

**Developing Patent Research
Expertise, Part 4: Patent
Research for Competitive
Intelligence**

Dialog

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Seminar Development Team

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Preface

Patents represent a resource for both legal (ownership, inventors, reassignments, claims, etc.) and technology-rich prior art (background, specifications, etc.). Patents are accompanied by detailed textual descriptions of the inventions, and often, by drawings of electrical, mechanical, or chemical (Markush) structures.

The seminar series—Developing Patent Research Expertise—focuses on online retrieval of the patent literature worldwide. It is divided into the following parts:

- Part 1: *Patent Research Basics*
- Part 2: *Patent Families and Legal Status*
- Part 3: *Prior Art*
- **Part 4: *Using Patents for Competitive Intelligence***

Seminar Overview

Using Patents for Competitive Intelligence highlights the techniques used to identify key industry players, find pending patents, locate patents available for licensing, identify other databases useful for patenting information. Part 4 is divided into five sections:

1. Introduction
2. Tracking Competitive Patenting Activities
3. Searching Cited Literature
4. Licensing and Litigation
5. Using the Business Literature for Intellectual Property Competitive Intelligence

To reinforce what you learn in Part 4, online practice sessions are included throughout.

Audience

Patent Research for Competitive Intelligence is intended for experienced patent searchers who have an interest in learning techniques for searching for competitive intelligence information on Dialog. This part may be especially helpful to information professionals, research and development staff, and members of the legal community, such as paralegals, law librarians, or attorneys who want to monitor competitors, identify emerging competitor products and track ongoing competitor activities.

Learning Objectives

You will understand aspects of searching the Dialog system for competitive intelligence:

- Who are my competitors in a given technology?
- How are my competitors diversifying?
- What are the overall trends in my industry? For example, is international competition a factor in my industry?
- What new products are my competitors planning to introduce?

Workbook Conventions

Search Examples

In this workbook all search examples are presented using **Dialog Command Language**. All of the features illustrated in the search examples—search functionality, database indexing and content—are available using Dialog Command Language through the DialogWeb–Command Search, DialogClassicWeb, and DialogLink[®] interfaces. Dialog Command Language is not case sensitive; therefore, you will see examples in both upper- and lowercase.

Learning Checks

Learning Checks are provided to help reinforce material presented.

Online Practice

Practice exercises are included at the end of most sections in order to help you learn the concepts and techniques presented. Practice passwords are available at support.dialog.com/ontap to enable you to complete the online practice free of charge.

Tips

Tips to help you get the most from using Dialog appear in shaded boxes. Be sure to look for these throughout the text.

Section 1: Introduction

In this section you will:

- Learn the definition of competitive intelligence
- Understand how patent information provides competitive intelligence
- Identify patent databases on Dialog
- Review Dialog's patent delivery service

Patent information is primarily used for a company's defensive position and to keep businesses out of legal hot water, but patent files can be used in a company's offensive strategy as well. Part 4 of Developing Patent Research Expertise focuses on applications and techniques to retrieve important competitive intelligence available in key patent and other databases.

What is a Competitive Intelligence?

Competitive intelligence is not illegal spying or theft of trade secrets. It is a systematic way to collect and analyze public information about competitors and use it to make decisions. Technology such as the World Wide Web or information databases to collect public data has turned information famine into an information feast without the legal constraints. The number of large corporations with competitive intelligence units has increased rapidly, reinforcing the competitive disadvantage for a company that is not taking advantage of the public information available today.

Why Use Patent Information for Competitive Intelligence?

Business searchers are missing key information if they ignore intellectual property databases. These are the files containing patent, trademark, and copyright information. Frequently assumed to be the domain of lawyers and scientists, intellectual property files can tell business people what their competition is up to, what the value of a new technology might be, whether something their scientists and engineers have developed is marketable, and more.

Virtually every country grants patents, with millions of patents being granted worldwide. Studies show that 70 to 90% of the information in patents is never published anywhere else, thereby making patents the largest single body of technological information. Duplication can be prevented and research investment can be protected by checking to see that your work is unique. Monitoring competitors' patent information will allow you to see what technologies they are producing and evaluate the strengths and weaknesses of their research and development. By

tracking patent information, you can follow developments and innovations in any area of interest allowing information professionals to provide vital insight to their organizations on the race to innovate and impact the future success of their organizations.

Some questions that can be answered by using patent databases include:

- Who are my competitors in a given technology?
- How are my competitors diversifying?
- What are the overall trends in my industry? For example, is international competition a factor in my industry?
- What new products are my competitors planning to introduce?

Dialog SourceOne™

Dialog SourceOne is a worldwide document delivery service that provides high-quality copies of original patent documents. Patent documents are provided by email and include the full text of the patent, plus all the figures, graphics, tables, drawings, etc. that appear in the original document.

Dialog Patent Database Chart

A chart of the patent databases available on the Dialog system appears on page 9. The chart provides a concise summary of the main points about each database. Many of these files will be used in the applications in subsequent sections of this workbook.

Patents Databases Chart

Files	Freq Update	Abstracts	Claims	Full text	Image	Countries	Early Date	Fam. Data	Legal Status	Cited Pat/ Ref	Citing Info	Class Code	CAS RNs	Week Alerts	Month Alerts
<i>Derwent World Patents Index</i> (Files 351/352,350)	2xW	Y	Y (1)	N	Y	41	1963	Y	N	N (2)	N	US IPC ECLA JC	N	Y	Y
<i>Patents Citation Index</i> (File 342)	2xW	N	N	N	N	10	1973	Y	N	Y	Y	N	N	Y	Y
CLAIMS/U.S. Patents (File 340)	2xW	Y	Y	N	N	U.S.	1950	N	N	N	N	US, IPC	Y (3)	Y	Y
Chinese Patents Fulltext (File 325) ¹³	W	Y	Y	Y	Y	China	1985	N	Y	N	N	IPC	N	Y	Y
U.S. Patents Fulltext (Files 654, 652)	2xW	Y	Y	Y	Y	U.S.	1971 (4)	N	Y	Y	N	US IPC	N	Y (5)	Y
European Patents Fulltext (File 348)	W	Y	Y (6)	Y (7)	Y	EPO (8)	1978	N	N	Y	N	IPC	N	Y	Y
WIPO/PCT Patents Fulltext (File 349)	W	Y	Y	Y	Y	177	1978	N	Y	N	N	IPC	N	Y	Y
INPADOC/Family and Legal Status (File 345)	W	Y	N	N	N	96	1850	Y	Y	Y	N	IPC US ECLA	N	Y	Y
JAPIO (File 347)	M	Y	N	N	Y	Japan	1976	N	N	N	N	IPC	N	Y	Y
CLAIMS/Current Patent Legal Status (File 123)	W	N	Y (9)	N	N	U.S.	1980	N	Y	N	N	N	N	Y	Y
Ei EnCompassPat (File 353)	M	Y (10)	N	N	N	40	1964	N	N	N	N	IPC	Y	Y	Y
IMS Patent Focus (File 447)	M	Y	N	N	N	Worldwide	1950	Y (11)	Y	N	N	N	Y	Y	Y
CA Search: Chemical Abstracts (File 399)	W	Y (12)	N	N	N	Worldwide	1967	N	N	N	N	IPC	Y	Y	Y
German Patents Fulltext (File 324)	W	Y	Y	Y	Y	Germany	1967	N	N	Y	N	IPC	N	Y	Y
LitAlert (File 670)	W	N	N	N	N	U.S.	1973	N	Y	N	N	N	N	Y	Y

1 Selective inclusion

2 See File 342

3 Chemical patents only 1967-79

4 Selective coverage from 1971 to 1973

5 File 654 only

6 Granted patents 1991-present

7 Granted patents 1991-present

8 Member countries to the EPO

9 Reexamination claims only

10 Searchable, but displayable to subscribers only

11 Limited patent family information

12 DialogWeb Guided Search only

13 Translated into English



Section 2: Tracking Competitive Patenting Activities

In this section you will learn how to:

- Search by patent assignee and assignee code
- Use the RANK command
- Search by keywords
- Use classification codes
- Set up an Alert

Monitoring the patenting activities of a company is the cornerstone of competitive intelligence. In this section we will explore several applications that will enable you to find out:

- What patents a company holds
- What other companies are involved in similar technology development
- In what countries a company is patenting—a good reflection of a company's worldwide marketing strategy
- How to create an Alert to track ongoing patenting activities of a competitor

Application 1: Searching by Patent Assignee and Assignee Code

One way to gain competitive intelligence about a company is to look at its patents to determine what it is doing—what products it is creating and what direction its R&D is taking. You can search for a company as the patent assignee using the prefix PA=.

If a company has a significant number of patents, it may be assigned a code by the database producer. The code may vary depending on the database. For the most comprehensive results, “OR” together the codes and the company name(s).

Derwent World Patents Index® (File 351) uses a four-letter assignee code, along with the prefix CK= or PA=. The assignee code will retrieve parent and subsidiary records for companies having fifty or more patents. Some codes contain –I (assigned to individuals) or –N (non-unique code). Using these codes may retrieve false hits.

Example: s ck=matv
s pa=ibmc

U.S. Patents Fulltext (Files 654, 652) and CLAIMS®—U.S. Patents (File 340) assigns a numeric code and the prefix PA=.

Example: s pa=53126

Technique—Using the EXPAND Command

The EXPAND command uses a two-step process:

1. EXPAND on the patent assignee (PA=) name. Do not use truncation or connectors when using EXPAND.

Example: expand pa=anheuser busch

2. SELECT all appropriate E number(s) for the assignee name.

Example: select e3
select e3:e6
select e3 or e5

► **Topic** ◀ You are working in the automobile tire industry. Research one of your top competitors—General Tire and Rubber Company—and identify its most recently published patents from a global perspective.

Command Summary

B 351
E pa=general tire
S e3:e19
T s1/3/1
S ck=gent

BEGIN *Derwent World Patents Index* (File 351) to search for international patents.

EXPAND the patent assignee (PA=) name. You can identify the patent code from the EXPAND list, in this case GENT for General Tire & Rubber Co.

SELECT all appropriate E number(s) for the assignee name. Use a colon to select a range of E-Ref numbers.

TYPE a record in Format 3 to verify the four-letter patent assignee code which is in parentheses following the patent assignee's name.

```
? b 351
      File 351:Derwent WPI 1963-2009/UD=200970
      (c) 2009 Thomson Reuters

      Set  Items  Description
      ---  ----  -
? e pa=general tire

Ref  Items  Index-term
E1   37    PA=GENERAL TIME CORPORATION
E2   1     PA=GENERAL TIME CORPORATION US
E3   2     *PA=GENERAL TIRE
E4   1     PA=GENERAL TIRE & RUBB
E5   1     PA=GENERAL TIRE & RUBB (GENT)
E6   61    PA=GENERAL TIRE & RUBB CO
E7   61    PA=GENERAL TIRE & RUBB CO (GENT)
E8   418   PA=GENERAL TIRE & RUBBER CO
E9   400   PA=GENERAL TIRE & RUBBER CO (GENT)
E10  10     PA=GENERAL TIRE & RUBBER COMPANY AKRON OHIO US
E11  1     PA=GENERAL TIRE AND RUB CO
E12  1     PA=GENERAL TIRE AND RUB CO (GENT)
E13  113   PA=GENERAL TIRE AND RUBBER C
E14  1     PA=GENERAL TIRE AND RUBBER C (GENI)
E15  112   PA=GENERAL TIRE AND RUBBER C (GENT)
E16  21    PA=GENERAL TIRE INC
E17  20    PA=GENERAL TIRE INC (GENT)
E18  13    PA=GENERAL TIRE INC ONE GENERAL STREET AKRON
      OHIO
E19  3     PA=GENERAL TIRE INC US
E20  3     PA=GENERAL TOOL COMPANY
E21  12    PA=GENERAL TOOL INC
E22  1     PA=GENERAL TOOL INC US
E23  1     PA=GENERAL TOOL INC 2025 ALTON PARKWAY IRVINE
      CA
E24  1     PA=GENERAL TOOLS & INSTRUMENTS COMPANY LLC
E25  2     PA=GENERAL TOPICS S R L

Enter P or PAGE for more
? s e3:e19
      S8      619  PA='GENERAL TIRE':PA='GENERAL TIRE INC US

? t s8/3/1
Dialog eLink: Order File History
8/3/1
DIALOG(R)File 351: Derwent WPI
(c) 2009 Thomson Reuters. All rights reserved.

0007345848
WPI Acc no: 1995-036962/199506
XRAM Acc no: C1995-024050
XRPX Acc No: N1995-041254
Tyre with flexible protective barrier(s) - comprises fabric
```

SELECT the assignee code using CK= and the letters indicated. Note: Although you can also use the search prefix PA= to search patent assignees with the appropriate code, you may get false hits if part of a company name comprised the four letters.

OR the two sets together to retrieve all patents assigned to General Tire & Rubber. Using both the name and code is the most comprehensive way to search by patent assignee. In this example we added several hundred additional patents.

Note: You can EXPAND the patent assignee code for a list of all of the subsidiaries, divisions, etc. indexed under the code.

