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| APPLICATION NO. | ISSUE DATE | PATENT NO. | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 08/24/2021 | 11098357 | NUGN-001/03US 34079/516 | 3249 |

21710 7590 08/04/2021

BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

# ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

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

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

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

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

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

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

Douglas A. Amorese, Los Altos, CA;
NUGEN TECHNOLOGIES, INC., Redwood City, CA;
Jonathan Scolnick, San Francisco, CA;
Ben Schroeder, San Mateo, CA;

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The USA offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to encourage and facilitate business investment. To learn more about why the USA is the best country in the world to develop technology, manufacture products, and grow your business, visit SelectUSA.gov.



QIAGEN Exhibit 1013.0001

## PART B–FEE(S) TRANSMITTAL

Complete and send this form, together with the applicable fee(s), by mail or fax, or via EFS-Web.

By mail, send to: Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

By fax, send to: (571) 273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

Brown Rudnick LLP
One Financial Center
Boston, Massachusetts 02111

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

| | |
|---|---|
| Sandra Richards | (Typed or printed name) |
| /Sandra Richards/ | (Signature) |
| July 20, 2021 | (Date) |

| APPLICATION NO | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO | CONFIRMATION NO |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>34079/516 | 3249 |

TITLE OF INVENTION: COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

| APPLN: TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | UNDISCOUNTED | $1,200.00 | | | $1,200.00 | 07/21/2021 |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|---|---|---|
| T. E. Strzelecka | 1637 | 435-006120 |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363)

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-09 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. Brown Rudnick LLP
2. Thomas C. Meyers
3.

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). Completion of this form is NOT a substitute for filing an assignment.

| (A) NAME OF ASSIGNEE | (B) RESIDENCE: (CITY and STATE or COUNTRY) |
|---|---|
| TECAN GENOMICS, INC. | REDWOOD CITY, CA |

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. Fees Submitted: ☒ Issue Fee ☐ Publication Fee (if required) ☐ Advance Order - # of Copies _____

4b. Method of Payment (*Please first reapply any previously paid fee shown above*):

☒ Electronic Payment via EFS-Web ☐ Enclosed check ☐ Non-electronic payment by credit card (Attach form PTO-2038)

☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. 50-0369

5. Change of Entity Status (from status indicated above)

☐ Applicant certifying micro entity status. See 37 CFR 1.29. NOTE: Absent a valid Certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

☐ Applicant asserting small entity status. See 37 CFR 1.27. NOTE: If the application was previously under micro entity status, checking this box will be taken as a notification of loss of entitlement to micro entity status.

☐ Applicant changing to regular undiscounted fee status. NOTE: Checking this box will be taken as a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

| | | | |
|---|---|---|---|
| Authorized Signature | /Thomas C. Meyers/ | Date | July 20, 2021 |
| Typed or printed name | Thomas C. Meyers | Registration No. | 36,989 |

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 16743604 |
| **Filing Date:** | 15-Jan-2020 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |

Filed as Large Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |
| UTILITY APPL ISSUE FEE | 1501 | 1 | 1200 | 1200 |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **1200** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 43293880 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 20-JUL-2021 |
| **Filing Date:** | 15-JAN-2020 |
| **Time Stamp:** | 14:31:06 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | DA |
| Payment was successfully received in RAM | $1200 |
| RAM confirmation Number | E20217JE31210907 |
| Deposit Account | |
| Authorized User | |

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

QIAGEN Exhibit 1013.0005

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Issue Fee Payment (PTO-85B) | NUGN-001-03US-Issue-Fee-Transmittal.pdf | 38322<br>76f082240f2ee380a937b2d427df39ce81bfff71 | no | 1 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Fee Worksheet (SB06) | fee-info.pdf | 30390<br>288ad9603f31e7a5f4d961d6eef31d5f361e8752 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 68712 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

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| APPLICATION NUMBER | FILING or 371(c) DATE | GRP ART UNIT | FIL FEE REC'D | ATTY.DOCKET.NO | TOT CLAIMS | IND CLAIMS |
|---|---|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | 1637 | 1820 | NUGN-001/03US 34079/516 | 11 | 1 |

**CONFIRMATION NO. 3249**

21710
BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

**UPDATED FILING RECEIPT**

OC000000128344653

Date Mailed: 06/16/2021

Receipt is acknowledged of this non-provisional utility patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF FIRST INVENTOR, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection.

**Please verify the accuracy of the data presented on this receipt.** If an error is noted on this Filing Receipt, please submit a written request for a corrected Filing Receipt, including a properly marked-up ADS showing the changes with strike-through for deletions and underlining for additions. If you received a "Notice to File Missing Parts" or other Notice requiring a response for this application, please submit any request for correction to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections provided that the request is grantable.

**Inventor(s)**

Douglas A. Amorese, Los Altos, CA;
Jonathan Scolnick, San Francisco, CA;
Ben Schroeder, San Mateo, CA;

**Applicant(s)**

NUGEN TECHNOLOGIES, INC., Redwood City, CA;

**Power of Attorney:** The patent practitioners associated with Customer Number 21710

**Domestic Priority data as claimed by applicant**

This application is a CON of 15/406,002 01/13/2017 PAT 10570448
which is a DIV of 14/540,917 11/13/2014 PAT 9546399
which claims benefit of 61/903,826 11/13/2013

**Foreign Applications** for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.
*Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.*

**Permission to Access Application via Priority Document Exchange:** Yes

**Permission to Access Search Results:** Yes



QIAGEN Exhibit 1013.0007

Applicant may provide or rescind an authorization for access using Form PTO/SB/39 or Form PTO/SB/69 as appropriate.

**Projected Publication Date:** Not Applicable

**Non-Publication Request:** No

**Early Publication Request:** No

**Title**

COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

**Preliminary Class**

435

**Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications:** No

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at http://www.uspto.gov/web/offices/pac/doc/general/index.html.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, http://www.stopfakes.gov. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4258).



QIAGEN Exhibit 1013.0008

## LICENSE FOR FOREIGN FILING UNDER

## Title 35, United States Code, Section 184

## Title 37, Code of Federal Regulations, 5.11 & 5.15

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign AssetsControl, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The U.S. offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to promote and facilitate business investment. SelectUSA provides information assistance to the international investor community; serves as an ombudsman for existing and potential investors; advocates on behalf of U.S. cities, states, and regions competing for global investment; and counsels U.S. economic development organizations on investment attraction best practices. To learn more about why the United States is the best country in the world to develop technology, manufacture products, deliver services, and grow your business, visit http://www.SelectUSA.gov or call +1-202-482-6800.




QIAGEN Exhibit 1013.0009

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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Alexandria, Virginia 22313-1450
www.uspto.gov

| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US 34079/516 |

**CONFIRMATION NO. 3249**

21710
BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

**37 CFR 1.48(f)**
**ACKNOWLEDGEMENT LETTER**

*OC000000126344655*

Date Mailed: 06/16/2021

## NOTICE OF ACCEPTANCE OF REQUEST UNDER 37 CFR 1.48(f)

This is in response to the applicant's request under 37 CFR 1.48(f) submitted on 06/14/2021.

The request under 37 CFR 1.48(f) to correct the inventorship, to correct or update the name of an inventor, or to correct the order of names of joint inventors is accepted.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at **(571) 272-4000** or **(571) 272-4200** or **1-888-786-0101**.

/ggasgedom/



QIAGEN Exhibit 1013.0010

Doc Code: R48.REQ
Document Description: Request under Rule 48 correcting inventorship

PTO/AIA/40 (04-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| **REQUEST FOR CORRECTION IN A PATENT APPLICATION RELATING TO INVENTORSHIP OR AN INVENTOR NAME, OR ORDER OF NAMES, OTHER THAN IN A REISSUE APPLICATION (37 CFR 1.48)** | | |
|---|---|---|
| | Application Number | 16/743,604-Conf. #3249 |
| | Filing Date | January 15, 2020 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Practitioner Docket Number | NUGN-001/03US 34079/516 |

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

Applicant hereby **requests that the inventorship be corrected or changed, or that the name of the inventor or a joint inventor, or the order of the names of joint inventors, be changed,** in the above-identified application. **Note**: 37 CFR 1.48 applies to any request to correct inventorship filed on or after September 16, 2012, regardless of the application filing date. **Do not submit this form after payment of the issue fee or if the application has been patented.** See 37 CFR 1.324 for correction of inventorship in a patent.

Please check the applicable box(es) below.

**For a nonprovisional application:**

☐ 1.This request is to correct or change the inventorship in a **nonprovisional** application (**under 37 CFR 1.48(a)**) and includes:

☐ An application data sheet (ADS) in accordance with 37 CFR 1.76(c) with the corrected or updated information shown with markings (*e.g.*, underlining for insertions, strikethrough for deletions). See the Manual of Patent Examining Procedure (MPEP) section 601.05(a) for information about filing an ADS in an application filed on/after September 16, 2012. For information about filing a Supplemental ADS in an application filed before September 16, 2012, see MPEP 601.05(b).

☐ The processing fee set forth in 37 CFR 1.17(i). $ _____

☐ An inventor is being added. An inventor's oath or declaration by any actual inventor who has not yet executed an oath or declaration is required (see 37 CFR 1.48(b)). See MPEP 602.01(a) for information about an inventor's oath or declaration for an application filed on/after September 16, 2012 (*e.g.*, form **PTO/AIA/01**). For information about an inventor's oath or declaration for an application filed before September 16, 2012 (*e.g.*, form **PTO/SB/01**), see MPEP 602.01(b).

☐ This request is being filed after the first Office action on the merits has been given or mailed (see 37 CFR 1.48(c) and 1.17(d)). Check one of the following:

☐ This request to correct or change the inventorship is due solely to the cancellation of claims in the application.

OR

☐ The fee set forth in 37 CFR 1.17(d) is due (in addition to the fee set forth in 37 CFR 1.17(i)). $ _____



QIAGEN Exhibit 1013.0011

PTO/AIA/40 (04-18)
Approved for use through 11/30/2020. OMB 0651-0031
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# REQUEST FOR CORRECTION IN A PATENT APPLICATION RELATING TO INVENTORSHIP OR AN INVENTOR NAME, OR ORDER OF NAMES, OTHER THAN IN A REISSUE APPLICATION (37 CFR 1.48)

[X] 2. This request is to correct or update the name of the inventor or a joint inventor, or the order of names of joint inventors, in a **nonprovisional** application (**under 37 CFR 1.48(f)**) and includes:

[X] An application data sheet in accordance with 37 CFR 1.76(c) identifying the complete inventive entity, including the corrected or updated name of the inventor, or the new order of names shown with markings (*e.g.*, underlining for insertions, strikethrough for deletions). See the MPEP 601.05(a) for information about filing an ADS in an application filed on/after September 16, 2012. For information about filing a Supplemental ADS in an application filed before September 16, 2012, see MPEP 601.05(b).

[X] The processing fee set forth in 37 CFR 1.17(i). $ 140.00

**For a provisional application:**

[ ] This request is to change or correct the inventorship, or correct or update the name of the inventor or a joint inventor, in a **provisional** application (**under 37 CFR 1.48(d)**) and includes:

[ ] **Attached hereto** is a document that is signed by a party set forth in 37 CFR 1.33(b) and identifies each inventor by his or her legal name, in the preferred order. Note: the document may be an application data sheet in accordance with 37 CFR 1.76(c) that identifies the changes with markings (underlining for insertions, strikethrough for deletions).

[ ] The processing fee set forth in 37 CFR 1.17(q). $ _____

**Fee Payment Information:**

[ ] Applicant asserts small entity status. See 37 CFR 1.27.

[ ] Applicant certifies micro entity status. See 37 CFR 1.29.
Form PTO/SB/15A or B or equivalent must either be enclosed or have been submitted previously

[ ] A check in the amount of the fee is enclosed.

[ ] Payment by credit card. Form PTO-2038 is attached.

[X] The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 50-0369 .

[X] Payment made via EFS-Web.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

I am the

[ ] Applicant* [X] attorney or agent of record Registration number 36,989 [ ] attorney or agent acting under 37 CFR 1.34 Registration number _____

Signature /Thomas C. Meyers/

Typed or printed name Thomas C. Meyers

Date June 14, 2021

**NOTE:** This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. *Juristic entities must be represented by a patent practitioner (See 37 CFR 1.31, applicable to any paper filed on or after September 16, 2012 that is presented on behalf of a juristic entity, regardless of application filing date). Submit multiple forms if more than one signature is required, see below**.

[ ] ** Total of 1 forms are submitted.



64089253 v1

QIAGEN Exhibit 1013.0012

**Corrected Application Data Sheet**

**Inventor Information**

| | |
|---|---|
| Inventor Number:: | 1 |
| Given Name:: | Douglas |
| Middle Name:: | A. |
| Family Name:: | Amorese |
| City of Residence:: | Los Altos |
| State or Province of Residence:: | CA |
| Country of Residence:: | US |
| Street of mailing address:: | 900 Chesapeake Drive |
| City of mailing address:: | Redwood City |
| State or Province of mailing address:: | CA |
| Country of mailing address:: | US |
| Postal or Zip Code of mailing address:: | 94063 |

| | |
|---|---|
| Inventor Number:: | 2 |
| Given Name:: | Jonathan |
| Family Name:: | Scolnick |
| City of Residence:: | San Francisco |
| State or Province of Residence:: | CA |
| Country of Residence:: | US |
| Street of mailing address:: | 451 Kansas Street #518 |
| City of mailing address:: | San Francisco |

| | |
|---|---|
| State or Province of mailing address:: | CA |
| Country of mailing address:: | US |
| Postal or Zip Code of mailing address:: | 94107 |
| | |
| Inventor Number:: | 3 |
| Given Name:: | ~~Benjamin~~ Ben |
| Middle Name:: | ~~G.~~ |
| Family Name:: | Schroeder |
| City of Residence:: | San Mateo |
| State or Province of Residence:: | CA |
| Country of Residence:: | US |
| Street of mailing address:: | 33 Hayward Ave, Apt 112 |
| City of mailing address:: | San Mateo |
| State or Province of mailing address:: | CA |
| Country of mailing address:: | US |
| Postal or Zip Code of mailing address:: | 94401 |



QIAGEN Exhibit 1013.0014

**Correspondence Information**

| | |
|---|---|
| Correspondence Customer Number:: | 21710 |
| E-Mail address:: | ip@brownrudnick.com |

**Application Information**

| | |
|---|---|
| Application Number:: | 16/743,604 |
| Filing Date:: | 01/15/20 |
| Application Type:: | Nonprovisional |
| Subject Matter:: | Utility |
| CD-ROM or CD-R?:: | None |
| Sequence submission?:: | None |
| Computer Readable Form (CRF)?:: | No |
| Title:: | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| Attorney Docket Number:: | NUGN-001/03US 34079/516 |
| Request for Early Publication?:: | No |
| Request for Non-Publication?:: | No |
| Total Drawing Sheets:: | 6 |
| Small Entity?:: | No |
| Petition included?:: | No |
| Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy | No |



QIAGEN Exhibit 1013.0015

Order pursuant to 37 CFR 5.2::

**Representative Information**

Representative Customer Number:: 21710

**Domestic Priority Information**

| Application:: | Continuity Type:: | Parent Application:: | Parent Filing Date:: | Prior Appl Status:: | Parent Patent No. | Parent Issue Date |
|---|---|---|---|---|---|---|
| This Application | Continuation of | 15/406002 | 01/13/17 | ~~Pending~~ Issued | 10/570,448 | 02/25/2020 |
| 15/406002 | Division of | 14/540917 | 11/13/14 | ~~Pending~~ Issued | 9,546,399 | 01/17/2017 |
| 14/540917 | Claims benefit of provisional | 61/903826 | 11/13/13 | Expired | N/A | N/A |

**Foreign Priority Information**

**Applicant Information**

Applicant Number:: 1

Applicant Type:: Assignee

Organization Name:: NUGEN TECHNOLOGIES, INC.

Street of mailing address:: 900 Chesapeake Drive

City of mailing address:: Redwood City

State or Province of mailing address:: CA

Country of mailing address:: US

Postal or Zip Code of mailing address:: 94063



QIAGEN Exhibit 1013.0016

## Assignee Information Including Non-Applicant Assignee Information

## Signature:

**NOTE:** This Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). **However, if this Application Data Sheet is submitted with the INITIAL filing of the application and either box A or B is not checked in subsection 2 of the "Authorization or Opt-Out of Authorization to Permit Access" section, then this form must also be signed in accordance with 37 CFR 1.14(c).**

This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of **all** joint inventor-applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

| | | | |
|---|---|---|---|
| **Signature** | /Thomas C. Meyers/ | Date (YYYY-MM-DD) | 2021-06-14 |
| Name | Thomas C. Meyers | Registration Number | 36,989 |

64089252 v1



QIAGEN Exhibit 1013.0017

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 16743604 |
| **Filing Date:** | 15-Jan-2020 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Filer:** | Thomas C. Meyers/Michelle Aiello |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |

Filed as Large Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| PROCESSING FEE, EXCEPT PROV. APPLS. | 1830 | 1 | 140 | 140 |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **140** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 42977446 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Michelle Aiello |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 14-JUN-2021 |
| **Filing Date:** | 15-JAN-2020 |
| **Time Stamp:** | 14:52:22 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | DA |
| Payment was successfully received in RAM | $140 |
| RAM confirmation Number | E20216DE52361695 |
| Deposit Account | |
| Authorized User | |

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

QIAGEN Exhibit 1013.0020

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Request under Rule 48 correcting inventorship | NUGN-001-03US-Request_for_Inventor_Related_Correction_PTO-AIA-40.pdf | 210313<br>491d7baa993ea4581d05ad2d859b6de3ae63aad6 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Application Data Sheet | NUGN-001-03US-Corrected_ADS.pdf | 185920<br>27ea81452077779a5b20ba7af228beca9e4d76b5 | no | 5 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| This is not an USPTO supplied ADS fillable form | | | | | |
| 3 | Fee Worksheet (SB06) | fee-info.pdf | 30643<br>ce5326414ce882d5918d0b2aa7a5992a406487ae | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 426876 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>34079/516 | 3249 |

21710 7590 05/07/2021

BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

| EXAMINER | |
|---|---|
| STRZELECKA, TERESA E | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 1637 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 05/07/2021 | ELECTRONIC |

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

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

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

ip@brownrudnick.com
usactions@brownrudnick.com



QIAGEN Exhibit 1013.0022

| Notice of Allowability | Application No. 16/743,604 | Applicant(s) Amorese et al. | |
|---|---|---|---|
| | Examiner TERESA E STRZELECKA | Art Unit 1637 | AIA (FITF) Status Yes |

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☑ This communication is responsive to Printer rush dated.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

3. ☑ The allowed claim(s) is/are 22-31 . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see **http://www.uspto.gov/patents/init_events/pph/index.jsp** or send an inquiry to **PPHfeedback@uspto.gov.**

4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   **Certified copies:**

   a) ☐ All  b) ☐ Some  *c) ☐ None of the:

   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____ .

   **Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date _____.
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material _____.
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date. _____.
5. ☑ Examiner's Amendment/Comment
6. ☐ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/TERESA E STRZELECKA/
Primary Examiner, Art Unit 1637



QIAGEN Exhibit 1013.0023

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

1. The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

2. This Corrected Notice of Allowability is issued to correct claim dependencies of claims 23-31, which should depend from claim 22.

## EXAMINER'S AMENDMENT

3. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in an interview with Thomas Meyers on May 4, 2021.

The application has been amended as follows:

- In claim 23, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 24, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 25, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 26, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 27, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 28, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 29, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.
- In claim 30, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.

- In claim 31, line 1, delete ---1--- after "claim" and substitute ---22--- therefor.

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to TERESA E STRZELECKA whose telephone number is (571)272-0789. The examiner can normally be reached on M-F 9-7.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gary Benzion can be reached on 571-272-0782. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see https://ppair-my.uspto.gov/pair/PrivatePair. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/TERESA E STRZELECKA/
Primary Examiner, Art Unit 1637
May 4, 2021

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| ✓ | Rejected | - | Cancelled | N | Non-Elected | A | Appeal |
| = | Allowed | ÷ | Restricted | I | Interference | O | Objected |

**CLAIMS**

☑ Claims renumbered in the same order as presented by applicant ☐ CPA ☑ T.D. ☐ R.1.47

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 12/03/2020 | 04/12/2021 | | | | | | | |
| | 22 | ✓ | = | | | | | | | |
| | 23 | ✓ | = | | | | | | | |
| | 24 | ✓ | = | | | | | | | |
| | 25 | ✓ | = | | | | | | | |
| | 26 | ✓ | = | | | | | | | |
| | 27 | ✓ | = | | | | | | | |
| | 28 | ✓ | = | | | | | | | |
| | 29 | ✓ | = | | | | | | | |
| | 30 | ✓ | = | | | | | | | |
| | 31 | ✓ | = | | | | | | | |
| | 32 | ✓ | - | | | | | | | |

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | **Examiner** | **Art Unit** |
| | TERESA E STRZELECKA | 1637 |

| CPC | | | | | | |
|---|---|---|---|---|---|---|
| **Symbol** | | | | | **Type** | **Version** |
| C12Q | / | 1 | / | 6874 | F | 2013-01-01 |
| C12Q | / | 1 | / | 6869 | I | 2013-01-01 |
| C12Q | / | 2525 | / | 179 | A | 2013-01-01 |
| C12Q | / | 2525 | / | 191 | A | 2013-01-01 |

| CPC Combination Sets | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Symbol** | | | | | **Type** | **Set** | **Ranking** | **Version** |
| C12Q | / | 1 | / | 6869 | I | 1 | 1 | 2013-01-01 |
| C12Q | / | 2525 | / | 179 | I | 1 | 2 | 2013-01-01 |
| C12Q | / | 2525 | / | 191 | I | 1 | 3 | 2013-01-01 |
| C12Q | / | 2537 | / | 157 | I | 1 | 4 | 2013-01-01 |
| C12Q | / | 2563 | / | 179 | I | 1 | 5 | 2013-01-01 |
| C12Q | / | 2565 | / | 514 | I | 1 | 6 | 2013-01-01 |
| C12Q | / | 1 | / | 6869 | I | 2 | 1 | 2013-01-01 |
| C12Q | / | 2525 | / | 155 | I | 2 | 2 | 2013-01-01 |
| C12Q | / | 2525 | / | 179 | I | 2 | 3 | 2013-01-01 |
| C12Q | / | 2525 | / | 191 | I | 2 | 4 | 2013-01-01 |
| C12Q | / | 2535 | / | 122 | I | 2 | 5 | 2013-01-01 |
| C12Q | / | 2537 | / | 159 | I | 2 | 6 | 2013-01-01 |
| C12Q | / | 2563 | / | 179 | I | 2 | 7 | 2013-01-01 |

| NONE | | **Total Claims Allowed:** | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 10 | |
| /TERESA E STRZELECKA/<br>Primary Examiner, Art Unit 1637 | 04 May 2021 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 22 | None |

U.S. Patent and Trademark Office

Part of Paper No.: 20210504

QIAGEN Exhibit 1013.0027

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | **Examiner** | **Art Unit** |
| | TERESA E STRZELECKA | 1637 |

| INTERNATIONAL CLASSIFICATION | | | | |
|---|---|---|---|---|
| **CLAIMED** | | | | |
| C12Q1/6874 | / | 1 | / | 6874 |
| C12Q1/6869 | / | 1 | / | 6869 |

| NON-CLAIMED | | | | |
|---|---|---|---|---|
| | / | | / | |

| US ORIGINAL CLASSIFICATION | |
|---|---|
| **CLASS** | **SUBCLASS** |
| | |

| CROSS REFERENCES(S) | | | | | | |
|---|---|---|---|---|---|---|
| **CLASS** | **SUBCLASS (ONE SUBCLASS PER BLOCK)** | | | | | |
| | | | | | | |

| NONE | | Total Claims Allowed: | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 10 | |
| /TERESA E STRZELECKA/<br>Primary Examiner, Art Unit 1637 | 04 May 2021 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 22 | None |

U.S. Patent and Trademark Office

Part of Paper No.: 20210504

QIAGEN Exhibit 1013.0028

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

☑ Claims renumbered in the same order as presented by applicant ☐ CPA ☑ T.D. ☐ R.1.47

**CLAIMS**

| Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
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| | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |

| NONE<br>(Assistant Examiner) | (Date) | Total Claims Allowed:<br>10 | |
|---|---|---|---|
| /TERESA E STRZELECKA/<br>Primary Examiner, Art Unit 1637<br>(Primary Examiner) | 04 May 2021<br>(Date) | O.G. Print Claim(s)<br>22 | O.G. Print Figure<br>None |

U.S. Patent and Trademark Office

Part of Paper No.: 20210504

QIAGEN Exhibit 1013.0029

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>~~34079/516~~ | 3249 |

7590 04/30/2021

BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

| EXAMINER | |
|---|---|
| STRZELECKA, TERESA E | |
| **ART UNIT** | **PAPER NUMBER** |
| 1637 | |
| **NOTIFICATION DATE** | **DELIVERY MODE** |
| 04/30/2021 | ELECTRONIC |

## NOTICE REQUIRING INVENTOR'S OATH OR DECLARATION

☐ An inventor's oath or declaration in compliance with 37 CFR 1.63 or substitute statement in compliance with 37 CFR 1.64 executed by or with respect to each inventor has not yet been submitted.

The inventor's oath or declaration or substitute statement dated 01/15/2020 is defective. The inventor's oath or declaration does not comply with 37 CFR 1.63 or the substitute statement does not comply with 37 CFR 1.64 because it:

☐ does not include a statement that the person executing the oath or declaration or substitute statement believes the named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application for which the oath or declaration is being submitted.

☐ does not state that the application was made or was authorized to be made by the person executing the oath or declaration or substitute statement.

☐ does not acknowledge that any willful false statement made in such oath or declaration or substitute statement is punishable under section 1001 of title 18 by fine or imprisonment of not more than 5 years, or both.

☑ does not identify the person executing the oath or declaration or substitute statement by his or her legal name.

☐ does not identify the application to which the oath or declaration or substitute statement is directed.

☑ Other: First name of 3rd inventor does not match ADS ("Ben SCHROEDER" vs. "Benjamin SCHROEDER")

The substitute statement dated _____ does not comply with 37 CFR 1.64 because it:

☐ does not identify the inventor with respect to whom the statement applies.

☐ does not identify the relationship to the non-signing inventor.

☐ does not identify the circumstances permitting execution of the statement.

☐ was signed by someone other than the applicant.

☐ Other: _____

An oath or declaration in compliance with 37 CFR 1.63, or a substitute statement in compliance with 37 CFR 1.64, executed by or with respect to each inventor MUST be filed **no later than the date on which the issue fee is paid.** See 35 U.S.C. 115(f). Failure to timely comply will result in ABANDONMENT of this application. This period for reply is not extendable under 37 CFR 1.136(a).

Questions relating to this Notice should be directed to the Application Assistance Unit at 571-272-4200.

(571)-272-4200 or 1(888)-786-0101
Patent Publication Branch
Office of Data Management

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UNITED STATES DEPARTMENT OF COMMERCE
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Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

# NOTICE OF ALLOWANCE AND FEE(S) DUE

21710 7590 04/21/2021

BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

| EXAMINER |
|---|
| STRZELECKA, TERESA E |

| ART UNIT | PAPER NUMBER |
|---|---|
| 1637 | |

DATE MAILED: 04/21/2021

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>34079/516 | 3249 |

TITLE OF INVENTION: COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

| APPLN. TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | UNDISCOUNTED | $1200 | $0.00 | $0.00 | $1200 | 07/21/2021 |

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

**HOW TO REPLY TO THIS NOTICE:**

I. Review the ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.

If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.

If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".

For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER: Maintenance fees are due in utility patents issuing on applications filed on or after Dec. 12, 1980. It is patentee's responsibility to ensure timely payment of maintenance fees when due. More information is available at www.uspto.gov/PatentMaintenanceFees.**



QIAGEN Exhibit 1013.0031

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), by mail or fax, or via EFS-Web.

By mail, send to: Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

By fax, send to: (571)-273-2885

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

21710 7590 04/21/2021

BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being transmitted to the USPTO via EFS-Web or by facsimile to (571) 273-2885, on the date below.

| |
|---|
| (Typed or printed name) |
| (Signature) |
| (Date) |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>34079/516 | 3249 |

TITLE OF INVENTION: COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

| APPLN. TYPE | ENTITY STATUS | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|---|---|---|---|---|---|---|
| nonprovisional | UNDISCOUNTED | $1200 | $0.00 | $0.00 | $1200 | 07/21/2021 |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|---|---|---|
| STRZELECKA, TERESA E | 1637 | 435-006120 |

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

❑ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

❑ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-09 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list
(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,
(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1 _____
2 _____
3 _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document must have been previously recorded, or filed for recordation, as set forth in 37 CFR 3.11 and 37 CFR 3.81(a). Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent) : ❑ Individual ❑ Corporation or other private group entity ❑ Government

4a. Fees submitted: ❑ Issue Fee ❑ Publication Fee (if required) ❑ Advance Order - # of Copies _____

4b. Method of Payment: *(Please first reapply any previously paid fee shown above)*

❑ Electronic Payment via EFS-Web ❑ Enclosed check ❑ Non-electronic payment by credit card (Attach form PTO-2038)

❑ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment to Deposit Account No. _____

5. **Change in Entity Status** (from status indicated above)

❑ Applicant certifying micro entity status. See 37 CFR 1.29

❑ Applicant asserting small entity status. See 37 CFR 1.27

❑ Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.
NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.
NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____



QIAGEN Exhibit 1013.0032

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>~~34079/516~~ | 3249 |

21710 7590 04/21/2021

BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

| EXAMINER | |
|---|---|
| STRZELECKA, TERESA E | |
| ART UNIT | PAPER NUMBER |
| 1637 | |

DATE MAILED: 04/21/2021

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

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.



QIAGEN Exhibit 1013.0033

## OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

The information collected by PTOL-85 Part B is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## Privacy Act Statement

**The Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

| Notice of Allowability | Application No. 16/743,604 | Applicant(s) Amorese et al. | |
|---|---|---|---|
| | Examiner TERESA E STRZELECKA | Art Unit 1637 | AIA (FITF) Status Yes |

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

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☑ This communication is responsive to amendment filed March 5, 2021.
   ☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

2. ☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

3. ☑ The allowed claim(s) is/are 22-31 . As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see **http://www.uspto.gov/patents/init_events/pph/index.jsp** or send an inquiry to **PPHfeedback@uspto.gov.**

4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

   **Certified copies:**

   a) ☐ All  b) ☐ Some  *c) ☐ None of the:

   1. ☐ Certified copies of the priority documents have been received.
   2. ☐ Certified copies of the priority documents have been received in Application No. _____ .
   3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

   * Certified copies not received: _____ .

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
   ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____ .

   **Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**

6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date _____.
3. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material _____.
4. ☐ Interview Summary (PTO-413), Paper No./Mail Date. _____.
5. ☐ Examiner's Amendment/Comment
6. ☑ Examiner's Statement of Reasons for Allowance
7. ☐ Other _____.

/TERESA E STRZELECKA/
Primary Examiner, Art Unit 1637



QIAGEN Exhibit 1013.0035

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

1. The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

2. This office action is in response to an amendment filed March 5, 2021. Claims 22-32 were previously pending. Applicant amended claims 22, 26 and 27 and cancelled claim 32. Claims 22-31 are under consideration.

3. Applicant's claim amendments and arguments overcame the previously presented claim rejections. No new references were found teaching or suggesting the claims as amended.

### *Terminal Disclaimer*

4. The terminal disclaimer filed on March 5, 2021 disclaiming the terminal portion of any patent granted on this application which would extend beyond the expiration date of U.S. Patent 9,946,399 has been reviewed and is accepted. The terminal disclaimer has been recorded.

In view of the acceptance of the terminal disclaimer, the previously presented obviousness-type double patenting rejection is withdrawn.

5. In conclusion, claims 22-31 are allowed.

### *Conclusion*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to TERESA E STRZELECKA whose telephone number is (571)272-0789. The examiner can normally be reached on M-F 9-7.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is

encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gary Benzion can be reached on 571-272-0782. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see https://ppair-my.uspto.gov/pair/PrivatePair. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/TERESA E STRZELECKA/
Primary Examiner, Art Unit 1637
April 12, 2021

| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

| CPC - Searched* | | |
|---|---|---|
| Symbol | Date | Examiner |
| C12Q1/6869 \|C12Q2525/191 \| C12Q2535/122 plus text search | 12/02/2020 | /TS/ |
| C12Q1/6869 \|C12Q2525/191 \| C12Q2535/122 plus text search | 04/12/2021 | /TS/ |

| CPC Combination Sets - Searched* | | |
|---|---|---|
| Symbol | Date | Examiner |
| | | |

| US Classification - Searched* | | | |
|---|---|---|---|
| Class | Subclass | Date | Examiner |
| | | | |

* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

| Search Notes | | |
|---|---|---|
| Search Notes | Date | Examiner |
| Inventor name search | 12/02/2020 | /TS/ |
| WEST | 12/02/2020 | /TS/ |
| Google | 12/02/2020 | /TS/ |
| IDS (7/22/20) | 12/02/2020 | /TS/ |
| Google | 04/12/2021 | /TS/ |
| WEST | 04/12/2021 | /TS/ |


QIAGEN Exhibit 1013 0038

| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

| Interference Search | | | |
|---|---|---|---|
| US Class/CPC Symbol | US Subclass/CPC Group | Date | Examiner |
| | C12Q1/6869 \|C12Q2525/191 \| C12Q2535/122 plus text search | 04/12/2021 | /TS/ |


QIAGEN Exhibit 1013.0039

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | **Examiner** | **Art Unit** |
| | TERESA E STRZELECKA | 1637 |

| CPC | | | | | | |
|---|---|---|---|---|---|---|
| **Symbol** | | | | | **Type** | **Version** |
| C12Q | / | 1 | / | 6874 | F | 2013-01-01 |
| C12Q | / | 1 | / | 6869 | I | 2013-01-01 |
| C12Q | / | 2525 | / | 179 | A | 2013-01-01 |
| C12Q | / | 2525 | / | 191 | A | 2013-01-01 |

| CPC Combination Sets | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Symbol** | | | | | **Type** | **Set** | **Ranking** | **Version** |
| C12Q | / | 1 | / | 6869 | I | 1 | 1 | 2013-01-01 |
| C12Q | / | 2525 | / | 179 | I | 1 | 2 | 2013-01-01 |
| C12Q | / | 2525 | / | 191 | I | 1 | 3 | 2013-01-01 |
| C12Q | / | 2537 | / | 157 | I | 1 | 4 | 2013-01-01 |
| C12Q | / | 2563 | / | 179 | I | 1 | 5 | 2013-01-01 |
| C12Q | / | 2565 | / | 514 | I | 1 | 6 | 2013-01-01 |
| C12Q | / | 1 | / | 6869 | I | 2 | 1 | 2013-01-01 |
| C12Q | / | 2525 | / | 155 | I | 2 | 2 | 2013-01-01 |
| C12Q | / | 2525 | / | 179 | I | 2 | 3 | 2013-01-01 |
| C12Q | / | 2525 | / | 191 | I | 2 | 4 | 2013-01-01 |
| C12Q | / | 2535 | / | 122 | I | 2 | 5 | 2013-01-01 |
| C12Q | / | 2537 | / | 159 | I | 2 | 6 | 2013-01-01 |
| C12Q | / | 2563 | / | 179 | I | 2 | 7 | 2013-01-01 |

| NONE | | **Total Claims Allowed:** | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 10 | |
| /TERESA E STRZELECKA/<br>Primary Examiner, Art Unit 1637 | 12 April 2021 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 22 | None |

U.S. Patent and Trademark Office

Part of Paper No.: 20210412

QIAGEN Exhibit 1013.0040

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

| INTERNATIONAL CLASSIFICATION | | | | |
|---|---|---|---|---|
| CLAIMED | | | | |
| C12Q1/6874 | / | 1 | / | 6874 |
| C12Q1/6869 | / | 1 | / | 6869 |

| NON-CLAIMED | | | | |
|---|---|---|---|---|
| | / | | / | |

| US ORIGINAL CLASSIFICATION | |
|---|---|
| CLASS | SUBCLASS |
| | |

| CROSS REFERENCES(S) | | | | | | |
|---|---|---|---|---|---|---|
| CLASS | SUBCLASS (ONE SUBCLASS PER BLOCK) | | | | | |
| | | | | | | |

| NONE | | Total Claims Allowed: | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 10 | |
| /TERESA E STRZELECKA/<br>Primary Examiner, Art Unit 1637 | 12 April 2021 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 22 | None |

U.S. Patent and Trademark Office

Part of Paper No.: 20210412

QIAGEN Exhibit 1013.0041

| Issue Classification | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | **Examiner** | **Art Unit** |
| | TERESA E STRZELECKA | 1637 |

☑ Claims renumbered in the same order as presented by applicant ☐ CPA ☑ T.D. ☐ R.1.47

**CLAIMS**

| Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original | Final | Original |
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| NONE | | **Total Claims Allowed:** | |
|---|---|---|---|
| (Assistant Examiner) | (Date) | 10 | |
| /TERESA E STRZELECKA/<br>Primary Examiner, Art Unit 1637 | 12 April 2021 | O.G. Print Claim(s) | O.G. Print Figure |
| (Primary Examiner) | (Date) | 22 | None |

U.S. Patent and Trademark Office

Part of Paper No.: 20210412

QIAGEN Exhibit 1013.0042

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
|---|---|---|
| | 16/743,604 | Amorese et al. |
| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| ✓ | Rejected | - | Cancelled | N | Non-Elected | A | Appeal |
| = | Allowed | ÷ | Restricted | I | Interference | O | Objected |

**CLAIMS**

☑ Claims renumbered in the same order as presented by applicant ☐ CPA ☑ T.D. ☐ R.1.47

| CLAIM | | DATE | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Final | Original | 12/03/2020 | 04/12/2021 | | | | | | | |
| | 22 | ✓ | = | | | | | | | |
| | 23 | ✓ | = | | | | | | | |
| | 24 | ✓ | = | | | | | | | |
| | 25 | ✓ | = | | | | | | | |
| | 26 | ✓ | = | | | | | | | |
| | 27 | ✓ | = | | | | | | | |
| | 28 | ✓ | = | | | | | | | |
| | 29 | ✓ | = | | | | | | | |
| | 30 | ✓ | = | | | | | | | |
| | 31 | ✓ | = | | | | | | | |
| | 32 | ✓ | - | | | | | | | |

# Web Search History

| date, time | web site | search string |
|---|---|---|
| 4/12/2021 3:56:01 PM | Google | sequencing "duplicate reads" identification |
| 4/12/2021 4:09:03 PM | Google | sequencing "duplicate reads" identificationbarcodes |
| 4/12/2021 4:11:15 PM | Google | sequencing "duplicate reads" identification barcodes |

# WEST Search History for Application 16743604

## Creation Date: 2021041218:29

## Interference Searches

| Query | DB | Hits | Op. | Plur. | Thes. | Date |
|---|---|---|---|---|---|---|
| **sequencing and read near3 (duplicat $ 8 or redun $ 8) and (barcod $ 8 or index $ 8 or tag $ 8 or identifier) near3 (random or degenerat $ 8) and (duplicat $ 8 or redund $ 8) near3 remov $ 8 and ((C12Q1/6869 \| C12Q2525/191 \| C12Q2535/122).CPC.)** | PGPB, USPT | 64 | ADJ | YES | ASSIGNEE | 04-12-2021 |

