). This contradicts Patent Owner’s argument that “Petitioner relies on *Birnboim’s specification* to prove the truth of testing data stated and described therein.” *Id.* (the first emphasis added).

The examples Patent Owner points to do not show that Petitioner relies on Birnboim’s specification to prove a fact other than what the specification describes. Indeed, Patent Owner points to Paper 68, Petitioner’s second MTA Opposition, where Petitioner allegedly “incorporat[ed] by reference argument in Taylor Decl. (Ex. 1082 ¶ 5) purporting to interpret and rely upon Birnboim ¶¶ [0020] and [0068].”

MTE 2 (citing second MTA Opp. 2). In his Declaration, Dr. Taylor testified that “Birnboim discloses compositions that ‘inactivate nucleases’—including DNases and RNases.” Ex. 1082 ¶ 5 (citing Ex. 1003 ¶¶ 20, 68). In paragraph 68, Birnboim teaches “[t]he action of deoxyribonucleases and ribonucleases can also be inhibited by denaturing agents that will destroy the complex structures of these enzymes (proteins). Hence, denaturing agents are included in the nucleic acid preserving composition of the invention.” Ex. 1003 ¶ 68. It goes on to list examples of denaturing agents. *Id.*; *see also id.* ¶ 20. Thus, Petitioner and Dr. Taylor rely on Birnboim to prove what its specification describes, as permitted under 37 C.F.R. § 42.61(c).

Because Petitioner relies on Birnboim to show what its specification describes, we deny Patent Owner’s Motion to Exclude Exhibit 1003.

*B. Exhibits 1008, 1015, 1050, 1052, 1054, 1056–1058, 1060, 1083, 1085–1092, and 1095*

1. Exhibits 1050, 1052, 1054, 1056–1058, 1060, 1083, 1085–1092, and 1095

Exhibits 1050, 1052, 1054, 1056–1058, 1060, 1083, 1085–1092, and 1095 are articles published in peer-reviewed journals. We do not rely on these exhibits in rendering this Decision. Thus, we dismiss this aspect of Patent Owner’s Motion to Exclude as moot.

2. Exhibits 1008 and 1015

Patent Owner argues that Exhibits 1008 (Das) and 1015 (Chirgwin) “should be excluded to the extent that Petitioner relies on them for the truth of the data they report, for the same reasons discussed above as to Ex. 1003.” MTE 3 (citing 37 C.F.R. § 42.61(c)). Rule § 42.61(c) does not apply to Chirgwin, an article published in a scientific journal. *See* 37 C.F.R.



§ 42.61(c) (discussing the admissibility of “specification or drawing of a United States patent application or patent”). Thus, we deny Patent Owner’s Motion to Exclude Exhibit 1015.

Although Rule § 42.61(c) does apply to Das, a published U.S. patent application, Patent Owner does not identify what “data” in Das Petitioner attempts to prove the truth of. Indeed, Patent Owner cites “Petition, 59, 66; Paper 38, 19; Paper 39, 2–3, 5–6” in support of its argument to exclude *nine* references, including Das. MTE 3. Because Patent Owner has not met its burden of proving that it is entitled to the relief requested, we deny Patent Owner’s Motion to Exclude Exhibit 1008. *See* 37 C.F.R. §§ 42.20(c), 42.62(a).

*C. Exhibit 1068*

Exhibit 1068 is a testing report from Nelson Labs, a third-party laboratory Petitioner engaged to perform tests on two microorganisms: *B. subtilis* vegetative cells and *E. coli*. We do not rely on Exhibit 1068 in rendering this Decision. Thus, we dismiss this aspect of Patent Owner’s Motion to Exclude Exhibit 1068 as moot.

*D. Exhibits 1069, 1072, 1073, and 1200-1211*<sup>31</sup>

Patent Owner engaged ABL to conduct biological testing in support of Patent Owner Response and its original MTA. *See* Ex. 2019. In connection with Petitioner’s deposition of three ABL employees (Exs. 2026–2028), the parties contacted the Board with a dispute as to the work product objections Patent Owner raised in these depositions. *See* Exs. 3004–3006. The Board

---

<sup>31</sup> Patent Owner moves to exclude Exhibit 1200. MTE 11. Exhibit 1200, however, does not exist in this proceeding. Thus, we dismiss Patent Owner’s motion in this regard as moot.

held a conference call to discuss those objections on March 30, 2022.