Never rely on one method or another if a unique code is provided by the database.

disposed intermediate both left and right sides of carcass cord layer and both left and right sidewall portion(s), and located predetermined distance from reinforcement belt
 Patent Assignee: GENERAL TIRE INC (**GENT**)
 Inventor: JANELLO T A; LOESCH R W; WADE G M

? **ck=gent**
 S2 989 CK=GENT

? **s s1 or s2**
 619 S1
 989 S2
 S3 1012 S1 OR S2

? **e ck=gent**

Ref	Items	Index-term
E1	1	CK=GENS-N (ZH GENSHIRYOKU KENKYU BACKEND SUISHIN
E2	3	CK=GENS-N (ZH GENSHIRYOKU SHISETSU DECOMMISSIONIN
E3	989	*CK=GENT
E4	1	CK=GENT (CONTINENTAL GEN TIRE INC)
E5	6	CK=GENT (GEN CORP KK)
E6	2	CK=GENT (GEN CORPORATION KK)
E7	1	CK=GENT (GEN TIRE AND RUB CO)
E8	1	CK=GENT (GEN TYRE & RUBBER CO)
E9	1	CK=GENT (GENCORP AEROJET)
E10	274	CK=GENT (GENCORP INC)
E11	3	CK=GENT (GENCORP KK)
E12	1	CK=GENT (GENCORP PROPERTY CORP)
E13	62	CK=GENT (GENCORP PROPERTY INC)
E14	5	CK=GENT (GENCORP PTY INC)
E15	2	CK=GENT (GENCORP)
E16	61	CK=GENT (GENERAL TIRE & RUBB CO)
E17	1	CK=GENT (GENERAL TIRE & RUBB)
E18	400	CK=GENT (GENERAL TIRE & RUBBER CO)
E19	1	CK=GENT (GENERAL TIRE AND RUB CO)
E20	112	CK=GENT (GENERAL TIRE AND RUBBER C)
E21	20	CK=GENT (GENERAL TIRE INC)
E22	1	CK=GENT (GENERAL TYRE & RUBBER CO)
E23	4	CK=GENT (GENERAL TYRE AND RUBBER C)
E24	1	CK=GENT (GENT)
E25	1	CK=GENT (GENCORP PROPERTY INC)

Application 2: Identifying the Players

Technique—Using the RANK Command

The RANK command is a powerful tool that will help you conduct competitive intelligence analysis on products being developed in the market place by specific companies. The RANK command provides the ability to perform trend or statistical analysis on an existing search set. To use this command, simply enter RANK and the desired field(s), (e.g., RANK PA). The Dialog system then extracts terms from the specified field(s) in a set of records and lists them in ranked order, with the most highly posted term appearing first. Each ranked term is also assigned a “rank number” that can be used to save a term for later use or to display desired records while in the RANK menu. The RANK command has been designed to work in most phrase-indexed Additional Index fields and numeric-indexed fields. Review the Bluesheet for a complete list of fields that can be RANKed.

Example: RANK IC (for international class codes)
RANK PA (for patent assignees)

► **Topic** ◀ Identify companies active in your field of technology, the use of erythropoietin for the treatment of anemia.

Command Summary

B 351
S erythropoietin and
(anemia or anemic? or
anaemia)
Rank paname cont
[follow the rank menu]
View 2/3/1-3
Exs
s s1 and s3

BEGIN *Derwent World
Patents Index* (File
351) for compre-
hensive international
patent subject
searching. Conduct a
subject search to
retrieve patents in your
area of technology.

Limit your search to
2008 and 2009.

Use HELP RANK 351
followed by the
database number to
identify data to RANK
and the RANK code.

```
? b 351
File 351:Derwent WPI 1963-2009/UD=200977
(c) 2009 Thomson Reuters

Set  Items  Description
---  -
? s erythropoietin and (anemia or anemic or anaemia)
      3000  ERYTHROPOIETIN
      8540  ANEMIA
      214   ANEMIC
      3749  ANAEMIA
S1    704   ERYTHROPOIETIN AND (ANEMIA OR ANEMIC
      OR ANAEMIA)

? s s1/2008:2009
      704   S1
      3278140 PY=2008 : PY=2009
S2    342   S1/2008:2009

? help rank 351
HELP RANK 351 - DERWENT WORLD PATENTS INDEX
```

Any phrase- and numeric-indexed field, such as PA=, AC=, etc., can be used with the RANK command to arrange set results in order by frequency of occurrence, e.g., RANK S3 AC. In addition, MAP fields and the following special RANK options can be used with the RANK command in this file:

Use the RANK command to identify which companies are most involved in this technology. RANK PANAME CONT to obtain a continuous display of patent assignee names only.

Follow the RANK menu and choose the RANK numbers for the top ten patent assignees in this field of technology.

```

RANK Code          Data Displayed In RANK
-----          -
ACPR              Priority Application Country
ADPR              Priority Application Date
AK                Application Country and Kind
ANPR              Priority Application Number
ANPl              First/Earliest Priority Application Number
ASSIGNEE          Patent Assignee Code with Name in
parentheses
AYPR              Priority Application Year
DE                Descriptors
ICMA              Main International Patent Classification
PACODE            Patent Assignee code (same as CK)
PANAME            Patent Assignee name (same as CO)
PCPB              Basic Patent Country
PDPB              Basic Patent Date
PK                Patent Country and Kind
PKPB              Basic Patent Country and Kind
PYPB              Basic Patent Year

? rank paname cont
Started processing RANK
...Ranking 100 of 704 records
. . . .
Completed Ranking 704 records
Press ENTER to view the TOP 50 terms
    or enter a number N to view the top N terms
    or >N to view terms with more than N items
    or enter ALL to view all terms

? 1-10
Enter title for continuous output or press ENTER for
current title option

DIALOG RANK Results
-----
RANK: S1/1-342   Field: PANAME=   File(s): 351
(Rank fields found in 704 records -- 648 unique terms)

RANK No.  Items  Term
-----  -
      1      20  AMGEN INC
      2      12  FIBROGEN INC
      3      11  SMITHKLINE BEECHAM CORP
      4      10  AFFYMAX INC
      5       9  ABBOTT LAB
      6       8  CENTOCOR INC
      7       8  HOFFMANN LA ROCHE & CO AG F
      8       7  CELGENE CORP

P = next page          Pn = Jump to page n
P- = previous page    M = More Options      Exit = Leave RANK
To view records from RANK, enter VIEW followed by RANK
number,format, and item(s) to display, e.g., VIEW 2/9/ALL.
Enter desired option(s) or enter RANK number(s) to save
terms.
    
```

It is possible to view documents from the RANK menu interface.

Use VIEW, the RANK number and the number of items. Records are charged at the same rate as when TYPED.

```

?. view 1/3/1-3
--RANK 1 ITEM 1 --

0019340915
WPI ACC NO: 2009-M03093/200952
New isolated antibody that binds to an extracellular domain
of ferroportin, useful for treating a subject having a
disorder of iron homeostasis, e.g. anemia, sepsis, anemia
of cancer, congestive heart failure, and end stage renal
disorder

Patent Assignee: AMGEN INC (AMGE)
Inventor: ARVEDSON T; DYAS G; ROTTMAN J; SASU B
Patent Family (1 patents, 122 countries)
Patent Application
Number Kind Date Number Kind Date
Update
WO 2009094551 A1 20090730 WO 2009US31851 A 20090123
200952 B

Priority Applications (no., kind, date): US 200823693 P
20080125; US 2008121729 P 20081211

Patent Details
Number Kind Lan Pg Dwg Filing Notes
WO 2009094551 A1 EN 124 9

National Designated States,Confirmed: AE AG AL AM AO AT AU
AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DO
DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP
KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK
MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD
SE SG SK SL SM ST SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN
ZA ZM ZW
Regional Designated States,Confirmed: AT BE BG CH CY CZ DE
DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MK MT NL NO
PL PT RO SE SI SK TR OA BW GH GM KE LS MW MZ NA SD SL SZ TZ
UG ZM ZW EA
. . . .

DIALOG RANK Results
-----
RANK: S2/1-342 Field: PANAME= File(s): 351
(Rank fields found in 342 records -- 648 unique terms) Page
1 of 81
RANK No. Items Term
-----
1 20 AMGEN INC
2 12 FIBROGEN INC
3 11 SMITHKLINE BEECHAM CORP
4 10 AFFYMAX INC
5 9 ABBOTT LAB
6 8 CENTOCOR INC
7 8 HOFFMANN LA ROCHE & CO AG F
8 7 CELGENE CORP
P = next page Pn = Jump to page n

```

EXIT the RANK menu with the top ten RANK results saved. Note: You can use a semicolon to stack the commands.

EXECUTE the saved results to create a set containing all patents for the ten patent assignees that you saved. You could further limit the set with applicable subject terms.

The final set created (S13) represents all patents in the database held by the assignees in the RANKed menu list.

To retrieve only those containing the keywords, you must combine the PA set 2 with the records in the RANKed menu.

P- = previous page M = More Options Exit = Leave RANK
 To view records from RANK, enter VIEW followed by RANK number, format, and item(s) to display, e.g., VIEW 2/9/ALL.
 Enter desired option(s) or enter RANK number(s) to save terms.

? . **exit**

RANK results will be erased; have you saved all the terms of interest? (YES/NO)

? **y**

Temp SearchSave "TD693" stored
 Creating temporary SearchSave ... TD693
 Enter EXS to execute the SearchSave

? **exs**

Executing TD693

S3	938	CO="AMGEN INC"
S4	74	CO="FIBROGEN INC"
S5	3089	CO="SMITHKLINE BEECHAM CORP"
S6	31	CO="AFFYMAX INC"
S7	4611	CO="ABBOTT LAB"
S8	326	CO="CENTOCOR INC"
S9	4001	CO="HOFFMANN LA ROCHE & CO AG F"
S10	219	CO="CELGENE CORP"
S11	111	CO="FRESENIUS KABI DEUT GMBH"
S12	103	CO="NEOSE TECHNOLOGIES INC"
S13	13498	S3:S12

? **s s2 and s13**

	342	S2
	13498	S13
S15	99	S2 AND S13

Application 3: Searching Similar Art Patents

You can begin a patent search by performing a free-text subject search similar to the one illustrated in Application 1, but you will not want to stop with the results. Patent documents are often difficult to search solely through keywords and descriptors. The least likely word to occur in a patent is the word describing the items being patented. For example, a chair becomes a backrest, a seatpan, a fastening mechanism or a support leg.

Classes and subclasses are assigned to patents by the examiner at the patent office. They are used to place patents into a broad area of technology. Searching with a classification system yields more comprehensive results than a free-text search. On Dialog, it is possible to search both International Patent Classification codes (IC=) and U.S. Class codes (CL=). For U.S. and IPC codes, it is often necessary to convert the codes from the patent office format to Dialog format.

International Class Codes (IC=)

- The first four characters represent the class (e.g., E04B).
- The next three digits represent the group, and the digits following the slash are a subgroup. Zero-fill to the left before (4 digits) and after the slash (2 digits).
- Use the hyphen between the class and the group (e.g., E04B 1/8 is converted to E04B-0001/08).

Examples: A63H IC=A63H
 A63H33 IC=A63H-0033
 A63H33/26 IC=A63H-0033/26

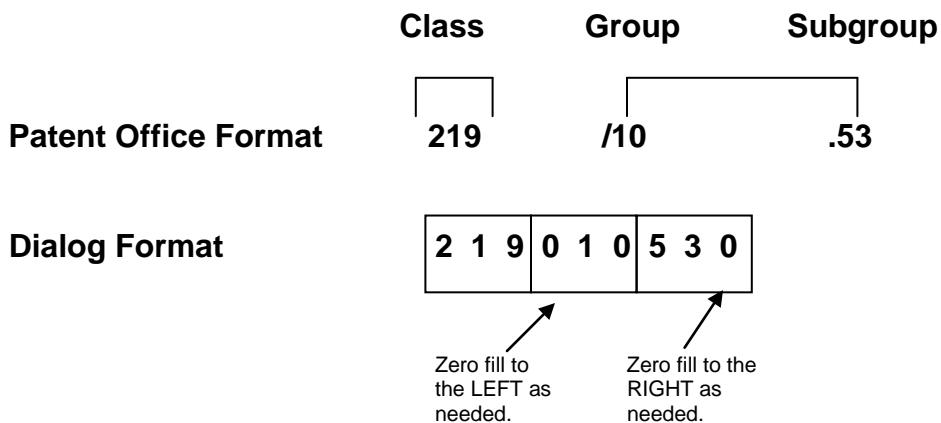
- This example illustrates the conversion:

	Class	Group	Subgroup			
Patent Office Format	<div style="border: 1px solid black; width: 40px; height: 20px; margin: 0 auto;"></div> G06F	<div style="border: 1px solid black; width: 40px; height: 20px; margin: 0 auto;"></div> 15	<div style="border: 1px solid black; width: 40px; height: 20px; margin: 0 auto;"></div> /66			
Dialog Format	<table border="1" style="border-collapse: collapse; margin: 0 auto;"> <tr> <td style="padding: 5px;">G 0 6 F</td> <td style="padding: 5px;">- 0 0 1 5</td> <td style="padding: 5px;">/ 6 6</td> </tr> </table>			G 0 6 F	- 0 0 1 5	/ 6 6
G 0 6 F	- 0 0 1 5	/ 6 6				

Zero fill to the
LEFT as
needed.