## Prior Art Searches

| Query | DB | Hits | Op. | Plur. | Thes. | Date |
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QIAGEN Exhibit 1013.0045

| | | | | | | | |
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| "20080103058" | "20080131937" | | | | | | |
| "20080160580" | "20080176311" | | | | | | |
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| "5242794" \| "5384242" \| "5386023" \| | | | | | | | |
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| "5422271" \| "5427929" \| "5480784" \| | | | | | | | |
| "5494810" \| "5508169" \| "5508178" \| | | | | | | | |
| "5510270" \| "5525471" \| "5545522" \| | | | | | | | |
| "5554516" \| "5554517" \| "5556752" \| | | | | | | | |
| "5565340" \| "5573913" \| "5578832" \| | | | | | | | |
| "5589339" \| "5602240" \| "5637684" \| | | | | | | | |
| "5641658" \| "5644048" \| "5665549" \| | | | | | | | |
| "5667976" \| "5667979" \| "5679512" \| | | | | | | | |
| "5681726" \| "5683879" \| "5688648" \| | | | | | | | |
| "5705628" \| "5708154" \| "5710028" \| | | | | | | | |
| "5712126" \| "5716785" \| "5726329" \| | | | | | | | |
| "5750341" \| "5759822" \| "5763178" \| | | | | | | | |
| "5789206" \| "5824517" \| "5824518" \| | | | | | | | |
| "5837832" \| "5876976" \| "5882867" \| | | | | | | | |
| "5888779" \| "5888819" \| "5945313" \| | | | | | | | |
| "5952176" \| "5958681" \| "5965409" \| | | | | | | | |
| "5969119" \| "5972618" \| "6004744" \| | | | | | | | |
| "6004745" \| "6027889" \| "6027923" \| | | | | | | | |
| "6030774" \| "6037152" \| "6056661" \| | | | | | | | |
| "6077674" \| "6087103" \| "6090553" \| | | | | | | | |
| "6090591" \| "6107023" \| "6110709" \| | | | | | | | |
| "6150112" \| "6159685" \| "6160105" \| | | | | | | | |
| "6169194" \| "6172208" \| "6174680" \| | | | | | | | |
| "6180338" \| "6190865" \| "6194211" \| | | | | | | | |
| "6197501" \| "6197557" \| "6210891" \| | | | | | | | |
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| "6280935" \| "6287766" \| "6287825" \| | | | | | | | |
| "6291170" \| "6306365" \| "6306597" \| | | | | | | | |
| "6309843" \| "6326142" \| "6335167" \| | | | | | | | |

| | | | | | | |
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| **"6339147" \| "6440705" \| "6449562" \| "6582938" \| "6670461" \| "6686156" \| "6692918" \| "6770748" \| "6777180" \| "6794499" \| "6815164" \| "6815167" \| "6825011" \| "6833246" \| "6849404" \| "6858413" \| "6913884" \| "6917726" \| "6924104" \| "6946251" \| "7001724" \| "7033764" \| "7048481" \| "7052847" \| "7056676" \| "7056716" \| "7060441" \| "7094536" \| "7115400" \| "7170050" \| "7175982" \| "7176025" \| "7189512" \| "7211390" \| "7232656" \| "7244559" \| "7244567" \| "7264929" \| "7273730" \| "7276720" \| "7294461" \| "7300755" \| "7302146" \| "7313308" \| "7315019" \| "7323305" \| "7335762" \| "7351557" \| "7354717" \| "7361466" \| "7361468" \| "7402386" \| "7405281" \| "7414117" \| "7416844" \| "7462452" \| "7462468" \| "7476503" \| "7476504" \| "7491498" \| "7501245" \| "7579153" \| "7704687" \| "7741463" \| "7771934" \| "7771946" \| "7803550" \| "7846666" \| "7846733" \| "7867703" \| "7939258" \| "7948015" \| "7985565" \| "8017335" \| "8034568" \| "8053192" \| "8071311" \| "8143001" \| "8209130" \| "8334116" \| "8465950" \| "8492095" \| "8512956" \| "8551709" \| "8852867" \| "8999677" \| "9175325" \| "9175336" \| "9181582" \| "9206418" \| "9248076" \| "9546399" \| "9702004" \| "9745627" \| "9896721").PN.** | | | | | | |
| **("4362867" \| "4458066" \| "4469863" \| "4582877" \| "4876187" \| "4925065" \| "4935357" \| "4942124" \| "4988617" \| "4996143" \| "5011769" \| "5034506" \| "5035996" \| "5043272" \| "5082830" \| "5090591" \| "5130238" \| "5169766" \| "5171534" \| "5194370" \| "5216141" \| "5234809" \| "5235033" \| "5242794" \| "5384242" \| "5386023" \| "5399491" \| "5409818" \| "5418149" \| "5422271" \| "5427929" \| "5480784" \| "5494810" \| "5508169" \| "5508178" \| "5510270" \| "5525471" \| "5545522" \| "5554516" \| "5554517" \| "5556752" \| "5565340" \| "5573913" \| "5578832" \| "5589339" \| "5602240" \| "5637684" \| "5641658" \| "5644048" \| "5665549" \| "5667976" \| "5667979" \| "5679512" \| "5681726" \|** | USPT | 214 | ADJ | YES | ASSIGNEE | 12-02-2020 |

| | | | | | | | |
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| "5683879" \| "5688648" \| "5705628" \| | | | | | | | |
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| "5716785" \| "5726329" \| "5750341" \| | | | | | | | |
| "5759822" \| "5763178" \| "5789206" \| | | | | | | | |
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| "6027889" \| "6027923" \| "6030774" \| | | | | | | | |
| "6037152" \| "6056661" \| "6077674" \| | | | | | | | |
| "6087103" \| "6090553" \| "6090591" \| | | | | | | | |
| "6107023" \| "6110709" \| "6150112" \| | | | | | | | |
| "6159685" \| "6160105" \| "6169194" \| | | | | | | | |
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| "6225451" \| "6232104" \| "6251639" \| | | | | | | | |
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| "6287766" \| "6287825" \| "6291170" \| | | | | | | | |
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| "6326142" \| "6335167" \| "6339147" \| | | | | | | | |
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| "6670461" \| "6686156" \| "6692918" \| | | | | | | | |
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| "6815164" \| "6815167" \| "6825011" \| | | | | | | | |
| "6833246" \| "6849404" \| "6858413" \| | | | | | | | |
| "6913884" \| "6917726" \| "6924104" \| | | | | | | | |
| "6946251" \| "7001724" \| "7033764" \| | | | | | | | |
| "7048481" \| "7052847" \| "7056676" \| | | | | | | | |
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| "7294461" \| "7300755" \| "7302146" \| | | | | | | | |
| "7313308" \| "7315019" \| "7323305" \| | | | | | | | |
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| "7361466" \| "7361468" \| "7402386" \| | | | | | | | |
| "7405281" \| "7414117" \| "7416844" \| | | | | | | | |
| "7462452" \| "7462468" \| "7476503" \| | | | | | | | |
| "7476504" \| "7491498" \| "7501245" \| | | | | | | | |
| "7579153" \| "7704687" \| "7741463" \| | | | | | | | |
| "7771934" \| "7771946" \| "7803550" \| | | | | | | | |
| "7846666" \| "7846733" \| "7867703" \| | | | | | | | |
| "7939258" \| "7948015" \| "7985565" \| | | | | | | | |
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| "8512956" \| "8551709" \| "8852867" \| | | | | | | | |
| "8999677" \| "9175325" \| "9175336" \| | | | | | | | |

| | | | | | | |
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| **"9181582" \| "9206418" \| "9248076" \| "9546399" \| "9702004" \| "9745627" \| "9896721").PN.** | | | | | | |
| **(("4362867" \| "4458066" \| "4469863" \| "4582877" \| "4876187" \| "4925065" \| "4935357" \| "4942124" \| "4988617" \| "4996143" \| "5011769" \| "5034506" \| "5035996" \| "5043272" \| "5082830" \| "5090591" \| "5130238" \| "5169766" \| "5171534" \| "5194370" \| "5216141" \| "5234809" \| "5235033" \| "5242794" \| "5384242" \| "5386023" \| "5399491" \| "5409818" \| "5418149" \| "5422271" \| "5427929" \| "5480784" \| "5494810" \| "5508169" \| "5508178" \| "5510270" \| "5525471" \| "5545522" \| "5554516" \| "5554517" \| "5556752" \| "5565340" \| "5573913" \| "5578832" \| "5589339" \| "5602240" \| "5637684" \| "5641658" \| "5644048" \| "5665549" \| "5667976" \| "5667979" \| "5679512" \| "5681726" \| "5683879" \| "5688648" \| "5705628" \| "5708154" \| "5710028" \| "5712126" \| "5716785" \| "5726329" \| "5750341" \| "5759822" \| "5763178" \| "5789206" \| "5824517" \| "5824518" \| "5837832" \| "5876976" \| "5882867" \| "5888779" \| "5888819" \| "5945313" \| "5952176" \| "5958681" \| "5965409" \| "5969119" \| "5972618" \| "6004744" \| "6004745" \| "6027889" \| "6027923" \| "6030774" \| "6037152" \| "6056661" \| "6077674" \| "6087103" \| "6090553" \| "6090591" \| "6107023" \| "6110709" \| "6150112" \| "6159685" \| "6160105" \| "6169194" \| "6172208" \| "6174680" \| "6180338" \| "6190865" \| "6194211" \| "6197501" \| "6197557" \| "6210891" \| "6225109" \| "6225451" \| "6232104" \| "6251639" \| "6262490" \| "6270961" \| "6280935" \| "6287766" \| "6287825" \| "6291170" \| "6306365" \| "6306597" \| "6309843" \| "6326142" \| "6335167" \| "6339147" \| "6440705" \| "6449562" \| "6582938" \| "6670461" \| "6686156" \| "6692918" \| "6770748" \| "6777180" \| "6794499" \| "6815164" \| "6815167" \| "6825011" \| "6833246" \| "6849404" \| "6858413" \| "6913884" \| "6917726" \| "6924104" \| "6946251" \| "7001724" \| "7033764" \|** | USPT | 2 | ADJ | YES | ASSIGNEE | 12-02-2020 |

| | | | | | | |
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| **"7048481" \| "7052847" \| "7056676" \| "7056716" \| "7060441" \| "7094536" \| "7115400" \| "7170050" \| "7175982" \| "7176025" \| "7189512" \| "7211390" \| "7232656" \| "7244559" \| "7244567" \| "7264929" \| "7273730" \| "7276720" \| "7294461" \| "7300755" \| "7302146" \| "7313308" \| "7315019" \| "7323305" \| "7335762" \| "7351557" \| "7354717" \| "7361466" \| "7361468" \| "7402386" \| "7405281" \| "7414117" \| "7416844" \| "7462452" \| "7462468" \| "7476503" \| "7476504" \| "7491498" \| "7501245" \| "7579153" \| "7704687" \| "7741463" \| "7771934" \| "7771946" \| "7803550" \| "7846666" \| "7846733" \| "7867703" \| "7939258" \| "7948015" \| "7985565" \| "8017335" \| "8034568" \| "8053192" \| "8071311" \| "8143001" \| "8209130" \| "8334116" \| "8465950" \| "8492095" \| "8512956" \| "8551709" \| "8852867" \| "8999677" \| "9175325" \| "9175336" \| "9181582" \| "9206418" \| "9248076" \| "9546399" \| "9702004" \| "9745627" \| "9896721").PN. ) and sequencing and read near3 (duplicat$5 or redund$8) and (barcod$5 or index$5 or identifier or tag$6) near3 (random or degener$8)** | | | | | | |
| **("20010000077" \| "20010031739" \| "20010034048" \| "20010041334" \| "20020028447" \| "20020058270" \| "20020115088" \| "20020150919" \| "20020155451" \| "20020164628" \| "20020164634" \| "20020197639" \| "20030017591" \| "20030022207" \| "20030082543" \| "20030087251" \| "20030119150" \| "20030143555" \| "20030175780" \| "20030180779" \| "20030186234" \| "20030207279" \| "20030211616" \| "20030215926" \| "20030224439" \| "20030232348" \| "20040002371" \| "20040005614" \| "20040023271" \| "20040115815" \| "20040137456" \| "20040161742" \| "20040203019" \| "20040203025" \| "20040248153" \| "20050003441" \| "20050014192" \| "20050019793" \| "20050059048" \| "20050064456" \| "20050123956" \| "20050136417" \| "20050142577" \| "20050191656" \|** | PGPB | 181 | ADJ | YES | ASSIGNEE | 12-02-2020 |


QIAGEN Exhibit 1013.0051

| | | | | | | | |
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| **"20050191682" \| "20050208538" \|** | | | | | | | |
| **"20060008824" \| "20060014182" \|** | | | | | | | |
| **"20060024678" \| "20060024711" \|** | | | | | | | |
| **"20060035274" \| "20060046251" \|** | | | | | | | |
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| **(("20010000077" \| "20010031739" \| "20010034048" \| "20010041334" \| "20020028447" \| "20020058270" \| "20020115088" \| "20020150919" \| "20020155451" \| "20020164628" \| "20020164634" \| "20020197639" \| "20030017591" \| "20030022207" \| "20030082543" \| "20030087251" \| "20030119150" \| "20030143555" \| "20030175780" \| "20030180779" \| "20030186234" \| "20030207279" \| "20030211616" \| "20030215926" \| "20030224439" \| "20030232348" \| "20040002371" \| "20040005614" \| "20040023271" \| "20040115815" \| "20040137456" \| "20040161742" \| "20040203019" \| "20040203025" \| "20040248153" \| "20050003441" \| "20050014192" \| "20050019793" \| "20050059048" \| "20050064456" \| "20050123956" \| "20050136417" \| "20050142577" \| "20050191656" \| "20050191682" \| "20050208538" \| "20060008824" \| "20060014182" \| "20060024678" \| "20060024711" \| "20060035274" \| "20060046251" \| "20060051789" \| "20060068415" \| "20060134633" \| "20060216724" \| "20060263789" \| "20060281082" \| "20060286566" \| "20060292597" \| "20070031857" \| "20070134128" \| "20070141604" \| "20070224607" \|** | PGPB | 5 | ADJ | YES | ASSIGNEE | 12-02-2020 |


QIAGEN Exhibit 1013.0053

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| **16/743604.app.** | PGPB | 1 | ADJ | YES | ASSIGNEE | 12-02-2020 |
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| **16/743604.app.** | PGPB | 1 | ADJ | YES | ASSIGNEE | 04-12-2021 |
| **sequencing and read near3 (duplicat$8 or redun$8) and (barcod$8 or index$8 or tag$8 or identifier) near3 (random or degenerat$8) and (duplicat$8 or redund$8) near3 remov$8 and ( ( C12Q1/6869 \| C12Q2525/191 \| C12Q2535/122 ).CPC.)** | PGPB | 45 | ADJ | YES | ASSIGNEE | 04-12-2021 |
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| **sequencing and read near3 (duplicat$8 or redun$8) and (barcod$8 or index$8 or tag$8** | DWPI | 2 | ADJ | YES | ASSIGNEE | 04-12-2021 |



QIAGEN Exhibit 1013.0055

| | | | | | | |
|---|---|---|---|---|---|---|
| **or identifier) near3 (random or degenerat$8) and (duplicat$8 or redund$8) near3 remov$8 and ( ( C12Q1/6869 \| C12Q2525/191 \| C12Q2535/122 ).CPC.)** | | | | | | |

PTO/SB/06 (09-11)
Approved for use through 1/31/2014. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| PATENT APPLICATION FEE DETERMINATION RECORD<br>Substitute for Form PTO-875 | Application or Docket Number<br>16/743,604 | Filing Date<br>01/15/2020 | ☐ To be Mailed |
|---|---|---|---|

**ENTITY:** ☑ LARGE ☐ SMALL ☐ MICRO

## APPLICATION AS FILED - PART I

| FOR | (Column 1)<br>NUMBER FILED | (Column 2)<br>NUMBER EXTRA | | RATE ($) | FEE ($) |
|---|---|---|---|---|---|
| ☐ BASIC FEE<br>(37 CFR 1.16(a), (b), or (c)) | N/A | N/A | | N/A | |
| ☐ SEARCH FEE<br>(37 CFR 1.16(k), (i), or (m)) | N/A | N/A | | N/A | |
| ☐ EXAMINATION FEE<br>(37 CFR 1.16(o), (p), or (q)) | N/A | N/A | | N/A | |
| TOTAL CLAIMS<br>(37 CFR 1.16(i)) | minus 20 = | * | | x $100 = | |
| INDEPENDENT CLAIMS<br>(37 CFR 1.16(h)) | minus 3 = | * | | x $460 = | |
| ☐ APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | |
| ☐ MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | | TOTAL | |

## APPLICATION AS AMENDED - PART II

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | 03/05/2021 | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * 10 | Minus | ** 21 | = 0 | | x $100 = | 0 |
| | Independent<br>(37 CFR 1.16(h)) | * 1 | Minus | *** 3 | = 0 | | x $480 = | 0 |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | 0 |

| | | (Column 1) | | (Column 2) | (Column 3) | | | |
|---|---|---|---|---|---|---|---|---|
| AMENDMENT | | CLAIMS REMAINING AFTER AMENDMENT | | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | RATE ($) | ADDITIONAL FEE ($) |
| | Total<br>(37 CFR 1.16(i)) | * | Minus | ** | = | | x $0 = | |
| | Independent<br>(37 CFR 1.16(h)) | * | Minus | *** | = | | x $0 = | |
| | ☐ Application Size Fee (37 CFR 1.16(s)) | | | | | | | |
| | ☐ FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | |
| | | | | | | | TOTAL ADD'L FEE | |

| | |
|---|---|
| * If the entry in column 1 is less than the entry in column 2, write "0" in column 3. | LIE |
| ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". | /TERRY BRYANT/ |
| *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". | |
| The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1. | |

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

| | |
|---|---|
| **Doc Code: DIST.E.FILE**<br>**Document Description: Electronic Terminal Disclaimer - Filed** | PTO/SB/26<br>U.S. Patent and Trademark Office<br>Department of Commerce |

| | |
|---|---|
| Electronic Petition Request | **TERMINAL DISCLAIMER TO OBVIATE A DOUBLE PATENTING REJECTION OVER A "PRIOR" PATENT** |
| Application Number | 16743604 |
| Filing Date | 15-Jan-2020 |
| First Named Inventor | Douglas Amorese |
| Attorney Docket Number | NUGN-001/03US 34079/516 |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |

☒ Filing of terminal disclaimer does not obviate requirement for response under 37 CFR 1.111 to outstanding Office Action

☒ This electronic Terminal Disclaimer is not being used for a Joint Research Agreement.

| Owner | Percent Interest |
|---|---|
| NUGEN TECHNOLOGIES, INC. | 100% |

The owner(s) with percent interest listed above in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application which would extend beyond the expiration date of the full statutory term of prior patent number(s)

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as the term of said prior patent is presently shortened by any terminal disclaimer. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the prior patent are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of the term of any patent granted on the instant application that would extend to the expiration date of the full statutory term of the prior patent, "as the term of said prior patent is presently shortened by any terminal disclaimer," in the event that said prior patent later:
- expires for failure to pay a maintenance fee;
- is held unenforceable;
- is found invalid by a court of competent jurisdiction;
- is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321;
- has all claims canceled by a reexamination certificate;
- is reissued; or
- is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.

◉ Terminal disclaimer fee under 37 CFR 1.20(d) is included with Electronic Terminal Disclaimer request.

QIAGEN Exhibit 1013.0058

| | |
|---|---|
| ○ I certify, in accordance with 37 CFR 1.4(d)(4), that the terminal disclaimer fee under 37 CFR 1.20(d) required for this terminal disclaimer has already been paid in the above-identified application. | |
| Applicant claims the following fee status:<br><br>○ Small Entity<br><br>○ Micro Entity<br><br>◉ Regular Undiscounted<br><br>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. | |
| THIS PORTION MUST BE COMPLETED BY THE SIGNATORY OR SIGNATORIES<br><br>I certify, in accordance with 37 CFR 1.4(d)(4) that I am:<br><br>◉ An attorney or agent registered to practice before the Patent and Trademark Office who is of record in this application<br><br>Registration Number 36989<br><br>○ A sole inventor<br><br>○ A joint inventor; I certify that I am authorized to sign this submission on behalf of all of the inventors as evidenced by the power of attorney in the application<br><br>○ A joint inventor; all of whom are signing this request | |
| Signature | /Thomas C. Meyers/ |
| Name | Thomas C. Meyers |

*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | 16743604 |
| **Filing Date:** | 15-Jan-2020 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |

Filed as Large Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| STATUTORY OR TERMINAL DISCLAIMER | 1814 | 1 | 170 | 170 |
| **Pages:** | | | | |
| **Claims:** | | | | |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | | **Total in USD ($)** | **170** |

Doc Code: DISQ.E.FILE
Document Description: Electronic Terminal Disclaimer – Approved

Application No.: 16743604

Filing Date: 15-Jan-2020

Applicant/Patent under Reexamination: Amorese

Electronic Terminal Disclaimer filed on March 5, 2021

☒ APPROVED

**This patent is subject to a terminal disclaimer**

☐ DISAPPROVED

Approved/Disapproved by: Electronic Terminal Disclaimer automatically approved by EFS-Web

U.S. Patent and Trademark Office

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 42097320 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 05-MAR-2021 |
| **Filing Date:** | 15-JAN-2020 |
| **Time Stamp:** | 10:49:21 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | DA |
| Payment was successfully received in RAM | $170 |
| RAM confirmation Number | E202135A49173164 |
| Deposit Account | |
| Authorized User | |

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

QIAGEN Exhibit 1013.0063

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Terminal Disclaimer-Filed (Electronic) | eTerminal-Disclaimer.pdf | 33486<br>2b5885c950ff7a8084ef064f0403420f12fe3513 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 2 | Fee Worksheet (SB06) | fee-info.pdf | 30501<br>bc5196d8634b6e325e82c06c784ebbd415407e46 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | **Total Files Size (in bytes):** | 63987 | | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|---|---|---|---|
| APPLICANT: | NuGEN Technologies, Inc. | ART UNIT: | 1637 |
| SERIAL NUMBER: | 16/743,604 | CONF. NO.: | 3249 |
| FILING DATE: | January 15, 2020 | EXAMINER: | Teresa Strzelecka |
| TITLE: | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | | |

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

**FILED ELECTRONICALLY**

## RESPONSE TO NON-FINAL OFFICE ACTION

This Amendment is in response to the Non-Final Office Action mailed December 8, 2020 from the United States Patent and Trademark Office.

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

**Remarks** begin on page 4.

Applicant believes that no fees are due in connection with this Amendment. However, Applicant authorizes any required fees to be charged to Deposit Account No. 500369.

## AMENDMENTS TO THE CLAIMS

Pursuant to 37 C.F.R. §1.121(c), this listing of claims will replace all prior versions and listings of claims in this application.

1. - 21. (Cancelled)

22. (Currently Amended) A method for detecting duplicate sequencing reads, the method comprising:

ligating an adaptor to each of a plurality of nucleic acid fragments, wherein each adaptor comprises a unique identifier having from about 1 to about 8 nucleotides, an indexing site unique to a subset of the adaptors, and a primer binding site;

amplifying the adaptor-ligated fragments into amplicons;

sequencing the amplicons to produce sequence reads that include identifier and target sequences; and

identifying sequence reads with identical identifier and target sequences as duplicates.

23. (Previously Presented) The method of claim 1, further comprising removing a duplicate read from the sequence reads.

24. (Previously Presented) The method of claim 1, wherein the identifier site is sequenced with the target sequence.

25. (Previously Presented) The method of claim 1, wherein the identifier site is sequenced separately from the target sequence.

26. (Currently Amended) The method of claim 1, wherein the nucleic acid fragments [[are]] comprise RNA.

27. (Currently Amended) The method of claim 1[[26]], wherein the nucleic acid fragments are genomic DNA fragments or cDNA fragments.

28. (Previously Presented) The method of claim 1, wherein the primer binding site is a universal target sequencing primer binding site.

29. (Previously Presented) The method of claim 1, wherein each unique identifier is 6 nucleotides in length.

30. (Previously Presented) The method of claim 1, wherein each unique identifier is 8 nucleotides in length.

31. (Previously Presented) The method of claim 1, wherein each unique identifier is at a junction between the adapter and the nucleic fragment.

32. (Cancelled).

## REMARKS

Claims 22-32 were pending. By this amendment, claims 22 and 26-27 are amended and claim 32 cancelled. Claims 26 and 27 have been amended merely for clarity. Upon entry of this amendment, claims 22-31 will be pending, with claim 22 the sole independent claim.

Support for the amendments to claim 22 claims is found throughout the subject application as originally filed, including at paragraphs [0008], [0013], [0026], [0030]-[0031], [0045], and [0064]-[0070].

No new matter is added.

### Rejections Under 35 U.S.C. §103

The Non-Final Office Action states on pages 3-4 that claims 22-31 are rejected as obvious over US 2012/0220494 to Samuels et al., in view of McCloskey et al., "Encoding PCR Products with Batch-stamps and Barcodes", *Biochem. Genet.*, vol. 45, pp. 761-767 (2007) in further view of Illumina publication No. 770-2008-011 (2008).

Applicant submits that amended, independent claim 1, and all claims dependent therefrom, are non-obvious over any combination Samuels, McCloskey and the Illumina publication.

A *prima facie* case of obviousness requires a finding that all elements of a claimed invention are found in a combination of prior art references. *Par Pharm., Inc. v. TWI Pharm., Inc.*, 773 F.3d 1186, 1194 (Fed. Cir. 2014). Establishing a *prima facie* case also requires that the prior art provide a motivation to modify a reference or to combine multiple references in a manner that would lead one of ordinary skill in the art to an applicant's claimed invention with a reasonable expectation of success. *KSR Int'l Co. v. Teleflex Inc.*, 550 U.S. 398 (2007); and MPEP §2143. Further if a proposed modification or combination of prior art references would change the principle of operation of a reference being modified, then the teachings of the references are

not sufficient to render the claims *prima facie* obvious. *In re Ratti,* 270 F.2d 810, 813 (CCPA 1959).

Amended claim 1 recites a method for removing duplicate sequence reads, for example, from a pooled multiplex sequencing run. The claims recite ligating adaptors that include an identifier portion and unique indexing sites to nucleic acid fragments prior to sequencing.

The cited references, alone or in combination, fail to teach the use of adaptors that include indexing sites and identifiers in pooled sequencing reactions.

As the Office Action acknowledges at page 5, Samuels does not teach detecting duplicate sequence reads. Rather, Samuels reports using barcodes to differentiate sequencing errors from single nucleotide polymorphisms. *Samuels, [0339]-[0341].* In the methods of Samuels, nucleic acid fragments have an attached barcode *Id.* The barcodes and nucleic acids are sequenced. *Id.* The sequence reads, which each include the barcode sequence and fragment sequence, are compared to identify sequences with the same barcode but different fragment sequences. *Id.* This can elucidate sequencing errors from faithfully sequenced single nucleotide polymorphisms. *Id.*

However, Samuels fails to disclose detecting duplicate sequence reads by any means, let alone using an adapter with both an identifier and index site.

McCloskey cannot cure the omissions of Samuels.

McCloskey reports methods to identify redundant sequences using target-specific "encoding oligonucleotides". *McCloskey, page 766.* The target-specific "encoding oligonucleotides" hybridize to nucleic acids in a sample and include a "batch-stamp", a "barcode", and a target-specific "genomic target-binding site". *Id.* The "batch-stamp" marks a fragment as from a particular date/sample. *Id.* The "barcode" is a series of 7 random bases that identify individual fragments. *Id.*

In McCloskey, the presence of redundant sequences is determined by identifying sequence reads that include the same "batch-stamp" and "barcode". However, in contrast to the claimed methods, McCloskey does not use the sequence of a nucleic acid fragment to identify

redundant or duplicate sequences. Thus, like Samuels, McCloskey does not teach identifying sequence reads with identical identifier and fragment sequences as recited in the pending claims.

Furthermore, the claimed methods provide advantages over those disclosed in McCloskey. For example, McCloskey teaches barcodes consisting of 7 nucleotides, which allows for 16,384 unique combinations of adaptors. *Id., page 764.* However, next-generation sequencers have are able to sequence far more than 16,384 fragments during a single sequencing run. Thus, using the methods of McCloskey, in a single sample of 250,000 fragments attached to "encoding nucleotides" with 7 nucleotide "barcodes" there will be 15 *different* fragments that share the exact same "barcode" and "batch-stamp". Yet, using McCloskey, these sequences would be misidentified as duplicates.

This is obviated in the claimed methods by using the identifier and fragment sequence to identify duplicate reads. Moreover, because the fragment sequence is used in conjunction with the identifier to find duplicates, the identifier can be less complex than the "barcode" in McCloskey. The lower complexity of adaptors comprising fewer nucleotides proves more cost-effective, while maintaining the ability to correctly identify true duplications.

Furthermore, and in direct contrast to the claimed methods, McCloskey does not use adaptors. Rather, McCloskey uses oligonucleotides with a target-specific "genomic target-binding site". Thus, using McCloskey with samples containing a large number of fragments would provide prohibitively costly as a unique primer must be made for every single fragment sequenced.

Moreover, Samuels cannot be modified by McCloskey to arrive at the claimed methods, as such a modification would change the principle of operation of Samuels. As explained Samuels uses barcodes contrary to the identifier recited in the pending claims. That is, Samuels uses barcodes to identify sequences that are different and thus not duplicate. Modifying Samuels to use identifiers and fragment sequences to detect duplicate sequences would run counter to the principle of operation of Samuels, which seeks to *distinguish* between sequence reads with the

same barcode/identifier. As the principle of operation would be changed by this proposed modification, "the teachings of the reference are not sufficient to render the claims *prima facie* obvious". *MPEP 2143.01.*

The Illumina publication also does not remedy the deficiencies in Samuels and McCloskey.

The Illumina publication merely reports the use of adaptors with index sequences for multiplex sequencing. *Illumina, page 1*. The publication discloses that adaptors contain primer binding sites on both sides of the index sequence, which allows sequencing of the index sequence from one primer and sequencing of the fragment of interest from another primer. *Id., page 5.*

However, like Samuels and McCloskey, the Illumina publication does not teach or suggest adaptors having distinct identifiers and index sites and using the identifier and fragment sequence for deduplication.

Accordingly, based on the foregoing remarks, amended claim 22 and all claims dependent therefrom, are non-obvious over the cited references. Therefore, Applicant respectfully requests that the rejections under 35 U.S.C. §103 be reconsidered and withdrawn.

Double Patenting

The Office Action states on page 8 that claims 22, 23, and 26-31 are rejected on the ground of non-statutory double patenting over claims 1, 2, 9, 10, 13, 14, and 16 of U.S. Patent No. 9,546,399.

Applicant is filing herewith a terminal disclaimer over U.S. Patent No. 9,546,399. Accordingly, Applicant requests that the rejections on the ground of non-statutory double patenting be withdrawn.

If there are any questions concerning this application, please contact Applicant's undersigned representative.

Dated: March 5, 2021

Respectfully submitted,
**BROWN RUDNICK LLP**

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# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 42097289 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 05-MAR-2021 |
| **Filing Date:** | 15-JAN-2020 |
| **Time Stamp:** | 10:46:41 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

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## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | | NUGN-001-03US-Amendment-3-5-2021.pdf | 38087<br>ecb2f5641678268463c9f62a16ad557ecfda7203 | yes | 8 |

| | Multipart Description/PDF files in .zip description | | |
|---|---|---|---|
| | **Document Description** | **Start** | **End** |
| | Amendment/Req. Reconsideration-After Non-Final Reject | 1 | 1 |
| | Claims | 2 | 3 |
| | Applicant Arguments/Remarks Made in an Amendment | 4 | 8 |
| **Warnings:** | | | |
| **Information:** | | | |
| | **Total Files Size (in bytes):** | 38087 | |

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**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US<br>34079/516 | 3249 |

21710 7590 12/08/2020

BROWN RUDNICK LLP
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BOSTON, MA 02111

| EXAMINER | |
|---|---|
| STRZELECKA, TERESA E | |

| ART UNIT | PAPER NUMBER |
|---|---|
| 1637 | |

| NOTIFICATION DATE | DELIVERY MODE |
|---|---|
| 12/08/2020 | ELECTRONIC |

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

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

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

ip@brownrudnick.com
usactions@brownrudnick.com



QIAGEN Exhibit 1013.0075

| Office Action Summary | Application No. 16/743,604 | Applicant(s) Amorese et al. | |
|---|---|---|---|
| | Examiner TERESA E STRZELECKA | Art Unit 1637 | AIA (FITF) Status Yes |

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

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

1)☐ Responsive to communication(s) filed on _____.

☐ A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.

2a)☐ This action is **FINAL.** 2b) ☑ This action is non-final.

3)☐ An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.

4)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims***

5) ☑ Claim(s) 22-32 is/are pending in the application.

5a) Of the above claim(s) _____ is/are withdrawn from consideration.

6) ☐ Claim(s) _____ is/are allowed.

7) ☑ Claim(s) 22-32 is/are rejected.

8) ☐ Claim(s) _____ is/are objected to.

9) ☐ Claim(s) _____ are subject to restriction and/or election requirement

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to **PPHfeedback@uspto.gov.**

**Application Papers**

10)☐ The specification is objected to by the Examiner.

11)☑ The drawing(s) filed on 01/15/20 is/are: a)☑ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

**Priority under 35 U.S.C. § 119**

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

**Certified copies:**

a)☐ All b)☐ Some** c)☐ None of the:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

** See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

1) ☑ Notice of References Cited (PTO-892)

2) ☑ Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b) Paper No(s)/Mail Date 7/22/20.

3) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date _____.

4) ☐ Other: _____.



QIAGEN Exhibit 1013.0076

## DETAILED ACTION

### *Notice of Pre-AIA or AIA Status*

1. The present application, filed on or after March 16, 2013, is being examined under the first inventor to file provisions of the AIA.

2. Claims 22-32 are pending and under consideration.

### *Information Disclosure Statement*

3. The information disclosure statement (IDS) submitted on July 22, 2020 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

### *Claim Interpretation*

4. Applicant defined the term "adaptor" in paragraph [0027] as follows:

"An adapter refers to an oligonucleotide sequence, the ligation of which to a target polynucleotide or a target polynucleotide strand of interest enables the generation of amplification-ready products of the target polynucleotide or the target polynucleotide strand of interest."

Therefore, since any oligonucleotide can perform such function, any oligonucleotide is considered to anticipate this term.

5. Applicant defined the term "identifier site" in paragraph [0030] as follows:

"An identifier site is a nucleic acid sequence that comprises random bases and is used to identify duplicate sequencing reads."

6. Applicant defined the term "universal primer" in paragraph [0035] as follows:

"A universal primer is a primer that can be used for amplifying a number of different sequences."

7. Applicant did not define the term "junction", therefore it is considered as any region of the adapter.

***Claim Rejections - 35 USC § 103***

8. In the event the determination of the status of the application as subject to AIA 35 U.S.C. 102 and 103 (or as subject to pre-AIA 35 U.S.C. 102 and 103) is incorrect, any correction of the statutory basis for the rejection will not be considered a new ground of rejection if the prior art relied upon, and the rationale supporting the rejection, would be the same under either status.

9. The following is a quotation of 35 U.S.C. 103 which forms the basis for all obviousness rejections set forth in this Office action:

> A patent for a claimed invention may not be obtained, notwithstanding that the claimed invention is not identically disclosed as set forth in section 102, if the differences between the claimed invention and the prior art are such that the claimed invention as a whole would have been obvious before the effective filing date of the claimed invention to a person having ordinary skill in the art to which the claimed invention pertains. Patentability shall not be negated by the manner in which the invention was made.

10. This application currently names joint inventors. In considering patentability of the claims the examiner presumes that the subject matter of the various claims was commonly owned as of the effective filing date of the claimed invention(s) absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and effective filing dates of each claim that was not commonly owned as of the effective filing date of the later invention in order for the examiner to consider the applicability of 35 U.S.C. 102(b)(2)(C) for any potential 35 U.S.C. 102(a)(2) prior art against the later invention.

11. Claims 22-31 are rejected under 35 U.S.C. 103 as being unpatentable over Samuels et al. (US 2012/0220494 A1; filed February 16, 2012 and published August 30, 2012; cited in the IDS)

and McCloskey et al. (Biochem. Genet., vol. 45, pp. 761-767, 2007; cited in the IDS), as evidenced by Illumina publication No. 770-2008-011 (pp. 1-4, published December 2, 2008).

A) Regarding claims 22, 29 and 30, Samuels et al. teach a method for detecting duplicate sequencing reads, the method comprising:

ligating an adaptor to each of a plurality of nucleic acid fragments, wherein each adaptor comprises a unique identifier having from about 1 to about 8 nucleotides and a primer binding site ([0205]; [0209], [0212], [0216]-[0217]; Fig. 6; [0231]-[0235]; [0245]; where the adaptors have an identifier site between 4 and 20 bp and a primer binding site);

amplifying the adaptor-ligated fragments into amplicons ([0288]-[0289]; [0326]-[0327]);

sequencing the amplicons to produce sequence reads from amplified that include identifier and target sequences ([0326]-[0328]; [0328]-[0337]); and

identifying sequence reads with identical identifier site and target sequence ( [0328]; [0339]-[0341]; Fig. 43 and 44; where sequencing errors due to PCR are detected).

Regarding claim 24, Samuels et al. teach sequencing the identifier site with the indexing site (Fig. 43; [0339]-[0341]).

Regarding claim 25, Samuels et al. teach Illumina sequencing ([0028]; [0295]; [0403]). As evidenced by Illumina sequencing brochure, the process involves separately sequencing the identifier and the target (Fig. 1; page 2, paragraphs 5-7). Therefore by teaching Illumina sequencing Samuels et al. inherently teach separately sequencing the target and identifier.

Regarding claims 26 and 27, Samuels et al. teach DNA and RNA fragments, and genomic DNA (page 2, [0017]).

Regarding claim 28, Samuels et al. teach target sequence binding site being a universal binding site ([0216]).

Regarding claim 31, Samuels et al. teach the identifier being at a junction between the adapter and nucleic acid fragment (Fig. 6 and 7, for example)

B) Samuels et al. teach detection of PCR-introduced errors in sequencing, but do not specifically teach detecting duplicate sequencing reads.

C) Regarding claim 22 and 23, McCloskey et al. teach attaching an adaptor containing an identifier site and a target sequence binding site to genomic DNA by amplification, PCR-amplifying the resulting construct and sequencing (Fig. 1; page 762, paragraphs 3-5; page 763; page 764, paragraphs 1-4).

Regarding claims 22 and 23, McCloskey et al. teach sequencing the PCR products containing the adapter sequences, grouping the sequencing reads based on the batch stamp and barcode and detecting and removing duplicate reads (page 766, fourth and fifth paragraphs).

Regarding claims 29 and 30, McCloskey et al. teach indexing site between six and eight bp (page 764, second paragraph).

It would have been *prima facie* obvious to one of ordinary skill in the art at the time of the invention to have used the batch-stamp and barcode-encoded oligonucleotides as suggested by McCloskey et al. in the method of Samuels et al. to eliminate PCR-originating artefacts. As stated by McCloskey et al. (Abstract):

"Polymerase chain reaction (PCR) has become the mainstay of DNA sequence analysis. Yet there is always uncertainty concerning the source of the template DNA that gave rise to a particular PCR product. The risks of contamination, biased amplification, and product redundancy are especially high when limited amounts of template DNA are used. We have developed and applied molecular encoding principles to solve this source-uncertainty problem for DNA sequences generated by standard PCR. Batch-stamps specify the date and sample

identity, and barcodes detect template redundancy. Our approach thus enables classification of each PCR-derived sequence as valid, contaminant, or redundant, and provides a measure of sequence diversity. We recommend that batch-stamps and barcodes be used when amplifying irreplaceable DNAs and cDNAs available for forensic, clinical, single cell, and ancient DNA analyses."

12. Claim 32 is rejected under 35 U.S.C. 103 as being unpatentable over Samuels et al. (US 2012/0220494 A1; filed February 16, 2012 and published August 30, 2012; cited in the IDS) and McCloskey et al. (Biochem. Genet., vol. 45, pp. 761-767, 2007; cited in the IDS), as evidenced by Illumina publication No. 770-2008-011 (pp. 1-4, published December 2, 2008), as applied to claim 22 above, and further in view of Ule et al. (US 2011/0269647 A1; published November 2011) and Vasli et al. (Acta Neuropathol., vol. 124, pp. 273-283 plus supplemental material pp. 1-10, 2012).

A) Regarding claim 32, neither reference specifically teaches determination of the genomic start position of each read.

B) Regarding claim 32, Ule et al. teach a method of identifying sequences on RNA which interact with RNA-binding proteins by next generation sequencing using barcoded adapters ([0007]; [0017]-[0028]; [0039]; Fig. 2; [0041]; [0082]-[0113]; [0192]-[0196]). Ule et al. teach separation of sequencing reads based on barcodes and removing duplicates which are molecules which contain the same start cDNA sequence ([0196]; [0200]).

Regarding claim 32, Vasli et al. teach determination of mutations associated with neurodegenerative diseases by next generation sequencing using Illumina sequencing protocol (page 274, paragraphs 5-6; page 275, first paragraph). Vasli et al. teach removing duplicate reads sharing the same start position and strand (page 275, second paragraph).

It would have been *prima facie* obvious to one of ordinary skill in the art before the effective filing date of the claimed invention to have used the start position and barcode as suggested by Ule et al. and Vasli et al. to remove duplicate sequence reads in the method of Samuels et al. and McClosky et al. The motivation to do so would have been that reads containing both the same barcode and same genomic start position would be more probable to be true duplicate reads.