*See* Paper 33, 2–3.

During that conference, Patent Owner argued that Exhibit 2019, “the testing report signed by the three ABL employees is relevant only for what is explicitly stated in the report itself and the report does not address patent validity.” *See id.* at 3. Patent Owner further argued that the ABL witnesses originally testified that “(1) they did not do other testing for Patent Owner’s counsel that was considered or relied upon for Exhibit 2019 and (2) ‘no other testing exists relating to the conclusions or results presented in Ex. 2019.’” *Id.* at 4 (citing Ex. 2026, 53:20–54:11, 25:4–28:22, 120:8–122:25; Ex. 2028, 17:20–20:8; Ex. 2027, 109:21–11:14, 20:4–22:10, 39:8–40:6, 42:1–25, 43:21–45:15).

Patent Owner asserted that “any work done by ABL not explicitly disclosed in Ex. 2019 qualifies as work product because it was done ‘in anticipation of litigation or for trial by or for another party or its representative (including the other party’s attorney, consultant, surety, indemnitor, insurer, or agent).’” *Id.* (citing FRCP 26(b)(3); *Hickman v. Taylor*, 329 U.S. 495 (1947)). Thus, Patent Owner concluded that “other ABL work, if any, is clearly distinct from the testimony provided in the report (Ex. 2019) and remains protected work product.” *Id.*

After the parties briefed the matter (Papers 27, 31), we issued an Order explaining that we “do not agree with Patent Owner because the legal precedent and the deposition transcripts run counter to Patent Owner’s position.” Paper 33, 4. We noted that the deposition transcripts do not support Patent Owner’s statements. *Id.* at 5–9 (citing Ex. 2026, 53:20–54:11; Ex. 2027, 39:8–40:6; Ex. 2028, 17:20–20:8). In fact, the transcripts show

Patent Owner attempted to cabin the witnesses to only the explicit disclosure of Exhibit 2019. *Id.* at 9.

Under the circumstances, we authorized Petitioner additional questioning on certain testing and ordered Patent Owner to serve any relevant inconsistent information as required by 37 C.F.R. § 42.51(b)(iii). *See id.* at 11. Subsequently, Patent Owner served Exhibits 1201–1211 on Petitioner. After further deposing the three ABL employees, Petitioner filed the transcripts of those depositions (Exs. 1069, 1072, 1073). Patent Owner now seeks to exclude these Exhibits. MTE 6–8, 11–15.

1. Exhibits 1072 and 1073

Exhibits 1072 and 1073 are deposition transcript of two ABL employees. We do not rely on these two Exhibits in rendering this Decision. Thus, we dismiss this aspect of Patent Owner’s Motion to Exclude Exhibits 1072 and 1073 as moot.

2. Exhibits 1205 and 1208

Exhibit 1205 is a publicly available spreadsheet listing tested organisms, testing solutions, and the resulting organism concentration. Exhibit 1208 is a publicly available reproduction of a peer-reviewed scientific article.

Patent Owner moves to exclude Exhibits 1205 and 1208 as being protected work product. MTE 11–15. “A motion to exclude evidence must be filed to preserve any objection. The motion must identify the objections in the record in order and must explain the objections.” 37 C.F.R. § 42.64(c). Patent Owner did not object to Exhibits 1205 and 1208 as being work

product. *See* Paper 42, 7–8<sup>32</sup> (objecting these Exhibits only “under FRE 401/402/403, needlessly cumulative evidence, little to no probative value, and probative value outweighed by prejudicial effect” and “under FRE 802 and § 42.61(c) to the extent relied on for the truth of statements therein”). Indeed, Patent Owner acknowledges these Exhibits are publicly available. *See* Paper 41, 2 (“Exhibits 1205 and 1208 need not be sealed.”).

Because Patent Owner fails to explain how the information disclosed in Exhibits 1205 and 1208 constitutes work product, we deny Patent Owner’s Motion to Exclude these Exhibits.