U.S. Classification Codes (CL=)

- U.S. Class codes are indexed as nine-digit numbers that may be followed by up to three alpha characters.
- The first three digits represent the class and are zero-filled to the left:
- Example: 36=036
- The next six digits represent the subclass number. The numbers to the left of the decimal point are zero-filled to the left; the numbers to the right of the decimal point are zero-filled to the right:
- Example: 10-55=010055000
- This example illustrates the conversion:



✓ Learning Check

1. Write Dialog search statements for the following to test your knowledge of U.S. classification codes.
 - a. 124-37
 - b. 430-5
 - c. 219/10.53
2. Write Dialog search statements for the following to test your knowledge of international classification codes.
 - a. G06F 15/84
 - b. C07C 315/00
 - c. G03C 5/04

In most searches you do, you will not have a patent in hand. Therefore, you must use subject terms to develop the prior art. To proceed without a patent number, use the following steps.

- Search keywords to identify the documents on your topic; then browse titles to evaluate the results.
- To enhance retrieval, use the RANK command to analyze the Class codes assigned to the records you have identified.
- Include the relevant codes in your search to improve retrieval.

► **Topic** ◀ The keyword search illustrated in Application 2 appears to be right on target. Utilize class codes to retrieve further international patents in this area of technology.

Command Summary

B 351
S erythropoietin
Rank ic
[follow RANK menu]
Exs
S s1 or s2
S anemia or anemic or
anaemia
S s3 and s4
T s5/3/1-3

BEGIN in *Derwent
World Patents Index*
(File 351) for
international patent
searching.

Conduct a quick
search to retrieve
patents that fit your
criteria.

RANK by international
class code (IC).

Note the RANK
number for the
International Class
code that appears
most often for
“erythropoietin.”

```
? b 351
File 351:Derwent WPI 1963-2009/UD=200977
      (c) 2009 Thomson Reuters

      Set  Items  Description
      ---  ----  -
? s erythropoietin
      S1    3000  ERYTHROPOIETIN

? s s1/2009
                3000  S1
                1707697 PY=2009
      S2      887  S1/2009

? rank ic

RANK numbers saved: 1
DIALOG RANK Results
-----
RANK: S2/1-887  Field: IC=  File(s): 351
(Rank fields found in 887 records -- 2461 unique terms)
Page 1 of 308
RANK No.  Items  Term
-----  -
      1      260  C07K-0014/435
      2      245  A61K-0038/00
      3      212  A61P-0007/00
      4      212  C12N-0015/09
      5      196  A61P-0043/00
      6      175  A61K-0038/22
      7      156  A61K-0038/18
      8      155  A61P-0007/06

P = next page      Pn = Jump to page n
P- = previous page M = More Options      Exit = Leave RANK
To view records from RANK, enter VIEW followed by RANK
number, format, and item(s) to display, e.g., VIEW 2/9/ALL.
Enter desired option(s) or enter RANK number(s) to save
terms.
```

Follow the RANK menu and choose the RANK number for the International Class code most often used.

It is possible to view documents from the RANK menu interface or select M for more options such as alphabetizing, merging results, adding a title, etc.

EXIT the rank menu with rank results saved.

EXECUTE the saved results to create a set containing the International Class code that you saved.

OR the sets together so that you have both keywords for erythropoietin and its class code.

DISPLAY SETS (DS) to see the sets created to this point.

Narrow the search using additional keywords and combine sets.

```

?. 1
RANK numbers saved: 1
DIALOG RANK Results
-----
RANK: S2/1-887   Field: IC=   File(s): 351
(Rank fields found in 887 records -- 2461 unique terms)
Page 1 of 308
RANK No.  Items  Term
-----  -
      1      260  C07K-0014/435
      2      245  A61K-0038/00
      3      212  A61P-0007/00
      4      212  C12N-0015/09
      5      196  A61P-0043/00
      6      175  A61K-0038/22
      7      156  A61K-0038/18
      8      155  A61P-0007/06

P = next page      Pn = Jump to page n
P- = previous page M = More Options      Exit = Leave RANK
To view records from RANK, enter VIEW followed by RANK
number, format, and item(s) to display, e.g., VIEW 2/9/ALL.
Enter desired option(s) or enter RANK number(s) to save
terms.

?. exit; y
RANK results will be erased; have you saved all the terms
of interest?
(YES/NO)

Temp SearchSave "TD694" stored
Creating temporary SearchSave ... TD694
Enter EXS to execute the SearchSave

? exs
Executing TD694
      S3   50402  IC="C07K-0014/435"

? s s2 or s3
           887  S2
           50402 S3
      S4   51029  S2 OR S3

? ds

Set      Items  Description
S1       3000  ERYTHROPOIETIN
S2        887  S1/2009
S3       50402  IC="C07K-0014/435"
S4       51029  S2 OR S3

? s anemia or anemic or anaemi?
           8544  ANEMIA
           212  ANEMIC
           3897  ANAEMI?
      S5   10959  ANEMIA OR ANEMIC OR ANAEMI?
    
```

TYPE records to see like patents in your area of art.

```
? s s4 and s5
          51029 S4
          10959 S5
          S6    1899 S4 AND S5
? T s6/3/1-2
```

Dialog eLink: [Order File History](#)

9/3/1

DIALOG(R)File 351: Derwent WPI

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0019744476

WPI Acc no: 2009-Q99628/200977

Recombinant human serum albumin metalloporphyrin complex useful as artificial oxygen carrier, comprises one oxygen coupling constant

Patent Assignee: JAPAN SCI&TECHNOLOGY AGENCY (JSTA)

Inventor: KOMATSU A; NAKAGAWA A; TSUCHIDA H

Patent Family (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
JP 2009263273	A	20091112	JP 2008114564	A	20080424	200977	B

Priority Applications (no., kind, date): JP 2008114564 A 20080424

Patent Details

Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
JP 2009263273	A	JA	12	0	

....

Application 4: Patent Watch

Dialog Alerts is a current awareness service that is available for most regularly updated Dialog databases. This service provides you with an easy, cost-effective way to keep up-to-date on new technologies, research activities, the competition, laws, policy and regulations, or any issues that directly affect your area of business, science, or industry.

The Dialog Alerts service allows you to have a search run automatically and regularly, keeping you informed of new developments and important news. Your Alert results can be sent via email or U.S. mail. Because this service runs automatically and is customized by you, it is a powerful decision-making tool. You can use Alerts as an ongoing information gathering tool to keep your entire organization informed.

Technique—Setting up an Alert

Follow the steps below to set up your Alert:

1. BEGIN in a database or in multiple databases.
2. Enter your search statements.
3. Enter a PRINT TITLE command to assign a title to your search.
4. Enter a PRINT command to identify the set of records to be delivered each time the Dialog Alert profile is run. Also, identify the method of delivery—email or U.S. mail.
5. Enter the SAVE ALERT command. You can follow the command with an optional one- to thirty-character name (e.g., SAVE ALERT NEWS). If no name is given, the Dialog system will assign a serial number. Some databases allow you to choose the frequency with which your search will be run (e.g., SAVE ALERT NEWS DAILY).
6. The Dialog system will prompt you to cancel your PRINT statement if current records are not desired.

► **Topic** ◀ Set up a current awareness program that will track new patents globally regarding the development of vaccines for the treatment of aids or HIV-related diseases.

Command Summary

```
B 351
S <search statement>
T s1/3,k/1
PRINT TITLE <alert
title>
Pr s1/3/1-20 addr
bajajbev
Save alert vaccin week

BEGIN in File 351 to
get a global view of
patents.

SELECT keywords
including all synonyms.
```

```
? b 351
File 351:Derwent WPI 1963-2009/UD=200977
(c) 2009 Thomson Reuters

Set Items Description
--- ----
? s (aids or hiv or human()immunodeficiency()virus or
acquired()immune()deficiency or immune(W)disorder) and
(vaccine? ? or vaccinat?)
43666 AIDS
31051 HIV
326477 HUMAN
11031 IMMUNODEFICIENCY
67953 VIRUS
6804 HUMAN(W)IMMUNODEFICIENCY(W)VIRUS
159369 ACQUIRED
53950 IMMUNE
20840 DEFICIENCY
```

TYPE a record using Formats 3 and KWIC to make sure your search strategy is retrieving appropriate records.

	1300	ACQUIRED(W) IMMUNE(W) DEFICIENCY
	53950	IMMUNE
	74002	DISORDER
	817	IMMUNE(W) DISORDER
	31624	VACCINE? ?
	6871	VACCINAT?
S1	4599	(AIDS OR HIV OR HUMAN() IMMUNODEFICIENCY() VIRUS OR ACQUIRED() IMMUNE() DEFICIENCY OR IMMUNE(W) DISORDER) AND (VACCINE? ? OR VACCINAT?)
? t s1/3,k/1		

Dialog eLink: [Order File History](#)

1/3,K/1

DIALOG(R)File 351: Derwent WPI

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0019741924

WPI Acc no: 2009-Q82280/200977

Composition for treating e.g. cancer, autoimmune disease comprises adjuvant and antigens where adjuvant contains living immune cells where at least portion is activated T-cells and administering composition to host generates immune response

Patent Assignee: IMMUNOVATIVE THERAPIES LTD (IMMU-N)

Inventor: HAR-NOY M

Patent Family (1 patents, 122 countries)							
Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2009135199	A2	20091105	WO 2009US42673	A	20090504	200977	B

Priority Applications (no., kind, date): US 200849990 P 20080502; US 200850294 P 20080505

Patent Details					
Patent Number	Kind	Lan	Pgs	Draw	Filing Notes
WO 2009135199	A2	EN	25	2	
National Designated States, Confirmed	AE AG AL AM AO AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DO DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LY MA MD ME MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM ST SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW				
Regional Designated States, Confirmed	AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HR HU IE IS IT LT LU LV MC MK MT NL NO PL PT RO SE SI SK TR OA BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW EA				

Original Titles: VACCINE COMPOSITIONS AND METHODS... **Alerting Abstract ...** ACTIVITY - Cytostatic; Immunosuppressive; Antibacterial; Virucide; Antiinflammatory; Hepatotropic;

Neuroprotective; Anti- HIV ; Antitubercular; Tuberculostatic; Protozoacide; Antimalarial. A composition (test) containing CD3/CD28 cross-linked Th-1 cells... .. 100 mu l), was prepared and tested for anti-tumor activity. Balb/c mice were vaccinated intra-dermally in the footpad on day 14 and 7 before tumor cell inoculation, with... .. MECHANISM OF ACTION - Vaccine variola (small pox), measles, mumps, German measles, Japanese encephalitis, meningitis, influenza, pneumococcal infections, rotavirus infections, AIDS (HIV1 and 2), human T cell lymphotropic virus (HTLV)1 and 2, syphilis, human papilloma... .. ADVANTAGE - The vaccine compositions and methods for active immunotherapy are capable of eliciting protective and therapeutic Th1 immunity
Original Publication Data by Authority Argentina Publication No. Original Abstracts:
 The present invention relates to pharmaceutical vaccine compositions comprising at least one vaccine antigen together with living immune cells. These immune cells include at least a portion of...

Enter a title for your Alert.

Enter the PRINT command to have the Alerts delivered by email (ADDR).

Save your Alert with a name of up to 30 characters.

The Alert menu has the database searched and search strategy already entered.

A popup box asks if you want to cancel the PRINT requests for records already in the database. This means you will receive new records as the file is updated.

Choose a schedule to have the Alert sent when the database is updated or a customized schedule, with the time frequency, day and time you want the Alert delivered to you.

```
? print title vaccin
PRINT TITLE VACCIN

? Pr s1/3/1-20 addr bajabev
P627: PRINT S1/3/1-20 ADDR BAJABEV estimated cost of
$176.80
Alternate address: BAJABEV is used.

Email delivery charges will be added at the rate of $0.50
per PRINT command

Note: Unless you are setting up an Alert, you may enter
SEND or SEND ALL to process your print request immediately.

? Save alert
```

Alert Name Subaccount

File List:
 Derwent WPI (File 351) Add Files

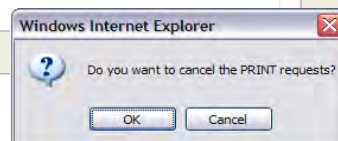
Options:
 Remove duplicates across databases and against past deliveries (Dedup)
 Notify me even if no new documents are found

Search Commands:

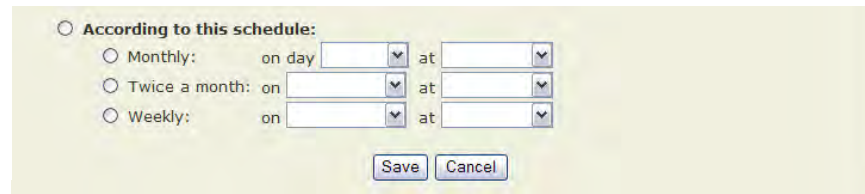
Print Commands:

Insert Address: v

Choose a schedule:
 Based on the Alert update frequency:
 If any databases have multiple Alert frequencies, make a selection below.
 Weekly



SAVE using the Alert name VACCIN to be run weekly when the database is updated.



The screenshot shows a dialog box with a light green background. At the top, there is a radio button labeled "According to this schedule:". Below this, there are three radio button options: "Monthly:", "Twice a month:", and "Weekly:". Each option is followed by the text "on" and a dropdown menu for "day", and "at" and a dropdown menu for "time". The "Weekly:" option is selected. At the bottom of the dialog box, there are two buttons: "Save" and "Cancel".