***Double Patenting***

13. The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. A nonstatutory double patenting rejection is appropriate where the conflicting claims are not identical, but at least one examined application claim is not patentably distinct from the reference claim(s) because the examined application claim is either anticipated by, or would have been obvious over, the reference claim(s). See, e.g., *In re Berg*, 140 F.3d 1428, 46 USPQ2d 1226 (Fed. Cir. 1998); *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) or 1.321(d) may be used to overcome an actual or provisional rejection based on nonstatutory double patenting provided the reference application or patent either is shown to be commonly owned with the examined application, or claims an invention made as a result of activities undertaken within the scope of a joint research agreement. See MPEP § 717.02 for applications subject to examination

under the first inventor to file provisions of the AIA as explained in MPEP § 2159. See MPEP § 2146 *et seq.* for applications not subject to examination under the first inventor to file provisions of the AIA. A terminal disclaimer must be signed in compliance with 37 CFR 1.321(b).

The USPTO Internet website contains terminal disclaimer forms which may be used. Please visit www.uspto.gov/patent/patents-forms. The filing date of the application in which the form is filed determines what form (e.g., PTO/SB/25, PTO/SB/26, PTO/AIA/25, or PTO/AIA/26) should be used. A web-based eTerminal Disclaimer may be filled out completely online using web-screens. An eTerminal Disclaimer that meets all requirements is auto-processed and approved immediately upon submission. For more information about eTerminal Disclaimers, refer to www.uspto.gov/patents/process/file/efs/guidance/eTD-info-I.jsp.

14. Claims 22, 23 and 26-31 are rejected on the ground of nonstatutory double patenting as being unpatentable over claim 1, 2, 9, 10, 13, 14 and 16 of U.S. Patent No. 9,546,399. Although the claims at issue are not identical, they are not patentably distinct from each other because claims of the '399 patent anticipate instant claims.

Specifically, claim 22 of the instant application is drawn to a method for detecting duplicate sequencing reads, the method comprising:

ligating an adaptor to each of a plurality of nucleic acid fragments, wherein each adaptor comprises a unique identifier having from about 1 to about 8 nucleotides and a primer binding site;

amplifying the adaptor-ligated fragments into amplicons;

sequencing the amplicons to produce sequence reads that include identifier and target sequences; and

identifying sequence reads with identical identifier and target sequences as duplicates.

Claim 1 of the '399 patent is drawn to a method for detecting a duplicate sequencing read from a population of sample sequencing reads comprising:

a) ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, wherein the adaptor comprises:

(i) an indexing primer binding site;

(ii) an indexing site;

(iii) an identifier site consisting of between 1 and 8 nucleotides; and

(iv) a target sequence primer binding site;

b) amplifying the adapter-nucleic acid fragment ligated products;

c) generating a population of sequencing reads from amplified adapter-nucleic acid fragment ligated products; and

d) identifying a duplicate sequencing read as the sequencing read comprising the same identifier site and nucleic acid fragment as another sequencing read in the population of sequencing reads;

wherein the indexing site is unique amongst a subset of the plurality of nucleic acid fragments and is an index for multiple polynucleotides; and wherein the sequence of the identifier site is variable in sequence content in a plurality of adaptors.

Therefore claim 1 of the '399 patent anticipates instant claims 22 and 31. The dependent claims 23 and 26-30 are anticipated by claims 2, 9, 10, 16, 13 and 14 of the '399 patent.

15. Claim 32 is rejected on the ground of nonstatutory double patenting as being unpatentable over claims 1, 2, 9, 10, 13, 14 and 16 of U.S. Patent No. 9,546,399 in view of Ule et al. (US 2011/0269647 A1; published November 2011) and Vasli et al. (Acta Neuropathol., vol. 124, pp. 273-283 plus supplemental material pp. 1-10, 2012).

A) Regarding claim 32, claims of the '399 patent do not teach determination of the genomic start position of each read.

B) Regarding claim 32, Ule et al. teach a method of identifying sequences on RNA which interact with RNA-binding proteins by next generation sequencing using barcoded adapters ([0007]; [0017]-[0028]; [0039]; Fig. 2; [0041]; [0082]-[0113]; [0192]-[0196]). Ule et al. teach seaparation of sequencing reads based on barcodes and removing duplicates which are molecules which contain the same start cDNA sequence ([0196]; [0200]).

Regarding claim 32, Vasli et al. teach determination of mutations associated with neurodegenerative diseases by next generation sequencing using Illumina sequencing protocol (page 274, paragraphs 5-6; page 275, first paragraph). Vasli et al. teach removing duplicate reads sharing the same start position and strand (page 275, second paragraph).

It would have been *prima facie* obvious to one of ordinary skill in the art before the effective filing date of the claimed invention to have used the start position and barcode as suggested by Ule et al. and Vasli et al. to remove duplicate sequence reads in the method of the claims of the '399 patent. The motivation to do so would have been that reads containing both the same barcode and same genomic start position would be more probable to be true duplicate reads.

16. No claims are allowed.

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to TERESA E STRZELECKA whose telephone number is (571)272-0789. The examiner can normally be reached on M-F 9-7.

Examiner interviews are available via telephone, in-person, and video conferencing using a USPTO supplied web-based collaboration tool. To schedule an interview, applicant is encouraged to use the USPTO Automated Interview Request (AIR) at http://www.uspto.gov/interviewpractice.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gary Benzion can be reached on 571-272-0782. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see https://ppair-my.uspto.gov/pair/PrivatePair. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/TERESA E STRZELECKA/
Primary Examiner, Art Unit 1637
December 3, 2020

| Notice of References Cited | Application/Control No. 16/743,604 | Applicant(s)/Patent Under Reexamination Amorese et al. | |
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Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.



QIAGEN Exhibit 1013.0087

| Index of Claims | Application/Control No. | Applicant(s)/Patent Under Reexamination |
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| | Examiner | Art Unit |
| | TERESA E STRZELECKA | 1637 |

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**CLAIMS**

☐ Claims renumbered in the same order as presented by applicant ☐ CPA ☐ T.D. ☐ R.1.47

| CLAIM | | DATE | | | | | | | | |
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| Final | Original | 12/03/2020 | | | | | | | | |
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| | 31 | ✓ | | | | | | | | |
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| Search Notes | Application/Control No. | Applicant(s)/Patent Under Reexamination |
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* See search history printout included with this form or the SEARCH NOTES box below to determine the scope of the search.

| Search Notes | | |
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| Search Notes | Date | Examiner |
| Inventor name search | 12/02/2020 | /TS/ |
| WEST | 12/02/2020 | /TS/ |
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QIAGEN Exhibit 1013.0089

# WEST Search History for Application 16743604

## Creation Date: 2020120216:15

## Prior Art Searches

| Query | DB | Hits | Op. | Plur. | Thes. | Date |
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QIAGEN Exhibit 1013.0094

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# Web Search History

| date, time | web site | search string |
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| 12/2/2020 1:05:42 PM | Google | sequencing "duplicate read" removal barcode |
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PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**( Not for submission under 37 CFR 1.99)**

| | |
|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

**U.S.PATENTS** Remove

| Examiner Initial* | Cite No | Patent Number | Kind Code[1] | Issue Date | Name of Patentee or Applicant of cited Document | Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear |
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| | 7 | 4935357 | | 1990-06-19 | Szybalski | |
| | 8 | 4942124 | | 1990-07-17 | Church | |



QIAGEN Exhibit 1013.0102

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /T.E.S/

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | |
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| | 9 | 4988617 | | 1991-01-29 | Landegren et al. | |
| | 10 | 4996143 | | 1991-02-26 | Heller et al. | |
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| | 12 | 5034506 | | 1991-07-23 | Summerton et al. | |
| | 13 | 5035996 | | 1991-07-30 | Hartley | |
| | 14 | 5043272 | | 1991-08-27 | Hartley | |
| | 15 | 5082830 | | 1992-01-21 | Brakel et al. | |
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QIAGEN Exhibit 1013.0103

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /T.E.S/

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0104

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /T.E.S/

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
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| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| Examiner Signature | /TERESA E STRZELECKA/ | Date Considered | 12/02/2020 |
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| date, time | web site | search string |
|---|---|---|
| 12/2/2020 5:28:42 PM | Google | MPEP 713.01 |
| 12/2/2020 5:58:19 PM | Google | genomic start position for a sequencing read |
| 12/2/2020 5:59:19 PM | Google | "genomic start position" "sequencing read" |
| 12/2/2020 6:05:59 PM | Google | "genomic start position" sequencing |
| 12/2/2020 6:15:12 PM | Google | "genomic start position" sequencing alignment |
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| 12/2/2020 6:28:12 PM | Google | "start position" next generation sequencing alignment |
| 12/2/2020 7:44:54 PM | Google | "start position" next generation sequencing barcode |

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# Bibliographic Data

Application No: 16/743,604

Foreign Priority claimed: ○ Yes ◉ No

35 USC 119 (a-d) conditions met: ☐ Yes ☐ No ☐ Met After Allowance

Verified and Acknowledged: /TERESA E STRZELECKA/ (Examiner's Signature) | (Initials)

Title: COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

| FILING or 371(c) DATE | CLASS | GROUP ART UNIT | ATTORNEY DOCKET NO. |
|---|---|---|---|
| 01/15/2020 | 435 | 1637 | NUGN-001/03US 34079/516 |
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**APPLICANTS**

NUGEN TECHNOLOGIES, INC., Redwood City, CA,

**INVENTORS**

Douglas A. Amorese, Los Altos, CA, UNITED STATES

Jonathan Scolnick, San Francisco, CA, UNITED STATES

Benjamin G. Schroeder, San Mateo, CA, UNITED STATES

**CONTINUING DATA**

This application is a CON of 15406002 01/13/2017 PAT 10570448

15406002 is a DIV of 14540917 11/13/2014 PAT 9546399

14540917 has PRO of 61903826 11/13/2013

**FOREIGN APPLICATIONS**

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| Application Number | 16743604 |
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| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
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| | Examiner Name | T. E. Strzelecka |
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| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
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| | Examiner Name | T. E. Strzelecka |
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| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|---|---|---|---|
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| | 84 | 20150133319 | A1 | 2015-05-14 | Fu et al. | |
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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | 94 | 20160251711 | A1 | 2016-09-01 | AMORESE et al. | | |
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**FOREIGN PATENT DOCUMENTS** Remove

| Examiner Initial* | Cite No | Foreign Document Number[3] | Country Code[2] i | Kind Code[4] | Publication Date | Name of Patentee or Applicant of cited Document | Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear | T[5] |
|---|---|---|---|---|---|---|---|---|
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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | 18 | 2009/102878 | WO | A2 | 2009-08-20 | Nugen Technologies, Inc | | |
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| | 21 | 2009/117698 | WO | A2 | 2009-09-24 | Nugen Technologies, Inc | | |
| | 22 | 2009/120372 | WO | A2 | 2009-10-01 | Pacific Biosciences Of California, Inc | | |
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| | 24 | 2010/003153 | WO | A2 | 2010-01-07 | Life Technologies Corp | | |
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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | | | |
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| | 35 | 2011/019964 | WO | A1 | 2011-02-17 | Nugen Technologies, Inc | | |
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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | | | |
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| | 40 | 2011032040 | WO | A1 | 2011-03-17 | Centrillion Technology Holding Corp | | |
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| | 44 | 2012/103154 | WO | A1 | 2012-08-02 | Nugen Technologies, Inc | | |
| | 45 | 2013/059740 | WO | A1 | 2013-04-25 | Foundation Medicine, Inc | | |
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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | 50 | 2013/177220 | WO | A1 | 2013-11-28 | Scripps Research Inst | | |

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| | 1 | Westin 2000, Anchored multiplex amplification on a microelectronic chip array, Nat Biotech 18:199-204 | |
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| Examiner Signature | /TERESA E STRZELECKA/ | Date Considered | 12/02/2020 |
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|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US 34079/516 |

**CONFIRMATION NO. 3249**

21710
BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

**POA ACCEPTANCE LETTER**

*OC000000120237945*

Date Mailed: 09/30/2020

## NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 09/25/2020.

The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the above address as provided by 37 CFR 1.33.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at **(571) 272-4000** or **(571) 272-4200** or **1-888-786-0101**.

/yteferra/



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# POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(c).

I hereby appoint:

☒ Practitioners associated with Customer Number: 21710

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

| Name | Registration Number | Name | Registration Number |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

As attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignments documents attached to this form in accordance with 37 CFR 3.73(c).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(c) to:

☒ The address associated with Customer Number: 21710

OR

| | | | | |
|---|---|---|---|---|
| ☐ | Firm or Individual Name | | | |
| | Address | | | |
| | City | | State | Zip |
| | Country | | | |
| | Telephone | | Email | |

Assignee Name and Address: NUGEN TECHNOLOGIES, INC.
201 INDUSTRIAL ROAD
SAN CARLOS, CA 94070

**A copy of this form, together with a statement under 37 CFR 3.73(c) (Form PTO/AIA/96 or equivalent) is required to be Filed in each application in which this form is used. The statement under 37 CFR 3.73(c) may be completed by one of The practitioners appointed in this form, and must identify the application in which this Power of Attorney is to be filed.**

**SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

| | | | |
|---|---|---|---|
| Signature | [signature] | Date | Sept 11, 2017 |
| Name | Douglas A Amorese | Telephone | 650 590-3615 |
| Title | Chief Scientific Officer - NuGEN Technologies | | |

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 40672119 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 25-SEP-2020 |
| **Filing Date:** | 15-JAN-2020 |
| **Time Stamp:** | 14:56:21 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

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|---|---|
| Submitted with Payment | no |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Assignee showing of ownership per 37 CFR 3.73 | NUGN-001-03US_3-73c.pdf | 117852<br>b81aae863a20f496cc401f18a2b2ae0e72034202 | no | 3 |

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| 2 | Power of Attorney | NUGN-001-03US_POA.pdf | 108576<br>0d367b4f584b8c1a638bb6866b311f7619c69af5 | no | 1 |
| Warnings: | | | | | |
| Information: | | | | | |
| | | Total Files Size (in bytes): | 226428 | | |

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**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

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# STATEMENT UNDER 37 CFR 3.73(c)

Applicant/Patent Owner: NuGEN Technologies, Inc.

Application No./Patent No.: 16/743,604 Filed/Issue Date: January 15, 2020

Titled: COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

NuGEN Technologies, Inc., a corporation

(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that, for the patent application/patent identified above, it is (choose **one** of options 1, 2, 3 or 4 below):

1. ☑ The assignee of the entire right, title, and interest.

2. ☐ An assignee of less than the entire right, title, and interest (check applicable box):

   ☐ The extent (by percentage) of its ownership interest is _____%. Additional Statement(s) by the owners holding the balance of the interest must be submitted to account for 100% of the ownership interest.

   ☐ There are unspecified percentages of ownership. The other parties, including inventors, who together own the entire right, title and interest are:

   Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.

3. ☐ The assignee of an undivided interest in the entirety (a complete assignment from one of the joint inventors was made). The other parties, including inventors, who together own the entire right, title, and interest are:

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4. ☐ The recipient, via a court proceeding or the like (*e.g.*, bankruptcy, probate), of an undivided interest in the entirety (a complete transfer of ownership interest was made). The certified document(s) showing the transfer is attached.

The interest identified in option 1, 2 or 3 above (not option 4) is evidenced by either (choose **one** of options A or B below):

A. ☑ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 053605, Frame 0123, or for which a copy thereof is attached.

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

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☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☐ As required by 37 CFR 3.73(c)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

| | |
|---|---|
| /Thomas C. Meyers/ | September 25, 2020 |
| Signature | Date |
| Thomas C. Meyers | 36,989 |
| Printed or Typed Name | Title or Registration Number |

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|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US 34079/516 |

**CONFIRMATION NO. 3249**

21710
BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

**PUBLICATION NOTICE**

*OC000000118844208*

**Title:**COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

**Publication No.**US-2020-0239953-A1
**Publication Date:**07/30/2020

## NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**( Not for submission under 37 CFR 1.99)**

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|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
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| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
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| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
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|---|---|---|
| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
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| | Examiner Name | T. E. Strzelecka |
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**( Not for submission under 37 CFR 1.99)**

| | |
|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

See attached certification statement.

The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

| | | | |
|---|---|---|---|
| Signature | /Thomas C. Meyers/ | Date (YYYY-MM-DD) | 2020-07-22 |
| Name/Print | Thomas C. Meyers | Registration Number | 36,989 |

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|---|---|---|---|---|---|
| | 4 | 2014/082032 | WO | A1 | 2014-05-30 | Univ Toledo | | |
| | 5 | 2014/144092 | WO | A1 | 2014-09-18 | Nugen Technologies, Inc | | |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | 22 | 99/42618 | WO | A1 | 1999-08-26 | Dade Behring Inc | | |

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| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

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See attached certification statement.

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| | | | |
|---|---|---|---|
| Signature | /Thomas C. Meyers/ | Date (YYYY-MM-DD) | 2020-07-22 |
| Name/Print | Thomas C. Meyers | Registration Number | 36,989 |

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3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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60/941,381 1 June 2007 (01.06.2007) US

(63) Related by continuation (CON) or continuation-in-part (CIP) to earlier application:
US 60/941,381 (CIP)
Filed on 1 June 2007 (01.06.2007)

(71) Applicant *(for all designated States except US)*: **454 LIFE SCIENCES CORPORATION** [US/US]; 20 Commercial Street, Branford, CT 06405 (US).

(72) Inventors; and
(75) Inventors/Applicants *(for US only)*: **BRAVERMAN, Michael, S.** [US/US]; 375 Stevenson Road, New Haven, CT 06515 (US). **SIMONS, Jan, Fredrik** [FI/US]; 2515 Poppy Drive, Burlingame, CA 94010 (US). **SRINIVASAN, Maithreyan** [US/US]; 801 Church Street #1398, Mountain View, CA 94041 (US). **TURENCHALK, Gregory, S.** [US/US]; 1448 Quinnipiac Avenue, New Haven, CT 06513 (US).

(74) Agents: **IWAMOTO, Michelle, A.** et al.; Mintz, Levin, Cohn, Ferris, glovsky And Popeo P.C., Chrysler Center, 666 Third Avenue, New York, NY 10017 (US).

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**Published:**
— *with international search report*
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WO 2008/150432 A1

(54) Title: SYSTEM AND METH0D FOR IDENTIFICATION OF INDIVIDUAL SAMPLES FROM A MULTIPLEX MIXTURE

(57) Abstract: An embodiment of an identifier element for identifying an origin of a template nucleic acid molecule is described that comprises a nucleic acid element comprising a sequence composition that enables detection of an introduced error in sequence data generated from the nucleic acid element and correction of the introduced error, where the nucleic acid element is constructed to couple with the end of a template nucleic acid molecule and identifies an origin of the template nucleic acid molecule.

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# SYSTEM AND METHOD FOR IDENTIFICATION OF INDIVIDUAL SAMPLES FROM A MULTIPLEX MIXTURE

## FIELD OF THE INVENTION

The present invention relates to the fields of molecular biology and bioinformatics. More specifically, the invention relates to associating a unique identifier (UID) element, which is sometimes also referred to as a multiplex identifier (MID), with one or more nucleic acid elements derived from a specific sample, combining the associated elements from the sample with associated elements from one or more other samples into a multiplex mixture of said samples, and identifying each identifier and its associated sample from data generated by what are generally referred to as "Sequencing" techniques.

## BACKGROUND OF THE INVENTION

There are a number of "sequencing" techniques known in the art amenable for use with the presently described invention such as, for instance, techniques based upon what are referred to as Sanger sequencing methods commonly known to those of ordinary skill in the art that employ termination and size separation techniques. Other classes of powerful high throughput sequencing techniques for determining the identity or sequence composition of one or more nucleotides in a nucleic acid sample include what are referred to as "Sequencing-by-synthesis" techniques (SBS), "Sequencing-by-Hybridization" (SBH), or "Sequencing-by-Ligation" (SBL) techniques. Of these, SBS methods provide many desirable advantages over previously employed sequencing methods that include, but are not limited to the massively parallel generation of a large volume of high quality sequence information at a low cost relative to previous techniques. The term "massively parallel" as used herein generally refers to the simultaneous generation of sequence information from many different template molecules in parallel where the individual template molecule or population of substantially identical template molecules are separated or compartmentalized and simultaneously exposed to sequencing processes which may include a iterative series of reactions thereby producing an independent sequence read representing the nucleic acid composition of each template molecule. In other words, the advantage includes the ability to simultaneously sequence multiple nucleic acid elements associated with many different samples or different nucleic acid elements existing within a sample.

Typical embodiments of SBS methods comprise the stepwise synthesis of a single strand of polynucleotide molecule complementary to a template nucleic acid molecule whose



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nucleotide sequence composition is to be determined. For example, SBS techniques typically operate by adding a single nucleic acid (also referred to as a nucleotide) species to a nascent polynucleotide molecule complementary to a nucleic acid species of a template molecule at a corresponding sequence position. The addition of the nucleic acid species to the nascent molecule is generally detected using a variety of methods known in the art that include, but are not limited to what are referred to as pyrosequencing or fluorescent detection methods such as those that employ reversible terminators or energy transfer labels including fluorescent resonant energy transfer dyes (FRET). Typically, the process is iterative until a complete (i.e. all sequence positions are represented) or desired sequence length complementary to the template is synthesized.

Further, as described above many embodiments of SBS are enabled to perform sequencing operations in a massively parallel manner. For example, some embodiments of SBS methods are performed using instrumentation that automates one or more steps or operation associated with the preparation and/or sequencing methods. Some instruments employ elements such as plates with wells or other type of microreactor configuration that provide the ability to perform reactions in each of the wells or microreactors simultaneously. Additional examples of SBS techniques as well as systems and methods for massively parallel sequencing are described in US Patent Nos. 6,274,320; 6,258,568; 6,210,891, 7,211,390; 7,244,559; 7,264,929; 7,335,762; and 7,323,305 each of which is hereby incorporated by reference herein in its entirety for all purposes; and US Patent Application Serial No. 11/195,254, which is hereby incorporated by reference herein in its entirety for all purposes.

It may also be desirable in some embodiments of SBS, to generate many substantially identical copies of each template nucleic acid element that for instance, provides a stronger signal when one or more nucleotide species is incorporated in each nascent molecule in a population comprising the copies of a template nucleic acid molecule. There are many techniques known in the art for generating copies of nucleic acid molecules such as, for instance, amplification using what are referred to as bacterial vectors, "Rolling Circle" amplification (described in US Patent Nos. 6,274,320 and 7,211,390, incorporated by reference above), isothermal amplification techniques, and Polymerase Chain Reaction (PCR) methods, each of the techniques are applicable for use with the presently described invention. One PCR technique that is particularly amenable to high throughput applications include what are referred to as emulsion PCR methods.



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Typical embodiments of emulsion PCR methods include creating stable emulsion of two immiscible substances and are resistant to blending together where one substance is dispersed within a second substance. The emulsions may include droplets suspended within another fluid and are sometimes also referred to as compartments, microcapsules, microreactors, microenvironments, or other name commonly used in the related art. The droplets may range in size depending on the composition of the emulsion components and formation technique employed. The described emulsions create the microenvironments within which chemical reactions, such as PCR, may be performed. For example, template nucleic acids and all reagents necessary to perform a desired PCR reaction may be encapsulated and chemically isolated in the droplets of an emulsion. Thermo cycling operations typical of PCR methods may be executed using the droplets to amplify an encapsulated nucleic acid template resulting in the generation of a population comprising many substantially identical copies of the template nucleic acid. Also in the present example, some or all of the described droplets may further encapsulate a solid substrate such as a bead for attachment of nucleic acids, reagents, labels, or other molecules of interest.

Embodiments of an emulsion useful with the presently described invention may include a very high density of droplets or microcapsules enabling the described chemical reactions to be performed in a massively parallel way. Additional examples of emulsions and their uses for sequencing applications are described in US Patent Application Serial Nos. 10/861,930; 10/866,392; 10/767,899; 11/045,678 each of which are hereby incorporated by reference herein in its entirety for all purposes.

Those of ordinary skill in the related art will appreciate that advantages provided by the massively parallel nature of the amplification and sequencing methods described herein may be particularly to amenable for processing what may be referred to as a "Multiplex" sample. For example, a multiplex composition may include representatives from multiple samples such as samples from multiple individuals. It may be desirable in many applications to combine multiple samples into a single multiplexed sample that may be processed in one operation as opposed to processing each sample separately. Thus the result may typically include a substantial savings in reagent, labor, and instrument usage and cost as well as a significant savings in processing time invested. The described advantages of multiplex processing become more pronounced as the numbers of individual samples increase. Further, multiplex processing has application in research as well as diagnostic contexts. For example, it may be desirable in many applications to employ a single multiplexed sample in an



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amplification reaction and subsequently processing the amplified multiplex composition in a single sequencing run.

One problem associated with processing a multiplex composition then becomes identifying the association between each sample of origin and the sequence data generated from a template molecule derived from said sample. A solution to this problem includes associating an identifier such as a nucleic acid sequence that specifically identifies the association of each template molecule with its sample of origin. An advantage of this solution is that the sequence information of the associated nucleic acid sequence is embedded in the sequence data generated from the template molecule and may be bioinformatically analyzed to associate the sequence data with its sample of origin.

Previous studies have described associating nucleic acid sequence identifiers with 5' primers coupled with target sequences for multiplex processing. One such study is that of Binladen et al. (Binladen J, Gilbert MTP, Bollback JP, Panitz F, Bendixen C (2007) The use of coded PCR Primers Enables High-Throughput Sequencing of Multiple Homolog Amplification Products by Parallel 454 Sequencing. PLoS ONE 2(2): e197.doi:10.1371/journal.pone.0000197 (published online February 14, 2007, which is hereby incorporated by reference herein in its entirety for all purposes). As mentioned above, Binladen et al. describe associating short sequence identifiers with target sequences to be processed in a multiplex sample producing sequence data that is subsequently bioinformatically analyzed to associate the short identifiers with their sample of origin. However, there are limitations to simply attaching a nucleic acid identifier of generic sequence composition to a template molecule and identifying the sequence of said identifier in the generated sequence data. Of primary concern is the introduction of error into the sequence data from various mechanisms. Such mechanisms typically work in combination with each other and are generally not individually identifiable from the sequence data. Thus because of introduced error, an end user may not be able to identify the association between the sequence data with its sample of origin, or possibly worse fail to identify that an error has occurred and mis-assign sequence data to a sample of origin that is incorrect.

There are two important sources of error introduction to consider, although other sources may also exist. First is error introduced by the sequencing operation that may in some cases be referred to a "flow error". For example, flow error may include polymerase errors that include incorporation of an incorrect nucleotide species by a polymerase enzyme. A sequencing operation may also introduce what may be referred to as phasic synchrony error that include what are referred to as "carry forward" and "incomplete extension" (the



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combination of phasic synchrony error is sometimes referred to as CAFIE error). Phasic synchrony error and methods of correction are further described in PCT Application Serial No. US2007/004187, titled "System and Method for Correcting Primer Extension Errors in Nucleic Acid Sequence Data", filed February 15, 2007 which is hereby incorporated by reference herein in its entirety for all purposes.

Second is error introduced from processes that are independent of the sequencing operations such as primer synthesis or amplification error. For example, oligonucleotide primers synthesized for PCR may include one or more UID elements of the presently described invention, where error may be introduced in the synthesis of the primer/UID element that is then employed as a sequencing template. High fidelity sequencing of the UID element faithfully reproduces the synthesized error in sequence data. Also in the present example, polymerase enzymes commonly employed in PCR methods are known for having a measure of replication error, where for instance an error in replication may be introduced by the polymerase in 1 of every 10,000; 100,000; or 1,000,000 bases amplified.

Therefore, it is significantly advantageous to employ unique identifiers that are 1) resistant to error introduction; 2) enable detection of introduced error; and 3) enable correction of introduced error. The presently described invention addresses these problems and provides systems and methods for associating unique identifiers that provide better recognition and identification characteristics resulting in improved data quality and experimental efficiency.

## SUMMARY OF THE INVENTION

Embodiments of the invention relate to the determination of the sequence of nucleic acids. More particularly, embodiments of the invention relate to methods and systems for correcting errors in data obtained during the sequencing of nucleic acids and associating the nucleic acids with their origin.

An embodiment of an identifier element for identifying an origin of a template nucleic acid molecule is described that comprises a nucleic acid element comprising a sequence composition that enables detection of an introduced error in sequence data generated from the nucleic acid element and correction of the introduced error, where the nucleic acid element is constructed to couple with the end of a template nucleic acid molecule and identifies an origin of the template nucleic acid molecule.

Also, an embodiment of a method for identifying an origin of a template nucleic acid molecule is described that comprises the steps of identifying a first identifier sequence from

sequence data generated from a template nucleic acid molecule; detecting an introduced error in the first identifier sequence; correcting the introduced error in the first identifier sequence; associating the corrected first identifier sequence with a first identifier element coupled to the template molecule; and identifying an origin of the template molecule using the association of the corrected first identifier sequence with the first identifier element.

In some implementations, the method further comprises the steps of identifying a second identifier sequence from the sequence data generated from the template nucleic acid molecule; detecting an introduced error in the second identifier sequence; correcting the introduced error in the second identifier sequence; associating the corrected second identifier sequence with a second identifier element coupled with the template nucleic acid molecule; and identifying an origin of the template nucleic acid molecule using the association of the corrected second identifier sequence with the second identifier element combinatorially with the association of the corrected first identifier sequence with the first identifier element.

Further, an embodiment of a kit for identifying an origin of a template nucleic acid molecule is described that comprises a set of nucleic acid elements each comprising a distinctive sequence composition that enables detection of an introduced error in sequence data generated from each nucleic acid element and correction of the introduced error, wherein each of the nucleic acid elements is constructed to couple with the end of a template nucleic acid molecule and identifies the origin of the template nucleic acid molecule.

In addition, an embodiment of a computer comprising executable code stored in system memory is described where the executable code performs a method for identifying an origin of a template nucleic acid molecule comprising the steps of identifying an identifier sequence from sequence data generated from a template nucleic acid molecule; detecting an introduced error in the identifier sequence; correcting the introduced error in the identifier sequence; associating the corrected identifier sequence with an identifier element coupled with the template molecule; and identifying an origin of the template molecule using the association of the corrected identifier sequence with the identifier element.

The above embodiments and implementations are not necessarily inclusive or exclusive of each other and may be combined in any manner that is non-conflicting and otherwise possible, whether they be presented in association with a same, or a different, embodiment or implementation. The description of one embodiment or implementation is not intended to be limiting with respect to other embodiments and/or implementations. Also, any one or more function, step, operation, or technique described elsewhere in this specification may, in alternative implementations, be combined with any one or more



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function, step, operation, or technique described in the summary. Thus, the above embodiment and implementations are illustrative rather than limiting.

## BRIEF DESCRIPTION OF THE DRAWINGS

The above and further features will be more clearly appreciated from the following detailed description when taken in conjunction with the accompanying drawings. In the drawings, like reference numerals indicate like structures, elements, or method steps and the leftmost digit of a reference numeral indicates the number of the figure in which the references element first appears (for example, element 160 appears first in Figure 1). All of these conventions, however, are intended to be typical or illustrative, rather than limiting.

Figure 1 is a functional block diagram of one embodiment of a sequencing instrument and computer system amenable for use with the presently described invention;

Figure 2A is a simplified graphical representation of one embodiment of an adaptor element amenable for use with genomic libraries comprising a UID component;

Figure 2B is a simplified graphical representation of one embodiment of an adaptor element amenable for use with amplicons comprising a UID component; and

Figure 3 is a simplified graphical representation of one embodiment of computed error balls representing compatibility of UID elements of different sequence composition.

## DETAILED DESCRIPTION OF THE INVENTION

As will be described in greater detail below, embodiments of the presently described invention include systems and methods for associating a unique identifier hereafter referred to as a UID element with one or more nucleic acid molecules from a sample. The UID elements are resistant to introduced error in sequence data, and enable detection and correction of error. Further, the invention includes combining or pooling those UID associated nucleic acid molecules with similarly UID associated (sometimes also referred to as "labeled") nucleic acid molecules from one or more other samples, and sequencing each nucleic acid molecule in the pooled sample to generate sequence data for each nucleic acid. The presently described invention further includes systems and methods for designing the sequence composition for each UID element and analyzing the sequence data of each nucleic acid to identify an embedded UID sequence code and associating said code with the sample identity.

*a. General*

The terms "flowgram" and "pyrogram" may be used interchangeably herein and generally refer to a graphical representation of sequence data generated by SBS methods.

Further, the term "read" or "sequence read" as used herein generally refers to the entire sequence data obtained from a single nucleic acid template molecule or a population of a plurality of substantially identical copies of the template nucleic acid molecule.

The terms "run" or "sequencing run" as used herein generally refer to a series of sequencing reactions performed in a sequencing operation of one or more template nucleic acid molecule.

The term "flow" as used herein generally refers to a serial or iterative cycle of addition of solution to an environment comprising a template nucleic acid molecule, where the solution may include a nucleotide species for addition to a nascent molecule or other reagent such as buffers or enzymes that may be employed to reduce carryover or noise effects from previous flow cycles of nucleotide species.

The term "flow cycle" as used herein generally refers to a sequential series of flows where a nucleotide species is flowed once during the cycle (i.e. a flow cycle may include a sequential addition in the order of T, A, C, G nucleotide species, although other sequence combinations are also considered part of the definition). Typically the flow cycle is a repeating cycle having the same sequence of flows from cycle to cycle.

The term "read length" as used herein generally refers to an upper limit of the length of a template molecule that may be reliably sequenced. There are numerous factors that contribute to the read length of a system and/or process including, but not limited to the degree of GC content in a template nucleic acid molecule.

A "nascent molecule" generally refers to a DNA strand which is being extended by the template-dependent DNA polymerase by incorporation of nucleotide species which are complementary to the corresponding nucleotide species in the template molecule.

The terms "template nucleic acid", "template molecule", "target nucleic acid", or "target molecule" generally refer to a nucleic acid molecule that is the subject of a sequencing reaction from which sequence data or information is generated.

The term "nucleotide species" as used herein generally refers to the identity of a nucleic acid monomer including purines (Adenine, Guanine) and pyrimidines (Cytosine, Uracil, Thymine) typically incorporated into a nascent nucleic acid molecule.

The term "monomer repeat" or "homopolymers" as used herein generally refers to two or more sequence positions comprising the same nucleotide species (i.e. a repeated nucleotide species).



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The term "homogeneous extension", as used herein, generally refers to the relationship or phase of an extension reaction where each member of a population of substantially identical template molecules is homogenously performing the same extension step in the reaction.

The term "completion efficiency" as used herein generally refers to the percentage of nascent molecules that are properly extended during a given flow.

The term "incomplete extension rate" as used herein generally refers to the ratio of the number of nascent molecules that fail to be properly extended over the number of all nascent molecules.

The term "genomic library" or "shotgun library" as used herein generally refers to a collection of molecules derived from and/or representing an entire genome (i.e. all regions of a genome) of an organism or individual.

The term "amplicon" as used herein generally refers to selected amplification products such as those produced from Polymerase Chain Reaction or Ligase Chain Reaction techniques.

The term "keypass" or "keypass mapping" as used herein generally refers to a nucleic acid "key element" associated with a template nucleic acid molecule in a known location (i.e. typically included in a ligated adaptor element) comprising known sequence composition that is employed as a quality control reference for sequence data generated from template molecules. The sequence data passes the quality control if it includes the known sequence composition associated with a Key element in the correct location.

The term "blunt end" or "blunt ended" as used herein generally refers to a linear double stranded nucleic acid molecule having an end that terminates with a pair of complementary nucleotide base species, where a pair of blunt ends are always compatible for ligation to each other.

Some exemplary embodiments of systems and methods associated with sample preparation and processing, generation of sequence data, and analysis of sequence data are generally described below, some or all of which are amenable for use with embodiments of the presently described invention. In particular the exemplary embodiments of systems and methods for preparation of template nucleic acid molecules, amplification of template molecules, generating target specific amplicons and/or genomic libraries, sequencing methods and instrumentation, and computer systems are described.

In typical embodiments, the nucleic acid molecules derived from an experimental or diagnostic sample must be prepared and processed from its raw form into template molecules



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amenable for high throughput sequencing. The processing methods may vary from application to application resulting in template molecules comprising various characteristics. For example, in some embodiments of high throughput sequencing it is preferable to generate template molecules with a sequence or read length that is at least the length a particular sequencing method can accurately produce sequence data for. In the present example, the length may include a range of about 25-30 base pairs, about 30-50 base pairs, about 50-100 base pairs, about 100-200 base pairs, about 200-300 base pairs, or about 350-500 base pairs, or other length amenable for a particular sequencing application. In some embodiments, nucleic acids from a sample, such as a genomic sample, are fragmented using a number of methods known to those of ordinary skill in the art. In preferred embodiments, methods that randomly fragment (i.e. do not select for specific sequences or regions) nucleic acids are employed that include what is referred to as nebulization or sonication. It will however, be appreciated that other methods of fragmentation such as digestion using restriction endonucleases may be employed for fragmentation purposes. Also in the present example, some processing methods may employ size selection methods known in the art to selectively isolate nucleic acid fragments of the desired length.

Also, it is preferable in some embodiments to associate additional functional elements with each template nucleic acid molecule. The elements may be employed for a variety of functions including, but not limited to, primer sequences for amplification and/or sequencing methods, quality control elements, unique identifiers that encode various associations such as with a sample of origin or patient, or other functional element. For example, some embodiments may associate priming sequence elements or regions comprising complementary sequence composition to primer sequences employed for amplification and/or sequencing. Further, the same elements may be employed for what may be referred to as "strand selection" and immobilization of nucleic acid molecules to a solid phase substrate. In the present example, two sets of priming sequence regions (hereafter referred to as priming sequence A, and priming sequence B) may be employed for strand selection where only single strands having one copy of priming sequence A and one copy of priming sequence B is selected and included as the prepared sample. The same priming sequence regions may be employed in methods for amplification and immobilization where, for instance priming sequence B may be immobilized upon a solid substrate and amplified products are extended therefrom.

Additional examples of sample processing for fragmentation, strand selection, and addition of functional elements and adaptors are described in U.S. Patent Application Serial



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No. 10/767,894, titled "Method for preparing single-stranded DNA libraries", filed January 28, 2004; and U.S. Provisional Application Serial No. 60/941,381, titled "System and Method for Identification of Individual Samples from a Multiplex Mixture", filed June 1, 2007, each of which is hereby incorporated by reference herein in its entirety for all purposes.

Various examples of systems and methods for performing amplification of template nucleic acid molecules to generate populations of substantially identical copies are described. It will be apparent to those of ordinary skill that it is desirable in some embodiments of SBS to generate many copies of each nucleic acid element to generate a stronger signal when one or more nucleotide species is incorporated into each nascent molecule associated with a copy of the template molecule. There are many techniques known in the art for generating copies of nucleic acid molecules such as, for instance, amplification using what are referred to as bacterial vectors, "Rolling Circle" amplification (described in US Patent Nos. 6,274,320 and 7,211,390, incorporated by reference above) and Polymerase Chain Reaction (PCR) methods, each of the techniques are applicable for use with the presently described invention. One PCR technique that is particularly amenable to high throughput applications include what are referred to as emulsion PCR methods (also referred to as emPCR™ methods).

Typical embodiments of emulsion PCR methods include creating a stable emulsion of two immiscible substances creating aqueous droplets within which reactions may occur. In particular, the aqueous droplets of an emulsion amenable for use in PCR methods may include a first fluid such as a water based fluid suspended or dispersed in what may be referred to as a discontinuous phase within another fluid such as an oil based fluid. Further, some emulsion embodiments may employ surfactants that act to stabilize the emulsion that may be particularly useful for specific processing methods such as PCR. Some embodiments of surfactant may include non-ionic surfactants such as sorbitan monooleate (also referred to as Span™ 80), polyoxyethylenesorbitsan monooleate (also referred to as Tween™ 80), or in some preferred embodiments dimethicone copolyol (also referred to as Abil® EM90), polysiloxane, polyalkyl polyether copolymer, polyglycerol esters, poloxamers, and PVP/hexadecane copolymers (also referred to as Unimer U-151), or in more preferred embodiments a high molecular weight silicone polyether in cyclopentasiloxane (also referred to as DC 5225C available from Dow Corning).

The droplets of an emulsion may also be referred to as compartments, microcapsules, microreactors, microenvironments, or other name commonly used in the related art. The aqueous droplets may range in size depending on the composition of the emulsion components or composition, contents contained therein, and formation technique employed.



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The described emulsions create the microenvironments within which chemical reactions, such as PCR, may be performed. For example, template nucleic acids and all reagents necessary to perform a desired PCR reaction may be encapsulated and chemically isolated in the droplets of an emulsion. Additional surfactants or other stabilizing agent may be employed in some embodiments to promote additional stability of the droplets as described above. Thermocycling operations typical of PCR methods may be executed using the droplets to amplify an encapsulated nucleic acid template resulting in the generation of a population comprising many substantially identical copies of the template nucleic acid. In some embodiments, the population within the droplet may be referred to as a "clonally isolated", "compartmentalized", "sequestered", "encapsulated", or "localized" population. Also in the present example, some or all of the described droplets may further encapsulate a solid substrate such as a bead for attachment of template or other type of nucleic acids, reagents, labels, or other molecules of interest.

