

# Detailed Table of Contents

	<i>Main Volume</i>	<i>Supple- ment</i>
Foreword .....	vii	—
Preface .....	xi	—
Preface to the 2016 Supplement.....	—	vii
Summary Table of Contents.....	xiii	ix

## I. Introduction

1. Introduction to Pharmaceutical Patents.....	3	1-1
I. The Drug Patent Debate.....	4	—
II. Overview of the Patent Law .....	5	—
III. Overview of the Marketing Approval Process...	7	—
IV. A Brief History of Pharmaceutical Patent Law and Food and Drug Law.....	9	1-2
A. <i>Roche v. Bolar</i> .....	10	—
B. The Hatch-Waxman Act.....	13	—
1. The Statutory Experimental Use Exception .....	14	—
2. Abbreviated New Drug Applications .....	14	—
3. Certifications for Orange Book-Listed Patents.....	15	—
4. Patent Infringement Proceedings.....	17	—
5. Patent Term Extension.....	18	—
6. Regulatory Exclusivities.....	19	—
7. Generic Exclusivity .....	20	—
8. The Impact of the Hatch-Waxman Act...	20	—
C. The Generic Animal Drug and Patent Term Restoration Act .....	20	—
D. The Uruguay Round Agreements Act of 1995 .....	21	—
E. The FDA Modernization Act .....	21	—
F. The American Inventors Protection Act of 1999 .....	22	—

	<i>Main Volume</i>	<i>Supple- ment</i>
G. The 2003 FDA Regulations.....	22	—
H. The Medicare Prescription Drug, Improvement, and Modernization Act of 2003 .....	23	—
1. Single 30-Month Stay .....	23	—
2. Notice of Applications .....	23	—
3. Counterclaim for Patent De-Listing .....	24	—
4. Declaratory Judgment Actions.....	24	—
5. Generic Exclusivity .....	24	—
6. Notice of Agreements.....	25	—
I. The Food and Drug Administration Amendments Act of 2007 .....	25	—
J. The QI Program and Supplemental Funding Act of 2008.....	25	—
K. The Biologics Price Competition and Innovation Act.....	26	—
L. The Leahy-Smith America Invents Act.....	27	—
M. The GAIN Act of 2012 .....	28	—
N. Ongoing Legislative Reform Efforts .....	28	1-2

## **II. Patent Acquisition**

2. Patent Eligibility .....	33	2-1
I. Basic Concepts .....	33	—
II. Product and Process Claims.....	34	2-1
A. Abstract Ideas .....	35	—
B. Products of Nature .....	37	2-1
C. Living Inventions.....	43	—
D. Process Claims for New Uses .....	46	—
III. Types of Pharmaceutical Patent Claims .....	46	—
A. Drug Substances.....	47	—
B. Formulations .....	47	—
C. Chemical Intermediates .....	48	—
D. Metabolites and Prodrugs.....	48	—
E. Crystals and Polymorphs .....	50	—
F. Isomers .....	51	—
G. Salts.....	52	—
H. Combination Therapies.....	53	—
I. Methods of Using.....	53	—
J. Methods of Making.....	54	—
K. Methods of Diagnosis .....	55	—
L. Kits .....	60	—
IV. Methods of Medical Treatment.....	61	—

	<i>Main Volume</i>	<i>Supple- ment</i>
3. Utility .....	65	3-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		
4. Novelty .....	107	4-1
I. Introduction .....	108	—
II. Anticipation.....	111	—
A. Genus and Species.....	112	—
B. The Enablement Requirement .....	118	—
III. Inherency .....	121	—
IV. Novelty Under the AIA .....	136	4-2
A. “Public Use”.....	137	—
B. “On Sale”.....	143	4-2
C. Patents.....	147	—
D. Printed Publications .....	148	—
E. “Otherwise Available to the Public” .....	149	—
F. Experimental Use .....	150	—
G. Disclosure in U.S. Patent Applications .....	153	—
V. Novelty Pre-AIA .....	155	—
A. Pre-AIA Statutory Bars .....	155	—
B. Prior Invention Under 35 U.S.C. §102(a).....	157	—
C. Prior Invention Under 35 U.S.C. §102(g) .....	160	—
1. Prior Art Under 35 U.S.C. §102(g).....	161	—
2. Priority Under 35 U.S.C. §102(g) .....	162	—
3. Inventive Activity in Foreign Countries .....	162	—
4. Conception .....	163	—
5. Reduction to Practice.....	166	—
6. Diligence .....	168	—
7. Corroboration .....	170	—
8. Patent Award to the Second Inventor ....	173	—
D. Disclosure in U.S. Patent Applications .....	177	—
E. Derivation.....	177	—
5. Nonobviousness.....	179	5-1
I. Introduction .....	180	—
II. Fundamentals of the Nonobviousness Inquiry .....	180	—
A. The Historical Standard of Invention .....	181	—
B. The Patent Act of 1952.....	182	—
C. <i>KSR v. Teleflex</i> .....	187	—
D. The Person of Ordinary Skill in the Art ....	191	—
E. The Prima Facie Case of Obviousness .....	194	—
F. Obvious to Try .....	196	—