✓ Online Practice

Answer the questions below to test your knowledge of this section. Sample answers to the exercises appear in Appendix C.

1. Research Advanced Micro Devices in *Derwent World Patents Index ONTAP* (File 280) and identify its published patents from 2006 to 2008.
2. In *Derwent World Patents Index ONTAP* (File 280), obtain a list of all subsidiaries, divisions, etc. that are indexed under the patent assignee code for International Business Machines.
3. Identify companies active globally in the exploration of estrogen as a treatment for osteoporosis and bone loss.
4. Utilize class codes to retrieve further international patents on the topical treatment of alopecia or hair loss.
5. You have also been asked to retrieve an EP patent, 1073407. Who is the patent assignee?



Section 3: Searching Cited Literature

In this section you will learn to:

- Effectively perform citation searches
- Use the MAP command
- Use the RANK command to create a list of your competitors

Information found in Patent Citations

In order to receive a patent, an applicant must prove that its patent is novel, that is, it has never been made, used, or sold before. Thus, the patent is advancing the state of the art in that technology. In order to prove that the patent is advancing the state of the art, applicants must list the appropriate patent numbers that define the present state of the art and show that their inventions are demonstrably “different” from the known art. These patents are known as “prior art,” also called Search Reports outside the United States and are cited during the examination period. Cited patents are those patents identified by the inventor or examiner during the course of examination of the application as being related or prior art. Cited patents appear on the patent documentation as references cited.

For competitive intelligence purposes it is important to know who is citing your patents. The entities identified are your competition. Citing patents is Dialog nomenclature to identify more recent patents, issued after a given patent has published that list the given patent as a cited reference. Citing patents can be used to protect your organization’s patents, monitor your competitor’s research and identify technology trends.

In addition, patent valuation can be measured by the number of other patents that are citing a specific patent. For example, your competitor watches your product launches, patent and trademark activity and news reports. Thus, they tend to know the major focus of your research and development. They also tend to cite your patents quite often, especially if you are in a relatively mature industry.

Patent Citation Analysis

Several databases on Dialog provide patent citation information for the U.S. and internationally. See Table 1 below.

Database Name/Number	Coverage	Update Frequency	Citing Patents	Cited Patents
U.S.				
U.S. Patents Fulltext (Files 652, 654)	1970+	Weekly		X
CLAIMS/U.S. Patents (File 340)	1950+ (chemical) 1963+(electrical & mechanical) 1976+ design & plant)	Twice weekly		X*
<i>International</i>				
<i>Derwent Patent Citation Index</i> (File 342)	1973+	Weekly	X	X
European Patents Fulltext (File 348)	12/1978+	Weekly		X

Table 1: Patent Citation Files

*Only non-U.S. patents and non-patent references can be searched. U.S. cited patent numbers display but are not searchable.

Application 1: Viewing a Patent's Citations

If you are interested in determining who is citing a particular U.S. patent, U.S. Patents Fulltext is an inexpensive way to find patents that have cited a specific patent. Simply SELECT CT=US NNNNNNN (where CT stands for cited patent and NNNNNNN is the patent number without commas) and type out the records in Format 2 to see cited references along with basic bibliographic information.

► **Topic** ◀ One aspect of citation tracking is to see who is citing a particular patent. This will help monitor competitors for possible infringement or identify possible future partnerships for technology transfer. Identify competitors who are working in the same area of technology, intracell delivery, and citing patent 5,004,737.

Command Summary

```
B 340
S pn=us 5004737
T s1/3
B patfull
S ct=us 5004737
T s1/ti,pn,pa,ct/1
```

BEGIN in CLAIMS/U.S. Patents (File 340) to see if there are any cited patents for this patent number.

SELECT the patent number using PN=, the two-letter country code, and the patent number without commas.

TYPE out the record in Format 3 to see the number of patents being cited. Note that the "cited in" tags in CLAIMS/US Patents are updated annually.

To see who is citing a patent, we can also BEGIN in the U.S. Patents Fulltext files--PATFULL (Files 654, 652).

```
? b 340
File 340:CLAIMS(R)/US Patent 1950-09/Dec 08
      (c) 2009 IFI/CLAIMS(R)

      Set  Items  Description
      ---  -
? s pn=us 5004737
      S1      1  PN=US 5004737

? t s1/3
Dialog eLink: Order File History
1/3/1
DIALOG(R)File 340: CLAIMS(R)/US Patent
(c) 2009 IFI/CLAIMS(R). All rights reserved.
2133246  9107711
C/Quaternary ammonium-substituted sterol derivatives; Cationic
  Surfactants Used In Cosmetics
Inventors:Ha Byung J (KR); Kim Young D (KR)
Assignee: Pacific Chemical Co Ltd KR
Assignee Code: 24764
(Reassigned - See file 123 for details)
Attorney, Agent or Firm: Millen, White & Zelano

      Publication      Application
      Number      Kind Date      Number      Date
      -----
      US 5004737      A  19910402  US 89411411  19890922

      (Cited in 036 later patents)
Priority Applic:      US 89411411  19890922
Calculated Expiration: 20090922
Legal Status:  Expired
      (See File 123 for legal status details)

? b patfull
SYSTEM:OS - DIALOG OneSearch
File 652:US Patents Fulltext 1971-1975
      (c) format only 2002 Dialog
File 654:US PAT.FULL. 1976-2009/DEC 03
      (c) Format only 2009 Dialog

      Set  Items  Description
      ---  -
```

The cited patent field (CT=) in PATFULL retrieves records for patents that have cited a specific patent.

This file is updated weekly so the number of patents may differ from that noted in CLAIMS.

TYPE out the cited patents using a user-defined format to see the title of the patent, the patent number, assignee, and cited patents.

Note the patent assignee for this first record is Genaera Corporation, and there are both U.S. and non-U.S. patents.

```
? s ct=us 5004737
      S1      36 CT=US 5004737

? t s1/ti,pn,pa,ct/1

Dialog eLink: Order File History
1/TI,PN,PA,CT/1 (Item 1 from file: 654)

DIALOG(R)File 654: US PAT.FULL.
(c) Format only 2009 Dialog. All rights reserved.

Regioselective and stereoselective oxidation of fused ring
systems useful for the preparation of aminosterols
Assignee: Genaera Corporation, (02), Plymouth Meeting, PA, US
```

	Publication Number	Kind	Date	Application Number	Filing Date
Main Patent	US 6933383	B2	20050823	US 2002268660	20021011
Related Publ	US 20030171576	A1	20030911		
Continuation	PENDING			WO 2001US12004	20010412
Provisional				US 60-196646	20000412

```
Cited US Patents by Examiner:
Patent Number  Kind  Date      Main US  Inventor
                  Kind  YYYYMM   Class
-----
US 4301246      A    198111   -----  Despreaux et al.
US 4372888      A    198302   -----  Hjelmeland

Cited US Patents by Other:
Patent Number  Kind  Date      Main US  Inventor
                  Kind  YYYYMM   Class
-----
US 3016390      A    196201   -----  Counsell
US 3370070      A    196802   -----  Klimstra et al.
US 4220598      A    198009   -----  Hixson, Jr. et al.
US 4230625      A    198010   -----  Despreaux et al.
US 4425273      A    198401   -----  Iida et al.
US 4514393      A    198504   -----  Castagnola et al.
US 4545938      A    198510   -----  Mosbach et al.
US 4550163      A    198510   -----  Voss et al.
US 4565811      A    198601   -----  Di Schiena
US 4771042      A    198809   -----  Braughler et al.
US 4793948      A    198812   -----  Hatono et al.
US 4966897      A    199010   -----  Angelastro et al.
US 4994443      A    199102   -----  Folkman et al.
US 5001116      A    199103   -----  Folkman et al.
US 5004737      A    199104   -----  Kim et al.
US 5039529      A    199108   -----  Bergendal et al.
US 5057509      A    199110   -----  Pellicciari et al.
US 5061701      A    199110   -----  Pellicciari et al.
US 5063222      A    199111   -----  Komoto et al.
US 5075464      A    199112   -----  Blohm et al.
US 5135919      A    199208   -----  Folkman et al.
US 5192756      A    199303   -----  Zasloff et al.
US 5247104      A    199309   -----  DeLuca et al.
US 5250524      A    199310   -----  Kramer et al.
US 5637691      A    199706   -----  Frye et al.

Cited non-US Patents by Other:
Date      Main US
```

Patent Number	Kind	YYYYMM	Class	Inventor
EP 18515	A	198011		
EP 394971	A1	199010		
EP 466315	A2	199201		
FR 2361899		197803		
GB 1565351		198004		
WO 8702367		198704		
WO 9119731		199112		
WO 9325197		199312		
WO 9417079	A	199408		
WO 9419366		199409		
WO 9420520		199409		
WO 9424800	A	199410		
WO 9524415		199509		
WO 9640151		199612		
WO 9640728		199612		
WO 9824800		199806		

Application 2: Citing a Key Patent

Derwent Patents Citation Index (PCI)

Patents Citation Index (File 342), produced by Thomson Reuters, provides access to both patent and literature citations found in more than 7.8 million patent families. In each update, Examiner citations from about 50,000 documents from major patent-issuing authorities are added to the file. Each record in the database describes a single “patent family.” Author citations are derived for the “basic” or first patent in each family. Examiner citations from the six patent-issuing authorities are included for every family member (both basic and equivalent) covered by the file (EP, DE, JP—chemical, electrical patents, PCT/WO, GB, and US). PCI will give advance warning of possible infringements and technology advancement that would be discovered after significant delay if only U.S. documents were monitored.

Major uses of the database include:

- Legal challenges. PCI provides an easy method of keeping track of all relevant technology and provides a fast method to alert users of possible infringements.
- Watch service. Companies and patent attorneys can monitor their patent portfolio and see who is citing patents in the portfolio, a process that can be further simplified by creating a Dialog Alert.
- Competitor/competitive intelligence. Analysis of citation data provides insight into the areas of research of competitors and changes in strategic direction. For example, you can:
 - Determine whose patents, past and future, are being cited.
 - Find out whose patents are cited the most in your own company’s patents.
 - Identify companies that often cite your patents.
 - Locate names of experts associated with the competition.
- Trend analysis. Use citations to identify trends and shifts in technology before products appear in the marketplace.

One of the best ways to make sure of the cited/citing patent information is by using the MAP command. Cited or citing patent numbers, Derwent accession numbers and patent assignees can be mapped to *Derwent World Patents Index* to learn more about the subject of the invention.

	Cited Patents	Citing Patents
Patent Assignee Names	COCTNAME	COCGNAME
Patent Assignee Codes	COCTCODE	COCGCODE
Patent Numbers	CTPN	CGPN
Derwent Accession Numbers	RXCT	RXCG

Table 2: Cited/Citing Patents

Technique—Using the MAP Command

The MAP command creates a SearchSave of extracted data from field xx (where xx is a prefix-coded search field, e.g., PN) of records in the last set created. Alternatively, once a set is created, enter MAP alone to use the feature through menus. MAP is a database-specific feature; check for availability in the Bluesheet or by entering HELP MAP n online. MAP TEMP creates a temporary SearchSave of extracted data.

Example: MAP PN T (for patent number)

MAP ANPR (for priority application number)

► **Topic** ◀ What patents and technical articles were cited as relevant prior art by US 5939263, a Merck patent for treating obesity or diabetes, or by any of its foreign equivalents?

Command Summary

B 342
S pn=US 5939263
T s1/9
Map cgpn t
Recall td461
B 351
exs

BEGIN in *Derwent Patents Citation Index* (File 342) to view cited patents and literature for a specific patent number.

SELECT the patent number using the two-letter country code and the patent number without commas.

TYPE out the record in Format 9.