3. Exhibits 1201–1204, 1206, 1207, and 1209–1211

Exhibit 1201 is a list of reagents and amounts used to create solutions used for testing by ABL. Exhibit 1202 is a spreadsheet listing tested organisms, testing solutions, and the resulting organism concentration. Exhibit 1203 is a graphic representation of testing results of solutions used on specific tested organisms. Exhibit 1204 is a graphic representation of testing results of solutions used on specific tested organisms. Exhibit 1206 is a standard operating procedure on how to perform testing protocol at ABL. Exhibit 1207 is a spreadsheet [REDACTED]. Exhibit 1209 is a [REDACTED] spreadsheet. Exhibit 1210 is a product testing data sheet from ABL. Exhibit 1211 is a spreadsheet showing data analysis of several runs of quantitative PCR assays determining the impact of the presence of [REDACTED] RNase.

---

<sup>32</sup> Patent Owner does not include page numbers in Papers 41 and 42. We cite to the pages as if they were numbered properly.

As explained above, Patent Owner initially only produced test results that supports its position in the Patent Owner Response. Following our Order (Paper 33), Patent Owner produced test results that are adverse to its position. Now Patent Owner claims the contradictory test results are protected by work product privilege. MTE 11–15. Patent Owner argues its counsel “explored different theories and options in preparing its response to the Petition and engaged ABL to assist in that exploration.” *Id.* at 14. According to Patent Owner, “ABL tested a variety of hypotheses in consultation with [Patent Owner’s] counsel to assist in this process. Such testing is quintessentially consulting expert work product immune from discovery.” *Id.* In its Reply in support of the Motion to Seal, Patent Owner also contends:

PO objects to (and seeks to preserve its right to appeal as to) the consulting testing itself (including litigation strategy considerations embodied in what was tested and how) as its attorney work product, which protects confidential litigation strategy and preparation materials broadly, not just *communications with counsel*. *U.S. v. Nobels*, 422 U.S. 225, 238 n.11 (1975) (work product doctrine “distinct from and broader than” attorney-client privilege); Paper 32 (making work product arguments PO seeks to preserve for appeal).

Paper 63 (“Seal Reply”), 2. We are not persuaded by Patent Owner’s assertion of work-product privilege.

Patent Owner does not sufficiently explain why test results that support its arguments are not protected under any privilege, whereas the results from tests conducted that contradict its position are. Indeed, Patent Owner does not appear to have “tested a variety of hypothesis” so much as it tested all the compounds, solutions, and organisms disclosed in Birnboim. Several of the tests produced results inconsistent to Patent Owner’s

arguments in its Response. Simply because a test produces results contrary to a party's initial hope, does not mean the party was exploring different theories and options. Rather, Patent Owner tested one theory—that Birnboim would not work—and withheld all the test results inconsistent with that theory.

Our rules specifically prohibit such conduct. Indeed, under 37 C.F.R. § 42.51(b)(1)(iii), “a party must serve relevant information that is inconsistent with a position advanced by the party during the proceeding concurrent with the filing of the documents or things that contains the inconsistency.”

Of course, Rule § 42.51(b)(1)(iii) “does not make discoverable anything otherwise protected by legally recognized privileges such as attorney-client or attorney work product.” But, as explained in detail in the Sanctions Order, the work-product doctrine is not absolute and generally allows discovery of “factual” or “non-opinion” work product. Sanctions Order 10 (citing *In re EchoStar Comms. Corp.*, 448 F.3d 1294, 1301 (Fed. Cir. 2006)); *see also id.* at 13 (explaining the scope of attorney work product protection before the Office is “limited” and “cannot be used to shield factual information from discovery that is inconsistent with positions taken by a party before the Board” because “shielding the factual information from the Board violates the duty of candor and good faith to the Office”).

The information in Exhibits 1201–1204, 1206, and 1207, and 1209–1211 relates to tests run by ABL with compounds that are identical to or variations of those disclosed in Birnboim. Because the test results relay facts, and not “mental impressions, conclusions, opinions, or legal theories of an attorney or other representative” the work-product

doctrine is designed to protect, we deny Patent Owner's Motion to Exclude these Exhibits. *See EchoStar*, 448 F.3d at 1301 (citing Fed. R. Civ. P. 26(b)(3)).

#### 4. Exhibit 1069

Exhibit 1069 is the deposition transcript of Joshua M. Birkebak, Ph.D. Dr. Birkebak is an ABL employee in the management role involved in conducting tests for Patent Owner. Ex. 2019, 1.