	<i>Main Volume</i>	<i>Supple- ment</i>
G. Analogous Arts .....	198	—
H. Nonfunctional Additions.....	199	—
III. The Secondary Considerations .....	201	5-2
A. Commercial Success .....	203	5-2
B. Copying.....	207	—
C. Licenses .....	208	—
D. Prior Failures of Others.....	209	—
E. Long-Felt Need.....	211	—
F. Praise and Skepticism.....	212	—
G. Unexpected Results .....	213	—
IV. Structural Similarities as Evidence of Obviousness .....	216	—
A. Introduction.....	216	—
B. Lead Compound Analysis.....	222	—
C. Examples of Structural Relationships.....	226	—
D. Homologues .....	228	—
1. Adjacent Homologues.....	228	—
2. Ring Expansion and Contraction.....	230	—
3. Remote Homologues.....	232	—
E. Isomers .....	233	—
1. Structural Isomerism .....	233	—
a. Position Isomerism .....	234	—
b. Tautomers .....	235	—
c. Stereoisomers .....	236	—
2. Bioisomerism .....	244	—
F. Esters.....	245	—
1. Prior Art Alcohols .....	245	—
2. Prior Art Free Acids.....	247	—
G. Analogs.....	247	—
6. The Patent Instrument .....	249	6-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		
7. Patent Acquisition Procedures .....	301	7-1
I. Fundamentals of Patent Prosecution .....	302	—
A. Preparation of Applications.....	302	—
B. Provisional Applications.....	304	—
C. Examination of Applications .....	305	—
D. Continuing Applications .....	307	—
E. The Restriction Requirement and Divisional Applications.....	308	—
F. Publication of Applications.....	309	—
G. Petition and Appeal .....	311	—
H. Invention Secrecy Orders .....	312	—
II. Other PTO Proceedings .....	312	—

	<i>Main Volume</i>	<i>Supple- ment</i>
A. Protests .....	312	—
B. Pre-Issuance Submissions .....	313	—
C. Citation of Prior Art .....	314	—
D. Public Use Proceedings .....	314	—
III. Post-Grant Proceedings .....	315	7-2
A. Certificates of Correction .....	315	7-2
B. Disclaimers .....	316	—
C. Reissue .....	316	—
D. Ex parte Reexamination .....	319	—
E. Post-Grant Review and Inter Partes Review .....	321	7-5
F. Intervening Rights .....	322	—
G. Supplemental Examination .....	324	—
H. Transitional Program for Covered Business Method Patents .....	324	—
IV. Abuses of Patent Acquisition Procedures .....	325	—
A. Double Patenting .....	325	—
1. Basic Principles .....	325	—
2. Double Patenting and the Restriction Requirement .....	333	—
3. Two-Way Double Patenting .....	335	—
B. Inequitable Conduct .....	336	—
C. Misjoinder or Nonjoinder of Inventors .....	343	—
D. Prosecution Laches .....	345	—
8. Duration of Rights .....	349	8-1
I. Fundamentals of Patent Term .....	350	—
II. Maintenance Fees .....	351	—
III. The Patent Term Guarantee Act .....	351	—
IV. Specialized Legislation .....	352	—
V. The Hatch-Waxman Act .....	352	8-1
A. Eligible Patents .....	353	—
1. Drug Products .....	353	—
2. Combination Therapies .....	358	—
3. Metabolites .....	360	—
4. Stereoisomers .....	361	—
5. Medical Devices .....	361	—
6. Patents Subject to a Terminal Disclaimer .....	363	—
B. Application for Term Extension .....	365	—
1. Time Limit for Filing .....	365	—
2. Identity of the Applicant .....	367	—
3. Contents .....	367	—
4. Review of the Application .....	368	—
5. Interim Extensions .....	369	—
6. Strategic Considerations .....	370	—

	<i>Main Volume</i>	<i>Supple- ment</i>
C. Period of Extension.....	370	8-1
D. Limitation Upon Scope of Rights.....	372	—