Embodiments of an emulsion useful with the presently described invention may include a very high density of droplets or microcapsules enabling the described chemical reactions to be performed in a massively parallel way. Additional examples of emulsions employed for amplification and their uses for sequencing applications are described in US Patent Application Serial Nos. 10/861,930; 10/866,392; 10/767,899; 11/045,678 each of which are hereby incorporated by reference herein in its entirety for all purposes.

Also, an exemplary embodiment for generating target specific amplicons for sequencing is described that includes using sets of nucleic acid primers to amplify a selected target region or regions from a sample comprising the target nucleic acid. Further, the sample may include a population of nucleic acid molecules that are known or suspected to contain sequence variants and the primers may be employed to amplify and provide insight into the distribution of sequence variants in the sample.

For example a method for identifying a sequence variant by specific amplification and sequencing of multiple alleles in a nucleic acid sample may be performed. The nucleic acid is first subjected to amplification by a pair of PCR primers designed to amplify a region surrounding the region of interest or segment common to the nucleic acid population. Each of the products of the PCR reaction (amplicons) is subsequently further amplified individually in separate reaction vessels such as an emulsion based vessel described above. The resulting amplicons (referred to herein as second amplicons), each derived from one member of the first population of amplicons, are sequenced and the collection of sequences, from different emulsion PCR amplicons, are used to determine an allelic frequency.



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Some advantages of the described target specific amplification and sequencing methods include a higher level of sensitivity than previously achieved. Further, embodiments that employ high throughput sequencing instrumentation such as for instance embodiments that employ what is referred to as a PicoTiterPlate® array of wells provided by 454 Life Sciences Corporation, the described methods can be employed to sequence over 100,000 or over 300,000 different copies of an allele per run or experiment. Also, the described methods provide a sensitivity of detection of low abundance alleles which may represent 1% or less of the allelic variants. Another advantage of the methods includes generating data comprising the sequence of the analyzed region. Importantly, it is not necessary to have prior knowledge of the sequence of the locus being analyzed.

Additional examples of target specific amplicons for sequencing are described in U.S. Patent Application Serial No. 11/104,781, titled "Methods for determining sequence variants using ultra-deep sequencing", filed April 12, 2005, which is hereby incorporated by reference herein in its entirety for all purposes.

Further, embodiments of sequencing may include Sanger type techniques, what is referred to as polony sequencing techniques, nanopore and other single molecule detection techniques, or reversible terminator techniques. As described above a preferred technique may include Sequencing by Synthesis methods. For example, some SBS embodiments sequence populations of substantially identical copies of a nucleic acid template and typically employ one or more oligonucleotide primers designed to anneal to a predetermined, complementary position of the sample template molecule or one or more adaptors attached to the template molecule. The primer/template complex is presented with a nucleotide species in the presence of a nucleic acid polymerase enzyme. If the nucleotide species is complementary to the nucleic acid species corresponding to a sequence position on the sample template molecule that is directly adjacent to the 3' end of the oligonucleotide primer, then the polymerase will extend the primer with the nucleotide species. Alternatively, in some embodiments the primer/template complex is presented with a plurality of nucleotide species of interest (typically A, G, C, and T) at once, and the nucleotide species that is complementary at the corresponding sequence position on the sample template molecule directly adjacent to the 3' end of the oligonucleotide primer is incorporated. In either of the described embodiments, the nucleotide species may be chemically blocked (such as at the 3'-O position) to prevent further extension, and need to be deblocked prior to the next round of synthesis. It will also be appreciated that the process of adding a nucleotide species to the



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end of a nascent molecule is substantially the same as that described above for addition to the end of a primer.

As described above, incorporation of the nucleotide species can be detected by a variety of methods known in the art, e.g. by detecting the release of pyrophosphate (PPi) (examples described in US Patent Nos. 6,210,891; 6,258,568; and 6,828,100, each of which is hereby incorporated by reference herein in its entirety for all purposes), or via detectable labels bound to the nucleotides. Some examples of detectable labels include but are not limited to mass tags and fluorescent or chemiluminescent labels. In typical embodiments, unincorporated nucleotides are removed, for example by washing. Further, in some embodiments the unincorporated nucleotides may be subjected to enzymatic degradation such as, for instance, degradation using the apyrase enzyme as described in U.S. Provisional Patent Application Serial No. 60/946,743, titled System and Method For Adaptive Reagent Control in Nucleic Acid Sequencing, filed June 28, 2007, which is hereby incorporated by reference herein in its entirety for all purposes. In the embodiments where detectable labels are used, they will typically have to be inactivated (e.g. by chemical cleavage or photobleaching) prior to the following cycle of synthesis. The next sequence position in the template/polymerase complex can then be queried with another nucleotide species, or a plurality of nucleotide species of interest, as described above. Repeated cycles of nucleotide addition, extension, signal acquisition, and washing result in a determination of the nucleotide sequence of the template strand. Continuing with the present example, a large number or population of substantially identical template molecules (e.g. $10^3$, $10^4$, $10^5$, $10^6$ or $10^7$ molecules) are typically analyzed simultaneously in any one sequencing reaction, in order to achieve a signal which is strong enough for reliable detection.

In addition, it may be advantageous in some embodiments to improve the read length capabilities and qualities of a sequencing process by employing what may be referred to as a "paired-end" sequencing strategy. For example, some embodiments of sequencing method have limitations on the total length of molecule from which a high quality and reliable read may be generated. In other words, the total number of sequence positions for a reliable read length may not exceed 25, 50, 100, or 150 bases depending on the sequencing embodiment employed. A paired-end sequencing strategy extends reliable read length by separately sequencing each end of a molecule (sometimes referred to as a "tag" end) that comprise a fragment of an original template nucleic acid molecule at each end joined in the center by a linker sequence. The original positional relationship of the template fragments is known and thus the data from the sequence reads may be re-combined into a single read having a longer



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high quality read length. Further examples of paired-end sequencing embodiments are described in US Patent Application Serial No. 11/448,462, titled "Paired end sequencing", filed June 6, 2006, and in US Provisional Patent Application Serial No. 60/026,319, titled "Paired end sequencing", filed February 5, 2008, each of which is hereby incorporated by reference herein in its entirety for all purposes.

Some examples of SBS apparatus may implement some or all of the methods described above may include one or more of a detection device such as a charge coupled device (i.e. CCD camera), a microfluidics chamber or flow cell, a reaction substrate, and/or a pump and flow valves. Taking the example of pyrophosphate based sequencing, embodiments of an apparatus may employ a chemiluminescent detection strategy that produces an inherently low level of background noise.

In some embodiments, the reaction substrate for sequencing may include what is referred to as a PicoTiterPlate® array (also referred to as a PTP® plate) formed from a fiber optics faceplate that is acid-etched to yield hundreds of thousands of very small wells each enabled to hold a population of substantially identical template molecules. In some embodiments, each population of substantially identical template molecule may be disposed upon a solid substrate such as a bead, each of which may be disposed in one of said wells. For example, an apparatus may include a reagent delivery element for providing fluid reagents to the PTP plate holders, as well as a CCD type detection device enabled to collect photons of light emitted from each well on the PTP plate. Further examples of apparatus and methods for performing SBS type sequencing and pyrophosphate sequencing are described in US Patent No 7,323,305 and US Patent Application Serial No. 11/195,254 both of which are incorporated by reference above.

In addition, systems and methods may be employed that automate one or more sample preparation processes, such as the emPCR™ process described above. For example, microfluidic technologies may be employed to provide a low cost, disposable solution for generating an emulsion for emPCR processing, performing PCR Thermocycling operations, and enriching for successfully prepared populations of nucleic acid molecules for sequencing. Examples of microfluidic systems for sample preparation are described in U.S. Provisional Patent Application Serial No. 60/915,968, titled "System and Method for Microfluidic Control of Nucleic Acid amplification and Segregation", filed May 4, 2007, which is hereby incorporated by reference herein in its entirety for all purposes.

Also, the systems and methods of the presently described embodiments of the invention may include implementation of some design, analysis, or other operation using a



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computer readable medium stored for execution on a computer system. For example, several embodiments are described in detail below to process detected signals and/or analyze data generated using SBS systems and methods where the processing and analysis embodiments are implementable on computer systems.

An exemplary embodiment of a computer system for use with the presently described invention may include any type of computer platform such as a workstation, a personal computer, a server, or any other present or future computer. Computers typically include known components such as a processor, an operating system, system memory, memory storage devices, input-output controllers, input-output devices, and display devices. It will be understood by those of ordinary skill in the relevant art that there are many possible configurations and components of a computer and may also include cache memory, a data backup unit, and many other devices.

Display devices may include display devices that provide visual information, this information typically may be logically and/or physically organized as an array of pixels. An interface controller may also be included that may comprise any of a variety of known or future software programs for providing input and output interfaces. For example, interfaces may include what are generally referred to as "Graphical User Interfaces" (often referred to as GUI's) that provide one or more graphical representations to a user. Interfaces are typically enabled to accept user inputs using means of selection or input known to those of ordinary skill in the related art.

In the same or alternative embodiments, applications on a computer may employ an interface that includes what are referred to as "command line interfaces" (often referred to as CLI's). CLI's typically provide a text based interaction between an application and a user. Typically, command line interfaces present output and receive input as lines of text through display devices. For example, some implementations may include what are referred to as a "shell" such as Unix Shells known to those of ordinary skill in the related art, or Microsoft Windows Powershell that employs object-oriented type programming architectures such as the Microsoft .NET framework.

Those of ordinary skill in the related art will appreciate that interfaces may include one or more GUI's, CLI's or a combination thereof.

A processor may include a commercially available processor such as a Centrino®, Core™ 2, Itanium® or Pentium® processor made by Intel Corporation, a SPARC® processor made by Sun Microsystems, an Athalon™ or Opteron™ processor made by AMD corporation, or it may be one of other processors that are or will become available. Some

embodiments of a processor may include what is referred to as Multi-core processor and/or be enabled to employ parallel processing technology in a single or multi-core configuration. For example, a multi-core architecture typically comprises two or more processor "execution cores". In the present example each execution core may perform as an independent processor that enables parallel execution of multiple threads. In addition, those of ordinary skill in the related will appreciate that a processor may be configured in what is generally referred to as 32 or 64 bit architectures, or other architectural configurations now known or that may be developed in the future.

A processor typically executes an operating system, which may be, for example, a Windows®-type operating system (such as Windows® XP or Windows Vista®) from the Microsoft Corporation; the Mac OS X operating system from Apple Computer Corp. (such as 7.5 Mac OS X v10.4 "Tiger" or 7.6 Mac OS X v10.5 "Leopard" operating systems); a Unix® or Linux-type operating system available from many vendors or what is referred to as an open source; another or a future operating system; or some combination thereof. An operating system interfaces with firmware and hardware in a well-known manner, and facilitates the processor in coordinating and executing the functions of various computer programs that may be written in a variety of programming languages. An operating system, typically in cooperation with a processor, coordinates and executes functions of the other components of a computer. An operating system also provides scheduling, input-output control, file and data management, memory management, and communication control and related services, all in accordance with known techniques.

System memory may include any of a variety of known or future memory storage devices. Examples include any commonly available random access memory (RAM), magnetic medium such as a resident hard disk or tape, an optical medium such as a read and write compact disc, or other memory storage device. Memory storage devices may include any of a variety of known or future devices, including a compact disk drive, a tape drive, a removable hard disk drive, USB or flash drive, or a diskette drive. Such types of memory storage devices typically read from, and/or write to, a program storage medium (not shown) such as, respectively, a compact disk, magnetic tape, removable hard disk, USB or flash drive, or floppy diskette. Any of these program storage media, or others now in use or that may later be developed, may be considered a computer program product. As will be appreciated, these program storage media typically store a computer software program and/or data. Computer software programs, also called computer control logic, typically are stored in



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system memory and/or the program storage device used in conjunction with memory storage device.

In some embodiments, a computer program product is described comprising a computer usable medium having control logic (computer software program, including program code) stored therein. The control logic, when executed by a processor, causes the processor to perform functions described herein. In other embodiments, some functions are implemented primarily in hardware using, for example, a hardware state machine. Implementation of the hardware state machine so as to perform the functions described herein will be apparent to those skilled in the relevant arts.

Input-output controllers could include any of a variety of known devices for accepting and processing information from a user, whether a human or a machine, whether local or remote. Such devices include, for example, modem cards, wireless cards, network interface cards, sound cards, or other types of controllers for any of a variety of known input devices. Output controllers could include controllers for any of a variety of known display devices for presenting information to a user, whether a human or a machine, whether local or remote. In the presently described embodiment, the functional elements of a computer communicate with each other via a system bus. Some embodiments of a computer may communicate with some functional elements using network or other types of remote communications.

As will be evident to those skilled in the relevant art, an instrument control and/or a data processing application, if implemented in software, may be loaded into and executed from system memory and/or a memory storage device. All or portions of the instrument control and/or data processing applications may also reside in a read-only memory or similar device of the memory storage device, such devices not requiring that the instrument control and/or data processing applications first be loaded through input-output controllers. It will be understood by those skilled in the relevant art that the instrument control and/or data processing applications, or portions of it, may be loaded by a processor in a known manner into system memory, or cache memory, or both, as advantageous for execution.

Also a computer may include one or more library files, experiment data files, and an internet client stored in system memory. For example, experiment data could include data related to one or more experiments or assays such as detected signal values, or other values associated with one or more SBS experiments or processes. Additionally, an internet client may include an application enabled to accesses a remote service on another computer using a network and may for instance comprise what are generally referred to as "Web Browsers". In the present example some commonly employed web browsers include Microsoft® Internet



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Explorer 7 available from Microsoft Corporation, Mozilla Firefox® 2 from the Mozilla Corporation, Safari 1.2 from Apple Computer Corp., or other type of web browser currently known in the art or to be developed in the future. Also, in the same or other embodiments an internet client may include, or could be an element of, specialized software applications enabled to access remote information via a network such as a data processing application for SBS applications.

A network may include one or more of the many various types of networks well known to those of ordinary skill in the art. For example, a network may include a local or wide area network that employs what is commonly referred to as a TCP/IP protocol suite to communicate. A network may include a network comprising a worldwide system of interconnected computer networks that is commonly referred to as the internet, or could also include various intranet architectures. Those of ordinary skill in the related arts will also appreciate that some users in networked environments may prefer to employ what are generally referred to as "firewalls" (also sometimes referred to as Packet Filters, or Border Protection Devices) to control information traffic to and from hardware and/or software systems. For example, firewalls may comprise hardware or software elements or some combination thereof and are typically designed to enforce security policies put in place by users, such as for instance network administrators, etc.

*b. Embodiments of the presently described invention*

As described above, the presently described invention comprises associating one or more embodiments of a UID element having a known and identifiable sequence composition with a sample, and coupling the embodiments of UID element with template nucleic acid molecules from the associated samples. The UID coupled template nucleic acid molecules from a number of different samples are pooled into a single "Multiplexed" sample or composition that can then be efficiently processed to produce sequence data for each UID coupled template nucleic acid molecule. The sequence data for each template nucleic acid is de-convoluted to identify the sequence composition of coupled UID elements and association with sample of origin identified. For example, a multiplexed composition may include representatives from about 384 samples, about 96 samples, about 50 samples, about 20 samples, about 16 samples, about 10 samples, or other number of samples. Each sample may be associated with a different experimental condition, treatment, species, or individual in a research context. Similarly, each sample may be associated with a different tissue, cell, individual, condition, or treatment in a diagnostic context. Those of ordinary skill in the

related art will appreciate that the numbers of samples listed above are for the purposes of example and thus should not be considered limiting.

Typically, systems and methods are employed for processing samples to generate sequence data as well as for interpretation of the sequence data. Figure 1 provides an illustrative example of sequencing instrument 100 employed to execute sequencing processes using reaction substrate 105 that for instance may include the PTP® plate substrate described above. Also illustrated in Figure 1 is computer 130 that may for instance execute system software or firmware for processing as well as perform analysis functions. In the example of Figure 1, computer 130 may also store application 135 in system memory for execution, where application 135 may perform some or all of the data processing functions described herein. It will also be understood that application 135 may be stored on other computer or server type structures for execution and perform some or all of its functions remotely communicating over networks or transferring information via standard media. For instance, processed target molecules in a multiplex sample may be loaded onto reaction substrate 105 by user 101 or some automated embodiment then sequenced in a massively parallel manner using sequencing instrument 100 to produce sequence data representing the sequence composition of each target molecule. Importantly, user 101 may include any user such as independent researcher, university, or corporate entity. In the present example, sequencing instrument 100, reaction substrate 105, and/or computer 130 may include some or all of the components and characteristics of the embodiments generally described above.

In preferred embodiments, the sequence composition of each UID element is easily identifiable and resistant to introduced error from sequencing processes. Some embodiments of UID element comprise a unique sequence composition of nucleic acid species that has minimal sequence similarity to a naturally occurring sequence. Alternatively, embodiments of a UID element may include some degree of sequence similarity to naturally occurring sequence.

Also, in preferred embodiments the position of each UID element is known relative to some feature of the template nucleic acid molecule and/or adaptor elements coupled to the template molecule. Having a known position of each UID is useful for finding the UID element in sequence data and interpretation of the UID sequence composition for possible errors and subsequent association with the sample of origin.

For example, some features useful as anchors for positional relationship to UID elements may include, but are not limited to the length of the template molecule (i.e. the UID element is known to be so many sequence positions from the 5' or 3' end), recognizable sequence



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markers such as a Key element (described in greater detail below) and/or one or more primer elements positioned adjacent to a UID element. In the present example, The Key and primer elements generally comprise a known sequence composition that typically does not vary from sample to sample in the multiplex composition and may be employed as positional references for searching for the UID element. An analysis algorithm implemented by application 135 may be executed on computer 130 to analyze generated sequence data for each UID coupled template to identify the more easily recognizable Key and/or primer elements, and extrapolate from those positions to identify a sequence region presumed to include the sequence of the UID element. Application 135 may then process the sequence composition of the presumed region and possibly some distance away in the flanking regions to positively identify the UID element and its sequence composition.

Also, as will be described in greater detail below in some embodiments the sequence data generated from each Key and/or one or more primer elements may be analyzed to determine a measure of the relative error rate for the sequencing run. The measure of error rate may then be employed in the analysis of the sequence data generated for the UID element. For example, if the error rate is excessive and is above a predetermined threshold it may also be assumed that a similar rate of error exists in the sequence data generated for the UID element, and thus the sequence data for the entire template may be filtered out as suspect. Further, in embodiments where a UID element is coupled to each end of a linear template molecule an error rate may be established for each end and asymmetrically analyzed. Importantly, it will be appreciated that in some embodiments, particularly sequencing technology capable of producing "long" read lengths (i.e. of about 100 base pairs or greater) the error rate in the sequence data may differ between the 5' end and the 3' end.

In preferred embodiments, a UID element is associated with an adaptor enabled to operatively couple with the end of a template nucleic acid molecule. In typical high throughput sequencing applications it is desirable that the template nucleic acid molecules are linear where an adaptor may be coupled to each end. Figures 2A and 2B provide illustrative examples of embodiments of adaptor composition for various applications comprising one or more UID elements. It will, however, be appreciated that various adaptor configurations may be employed for different amplification and sequencing strategies. Figure 2A provides an illustrative example of adaptor element 200 that comprises an embodiment of an adaptor amenable for use with amplification and sequencing of Genomic Libraries. It will also be appreciated that adaptor element 200 may also be amenable for libraries of template molecules independently amplified with target specific sequences independently of the



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adaptor element described herein. Adaptor element 200 comprises several components that include primer 205, key 207, and UID 210. Also, Figure 2B provides an illustrative example of one embodiment of adaptor 220 amenable for use with amplification and sequencing of Amplicons. Adaptor element 220 comprises several similar components to adaptor 200 that include primer 205, key 207, UID 210, with the addition of target specific element 225. It will be appreciated that the relative arrangement of components provided in Figures 2A and 2B are for illustrative purposes and should not be considered limiting.

In some alternative embodiments, the UID 210 elements are not associated with adaptor elements as described above. Rather, the UID 210 elements may be considered separate elements that may be independently coupled to an already adapted template molecule, or non-adapted template molecule. This strategy may be useful in some circumstances to avoid negative effects associated with a particular step or assay. For example, it may be advantageous in some embodiments to ligate the UID 210 elements to each population of substantially identical template molecules after copies have been produced from an amplification step. By coupling the UID elements to the adapted template molecules post-amplification, errors introduced by the amplification method are avoided. In the present example, PCR amplification methods that employ polymerases are known to have a certain rates of introduced error based, at least in part, upon the type of polymerase or polymerase blends (i.e. a blend may include a mixture of what may be referred to as a "high fidelity" polymerase and a polymerase with "proof reading" capability) employed and the number of cycles of amplification.

It will also be appreciated that multiple embodiments of adaptor 200 or 220 may be employed with each template molecule, such as one embodiment of adaptor 200 or 220 at each end of a linear template molecule prepared for sequencing. However, in some embodiments the positional arrangement of elements within adaptor 200 or 220 may be reversed (i.e. the elements of adaptor 200 or 220 are in a palindromic arrangement from the example illustrated in Figure 2A or 2B) at the 3' end relative the arrangement of elements in adaptor 200 or 220 at the 5' end. For example, an embodiment of element 220 may be positioned on each end of substantially every template molecule from a library of amplicons in a multiplex composition, thus 2 embodiments of UID 210 may be employed in a combinatorial manner for identification which will be discussed in greater detail below.

Primer 205 may include a primer species (or a primer of a primer pair) such as is described above with respect to emulsion PCR embodiments (i.e. Primer A and Primer B). Also, primer 205 may include a primer species employed for an SBS sequencing reaction



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also as described above. Further, primer 205 may include what is referred to as a bipartite PCR/sequencing primer useable for both the emulsion PCR and SBS sequencing processes. Key 207 may include what may be referred to as a "discriminating key sequence" that refers to a short sequence of nucleotide species such as a combination of the four nucleotide species (i.e., A, C, G, T). Typically, key 207 may employed for quality control of sequence data, where for example key 207 may be located immediately adjacent primer 205 or within close proximity and include one of each of the four nucleotide species in a known sequence arrangement (i.e. TCAG). Therefore, the fidelity of the sequencing method should be represented in the sequence data for each of the 4 nucleotide species in key 207 and may pass quality control metrics if each of the 4 nucleotide species is faithfully represented. For example, an error for one of the nucleotide species represented in the sequence data generated from key 207 could indicate a problem in the sequencing process associated with that nucleotide species. Such error may be from mechanical failure of one or more components of sequencing instrument 100, low quality or supply of reagent, operating script error, or other source of systematic type error that may occur. Thus, if such systematic type error is detected in key 207 that sequence data generated for the run of that template molecule may not pass quality metrics and will typically be rejected.

The same discriminating sequence for key 207 can be used for an entire library of DNA fragments, or alternatively different sequence compositions may be associated with portions of the library for different purposes. Further examples of primer and key elements associated with primer 205 and key 207 are described in U.S. Patent Application Serial No. 10/767,894, incorporated by reference above.

Target specific element 225 includes a sequence composition that specifically recognizes a region of a genome. For example, Target specific element 225 may be employed as a primer sequence to amplify and produce amplicon libraries of specific targeted regions for sequencing such as those found within genomes, tissue samples, heterogeneous cell populations or environmental samples. These can include, for example, PCR products, candidate genes, mutational hot spots, evolutionary or medically important variable regions. It could also be used for applications such as whole genome amplification with subsequent whole genome sequencing by using variable or degenerate amplification primers. Further examples describing the use of target specific sequences with bipartite primers are described in U.S. Patent Application Serial No. 11/104,781, titled "Methods for determining sequence variants using ultra-deep sequencing", filed April 12, 2005, which is hereby incorporated by reference herein in its entirety for all purposes.



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Some embodiments of UID 210 may be particularly amenable for use with relatively small numbers of sample associations in a multiplex sample. In particular, when there are only a small number of associations to identify in a multiplex sample, each sample is associated with a distinct implementation of UID 210 comprising a sequence composition that is sufficiently unique from each other as to enable easy detection and correction of introduced error. In some embodiments, groups of compatible UID 210 sequence elements are clustered into "sets" as will be described in greater detail below. For example, a set of UID 210 elements may include 14 members that may be employed to uniquely identify up to 14 associations with samples, where each member is associated with a single sample.

It will be appreciated that as the number of associations to identify grows, it becomes increasingly difficult to design distinct embodiments of UID 210 for each association that meet the design criteria and desired characteristics. In such cases, it may be advantageous to employ multiple UID 210 elements combinatorially to uniquely associate the template molecules with their sample of origin, where one embodiment of UID 210 may be positioned at each end of a linear template molecule. For example, the number of associations to identify between the sequence data generated from template molecules and the sample of origin may become too large to accommodate given the necessary design parameters and characteristics of UID 210. In particular, it is undesirable in many embodiments to employ a distinct UID element for each association when the number a samples would require a sequence length for UID 210 that is undesirably long for the design criteria that includes a specific number of flow cycle iterations and number of sequence positions taken up by the UID element. In the present example, in embodiments of sequencing technology that generate "long" read lengths UID 210 may comprise up to 10 sequence positions. Alternatively, other embodiments of sequencing technology may generate relatively short read lengths of about 25-50 sequence positions, and thus it is desirable that UID 210 is short in order to optimize the read length for the template molecule. In the present example, UID 210 may be designed for short read lengths comprising up to 4 sequence positions, up to 6 sequence positions, or up to 8 sequence positions, depending, at least in part, upon the application.

As described above, embodiments for design and implementation of UID 210 amenable for both small and large numbers of associations is to employ a "set" of UID 210 elements each meeting the preferred design criteria and characteristics. In some applications, such as the design of UID 210 elements with sequence composition that enable accurate error detection and correction features it is desirable to use the "set" strategy presently described.



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For example, as will be described in greater detail below the sequence composition for the UID elements in a set must be sufficiently distinct from each other in order to enable error detection and correction thereby limiting the compatible members available for a particular set. However, UID 210 members from multiple sets may be combinatorially employed with a template molecule where the members of each set are located at different relative positions and are thus easily interpretable.

In order to overcome the problems of a large number of associations to identify described above, two or more members from a set of UID 210 elements may be employed in a combinatorial manner. For example, a set of UID 210 elements may include 10, 12, 14, or other number of members comprising a 10-mer sequence length. In some embodiments, two UID 210 elements may be associated with each template molecule and used combinatorially to identify up to 144 different associations (i.e. 12 UID members for use with element 1 multiplied by 12 UID members for use with element 2 results in 144 possible combinations of UID elements 1 and 2 that may be employed to uniquely identify an association).

Those of ordinary skill in the related art will appreciate that alternative embodiments may be employed where each UID 210 element associated with a template molecule may include a subset of the total number of UID members from the set (i.e. use a portion of the members of the set). In other words, of the 12 members of a complete set, only 8 may be employed at one element position. There are a number of reasons why it may be desirable to use a subset of UID members that includes having a need for a smaller number of associations to identify (i.e. smaller number of combinations), physical or practical experimental conditions such as equipment or software limitations, or preferred combinations of UID members of a set in element positions. For instance, a first element may employ all 12 UID members from a set and a second element may employ a subset of 8 UID members from the same or different set yielding 96 possible combinations.

UID 210 elements used in combinatorial strategies may be configured in a variety of positional arrangements relative to the position of the template molecule. For example, a strategy that utilizes 2 UID 210 elements combinatorially to identify the association of each template molecule with its sample of origin may include a UID element positioned at each end of a linear template molecule (i.e. one UID 210 element at the 5' end and another at the 3' end). In the present example, each UID 210 element may be associated with an adaptor element, such as adaptor 200 or 220, employed in a target specific amplicon or genomic library sequencing strategy as discussed above. Thus, the sequence data associated with a template molecule would include the sequence composition of a UID element at each end of



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the amplicon. The combination of the UID elements may then be used to associate the sequence data with the sample of origin of the template molecule.

In some alternative embodiments, a UID 210 element may be incorporated in an adaptor element at each end of a linear template molecule as described above. However, the read length of the template molecule may be greater than the ability of the sequencing technology to handle. In such a case, the template molecule may be sequenced from each end independently (i.e. a separate sequencing run for each end), where the UID 210 element associated with the end may be employed as a single UID 210 identifier.

In addition it may be desirable in some embodiments to assign more that one UID 210 element per sample, or more than one combinations of UID 210 elements. Such a strategy may provide redundancy to protect against possible unintended biases introduced by various source, which could include the UID 210 element itself. For example, a sample with a population of template molecules may be sub-divided in sub-samples each using a distinctive UID 210 element for the association. In such a case, the redundancy of the different UID 210 elements for the same population of template molecules from a sample provides for greater confidence that the correct associations will be identified or if the error is too great to make a correct identification of the association with confidence.

As generally described above, embodiments of the presently described invention include one or more UID 210 elements operatively coupled to each template molecule for the purpose of identifying the association between the template molecule and the sequence data generated therefrom with a sample of origin. One or more embodiments of a UID element may be operatively coupled to one or more components of an adaptor and a template molecule using a variety of methods known in the art that include but are not limited to ligation techniques. Methods for ligating nucleic acid molecules to one another are generally known in the art and include employing a ligase enzyme for what is referred to as sticky end or blunt end ligation. Further examples of coupling adaptor elements to template molecules using ligation as described in U.S. Patent Application Serial No. 10/767,894, titled "Method for preparing single-stranded DNA libraries", filed January 28, 2004; and U.S. Provisional Patent Application Serial No. 60/031,779, titled "System and Method for Improved Processing of Nucleic Acids for Production of Sequencable Libraries" filed February 27, 2008, each of which is hereby incorporated by reference herein in its entirety for all purposes). For example, a large template nucleic acid or whole genomic DNA sample may be fragmented by mechanical (i.e. nebulization, sonication) or enzymatic means (i.e. DNase I), the resulting ends of each fragment may be polished for compatibility with adaptor



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elements (i.e. polishing using what is referred to as an exonuclease, such as BAL32 nuclease or Mung Bean nuclease), and each fragment may be ligated to one or more adaptor elements (i.e. using T4 DNA ligase). In the present example, each adaptor element is directionally ligated to the fragment such as for instance by selective binding between the 3' end of the adaptor and the 5' end of the fragment.

In some embodiments, UID 210 elements may be provided to user 101 in the form of a kit, where the kit could include adaptors comprising incorporated UID 210 elements as illustrated in Figures 2A and 2B. Or, the kit could include UID 210 as independent elements that enable user 101 to incorporate as they desire.

As described above, embodiments of UID 210 should comprise a number of preferred characteristics or design criteria that include but are not limited to a) each UID element comprises a minimal sequence length requiring a minimal number of synthesis or flow cycles, b) each UID element comprises sequence distinctiveness, c) each UID element comprises resistance to introduced error, and d) each UID element does not interfere with amplification methods (such as PCR, or cloning into vectors).

Also, some embodiments of UID element design may also consider physical characteristics or design criteria of nucleic acids that include some or all of i) UID sequence composition selected to resist formation of what are referred to as "hairpins" (also referred to as a "hairpin loop" or "stem loop") and "primer dimers"; ii) UID elements comprise preferred melting temperature (i.e. 40°C) and/or Gibbs free energy (i.e. $\Delta G$ cutoff of -1.5) characteristics. Aspects of some of the desirable characteristics and their impact on UID design are described in greater detail below.

One important characteristic of a UID element is that it should include a minimal number of bases or sequence positions required to satisfy the needs of other characteristic requirements. For example, each UID element should comprise the minimum sequence length required to uniquely identify a desired number of associations between the template molecule/sequence data and their samples of origin. A desired number of associations may include identification of template molecules/sequence data associated with at least 12 different samples, at least 96 different samples, at least 384 different samples, or a greater number of samples that may be contemplated in the future. In other words the sequence length of the UID should be no longer than necessary in order to conserve the number of positions (i.e. what may be referred to as "sequence real estate") of the read length for the template molecule. Further, the minimum sequence length should consume or require a minimum number of flow cycles of the set of nucleotide species to generate the sequence



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data for each UID element. Minimizing the number of nucleotide species flow cycles required to generate sequence data for the UID elements provides advantages in reagent cost, instrument usage (i.e. processing time), data quality, and read length. For instance, each additional flow cycle increases the probability of introducing CAFIE error, and reagent usage. In the present example, it is preferable that each 10-mer UID element require only 5 nucleotide species flow cycles to generate sequence data for each UID element.

Another important characteristic includes sequence distinctiveness of each UID element. The term "sequence distinctiveness" as used herein generally refers to a distinguishable difference between a plurality of UID sequences such that each sequence is easily recognizable from every other UID sequence that is the subject of comparison. In particular each UID element needs to comprise a measure of sequence distinctiveness that enables easy detection of introduced error and correction of some or all of the error. Further, it is generally preferable that each UID element be free of repetitive sequence composition and should not include a sequence composition recognized by restriction enzymes. In other words it is undesirable for UID elements to include consecutive monomers having the same composition of nucleotide species. For example, preferred embodiments of the sequence distinctiveness of each UID element enable detection of up to 3 sequence positions with introduced errors and correction of up to 2 sequence positions with introduced errors in a 10-mer element (i.e. 10 total sequence positions). Those of ordinary skill will appreciate that the introduced error may include what are referred to as "insertions", "deletions", "substitutions", or some combination thereof (i.e. a combination of an insertion and deletion at the same sequence position will appear to be a substitution and would be counted as a single error event). Also, the level of error detection and correction may depend, at least in part, upon the sequence length of the UID element. Further, introduced errors outside (i.e. upstream or downstream) of UID 210 may have effects on the interpretation of sequence composition for UID 210. This will be discussed further below in the context of decoding or analysis of sequence data for UID identification.

A further characteristic that is also desirable comprises resistance to introduced error. For example, monomer repeats in nucleic acid sequence such as that of the template molecule or other sequence elements may cause errors in a sequence read. The error may include an over or under representation or call of the number of repeated monomers. It is therefore desirable that the UID elements do not begin or end with the same nucleotide species as the adjacent monomer of a neighboring sequence element (i.e. creating monomer repeats between sequence elements or components). In the present example, a neighboring sequence



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element, such as key 207 illustrated in Figures 2A and 2B, may end with a "G" nucleotide species. Therefore, a UID element such as UID 210, should not begin with the same "G" nucleotide species to avoid the increased possibility introduced error from the repeated "G" species.

Another source of error that is particularly relevant in SBS contexts, include what are referred to as "carry forward" or "incomplete extension" effects (sometimes referred to as CAFIE effects). For example, a small fraction of template nucleic acid molecules in each amplified population of a nucleic acid molecule from a sample (i.e. a population of substantially identical copies amplified from a nucleic acid molecule template) loses or falls out of phasic synchronism with the rest of the template nucleic acid molecules in the population (that is, the reactions associated with the fraction of template molecules either get ahead of, or fall behind, the other template molecules in the sequencing reaction run on the population) . Additional description of CAFIE mechanisms and methods of correcting CAFIE error are further described in PCT Application Serial No US2007/004187, titled "System and Method For Correcting Primer Extension Errors in Nucleic Acid Sequence Data", filed February 15, 2007, which is hereby incorporated by reference herein in its entirety for all purposes.

Also, it will be appreciated that some types of error may occur at higher frequency than other types and/or have greater consequences than other types of error. For example, deletion error may have more significant impact than substitution error. It is therefore advantageous to design each UID element so that it is weighted more heavily to deal with the more frequent or more deleterious types of error.

As stated previously, it is not typically desirable to randomly or non-selectively design the sequence composition of UID elements. An illustrative example of two improperly designed UID elements and the potential for problems with error detection/correction using such UID elements is presented in Table 1.

Table 1:

| UID Element 1 | Generated UID Sequence | UID Element 2 |
|---|---|---|
| A*C*TGA (SEQ ID NO: 1) | A*G*T*T*GA (SEQ ID NO: 2) | AG*C*GA (SEQ ID NO: 3) |

In the example of table 1, it is apparent that the UID sequence represented as generated UID sequence contains an error (i.e. the presence of at least one error is detected) if either UID element 1 or 2 is the original sequence element. However, it is not clear from the



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sequence composition of the Generated UID sequence whether UID element 1 or UID element 2 was the actual UID element because a single error in either could result in the generated sequence. In other words, it is possible that one error was introduced in UID element 1 transforming the "C" nucleotide species at the second position to a "G" species. It is also possible that one error was introduced in UID element 2 transforming the "C" nucleotide species at the third position to a "T" species. Given the sequence information, the error is detected but it is not possible to infer which UID element was the original element and thus cannot be corrected. Therefore, the association of the generated UID sequence with either UID element 1 or 2 cannot be positively made, and thus the sample of origin for the template molecule coupled to one of the UID elements cannot be identified and the generated sequence information may need to be thrown out. In other words, the design of UID elements 1 and 2 are not sufficiently distinct from each other to recover from the described type of introduced error.

The potential result of poor UID design is further exemplified in Table 2.

Table 2:

| UID Element 1 | UID Element 2 |
|---|---|
| CTACC (SEQ ID NO: 4) | CTGCC (SEQ ID NO: 5) |

The example of Table 2 provides an even clearer picture of the potential consequences where a substitution event in UID element 1 of an A nucleotide species at the third position to a G nucleotide species, which is one of the most common types of error introduced by PCR processes, results in an exact match with the sequence composition of UID 210 element. Thus the poor UID 210 design results in an undetectable error that would likely result in the mis-assignment of the sequence data to a sample of origin.

Various methods may be employed to design UID elements comprising sequence composition that meets the necessary design criteria. Also, application 135 illustrated in Figure 1 may be employed for designing UID 210 using some or all of the methods described herein. For example, "Brute Force" methods may be employed that compute every possible sequence composition for a given length and the possible conflicts with other sequence composition given a set of parameters associated with the design criteria. In the present example, the sequence composition of 10 mer UID elements may be computed for detection of up to 3 sequence positions with introduced errors and correction of up to 2 sequence positions with introduced errors.



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Design of a preferred sequence composition for members of a set of UID 210 elements meeting the most stringent design criteria given the characteristics described above presents a computational challenge. Mathematical methods known to those of skill in the art may be applied to compute the possible sequence composition for members of a set given the design constraints. For example, mathematical transformations of all possible combinations of sequence composition may be computed given the design constraints to generate what may be referred to as "Error Balls" or "Error Clouds" to determine the potential compatibility of each UID element with the other members in a set. Compatibility of sequence composition for potential UID elements may be visually illustrated as non-overlapping error balls. For example, Figure 3 provides an illustrative representation of what may be referred to as "space potential" for computed error balls for UID 310, UID 320, UID 330, UID 340, and UID 350 comprising some or all of the design criteria described above such as number of flow cycles, and sequence length requirements. As illustrated in Figure 3 the error balls for UID 310, UID 320, and UID 330 do not overlap and thus represent sequence composition of compatible UID 210 elements. Further, UID 340 overlaps with UID 320 and UID 350 representing a sequence composition for a UID element that is not compatible. However UID 340 does not overlap with UID 310 and UID 330 and thus represents compatible sequence composition for each non-overlapping UID element.

Alternatively, a more computationally efficient approach may be employed that uses what is referred to in the art as "Dynamic Programming" techniques. The term "Dynamic Programming" as used herein generally refers to methods for solving problems that comprise overlapping sub-problems and optimal structure. Dynamic programming techniques are typically substantially more computationally efficient than methods with no *a priori* knowledge.

Some embodiments of dynamic programming technique include computing what may be referred to as the "minimum edit distance" for strings of characters such as strings of nucleic acid species. In other words, each UID member element in a set may be considered a string of characters representing the nucleic acid species composition. The term "minimum edit distance" as used herein generally refers to the minimum number of point mutations required to change a first string into a second string. Further, the term "point mutation" as used herein generally refers to and includes a change of character composition at a location in a string referred to as a substitution of a character for another in a string; an insertion of a character into a string; or a deletion of a character from a string. For example, the minimum edit distance may be computed for each potential member of a set of UID 210 elements



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against all other members of the set. Subsequently the minimum edit distances may be compared and members of the set of UID 210 elements selected based, at least in part, upon each member of the set having a sufficiently high minimum edit distance from all other members to meet the specified criteria. Systems and methods for computing minimum edit distance are well known to those of ordinary skill in the related art and may be implemented in a number of ways.

