

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

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AMAZON.COM, INC. and  
AMAZON WEB SERVICES, INC.,  
Petitioner,

v.

SWARM TECHNOLOGY LLC,  
Patent Owner.

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Case IPR2023-00390  
Patent 9,146,777 B2

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**PATENT OWNER'S MANDATORY NOTICES  
UNDER 37 CFR § 42.8(a)(2)**

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**PATENT OWNER'S MANDATORY NOTICES  
PURSUANT TO 37 CFR § 42.8(a)(2)**

Patent Owner Swarm Technology LLC ("Patent Owner") hereby files its Mandatory Notices in accordance with 37 CFR § 42.8(a)(2) in IPR2023-00390 requesting *inter partes* review of Claims 1 through 14 of U.S. Pat. No. 9,146,777 B2 ("the '777 Patent").

The Petition was filed with the PTAB on 21 December 2022 and served upon Patent Owner's counsel of record on 21 December 2022. Patent Owner's Mandatory Notices are hereby timely filed under 37 CFR § 42.8(a) which requires Patent Owner to file its Mandatory Notices within 21 days of service of the Petition.

**37 CFR § 42.8(b)(1) - Real Party in Interest**

Swarm Technology LLC is the owner of the entire interest in the '777 Patent, and the real party in interest.

**37 CFR §42.8(b)(2) - Related Judicial Matters**

The '777 Patent is at issue in the following judicial and administrative actions that may affect, or be affected by, a decision in this IPR proceeding:

- 1) *Juniper Networks, Inc. and Apstra, Inc. v. Swarm Technology, LLC*, No. 3:20-cv-03137-JD (N.D. Cal.) filed May 7, 2020
- 2) *Swarm Technology, LLC v Amazon.com, Inc., and Amazon Web Services, Inc.* 2:21-cv-00438-DWL (District of Arizona) filed March 15, 2021
- 3) *Juniper Networks, Inc. v Swarm Technology, LLC*, IPR2021-01317 (U.S. Patent No. 9,146,777), filed July 26, 2021.

Denied.

- 4) *Juniper Networks, Inc. v Swarm Technology, LLC*, IPR2021-01445, (U.S. Patent No. 9,852,004), filed August 26, 2021
- 5) *Juniper Networks, Inc. v Swarm Technology, LLC*, IPR2022-00141 (U.S. Patent No. 10,592,275), filed November 4, 2021
- 6) *Amazon.com, Inc. and Amazon Web Services, Inc. v Swarm Technology, LLC*, IPR2022-00283 (U.S. Patent No. 9,852,004), filed December 8, 2021
- 7) *Amazon.com, Inc. and Amazon Web Services, Inc. v Swarm Technology, LLC*, IPR (2022-00633) (U.S. Patent No. 10,592,275), filed February 25, 2022

### **37 CFR § 42.8(b)(2) - Related Administrative Matters**

The following patents claim or may claim the benefit of the priority filing date of the '777 Patent, namely, January 25, 2013:

- 1) U.S. Patent No. 10,592,275 issued March 17, 2020 and entitled "System and Method for Swarm Collaborative Intelligence Using Dynamically Configurable Proactive Autonomous Agents" (the '275 Patent); and

- 2) U.S. Patent No. 9,852,004 issued December 26, 2017 and entitled "System and Method for Parallel Processing Using Dynamically Configurable Proactive Co-Processing Cells" (the '004 Patent).

The following patent application claims or may claim the benefit of the priority filing date of the '777 Patent, namely, January 25, 2013:

- 1) U.S. Patent Application No. 16/788,122 filed February 11, 2020 and entitled "System and Method for Swarm Collaborative Intelligence Using Dynamically Configurable Proactive Autonomous Agents."

**37 CFR § 42.8(b)(3), (4) - Lead Counsel and Service Information**

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Respectfully submitted,

Dated: January 11, 2023

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*Lead Counsel for Patent Owner*

**CERTIFICATE OF SERVICE**

The undersigned hereby certifies service pursuant 37 CFR 42.6(e) by electronic mail of a copy of Patent Owner's Mandatory Notices on Petitioner to:

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