Note: Format 7 is a good format to use to obtain bibliographic information and citing references.

```
? b 342
File 342:Patents Citation Index 1960-200974
      (c) 2009 Thomson Reuters

      Set  Items  Description
      ---  -
? s pn=us 5939263
      S1      1  PN=US 5939263

? t s1/9
Dialog eLink: Order File History
1/9/1
DIALOG(R)File 342: Patents Citation Index
(c) 2009 Thomson Reuters. All rights reserved.
```

```
0004078561
WPI Acc no: 1996-371369/199637
DNA mol. encoding neuropeptide Y Yx receptor - useful in assays to
identify cpds. which bind to receptor, useful to treat, e.g.
obesity, diabetes, cardiac vasospasm and Parkinson's disease
Patent Assignee: MERCK & CO INC (MERI); MERCK & CO LTD (MERI)
Inventor: CASCIERI M A; LINEMEYER D L; MACNEIL D J; SHIAO L;
STRADER C; STRADER C D; TAN C P; WEINBERG D H
```

Patent Family (5 patents, 20 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 1996023809	A1	19960808	WO 1996US1444	A	19960130	199637	B
US 5621079	A	19970415	US 1995383746	A	19950203	199721	E
			US 1995415818	A	19950403		
EP 809648	A1	19971203	EP 1996904553	A	19960130	199802	E
			WO 1996US1444	A	19960130		
JP 11500610	W	19990119	JP 1996523748	A	19960130	199913	E
			WO 1996US1444	A	19960130		
US 5939263	A	19990817	US 1995383746	A	19950203	199939	E
			US 1995415818	A	19950403		
			WO 1996US1444	A	19960130		
			US 1997894236	A	19970725		

Priority Applications (no., kind, date): US 1995383746 A 19950203;

Section 3: Searching Cited Literature

Patent Details		Filing Notes				
Patent Number	Kind	Lan	Pgs	Draw		
WO 1996023809	A1	EN	65	0		
National Designated States, Original	CA JP US					
Regional Designated States, Original	AT BE CH DE DK ES FR GB GR IE IT LU MC NL PT SE					
US 5621079	A	EN	33	6	C-I-P of application	US 1995383746
EP 809648	A1	EN		0	Application	WO 1996US1444
					Based on OPI patent	WO 1996023809
Regional Designated States, Original	AT BE CH DE DK ES FR GB GR IE IT LI LU NL PT SE					
JP 1150061	W	JA	83		Application	WO 1996US1444
					Based on OPI patent	WO 1996023809
US 5939263	A	EN			C-I-P of application	US 1995383746
					C-I-P of application	US 1995415818
					Application	WO 1996US1444
					C-I-P of patent	US 5621079
					Based on OPI patent	WO 1996023809

CITED PATENTS BY EXAMINER							
Family Member	Kind	Cited Patent Number	Kind	Relevance Category	DWPI Accession	Assignee(s)	Inventor(s)
EP 809648	A	Field of Search	Not Available				
		WO 1993009227	A	X	1993-167694	GARVAN INST MEDICAL RES (GARV-N)	SELBIE L, HERZOG H, SHINE J
US 5621079	A	US Field of Search	435-69.1, 530-350				
		WO 1993009227	A1		1993-167694	GARVAN INST MEDICAL RES (GARV-N)	SELBIE L, HERZOG H, SHINE J
		WO 1993024515	A1		1993-405721	CORNELL RES FOUND INC (CORR)	WAHLESTEDT C
US 5939263	A	US Field of Search	435-320.1, 435-325, 435-352, 435-354, 435-358, 435-363, 435-365, 435-366, 435-6, 435-69.1, 435-7.1, 435-7.2, 435-7.21, 536-23.1, 536-23.5, 536-24.5				

CITED LITERATURE REFERENCES BY EXAMINER	
Cited Reference	
See also references of WO 9623809A1	
A.S. Levine & J.E. Morley, Peptides, 1984, 5:1025-1029, entitled Neuropeptide Y: A Potent Inducer of Consummatory Behavior in Rats.	
B.G. Stanley, et al., Peptides, 1992, 13:581-587, entitled Evidence for Neuropeptide Y Mediation of Eating Produced by Food Deprivation and for a Variant of the Y1 Receptor Mediating This Peptide's Effect.	

CITED PATENTS BY EXAMINER							
Family Member	Kind	Cited Patent Number	Kind	Relevance Category	DWPI Accession	Assignee(s)	Inventor(s)
EP 809648	A	Field of Search	Not Available				
		WO 1993009227	A	X	1993-167694	GARVAN INST MEDICAL RES (GARV-N)	SELBIE L, HERZOG H, SHINE J
US 5621079	A	US Field of Search	435-69.1, 530-350				
		WO 1993009227	A1		1993-167694	GARVAN INST MEDICAL RES (GARV-N)	SELBIE L, HERZOG H, SHINE J
		WO 1993024515	A1		1993-405721	CORNELL RES FOUND INC (CORR)	WAHLESTEDT C
US 5939263	A	US Field of Search	435-320.1, 435-325, 435-352, 435-354, 435-358, 435-363, 435-365, 435-366, 435-6, 435-69.1, 435-7.1, 435-7.2, 435-7.21, 536-23.1, 536-23.5, 536-24.5				

.....

CITED LITERATURE REFERENCES BY INVENTOR	
Cited Reference	
Abe, M., et al., Increased neuropeptide Y content in the arcuato-paraventricular hypothalamic neuronal system in both insulin-dependent and non-insulin-dependent diabetic rats. Brain Res, 1991. 539(2): p. 223-7	
Abel, P.W. and C. Han, Effects of neuropeptide Y on contraction, relaxation, and membrane potential of rabbit cerebral arteries. J Cardiovasc Pharmacol, 1989. 13(1): p. 52-63	
Aicher, S.A., et al., Receptor-selective analogs demonstrate NPY/PYY receptor heterogeneity in rat brain. Neurosci Lett, 1991. 130(1): p. 32-6	
Application No. 08/383,746 03/02/1995	

.....

CITING PATENTS BY EXAMINER						
Citing Patent Number	Kind	Relevance Category	DWPI Accession	PCI Week	Assignees(s)	Inventor(s)
US 5916869	A		1999-384739	199932	UNIV NORTH CAROLINA STATE (UYNC-N)	COLES B A, CROOM W J, TAYLOR I L
US 6001970	A		1996-321551	200005	MERCK & CO INC (MERI)	STRADER C D, CASCIERI M A, MACNEIL D J

.....

Use HELP MAP and the file number to see a list of the types of data that you can find using MAP in a particular database.

? help map 342
 MAP 342: PATENTS CITATION INDEX

MAP creates a SearchSave of terms extracted from a record or set of records. The SearchSave can be used in the same file or in any other file that contains records indexed by the mapped data field.

MAP Prefix in
 Code SearchSave Description

MAP the citing patent numbers using MAP CGPN to retrieve records of citing patents in Derwent or other fulltext patent files.

RECALL to show that the MAP command has created a list of all the citing patent numbers.

BEGIN in File 351 and EXECUTE the patent numbers that were mapped.

```

AA      AA      Main Derwent Accession Number
AARX    RX      Main Derwent Accession Number with prefix
           conversion for search of cited/citing Derwent
           Accession Numbers
AN      AN      Application Number (all)
ANCC    AN      Application Number of specific country (CC
           options: CA, DE, EP, FR, GB, JP, US, WO)
ANPR    AN      Priority Application Number only
ANPRCC  AN      Priority Application Number of specific
           country (CC options: CA, DE, EP, FR, GB, JP,
           US, WO)
AU      AU      Inventor Names from Family
AX      AX      Derwent Accession Number (main and related)
CG      CG      Citing Patent Number
CGPN    PN      Citing Patent Number with prefix conversion for
           patent number searches
CK      CK      Patent Assignee Code
CO      CO      Cited/Citing Patent Assignee
COCG    CO      Citing Patent Assignee only
COCGCODE CO      Citing Patent Assignee Code
COCGNAME CO      Citing Patent Assignee Name
COCT    CO      Cited Patent Assignee only
COCTCODE CO      Cited Patent Assignee Code
COCTNAME CO      Cited Patent Assignee Name
CT      CT      Cited Patent Number
CTPN    PN      Cited Patent Number with prefix conversion
           for patent number searches
. . . .
? map cgpn t
Temp SearchSave "TD695" stored
3 Select Statements, 21 Search Term(s)
SearchSave TD695

1 SearchSave(s), 21 Search Term(s)

? recall td695
Name:      TD695
Modified: 10dec09
Line Commands:
-----
  1. S PN=EP 862627 + PN=US 5916869 + PN=US 5958709 + PN=US
5968819 + PN=US 5976814 + PN=US 5989834 + PN=US 5989920 + PN=US
6001970 + PN=US 6114336 + PN=US 6313128 + PN=US 6316203 + PN=US
6420532 + PN=US 6528303 + PN=US 6645774
  2. S PN=US 6713265 + PN=US 6818445 + PN=US 6913892 + PN=US
7598048 + PN=WO 1997017440 + PN=WO 2001057085 + PN=WO 2003088904
  3. S S1:S2

? b 351
File 351:Derwent WPI 1963-2009/UD=200978
      (c) 2009 Thomson Reuters

      Set  Items  Description
      ---  -
? exs
Executing TD695
           1  PN=EP 862627
           1  PN=US 5916869
           1  PN=US 5958709
           1  PN=US 5968819

```

```
1 PN=US 5976814
1 PN=US 5989834
1 PN=US 5989920
1 PN=US 6001970
1 PN=US 6114336
1 PN=US 6313128
1 PN=US 6316203
1 PN=US 6420532
1 PN=US 6528303
1 PN=US 6645774
S1 8 PN=EP 862627 + PN=US 5916869 + PN=US 5958709 +
PN=US 5968819 + PN=US 5976814 + PN=US 5989834 +
PN=US 5989920 + PN=US 6001970 + PN=US 6114336 +
PN=US 6313128 + PN=US 6316203 + PN=US 6420532 +
PN=US 6528303 + PN=US 6645774
1 PN=US 6713265
1 PN=US 6818445
1 PN=US 6913892
1 PN=US 7598048
1 PN=WO 1997017440
1 PN=WO 2001057085
1 PN=WO 2003088904
S2 6 PN=US 6713265 + PN=US 6818445 + PN=US 6913892 +
PN=US 7598048 + PN=WO 1997017440 + PN=WO
2001057085 + PN=WO 2003088904
S3 11 S1:S2
```

Application 3: Identifying Who the Competition is Citing

Looking at the patents your competitor is citing is a good way to find out about new products your competitor is developing. In many cases, the number of patents a company cites is extensive. As in the previous example, Dialog's MAP command enables you to look at a number of patents quickly and easily.

► **Topic** ◀ In Application 1 we noticed Genaera Corporation as a company that was cited by U.S. patent number 5004737. To find out who the competition for Genaera is, identify who is citing their patents.

Command Summary

B 654

E pa=genaera

S e3:e5

Map pnmp temp/ct=

Exs

S s5 not s1

Rank pa

BEGIN in U.S. Patents Fulltext (File 654), the most current U.S. patents file, to identify all recent patents by Genaera, the patent assignee from the first record of the search from Application 1.

EXPAND (PA=) on the assignee name to retrieve all variations of the name.

SELECT all appropriate E number(s).

Use the MAP command to extract the cited patent numbers from all of the Genaera Corp. patents.

EXECUTE the saved MAP statements.

```
? b 654
File 654:US PAT.FULL. 1976-2009/DEC 03
      (c) Format only 2009 Dialog

      Set  Items  Description
      ---  ----  -
? e pa=genaera

Ref  Items  Index-term
E1      2  PA=GENACO BIOMEDICAL PRODUCTS INC
E2      2  PA=GENACY
E3      28  *PA=GENAERA
E4      10  PA=GENAERA CORP
E5      28  PA=GENAERA CORPORATION
E6      1  PA=GENAIRE
E7      1  PA=GENAIRE LIMITED
E8      1  PA=GENAIRE LTD CA
E9      26  PA=GENAISSANCE
E10     16  PA=GENAISSANCE PHARMACEUTICALS
E11     13  PA=GENAISSANCE PHARMACEUTICALS INC
E12     23  PA=GENAL
E13     23  PA=GENAL STRAP INC
E14     3  PA=GENALYTICS
E15     3  PA=GENALYTICS INC
E16     1  PA=GENANVENDELSE
E17     1  PA=GENAPLAST
E18     1  PA=GENAPLAST PTE LTD
E19     1  PA=GENAPLAST PTE LTD SG
E20     1  PA=GENAPTA
E21     1  PA=GENAPTA LTD
E22     1  PA=GENAS
E23     5  PA=GENATEK
E24     5  PA=GENATEK INC
E25     1  PA=GENAUDIO

Enter P or PAGE for more
? s e3:e5
      S1      28  PA='GENAERA':PA='GENAERA CORPORATION'

? map pnmp temp/ct=
Temp SearchSave "TD697" stored
4 Select Statements, 28 Search Term(s)
SearchSave TD697

1 SearchSave(s), 28 Search Term(s)

? exs
Executing TD697
```

7 have cited Genaera's patents.

Omit Genaera patents from Set 1.

RANK the names of companies that are citing Genaera's patents.

```

0 CT=US 20030149287
0 CT=US 20030236220
0 CT=US 20040254096
0 CT=US 20050187202
0 CT=US 20060166950
0 CT=US 20060183928
0 CT=US 20070088003
0 CT=US 20070190609
0 CT=US 20080096981
4 CT=US 6261559
0 CT=US 6388108
0 CT=US 6576434
S2 4 CT=US 20030149287 + CT=US 20030236220 + CT=US
20040254096 + CT=US 20050187202 + CT=US
20060166950 + CT=US 20060183928 + CT=US
20070088003 + CT=US 20070190609 + CT=US
20080096981 + CT=US 6261559 + CT=US 6388108 +
CT=US 6576434
0 CT=US 6596712
0 CT=US 6602850
1 CT=US 6645492
1 CT=US 6716603
2 CT=US 6737427
0 CT=US 6933383
0 CT=US 6962909
0 CT=US 7056698
0 CT=US 7074778
0 CT=US 7192578
0 CT=US 7208292
0 CT=US 7211254
0 CT=US 7345051
0 CT=US 7384767
S3 4 CT=US 6596712 + CT=US 6602850 + CT=US 6645492 +
CT=US 6716603 + CT=US 6737427 + CT=US 6933383 +
CT=US 6962909 + CT=US 7056698 + CT=US 7074778 +
CT=US 7192578 + CT=US 7208292 + CT=US 7211254 +
CT=US 7345051 + CT=US 7384767
0 CT=US 7410959
0 CT=US 7504409
S4 0 CT=US 7410959 + CT=US 7504409
S5 7 S2:S4

? s s5 not s1
7 S5
28 S1
S6 5 S5 NOT S1

?. rank pa cont
Started processing RANK
Completed Ranking 5 records
Press ENTER to view the TOP 50 terms
or enter a number N to view the top N terms
or >N to view terms with more than N items
or enter ALL to view all terms

Enter title for continuous output or press ENTER for current title
option

?. Genaera
Adding title to results...
GENAERA
-----
RANK: S6/1-5 Field: PA= File(s): 654

```

Note who has cited Genaera's patents most often.

```
(Rank fields found in 5 records -- 19 unique terms)
RANK No.  Items  Term
-----  -
1          3    REED JENNIFER LYNNE
2          1    BOISVERT DAVID C
3          1    BOWMAN MICHAEL
4          1    CORMONT FRANCOISE
5          1    DALL ACQUA WILLIAM
6          1    DAVIES JULIAN
7          1    GOLDMAN SAMUEL J
8          1    LONG ANDREW J
9          1    LONGPHRE MALINDA
10         1    RENAULD JEAN CHRISTOPHE
11         1    SHANAFELT ARMEN B
12         1    SYPEK JOSEPH P
13         1    TANG YING
14         1    UYTENHOVE CATHERINE
15         1    VAN SNICK JACQUES
16         1    WATKINS JEFFRY D
17         1    WOOD CLIVE R
18         1    WU HERREN
19         1    ZAREMBA SYDNEY MORGAN
---end of results---
P = next page          Pn = Jump to page n
P- = previous page    M = More Options      Exit = Leave RANK
To view records from RANK, enter VIEW followed by RANK number,
format, and item(s) to display, e.g., VIEW 2/9/ALL.
Enter desired option(s) or enter RANK number(s) to save terms.

?. exit
```

✓ Online Practice

Try the following in the ONTAP databases to practice what you have learned in Section 3. Sample answers appear in Appendix C.