Relying on the same argument “[a]s discussed in greater detail as to Exhibit[s] 1200–1211,” Patent Owner moves to exclude “sections of Dr. Birkebak’s April 26, 2022 deposition transcript that describe the consulting testing and exhibits reflecting the consulting testing that PO asserts constitute its protected work product.” MTE 6 (citing Ex. 1069, 200:1–278:12).

For the same reason explained above as related to Exhibits 1201–1204, 1206, and 1207, and 1209–1211 (*see supra* Section VII.D.3), we deny Patent Owner’s Motion to Exclude Exhibit 1069.

#### *E. Exhibits 1071 and 1082*

Exhibits 1071 and 1082 are Declarations of Dr. Taylor. Dr. Taylor discusses the testing performed by ABL and refers to Birnboim, Chirgwin, as well as other references in these Declarations.

Patent Owner moves to exclude paragraphs 15–30 of Exhibit 1071 and paragraph 16 of Exhibit 1082 “[f]or the same reasons discussed . . . as to Exhibits 1200–1211.” MTE 6, 8. For the same reason explained above as related to Exhibits 1201–1204, 1206, and 1207–1211 (*see supra* Section VII.D.3), we are not persuaded by this argument.

Also, “[f]or the same reasons discussed . . . as to Exhibit 1003,” Patent

Owner moves to exclude paragraphs 38–72 of Exhibit 1071 and paragraphs 10 and 18 of Exhibit 1082 because Dr. Taylor allegedly “improper[ly] reli[ed] . . . on data reported in Birnboim, Chirgwin, and [other] references . . . *for their truth*.” MTE 6, 8 (citing 37 C.F.R. § 42.61(c)). Rule § 42.61(c) does not apply to the Taylor Declarations because they are not “specification or drawing of a United States patent application or patent.” *See* 37 C.F.R. § 42.61(c). Thus, we are not persuaded by this argument either.

Patent Owner further moves to exclude paragraphs 2–72 of Exhibit 1071 “as irrelevant (FRE 401) and prejudicial far beyond any probative value (FRE 403) Taylor’s arguments regarding new grounds for invalidity (and new prior art references) not asserted in the Petition.” MTE 6–7. Patent Owner, however, has not sufficiently explained what “new grounds for invalidity” it refers to.

In addition, many of the over seventy paragraphs Patent Owner seeks to exclude are not related to the alleged “new grounds for invalidity (and new prior art references).” Indeed, as Patent Owner complains, in paragraphs 15–30, Dr. Taylor discusses the “testing performed for PO’s counsel by Assured Bio Labs.” *Id.* at 6. As another example, in paragraphs 37–42, 62–65, and 71, Dr. Taylor discusses Birnboim, Chirgwin, Das, and Goldrick, all of which were filed with the Petition. *See* Pet., Exhibit List. In fact, Birnboim, Chirgwin, and Das were asserted in the Petition. *See id.* at 9. Thus, it is unclear which paragraphs of Exhibit 1071 Patent Owner actually moves to exclude as irrelevant and prejudicial.

In any event, we do not rely on the allegedly “new prior art references” discussed in Exhibit 1071 in rendering this Decision, and all the



obviousness grounds against the original challenged claims we discuss were properly asserted in the Petition. *See supra* Sections IV.C, V.E–V.L; *see also* Pet. 9.

Accordingly, we deny Patent Owner’s Motion to Exclude Exhibits 1071 and 1082.

#### VIII. MOTION TO SEAL

Patent Owner filed an unopposed Motion for entry of a Protective Order. Paper 35. According to Patent Owner, the parties have agreed upon a protective order that deviates from the Board’s default protective order. *Id.* Patent Owner filed a marked-up comparison of the proposed and default protective orders (Ex. 2030) and a clean copy of the proposed protective order (Paper 37). The Protective Order (Paper 37) is hereby entered. It shall govern the conduct of the proceeding unless otherwise modified.