### III. Marketing Approval Procedures

9. The FDA Drug Approval Process.....	377	9-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		
10. The Orange Book .....	417	10-1
I. Overview of the Orange Book .....	418	10-1
II. Patents Appropriate for Orange Book Listing... ..	420	—
A. The Hatch-Waxman Act.....	420	—
B. FDA Regulations.....	422	—
1. General Rules.....	422	—
2. Polymorph Patents.....	425	—
3. Product-by-Process Patents .....	426	—
4. Reissue Patents .....	426	—
5. Third-Party Patents.....	427	—
6. Patent Use Codes .....	429	—
C. Implications of Orange Book Listings on Patent Validity and Infringement .....	431	—
1. Anticipation .....	431	—
2. Marking .....	432	—
III. The Timing of Patent Submissions .....	433	—
IV. Orange Book Listing Disputes .....	435	—
A. The Role of the FDA.....	435	—
B. Delisting Litigation Prior to the MMA .....	436	—
1. Efforts by Generic Firms to Delist.....	437	—
2. Delisting by Brand-Name Firms .....	441	—
C. Delisting Litigation Under the MMA.....	444	—
1. Efforts by Generic Firms to Delist.....	444	—
2. Delisting by Brand-Name Firms .....	448	—
D. FTC Enforcement.....	450	—
11. Regulatory Exclusivities .....	453	11-1
I. Regulatory Exclusivity Concepts .....	454	—
II. New Chemical Entity Exclusivity.....	457	—
A. Basic Concepts .....	457	—
B. Combination Therapies.....	460	—
III. New Clinical Study Exclusivity.....	461	—
IV. Generic Exclusivity.....	465	—
A. Basic Concepts .....	465	—
B. Pre-MMA Standards .....	467	—
1. Entitlement.....	467	—

	<i>Main Volume</i>	<i>Supple- ment</i>
2. Timing of Notice .....	474	—
3. Commencement of the 180-Day Period...	474	—
4. Separate Exclusivities for Distinct Dosages and Strengths.....	476	—
5. Patent-by-Patent Approach.....	477	—
6. Relationship to Pediatric Exclusivity .....	478	—
7. Transferability .....	479	—
C. Standards Under the MMA .....	479	—
1. Entitlement.....	479	—
2. Forfeiture .....	480	—
3. Timing of Notice .....	485	—
4. Commencement of the 180-Day Period...	485	—
5. Product-by-Product Approach.....	486	—
D. Unresolved Issues .....	486	—
1. Authorized Generics .....	486	—
2. Award of Exclusivity for Judgments of Noninfringement.....	492	—
V. Pediatric Exclusivity .....	492	11-2
VI. Orphan Drug Exclusivity.....	495	11-2
VII. Enantiomer Exclusivity .....	497	—
VIII. Antibiotics Exclusivity.....	498	—
IX. Biologics Exclusivity .....	500	—
X. Infectious Disease Product Exclusivity .....	501	—
XI. Transitional Exclusivity.....	502	—

#### IV. Infringement

12. Scope of Patent Rights .....	505	12-1
I. Basic Concepts .....	506	—
A. Direct Infringement.....	506	—
B. Indirect Infringement.....	508	—
1. Active Inducement .....	509	—
2. Contributory Infringement.....	519	—
3. <i>Deepsouth</i> and 35 U.S.C. §271(f) .....	521	—
4. Bioconversion as Infringement.....	522	—
C. Process Patents .....	523	—
1. The Process Patent Amendments Act ...	523	—
2. Screening Methods.....	526	—
D. Government Infringers.....	528	—
1. The Federal Government.....	529	—
2. The Bayh-Dole Act .....	532	—
3. State and Local Governments.....	534	—
II. Infringement Under the Hatch-Waxman Act ...	536	—
A. Patent Implications of ANDAs and Section 505(b)(2) Applications .....	537	—