1. Identify competitors who are working in the same area of food as U.S. patent 4368210.

Section 4: Licensing and Litigation

In this section you will learn to identify:

- Patents available for licensing
- Patents involved in litigation

Introduction

Additional patent areas to monitor for competitive intelligence are technologies that are available for licensing and patents involved in litigation. A company can grow its business without extra research and development just by licensing a technology. Several databases on Dialog make obtaining licensing and litigation information easy.

Application 1: Licensing Technologies to a Specific Company

A license is permission to use technology developed and properly protected by another entity that you would otherwise be prohibited from using. One company, the “licensor,” can give another, the “licensee,” a license to use its technology when, without such license, the licensor could prevent others from using it. Licensing can be an inexpensive way to develop and expand existing business opportunities. Some of the benefits of licensing include:

- Profiting from technology that your business might not utilize otherwise
- Expanding your markets geographically

The licensing agreement will explain how the parties will operate and will include information about, but not limited to, the following:

- The types of licenses. An exclusive license is like the sale of the technology versus a nonexclusive license which allows the licensors to grant as many licenses as they wish.
- Geographic area. The license must provide whether the license applies to a certain area, the U.S., etc.
- Royalties. This relates to how the licensee is going to pay the licensor.

Depending on how stringent a country’s intellectual property laws are will determine how valuable a license can be to the licensor or the licensee. Because a good deal of all research is duplicated, it is important to determine if a technology you are interested in is available for licensing before “reinventing the wheel.”

Technique—Using the CURRENT Command

CURRENT is used to narrow your search to records from the most current year(s) within a file. Include CURRENT with a BEGIN command when searching a single or multiple files. For example, BEGIN 654 CURRENT retrieves records added to this file during the current calendar year plus one year back.

Other CURRENT options for broader applications include:

CURRENT or CURRENT1	current year + 1 year back
CURRENT2	current year + 2 years back
CURRENT3	current year + 3 years back
CURRENT4	current year + 4 years back
CURRENT5	current year + 5 years back

► Topic ◀ What technologies has Abbott Laboratories licensed recently?

Command Summary

B 990 current
 S abbott()laboratories
 (s) licens?
 T s1/ti/1
 T s1/6,k/1

BEGIN in Dialog
 NewsRoom (File 990).
 Use the CURRENT
 command to retrieve
 data from the current
 year plus one year
 back.

SELECT keywords
 using the (s) proximity
 connector to retrieve
 the licensing concept in
 the same paragraph
 with the company
 name.

TYPE out a few titles of
 records to determine
 relevancy.

Review the records
 using Format K
 (KWIC).

```
?b 990 current
```

```
File 990:Newsroom Current Feb.1-2009/2010/Jun 02
(c) 2010 Dialog
>>>CURRENT started
```

```
Set Items Description
--- -----
```

```
? s abbott()laboratories(s)licens?
```

```
30907 ABBOTT
92032 LABORATORIES
266270 LICENS?
S1 123 ABBOTT()LABORATORIES(S)LICENS?
```

```
? t s1/ti/1
```

```
1/TI/1
DIALOG(R)File 990: Newsroom Current
(c) 2010 Dialog. All rights reserved.
```

```
India : Piramal Healthcare Sells Domestic Formulations Business To
Abbott
. . . .
```

```
? t s1/6,k/5
```

```
1/6,K/5
DIALOG(R)File 990: Newsroom Current
(c) 2010 Dialog. All rights reserved.
```

```
1965047442 18SU1GAK
India : Piramal Healthcare Sells Domestic Formulations Business To
Abbott
```

```
TendersInfo
Saturday , May 22, 2010
Word Count: 465
```

```
Text:
```

```
...and a collaboration with India's Cadila Healthcare Ltd.
(532321.BY) for the supply and licensing of generic drugs. Another
appeal of emerging markets is that individuals, and not
governments, pay...
```

Application 2: Uncovering What a Company is Doing Post-Issuance

The LitAlert database (File 670) contains information related to U.S. intellectual property litigation. Data is based on 94 district court reportings to the USPTO since the early 1970s. [Note: Litigation data will appear only if the court actually reports; some courts are better than others.] Millions of dollars in judgment awards are given to patent and trademark owners each year. LitAlert can be used to:

- Check the validity and legal status of a patent
- Monitor a company's intellectual property holdings
- Obtain court and docket information

► **Topic** ◀ Genentech has been involved in some legal action over a patent. What is the status of that legal action?

Command Summary

```
B 670
E co=genentech
S e4:e8
S s1 and antibod?
T s2/6 /all
T s2/9/1
```

EXPAND on the company that is involved in the action. CO= includes both plaintiff and defendant in an action.

Note: You can also restrict to just the plaintiff (PF=) or defendant (DF=).

SELECT the appropriate E numbers for Genentech.

```
? b 670
File 670:LitAlert 1973-2010/UD=201022
(c) 2010 Thomson Reuters

Set Items Description
--- -----
? e co=genentech

Ref Items Index-term
E1 3 CO=GENENDER INTERNATIONAL INC
E2 2 CO=GENENDER INTL IMPORTS INC
E3 0 *CO=GENENTECH
E4 1 CO=GENENTECH CLINICAL PARTNER
E5 1 CO=GENENTECH DEVELOPMENT CORP
E6 32 CO=GENENTECH INC
E7 4 CO=GENENTECH INC ET AL
E8 18 CO=GENENTECH INCORPORATED
E9 2 CO=GENERA
E10 1 CO=GENERA CORPORATION
E11 1 CO=GENERALAC POWER SYSTEMS INCORPORATED
E12 2 CO=GENERAL ALUMINUM PRODUCTS INC
E13 3 CO=GENERAL AMERICAN FOODS MANUFACTURE CORPORATION
E14 1 CO=GENERAL AMERICAN FOODS MANUFACTURING CORP
E15 14 CO=GENERAL AMERICAN FOODS MANUFACTURING CORPORATI
E16 4 CO=GENERAL AMERICAN FOODS MFG CORP
E17 1 CO=GENERAL ANLINE FILM CORP
E18 2 CO=GENERAL ARTS LIMITED
E19 2 CO=GENERAL ATOMICS
E20 2 CO=GENERAL ATOMICS DIAZYME LABORATORIES DIVISION
E21 1 CO=GENERAL AUTOMOTIVE PARTS CORP
E22 2 CO=GENERAL AUTOMOTIVE SPECIALITY CO
E23 2 CO=GENERAL AUTOMOTIVE SPECIALITY CO INC
E24 2 CO=GENERAL AUTOMOTIVE SPECIALTY CO INC
E25 2 CO=GENERAL AWARDS INCORPORATED

Enter P or PAGE for more
? s e4:e8
S1 51 CO='GENENTECH CLINICAL PARTNER':CO='GENENTECH
INCORPORATED'
```

Narrow the search to patents related to antibodies where Genentech might be involved in legal action.

Limit options:
/PATENT,
/TRADEMARK may also be added to the search.

TYPE out the records using FULL format or Format 9 to see the complete records.

Note that a complaint was filed.

```
? s s1 and antibod?
```

```
          51  S1
          114 ANTIBOD?
S2         3  S1 AND ANTIBOD?
```

```
Dialog eLink: Order File History
2/9/1
DIALOG(R)File 670: LitAlert
(c) 2010 Thomson Reuters. All rights reserved.
```

```
00093388
```

```
LitAlert Number: P2010-13-58
```

```
Record (Document) Type: Patent ( Utility )
```

```
Patent Title: Treatment of hematologic malignancies associated with
circulating tumor cells using chimeric anti-CD20 antibody
```

```
Patent Number (Date): US 7682612 ( 20100323 )
```

```
Patent Assignee: Biogen Idec Inc, Cambridge, MA; Genentech Inc,
South San Francisco, CA
```

```
Inventor: White, Christine A, Rancho Santa Fe, CA; Grillo-Lopez,
Antonio J, Rancho Santa Fe, CA; Curd, John G, Hillsborough, CA;
Desmond-Hellmann, Susan, Alamo, CA
```

```
US Class Titles (Codes): drug, bio-affecting and body-treating
compositions ( 424138001 )
```

```
Court - Docket Number: California, Southern Dist - 3-10CV00608
```

```
Plaintiff: BIOGEN IDEC INC; GENENTECH INC
```

```
Defendant: GLAXOSMITHKLINE LLC; GLAXO GROUP LIMITED
```

```
Filing Date: 20100324
```

```
Action Taken: complaint
```

```
. . . .
```



Section 5: Using Business Literature for Intellectual Property

In this section you will:

- Locate patent literature in non-patent databases

Introduction

Several of the business databases contain not only their own patent information (e.g., CA Search) but sources that provide competitive intelligence, such as overviews, forecasts, and trends for an industry. For example, Business & Industry™ (File 9) and TableBase (File 93) contain major trade journals and newsletters, as well as international, national, and regional news. Much of this information is available in full text. In TableBase tabular data on companies, products, industries, markets, brands, demographics, and countries is extremely useful for competitive intelligence. In File 9, ALL INTELLECTUAL PROPERTY is indexed in the CT= field.:

Cengage/Gale PROMT® (File 16) also provides international coverage on public and private companies, products, and markets for all industries. Many of the records are full text. Using PROMT's indexing (Event Names) enables the searcher to limit the search to patent-related data (s patents/en).

Application 1: Finding Patent Information in the Trade Literature

It is often important that a company obtain protection for its patents worldwide. Filing in other countries protects a company's intellectual property. Once the patent is issued, the cited literature and the disclosures about the invention may enable the competition to create similar technologies. Where a company files for a patent can forecast its marketing strategy.

► **Topic** ◀ Find information about the drug Lipitor. When does the patent expire?

Command Summary

B 16 current
S lipitor
S s1 and patents/en
T s2/6 /all
T s2/9/4

SELECT the drug name.

Limit the search to discussion of patents using an Event Name (/EN).

TYPE out the records in FREE format (Format 6).

```
? b 16 current
File 16:Gale Group PROMT(R) 1990-2010/Jun 03
(c) 2010 Gale/Cengage
>>>CURRENT started

      Set  Items  Description
      ---  -
? s lipitor
      S1      257  LIPITOR

? s s1 and patents/en
                257  S1
                2697 PATENTS/EN
      S2        8   S1 AND PATENTS/EN

? t s2/6/all

2/6/1
DIALOG(R)File 16: Gale Group PROMT(R)
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0016804576      Supplier Number: 225372833 (USE FORMAT 7 FOR
FULLTEXT)

Pfizer Reigns Supreme After Patent Cliff as Humira Kicks Avastin
off Top Spot.
May 3 , 2010
Word Count: 713
. . . .
2/6/4
DIALOG(R)File 16: Gale Group PROMT(R)
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16221795      Supplier Number: 207643338 (USE FORMAT 7 FOR FULLTEXT)

Going, going, gone: patents set to expire soon on many brand-name
drugs.(Cover story)
August , 2009
Word Count: 1480

2/6/5
DIALOG(R)File 16: Gale Group PROMT(R)
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16136186      Supplier Number: 206055845 (USE FORMAT 7 FOR FULLTEXT)

Despite patent cliff, some opportunities await in
pipeline.(Generics Report)(Statistical data)(Company rankings)
August 10 , 2009
```

Record 4 gives a listing of the top 20 drugs to come off patent by the end of 2013.

Lipitor is included.

Word Count: 959

. . . .

? t s2/9/4

2/9/4

DIALOG(R)File 16: Gale Group PROMT(R)

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16221795 Supplier Number: 207643338 (THIS IS THE FULLTEXT)

Going, going, gone: patents set to expire soon on many brand-name drugs.(Cover story)

Method, Kathy

Drug Topics , v 153 , n 8 , p 4s(3)

August , 2009

ISSN: ISSN: 0012-6616

Language: English Record Type: Fulltext

Article Type: Cover story

Document Type: Magazine/Journal ; Trade

Word Count: 1480

Text:

(ILLUSTRATION OMITTED)

Time is running out on the U.S. patents for many of the most popular brand-name drugs. Unless original exclusivity dates are somehow extended, over the next several years generic versions of many well-known best-selling drugs will become available.