There is a strong public policy for making all information filed in an *inter partes* review open to the public, especially because the proceeding determines the patentability of claims in an issued patent and, therefore, affects the rights of the public. Generally, all papers filed in an *inter partes* review shall be made available to the public. *See* 35 U.S.C. § 316(a)(1); 37 C.F.R. § 42.14. Our rules, however, “aim to strike a balance between the public’s interest in maintaining a complete and understandable file history and the parties’ interest in protecting truly sensitive information.” Patent Trial and Appeal Board Consolidated Trial Practice Guide 19 (November 2019) (“TPG”).<sup>33</sup> Thus, a party may move to seal certain

---

<sup>33</sup> *Available at* <https://www.uspto.gov/sites/default/files/documents/tpgnov.pdf?MURL=>.

information (37 C.F.R. § 42.14); but only “confidential information” is protected from disclosure (35 U.S.C. § 326(a)(7)). Confidential information means trade secret or other confidential research, development, or commercial information. 37 C.F.R. § 42.2.

The standard for granting a motion to seal is “for good cause.” 37 C.F.R. § 42.54(a). The party moving to seal bears the burden of proof and must explain why the information sought to be sealed constitutes confidential information. *Id.* § 42.20(c).

From the Motion to Seal, we understand Patent Owner seeks to seal Exhibits 1201–1204, 1206, 1207, and 1210, which relate to the ABL test data Patent Owner originally withheld and is at issue in the Order on Sanctions. *See* Paper 41 (“Seal Mot.”), 1–2. Patent Owner also seeks to seal deposition testimony of ABL employees (Exs. 1069, 1072, 1073) and “[o]ther” unidentified “potential exhibits.” *Id.* at 2.

We understand from Petitioner’s Opposition to the Motion to Seal that those other exhibits include Exhibits 1209 and 1211, which are additional data relating to the originally withheld testing, and Exhibit 1071, which is Dr. Taylor’s Second Declaration. *See* Paper 49, 6–15.

Patent Owner asserts that good cause for sealing these materials exists “to preserve Patent Owner’s ability to appeal the overruling of its privilege/work product objections to disclosure and production of the information and documents proposed to be sealed.” Seal Mot. 2.

Petitioner does not oppose the motion in principle, but argues Patent Owner provides insufficient detail or justification for the full scope of material it seeks to seal. Paper 49, 1–2. Petitioner asserts that

Patent Owner's Motion to Seal falls far short of providing "a detailed discussion" that "[e]xplains why good cause exists" for blocking this information from the public. *See Garmin* at 4. Patent Owner's request to keep this information from the public domain should be denied, subject to Patent Owner (a) providing a more specific justification for sealing the information, and (b) providing redacted documents in which the extent of redactions is no more than necessary to preserve, pending appeal, the confidentiality of information that is the subject of Patent Owner's privilege assertions.

*Id.* at 6. Petitioner provides a plan for how each item of the subject documents should be treated. *Id.* at 6–15.

In its Reply, Patent Owner contends that Petitioner is trying to "force more details into the public record before PO can appeal this issue." Seal Reply 2. Patent Owner, also for the first time, identifies the particular material sought to be sealed. *Id.* at 2–5. Specifically, Patent Owner seeks to seal the entirety of Exhibits 1202–1204, 1206, 1207, 1209, and 1210, and seal portions of Exhibits 1069, 1071–1073, 1201, and 1211. *Id.*

Patent Owner seeks to seal Exhibit 1071, one of the Declarations of Dr. Taylor, because he discusses Exhibits 1202–1204, 1206, 1207, 1210, and 1211, as well as "consulting testing PO asserts as its protected work product." *Id.* at 4. Similarly, Patent Owner seeks to seal portions of Exhibits 1069, 1072, and 1073, the three ABL employees' deposition transcripts. *Id.* at 4–5. According to Patent Owner, although the reopened depositions were "taken precisely to allow Petitioner to ask about the information PO contends is subject to work product immunity," "PO limited its redactions to testimony regarding that consulting testing." *Id.*

As explained above in connection with our decision on the Motion to Exclude, the work-product doctrine is not designed to protect factual

information in Exhibits 1201–1204, 1206, 1207, and 1209–1211.

*See supra* Section VII.D.3. As such, Patent Owner’s reasoning for sealing Exhibits 1069 and 1071–1073 is not persuasive either. Thus, Patent Owner’s Motion to Seal is denied.