Another important aspect of the presently described invention is directed to the analysis of sequence data to "decode" or identify the UID 210 sequence elements within the data. In some embodiments an algorithm may be implemented in computer code as application 135 that processes the sequence data from each run and identify UID 210 as well as perform any error detection or corrections functions. It is important to recognize that methods of error detection and correction in strings of information have been employed in the computer arts particularly in the area of electronically stored and transmitted data. For example, the problem of "inversion" of bits of data from one form into another occurs when data is transmitted over networks or stored in electronic media. The inversion of bits presents a problem with respect to the integrity of stored or transmitted data and is analogous to the presently described substitution type of error. Methods of detection and correction of inversion error is described in J. F. Wakerly, "Detection of unidirectional multiple errors using low cost arithmetic codes," IEEE Trans. Comput., vol. C-24, pp. 210-212, Feb. 1975.; and J. F. Wakerly, Error Detecting Codes, Self-Checking Circuits and Applications. Amsterdam, The Netherlands: North-Holland, 1978, both of which are hereby incorporated by reference herein in their entireties for all purposes.

However, the methods of detecting and correcting inversion error described above are not applicable to the problem of error detection and correction in sequence data and more specifically errors in UID elements. Importantly, the problem in sequence data is substantially more complex because it deals with the problems of substitutions and deletions as well as substitutions that create phasing problems and complicate the interpretation of information at each sequence position.

As described above, UID 210 may be located at a known position relative to other easily identifiable elements such as primer 205, key 207, the 5' or 3' end of the sequence, etc. However, just as introduced error within UID 210 has deleterious effects, error outside of the region of the UID 210 element may also affect the efficiency of identifying each UID 210 element. Further, some types of error outside of the region defined by UID 210 may contribute to and count as errors within UID 210 sequence. For example, insertion events

may occur and be represented in the sequence data preceding (i.e. upstream of) UID 210 element that may be difficult to interpret. In the present example, an insertion event could include the insertion of one or more G nucleotide species bases at the end of key 207 comprising a TCAG sequence composition as may occur when a nucleotide species at a sequence position is "overcalled". However, an application that interprets the data will not know that it is an insertion event and cannot rule out the possibility of a substitution event that provided a G nucleotide in place of a different nucleotide species at the first sequence position of UID 210. In other words, the error outside of UID 210 will force the algorithm to decide if the error is an insertion that shifts where it should look for the first sequence position of UID 210 or whether it is a substitution event.

Continuing the example from above, an algorithm or user may look for the UID 210 element immediately adjacent to another known element such as key 207 as illustrated in Figures 2A and 2B, but the insertion of one base between key 207 and UID 210 may typically be assigned as belonging to UID 210 (counts as a first insertion error). Additionally, the algorithm or user expects UID 210 to be a certain length (i.e. 10 sequence positions) and thus truncates the last sequence position of the actual UID element because of the first insertion (counts as a second deletion error). Thus, it is clear that errors outside of the UID region can have substantial effect on finding and interpreting the sequence composition of UID 210.

In some embodiments, errors outside of the region defined by UID 210 may be particularly troublesome at the 3' end of a nascent molecule. For example, some embodiments of SBS sequence from 5' to 3' ends (i.e. adding nucleotide species to 3' end of nascent molecule) where cumulative errors (such as CAFIE type error described above) and the rate of introduced error may be increasingly higher as the sequence run gets longer at the 3' end. Thus, it may be more practical and effective to use certain assumptions rather than stringent criteria to identify UID 210. Also as described above, assumptions used for the 5' may be different than assumptions employed for the 3' end and may be referred to as "Asymmetric". For example, it may be assumed that there will never be more than 3 sequence position errors present at the 5' end which would be consistent with empirical evidence. However, in the present example at the 3' end it may be assumed that there will never be more than 4 sequence position errors due to the increased possibility of error at the 3' end. Because of the asymmetric difference in detectable error at each end, it may also be inferred that the amount of that error that is correctable may also be different. In the present example, the correctable error at the 5' end may be 2 sequence positions as described above, however the correctable error at the 3' end may only be 1 sequence position. Also, further



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assumptions may be employed at the 3' end that may not be employed for the 5' end. Such an assumption could include the existence of one or more "no called" positions in close proximity to UID 210.

In the present example, an embodiment of adaptor element 200 or 220 is present at the 3' end of a template nucleic acid in a palindromic arrangement to that illustrated in Figure 2A or 2B (as described above). It will be appreciated however, that the present example refers to a difference in the arrangement of elements and that the elements associated with each adaptor do not need to have the same composition (i.e. the 3' end may include the sequence composition of a first UID element and the 5' end may include a UID elements with different sequence composition). It will further be appreciated that some embodiments will not necessarily include the same composition of elements in each adaptor (i.e. an adaptor at the 5' end may include a UID 210 element and the adaptor on the 3' may not, or vice versa). Also, there may be inherent internal controls of the sequence quality of primer element 205 with respect to resistance to introduced error. For instance, error introduced into the sequence composition of primer 205 would negatively affect its hybridization qualities to its respective target and thus not be amplified in a PCR process and therefore not represented in populations of template molecule for sequencing. This inherent quality control of primer 205 is useful for finding UID 210, because the sequence composition of primer 205 is known and can be assumed to be substantially free of error with the exception of some sequencing related error. Also as described above, key element 207 is employed for quality control purposes and it also useful as a positional reference in the same context. Thus, in the present example primer 205 and/or key 207 may serve as easily identifiable anchor points of reference for identifying UID 210 using the known positional relationships between elements. For instance, a user or algorithm, such as an algorithm implemented by application 135, may look for UID 210 located immediately adjacent to key 207, or some known distance away, based, at least in part, upon the assumptions.

Furthermore, once a user or algorithm has identified the sequence composition of a putative UID 210 element, the step of error identification and correction occurs. Embodiments of the presently described invention compare the sequence composition of the putative UID 210 element against the sequence compositions of the UID 210 members in the set. A perfect match is associated with its sample of origin. If no perfect match is found, then the closest UID 210 elements having a sequence composition to the putative sequence are analyzed to determine possible insertion, deletion, or substitution errors that could have occurred. For example, the closest UID 210 element to the putative UID 210 element is



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identified or the putative UID 210 element is deemed to have too many errors. In the present example, the minimum edit distance may be computed between sequence composition of the putative UID 210 element against the sequence composition of all members of the UID 210 set or select members. The minimum edit distance may be computed using the parameters of detecting up to 3 sequence position errors with the possibility of correcting up to 2 sequence position errors. In the present example, the UID 210 member with the closest or shortest minimum edit distance to the putative UID 210 element given the parameter constraints (i.e. detection/correction) may be assigned as the sequence composition of the putative UID 210 element. Also, if the minimum edit distance calculation determines that 3 sequence position errors have occurred then, the putative UID 210 element may be assigned as unusable and not associated with a sample of origin.

Those of ordinary skill in the art will appreciate that when the UID 210 elements are employed in a combinatorial manner, each UID 210 element is typically independently analyzed. Then the combination of identified UID 210 elements may be compared against the known combinations assigned to samples of origin to identify the association of the sequence data and its specific sample of origin.

In preferred embodiments, a UID 210 finding algorithm is implemented using application 135 stored for execution on computer 130 as described above. Further, the same or other application may perform the step of associating the identified UID 210 from sequence data with the sample of origin and providing the results to a user via an interface and/or storing the results in electronic media for subsequent analysis or use.

**Example 1- Design of UID elements considering a limited number of design constraints**

The design of sequence composition for potential UID elements were computed considering detection, correction, and hairpin design constraints.

First a sequence length of 10 base pairs for each UID element were computed yielding 1,048,576 possible elements.

Next, of those possible elements UID elements were selected that have no monomer repeats, require only 5 flow cycles (20 flows) or less, do not begin with the "G" nucleotide species were computed yielding 34,001 possible elements.

A further step of filtering to exclude hairpins at a temperature of 40°C with a $\Delta G$=-1.5 yielded 26,278 possible elements.



QIAGEN Exhibit 1013.0230

Finally, 5,000 of those possible elements were selected randomly to search for compatible sets or clusters that could correct 2 sequence position errors and detect 3 sequence position errors, yielding:

32,999 sets of 12 members

3,625 sets of 13 members

24 sets of 14 members

**Example 2- Exemplary computer code for creating UID sequence elements**

UIDCreate.java class file that runs a search using 1 of 3 techniques, comprising (1) based on error clouds, (2) based on edit distance, and (3) based on edit distance, with an additional efficiency strategy of using a "safety map" to precompute the edit distance which gives the software the ability to effectively look ahead in the search in advance of trying candidate selections.

```
package com.fourfivefour.amplicons;

import java.util.ArrayList;
import java.util.Arrays;
import java.util.Comparator;
import java.util.HashMap;
import java.util.HashSet;
import java.util.Iterator;
import java.util.List;
import java.util.Map;
import java.util.Set;

public class UIDCreate {
        static int maxReportSize = 0;

        public enum SearchType { ErrorCloud, EditDistance, SafetyMapEditDistance; }

        /**
         * Driver to search for a compatible set of UID sequences of a given set size
         * using one of three different search methods.
         *
         * @param candidateSequences  A set of sequences from which to select.
         * @param setSize             The desired number of sequences in the
         *                                                    solution.
         * @param errsToCorrect               The number of errors that must be able to be
         *                    corrected to obtain the original sequence.
         * @param errsToDetect        The number of errors that must be able to be
         *                    detected, but not necessarily corrected.
         * @param searchType                  The search strategy to use.
         * @return                                    A set of sequences of the requested set
size
```

```
         *                    that is a subset of the candidate sequences
         *                    and which can be distinguished according to
         *                    the error correction criteria.
         */
        public static Set<Sequence> searchCompatibleSet(Set<Sequence>
candidateSequences,
                        int setSize, int errsToCorrect, int errsToDetect, SearchType
searchType) {

                if (errsToCorrect > errsToDetect) {
                        throw new RuntimeException("The numbers of errors to correct
("+errsToCorrect+
                                                        ") must be <= the
number to detect ("+errsToDetect+")");
                }

                List<Sequence> candidates = new
ArrayList<Sequence>(candidateSequences);

                switch (searchType) {
                        case ErrorCloud:
                                return searchCompatibleSetUsingErrorClouds(candidates,
                                                setSize, errsToCorrect, errsToDetect, new
HashMap<Sequence,List<Set<Sequence>>>());
                        case EditDistance:
                                return searchCompatibleSetUsingEditDistance(candidates,
                                                setSize, errsToCorrect, errsToDetect, new
HashSet<Sequence>()
                                                );
                        case SafetyMapEditDistance:
                                return
searchCompatibleSetUsingSafetyMap(candidateSequences,

                 setSize, errsToCorrect, errsToDetect);
                        default:
                                return null;
                }
        }


        /**
         * Return a string representing the current search state.
         *
         * The resulting string encodes the current subset of sequences currently
         * under consideration, independent of the order in which they are
         * being considered.  By keeping track of this string one may ensure
         * that equivalent regions of the search space that just happen to
         * encounter sequences in a different order are not redundantly searched
         *
         * @param currentState  A set of sequences defining the current
```



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```
         *                search state.
         * @return          A string that is unique for a set of sequences
         *                and independent of their order.
         */
        public static String searchStateString (Set<Sequence> currentState) {
                Sequence [] currentStateArray = currentState.toArray(new Sequence[0]);
                Arrays.sort(currentStateArray);
                StringBuffer sb = new StringBuffer();
                for (Sequence state : currentStateArray) {
                        sb.append(state.getSequence());
                        sb.append(';');
                }
                return sb.toString();
        }


        /**
         * From the set of candidates, select a set of compatible sequences that
         * can correct and detect the desired number of errors.
         *
         * This strategy uses a pre-calculated edit distance between pairs of
         * sequences to know, in advance, which sequences are compatible with
         * each other.  This pair-wise information forms a "safety map" of
         * compatible pairs that allow more efficient forward-looking knowledge
         * of what sequences will still be compatible after other sequences
         * are added to the solution set.
         *
         * @param candidateSequences Sequence set from which to select.
         * @param setSize          The desired set size to generate.
         * @param errsToCorrect     The numbers of errors that must be able
         *                        to be corrected.
         * @param errsToDetect      The number of errors that must merely be
         *                        detected.
         *
         * @return A set of sequences that meet the desired criteria.
         */
        public static Set<Sequence> searchCompatibleSetUsingSafetyMap (
                        Set<Sequence> candidateSequences,
                        int setSize, int errsToCorrect, int errsToDetect)
        {
                Map<Sequence,Set<Sequence>> safetyMap = new
HashMap<Sequence,Set<Sequence>>();

                /* Safety map is computed on a subset of the candidates in
                 * case there are too many candidates.
                 */
                final int maxSubsetSize = 3000;

                Sequence[] fullSequenceList = candidateSequences.toArray(new
Sequence[0]);
```



QIAGEN Exhibit 1013.0233

```
            final int numSequencesToUse =
Math.min(maxSubsetSize,candidateSequences.size());

            /* Compute the safety map, possibly using a subset of the sequences.
             * An alternative/preferential implementation might choose a random subset
             * of the sequences rather than just the fist numSequencesToUse that are
             * encountered.
             */

            for (int i=0; i < numSequencesToUse; i++) {
                Set<Sequence> iSafety = new HashSet<Sequence>();
                iSafety.add(fullSequenceList[i]);
                safetyMap.put(fullSequenceList[i], iSafety);
            }

            /* Create the safety map, ensuring that there is enough distance
             * between every pair of sequences such that sequences as far away
             * as the distance of error detection from one sequence and error
             * correction from the other sequence could not possibly overlap
             */
            int safeDistance = errsToCorrect + errsToDetect + 1;
            for (int i=0; i < numSequencesToUse; i++) {
                Set<Sequence> iSafety = safetyMap.get(fullSequenceList[i]);
                for (int j=i+1; j < numSequencesToUse; j++) {
                    Set<Sequence> jSafety = safetyMap.get(fullSequenceList[j]);

                    if (Library.minEditDistance(fullSequenceList[i],

        fullSequenceList[j])
                                                                    >=
safeDistance) {
                        iSafety.add(fullSequenceList[j]);
                        jSafety.add(fullSequenceList[i]);
                    }
                }
            }

            // Perform that actual search with the safety-map in hand
            return searchCompatibleSetUsingSafetyMap(safetyMap.keySet(),setSize,
                    errsToCorrect,errsToDetect,
                    safetyMap,new HashSet<Sequence>(), new
HashSet<String>());
        }

        /**
         * From the set of candidates, select a set of compatible sequences that
         * can correct and detect the desired number of errors.
         *
         * This strategy uses a pre-calculated edit distance between pairs of
         * sequences to know, in advance, which sequences are compatible with
```

```
     * each other.  This pair-wise information forms a "safety map" of
     * compatible pairs that allow more efficient forward-looking knowledge
     * of what sequences will still be compatible after other sequences
     * are added to the solution set.
     *
     * @param candidateSequences Sequence set from which to select.
     * @param setSize          The desired set size to generate.
     * @param errsToCorrect    The numbers of errors that must be able
     *                         to be corrected.
     * @param errsToDetect     The number of errors that must merely be
     *                         detected.
     * @param safetyMap        The map indicating the set of sequences
     *                         that are compatible with any given other
     *                         sequence.
     * @param selectedSequences  The current set of sequences selected in
     *                         the partial solution so far.
     * @param searchStateHistory A history of what subsets of sequences have
     *                         already been considered.
     *
     * @return A set of sequences that meet the desired criteria.
     */
    public static Set<Sequence> searchCompatibleSetUsingSafetyMap (
                    Set<Sequence> candidateSequences, int setSize,
                    int errsToCorrect, int errsToDetect,
                    Map<Sequence,Set<Sequence>> safetyMap,
                    Set<Sequence> selectedSequences,
                    Set<String> searchStateHistory) {


            String searchStateString = searchStateString(selectedSequences);
            if (searchStateHistory.contains(searchStateString)) {
                    /* some other branch of the search has already explored this area
                     * so no need to search twice
                     */
                    return null;
            } else {
                    /*
                     * Record that we are initiating a search in the given state
                     */
                    searchStateHistory.add(searchStateString);
            }

            if (selectedSequences.size() > maxReportSize) {
                    // Provide intermediate reporting to show progress
                    maxReportSize = selectedSequences.size();
                    reportSet(selectedSequences);
            }
            if (selectedSequences.size() >= setSize) {
                    return selectedSequences;
            }
```



QIAGEN Exhibit 1013.0235

```
                if (selectedSequences.size() + candidateSequences.size() < setSize) {
                        // If there aren't enough candidates to fill out the required set size,
                        // return immediately with failure.
                        return null;
                }

                /* find the candidate Sequence with the greatest number of compatible choices
of the
                 * Sequences still available:
                 */
                final Map<Sequence,Integer> remainingSafetyMapSize = new
HashMap<Sequence,Integer>();
                Sequence candidates[] = candidateSequences.toArray(new Sequence[0]);
                for (Sequence sequence : candidates) {
                        Set<Sequence> currentSafety = new
HashSet<Sequence>(safetyMap.get(sequence));
                        currentSafety.retainAll(candidateSequences);
                        remainingSafetyMapSize.put(sequence,currentSafety.size());
                }

                Comparator<Sequence> candidateSorter = new Comparator<Sequence>() {
                        public int compare(Sequence seq1, Sequence seq2) {
                                int seq1Val = remainingSafetyMapSize.get(seq1);
                                int seq2Val = remainingSafetyMapSize.get(seq2);
                                if (seq1Val > seq2Val) {
                                        return -1;
                                } else if (seq1Val < seq2Val) {
                                        return 1;
                                } else {
                                        return (seq1).compareTo(seq2);
                                }
                        }
                };

                Arrays.sort(candidates,candidateSorter);

                Set<Sequence> result = null;
                final int searchBreadth = 10;
                for (int i=0; i < candidates.length && i < searchBreadth && result == null;
i++) {
                        Sequence nextCandidate = candidates[i];
                        int numNextCompatible =
remainingSafetyMapSize.get(nextCandidate);
                        if (numNextCompatible == 1) {
                                /* the next candidate is only compatible with itself, so
                                 * the search is done
                                 */
                                break;
                        } else {
```



QIAGEN Exhibit 1013.0236

```
                                Set<Sequence> nextCandidateSequences =
                                        new HashSet<Sequence>(candidateSequences);

            nextCandidateSequences.retainAll(safetyMap.get(nextCandidate));
                                nextCandidateSequences.remove(nextCandidate);
                                Set<Sequence> nextSelectedSeqs = new
    HashSet<Sequence>(selectedSequences);
                                nextSelectedSeqs.add(nextCandidate);
                                result =

            searchCompatibleSetUsingSafetyMap(nextCandidateSequences,

             setSize,

             errsToCorrect,

             errsToDetect,

             safetyMap,

             nextSelectedSeqs,

             searchStateHistory);
                        }
                }
                return result;
        }


        /**
         * Generate the "error cloud" sequence sets out to the indicated number
         * of mutations of the given input sequence.
         *
         * This routine implements a breadth-first enumeration of all possible
         * mutations of a given sequence, while avoiding redundant, equivalent
         * subtrees of the search space.
         *
         * @param inputSequence
         *          The sequence to mutate.
         * @param numMutations
         *          The number of plys of mutations to generate
         * @return A list of sets of mutated sequences such that the i'th list
         *      element represents the set of mutated sequences that may
         *      derived via i mutations from the initial sequence and, further,
         *      cannot be derived by fewer than i mutations of the original
         *      sequence.
         */
        public static List<Set<Sequence>> generateErrorClouds(
                        Sequence inputSequence, int numMutations) {
```



QIAGEN Exhibit 1013.0237

```
        List<Set<Sequence>> mutationPlys = new ArrayList<Set<Sequence>>();

        // The 0'th mutation ply is simply the initial sequence itself:
        Set<Sequence> initialPly = new HashSet<Sequence>();
        initialPly.add(inputSequence);
        mutationPlys.add(initialPly);

        for (int ply = 1; ply <= numMutations; ply++) {
            Set<Sequence> lastPlySequences =
                mutationPlys.get(ply - 1);
            Set<Sequence> nextPlyCandidates =
                Sequence.generateSingleMutations(lastPlySequences);
            Iterator<Sequence> candidateIter =
                nextPlyCandidates.iterator();
            /* Remove any candidates that appeared in a previous ply
             * (meaning that they are derivable via a shorter,
             *  more direct sequence of mutations).
             */
            while (candidateIter.hasNext()) {
                Sequence candidate = candidateIter.next();
                for (Set<Sequence> previousPly : mutationPlys) {
                    if (previousPly.contains(candidate)) {
                        candidateIter.remove();
                        break;
                    }
                }
            }

            // Candidates that remain at this point represent the next ply
            mutationPlys.add(nextPlyCandidates);
        }
        return mutationPlys;
    }


    /**
     * Validate the given collection of sequences to ensure that they
     * are compatible with respect to the desired number of errors
     * to correct and detect.
     *
     * Two sequences are compatible if there is no intersection of the
     * error cloud out to the correction distance of either sequence with
     * the error cloud out to the detection distance of the other sequence.
     * If all pairs of sequences in a collection of sequences are compatible,
     * then the collection itself is compatible.
     *
     * This definition of compatibility logically follows from the fact
     * that incompatibilities exist when a potentially observable sequence
     * could be derived, via mutation, from more than one sequence
     * in the collection (thereby preventing a definitive correction to be
```

```
         * performed) and if that observable sequence is within the desired
         * error correction distance of any of those sequences.  Note that
         * mutated sequences that are within the error detection distance of
         * two sequences are not a problem as there is no expectation of being
         * able to correct such mutated sequences (only to detect that a
         * mutation has occurred).
         *
         * @param sequences          The collection of sequences to test.
         * @param errsToCorrect The desired number of errors to correct.
         * @param errsToDetect  The desired number of errors to detect.
         * @return true, if the collection of sequences are compatible,
         *       false otherwise.
         */
        public static boolean validateCollection(Set<Sequence> sequences,
                                                                    int
errsToCorrect,
                                                                    int
errsToDetect)
        {
                /* First generate the error clouds for each sequence and
                 * collapse the separate cloud levels into two sets: those
                 * sequences within the "errsToCorrect" distance of the
                 * sequence center, and those within the the "errsToDetect"
                 * distance from the center.
                 */
                Map<Sequence,Set<Sequence>> correctLevelMap =
                        new HashMap<Sequence,Set<Sequence>>();
                Map<Sequence,Set<Sequence>> detectLevelMap =
                        new HashMap<Sequence,Set<Sequence>>();
                for (Sequence sequence: sequences) {
                        List<Set<Sequence>> errorClouds =
                                generateErrorClouds(sequence, errsToDetect);
                        Set<Sequence> errsToCorrectSequences = new HashSet<Sequence>();
                        for (int errLevel=0; errLevel <= errsToCorrect; errLevel++) {
                                errsToCorrectSequences.addAll(errorClouds.get(errLevel));
                        }
                        Set<Sequence> errsToDetectSequences =
                                new HashSet<Sequence>(errsToCorrectSequences);
                        for (int errLevel=errsToCorrect+1; errLevel <= errsToDetect;
                                 errLevel++) {
                                errsToDetectSequences.addAll(errorClouds.get(errLevel));
                        }
                        correctLevelMap.put(sequence,errsToCorrectSequences);
                        detectLevelMap.put(sequence,errsToDetectSequences);
                }

                /* Validate that none of the mutations out to the "errsToDetect"
                 * error distance of one sequence are in common with any of the
                 * mutations out to the "errsToCorrect" error distance another
                 * sequence
```



QIAGEN Exhibit 1013.0239

```
                */
                Sequence seqList[] = sequences.toArray(new Sequence[0]);
                boolean foundOverlap = false;

                for (int i=0; !foundOverlap && i < seqList.length; i++) {
                        for (int j=0; !foundOverlap && j < seqList.length; j++) {
                                if (i == j) {
                                        continue;
                                }
                                Set<Sequence> overlapSet =
                                        new
HashSet<Sequence>(detectLevelMap.get(seqList[i]));
                                overlapSet.retainAll(correctLevelMap.get(seqList[j]));
                                foundOverlap = !overlapSet.isEmpty();
                        }
                }

                return !foundOverlap;
        }

        /**
         * Validate the given collection of sequences to ensure that they
         * are compatible with respect to the desired number of errors
         * to correct and detect.
         *
         * Two sequences are compatible if there is no intersection of the
         * error cloud out to the correction distance of either sequence with
         * the error cloud out to the detection distance of the other sequence.
         * If all pairs of sequences in a collection of sequences are compatible,
         * then the collection itself is compatible.
         *
         * This definition of compatibility logically follows from the fact
         * that incompatibilities exist when a potentially observable sequence
         * could be derived, via mutation, from more than one sequence
         * in the collection (thereby preventing a definitive correction to be
         * performed) and if that observable sequence is within the desired
         * error correction distance of any of those sequences.  Note that
         * mutated sequences that are within the error detection distance of
         * two sequences are not a problem as there is no expectation of being
         * able to correct such mutated sequences (only to detect that a
         * mutation has occurred).
         *
         * This routine performs the calculation without creating the
         * actual error clouds, but instead uses the minimum edit distance
         * between sequences to ensure compatibility.
         *
         * @param sequences         The collection of sequences to test.
         * @param errsToCorrect The desired number of errors to correct.
         * @param errsToDetect  The desired number of errors to detect.
         * @return true, if the collection of sequences are compatible,
```

```
         *       false otherwise.
         */
        public static boolean validateCollectionUsingDistance(
                                                    Set<Sequence> sequences,
                                                    int errsToCorrect, int errsToDetect) {
                Sequence seqList[] = sequences.toArray(new Sequence[0]);
                /* The error detection cloud and error correction cloud of two
                 * sequences cannot overlap if the minimum distance between the
                 * sequences is one greater than the sum of the errors.
                 */
                int safeDistance = errsToCorrect + errsToDetect + 1;
                for (int i=0; i < seqList.length; i++) {
                        for (int j=i+1; j < seqList.length; j++) {
                                int ijDist= Library.minEditDistance(seqList[i],seqList[j]);
                                if (ijDist < safeDistance) {
                                        System.out.println("Validation failed, dist = "+ijDist+"
for "+seqList[i]+" vs "+seqList[j]);
                                        return false;
                                }
                        }
                }
                return true;
        }


        /**
         * From the set of candidates, select a set of compatible sequences that
         * can correct and detect the desired number of errors.
         *
         * This strategy uses the edit distance between pairs of sequences
         * to ensure that they do not overlap in a manner that would prevent
         * error detection/correction. This technique is much more efficient
         * than explicitly enumerating and comparing the error clouds between
         * sequences.
         *
         * @param candidateSequences Sequence set from which to select.
         * @param setSize          The desired set size to generate.
         * @param errsToCorrect     The numbers of errors that must be able
         *                  to be corrected.
         * @param errsToDetect      The number of errors that must merely be
         *                  detected.
         * @param currentSequences   State of search indicating the currently
         *                  selected candidates.
         *
         * @return A set of sequences that meet the desired criteria.
         */
        public static Set<Sequence> searchCompatibleSetUsingEditDistance (
                        List<Sequence> candidateSequences, int setSize,
                        int errsToCorrect, int errsToDetect,
                        Set<Sequence> currentSequences) {
```



QIAGEN Exhibit 1013.0241

```
                if (currentSequences.size() > maxReportSize) {
                        /**
                         * Provide intermediate level reporting to ensure progress
                         * is being made.
                         */
                        maxReportSize = currentSequences.size();
                        reportSet(currentSequences);
                }
                if (currentSequences.size() >= setSize) {
                        return currentSequences;
                }

                /* The error detection cloud and error correction cloud of two
                 * sequences cannot overlap if the minimum distance between the
                 * sequences is one greater than the sum of the errors.
                 */
                int safeDistance = errsToCorrect + errsToDetect + 1;

                for (int nextIdx = 0; nextIdx < candidateSequences.size(); nextIdx++) {
                        /* Check to see that nextSequence is far enough away from all the
                         * other sequences in the prefix solution.
                         */
                        Sequence nextSequence = candidateSequences.get(nextIdx);
                        boolean overlappingClouds = false;
                        for (Sequence currentSequence : currentSequences) {
                                if (Library.minEditDistance(currentSequence,nextSequence) <
    safeDistance) {
                                                overlappingClouds = true;
                                                break;
                                }
                        }

                        if (!overlappingClouds) {
                                List<Sequence> remainingCandidates =
                                        candidateSequences.subList(nextIdx+1,
    candidateSequences.size());
                                currentSequences.add(nextSequence);

                                Set<Sequence> solution =
                                        searchCompatibleSetUsingEditDistance(
                                                remainingCandidates,
                                                setSize, errsToCorrect, errsToDetect,
                                                currentSequences);
                                if (solution == null) {
                                        currentSequences.remove(nextSequence);
                                } else {
                                        return solution;
                                }
                        }
```



QIAGEN Exhibit 1013.0242

```
            }
            return null;
        }

        /**
         * From the set of candidates, select a set of compatible sequences that
         * can correct and detect the desired number of errors.
         *
         * This strategy uses an explicit enumeration of the "error clouds"
         * surrounding the candidate sequences to ensure that they do not
         * overlap in a manner that would prevent error detection/correction.
         * This technique may not be appropriate, efficient, or even practically
         * usable for large error clouds.
         *
         * @param candidateSequences Sequence set from which to select.
         * @param setSize          The desired set size to generate.
         * @param errsToCorrect     The numbers of errors that must be able
         *                         to be corrected.
         * @param errsToDetect      The number of errors that must merely be
         *                         detected.
         * @param currentErrorClouds State of search mapping from the current
         *                         selected candidates and their corresponding
         *                         error clouds.
         * @return A set of sequences that meet the desired criteria.
         */
        public static Set<Sequence> searchCompatibleSetUsingErrorClouds(List<Sequence>
candidateSequences,
                                                                        int
setSize,
                                                                        int
errsToCorrect, int errsToDetect,

Map<Sequence, List<Set<Sequence>>> currentErrorClouds) {

            if (currentErrorClouds.size() > maxReportSize) {
                /**
                 * Provide intermediate level reporting to ensure progress
                 * is being made.
                 */
                maxReportSize = currentErrorClouds.size();
                reportSet(currentErrorClouds.keySet());
            }
            if (currentErrorClouds.size() >= setSize) {
                return currentErrorClouds.keySet();
            }

            for (int nextIdx = 0; nextIdx < candidateSequences.size(); nextIdx++) {
                Sequence nextSequence = candidateSequences.get(nextIdx);
                List<Set<Sequence>> nextErrorCloud =
                        generateErrorClouds(nextSequence, errsToDetect);
```



QIAGEN Exhibit 1013.0243

```
                    /*
                     * Check to see that nextErrorCloud doesn't overlap with any of the
                     * currentErrorClouds except possibly in the errsToDetect category,
                     * where it can only overlap with other errsToDetect distant clouds
                     */
                    boolean overlappingClouds = false;
                    for (List<Set<Sequence>> currentClouds :
currentErrorClouds.values()) {
                        for (int currentErrorLevel = 0; !overlappingClouds
                                && currentErrorLevel <= errsToCorrect;
currentErrorLevel++) {
                            for (int nextErrorLevel = 0; !overlappingClouds
                                    && nextErrorLevel <= errsToDetect;
nextErrorLevel++) {
                                Set<Sequence> currentLevelErrorCloud =
currentClouds.get(currentErrorLevel);
                                for (Sequence nextErrorSequence :
nextErrorCloud.get(nextErrorLevel)) {
                                    if
(currentLevelErrorCloud.contains(nextErrorSequence)) {
                                        overlappingClouds = true;
                                        break;
                                    }
                                }
                            }
                        }
                    }
                    /*
                     * Check to see that none of the error clouds surrounding the current
                     * codes in the range of errors to merely detect overlap with the
                     * nextErrorCloud clouds in the range of errors to correct
                     */
                    if (!overlappingClouds) {
                        for (List<Set<Sequence>> currentClouds :
currentErrorClouds.values()) {
                            for (int currentErrorLevel = errsToCorrect+1;
!overlappingClouds
                                    && currentErrorLevel <= errsToDetect;
currentErrorLevel++) {
                                for (int nextErrorLevel = 0; !overlappingClouds
                                        && nextErrorLevel <=
errsToCorrect; nextErrorLevel++) {
                                    Set<Sequence> currentLevelErrorCloud
= currentClouds.get(currentErrorLevel);
                                    for (Sequence nextErrorSequence :
nextErrorCloud.get(nextErrorLevel)) {
                                        if
(currentLevelErrorCloud.contains(nextErrorSequence)) {
                                            overlappingClouds = true;
```



QIAGEN Exhibit 1013.0244

```
                                                    break;
                                                }
                                            }
                                        }
                                    }
                                }

                                if (!overlappingClouds) {
                                    List<Sequence> remainingCandidates =
                                        candidateSequences.subList(nextIdx+1,
candidateSequences.size());
                                    currentErrorClouds.put(nextSequence, nextErrorCloud);

                                    Set<Sequence> solution =
searchCompatibleSetUsingErrorClouds(
                                                    remainingCandidates,
                                                    setSize, errsToCorrect, errsToDetect,
currentErrorClouds);
                                    if (solution == null) {
                                        currentErrorClouds.remove(nextSequence);
                                    } else {
                                        return solution;
                                    }
                                }
                            }
                            return null;
                        }

                        /**
                         * Generate the set of all possible flow patterns that would produce
                         * sequences of a given length, with no monomer repeats, using at most
                         * a given number of flows, and avoiding a given starting flow as the
                         * first positive flow of the pattern.
                         *
                         * @param numBases      The number of called bases that should
                         *                      be produced if the given flowgram were
                         *                      observed for a sequence.
                         * @param startFlow     The conceptual flow index of the first
                         *                      flow in the recursive call to this routine.
                         * @param maxFlow       The maximum number of flows (positive or
                         *                      negative) that may be consumed by the pattern.
                         * @param avoidStartFlow  A flow that may not be the first positive flow.
                         * @return Set of flow patterns (Strings of 0's and 1's representing
                         *      negative and positive flows that meet the desired
                         *      criteria).
                         */
                        public static Set<String> generateCandidateFlowPatterns(int numBases,
                                int startFlow, int maxFlow, int avoidStartFlow) {
                            Set<String> candidates = new HashSet<String>();
```

```
                if (numBases > 0) {
                        if (startFlow == maxFlow) {
                                return candidates;
                        } else {
                                String zeroPrefix = "";
                                for (int flowSkip = 0; flowSkip < (startFlow == 0 ? 4 : 3);
flowSkip++) {
                                        int nextPositiveFlow = startFlow + flowSkip;
                                        if (nextPositiveFlow < maxFlow
                                                        && (startFlow > 0 || nextPositiveFlow !=
avoidStartFlow)) {
                                                String currentPrefix = zeroPrefix + "1";
                                                for (String candidateSuffix :
generateCandidateFlowPatterns(
                                                                numBases - 1, nextPositiveFlow
+ 1, maxFlow,
                                                                avoidStartFlow)) {
                                                        candidates.add(currentPrefix +
candidateSuffix);
                                                }
                                        }
                                        zeroPrefix += "0";
                                }
                        }
                } else {
                        candidates.add("");
                }
                return candidates;
        }

        /**
         * Generate a set of candidate sequences of a given base content length, using
         * a maximum number of flow cycles, based on the given flow order such that
         * none of the sequences begin with a particular base.
         *
         * @param numBases   Number of bases each candidate sequence should be.
         * @param maxCycles  Maximum number of flow cycles allowed.
         * @param flowOrder  Flow order for sequencing.
         * @param avoidStartBase Base to avoid at start of sequence.
         * @return Candidate set of sequences that meet the given criteria.
         */
        public static Set<Sequence> generateCandidateSequences(int numBases, int
maxCycles,
                        String flowOrder, char avoidStartBase)
        {
                Set<String> candidateFlows =
                        generateCandidateFlowPatterns(numBases,
                                                        0,
                                                        maxCycles*4,
```



QIAGEN Exhibit 1013.0246

```
flowOrder.indexOf(avoidStartBase));

                Set<Sequence> candidateSequences = new HashSet<Sequence>();
                for (String flows : candidateFlows) {
                        Flowgram f = new
Flowgram(flowOrder,Flowgram.flowValueStringToFlowValues(flows));
                        candidateSequences.add(new Sequence(f.baseCall()));
                }

                /*
                 * At this point, one might further filter the candidate sequences by some
                 * molecular biological criteria, such as propensity to form hairpin turns
                 */
                return candidateSequences;
        }


        /**
         * Produce a printed representation of a set of sequences
         * assuming a default flow oder of TACG.
         *
         * @param sequences  The set of sequences to report.
         */
        public static void reportSet(Set<Sequence> sequences) {
                reportSet(sequences, "TACG");
        }

        /**
         * Produce a printed representation of a set of sequences
         * along with their conceptual flowgrams, assuming the
         * given flow order.
         *
         * @param sequenceSet The set of sequences to report.
         * @param flowOrder   The flow order that would be used
         *                    in sequencing.
         */

        public static void reportSet(Set<Sequence> sequenceSet,String flowOrder) {
                Sequence sequences[] = sequenceSet.toArray(new Sequence[0]);
                Arrays.sort(sequences);

                for (int i = 0; i < sequences.length; i++) {
                        System.out.println("Sequence #" + (i + 1) + "\t"
                                        + new
Flowgram(flowOrder,sequences[i].getSequence()).getFlowValueString() + "\t"
                                        + sequences[i].getSequence());
                }
                System.out.println("---------");
                System.out.flush();
```



QIAGEN Exhibit 1013.0247

```
    }

    /**
     * Example use of search code to generate a set of compatible
     * sequences that meet given design criteria of base composition,
     * maximum flow usage, and ability to correct and detect errors.
     *
     * @param args
     */
    public static void main(String[] args) {
        char fivePrimeAvoidBase    = 'G';
        final String flowOrder     = "TACG";
        final int   uidBaseLength  = 10;
        final int   uidMaxCycles   = 5;
        final int   errorsToCorrect = 2;
        final int   errorsToDetect  = 3;
        final int   desiredSetSize  = 12;
        System.out.println("Computation Begun");

        Set<Sequence> sequenceSet =
            generateCandidateSequences(uidBaseLength,
                                       uidMaxCycles,
                                       flowOrder,
                                       fivePrimeAvoidBase);
        System.out.println("Total candidate sequencess=" + sequenceSet.size());