Pharmacists will need to stay abreast of these changes as consumers struggling to cope with the high cost of prescription medications turn to them with the question "Is there a generic for that?" Increasingly, over the next several years, the answer will be yes.

Off patent in 2009 and 2010

Patents have already expired or are soon to expire in 2009 for several brand-name drugs. From GlaxoSmithKline (GSK), the blockbuster Valtrex (valacyclovir hydrochloride) for the treatment of genital herpes and cold sores goes off patent this year. Teva has received tentative approval from the Food and Drug Administration (FDA) to begin marketing its generic version in December. (1) Also going off patent is Mepron (atovaquone), GSK's antiprotozoal used for the treatment of pneumonia in patients with compromised immune systems. Mepron is also used to treat Lyme disease.

(ILLUSTRATION OMITTED)

Prevacid (lansoprazole), Takeda's blockbuster heartburn and acid reflux medication, will see its patent expire in 2009 and will be marketed in an over-the-counter version by Novartis, which has acquired the rights. (2)

Three big-name drugs for the treatment of migraine--Ortho-McNeill's Topamax (topiramate); Novartis' Migranal (dihydroergotamine); and GSK's Imitrex (sumatriptan)--are going off patent this year. A generic version of Topamax already has been approved by FDA. (3) GSK is evaluating in trials a spinoff Imitrex-plusnaproxen combination drug, Trexima, which it hopes to launch to replace lost sales. (4,5)

Generic formulations of Lamictal (lamotrigine), GSK's treatment for bipolar disorder and epilepsy, which has lost its patent protection, have been approved by FDA. GSK obtained FDA approval in June, however, to market its Lamictal XR (extended release) epilepsy drug, again in the hope of replacing sales expected to be lost to the generic. (6)

Patents for many blockbuster brand-name drugs begin expiring at a rapid pace in 2010 and will continue for the next few years. Facing increased competition from generics, drug companies are busy developing new pipeline drugs and devising strategies to try to hold onto sales for their drugs facing patent expiration.

Lipitor (atorvastatin)--Pfizer's blockbuster cholesterol pill goes off patent in March 2010. Lipitor is the best-selling drug in the world, with nearly \$13 billion in sales. (7) Pfizer has struck a deal with Ranbaxy Laboratories that will enable release of the generic form outside the United States before patents run out, but delays U.S. release until November 2011. (8)

Arimidex (anastrozole)--AstraZeneca's aftersurgery treatment for postmenopausal women with early breast cancer was set to expire in December 2009, but an extension was granted so that pediatric studies could be made. It now looks as if June 2010 is the earliest a generic version could become available. (9)

.

REFERENCES

- (1.) Teva Pharm announces tentative approval of generic Valtrex. Reuters. October 5, 2007.
- (2.) Novartis receives approval from FDA to market Prevacid. World Pharma News. May 18, 2009.

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Publisher Name: Advanstar Communications, Inc.

Descriptors: *Generic drugs--Intellectual property; Generic drugs--Licensing, certification and accreditation; Generic drugs--Forecasts and trends; Pharmaceutical industry--Intellectual property; Pharmaceutical industry-- Product development; Pharmaceutical industry--Forecasts and trends

Event Names: *370 (Patents & copyrights); 930 (Government regulation); 010 (Forecasts, trends, outlooks); 331 (Product development)

Geographic Names: *1USA (United States)

Product Names: *2834012 (Generic Drugs)

Industry Names: BUSN (Business); DRUG (Pharmaceuticals and cosmetics industries)

SIC Codes: 2833 (Medicinals and botanicals); 2834 (Pharmaceutical preparations)

NAICS Codes: 325412 (Pharmaceutical Preparation Manufacturing)

Application 2: Finding Top Companies and Their Products

Identifying top companies and their products helps a company see who its competitors are and the products that will compete with their own brands. You can use Gale Group PROMT® (File 16) to take advantage of the indexing. You can also try Business & Industry™ (File 9), covering a wide range of industries and markets.

► **Topic** ◀ Find the top pharmaceutical companies and their leading drugs. Indexing helps you identify the drugs and get a listing.

Command Summary

B 16
S pn=drugs &
pharmaceuticals
S top or leading
S ranking?/de
S s1 and s2 and s3
S s4/2008:2010
T s5/9/1

BEGIN16 business
databases to take
advantage of the
indexing.

Use the indexing for
product name (PN=)
and the descriptor field
(/DE) for a ranking to
refine the search
strategy.

Combine the sets.

Limit to publication
years 2008-2010.

```
? b 16
SYSTEM:OS - DIALOG OneSearch
File 16:Gale Group PROMT(R) 1990-2010/Jan 07
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Set Items Description
--- ----
? s PN=DRUGS & PHARMACEUTICALS
S1 85273 PN=DRUGS & PHARMACEUTICALS

? s top or leading
1900942 TOP
2590167 LEADING
S2 3986389 TOP OR LEADING

? s RANKING?/DE
S3 19864 RANKING?/DE

? s s1 and s2 and s3
85273 S1
3986389 S2
19864 S3
S4 39 S1 AND S2 AND S3

? s s4/2008:2010
39 S4
2664303 PY=2008 : PY=2010
S5 13 S4/2008:2010

? T s5/8,k/1-5

5/8,K/1 (Item 1 from file: 16)
DIALOG(R)File 16: Gale Group PROMT(R)
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16555972 Supplier Number: 217183781 (USE FORMAT 7 FOR FULLTEXT)

Rogue web sites threaten integrity of Rx brands.(BRANDED DRUGS)
Jan 18 , 2010
Word Count: 934
Publisher Name: Racher Press, Inc.
Descriptors: *Drugs--Rankings; Drugs--Market size; Drugs--Market
research; Online pharmacies--Growth; Online pharmacies--User
statistics; Online pharmacies-- Market size; Online pharmacies--
Market research; Product quality--Market research
Event Names: *650 (Sales & consumption); 240 (Marketing procedures)
Geographic Names: *1USA (United States )
Product Names: *2830000 (Drugs & Pharmaceuticals); 2834000
(Pharmaceutical Preparations); 2834190 (Metabolic Agents); 2834199
(Metabolic Agents NEC)
```

Industry Names: BUSN (Business); DRUG (Pharmaceuticals and cosmetics industries); RETL (Retail industry)
SIC Codes: 2834 (Pharmaceutical preparations)
NAICS Codes: 3254 (Pharmaceutical and Medicine Manufacturing); 325412 (Pharmaceutical Preparation Manufacturing)
-
...MarkMonitor observed these disturbing trends while tracking six drug brands to understand how "brandjackers" hijack leading drug brands.
We began studying pharmaceutical brandjacking in 2007 and added a third year of...
...potential for boosting its product pipeline with new vaccines as well as other niche offerings.
Top Therapeutic Classes by U.S. Sales (\$ bil.)

	2008	2007	2006
Antipsychotics	\$14.6	\$13.1...	

Descriptors: ... Rankings ; Drugs
Event Names:
Product Names: *2830000 (Drugs & Pharmaceuticals) ; 2834000 (Pharmaceutical Preparations); 2834190 (Metabolic Agents); 2834199 (Metabolic Agents NEC)
Industry Names:
20100118
5/8,K/2 (Item 2 from file: 16)
DIALOG(R)File 16: Gale Group PROMT(R)
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16221707 Supplier Number: 205907260 (USE FORMAT 7 FOR FULLTEXT)
Top 15 pharmaceutical products by U.S. sales (bil.)(ANNUAL REPORT OF RETAIL PHARMACY: DRUG MAKERS)(Table)(Brief article)
August 3 , 2009
Word Count: 43
Publisher Name: Racher Press, Inc.
Descriptors: *Pharmaceutical industry--Production data; Drugs--Rankings
Event Names: *620 (Production data)
Geographic Names: *1USA (United States)
Product Names: *2830000 (Drugs & Pharmaceuticals); 2834000 (Pharmaceutical Preparations); 2834190 (Metabolic Agents); 2834199 (Metabolic Agents NEC)
Industry Names: BUSN (Business); DRUG (Pharmaceuticals and cosmetics industries); RETL (Retail industry)
SIC Codes: 2834 (Pharmaceutical preparations); 2833 (Medicinals and botanicals)
NAICS Codes: 3254 (Pharmaceutical and Medicine Manufacturing); 325412 (Pharmaceutical Preparation Manufacturing)
Supplier Number: (USE FORMAT 7 FOR FULLTEXT)
Top 15 pharmaceutical products by U.S. sales (bil.)(ANNUAL REPORT OF RETAIL PHARMACY: DRUG MAKERS...
Text:
Top 15 Pharmaceutical Products by U.S. Sales (bil.)
Descriptors:
... Rankings

TYPE S5 in Format 9
to see the entire record
including a list of drugs
sales.

Event Names:

Product Names:

*2830000 (Drugs & Pharmaceuticals) ; 2834000 (Pharmaceutical Preparations); 2834190 (Metabolic Agents); 2834199 (Metabolic Agents

. . . .

? t s5/9/2

5/9/2 (Item 2 from file: 16)

DIALOG(R)File 16: Gale Group PROMT(R)

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16221707 Supplier Number: 205907260 (THIS IS THE FULLTEXT)

Top 15 pharmaceutical products by U.S. sales (bil.)(ANNUAL REPORT OF RETAIL PHARMACY: DRUG MAKERS)(Table)(Brief article)

Chain Drug Review , v 31 , n 13 , p 114(1)

August 3 , 2009

ISSN: ISSN: 0164-9914

Language: English Record Type: Fulltext

Article Type: Brief article; Table

Document Type: Magazine/Journal ; Trade

Word Count: 43

Text:

Top 15 Pharmaceutical Products by U.S. Sales (bil.)

	2008	2007	2006
Lipitor	\$7.8	\$8.1	\$8.7
Nexium	5.9	5.5	5.2
Plavix	4.9	3.9	3.0
Advair Diskus	4.4	4.3	4.0
Seroquel	3.9	3.5	3.0
Singulair	3.5	3.4	3.0
Enbrel	3.4	3.4	3.1
Neulasta	3.1	3.1	2.9
Actos	3.1	2.9	2.6
Epogen	3.1	3.1	3.3
Prevacid	3.1	3.4	3.6
Ahilify	3.1	2.4	1.9
Remicade	3.1	2.8	2.5
Effexor XR	3.0	2.9	2.6
Lexapro	2.7	2.6	2.4
Total U.S. Rx Market	291.5	287.6	276.5
	2005	2004	
Lipitor	\$8.4	\$7.8	
Nexium	4.4	3.8	
Plavix	3.5	3.1	
Advair Diskus	3.6	3.0	
Seroquel	2.6	2.1	
Singulair	2.5	2.2	
. . . .			

Conclusion

The turn of the millennium has brought with it promise of exciting technologies that are sure to have a dramatic impact on the manner in which all corporations do business. Never before has the pace of technological innovation been faster or the need to protect new technologies greater. Monitoring competitor's patent information will allow one to see what technologies they are producing, evaluate the strengths and weaknesses of their research and development, and provide a competitive advantage in the fast-paced global market. One does not need to be an expert patent searcher to take advantage of competitive information available in the patent databases.

In this workbook we have provided searchers with straight forward techniques to key patent and non-patent databases to reveal valuable insight allowing information professionals and others interested in competitive intelligence to provide key information to their organizations and impact the future success of their companies.

Features on Dialog, such as highly indexed, company name fields and the MAP and RANK commands, will allow Dialog searchers to use the patent files to discover key competitive intelligence information.

✓ Online Practice

Try some of the following exercises in the ONTAP files to practice what you learned in Sections 4 and 5. Sample answers are available in Appendix C.

1. What recent licensing activity has Merck & Company participated in?
2. What is the status of patents for erythropoietin held by Amgen?
3. What companies are taking legal action against Nike for infringement on their patents?
4. What companies are involved in developing synthetic blood? Are any patents available?
5. Find information on drugs that might be challenging the antidepressant drug Prozac.

Section 6: Wrap Up

Summary

Throughout Part 4 of *Developing Patent Research Expertise* you focused on techniques to use to search for competitive intelligence in the patent databases. You also viewed patent information in some of the non-patent files. You now know how to do the following:

- Track a company's research and development
- Identify competitors who are working in similar technologies to your own
- Identify licensing opportunities
- Determine litigation taking place
- Use non-patent databases to gain data about competitors

Becoming familiar with these techniques will enable you to effectively search both patent and non-patent databases to improve competitive intelligence at your company.

What's Next

You may want to expand your knowledge by reviewing other patent-related workbooks and online classes offered by Dialog. For example, if you want to:

- Review the basics of searching patents. *Patent Search Basics* workbook illustrates how to use the Dialog patent collection, basic commands, and search applications.
- Learn about patent families and legal status. Part 2 describes patents families and their importance.
- Determine legal status of a patent. Part 2 describes different types of legal status and how to find out whether a patent has expired, lapsed or continued into other patents.
- Check for prior art. Web-based sessions present methods for using the Dialog patent collection to find prior art, as well as searching the vast collection of technical databases available on Dialog. Part 3 of *Developing Patent Research Expertise* is devoted to searching Prior Art.