We note, however, Patent Owner appears to request sealing of the identified Exhibits only “long enough to allow PO to appeal after a final written decision.” Seal Reply 5; *see also* Seal Mot. 3 (“Patent Owner seeks to seal this information to preserve its opportunity to seek appellate review of the Board’s Order as to Patent Owner’s privilege/work product objections.”). That request is granted, and Exhibits 1069, 1071–1073, 1201–1204, 1206, 1207, 1209–1211 will remain sealed until the completion of all appeals. Depending on the outcome of the appeals, Patent Owner may renew its Motion to Seal within thirty days of the conclusion of all appeals. In the event that Patent Owner does not timely renew its Motion to Seal, the documents filed under seal in this proceeding will be unsealed forty-five days after the conclusion of all appeals.

We also note that numerous papers in this case were filed as “Board and Parties Only,” with no corresponding motion to seal. For example, in its Reply in support of the Motion to Seal, Patent Owner states “Petitioner has since filed as Board/Parties Only briefs and transcripts discussing the same information, which should likewise remain sealed.” Seal Reply 2–3. There, Patent Owner identifies Petitioner’s Reply (Paper 38), the first MTA Opposition (Paper 39), and the Motion for Sanctions (Paper 55).<sup>34</sup> Such a

---

<sup>34</sup> Petitioner filed a redacted version of the Reply (Paper 44), the first MTA Opposition (Paper 43), and the Motion for Sanctions (Paper 61).

single sentence does not amount to a motion to seal, which is required under the Trial Practice Guide. *See* TPG 19 (“A party intending a document or thing to be sealed may file a motion to seal concurrent with the filing of the document or thing.”). Other papers, including Petitioner’s Opposition to Patent Owner’s Motion to Seal (Paper 49) as well as Patent Owner’s Reply in Support of the Motion to Seal (Paper 63), were filed as “Board and Parties Only,” without even a sentence mentioning any basis for sealing these Papers.

If desired, within ten business days, either party, or both parties jointly,<sup>35</sup> may file a motion to seal any document filed as Board and Parties Only but not presently accompanied by a motion to seal. Any such motion shall explain in detail and on a document-by-document basis what good cause supports granting the motion. In addition, the moving party or parties shall provide redacted versions of any document not requested to be sealed in its entirety, or explain where such redacted versions are available in the record. Any redactions must be limited to the minimum necessary. *See* TPG 91.

The parties may, within ten business days of this Decision, jointly propose redactions for this Final Written Decision. In the absence of such proposal, at the expiration of ten business days from the date of this Decision, the entirety of the Final Written Decision will be made available to the public.

---

<sup>35</sup> We encourage the parties to meet and confer regarding the extent of redactions, and if possible, to file any motion to seal either unopposed or jointly.

## IX. CONCLUSION<sup>36</sup>

After reviewing the entire record and weighing evidence offered by both parties, we determine that Petitioner has demonstrated by a preponderance of the evidence that claims 1–35 of the '240 patent would have been obvious. In addition, for the reasons set forth in the Sanctions Order, issued concurrently, we enter Adverse Judgment against Patent Owner as to all challenged original claims.

In summary:

<b>Claim(s)</b>	<b>35 U.S.C. §</b>	<b>Reference(s)</b>	<b>Claims Shown Unpatentable</b>	<b>Claims Not Shown Unpatentable</b>
1, 2, 5–11, 16, 21–30, 32, 33, 35	102(b) <sup>37</sup>	Birnboim		
1, 2, 4–14, 16, 21–33, 35	103(a) <sup>38</sup>	Birnboim	1, 2, 4–14, 21–30, 32, 33, 35	
3	103(a)	Birnboim, Chen	3	
15	103(a)	Birnboim, Mori	15	
16	103(a)	Birnboim, Helftenbein	16	
17	103(a)	Birnboim, Chirgwin	17	
18–20	103(a)	Birnboim, Das, Chen, Wangh	18–20	
31	103(a)	Birnboim, Koller	31	
34	103(a)	Birnboim, Chirgwin, Farrell	34	
<b>Overall Outcome</b>			1–35	

We also determine that Petitioner has demonstrated by a preponderance of the evidence that proposed substitute claims 36–70 are unpatentable under 35 U.S.C. § 103 as obvious over the asserted prior art. Furthermore, for the reasons set forth in the Sanctions Order, issued concurrently, we deny Patent Owner’s Contingent Motion to Amend.