        Set<Sequence> compatibleSequences =
            searchCompatibleSet(sequenceSet,desiredSetSize,
                                errorsToCorrect,errorsToDetect,
                                SearchType.EditDistance);
        if (compatibleSequences == null) {
            System.out.println("No solution");
        } else {
            reportSet(compatibleSequences,flowOrder);
        }
    }
}
```

It will be appreciated that the foregoing computer code is provided for the purposes of example, and that numerous alternative methods and code structures may be employed. It will also be appreciated that the exemplary code provided herein is not intended to execute as a stand alone application or to run perfectly without additional computer code or modification.

**Example 3- Table of computed UID sequences, cluster ID, and Flowgram script**

| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|

| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127176 | 14 | 01100101010110011010 | ACAGAGTGTC | 10 | 7 |
| C1127176 | 14 | 01111010100101010100 | ACGTCTGAGA | 10 | 8 |
| C1127176 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 9 |
| C1127176 | 14 | 01001010110010101011 | ATCTATCTCG | 10 | 10 |
| C1127176 | 14 | 00110100111100111000 | CGATACGCGT | 10 | 11 |
| C1127176 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 12 |
| C1127176 | 14 | 00111101010011010010 | CGTAGATAGC | 10 | 13 |
| C1127176 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 14 |
| C1127176 | 14 | 00101010011001110110 | CTCACACGAC | 10 | 15 |
| C1127176 | 14 | 11101010010010111000 | TACTCATCGT | 10 | 16 |
| C1127176 | 14 | 11010011010011100100 | TAGCGATACA | 10 | 17 |
| C1127176 | 14 | 11001001110111001000 | TATGTAGTAT | 10 | 18 |
| C1127176 | 14 | 10101001001101101001 | TCTGCGACTG | 10 | 19 |
| C1127176 | 14 | 10010110010110100101 | TGACAGTCAG | 10 | 20 |
| C1127177 | 14 | 01101101001101010100 | ACTAGCGAGA | 10 | 21 |
| C1127177 | 14 | 01010111010011001100 | AGACGATATA | 10 | 22 |
| C1127177 | 14 | 01001010100101111010 | ATCTGACGTC | 10 | 23 |
| C1127177 | 14 | 01001001101011010011 | ATGTCTAGCG | 10 | 24 |
| C1127177 | 14 | 00110100111100111000 | CGATACGCGT | 10 | 25 |
| C1127177 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 26 |
| C1127177 | 14 | 00111010011001010110 | CGTCACAGAC | 10 | 27 |
| C1127177 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 28 |
| C1127177 | 14 | 11101010010101001001 | TACTCAGATG | 10 | 29 |
| C1127177 | 14 | 11010010011010101010 | TAGCACTCTC | 10 | 30 |
| C1127177 | 14 | 11001100111001100100 | TATATACACA | 10 | 31 |
| C1127177 | 14 | 10100100101110100101 | TCATCGTCAG | 10 | 32 |
| C1127177 | 14 | 10010101100100110110 | TGAGTGCGAC | 10 | 33 |
| C1127177 | 14 | 10011001010111011000 | TGTGAGTAGT | 10 | 34 |
| C1127178 | 14 | 01100110101010010110 | ACACTCTGAC | 10 | 35 |
| C1127178 | 14 | 01010101010101101001 | AGAGAGACTG | 10 | 36 |
| C1127178 | 14 | 01001111110010101000 | ATACGTATCT | 10 | 37 |
| C1127178 | 14 | 01001011101101010100 | ATCGTCGAGA | 10 | 38 |
| C1127178 | 14 | 00100110010111011100 | CACAGTAGTA | 10 | 39 |
| C1127178 | 14 | 00110100111100111000 | CGATACGCGT | 10 | 40 |
| C1127178 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 41 |
| C1127178 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 42 |
| C1127178 | 14 | 00101001110101001011 | CTGTAGATCG | 10 | 43 |
| C1127178 | 14 | 11101001010100110010 | TACTGAGCGC | 10 | 44 |
| C1127178 | 14 | 11010010101111001000 | TAGCTCGTAT | 10 | 45 |
| C1127178 | 14 | 11001100111001100100 | TATATACACA | 10 | 46 |
| C1127178 | 14 | 10110010011001101010 | TCGCACACTC | 10 | 47 |
| C1127178 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 48 |
| C1127179 | 14 | 01101011011111000000 | ACTCGACGTA | 10 | 49 |
| C1127179 | 14 | 01010110100111010100 | AGACTGTAGA | 10 | 50 |
| C1127179 | 14 | 01010101010101101001 | AGAGAGACTG | 10 | 51 |



QIAGEN Exhibit 1013.0249

| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127179 | 14 | 01001001101011010011 | ATGTCTAGCG | 10 | 52 |
| C1127179 | 14 | 00100110111011001001 | CACTACTATG | 10 | 53 |
| C1127179 | 14 | 00110100111100111000 | CGATACGCGT | 10 | 54 |
| C1127179 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 55 |
| C1127179 | 14 | 00111010011001010110 | CGTCACAGAC | 10 | 56 |
| C1127179 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 57 |
| C1127179 | 14 | 11110101001001010010 | TACGAGCAGC | 10 | 58 |
| C1127179 | 14 | 11010010010010111001 | TAGCATCGTG | 10 | 59 |
| C1127179 | 14 | 11001110011010100100 | TATACACTCA | 10 | 60 |
| C1127179 | 14 | 10101001100110010110 | TCTGTGTGAC | 10 | 61 |
| C1127179 | 14 | 10011101111001001000 | TGTAGTACAT | 10 | 62 |
| C1127180 | 14 | 01101011010010101010 | ACTCGATCTC | 10 | 63 |
| C1127180 | 14 | 01010110100111010100 | AGACTGTAGA | 10 | 64 |
| C1127180 | 14 | 01010101010101101001 | AGAGAGACTG | 10 | 65 |
| C1127180 | 14 | 01001001101011010011 | ATGTCTAGCG | 10 | 66 |
| C1127180 | 14 | 00100110111011001001 | CACTACTATG | 10 | 67 |
| C1127180 | 14 | 00110100111100111000 | CGATACGCGT | 10 | 68 |
| C1127180 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 69 |
| C1127180 | 14 | 00111010011001010110 | CGTCACAGAC | 10 | 70 |
| C1127180 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 71 |
| C1127180 | 14 | 11110101001001010010 | TACGAGCAGC | 10 | 72 |
| C1127180 | 14 | 11010010010010111001 | TAGCATCGTG | 10 | 73 |
| C1127180 | 14 | 11001110011010100100 | TATACACTCA | 10 | 74 |
| C1127180 | 14 | 10101001100110010110 | TCTGTGTGAC | 10 | 75 |
| C1127180 | 14 | 10011101111001001000 | TGTAGTACAT | 10 | 76 |
| C1127181 | 14 | 01100110011100101001 | ACACACGCTG | 10 | 77 |
| C1127181 | 14 | 01110100101001001101 | ACGATCATAG | 10 | 78 |
| C1127181 | 14 | 01010101010101100110 | AGAGAGACAC | 10 | 79 |
| C1127181 | 14 | 01001110110010010110 | ATACTATGAC | 10 | 80 |
| C1127181 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 81 |
| C1127181 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 82 |
| C1127181 | 14 | 00101111011001011000 | CTACGACAGT | 10 | 83 |
| C1127181 | 14 | 00101001110101001011 | CTGTAGATCG | 10 | 84 |
| C1127181 | 14 | 11010010010110101100 | TAGCAGTCTA | 10 | 85 |
| C1127181 | 14 | 11011001001100111000 | TAGTGCGCGT | 10 | 86 |
| C1127181 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 87 |
| C1127181 | 14 | 10101011001010100110 | TCTCGCTCAC | 10 | 88 |
| C1127181 | 14 | 10010100111011101000 | TGATACTACT | 10 | 89 |
| C1127181 | 14 | 10011010110101010100 | TGTCTAGAGA | 10 | 90 |
| C1127182 | 14 | 01100101101011110000 | ACAGTCTACG | 10 | 91 |
| C1127182 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 92 |
| C1127182 | 14 | 01010010111001001101 | AGCTACATAG | 10 | 93 |
| C1127182 | 14 | 01011010100110010110 | AGTCTGTGAC | 10 | 94 |
| C1127182 | 14 | 01001101010110011100 | ATAGAGTGTA | 10 | 95 |
| C1127182 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 96 |



QIAGEN Exhibit 1013.0250

| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127182 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 97 |
| C1127182 | 14 | 00101110110100101001 | CTACTAGCTG | 10 | 98 |
| C1127182 | 14 | 00101001010101110101 | CTGAGACGAG | 10 | 99 |
| C1127182 | 14 | 11011001001100111000 | TAGTGCGCGT | 10 | 100 |
| C1127182 | 14 | 10100111110010010100 | TCACGTATGA | 10 | 101 |
| C1127182 | 14 | 10111010010101001010 | TCGTCAGATC | 10 | 102 |
| C1127182 | 14 | 10101100111001100100 | TCTATACACA | 10 | 103 |
| C1127182 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 104 |
| C1127183 | 14 | 01110100101100111000 | ACGATCGCGT | 10 | 105 |
| C1127183 | 14 | 01101010110010011001 | ACTCTATGTG | 10 | 106 |
| C1127183 | 14 | 01010010011001101101 | AGCACACTAG | 10 | 107 |
| C1127183 | 14 | 01001110010101011010 | ATACAGAGTC | 10 | 108 |
| C1127183 | 14 | 01001100101010100111 | ATATCTCACG | 10 | 109 |
| C1127183 | 14 | 00100101110011110010 | CAGTATACGC | 10 | 110 |
| C1127183 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 111 |
| C1127183 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 112 |
| C1127183 | 14 | 00101111111001001000 | CTACGTACAT | 10 | 113 |
| C1127183 | 14 | 11001111001010010100 | TATACGCTGA | 10 | 114 |
| C1127183 | 14 | 10110110010010101010 | TCGACATCTC | 10 | 115 |
| C1127183 | 14 | 10110010110101100100 | TCGCTAGACA | 10 | 116 |
| C1127183 | 14 | 10010101100100110110 | TGAGTGCGAC | 10 | 117 |
| C1127183 | 14 | 10011001010111011000 | TGTGAGTAGT | 10 | 118 |
| C1127184 | 14 | 01100111001010100110 | ACACGCTCAC | 10 | 119 |
| C1127184 | 14 | 01110100101100111000 | ACGATCGCGT | 10 | 120 |
| C1127184 | 14 | 01010111010101010100 | AGACGAGAGA | 10 | 121 |
| C1127184 | 14 | 01010010100111001110 | AGCTGTATAC | 10 | 122 |
| C1127184 | 14 | 01001101100101001011 | ATAGTGATCG | 10 | 123 |
| C1127184 | 14 | 00100110111001101001 | CACTACACTG | 10 | 124 |
| C1127184 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 125 |
| C1127184 | 14 | 00111101011101100000 | CGTAGACGAC | 10 | 126 |
| C1127184 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 127 |
| C1127184 | 14 | 11100100110010010101 | TACATATGAG | 10 | 128 |
| C1127184 | 14 | 10101010101101100100 | TCTCTCGACA | 10 | 129 |
| C1127184 | 14 | 10101001010100101101 | TCTGAGCTAG | 10 | 130 |
| C1127184 | 14 | 10010101010011101010 | TGAGATACTC | 10 | 131 |
| C1127184 | 14 | 10011110100110011000 | TGTACTGTGT | 10 | 132 |
| C1127185 | 14 | 01100100101110101001 | ACATCGTCTG | 10 | 133 |
| C1127185 | 14 | 01110010100111011000 | ACGCTGTAGT | 10 | 134 |
| C1127185 | 14 | 01010101010101100110 | AGAGAGACAC | 10 | 135 |
| C1127185 | 14 | 01011010010100111100 | AGTCAGCGTA | 10 | 136 |
| C1127185 | 14 | 01001111001001110100 | ATACGCACGA | 10 | 137 |
| C1127185 | 14 | 00100100100111010111 | CATGTAGACG | 10 | 138 |
| C1127185 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 139 |
| C1127185 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 140 |
| C1127185 | 14 | 00101110010010011110 | CTACATGTAC | 10 | 141 |



QIAGEN Exhibit 1013.0251

| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127185 | 14 | 11101110100100101000 | TACTACTGCT | 10 | 142 |
| C1127185 | 14 | 11010101010010011001 | TAGAGATGTG | 10 | 143 |
| C1127185 | 14 | 10100101011011010100 | TCAGACTAGA | 10 | 144 |
| C1127185 | 14 | 10011100101101010010 | TGTATCGAGC | 10 | 145 |
| C1127185 | 14 | 10011011111001001000 | TGTCGTACAT | 10 | 146 |
| C1127186 | 14 | 01100100101110101001 | ACATCGTCTG | 10 | 147 |
| C1127186 | 14 | 01110010100111011000 | ACGCTGTAGT | 10 | 148 |
| C1127186 | 14 | 01010101010101100110 | AGAGAGACAC | 10 | 149 |
| C1127186 | 14 | 01011010010100111100 | AGTCAGCGTA | 10 | 150 |
| C1127186 | 14 | 01001111001001110100 | ATACGCACGA | 10 | 151 |
| C1127186 | 14 | 00100100100111010111 | CATGTAGACG | 10 | 152 |
| C1127186 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 153 |
| C1127186 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 154 |
| C1127186 | 14 | 00101110010010011110 | CTACATGTAC | 10 | 155 |
| C1127186 | 14 | 11101110100100101000 | TACTACTGCT | 10 | 156 |
| C1127186 | 14 | 11010101010010011001 | TAGAGATGTG | 10 | 157 |
| C1127186 | 14 | 10100101011011010100 | TCAGACTAGA | 10 | 158 |
| C1127186 | 14 | 10110010011001101010 | TCGCACACTC | 10 | 159 |
| C1127186 | 14 | 10011100101101010010 | TGTATCGAGC | 10 | 160 |
| C1127187 | 14 | 01100111001010100110 | ACACGCTCAC | 10 | 161 |
| C1127187 | 14 | 01110010100111011000 | ACGCTGTAGT | 10 | 162 |
| C1127187 | 14 | 01011010010010111010 | AGTCATCGTC | 10 | 163 |
| C1127187 | 14 | 01011001010101100101 | AGTGAGACAG | 10 | 164 |
| C1127187 | 14 | 01001101010110011100 | ATAGAGTGTA | 10 | 165 |
| C1127187 | 14 | 00100110010011110101 | CACATACGAG | 10 | 166 |
| C1127187 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 167 |
| C1127187 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 168 |
| C1127187 | 14 | 00101010110101101010 | CTCTAGACTC | 10 | 169 |
| C1127187 | 14 | 11001110101001010100 | TATACTCAGA | 10 | 170 |
| C1127187 | 14 | 11001011110010110000 | TATCGTATCG | 10 | 171 |
| C1127187 | 14 | 10111110010011001000 | TCGTACATAT | 10 | 172 |
| C1127187 | 14 | 10101001100110010110 | TCTGTGTGAC | 10 | 173 |
| C1127187 | 14 | 10010111011100101000 | TGACGACGCT | 10 | 174 |
| C1127188 | 14 | 01100100101110101001 | ACATCGTCTG | 10 | 175 |
| C1127188 | 14 | 01110010011101001100 | ACGCACGATA | 10 | 176 |
| C1127188 | 14 | 01010101110100111000 | AGAGTAGCGT | 10 | 177 |
| C1127188 | 14 | 01011110011001101000 | AGTACACACT | 10 | 178 |
| C1127188 | 14 | 01011010100110010110 | AGTCTGTGAC | 10 | 179 |
| C1127188 | 14 | 00100110111011010010 | CACTACTAGC | 10 | 180 |
| C1127188 | 14 | 00110011001110010011 | CGCGCGTGCG | 10 | 181 |
| C1127188 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 182 |
| C1127188 | 14 | 00101110010110011100 | CTACAGTGTA | 10 | 183 |
| C1127188 | 14 | 00101001110101001011 | CTGTAGATCG | 10 | 184 |
| C1127188 | 14 | 11001011001101011000 | TATCGCGAGT | 10 | 185 |
| C1127188 | 14 | 10110110010100100101 | TCGACAGCAG | 10 | 186 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127188 | 14 | 10101010010011110100 | TCTCATACGA | 10 | 187 |
| C1127188 | 14 | 10010101010011001110 | TGAGATATAC | 10 | 188 |
| C1127189 | 14 | 01100101001010110110 | ACAGCTCGAC | 10 | 189 |
| C1127189 | 14 | 01101011010011100100 | ACTCGATACA | 10 | 190 |
| C1127189 | 14 | 01010100110101101100 | AGATAGACTA | 10 | 191 |
| C1127189 | 14 | 01010011001110011001 | AGCGCGTGTG | 10 | 192 |
| C1127189 | 14 | 01001001101011010011 | ATGTCTAGCG | 10 | 193 |
| C1127189 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 194 |
| C1127189 | 14 | 00110110011100100101 | CGACACGCAG | 10 | 195 |
| C1127189 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 196 |
| C1127189 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 197 |
| C1127189 | 14 | 11101100101100101000 | TACTATCGCT | 10 | 198 |
| C1127189 | 14 | 11011001001001100101 | TAGTGCACAG | 10 | 199 |
| C1127189 | 14 | 10110010010101111000 | TCGCAGACGT | 10 | 200 |
| C1127189 | 14 | 10101110100110010100 | TCTACTGTGA | 10 | 201 |
| C1127189 | 14 | 10010111101001001010 | TGACGTCATC | 10 | 202 |
| C1127190 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 203 |
| C1127190 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 204 |
| C1127190 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 205 |
| C1127190 | 14 | 01010010110010110101 | AGCTATCGAG | 10 | 206 |
| C1127190 | 14 | 01001100100110011110 | ATATGTGTAC | 10 | 207 |
| C1127190 | 14 | 01001001110101111000 | ATGTAGACGT | 10 | 208 |
| C1127190 | 14 | 00100110101110100110 | CACTCGTCAC | 10 | 209 |
| C1127190 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 210 |
| C1127190 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 211 |
| C1127190 | 14 | 00101010011011011001 | CTCACTAGTG | 10 | 212 |
| C1127190 | 14 | 11101100110010101000 | TACTATATCT | 10 | 213 |
| C1127190 | 14 | 11001110101001010100 | TATACTCAGA | 10 | 214 |
| C1127190 | 14 | 10110010010111100100 | TCGCAGTACA | 10 | 215 |
| C1127190 | 14 | 10010101100100110011 | TGAGTGCGCG | 10 | 216 |
| C1127191 | 14 | 01100101011010011010 | ACAGACTGTC | 10 | 217 |
| C1127191 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 218 |
| C1127191 | 14 | 01011011010100101001 | AGTCGAGCTG | 10 | 219 |
| C1127191 | 14 | 01001110110101010010 | ATACTAGAGC | 10 | 220 |
| C1127191 | 14 | 01001011101001111000 | ATCGTCACGT | 10 | 221 |
| C1127191 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 222 |
| C1127191 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 223 |
| C1127191 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 224 |
| C1127191 | 14 | 00101010010010111101 | CTCATCGTAG | 10 | 225 |
| C1127191 | 14 | 11100110101100101000 | TACACTCGCT | 10 | 226 |
| C1127191 | 14 | 11001001110111001000 | TATGTAGTAT | 10 | 227 |
| C1127191 | 14 | 10110010100110011001 | TCGCTGTGTG | 10 | 228 |
| C1127191 | 14 | 10101100111001100100 | TCTATACACA | 10 | 229 |
| C1127191 | 14 | 10010111101001001010 | TGACGTCATC | 10 | 230 |
| C1127192 | 14 | 01101001100101001011 | ACTGTGATCG | 10 | 231 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127192 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 232 |
| C1127192 | 14 | 01011110100110011000 | AGTACTGTGT | 10 | 233 |
| C1127192 | 14 | 01001110101001100110 | ATACTCACAC | 10 | 234 |
| C1127192 | 14 | 00100110010111011100 | CACAGTAGTA | 10 | 235 |
| C1127192 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 236 |
| C1127192 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 237 |
| C1127192 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 238 |
| C1127192 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 239 |
| C1127192 | 14 | 10110010110010010101 | TCGCTATGAG | 10 | 240 |
| C1127192 | 14 | 10101100111001001100 | TCTATACATA | 10 | 241 |
| C1127192 | 14 | 10101011001100111000 | TCTCGCGCGT | 10 | 242 |
| C1127192 | 14 | 10010111011011001000 | TGACGACTAT | 10 | 243 |
| C1127192 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 244 |
| C1127193 | 14 | 01101001100101001011 | ACTGTGATCG | 10 | 245 |
| C1127193 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 246 |
| C1127193 | 14 | 01011110100110011000 | AGTACTGTGT | 10 | 247 |
| C1127193 | 14 | 00100110010111011100 | CACAGTAGTA | 10 | 248 |
| C1127193 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 249 |
| C1127193 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 250 |
| C1127193 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 251 |
| C1127193 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 252 |
| C1127193 | 14 | 11010010101001101010 | TAGCTCACTC | 10 | 253 |
| C1127193 | 14 | 10110010110010010101 | TCGCTATGAG | 10 | 254 |
| C1127193 | 14 | 10101100111001001100 | TCTATACATA | 10 | 255 |
| C1127193 | 14 | 10101011001100111000 | TCTCGCGCGT | 10 | 256 |
| C1127193 | 14 | 10010111011011001000 | TGACGACTAT | 10 | 257 |
| C1127193 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 258 |
| C1127194 | 14 | 01101001100101001011 | ACTGTGATCG | 10 | 259 |
| C1127194 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 260 |
| C1127194 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 261 |
| C1127194 | 14 | 00100100111110011001 | CATACGTGTG | 10 | 262 |
| C1127194 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 263 |
| C1127194 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 264 |
| C1127194 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 265 |
| C1127194 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 266 |
| C1127194 | 14 | 11100100110101001100 | TACATAGATA | 10 | 267 |
| C1127194 | 14 | 11010010101001101010 | TAGCTCACTC | 10 | 268 |
| C1127194 | 14 | 10110010110010010101 | TCGCTATGAG | 10 | 269 |
| C1127194 | 14 | 10101011001100111000 | TCTCGCGCGT | 10 | 270 |
| C1127194 | 14 | 10010111011011001000 | TGACGACTAT | 10 | 271 |
| C1127194 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 272 |
| C1127195 | 14 | 01101110101001010100 | ACTACTCAGA | 10 | 273 |
| C1127195 | 14 | 01101001100101001011 | ACTGTGATCG | 10 | 274 |
| C1127195 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 275 |
| C1127195 | 14 | 00100100111110011001 | CATACGTGTG | 10 | 276 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127195 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 277 |
| C1127195 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 278 |
| C1127195 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 279 |
| C1127195 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 280 |
| C1127195 | 14 | 11100100110101001100 | TACATAGATA | 10 | 281 |
| C1127195 | 14 | 11010010101001101010 | TAGCTCACTC | 10 | 282 |
| C1127195 | 14 | 10110010110010010101 | TCGCTATGAG | 10 | 283 |
| C1127195 | 14 | 10101011001100111000 | TCTCGCGCGT | 10 | 284 |
| C1127195 | 14 | 10010111011011001000 | TGACGACTAT | 10 | 285 |
| C1127195 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 286 |
| C1127196 | 14 | 01100101011010011010 | ACAGACTGTC | 10 | 287 |
| C1127196 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 288 |
| C1127196 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 289 |
| C1127196 | 14 | 01011100111001001001 | AGTATACATG | 10 | 290 |
| C1127196 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 291 |
| C1127196 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 292 |
| C1127196 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 293 |
| C1127196 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 294 |
| C1127196 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 295 |
| C1127196 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 296 |
| C1127196 | 14 | 11010010101001101010 | TAGCTCACTC | 10 | 297 |
| C1127196 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 298 |
| C1127196 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 299 |
| C1127196 | 14 | 10010110100101001101 | TGACTGATAG | 10 | 300 |
| C1127197 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 301 |
| C1127197 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 302 |
| C1127197 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 303 |
| C1127197 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 304 |
| C1127197 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 305 |
| C1127197 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 306 |
| C1127197 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 307 |
| C1127197 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 308 |
| C1127197 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 309 |
| C1127197 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 310 |
| C1127197 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 311 |
| C1127197 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 312 |
| C1127197 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 313 |
| C1127197 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 314 |
| C1127198 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 315 |
| C1127198 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 316 |
| C1127198 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 317 |
| C1127198 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 318 |
| C1127198 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 319 |
| C1127198 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 320 |
| C1127198 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 321 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127198 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 322 |
| C1127198 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 323 |
| C1127198 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 324 |
| C1127198 | 14 | 11010010110100101010 | TAGCTAGCTC | 10 | 325 |
| C1127198 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 326 |
| C1127198 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 327 |
| C1127198 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 328 |
| C1127199 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 329 |
| C1127199 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 330 |
| C1127199 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 331 |
| C1127199 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 332 |
| C1127199 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 333 |
| C1127199 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 334 |
| C1127199 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 335 |
| C1127199 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 336 |
| C1127199 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 337 |
| C1127199 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 338 |
| C1127199 | 14 | 11010010101001101010 | TAGCTCACTC | 10 | 339 |
| C1127199 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 340 |
| C1127199 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 341 |
| C1127199 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 342 |
| C1127200 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 343 |
| C1127200 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 344 |
| C1127200 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 345 |
| C1127200 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 346 |
| C1127200 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 347 |
| C1127200 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 348 |
| C1127200 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 349 |
| C1127200 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 350 |
| C1127200 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 351 |
| C1127200 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 352 |
| C1127200 | 14 | 11010011011001011000 | TAGCGACAGT | 10 | 353 |
| C1127200 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 354 |
| C1127200 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 355 |
| C1127200 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 356 |
| C1127201 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 357 |
| C1127201 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 358 |
| C1127201 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 359 |
| C1127201 | 14 | 01001010111001100110 | ATCTACACAC | 10 | 360 |
| C1127201 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 361 |
| C1127201 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 362 |
| C1127201 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 363 |
| C1127201 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 364 |
| C1127201 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 365 |
| C1127201 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 366 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127201 | 14 | 11010011011001011000 | TAGCGACAGT | 10 | 367 |
| C1127201 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 368 |
| C1127201 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 369 |
| C1127201 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 370 |
| C1127202 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 371 |
| C1127202 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 372 |
| C1127202 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 373 |
| C1127202 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 374 |
| C1127202 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 375 |
| C1127202 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 376 |
| C1127202 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 377 |
| C1127202 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 378 |
| C1127202 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 379 |
| C1127202 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 380 |
| C1127202 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 381 |
| C1127202 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 382 |
| C1127202 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 383 |
| C1127202 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 384 |
| C1127203 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 385 |
| C1127203 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 386 |
| C1127203 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 387 |
| C1127203 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 388 |
| C1127203 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 389 |
| C1127203 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 390 |
| C1127203 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 391 |
| C1127203 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 392 |
| C1127203 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 393 |
| C1127203 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 394 |
| C1127203 | 14 | 11010010110100101010 | TAGCTAGCTC | 10 | 395 |
| C1127203 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 396 |
| C1127203 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 397 |
| C1127203 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 398 |
| C1127204 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 399 |
| C1127204 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 400 |
| C1127204 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 401 |
| C1127204 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 402 |
| C1127204 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 403 |
| C1127204 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 404 |
| C1127204 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 405 |
| C1127204 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 406 |
| C1127204 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 407 |
| C1127204 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 408 |
| C1127204 | 14 | 11010010101001101010 | TAGCTCACTC | 10 | 409 |
| C1127204 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 410 |
| C1127204 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 411 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127204 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 412 |
| C1127205 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 413 |
| C1127205 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 414 |
| C1127205 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 415 |
| C1127205 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 416 |
| C1127205 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 417 |
| C1127205 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 418 |
| C1127205 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 419 |
| C1127205 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 420 |
| C1127205 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 421 |
| C1127205 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 422 |
| C1127205 | 14 | 11001011011001011000 | TATCGACAGT | 10 | 423 |
| C1127205 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 424 |
| C1127205 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 425 |
| C1127205 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 426 |
| C1127206 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 427 |
| C1127206 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 428 |
| C1127206 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 429 |
| C1127206 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 430 |
| C1127206 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 431 |
| C1127206 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 432 |
| C1127206 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 433 |
| C1127206 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 434 |
| C1127206 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 435 |
| C1127206 | 14 | 11010010110100101010 | TAGCTAGCTC | 10 | 436 |
| C1127206 | 14 | 11001011011001011000 | TATCGACAGT | 10 | 437 |
| C1127206 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 438 |
| C1127206 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 439 |
| C1127206 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 440 |
| C1127207 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 441 |
| C1127207 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 442 |
| C1127207 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 443 |
| C1127207 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 444 |
| C1127207 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 445 |
| C1127207 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 446 |
| C1127207 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 447 |
| C1127207 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 448 |
| C1127207 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 449 |
| C1127207 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 450 |
| C1127207 | 14 | 11010011011001011000 | TAGCGACAGT | 10 | 451 |
| C1127207 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 452 |
| C1127207 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 453 |
| C1127207 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 454 |
| C1127208 | 14 | 01100100110011110010 | ACATATACGC | 10 | 455 |
| C1127208 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 456 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127208 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 457 |
| C1127208 | 14 | 01011110100110011000 | AGTACTGTGT | 10 | 458 |
| C1127208 | 14 | 00100110010111011100 | CACAGTAGTA | 10 | 459 |
| C1127208 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 460 |
| C1127208 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 461 |
| C1127208 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 462 |
| C1127208 | 14 | 00101010111001001011 | CTCTACATCG | 10 | 463 |
| C1127208 | 14 | 11010010110100101010 | TAGCTAGCTC | 10 | 464 |
| C1127208 | 14 | 11001011011001011000 | TATCGACAGT | 10 | 465 |
| C1127208 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 466 |
| C1127208 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 467 |
| C1127208 | 14 | 10010010011010110110 | TGCACTCGAC | 10 | 468 |
| C1127209 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 469 |
| C1127209 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 470 |
| C1127209 | 14 | 01001101101011011000 | ATAGTCTAGT | 10 | 471 |
| C1127209 | 14 | 01001010010011100111 | ATCATACACG | 10 | 472 |
| C1127209 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 473 |
| C1127209 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 474 |
| C1127209 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 475 |
| C1127209 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 476 |
| C1127209 | 14 | 00101110100101110100 | CTACTGACGA | 10 | 477 |
| C1127209 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 478 |
| C1127209 | 14 | 11001111001001001100 | TATACGCATA | 10 | 479 |
| C1127209 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 480 |
| C1127209 | 14 | 10110100101110010100 | TCGATCGTGA | 10 | 481 |
| C1127209 | 14 | 10010010011010110110 | TGCACTCGAC | 10 | 482 |
| C1127210 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 483 |
| C1127210 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 484 |
| C1127210 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 485 |
| C1127210 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 486 |
| C1127210 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 487 |
| C1127210 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 488 |
| C1127210 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 489 |
| C1127210 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 490 |
| C1127210 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 491 |
| C1127210 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 492 |
| C1127210 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 493 |
| C1127210 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 494 |
| C1127210 | 14 | 10110010101101011000 | TCGCTCGAGT | 10 | 495 |
| C1127210 | 14 | 10101110100100100110 | TCTACTGCAC | 10 | 496 |
| C1127211 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 497 |
| C1127211 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 498 |
| C1127211 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 499 |
| C1127211 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 500 |
| C1127211 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 501 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127211 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 502 |
| C1127211 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 503 |
| C1127211 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 504 |
| C1127211 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 505 |
| C1127211 | 14 | 00101010010010101111 | CTCATCTACG | 10 | 506 |
| C1127211 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 507 |
| C1127211 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 508 |
| C1127211 | 14 | 10110010101101011000 | TCGCTCGAGT | 10 | 509 |
| C1127211 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 510 |
| C1127212 | 14 | 01100101011001001101 | ACAGACATAG | 10 | 511 |
| C1127212 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 512 |
| C1127212 | 14 | 01101010110010010110 | ACTCTATGAC | 10 | 513 |
| C1127212 | 14 | 01010011001111100100 | AGCGCGTACA | 10 | 514 |
| C1127212 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 515 |
| C1127212 | 14 | 01001110010110110100 | ATACAGTCGA | 10 | 516 |
| C1127212 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 517 |
| C1127212 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 518 |
| C1127212 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 519 |
| C1127212 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 520 |
| C1127212 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 521 |
| C1127212 | 14 | 11001001100110010011 | TATGTGTGCG | 10 | 522 |
| C1127212 | 14 | 10110010101101011000 | TCGCTCGAGT | 10 | 523 |
| C1127212 | 14 | 10011110100101001001 | TGTACTGATG | 10 | 524 |
| C1127213 | 14 | 01100111011010010010 | ACACGACTGC | 10 | 525 |
| C1127213 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 526 |
| C1127213 | 14 | 01001110101001001011 | ATACTCATCG | 10 | 527 |
| C1127213 | 14 | 01001011010011101100 | ATCGATACTA | 10 | 528 |
| C1127213 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 529 |
| C1127213 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 530 |
| C1127213 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 531 |
| C1127213 | 14 | 00101110010110011100 | CTACAGTGTA | 10 | 532 |
| C1127213 | 14 | 00101010111100100110 | CTCTACGCAC | 10 | 533 |
| C1127213 | 14 | 11010010101010010110 | TAGCTCTGAC | 10 | 534 |
| C1127213 | 14 | 10100110010011010101 | TCACATAGAG | 10 | 535 |
| C1127213 | 14 | 10101001100110010011 | TCTGTGTGCG | 10 | 536 |
| C1127213 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 537 |
| C1127213 | 14 | 10011011001101001001 | TGTCGCGATG | 10 | 538 |
| C1127214 | 14 | 01100110101010011010 | ACACTCTGTC | 10 | 539 |
| C1127214 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 540 |
| C1127214 | 14 | 01001101001110100101 | ATAGCGTCAG | 10 | 541 |
| C1127214 | 14 | 01001011010011101100 | ATCGATACTA | 10 | 542 |
| C1127214 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 543 |
| C1127214 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 544 |
| C1127214 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 545 |
| C1127214 | 14 | 00101111010110011000 | CTACGAGTGT | 10 | 546 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127214 | 14 | 00101010111100100110 | CTCTACGCAC | 10 | 547 |
| C1127214 | 14 | 11101001011001001010 | TACTGACATC | 10 | 548 |
| C1127214 | 14 | 10100110010011010101 | TCACATAGAG | 10 | 549 |
| C1127214 | 14 | 10101001100110010011 | TCTGTGTGCG | 10 | 550 |
| C1127214 | 14 | 10010100110110110010 | TGATAGTCGC | 10 | 551 |
| C1127214 | 14 | 10011011001101001001 | TGTCGCGATG | 10 | 552 |
| C1127215 | 14 | 01100100111010111000 | ACATACTCGT | 10 | 553 |
| C1127215 | 14 | 01010010101111010100 | AGCTCGTAGA | 10 | 554 |
| C1127215 | 14 | 01011100100110010011 | AGTATGTGCG | 10 | 555 |
| C1127215 | 14 | 01001010100101111010 | ATCTGACGTC | 10 | 556 |
| C1127215 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 557 |
| C1127215 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 558 |
| C1127215 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 559 |
| C1127215 | 14 | 00101111010110011000 | CTACGAGTGT | 10 | 560 |
| C1127215 | 14 | 00101010111001100101 | CTCTACACAG | 10 | 561 |
| C1127215 | 14 | 11100100110101001100 | TACATAGATA | 10 | 562 |
| C1127215 | 14 | 11010011100100100110 | TAGCGTGCAC | 10 | 563 |
| C1127215 | 14 | 10100110100110101001 | TCACTGTCTG | 10 | 564 |
| C1127215 | 14 | 10111010010011101000 | TCGTCATACT | 10 | 565 |
| C1127215 | 14 | 10011011001101001001 | TGTCGCGATG | 10 | 566 |
| C1127216 | 14 | 01100100111010110010 | ACATACTCGC | 10 | 567 |
| C1127216 | 14 | 01010010101111010100 | AGCTCGTAGA | 10 | 568 |
| C1127216 | 14 | 01011100100110010011 | AGTATGTGCG | 10 | 569 |
| C1127216 | 14 | 01001010100101111010 | ATCTGACGTC | 10 | 570 |
| C1127216 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 571 |
| C1127216 | 14 | 00111001010101010110 | CGTGAGAGAC | 10 | 572 |
| C1127216 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 573 |
| C1127216 | 14 | 00101111010110011000 | CTACGAGTGT | 10 | 574 |
| C1127216 | 14 | 00101010111001100101 | CTCTACACAG | 10 | 575 |
| C1127216 | 14 | 11100100110101001100 | TACATAGATA | 10 | 576 |
| C1127216 | 14 | 11010011100100100110 | TAGCGTGCAC | 10 | 577 |
| C1127216 | 14 | 10100110100110101001 | TCACTGTCTG | 10 | 578 |
| C1127216 | 14 | 10111010010011101000 | TCGTCATACT | 10 | 579 |
| C1127216 | 14 | 10011011001101001001 | TGTCGCGATG | 10 | 580 |
| C1127217 | 14 | 01100110011001101010 | ACACACACTC | 10 | 581 |
| C1127217 | 14 | 01100100101010011101 | ACATCTGTAG | 10 | 582 |
| C1127217 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 583 |
| C1127217 | 14 | 01010011010011001110 | AGCGATATAC | 10 | 584 |
| C1127217 | 14 | 01011101100101010100 | AGTAGTGAGA | 10 | 585 |
| C1127217 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 586 |
| C1127217 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 587 |
| C1127217 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 588 |
| C1127217 | 14 | 00101110110110101000 | CTACTAGTCT | 10 | 589 |
| C1127217 | 14 | 00101011001101100101 | CTCGCGACAG | 10 | 590 |
| C1127217 | 14 | 11010110101101001000 | TAGACTCGAT | 10 | 591 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127217 | 14 | 11001001010101011010 | TATGAGAGTC | 10 | 592 |
| C1127217 | 14 | 10010010100111010011 | TGCTGTAGCG | 10 | 593 |
| C1127217 | 14 | 10011111001010010010 | TGTACGCTGC | 10 | 594 |
| C1127218 | 14 | 01100100101010011101 | ACATCTGTAG | 10 | 595 |
| C1127218 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 596 |
| C1127218 | 14 | 01010011010011001110 | AGCGATATAC | 10 | 597 |
| C1127218 | 14 | 01011101100101010100 | AGTAGTGAGA | 10 | 598 |
| C1127218 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 599 |
| C1127218 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 600 |
| C1127218 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 601 |
| C1127218 | 14 | 00101110110110101000 | CTACTAGTCT | 10 | 602 |
| C1127218 | 14 | 00101011001101100101 | CTCGCGACAG | 10 | 603 |
| C1127218 | 14 | 11010110101101001000 | TAGACTCGAT | 10 | 604 |
| C1127218 | 14 | 11001100111001100100 | TATATACACA | 10 | 605 |
| C1127218 | 14 | 10100110010101011100 | TCACAGAGTA | 10 | 606 |
| C1127218 | 14 | 10010010100111010011 | TGCTGTAGCG | 10 | 607 |
| C1127218 | 14 | 10011111001010010010 | TGTACGCTGC | 10 | 608 |
| C1127219 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 609 |
| C1127219 | 14 | 01010101011001001110 | AGAGACATAC | 10 | 610 |
| C1127219 | 14 | 01001101110110101000 | ATAGTAGTCT | 10 | 611 |
| C1127219 | 14 | 01001010100101110101 | ATCTGACGAG | 10 | 612 |
| C1127219 | 14 | 00100111001011001011 | CACGCTATCG | 10 | 613 |
| C1127219 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 614 |
| C1127219 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 615 |
| C1127219 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 616 |
| C1127219 | 14 | 00101010011110100110 | CTCACGTCAC | 10 | 617 |
| C1127219 | 14 | 11010010101010010110 | TAGCTCTGAC | 10 | 618 |
| C1127219 | 14 | 11001110010010011001 | TATACATGTG | 10 | 619 |
| C1127219 | 14 | 10100110100101011100 | TCACTGAGTA | 10 | 620 |
| C1127219 | 14 | 10101100111001100100 | TCTATACACA | 10 | 621 |
| C1127219 | 14 | 10010011110101001001 | TGCGTAGATG | 10 | 622 |
| C1127220 | 14 | 01100110010011001101 | ACACATATAG | 10 | 623 |
| C1127220 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 624 |
| C1127220 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 625 |
| C1127220 | 14 | 01001100111110100100 | ATATACGTCA | 10 | 626 |
| C1127220 | 14 | 01001001101011010011 | ATGTCTAGCG | 10 | 627 |
| C1127220 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 628 |
| C1127220 | 14 | 00110010101101100101 | CGCTCGACAG | 10 | 629 |
| C1127220 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 630 |
| C1127220 | 14 | 00101011110101001010 | CTCGTAGATC | 10 | 631 |
| C1127220 | 14 | 11101001010100101100 | TACTGAGCTA | 10 | 632 |
| C1127220 | 14 | 11010011010010010110 | TAGCGATGAC | 10 | 633 |
| C1127220 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 634 |
| C1127220 | 14 | 10101010011010110010 | TCTCACTCGC | 10 | 635 |
| C1127220 | 14 | 10010101111001011000 | TGAGTACAGT | 10 | 636 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127221 | 14 | 01100110010011001101 | ACACATATAG | 10 | 637 |
| C1127221 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 638 |
| C1127221 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 639 |
| C1127221 | 14 | 01001100111110100100 | ATATACGTCA | 10 | 640 |
| C1127221 | 14 | 01001001101011010011 | ATGTCTAGCG | 10 | 641 |
| C1127221 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 642 |
| C1127221 | 14 | 00110010101101100101 | CGCTCGACAG | 10 | 643 |
| C1127221 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 644 |
| C1127221 | 14 | 00101011110101001010 | CTCGTAGATC | 10 | 645 |
| C1127221 | 14 | 11101001010100101100 | TACTGAGCTA | 10 | 646 |
| C1127221 | 14 | 11010011010010010110 | TAGCGATGAC | 10 | 647 |
| C1127221 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 648 |
| C1127221 | 14 | 10101010011010110010 | TCTCACTCGC | 10 | 649 |
| C1127221 | 14 | 10010101111001010100 | TGAGTACAGA | 10 | 650 |
| C1127222 | 14 | 01100100110011100101 | ACATATACAG | 10 | 651 |
| C1127222 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 652 |
| C1127222 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 653 |
| C1127222 | 14 | 01001001011011010011 | ATGACTAGCG | 10 | 654 |
| C1127222 | 14 | 00100110010111011100 | CACAGTAGTA | 10 | 655 |
| C1127222 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 656 |
| C1127222 | 14 | 00110010111010010110 | CGCTACTGAC | 10 | 657 |
| C1127222 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 658 |
| C1127222 | 14 | 00101011001101100101 | CTCGCGACAG | 10 | 659 |
| C1127222 | 14 | 11100100101101010010 | TACATCGAGC | 10 | 660 |
| C1127222 | 14 | 11011110101110000000 | TAGTACTCGT | 10 | 661 |
| C1127222 | 14 | 10101110011010100100 | TCTACACTCA | 10 | 662 |
| C1127222 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 663 |
| C1127222 | 14 | 10011010010101001110 | TGTCAGATAC | 10 | 664 |
| C1127223 | 14 | 01100110011001101010 | ACACACACTC | 10 | 665 |
| C1127223 | 14 | 01100100101010011101 | ACATCTGTAG | 10 | 666 |
| C1127223 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 667 |
| C1127223 | 14 | 01010011010011001110 | AGCGATATAC | 10 | 668 |
| C1127223 | 14 | 01011101100101010100 | AGTAGTGAGA | 10 | 669 |
| C1127223 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 670 |
| C1127223 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 671 |
| C1127223 | 14 | 00101110110110101000 | CTACTAGTCT | 10 | 672 |
| C1127223 | 14 | 00101011001101100101 | CTCGCGACAG | 10 | 673 |
| C1127223 | 14 | 11010110101101001000 | TAGACTCGAT | 10 | 674 |
| C1127223 | 14 | 11001010010010100111 | TATCATCACG | 10 | 675 |
| C1127223 | 14 | 11001001010101011010 | TATGAGAGTC | 10 | 676 |
| C1127223 | 14 | 10010010100111010011 | TGCTGTAGCG | 10 | 677 |
| C1127223 | 14 | 10011111001010010010 | TGTACGCTGC | 10 | 678 |
| C1127224 | 14 | 01100110101010100101 | ACACTCTCAG | 10 | 679 |
| C1127224 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 680 |
| C1127224 | 14 | 01111101011001001000 | ACGTAGACAT | 10 | 681 |



QIAGEN Exhibit 1013.0263

| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127224 | 14 | 01010110010111001100 | AGACAGTATA | 10 | 682 |
| C1127224 | 14 | 01011100100110010011 | AGTATGTGCG | 10 | 683 |
| C1127224 | 14 | 00110101001100100111 | CGAGCGCACG | 10 | 684 |
| C1127224 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 685 |
| C1127224 | 14 | 00101111010010101010 | CTACGATCTC | 10 | 686 |
| C1127224 | 14 | 00101010111101010100 | CTCTACGAGA | 10 | 687 |
| C1127224 | 14 | 11011010011100100100 | TAGTCACGCA | 10 | 688 |
| C1127224 | 14 | 11001101001001011001 | TATAGCAGTG | 10 | 689 |
| C1127224 | 14 | 10111010100101001010 | TCGTCTGATC | 10 | 690 |
| C1127224 | 14 | 10101001010011001101 | TCTGATATAG | 10 | 691 |
| C1127224 | 14 | 10010010011011111000 | TGCACTACGT | 10 | 692 |
| C1127225 | 14 | 01100101101100100110 | ACAGTCGCAC | 10 | 693 |
| C1127225 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 694 |
| C1127225 | 14 | 01010110100110010101 | AGACTGTGAG | 10 | 695 |
| C1127225 | 14 | 01011100111001001001 | AGTATACATG | 10 | 696 |
| C1127225 | 14 | 00100110111011010010 | CACTACTAGC | 10 | 697 |
| C1127225 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 698 |
| C1127225 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 699 |
| C1127225 | 14 | 00101111001101001100 | CTACGCGATA | 10 | 700 |
| C1127225 | 14 | 00101010010110011011 | CTCAGTGTCG | 10 | 701 |
| C1127225 | 14 | 11001011001010100101 | TATCGCTCAG | 10 | 702 |
| C1127225 | 14 | 11001001110110010100 | TATGTAGTGA | 10 | 703 |
| C1127225 | 14 | 10110010010011110100 | TCGCATACGA | 10 | 704 |
| C1127225 | 14 | 10010101010011001110 | TGAGATATAC | 10 | 705 |
| C1127225 | 14 | 10011011010101101000 | TGTCGAGACT | 10 | 706 |
| C1127226 | 14 | 01100100111011001001 | ACATACTATG | 10 | 707 |
| C1127226 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 708 |
| C1127226 | 14 | 01011101010011011000 | AGTAGATAGT | 10 | 709 |
| C1127226 | 14 | 01001001100101110110 | ATGTGACGAC | 10 | 710 |
| C1127226 | 14 | 00100101010010111110 | CAGATCGTAC | 10 | 711 |
| C1127226 | 14 | 00110101001001110011 | CGAGCACGCG | 10 | 712 |
| C1127226 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 713 |
| C1127226 | 14 | 00101111001101001100 | CTACGCGATA | 10 | 714 |
| C1127226 | 14 | 00101010010110011011 | CTCAGTGTCG | 10 | 715 |
| C1127226 | 14 | 11010110011010010100 | TAGACACTGA | 10 | 716 |
| C1127226 | 14 | 11001010110100111000 | TATCTAGCGT | 10 | 717 |
| C1127226 | 14 | 10111100100101010100 | TCGTATGAGA | 10 | 718 |
| C1127226 | 14 | 10101011001010100110 | TCTCGCTCAC | 10 | 719 |
| C1127226 | 14 | 10010010110011101010 | TGCTATACTC | 10 | 720 |
| C1127227 | 14 | 01100101101100100110 | ACAGTCGCAC | 10 | 721 |
| C1127227 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 722 |
| C1127227 | 14 | 01011100110101100100 | AGTATAGACA | 10 | 723 |
| C1127227 | 14 | 01001001011011100101 | ATGACTACAG | 10 | 724 |
| C1127227 | 14 | 00100111110101001001 | CACGTAGATG | 10 | 725 |
| C1127227 | 14 | 00110101010100110101 | CGAGAGCGAG | 10 | 726 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127227 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 727 |
| C1127227 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 728 |
| C1127227 | 14 | 00101010011100101011 | CTCACGCTCG | 10 | 729 |
| C1127227 | 14 | 11110100101001101000 | TACGATCACT | 10 | 730 |
| C1127227 | 14 | 11010010010010011101 | TAGCATGTAG | 10 | 731 |
| C1127227 | 14 | 11001110010100110010 | TATACAGCGC | 10 | 732 |
| C1127227 | 14 | 10110101010011001010 | TCGAGATATC | 10 | 733 |
| C1127227 | 14 | 10101001100110010011 | TCTGTGTGCG | 10 | 734 |
| C1127228 | 14 | 01100101101100100110 | ACAGTCGCAC | 10 | 735 |
| C1127228 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 736 |
| C1127228 | 14 | 01010110100101011010 | AGACTGAGTC | 10 | 737 |
| C1127228 | 14 | 01001010111001010101 | ATCTACAGAG | 10 | 738 |
| C1127228 | 14 | 00100111110101001001 | CACGTAGATG | 10 | 739 |
| C1127228 | 14 | 00110101010100110101 | CGAGAGCGAG | 10 | 740 |
| C1127228 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 741 |
| C1127228 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 742 |
| C1127228 | 14 | 00101010011100101011 | CTCACGCTCG | 10 | 743 |
| C1127228 | 14 | 11110100101001101000 | TACGATCACT | 10 | 744 |
| C1127228 | 14 | 11010010010010011101 | TAGCATGTAG | 10 | 745 |
| C1127228 | 14 | 11001111001001001100 | TATACGCATA | 10 | 746 |
| C1127228 | 14 | 10110101010011001010 | TCGAGATATC | 10 | 747 |
| C1127228 | 14 | 10101001100110010011 | TCTGTGTGCG | 10 | 748 |
| C1127229 | 14 | 01100110110010101001 | ACACTATCTG | 10 | 749 |
| C1127229 | 14 | 01110011001110011000 | ACGCGCGTGT | 10 | 750 |
| C1127229 | 14 | 01010011010011001110 | AGCGATATAC | 10 | 751 |
| C1127229 | 14 | 01011010101101110000 | AGTCTCGACG | 10 | 752 |
| C1127229 | 14 | 01001110010101011010 | ATACAGAGTC | 10 | 753 |
| C1127229 | 14 | 00100111100101110010 | CACGTGACGC | 10 | 754 |
| C1127229 | 14 | 00110101010100110101 | CGAGAGCGAG | 10 | 755 |
| C1127229 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 756 |
| C1127229 | 14 | 00101010110111010100 | CTCTAGTAGA | 10 | 757 |
| C1127229 | 14 | 11011010010111001000 | TAGTCAGTAT | 10 | 758 |
| C1127229 | 14 | 11001100111001100100 | TATATACACA | 10 | 759 |
| C1127229 | 14 | 10101011001010100110 | TCTCGCTCAC | 10 | 760 |
| C1127229 | 14 | 10101001100110010011 | TCTGTGTGCG | 10 | 761 |
| C1127229 | 14 | 10010101001011111000 | TGAGCTACGT | 10 | 762 |
| C1127230 | 14 | 01110011001110010100 | ACGCGCGTGA | 10 | 763 |
| C1127230 | 14 | 01101001110101010010 | ACTGTAGAGC | 10 | 764 |
| C1127230 | 14 | 01010101011001001110 | AGAGACATAC | 10 | 765 |
| C1127230 | 14 | 01001111100100101010 | ATACGTGCTC | 10 | 766 |
| C1127230 | 14 | 00100110111001101001 | CACTACACTG | 10 | 767 |
| C1127230 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 768 |
| C1127230 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 769 |
| C1127230 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 770 |
| C1127230 | 14 | 00101010010110011101 | CTCAGTGTAG | 10 | 771 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127230 | 14 | 11010100110110011000 | TAGATAGTGT | 10 | 772 |
| C1127230 | 14 | 11001011011100100100 | TATCGACGCA | 10 | 773 |
| C1127230 | 14 | 10101111010011001000 | TCTACGATAT | 10 | 774 |
| C1127230 | 14 | 10101100101010010011 | TCTATCTGCG | 10 | 775 |
| C1127230 | 14 | 10010010011010110110 | TGCACTCGAC | 10 | 776 |
| C1127231 | 14 | 01110011001110010100 | ACGCGCGTGA | 10 | 777 |
| C1127231 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 778 |
| C1127231 | 14 | 01011101010111001000 | AGTAGAGTAT | 10 | 779 |
| C1127231 | 14 | 01001011100101100101 | ATCGTGACAG | 10 | 780 |
| C1127231 | 14 | 01001001011011010011 | ATGACTAGCG | 10 | 781 |
| C1127231 | 14 | 00100110011010011101 | CACACTGTAG | 10 | 782 |
| C1127231 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 783 |
| C1127231 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 784 |
| C1127231 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 785 |
| C1127231 | 14 | 11011010011100100100 | TAGTCACGCA | 10 | 786 |
| C1127231 | 14 | 11001010110101001010 | TATCTAGATC | 10 | 787 |
| C1127231 | 14 | 10100111010011100100 | TCACGATACA | 10 | 788 |
| C1127231 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 789 |
| C1127231 | 14 | 10010010010110110110 | TGCAGTCGAC | 10 | 790 |
| C1127232 | 14 | 01110011001110010100 | ACGCGCGTGA | 10 | 791 |
| C1127232 | 14 | 01101001010111101000 | ACTGAGTACT | 10 | 792 |
| C1127232 | 14 | 01010100101111001010 | AGATCGTATC | 10 | 793 |
| C1127232 | 14 | 01001110101010100101 | ATACTCTCAG | 10 | 794 |
| C1127232 | 14 | 01001001111001010011 | ATGTACAGCG | 10 | 795 |
| C1127232 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 796 |
| C1127232 | 14 | 00110010010111001101 | CGCAGTATAG | 10 | 797 |
| C1127232 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 798 |
| C1127232 | 14 | 00101111011001001100 | CTACGACATA | 10 | 799 |
| C1127232 | 14 | 11010101011010011000 | TAGAGACTGT | 10 | 800 |
| C1127232 | 14 | 11010011100100100110 | TAGCGTGCAC | 10 | 801 |
| C1127232 | 14 | 10111010110101001000 | TCGTCTAGAT | 10 | 802 |
| C1127232 | 14 | 10101100100110011001 | TCTATGTGTG | 10 | 803 |
| C1127232 | 14 | 10101010011010110010 | TCTCACTCGC | 10 | 804 |
| C1127233 | 14 | 01100101101100100110 | ACAGTCGCAC | 10 | 805 |
| C1127233 | 14 | 01101001011001011001 | ACTGACAGTG | 10 | 806 |
| C1127233 | 14 | 01010100110101101100 | AGATAGACTA | 10 | 807 |
| C1127233 | 14 | 01010011001011100101 | AGCGCTACAG | 10 | 808 |
| C1127233 | 14 | 01001010110010101011 | ATCTATCTCG | 10 | 809 |
| C1127233 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 810 |
| C1127233 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 811 |
| C1127233 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 812 |
| C1127233 | 14 | 00101111100101100100 | CTACGTGACA | 10 | 813 |
| C1127233 | 14 | 11011110100100101000 | TAGTACTGCT | 10 | 814 |
| C1127233 | 14 | 11001010101001010110 | TATCTCAGAC | 10 | 815 |
| C1127233 | 14 | 10100101010111010100 | TCAGAGTAGA | 10 | 816 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127233 | 14 | 10110010100110011001 | TCGCTGTGTG | 10 | 817 |
| C1127233 | 14 | 10010011011101001010 | TGCGACGATC | 10 | 818 |
| C1127234 | 14 | 01100110011010011001 | ACACACTGTG | 10 | 819 |
| C1127234 | 14 | 01110010110101001100 | ACGCTAGATA | 10 | 820 |
| C1127234 | 14 | 01101001100100111010 | ACTGTGCGTC | 10 | 821 |
| C1127234 | 14 | 01001111001001110100 | ATACGCACGA | 10 | 822 |
| C1127234 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 823 |
| C1127234 | 14 | 00110010011110100110 | CGCACGTCAC | 10 | 824 |
| C1127234 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 825 |
| C1127234 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 826 |
| C1127234 | 14 | 00101110110110101000 | CTACTAGTCT | 10 | 827 |
| C1127234 | 14 | 11100100101101010010 | TACATCGAGC | 10 | 828 |
| C1127234 | 14 | 11011001110011100000 | TAGTGTATAC | 10 | 829 |
| C1127234 | 14 | 10101100100101100101 | TCTATGACAG | 10 | 830 |
| C1127234 | 14 | 10010100111001101010 | TGATACACTC | 10 | 831 |
| C1127234 | 14 | 10011011010110010100 | TGTCGAGTGA | 10 | 832 |
| C1127235 | 14 | 01110100101010010101 | ACGATCTGAG | 10 | 833 |
| C1127235 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 834 |
| C1127235 | 14 | 01011100110101100100 | AGTATAGACA | 10 | 835 |
| C1127235 | 14 | 01001110101001001011 | ATACTCATCG | 10 | 836 |
| C1127235 | 14 | 01001001100101111010 | ATGTGACGTC | 10 | 837 |
| C1127235 | 14 | 00100111110111001000 | CACGTAGTAT | 10 | 838 |
| C1127235 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 839 |
| C1127235 | 14 | 00110010011110100110 | CGCACGTCAC | 10 | 840 |
| C1127235 | 14 | 00111010010011111000 | CGTCATACGT | 10 | 841 |
| C1127235 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 842 |
| C1127235 | 14 | 11010100110010101010 | TAGATATCTC | 10 | 843 |
| C1127235 | 14 | 11010010011101011000 | TAGCACGAGT | 10 | 844 |
| C1127235 | 14 | 11001101100110010100 | TATAGTGTGA | 10 | 845 |
| C1127235 | 14 | 10101010100101001110 | TCTCTGATAC | 10 | 846 |
| C1127236 | 14 | 01100100101010111001 | ACATCTCGTG | 10 | 847 |
| C1127236 | 14 | 01110010100101100101 | ACGCTGACAG | 10 | 848 |
| C1127236 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 849 |
| C1127236 | 14 | 01011110110010011000 | AGTACTATGT | 10 | 850 |
| C1127236 | 14 | 01001011010101011100 | ATCGAGAGTA | 10 | 851 |
| C1127236 | 14 | 00100101001110011110 | CAGCGTGTAC | 10 | 852 |
| C1127236 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 853 |
| C1127236 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 854 |
| C1127236 | 14 | 00101010011001110110 | CTCACACGAC | 10 | 855 |
| C1127236 | 14 | 11100101010011010010 | TACAGATAGC | 10 | 856 |
| C1127236 | 14 | 11011010011100100100 | TAGTCACGCA | 10 | 857 |
| C1127236 | 14 | 10101110100100101010 | TCTACTGCTC | 10 | 858 |
| C1127236 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 859 |
| C1127236 | 14 | 10011100101001010101 | TGTATCAGAG | 10 | 860 |
| C1127237 | 14 | 01101010110010100110 | ACTCTATCAC | 10 | 861 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127237 | 14 | 01101001010011011001 | ACTGATAGTG | 10 | 862 |
| C1127237 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 863 |
| C1127237 | 14 | 01011101100101010100 | AGTAGTGAGA | 10 | 864 |
| C1127237 | 14 | 00100101001110011110 | CAGCGTGTAC | 10 | 865 |
| C1127237 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 866 |
| C1127237 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 867 |
| C1127237 | 14 | 00101010101101010101 | CTCTCGAGAG | 10 | 868 |
| C1127237 | 14 | 11100101011101100000 | TACAGACGAC | 10 | 869 |
| C1127237 | 14 | 11011101010010101000 | TAGTAGATCT | 10 | 870 |
| C1127237 | 14 | 11001010011010010011 | TATCACTGCG | 10 | 871 |
| C1127237 | 14 | 10101110011001001100 | TCTACACATA | 10 | 872 |
| C1127237 | 14 | 10010100100111001101 | TGATGTATAG | 10 | 873 |
| C1127237 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 874 |
| C1127238 | 14 | 01101010110010100110 | ACTCTATCAC | 10 | 875 |
| C1127238 | 14 | 01101001010011011001 | ACTGATAGTG | 10 | 876 |
| C1127238 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 877 |
| C1127238 | 14 | 01011101100101010100 | AGTAGTGAGA | 10 | 878 |
| C1127238 | 14 | 00100101001110011110 | CAGCGTGTAC | 10 | 879 |
| C1127238 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 880 |
| C1127238 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 881 |
| C1127238 | 14 | 00101010101101010101 | CTCTCGAGAG | 10 | 882 |
| C1127238 | 14 | 11100110100100101001 | TACACTGCTG | 10 | 883 |
| C1127238 | 14 | 11100101011101100000 | TACAGACGAC | 10 | 884 |
| C1127238 | 14 | 11011101010010101000 | TAGTAGATCT | 10 | 885 |
| C1127238 | 14 | 10101110011001001100 | TCTACACATA | 10 | 886 |
| C1127238 | 14 | 10010100100111001101 | TGATGTATAG | 10 | 887 |
| C1127238 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 888 |
| C1127239 | 14 | 01110010010010101110 | ACGCATCTAC | 10 | 889 |
| C1127239 | 14 | 01101011001100101001 | ACTCGCGCTG | 10 | 890 |
| C1127239 | 14 | 01010110100110011010 | AGACTGTGTC | 10 | 891 |
| C1127239 | 14 | 01001100111100100110 | ATATACGCAC | 10 | 892 |
| C1127239 | 14 | 00100111110110010100 | CACGTAGTGA | 10 | 893 |
| C1127239 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 894 |
| C1127239 | 14 | 00111011001001010110 | CGTCGCAGAC | 10 | 895 |
| C1127239 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 896 |
| C1127239 | 14 | 00101010111001001011 | CTCTACATCG | 10 | 897 |
| C1127239 | 14 | 11100101010011010010 | TACAGATAGC | 10 | 898 |
| C1127239 | 14 | 11011010100101100100 | TAGTCTGACA | 10 | 899 |
| C1127239 | 14 | 10101100101101011000 | TCTATCGAGT | 10 | 900 |
| C1127239 | 14 | 10010100110011101001 | TGATATACTG | 10 | 901 |
| C1127239 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 902 |
| C1127240 | 14 | 01101011100110010100 | ACTCGTGTGA | 10 | 903 |
| C1127240 | 14 | 01101001011001111000 | ACTGACACGT | 10 | 904 |
| C1127240 | 14 | 01010010011011101010 | AGCACTACTC | 10 | 905 |
| C1127240 | 14 | 01001110010101001110 | ATACAGATAC | 10 | 906 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127240 | 14 | 01001100100110111010 | ATATGTCGTC | 10 | 907 |
| C1127240 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 908 |
| C1127240 | 14 | 00111011001001010110 | CGTCGCAGAC | 10 | 909 |
| C1127240 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 910 |
| C1127240 | 14 | 00101010111111001000 | CTCTACGTAT | 10 | 911 |
| C1127240 | 14 | 11011010011100100100 | TAGTCACGCA | 10 | 912 |
| C1127240 | 14 | 10100110011011010100 | TCACACTAGA | 10 | 913 |
| C1127240 | 14 | 10101100101010010011 | TCTATCTGCG | 10 | 914 |
| C1127240 | 14 | 10010100100111001101 | TGATGTATAG | 10 | 915 |
| C1127240 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 916 |
| C1127241 | 14 | 01101011100110010100 | ACTCGTGTGA | 10 | 917 |
| C1127241 | 14 | 01101001001010100111 | ACTGCTCACG | 10 | 918 |
| C1127241 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 919 |
| C1127241 | 14 | 01001110010111100100 | ATACAGTACA | 10 | 920 |
| C1127241 | 14 | 01001101101101001010 | ATAGTCGATC | 10 | 921 |
| C1127241 | 14 | 00100111010011101010 | CACGATACTC | 10 | 922 |
| C1127241 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 923 |
| C1127241 | 14 | 00111011001001010110 | CGTCGCAGAC | 10 | 924 |
| C1127241 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 925 |
| C1127241 | 14 | 00101010111111001000 | CTCTACGTAT | 10 | 926 |
| C1127241 | 14 | 11001010110100110010 | TATCTAGCGC | 10 | 927 |
| C1127241 | 14 | 11001001010101001101 | TATGAGATAG | 10 | 928 |
| C1127241 | 14 | 10100110011010010101 | TCACACTGAG | 10 | 929 |
| C1127241 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 930 |
| C1127242 | 14 | 01101011100110010100 | ACTCGTGTGA | 10 | 931 |
| C1127242 | 14 | 01101001001010100111 | ACTGCTCACG | 10 | 932 |
| C1127242 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 933 |
| C1127242 | 14 | 01001101101101001010 | ATAGTCGATC | 10 | 934 |
| C1127242 | 14 | 00100111010011101010 | CACGATACTC | 10 | 935 |
| C1127242 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 936 |
| C1127242 | 14 | 00111011001001010110 | CGTCGCAGAC | 10 | 937 |
| C1127242 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 938 |
| C1127242 | 14 | 00101010111111001000 | CTCTACGTAT | 10 | 939 |
| C1127242 | 14 | 11001010110100110010 | TATCTAGCGC | 10 | 940 |
| C1127242 | 14 | 11001001010101001101 | TATGAGATAG | 10 | 941 |
| C1127242 | 14 | 10100110011011010100 | TCACACTAGA | 10 | 942 |
| C1127242 | 14 | 10100101110010011001 | TCAGTATGTG | 10 | 943 |
| C1127242 | 14 | 10010011001110111000 | TGCGCGTCGT | 10 | 944 |
| C1127243 | 14 | 01100100111010100110 | ACATACTCAC | 10 | 945 |
| C1127243 | 14 | 01110010011101001100 | ACGCACGATA | 10 | 946 |
| C1127243 | 14 | 01101001100110010101 | ACTGTGTGAG | 10 | 947 |
| C1127243 | 14 | 01011100111001011000 | AGTATACAGT | 10 | 948 |
| C1127243 | 14 | 01001111110010010010 | ATACGTATGC | 10 | 949 |
| C1127243 | 14 | 00110101010100110011 | CGAGAGCGCG | 10 | 950 |
| C1127243 | 14 | 00111011001001010110 | CGTCGCAGAC | 10 | 951 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127243 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 952 |
| C1127243 | 14 | 00101010111001001011 | CTCTACATCG | 10 | 953 |
| C1127243 | 14 | 11100110100100101001 | TACACTGCTG | 10 | 954 |
| C1127243 | 14 | 11001001010101101010 | TATGAGACTC | 10 | 955 |
| C1127243 | 14 | 10100101001111100100 | TCAGCGTACA | 10 | 956 |
| C1127243 | 14 | 10101011001100111000 | TCTCGCGCGT | 10 | 957 |
| C1127243 | 14 | 10010110110111001000 | TGACTAGTAT | 10 | 958 |
| C1127244 | 14 | 01110010110101101000 | ACGCTAGACT | 10 | 959 |
| C1127244 | 14 | 01011011100101010100 | AGTCGTGAGA | 10 | 960 |
| C1127244 | 14 | 01001100101001001111 | ATATCATACG | 10 | 961 |
| C1127244 | 14 | 00100100110111011001 | CATAGTAGTG | 10 | 962 |
| C1127244 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 963 |
| C1127244 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 964 |
| C1127244 | 14 | 00101011001110011010 | CTCGCGTGTC | 10 | 965 |
| C1127244 | 14 | 00101010111100100101 | CTCTACGCAG | 10 | 966 |
| C1127244 | 14 | 11100110011001001100 | TACACACATA | 10 | 967 |
| C1127244 | 14 | 11101001100111001000 | TACTGTGTAT | 10 | 968 |
| C1127244 | 14 | 11010010101010110010 | TAGCTCTCGC | 10 | 969 |
| C1127244 | 14 | 10101101010010110100 | TCTAGATCGA | 10 | 970 |
| C1127244 | 14 | 10010110010100110011 | TGACAGCGCG | 10 | 971 |
| C1127244 | 14 | 10010101111001011000 | TGAGTACAGT | 10 | 972 |
| C1127245 | 14 | 01110101100100111000 | ACGAGTGCGT | 10 | 973 |
| C1127245 | 14 | 01110010101101100100 | ACGCTCGACA | 10 | 974 |
| C1127245 | 14 | 01010111001001101010 | AGACGCACTC | 10 | 975 |
| C1127245 | 14 | 01010010011010011101 | AGCACTGTAG | 10 | 976 |
| C1127245 | 14 | 01001100101100110101 | ATATCGCGAG | 10 | 977 |
| C1127245 | 14 | 01001010010101100111 | ATCAGACACG | 10 | 978 |
| C1127245 | 14 | 00100100110111011001 | CATAGTAGTG | 10 | 979 |
| C1127245 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 980 |
| C1127245 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 981 |
| C1127245 | 14 | 00101011001110011010 | CTCGCGTGTC | 10 | 982 |
| C1127245 | 14 | 11101001010100101100 | TACTGAGCTA | 10 | 983 |
| C1127245 | 14 | 11011100101001010010 | TAGTATCAGC | 10 | 984 |
| C1127245 | 14 | 10101010110010010011 | TCTCTATGCG | 10 | 985 |
| C1127245 | 14 | 10010100111110101000 | TGATACGTCT | 10 | 986 |
| C1127246 | 14 | 01100110100111001100 | ACACTGTATA | 10 | 987 |
| C1127246 | 14 | 01100101001101111000 | ACAGCGACGT | 10 | 988 |
| C1127246 | 14 | 01100100111010100110 | ACATACTCAC | 10 | 989 |
| C1127246 | 14 | 01001011001100101101 | ATCGCGCTAG | 10 | 990 |
| C1127246 | 14 | 01001001110011011010 | ATGTATAGTC | 10 | 991 |
| C1127246 | 14 | 00110110010010111001 | CGACATCGTG | 10 | 992 |
| C1127246 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 993 |
| C1127246 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 994 |
| C1127246 | 14 | 00101010111101010100 | CTCTACGAGA | 10 | 995 |
| C1127246 | 14 | 11101101010010101000 | TACTAGATCT | 10 | 996 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127246 | 14 | 11010100100110010101 | TAGATGTGAG | 10 | 997 |
| C1127246 | 14 | 10101001101001010011 | TCTGTCAGCG | 10 | 998 |
| C1127246 | 14 | 10010011001110011010 | TGCGCGTGTC | 10 | 999 |
| C1127246 | 14 | 10011011111001001000 | TGTCGTACAT | 10 | 1000 |
| C1127247 | 14 | 01100110100111001100 | ACACTGTATA | 10 | 1001 |
| C1127247 | 14 | 01010110011010111000 | AGACACTCGT | 10 | 1002 |
| C1127247 | 14 | 01001011001100101101 | ATCGCGCTAG | 10 | 1003 |
| C1127247 | 14 | 01001001110011011010 | ATGTATAGTC | 10 | 1004 |
| C1127247 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1005 |
| C1127247 | 14 | 00111010100101010011 | CGTCTGAGCG | 10 | 1006 |
| C1127247 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1007 |
| C1127247 | 14 | 00101111101101100000 | CTACGTCGAC | 10 | 1008 |
| C1127247 | 14 | 11101101001010100100 | TACTAGCTCA | 10 | 1009 |
| C1127247 | 14 | 11010100100110010101 | TAGATGTGAG | 10 | 1010 |
| C1127247 | 14 | 10100101101001110010 | TCAGTCACGC | 10 | 1011 |
| C1127247 | 14 | 10101110010101011000 | TCTACAGAGT | 10 | 1012 |
| C1127247 | 14 | 10010011001110011010 | TGCGCGTGTC | 10 | 1013 |
| C1127247 | 14 | 10011011111001001000 | TGTCGTACAT | 10 | 1014 |
| C1127248 | 14 | 01101010101101100100 | ACTCTCGACA | 10 | 1015 |
| C1127248 | 14 | 01010100111001101001 | AGATACACTG | 10 | 1016 |
| C1127248 | 14 | 01001111110010101000 | ATACGTATCT | 10 | 1017 |
| C1127248 | 14 | 01001001100101111010 | ATGTGACGTC | 10 | 1018 |
| C1127248 | 14 | 00100111011010010101 | CACGACTGAG | 10 | 1019 |
| C1127248 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1020 |
| C1127248 | 14 | 00110010011110111000 | CGCACGTCGT | 10 | 1021 |
| C1127248 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1022 |
| C1127248 | 14 | 00101001110011010011 | CTGTATAGCG | 10 | 1023 |
| C1127248 | 14 | 11010100100110011100 | TAGATGTGTA | 10 | 1024 |
| C1127248 | 14 | 11001010010110100110 | TATCAGTCAC | 10 | 1025 |
| C1127248 | 14 | 10110110111010100000 | TCGACTACTC | 10 | 1026 |
| C1127248 | 14 | 10111101001001010100 | TCGTAGCAGA | 10 | 1027 |
| C1127248 | 14 | 10010101001100110011 | TGAGCGCGCG | 10 | 1028 |
| C1127249 | 14 | 01100101001011100101 | ACAGCTACAG | 10 | 1029 |
| C1127249 | 14 | 01010010101010011011 | AGCTCTGTCG | 10 | 1030 |
| C1127249 | 14 | 01001111100100101010 | ATACGTGCTC | 10 | 1031 |
| C1127249 | 14 | 01001001110011111000 | ATGTATACGT | 10 | 1032 |
| C1127249 | 14 | 00100111010110011001 | CACGAGTGTG | 10 | 1033 |
| C1127249 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1034 |
| C1127249 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1035 |
| C1127249 | 14 | 00101010011111010100 | CTCACGTAGA | 10 | 1036 |
| C1127249 | 14 | 11010110011010010100 | TAGACACTGA | 10 | 1037 |
| C1127249 | 14 | 11001010110101001100 | TATCTAGATA | 10 | 1038 |
| C1127249 | 14 | 10100100110010110011 | TCATATCGCG | 10 | 1039 |
| C1127249 | 14 | 10101001100110010110 | TCTGTGTGAC | 10 | 1040 |
| C1127249 | 14 | 10010011101101011000 | TGCGTCGAGT | 10 | 1041 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127249 | 14 | 10011011001001100110 | TGTCGCACAC | 10 | 1042 |
| C1127250 | 14 | 01100110011001111000 | ACACACACGT | 10 | 1043 |
| C1127250 | 14 | 01101010101101001010 | ACTCTCGATC | 10 | 1044 |
| C1127250 | 14 | 01010011001110011001 | AGCGCGTGTG | 10 | 1045 |
| C1127250 | 14 | 01001001011011010011 | ATGACTAGCG | 10 | 1046 |
| C1127250 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1047 |
| C1127250 | 14 | 00111010010010010111 | CGTCATGACG | 10 | 1048 |
| C1127250 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1049 |
| C1127250 | 14 | 00101111101010010010 | CTACGTCTGC | 10 | 1050 |
| C1127250 | 14 | 11100101001100101100 | TACAGCGCTA | 10 | 1051 |
| C1127250 | 14 | 11011010010111001000 | TAGTCAGTAT | 10 | 1052 |
| C1127250 | 14 | 10100110100111010100 | TCACTGTAGA | 10 | 1053 |
| C1127250 | 14 | 10101001100100110011 | TCTGTGCGCG | 10 | 1054 |
| C1127250 | 14 | 10010100111010011010 | TGATACTGTC | 10 | 1055 |
| C1127250 | 14 | 10011011001001100110 | TGTCGCACAC | 10 | 1056 |
| C1127251 | 14 | 01100110011001111000 | ACACACACGT | 10 | 1057 |
| C1127251 | 14 | 01101010101101001010 | ACTCTCGATC | 10 | 1058 |
| C1127251 | 14 | 01010011001110011001 | AGCGCGTGTG | 10 | 1059 |
| C1127251 | 14 | 01001001011011010011 | ATGACTAGCG | 10 | 1060 |
| C1127251 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1061 |
| C1127251 | 14 | 00111010010010010111 | CGTCATGACG | 10 | 1062 |
| C1127251 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1063 |
| C1127251 | 14 | 00101111101010010010 | CTACGTCTGC | 10 | 1064 |
| C1127251 | 14 | 11100101001100101100 | TACAGCGCTA | 10 | 1065 |
| C1127251 | 14 | 11011010010111001000 | TAGTCAGTAT | 10 | 1066 |
| C1127251 | 14 | 10110100100111010100 | TCGATGTAGA | 10 | 1067 |
| C1127251 | 14 | 10101001100100110011 | TCTGTGCGCG | 10 | 1068 |
| C1127251 | 14 | 10010100111010011010 | TGATACTGTC | 10 | 1069 |
| C1127251 | 14 | 10011011001001100110 | TGTCGCACAC | 10 | 1070 |
| C1127252 | 14 | 01100110011001111000 | ACACACACGT | 10 | 1071 |
| C1127252 | 14 | 01101010101101001010 | ACTCTCGATC | 10 | 1072 |
| C1127252 | 14 | 01010011001110011001 | AGCGCGTGTG | 10 | 1073 |
| C1127252 | 14 | 01001001011011010011 | ATGACTAGCG | 10 | 1074 |
| C1127252 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1075 |
| C1127252 | 14 | 00111010010010010111 | CGTCATGACG | 10 | 1076 |
| C1127252 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1077 |
| C1127252 | 14 | 00101111101010010010 | CTACGTCTGC | 10 | 1078 |
| C1127252 | 14 | 11100101001100101100 | TACAGCGCTA | 10 | 1079 |
| C1127252 | 14 | 11011010010111001000 | TAGTCAGTAT | 10 | 1080 |
| C1127252 | 14 | 10101100110011010100 | TCTATATAGA | 10 | 1081 |
| C1127252 | 14 | 10101001100100110011 | TCTGTGCGCG | 10 | 1082 |
| C1127252 | 14 | 10010100111010011010 | TGATACTGTC | 10 | 1083 |
| C1127252 | 14 | 10011011001001100110 | TGTCGCACAC | 10 | 1084 |
| C1127253 | 14 | 01100110011001111000 | ACACACACGT | 10 | 1085 |
| C1127253 | 14 | 01101010101101001010 | ACTCTCGATC | 10 | 1086 |



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| Cluster Id | Member Count | Flowgram TACGTACGTACGTACGTACG (SEQ ID NO: 6) | UID | UID Length | SEQ ID NO |
|---|---|---|---|---|---|
| C1127253 | 14 | 01010011001110011001 | AGCGCGTGTG | 10 | 1087 |
| C1127253 | 14 | 01001001011011010011 | ATGACTAGCG | 10 | 1088 |
| C1127253 | 14 | 00110101010101001110 | CGAGAGATAC | 10 | 1089 |
| C1127253 | 14 | 00111010010010010111 | CGTCATGACG | 10 | 1090 |
| C1127253 | 14 | 00111001101010101100 | CGTGTCTCTA | 10 | 1091 |
| C1127253 | 14 | 00101111101010010010 | CTACGTCTGC | 10 | 1092 |
| C1127253 | 14 | 11100101001100101100 | TACAGCGCTA | 10 | 1093 |
| C1127253 | 14 | 11011010010111001000 | TAGTCAGTAT | 10 | 1094 |
| C1127253 | 14 | 11001100110011010100 | TATATATAGA | 10 | 1095 |
| C1127253 | 14 | 10101001100100110011 | TCTGTGCGCG | 10 | 1096 |
| C1127253 | 14 | 10010100111010011010 | TGATACTGTC | 10 | 1097 |
| C1127253 | 14 | 10011011001001100110 | TGTCGCACAC | 10 | 1098 |

**Example 4- Exemplary computer code for representing and manipulating nucleotide sequences for UID identification**