	<i>Main Volume</i>	<i>Supple- ment</i>
B. Notification of a Paragraph IV Certification .....	543	—
C. Offers of Confidential Access .....	544	—
D. Infringement Analysis.....	544	—
E. Generic Submissions for Unapproved Uses...	548	—
III. Patent Litigation.....	550	12-2
A. Subject Matter Jurisdiction .....	550	—
B. Supplemental Jurisdiction.....	552	—
C. Personal Jurisdiction .....	553	12-2
1. General Principles .....	553	—
2. Implications of the Hatch-Waxman Act...	554	12-2
D. Venue .....	555	—
E. Declaratory Judgment.....	556	—
1. General Principles .....	556	—
2. Declaratory Judgment Actions in the Hatch-Waxman Framework .....	560	—
F. The Availability of Jury Trials Under the Hatch-Waxman Act.....	570	—
IV. Infringement Defenses .....	572	—
A. Invalidity and Unenforceability .....	572	—
B. Issue Preclusion .....	573	—
C. Laches and Estoppel.....	574	—
D. Licenses .....	576	—
1. Basic Concepts.....	576	—
2. Licensee and Assignor Estoppel .....	578	—
3. Implied Licenses .....	581	—
4. Shop Rights .....	583	—
E. Prior User Rights.....	585	—
V. Remedies .....	587	—
A. General Principles .....	587	—
1. Injunctions .....	587	—
2. Compensatory Damages .....	592	—
a. Reasonable Royalties .....	593	—
b. Lost Profits.....	595	—
i. “But For” Causation .....	595	—
ii. Proximate Causation.....	599	—
iii. The Entire Market Value Rule...	600	—
3. Marking.....	601	—
4. Provisional Rights.....	603	—
5. Enhanced Damages .....	604	—
B. Remedies Under the Hatch-Waxman Act ...	607	—
1. Remedies Available for Infringing Generic Applications .....	607	—
2. Generic Filings as Willful Infringements.....	608	—
C. Implications of Generic Market Entry During Patent Litigation.....	610	—



	<i>Main Volume</i>	<i>Supple- ment</i>
13. Claim Interpretation and the Doctrine of Equivalents .....	615	13-1
I. Claim Interpretation .....	616	—
A. Basic Concepts .....	616	—
B. <i>Markman v. Westview Instruments</i> .....	617	—
C. <i>Teva v. Sandoz</i> .....	619	—
D. Canons of Claim Construction .....	621	—
E. Dictionaries, the Specification, and the <i>Phillips</i> Case .....	625	—
F. Representative Claim Construction Cases .....	629	—
II. The Doctrine of Equivalents .....	640	13-2
A. Basic Concepts .....	640	13-2
1. <i>Graver Tank</i> and the Function-Way- Result Standard .....	641	13-2
2. <i>Warner-Jenkinson</i> and the Insubstantial Differences Standard .....	643	—
3. Vitiation .....	647	—
4. Functional Equivalents .....	648	—
B. Limitations on the Doctrine of Equivalents .....	649	—
1. The All Elements Rule .....	650	—
2. Prior Art Limitations .....	655	—
3. Prosecution History Estoppel .....	659	—
4. Disclosure-Dedication .....	668	—
C. The Reverse Doctrine of Equivalents .....	674	—
14. Parallel Importation .....	677	14-1
I. Introduction .....	677	—
II. FDA Practices With Respect to Importing Prescription Drugs .....	679	—
A. The Prescription Drug Marketing Act of 1987 .....	679	—
B. The MEDS Act of 2000 .....	681	—
C. The MMA of 2003 .....	682	—
D. Reform Proposals .....	683	—
III. Patent Implications of Parallel Importation .....	684	14-1
A. The Exhaustion Doctrine .....	684	—
B. International Exhaustion .....	685	14-1
C. Reform Proposals .....	689	—
D. Potential Legal Issues .....	689	—
1. The Takings Clause .....	689	—
2. State and Local Governments .....	695	—
3. The TRIPS Agreement .....	697	—
4. Free Trade Agreements .....	698	—
5. Label Licenses .....	700	—

	<i>Main Volume</i>	<i>Supple- ment</i>
15. The Experimental Use Privilege .....	703	15-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		
16. Antitrust Considerations.....	763	16-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		

### **V. International and Comparative Aspects**

17. International and Comparative Patent Law.....	781	17-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		
18. International and Comparative Data Protection Law.....	819	18-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		

### **VI. Biologics**

19. Follow-On Biologics .....	839	19-1
<i>There have been no significant developments in the law relevant to this chapter since the publication of the main volume.</i>		

### **Appendix A: Proposed Rule, Abbreviated New Drug Applications and 505(b)(2) Applications**

Appendix A-1. Author's Note to Supplement Appendix: FDA Proposed Regulations Under the MMA .....	859	A1-1
Appendix A-2. HHS, Proposed Rule, Abbreviated New Drug Applications and 505(b)(2) Applications, 80 Fed. Reg. 6802 (Feb. 6, 2015) .....	859	A2-1
Appendix A-3. HHS, Corrections to Proposed Rule, Abbreviated New Drug Applications and 505(b)(2) Applications, 80 Fed. Reg. 13,289 (Mar. 13, 2015).....	859	A3-1
Table of Cases .....	859	TC-1
Index .....	889	—
About the Author .....	907	AA-1