You can also review some of the basics in the Dialog online course series. *Introduction to Patent Searching for the Patent Professional* discusses many of the concepts that will help you review your basic patent searching techniques.

Other Dialog Training Tools

1. A training tool that may help reinforce some of the concepts from this workbook include the [Dialog How Do I...?](#) patent series. These concise, step-by-step instructions illustrate how to find the most-requested information on Dialog such as:
 - [Find Out Who the Competition Is for a Specific Company by Identifying Who Is Citing Their Patents?](#)
 - [Find Information on Patent Litigation in the Business Files?](#)
 - [Find Companies Active in Your Field of Technology by Searching Patent Citations?](#)
 - [Find Technology a Company Has Recently Licensed?](#)

2. Dialog's [ONTAP databases](#) provide free practice in subsets of the complete patent databases. They are ideal to use to practice techniques learned in this workbook. Try the ONTAP [practice exercises](#) for the following patent databases:
 - ONTAP CLAIMS (File 279)
 - *ONTAP Derwent World Patents Index* (File 280)

Appendixes

Appendix A: Dialog Commands (Review)

Appendix B: Glossary to Patent Terms

Appendix C: Answers to Exercises

Appendix A: Dialog Commands (Review)

Basic Commands

BEGIN begin 351
 b 654,652
 b patents, not 670

EXPAND e pa=milton bradley
 expand au=jones d

SELECT select skelly
 s game or toy
 s s1 and s2

TYPE type s#/format/range of records
 t s1/3/1,6
 t s3/6/1-2 from each
 t s3/9/1 from 351

LOGOFF logoff bye
 quit stop
 off log

Common Formats	
3 – Bibliographic	6 – Titles
8 – Titles/indexing	9 – Complete record
k – Terms in context	

Truncation

s lemon? Retrieves lemon, lemons, lemonade, lemonbutter
s lemon?? Retrieves lemon, lemons
s lemon? ? Retrieves lemon, lemons
s l?mon Retrieves limon, lemon

Display Sets (DS)

Displays the set history since the last BEGIN command

Proximity Connectors

(n) s game?(n)board?	Retrieves words next to each other in any order. Example: game boards or board games
(w) s indoor(w)game?	Retrieves words next to each other in the order expressed. Example: indoor game or indoor games
(#n) s game(2n)board	Retrieves words that are up to # words apart in any order. Example: the board for the game is missing
(#w) s game(5w)board	Retrieves words that are # words apart in the order expressed. Example: the game is played on a board
(s) s game(s)board	Retrieves words in the same paragraph in full-text databases.

Logical Operators

AND s skelly and game	Retrieves all records that contain all of the search terms.
OR s game or toy	Retrieves all records that contain at least one of the search terms.
NOT s game not toy	Eliminates a search term or group of search terms.

When AND and OR are used in the same search statement put the ORed terms in parentheses.

Saving Searches

SAVE TEMP	Temporarily saves search strategy for seven days.
EXECUTE STEPS	Executes that strategy at a later time while still online.

The EXPAND Command

Patent and Application Numbers

BEGIN in the appropriate database
EXPAND on the Patent/Application number field (PN= or AN=)
SELECT the appropriate E number(s)
TYPE out the record

```
?e pn=us 5467986

Ref      Items  Index-term
E1        2  PN=US 5467984
E2        1  *PN=US 5467985
E3        1  PN=US 5467986
E4        1  PN=US 5467987
E5        2  PN=US 5467988
E6        1  PN=US 5467989
E7        1  PN=US 5467990
E8        1  PN=US 5467991
E9        1  PN=US 5467992
E10       1  PN=US 5467993
E11       1  PN=US 5467994
E12       1  PN=US 5467995

          Enter P or PAGE for more

?s e3
      S1          1  PN="US 5467986"
```

By using the EXPAND command, you can see whether you entered the number correctly. By looking at the EXPAND list above, you are able to determine that the U.S. does not use an annual series of dates for patent numbers.

Class Codes

We suggest you EXPAND on the code to verify that you've retained the correct format. .

```
?e ic=a63f-007/07
```

Ref	Items	Index-term
E1	291	IC=A63F-007/04
E2	581	IC=A63F-007/06
E3	46	*IC=A63F-007/07
E4	22	IC=A63F-007/08
E5	78	IC=A63F-007/10
E6	1	IC=A63F-007/102
E7	6	IC=A63F-007/12
E8	9	IC=A63F-007/14
E9	20	IC=A63F-007/16
E10	3	IC=A63F-007/18
E11	38	IC=A63F-007/20
E12	42	IC=A63F-007/22

Enter P or PAGE for more

```
?s e3
```

Patent Inventors, Patent Assignees

Using EXPAND is extremely important when searching for names—inventors (AU=) or assignees (PA=). Since names can have spelling variations, it is advisable to EXPAND on these fields.

The RANK Command

Use the RANK command to analyze search results. RANK must be used with phrase-indexed fields. In the intellectual property arena RANK can be used to identify which companies and/or inventors are most involved in a particular technology or class, and what correct classification codes should be used to describe the subject.

```
?s game? or toy?
          95  GAME?
          47  TOY?
      S2    137  GAME? OR TOY?
?rank pa
Started processing RANK
...Ranking 100 of 137 records
Completed Ranking 137 records
DIALOG RANK Results
-----
RANK: S2/1-137  Field: PA=  File(s): 125
(Rank fields found in 137 records - 58 unique terms) Page 1
of 8

RANK No.  Items  Term
-----
      1      73  UNASSIGNED OR ASSIGNED TO INDIVIDUAL
      2       5  INTERLEGO AG CH
      3       4  SEGA ENTERPRISES LTD JP
      4       2  EAGLE CO LTD JP
      5       2  HASBRO INC
      6       2  KONAMI CO LTD JP
      7       2  MATTEL INC
      8       2  NAMCO LTD JP
P = next page      Pn = Jump to page n
P- = previous page  M = More Options      Exit = Leave RANK

To view records from RANK, enter VIEW followed by RANK
number,format, and item(s) to display, e.g., VIEW 2/9/ALL.

Enter desired option(s) or enter RANK number(s) to save
terms.
?exit

RANK results will be erased; have you saved all the terms
of interest (YES/NO)
?y
Exiting rank... (no terms were saved)
```

OneSearch

Use OneSearch categories to search multiple files at the same time or to create your own categories. Categories of importance for intellectual property searching include: PATENTS, PATFULL, PATCITES.

Example: **?b patents**
 ?b patfull, 340
 ?b 348,351,349

Appendix B: Glossary of Patent Terms

APPLICATION - a written document which comprises a specification of the invention and whatever other information is required by the country or organization receiving the application.

APPLICATION COUNTRY - a country where an application has been filed but not yet granted.

APPLICATION NUMBER - referred to as **SERIAL NUMBER** in the United States. When an application is filed, a filing date and number are assigned. In the United States, due to the volume of applications filed, the application numbers are recycled approximately every seven years.

"B" PATENT - a granted patent (Kind code B1 or B2).

CLASSIFICATION CODES - classes and subclasses assigned to patents to categorize the inventions into broad areas of technology.

CONTINUATION - in the U.S., a later application, filed while an earlier patent application is co-pending for the same or similar invention as disclosed in the original application.

CONTINUATION-IN-PART (CIP) - in the U.S., a second application for the same invention, usually to introduce improvements, which include new matter not covered in the original application. The original filing date is used for determination of priority only for that part of the invention which was disclosed in the original. New matter added uses the CIP date as priority.

COUNTRY FAMILY - all patents in a given country pertaining to the same invention and related to each other by one or more priority applications in common. Country families may include multiple levels of publication, divisions, continuations, and continuations-in-part.

DIVISION - in the U.S., an additional application derived from an earlier application that claims two or more inventions, as determined by the patent examiner. The original filing date is used for determination of priority.

EXAMINATION - the review of the application by a country's patent office for novelty, non-obviousness, and compliance with legal requirements set forth by patent laws in a given country.

GRANTED PATENT - according to laws governing patents in a given country, a granted patent gives the inventor certain legal rights to the invention.

INFRINGEMENT - unauthorized making, using, or selling of a patented invention within the country of jurisdiction.

ISSUED PATENT - in the United States, a patent issues after the grant is approved and the inventor pays the issue fees. In the United States a granted patent gives the inventor the right to exclude others from making, using, or selling the invention in the United States and its territories.

KIND - codes that are country specific to indicate the level of publication of a document in a patent family. In some countries, multiple publications are possible, for example: unexamined applications, examined applications, and granted patents.

LEGAL STATUS - the various legal actions taken by a Patent Office in regard to an invention, including publication, corrections, post issue actions, etc., as well as actions taken by the parties that affect ownership such as reassignments.

PATENT FAMILY - a group of equivalent patents granted in several countries for the same invention as a result of application in those countries, and usually citing priority applications in common.

PATENT PENDING - not a legal designation, but often used to indicate that an application for a patent has been filed. An invention is not protected without actual grant of a patent.

PATENTABILITY - the criteria an invention must meet in order to qualify for a patent under the laws of a given country. In the United States, these include novelty, non-obviousness, and usefulness.

PRE-GRANT PUBLICATION - in the United States a patent application issued after March of 2001, available in electronic format only. They are the result of the American Inventors Protection Act of 1999, which provided that patent applications are to be published within 18 months of the earliest filing date. A pre-grant publication record includes standard bibliographic information, although patent assignees are rarely provided.

PRIOR ART - what was previously known in a given area of technology prior to the date of invention or the filing of an application for a patent.

PRIORITY APPLICATION - when an inventor applies for a patent in several countries, the first application (the one with the earliest application date, regardless of the country in which it was filed), is the priority application. The date of the first application is referred to as the priority date. An earlier application can be claimed as a priority only if subsequent applications are filed within one year of that application.

PROSECUTION - the process whereby the patent examiner cites reasons to accept or reject the application.

PUBLISHED COUNTRY - a country where the application has been published; in the United States, it has been the case in the past that an application has not been published until it is a granted patent. Effective November 29, 2000, however, patent applications filed in the U.S. are published 18 months from the filing date.

REASSIGNMENT - in the United States, the assignee may transfer ownership rights to other parties. Reporting the transfer of rights of ownership of the patent to the USPTO is voluntary.

UNEXAMINED PATENT APPLICATION - in most countries, the first publication level of a patent application document. "Unexamined" indicates the patent application has not yet undergone full examination for patentability.

Appendix C: Answers to Exercises

p. 20: Learning Check

1. Write Dialog search statements for the following to test your knowledge of U.S. classification codes.
 - a. 124-37 S CL=124370
 - b. 430-5 S CL=430500
 - c. 219/10.53 S CL=219010530

2. Write Dialog search statements for the following to test your knowledge of international classification codes.
 - a. G06F 15/84 S IC=606F-015/84
 - b. C07C 315/00 S IC=C07C-315/00
 - c. G03C 5/04 S IC=G03C-005/04

p. 27: Online Practice

1. Research Advanced Micro Devices in *Derwent World Patents Index ONTAP* (File 280) and identify its published patents from 2006 to 2008.
B 280
E pa=advanced micro devices
Note patent assignee code to right of company name, ADMI
S e4:e10
S ck=admi
S s1 or s2
S s3/2006:2008
T s4/3/1-5

2. In *Derwent World Patents Index ONTAP* (File 280), obtain a list of all subsidiaries, divisions, etc. that are indexed under the patent assignee code for International Business Machines.
B 351
E pa=international business machines (to obtain patent assignee code)
E ck=ibmc (while you can use PA= to search on patent assignee code, you must EXPAND on CK= to get the list of subsidiaries, etc.)

3. Identify companies active globally in the exploration of estrogen as a treatment for osteoporosis and bone loss.
B 280
S (estrogen or oestrogen) and (osteoporosis or bone(w)loss)
Rank paname cont
Press Enter or enter a title for the rank list
10
1-10
exit;yes

4. Utilize class codes to retrieve further international patents on the topical treatment of alopecia or hair loss.
B 280

S alopecia/td or alopaecia/td (to focus very specifically on the enhanced Derwent title. Use British spelling too)

Rank IC

1

exit;y;exs

s s2 and (alopecia and (topical? or lotion? or applicat? or ointment or external))

5. You have also been asked to retrieve an EP patent, 1073407. Who is the patent assignee?

L'Oreal.

B 280

E pn=ep 1073407

S e3

T s1/full

p. 42: Online Practice

1. Identify competitors who are working in the same area of food as U.S. patent 4368210.

B 279

S pn=us 4368210

T s1/9/all (note number of subsequent patents citing this patent)

p. 56 nline Practice

1. What recent licensing activity has Merck & Company participated in?

B 216

S merck?(10n)licens?

T s1/6,k/all

2. What is the status of patents for erythropoietin held by Amgen?

B 216

S co=amgen?

S s1 and erythropoietin

T s2/9/all

3. What companies are taking legal action against Nike for infringement on their patents?

B 216

E co=nike

S e3:e7

S s1 and infring?

T s2/9/all

4. What companies are involved in developing synthetic blood? Are any patents available?

B 216

S synthetic()blood/ti,de

S s1 and patent?/de

T s1/free/all

T s2/6/all

5. Find information on drugs that might be challenging the antidepressant drug Prozac.

B 216
S prozac
S s1 and antidepressant?
T s2/6,k/all