```
package com.fourfivefour.amplicons;

import java.util.HashSet;
import java.util.Set;

/**
 * Code to implement common operations on Nucleotide Sequences
 *
 *
 *
 */
public class Sequence implements Comparable<Sequence> {
        private String sequence;
        static final char possibleBases[] = { 'A', 'C', 'T', 'G' };

        public Sequence(String sequence) {
                this.sequence = sequence.toUpperCase();
        }

        public String getSequence() {
                return sequence;
        }

        public int hashCode() {
                return sequence.hashCode();
        }

        public boolean equals(Object obj) {
                return ((this == obj) ||
```

```
                ((obj instanceof Sequence) &&
                 sequence.equals(((Sequence) obj).sequence)));
        }

        public int compareTo(Sequence obj) {
                return sequence.compareTo(obj.sequence);
        }

        public String toString() {
                return sequence;
        }


        /**
         * Generate the set of all single base insertions for the
         * Sequence.
         *
         * @return              A set of Sequences representing all single base
         *              insertions of the Sequence.
         */
        public Set<Sequence> generateSingleInsertions() {
                Set<Sequence> insertions = new HashSet<Sequence>();

                int seqLen = sequence.length();
                for (int insertIdx = 0; insertIdx <= seqLen; insertIdx++) {
                        String prefixString = sequence.substring(0, insertIdx);
                        String suffixString = sequence.substring(insertIdx,seqLen);
                        for (char insertBase : possibleBases) {
                                insertions.add(new Sequence(prefixString + insertBase +
suffixString));
                        }
                }
                return insertions;
        }

        /**
         * Generate the set of all single base substitutions for the
         * Sequence.
         *
         * @return              A set of Sequences representing all single base
         *              substitutions of the Sequence.
         */
        public Set<Sequence> generateSingleSubstitutions() {
                Set<Sequence> substitutions = new HashSet<Sequence>();

                int seqLen = sequence.length();
                for (int substBaseIdx = 0; substBaseIdx < seqLen; substBaseIdx++) {
                        String prefixString =
                                sequence.substring(0, substBaseIdx);
                        String suffixString =
```



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```
                        sequence.substring(substBaseIdx + 1, seqLen);
                    char originalBase =
                        sequence.charAt(substBaseIdx);
                    for (char substBase : possibleBases) {
                        if (substBase != originalBase) {
                            substitutions.add(
                             new Sequence(prefixString + substBase + suffixString)
                            );
                        }
                    }
                }
                return substitutions;
            }

            /**
             * Generate the set of all single base deletions for the
             * Sequence.
             *
             * @return              A set of sequences representing all single base
             *          deletions of the Sequence.
             */
            public Set<Sequence> generateSingleDeletions() {
                Set<Sequence> deletions = new HashSet<Sequence>();

                int seqLen = sequence.length();
                for (int deleteBaseIdx = 0; deleteBaseIdx < seqLen; deleteBaseIdx++) {
                    String prefixString =
                        sequence.substring(0, deleteBaseIdx);
                    String suffixString =
                        sequence.substring(deleteBaseIdx + 1, seqLen);
                    deletions.add(new Sequence(prefixString + suffixString));
                }
                return deletions;
            }

            /**
             * Generate all 1-base mutations starting from each of the sequences in
             * the input set of sequences.
             *
             * @param inputSeqs  The input set of sequences.
             * @return      A set of sequences that are exactly one mutation
             *          away from each of the sequences in the input set
             *          of sequences.
             */
            public static Set<Sequence> generateSingleMutations(Set<Sequence> inputSeqs) {
                Set<Sequence> mutatedSequences = new HashSet<Sequence>();
                for (Sequence inputSeq : inputSeqs) {
                    mutatedSequences.addAll(inputSeq.generateSingleDeletions());
                    mutatedSequences.addAll(inputSeq.generateSingleInsertions());
                    mutatedSequences.addAll(inputSeq.generateSingleSubstitutions());
```

```
            }
            return mutatedSequences;
        }
}
```

As stated previously, it will be appreciated that the foregoing computer code is provided for the purposes of example, and that numerous alternative methods and code structures may be employed. It will also be appreciated that the exemplary code provided herein is not intended to execute as a stand alone application or to run perfectly without additional computer code or modification.