Revised Motion to Amend Outcome	Claims
Original Claims Cancelled by Amendment	
Substitute Claims Proposed in the Amendment	36–70
Substitute Claims: Motion to Amend Granted	
Substitute Claims: Motion to Amend Denied	36–70
Substitute Claims: Not Reached	

---

<sup>36</sup> Should Patent Owner wish to pursue amendment of the challenged claims in a reissue or reexamination proceeding subsequent to the issuance of this decision, we draw Patent Owner’s attention to the April 2019 *Notice Regarding Options for Amendments by Patent Owner Through Reissue or Reexamination During a Pending AIA Trial Proceeding*. See 84 Fed. Reg. 16,654 (Apr. 22, 2019). If Patent Owner chooses to file a reissue application or a request for reexamination of the challenged patent, we remind Patent Owner of its continuing obligation to notify the Board of any such related matters in updated mandatory notices. See 37 C.F.R. §§ 42.8(a)(3), (b)(2).

<sup>37</sup> As explained above, because we determine that Petitioner has shown claims 1, 2, 5–11, 16, 21–30, 32, 33, and 35 would have been obvious over the asserted prior art, we do not address whether Birnboim anticipates these claims. See *supra* Section V.M n.26.

<sup>38</sup> As explained above, because we determine that Petitioner has shown claims 16 and 31 would have been obvious over Birnboim in combination with other prior art references, we do not address whether Birnboim alone renders these claims obvious. See *supra* Section V.E nn.20–21.

X. ORDER

In consideration of the foregoing, it is hereby:

ORDERED that all challenged claims (claims 1–35) of the '240 patent are *deemed unpatentable* based on Adverse Judgment under 37 C.F.R. § 42.12 for the reasons set forth in the Sanctions Order (Paper 108), issued concurrently, and *will be cancelled*;

FURTHER ORDERED that Patent Owner's Revised Contingent Motion to Amend is *denied* as based on Adverse Judgment under 37 C.F.R. § 42.12 for the reasons set forth in the Sanctions Order;

FURTHER ORDERED that Petitioner has demonstrated by a preponderance of the evidence that claims 1–35 of the '240 patent are unpatentable under 35 U.S.C. § 103;

FURTHER ORDERED that Patent Owner's Motion to Exclude Exhibits 1003, 1008, 1015, 1069, 1071, 1082, and 1201–1211 is *denied*;

FURTHER ORDERED that Patent Owner's Motion to Exclude Exhibits 1050, 1052, 1054, 1056–1058, 1060, 1068, 1072, 1073, 1083, 1085–1092, 1095, and 1200 is *dismissed*;

FURTHER ORDERED that the Protective Order (Paper 37) is hereby *entered*;

FURTHER ORDERED that Patent Owner's Motion to Seal Exhibits 1069, 1071–1073, 1201–1204, 1206, 1207, and 1209–1211 is *denied*;

FURTHER ORDERED that within ten business day of this Order, either party may file a motion to seal any document filed as Board and Parties Only but not presently accompanied by a motion to seal;



FURTHER ORDERED that this Order, as well as Exhibits 1069, 1071–1073, 1201–1204, 1206, 1207, and 1209–1211 will remain sealed until the completion of all appeals;

FURTHER ORDERED that Patent Owner may renew its Motion to Seal within thirty days of the conclusion of all appeals;

FURTHER ORDERED that within ten business days of this Order, the parties shall jointly propose a minimally redacted version for public dissemination; and

FURTHER ORDERED that, because this is a Final Written Decision, parties to this proceeding seeking judicial review of our Decision must comply with the notice and service requirements of 37 C.F.R. § 90.2.

IPR2021-00854  
Patent 8,669,240 B2

For PETITIONER:

Joseph F. Jennings  
Ali S. Razai  
Paul N. Conover  
Benjamin B. Anger  
KNOBBE MARTENS, OLSON & BEAR, LLP  
2jff@knobbe.com  
2azr@knobbe.com  
paul.conover@knobbe.com  
2bba@knobbe.com

For PATENT OWNER:

Elliot J. Williams  
STOEL RIVES, LLP  
elliot.williams@stoel.com

Matthew Smith  
James Remenick  
REMENICK PLLC  
msmith@remenicklaw.com  
mail@remenicklaw.com