Having described various embodiments and implementations, it should be apparent to those skilled in the relevant art that the foregoing is illustrative only and not limiting, having been presented by way of example only. Many other schemes for distributing functions among the various functional elements of the illustrated embodiment are possible. The functions of any element may be carried out in various ways in alternative embodiments.



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## CLAIMS

What is claimed is:

1. An identifier element for identifying an origin of a template nucleic acid molecule, comprising:

a nucleic acid element comprising a sequence composition that enables detection of an introduced error in sequence data generated from the nucleic acid element and correction of the introduced error, wherein the nucleic acid element is constructed to couple with the end of a template nucleic acid molecule and identifies an origin of the template nucleic acid molecule.

2. The identifier element of claim 1, wherein:

the sequence composition enables detection of up to three of the introduced errors and correction for up to two of the introduced errors.

3. The identifier element of claim 1, wherein:

The sequence composition comprises 10 sequence positions.

4. The identifier element of claim 1, wherein:

the introduced error is selected from the group consisting of an insertion error, a deletion error, and a substitution error.

5. The identifier element of claim 1, wherein:

the sequence composition comprises a design based upon a set of parameters selected from the group consisting of minimum sequence length, minimum number of flow cycles, sequence distinctiveness, and monomer repeats.

6. The identifier element of claim 1, wherein:

the sequence composition comprises a design based upon a set of parameters selected from the group consisting of melting temperature, Gibbs free energy, hairpin formation, and dimer formation.

7. The identifier element of claim 1, wherein:



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the nucleic acid element is incorporated into an adaptor comprising a primer element, wherein the adaptor couples with the end of the template nucleic acid molecule.

8. The identifier element of claim 7, wherein:
the nucleic acid element is in a known position relative to the primer element.

9. The identifier element of claim 7, wherein:
the primer element is selected from the group consisting of an amplification primer, a sequencing primer, or a bipartite amplification – sequencing primer.

10. The identifier element of claim 7, wherein:
the adaptor comprises a quality control element.

11. The identifier element of claim 7, wherein:
the nucleic acid element is in a known position relative to the quality control element.

12. The identifier element of claim 1, wherein:
the origin of the template nucleic acid molecule comprises an experimental sample or diagnostic sample.

13. The identifier element of claim 1, wherein:
the nucleic acid element belongs to a set comprising a plurality of compatible nucleic acid elements each comprising a distinctive sequence composition, wherein the detection of the introduced error is relative to the sequence composition of the compatible nucleic acid elements of the set.

14. The identifier element of claim 13, wherein:
the set comprises 14 of the compatible nucleic acid elements.

15. A method for identifying an origin of a template nucleic acid molecule, comprising the steps of:
identifying a first identifier sequence from sequence data generated from a template nucleic acid molecule;



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detecting an introduced error in the first identifier sequence;

correcting the introduced error in the first identifier sequence;

associating the corrected first identifier sequence with a first identifier element coupled to the template molecule; and

identifying an origin of the template molecule using the association of the corrected first identifier sequence with the first identifier element.

16. The method of claim 15, further comprising:

sequencing a template nucleic acid molecule to generate the sequence data.

17. The method of claim 15, wherein:

the template nucleic acid molecule is included in a multiplex sample comprising a plurality of template molecules from a plurality of different origins.

18. The method of claim 15, further comprising:

detecting up to three of the introduced errors in the first identifier sequence; and

correcting up to two of the introduced errors in the first identifier sequence.

19. The method of claim 15, wherein:

the introduced error is selected from the group consisting of an insertion error, a deletion error, and a substitution error.

20. The method of claim 15, wherein the step of detecting comprises:

measuring one or more characteristics of sequence composition in one or more sequence regions that flank the identifier sequence; and

detecting the introduced error using one or more assumptions derived from the measured characteristics.

21. The method of claim 15, wherein:

the first identifier element is incorporated into an adaptor comprising a primer element, wherein the adaptor is coupled to the template nucleic acid molecule.

22. The method of claim 21, wherein:



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the first identifier element is in a known position relative to the primer element.

23. The method of claim 21, wherein:

the primer element is selected from the group consisting of an amplification primer, a sequencing primer, or a bipartite amplification – sequencing primer.

24. The method of claim 21, wherein:

the adaptor comprises a quality control element.

25. The method of claim 21, wherein:

the first identifier element is in a known position relative to the quality control element.

26. The method of claim 15, wherein:

the origin of the template nucleic acid molecule comprises an experimental sample or diagnostic sample.

27. The method of claim 15, further comprising the steps of:

identifying a second identifier sequence from the sequence data generated from the template nucleic acid molecule;

detecting an introduced error in the second identifier sequence;

correcting the introduced error in the second identifier sequence;

associating the corrected second identifier sequence with a second identifier element coupled with the template nucleic acid molecule; and

identifying an origin of the template nucleic acid molecule using the association of the corrected second identifier sequence with the second identifier element combinatorially with the association of the corrected first identifier sequence with the first identifier element.

28. The method of claim 27, further comprising:

detecting up to three of the introduced errors in the second identifier sequence; and

correcting up to two of the introduced errors in the second identifier sequence.

29. The method of claim 15, wherein:



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the introduced error is selected from the group consisting of an insertion error, a deletion error, and a substitution error.

30. The method of claim 15, wherein:

the first identifier belongs to at least one set of compatible identifiers of a plurality of sets of identifiers.

31. The method of claim 15, wherein:

the set of compatible identifiers comprise 14 identifiers that enable the detection and the correction of the introduced error.

32. A kit for identifying an origin of a template nucleic acid molecule comprising:

a set of nucleic acid elements each comprising a distinctive sequence composition that enables detection of an introduced error in sequence data generated from each nucleic acid element and correction of the introduced error, wherein each of the nucleic acid elements is constructed to couple with the end of a template nucleic acid molecule and identifies the origin of the template nucleic acid molecule.

34. The kit of claim 32, wherein:

the distinctive sequence composition enables detection of up to three of the introduced errors and correction for up to two of the introduced errors.

35. The kit of claim 32, wherein:

the introduced error is selected from the group consisting of an insertion error, a deletion error, and a substitution error.

36. The kit of claim 32, wherein:

each nucleic acid element is incorporated into an adaptor comprising a primer element, wherein the adaptor couples with the end of the template nucleic acid molecule.

37. The kit of claim 36, wherein:

the nucleic acid element is in a known position relative to the primer element.



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38. The kit of claim 36, wherein:

the primer element is selected from the group consisting of an amplification primer, a sequencing primer, or a bipartite amplification – sequencing primer.

39. The kit of claim 36, wherein:

the adaptor comprises a quality control element.

40. The kit of claim 36, wherein:

the nucleic acid element is in a known position relative to the quality control element.

41. The kit of claim 32, wherein:

the detection of the introduced error in each of the nucleic acid elements is relative to the distinctive sequence composition of the other nucleic acid elements of the set.

42. The kit of claim 41, wherein:

the set comprises 14 of the nucleic acid elements.

43. A computer, comprising executable code stored thereon, wherein the executable code performs a method for identifying an origin of a template nucleic acid molecule, comprising the steps of:

identifying an identifier sequence from sequence data generated from a template nucleic acid molecule;

detecting an introduced error in the identifier sequence;

correcting the introduced error in the identifier sequence;

associating the corrected identifier sequence with an identifier element coupled with the template molecule; and

identifying an origin of the template molecule using the association of the corrected identifier sequence with the identifier element.

44. The method of claim 43, wherein:

the template nucleic acid molecule is included in a multiplex sample comprising a plurality of template molecules from a plurality of different origins.



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45. The method of claim 43, further comprising:

detecting up to three of the introduced errors in the first identifier sequence; and

correcting up to two of the introduced errors in the first identifier sequence.

46. The method of claim 43, wherein:

the introduced error is selected from the group consisting of an insertion error, a deletion error, and a substitution error.

48. The method of claim 43, wherein the step of identifying further comprises:

determining a position for the identifier sequence using a known positional relationship of one or more elements in the sequence data.

49. The method of claim 48, wherein:

the one or more elements include a primer sequence.

50. The method of claim 43, wherein the step of detecting further comprises:

measuring one or more characteristics of sequence composition in one or more sequence regions that flank the identifier sequence; and

detecting the introduced error using one or more assumptions derived from the measured characteristics.

51. The method of claim 43, further comprising:

identifying a second identifier sequence from the sequence data generated from the template nucleic acid molecule;

detecting an introduced error in the second identifier sequence;

correcting the introduced error in the second identifier sequence;

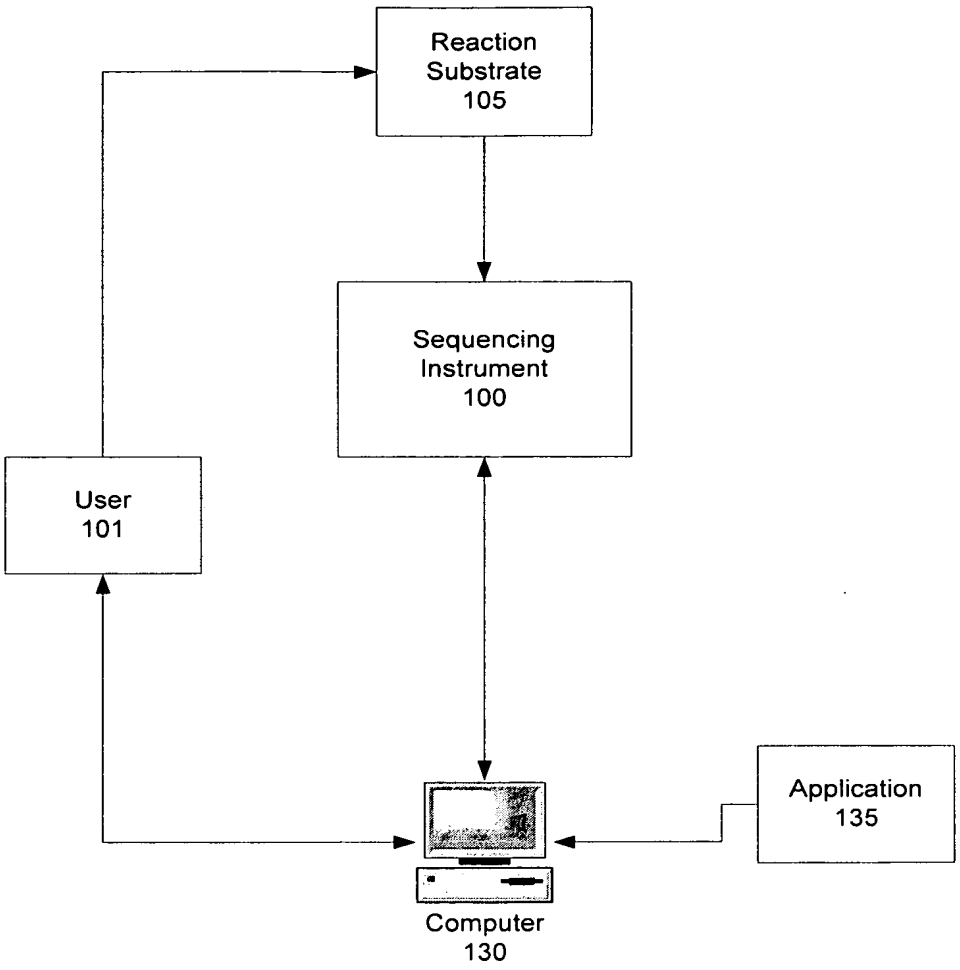
associating the corrected second identifier sequence with a second identifier element coupled with the template molecule; and

identifying an origin of the template molecule using the association of the corrected second identifier sequence with the second identifier element combinatorially with the association of the corrected first identifier sequence with the first identifier element.



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**FIGURE 1**






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FIGURE 2A

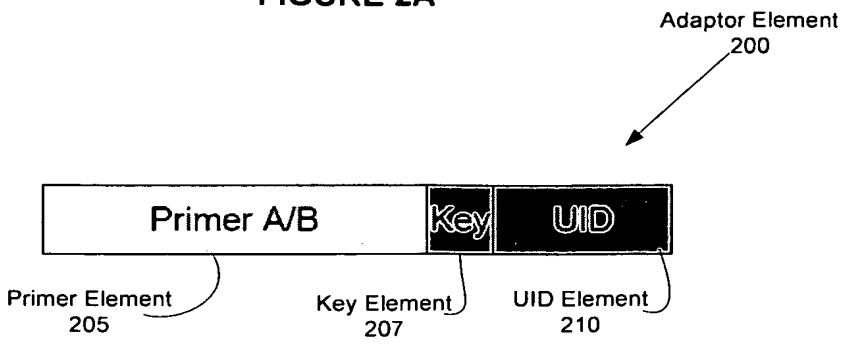
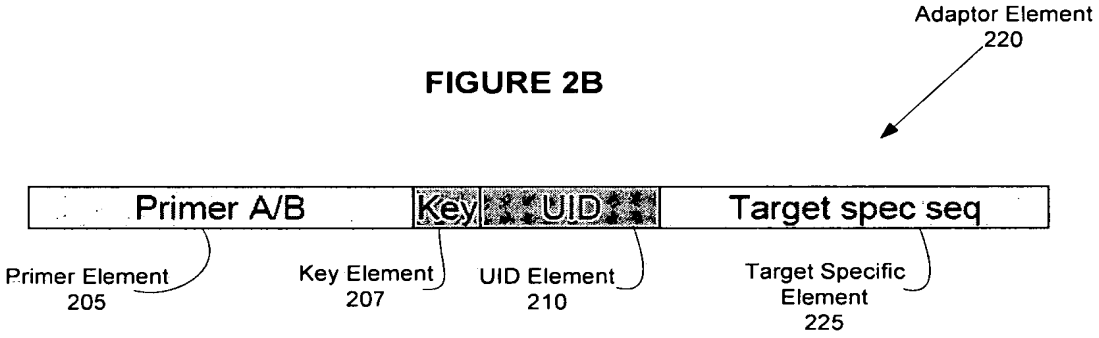


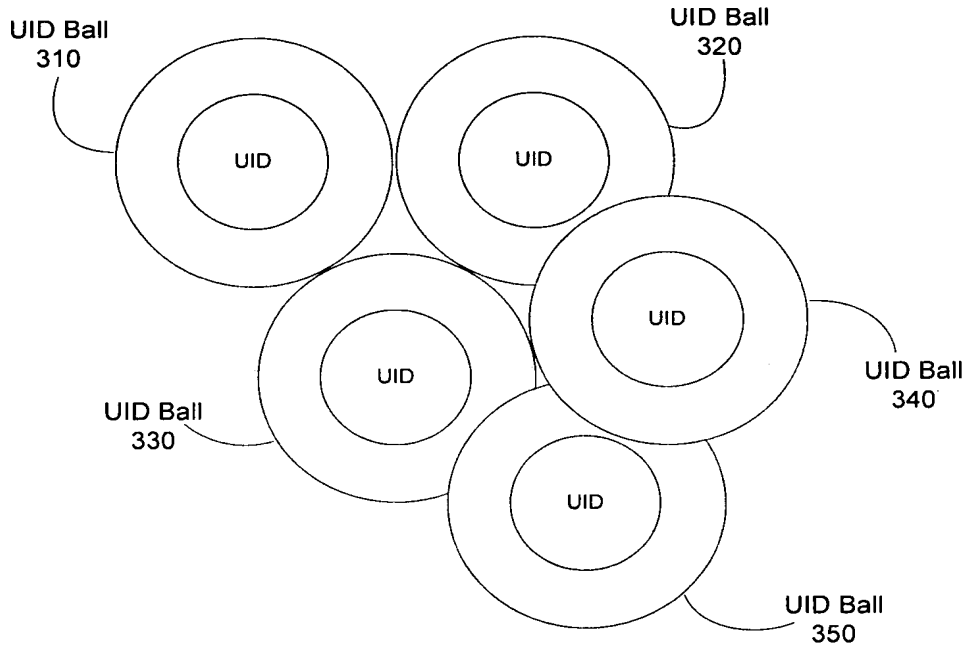

FIGURE 2B






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**FIGURE 3**






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# INTERNATIONAL SEARCH REPORT

International application No.
PCT/US 08/06822

A. CLASSIFICATION OF SUBJECT MATTER
IPC(8) - C12Q 1/68 (2008.04)
USPC - 435/6
According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
USPC - 435/6

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched
USPC - 435/91.2; 536/23.1; 536/25.32; 536/25.4; 536/26.6

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
WEST(PGPB,USPT,USOC,EPAB,JPAB), Google Scholar: (sequencing adaptors origin identify error, "Patrick S. Schnable" origin, "Daniel A. Ashlock" algorithm, sequencing adaptors quality control element error, sequencing adaptors "quality control" element error, sequencing adaptors primer "quality control element" error)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category* | Citation of document, with indication, where appropriate, of the relevant passages | Relevant to claim No. |
|---|---|---|
| X<br>---<br>Y | QIU et al. DNA Sequence-Based "Bar Codes" for Tracking the Origins of Expressed Sequence Tags from a Maize cDNA Library Constructed Using Multiple mRNA Sources. Plant Physiology, 2003, vol 133, pp 475-481; Abstract; pg 475, col 2 para 3; pg 476, col 1 para 1, ln 1-8, para 3; col 2 para 1, ln 1-2; pg 480, col 1, para 3, ln 5-11,14-17, col 2 para 2, ln 7-13, para 3, 6, ln 2-3, para 7, ln 4-5; pg 481, col 1, para 2, 4, 8, ln 1-6 | 1-8, 12-22, 26-31, 43-46, 48-51<br>---<br>9-11, 23-25, 32, 34-42 |
| Y | US 2007/00772208 A1 (DRMANAC) 29 Mar 2007 (29.03.2007); para [0015], [0053] | 9-11, 23-25, 32, 34-42 |
| Y | US 2005/0221341 A1 (SHIMKETS et al) 6 Oct 2005 (06.10.2005); para [0050], [0053] | 10-11, 24-25, 39-40 |

☐ Further documents are listed in the continuation of Box C. ☐

* Special categories of cited documents:
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"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
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| Date of the actual completion of the international search | Date of mailing of the international search report |
|---|---|
| 01 September 2008 (01.09.2008) | 08 SEP 2008 |
| Name and mailing address of the ISA/US<br>Mail Stop PCT, Attn: ISA/US, Commissioner for Patents<br>P.O. Box 1450, Alexandria, Virginia 22313-1450<br>Facsimile No. 571-273-3201 | Authorized officer:<br>Lee W. Young<br>PCT Helpdesk: 571-272-4300<br>PCT OSP: 571-272-7774 |

Form PCT/ISA/210 (second sheet) (April 2007)

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 40069748 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Kelley Warren |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 22-JUL-2020 |
| **Filing Date:** | 15-JAN-2020 |
| **Time Stamp:** | 15:40:19 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | no |

## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | Transmittal Letter | Information_Disclosure_Statement.pdf | 21398<br>2d4b2e09eff92df444ac82fd29b0a9b5e25c4d49 | no | 2 |

**Warnings:**

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| | | | | | |
|---|---|---|---|---|---|
| **Information:** | | | | | |
| 2 | Information Disclosure Statement (IDS) Form (SB08) | 34079_516US_-_Information_Disclosure_Statement_Fillable_PDF_1_of_3.pdf | 1046427<br>4315a7912fa72ee03b2b68e16950e6dfa635a8d4 | no | 40 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | Information Disclosure Statement (IDS) Form (SB08) | 34079_516US_-_Information_Disclosure_Statement_Fillable_PDF_2_of_3.pdf | 1038479<br>865647fa06270a7f6a734ce63410d0ec087d033a | no | 17 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Information Disclosure Statement (IDS) Form (SB08) | 34079_516US_-_Information_Disclosure_Statement_Fillable_PDF_3_of_3.pdf | 1035112<br>3f51cc7caa4bfd0bc95d63677141b3607aa0231f | no | 6 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| A U.S. Patent Number Citation or a U.S. Publication Number Citation is required in the Information Disclosure Statement (IDS) form for autoloading of data into USPTO systems. You may remove the form to add the required data in order to correct the Informational Message if you are citing U.S. References. If you chose not to include U.S. References, the image of the form will be processed and be made available within the Image File Wrapper (IFW) system. However, no data will be extracted from this form. Any additional data such as Foreign Patent Documents or Non Patent Literature will be manually reviewed and keyed into USPTO systems. | | | | | |
| 5 | Foreign Reference | 34079_12US_-_WO2008150432.pdf | 5241093<br>b677cbabd678730feea1a307154627dd261f25f6 | no | 93 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | | **Total Files Size (in bytes):** | 8382509 | |

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**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

Docket No.: NUGN-001/03US
34079/516
(PATENT)

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

In re Patent Application of:
NUGEN TECHNOLOGIES, INC.

Application No.: 16/743,604 Confirmation No.: 3249

Filed: January 15, 2020 Art Unit: 1637

For: COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ Examiner: T. E. Strzelecka

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

## INFORMATION DISCLOSURE STATEMENT (IDS)

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, the attention of the United States Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of the above-identified application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Copies of the references listed below are attached:

| For. Doc. No. | Ctry | Applicant/Patentee | Publication Date |
|---|---|---|---|
| 2008150432 | WO | 454 Life Sciences Corp | December 11, 2008 |

In accordance with 37 C.F.R. § 1.98(d)(1) the remaining references are not supplied because they were previously cited by or submitted to the Office in prior application numbers 15/406,002 filed January 13, 2017 and 14/540,917 filed November 13, 2014 and relied on in the above-identified application for an earlier effective filing date under 35 U.S.C. § 120.

It is submitted that the Information Disclosure Statement is in compliance with 37 C.F.R. § 1.98, and the Examiner is respectfully requested to consider the listed references.

Applicant believes no fee is due with this response.

Dated: July 22, 2020

Respectfully submitted,

Electronic signature: /Thomas C. Meyers/
Thomas C. Meyers
Registration No.: 36,989
BROWN RUDNICK LLP
Brown Rudnick LLP
One Financial Center
Boston, Massachusetts 02111
(617) 856-8200
Attorney for Applicant

PTO/SB/08a (02-18)
Approved for use through 11/30/2020. OMB 0651-0031
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**( Not for submission under 37 CFR 1.99)**

| | |
|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

**U.S.PATENTS** Remove

| Examiner Initial* | Cite No | Patent Number | Kind Code[1] | Issue Date | Name of Patentee or Applicant of cited Document | Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
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| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
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QIAGEN Exhibit 1013.0310

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
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| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
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| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0313

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
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| | Examiner Name | T. E. Strzelecka |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
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| | First Named Inventor | Douglas A. Amorese |
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| | Examiner Name | T. E. Strzelecka |
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| | Application Number | 16743604 |
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| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
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| | Application Number | 16743604 |
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| | Application Number | 16743604 |
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| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0321

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| | Examiner Name | T. E. Strzelecka |
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| | 14 | 2511381 | EP | A1 | 2012-10-17 | Monsanto Technology LLC | | ☐ |
| | 15 | 00/018957 | WO | A1 | 2000-04-06 | Applied Research Systems | | ☐ |
| | 16 | 00/08208 | WO | A2 | 2000-02-17 | Medical Res Council | | ☐ |
| | 17 | 00/39345 | WO | A1 | 2000-07-06 | Dana-farber Cancer Institute, Inc | | ☐ |
| | 18 | 00/52191 | WO | A1 | 2000-09-08 | Life Technologies, Inc | | ☐ |
| | 19 | 00/70039 | WO | A1 | 2000-11-23 | Univ Mcgill | | ☐ |
| | 20 | 01/20035 | WO | A2 | 2001-03-22 | Nugen Technologies, Inc | | ☐ |
| | 21 | 01/23613 | WO | A1 | 2001-04-05 | Isis Pharmaceuticals, Inc | | ☐ |
| | 22 | 01/46464 | WO | A1 | 2001-06-28 | Lion Bioscience AG | | ☐ |
| | 23 | 01/57248 | WO | A2 | 2001-08-09 | Solexa Ltd | | ☐ |



QIAGEN Exhibit 1013.0322

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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|---|---|---|---|---|---|---|---|---|
| | 24 | 01/64952 | WO | A2 | 2001-09-07 | Molecular Staging, Inc | | ☐ |
| | 25 | 02/00938 | WO | A2 | 2002-01-03 | Nugen Tgechnologies, Inc | | ☐ |
| | 26 | 02/060318 | WO | A2 | 2002-08-08 | Univ Ohio State Res Found | | ☐ |
| | 27 | 02/072772 | WO | A2 | 2002-09-19 | Nugen Technologies, Inc | | ☐ |
| | 28 | 02/072773 | WO | A2 | 2002-09-19 | Nugen Technologies, Inc | | ☐ |
| | 29 | 02/081753 | WO | A1 | 2002-10-17 | Advanced Res & Tech Inst | | ☐ |
| | 30 | 02/090584 | WO | A2 | 2002-11-14 | Bio Merieux | | ☐ |
| | 31 | 02/28876 | WO | A2 | 2002-04-11 | Riken | | ☐ |
| | 32 | 02/29117 | WO | A2 | 2002-04-11 | Nugen Technologies, Inc | | ☐ |
| | 33 | 02/36821 | WO | A2 | 2002-05-10 | University College Cork - National University Of I | | ☐ |
| | 34 | 02/48402 | WO | A2 | 2002-06-20 | Nugen Technologies, Inc | | ☐ |



QIAGEN Exhibit 1013.0323

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | 35 | 03/004690 | WO | A2 | 2003-01-16 | 454 Corp | | ☐ |
| | 36 | 03/027259 | WO | A2 | 2003-04-03 | Epigenx Pharmaceuticals, Inc | | ☐ |
| | 37 | 03/078645 | WO | A2 | 2003-09-25 | Nugen Technologies, Inc | | ☐ |
| | 38 | 03/083435 | WO | A2 | 2003-10-09 | Nugen Technologies, Inc | | ☐ |
| | 39 | 03/106642 | WO | A2 | 2003-12-24 | Affymetrix, Inc | | ☐ |
| | 40 | 04/011665 | WO | A2 | 2004-02-05 | Nugen Technologies, Inc | | ☐ |
| | 41 | 2000/09756 | WO | A1 | 2000-02-24 | Perkin Elmer Corp | | ☐ |
| | 42 | 2000/55364 | WO | A2 | 2000-09-21 | Amersham Pharm Biotech UK Ltd | | ☐ |
| | 43 | 2003/002736 | WO | A2 | 2003-01-09 | Roche Diagnostics GmbH | | ☐ |
| | 44 | 2003/012118 | WO | A1 | 2003-02-13 | Affymetrix, Inc | | ☐ |
| | 45 | 2004/070007 | WO | A2 | 2004-08-19 | 454 Corp | | ☐ |



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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | 46 | 2004/092418 | WO | A2 | 2004-10-28 | Nugen Technologies, Inc | | ☐ |
| | 47 | 2005/003375 | WO | A2 | 2005-01-13 | 454 Corp | | ☐ |
| | 48 | 2005/038427 | WO | A2 | 2005-04-28 | Medical Gene Ct Ltd | | ☐ |
| | 49 | 2005/065321 | WO | A2 | 2005-07-21 | Nugen Technologies, Inc | | ☐ |
| | 50 | 2006/081222 | WO | A2 | 2006-08-03 | Compass Genetics, LLC | | ☐ |

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QIAGEN Exhibit 1013.0325

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0326

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0327

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0328

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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QIAGEN Exhibit 1013.0329

| INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99) | | |
|---|---|---|
| | Application Number | 16743604 |
| | Filing Date | 2020-01-15 |
| | First Named Inventor | Douglas A. Amorese |
| | Art Unit | 1637 |
| | Examiner Name | T. E. Strzelecka |
| | Attorney Docket Number | NUGN-001/03US 34079/516 |

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| Examiner Signature | | Date Considered | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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QIAGEN Exhibit 1013.0330

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**( Not for submission under 37 CFR 1.99)**

| | |
|---|---|
| Application Number | 16743604 |
| Filing Date | 2020-01-15 |
| First Named Inventor | Douglas A. Amorese |
| Art Unit | 1637 |
| Examiner Name | T. E. Strzelecka |
| Attorney Docket Number | NUGN-001/03US 34079/516 |

**CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

**OR**

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

See attached certification statement.

The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ A certification statement is not submitted herewith.

**SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

| | | | |
|---|---|---|---|
| Signature | /Thomas C. Meyers/ | Date (YYYY-MM-DD) | 2020-07-22 |
| Name/Print | Thomas C. Meyers | Registration Number | 36,989 |

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



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The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.

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3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.

4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).

5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.

6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).

7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

## PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number: 16/743,604

### APPLICATION AS FILED - PART I

| FOR | (Column 1) NUMBER FILED | (Column 2) NUMBER EXTRA | SMALL ENTITY RATE($) | SMALL ENTITY FEE($) | OR | OTHER THAN SMALL ENTITY RATE($) | OTHER THAN SMALL ENTITY FEE($) |
|---|---|---|---|---|---|---|---|
| BASIC FEE (37 CFR 1.16(a), (b), or (c)) | N/A | N/A | N/A | | | N/A | 300 |
| SEARCH FEE (37 CFR 1.16(k), (i), or (m)) | N/A | N/A | N/A | | | N/A | 660 |
| EXAMINATION FEE (37 CFR 1.16(o), (p), or (q)) | N/A | N/A | N/A | | | N/A | 760 |
| TOTAL CLAIMS (37 CFR 1.16(i)) | 11 minus 20 = | * | | | OR | x 100 = | 0.00 |
| INDEPENDENT CLAIMS (37 CFR 1.16(h)) | 1 minus 3 = | * | | | | x 460 = | 0.00 |
| APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | | | 0.00 |
| MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | | | 0.00 |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | TOTAL | | | TOTAL | 1720 |

### APPLICATION AS AMENDED - PART II

| | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | SMALL ENTITY RATE($) | SMALL ENTITY ADDITIONAL FEE($) | OR | OTHER THAN SMALL ENTITY RATE($) | OTHER THAN SMALL ENTITY ADDITIONAL FEE($) |
|---|---|---|---|---|---|---|---|---|---|---|
| AMENDMENT A | Total (37 CFR 1.16(i)) | * | Minus | ** | = | x = | | OR | x = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | x = | | OR | x = | |
| | Application Size Fee (37 CFR 1.16(s)) | | | | | | | | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | OR | | |
| | | | | | | TOTAL ADD'L FEE | | OR | TOTAL ADD'L FEE | |

| | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | RATE($) | ADDITIONAL FEE($) | | RATE($) | ADDITIONAL FEE($) |
|---|---|---|---|---|---|---|---|---|---|---|
| AMENDMENT B | Total (37 CFR 1.16(i)) | * | Minus | ** | = | x = | | OR | x = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | x = | | OR | x = | |
| | Application Size Fee (37 CFR 1.16(s)) | | | | | | | | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | OR | | |
| | | | | | | TOTAL ADD'L FEE | | OR | TOTAL ADD'L FEE | |

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
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|---|---|---|---|---|---|---|
| 16/743,604 | 01/15/2020 | | 1820 | NUGN-001/03US 34079/516 | 11 | 1 |

**CONFIRMATION NO. 3249**

**UPDATED FILING RECEIPT**

21710
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Receipt is acknowledged of this non-provisional utility patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF FIRST INVENTOR, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection.

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**Inventor(s)**

Douglas A. Amorese, Los Altos, CA;
Jonathan Scolnick, San Francisco, CA;
Benjamin G. Schroeder, San Mateo, CA;

**Applicant(s)**

NUGEN TECHNOLOGIES, INC., Redwood City, CA;

**Power of Attorney:** None

**Domestic Priority data as claimed by applicant**

This application is a CON of 15/406,002 01/13/2017 PAT 10570448
which is a DIV of 14/540,917 11/13/2014 PAT 9546399
which claims benefit of 61/903,826 11/13/2013

**Foreign Applications** for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.
*Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.*

**Permission to Access Application via Priority Document Exchange:** Yes

**Permission to Access Search Results:** Yes



QIAGEN Exhibit 1013.0334

Applicant may provide or rescind an authorization for access using Form PTO/SB/39 or Form PTO/SB/69 as appropriate.

**If Required, Foreign Filing License Granted:** 02/14/2020
The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 16/743,604**
**Projected Publication Date:** 07/30/2020
**Non-Publication Request:** No
**Early Publication Request:** No
**Title**

COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

**Preliminary Class**

**Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications:** No

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## Title 37, Code of Federal Regulations, 5.11 & 5.15

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==========

Sequence Listing was accepted.

If you need help call the Patent Electronic Business Center at (866) 217-9197 (toll free).

Reviewer: Anjum, Durreshwar

Timestamp: [year=2020; month=4; day=17; hr=13; min=32; sec=52; ms=219; ]

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**Validated By CRFValidator v 1.0.5**

Application No: 16743604 Version No: 1.0

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DocCode – SEQ.TXT

# SCORE Placeholder Sheet for IFW Content

Application Number: 16743604 Document Date: 04/17/2020

The presence of this form in the IFW record indicates that the following document type was received in electronic format on the date identified above. This content is stored in the SCORE database.

Since this was an electronic submission, there is no physical artifact folder, no artifact folder is recorded in PALM, and no paper documents or physical media exist. The TIFF images in the IFW record were created from the original documents that are stored in SCORE.

- Sequence Listing

At the time of document entry (noted above):

- USPTO employees may access SCORE content via DAV or via the SCORE web page.
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Form Revision Date: March 1, 2019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|---|---|---|---|
| APPLICANT: | NUGEN TECHNOLOGIES, INC. | ART UNIT: | Unassigned |
| SERIAL NUMBER: | 16/743,604 | CONF. NO.: | 3249 |
| FILING DATE: | January 15, 2020 | EXAMINER: | Unassigned |
| TITLE: | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | | |

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

**FILED ELECTRONICALLY**

## AMENDMENT IN RESPONSE TO NOTICE

This paper is in response to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequence Disclosures mailed February 18, 2020 from the United States Patent and Trademark Office.

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

A **Sequence Listing** is referred to on page 3.

**Amendments to the Claims** begin on page 4.

**Remarks** begin on page 6.

Applicant believes that no fees are due in connection with this Amendment. However, Applicant authorizes any required fees to be charged to Deposit Account No. 500369.

Amendments to the Claims

Pursuant to 37 C.F.R. §1.121(c), this listing of claims will replace all prior versions and listings of claims in this application.

1. - 21. (Cancelled)

22. (New) A method for detecting duplicate sequencing reads, the method comprising:

ligating an adaptor to each of a plurality of nucleic acid fragments, wherein each adaptor comprises a unique identifier having from about 1 to about 8 nucleotides and a primer binding site;

amplifying the adaptor-ligated fragments into amplicons;

sequencing the amplicons to produce sequence reads that include identifier and target sequences; and

identifying sequence reads with identical identifier and target sequences as duplicates.

23. (New) The method of claim 22, further comprising removing a duplicate read from the sequence reads.

24. (New) The method of claim 22, wherein the identifier site is sequenced with the target sequence.

25. (New) The method of claim 22, wherein the identifier site is sequenced separately from the target sequence.

26. (New) The method of claim 22, wherein the nucleic acid fragments are comprise RNA.

27. (New) The method of claim 26, wherein the nucleic acid fragments are genomic DNA fragments or cDNA fragments.



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28. (New) The method of claim 22, wherein the primer binding site is a universal target sequencing primer binding site.

29. (New) The method of claim 22, wherein each unique identifier is 6 nucleotides in length.

30. (New) The method of claim 22, wherein each unique identifier is 8 nucleotides in length.

31. (New) The method of claim 22, wherein each unique identifier is at a junction between the adapter and the nucleic fragment.

32. (New) The method of claim 22, further comprising determining the genomic start position for each sequencing read.

Remarks

By this amendment, claims 1-21 have been cancelled and claims 22-32 added, with claim 22 being the sole independent claim. Support for new claims 22-32 can be found throughout the subject application as originally filed, including at paragraphs [0008], [0013], [0026], [0030]-[0031], [0045], and [0064]-[0070].

No new matter is added.

*Sequence Listing*

The February 18, 2020 Notice to Comply with Requirements for Patent Applications Containing Nucleotide and/or Amino Acid Sequence Disclosures (Notice) requires, pursuant to 37 C.F.R. §1.821(g), the submission of a sequence listing in compliance with 37 C.F.R. §§1.821-1.825.

Applicant is filing herewith a Sequence Listing in computer readable form (CRF) in the ASCII text file named: NUGN-001-03US_SeqList_ST25.txt. The Sequence Listing is 3 kilobytes in size, was created on April 3, 2020 in the IBM-PC machine format, and has an operating system compatibility with MS-Windows.

In accordance with 37 C.F.R. §1.821(g), the Sequence Listing includes no new matter. The sequences were found and identified in the as-filed application, including at paragraphs [0020], [0078], and [0095]-[0100].

In accordance with MPEP §2422.03(a), the ASCII text file of the Sequence Listing will serve as both the paper copy and the computer readable form (CRF) of the Sequence Listing. Accordingly, Applicant is not submitting herewith: (1) a second copy of the sequence listing as a PDF file; (2) a statement under 37 C.F.R. §1.821(f) indicating that the paper copy and CRF of the sequence listing are identical; or (3) a request to use a compliant computer readable form of the sequence listing that is already on file for another application pursuant to 37 C.F.R. §1.821(e).



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The Notice required submission of a substitute specification in compliance with 37 C.F.R. §1.121(b)(3) and §1.125. In accordance with 37 C.F.R. §1.121(b)(3) and §1.125. Applicant is filing herewith a substitute specification that has been amended to refer to the Sequence Listing.

In accordance with 37 C.F.R. §1.125(c), Applicant is also submitting herewith a copy of the substitute specification with markings showing changes necessary to derive the current specification, including those changes made in the January 15, 2020 Preliminary Amendment filed as part of the subject application.

The substitute specification includes no new matter.

Applicant submits that the subject application complies with the requirements of 37 C.F.R. §§1.821-1.825.

If there are any questions concerning this application, please contact Applicant's undersigned representative.

Dated: April 17, 2020

Respectfully submitted,
**BROWN RUDNICK LLP**

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Boston, MA 02111
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/Thomas C. Meyers/
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Attorney for Applicant
Email: tmeyers@brownrudnick.com

63724082

# COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPFICATE SEQUENCING READ

## CROSS-REFERENCE TO RELATED APPLICATIONS

**[0001]** This application is a continuation of U.S. Patent Application Serial No. 15/406,002, filed January 13, 2017, which application is a Division of U.S. Application 14/540,917, filed November 13, 2014, now issued as U.S. Pat. 9,546,399, each of which claims the benefit of U.S. Provisional Application Serial No. 61/903,826, filed November 13, 2013, each of which is herein incorporated by reference in its entirety.

## DESCRIPTION OF THE TEXT FILE SUBMITTED ELECTRONICALLY

**[0002]** The contents of the text file submitted electronically herewith are incorporated herein by reference in their entirety: A computer readable format copy of the Sequence Listing (filename: NUGN-001-03US_SeqList_ST25.txt, date recorded: April 3, 2020, file size 3 kilobytes).

## FIELD OF THE PRESENT INVENTION

**[0003]** The present invention relates generally to the field of high throughput sequencing reactions and the ability to discern artifacts arising through sequence duplications from nucleotide molecules that are unique molecules.

## BACKGROUND OF THE PRESENT INVENTION

**[0004]** In RNA sequencing applications, accurate gene expression measurements may be hampered by PCR duplicate artifacts that occur during library amplification. When analyzing RNA sequencing data, when two or more identical sequences are found, it can be difficult to know if these represent unique cDNA molecules derived independently from different RNA molecules, or if they are PCR duplicates derived from a single RNA molecule. In genotyping by

sequencing, duplicate reads can be considered non-informative and may be collapsed down to a single read, thus reducing the number of sequencing reads used in final analysis. Generally, sequencing reads may be determined to be duplicates if both forward and reverse reads have identical starting positions, even though two independently generated molecules can have identical starting positions by random chance. Single primer extension based targeted re-sequencing suffers from an issue in that only one end of a sequencing read is randomly generated, while the other (reverse read) end is generated by a specific probe. This may make it difficult to determine if two reads are duplicates because they have been duplicated by PCR or because by chance they happened to start at the same position.

**[0005]** In expression analysis studies there may be limited value in doing paired end sequencing since the goal of the experiment is to determine amounts of transcript present as opposed to studying exon usage. In these studies, paired end sequencing adds costs while the only value is in helping distinguish PCR duplicates. The probability of two reads starting in the same position on only one end is higher than the probability of two reads having the same starting position on two ends (forward and reverse read). There is a need for improved methods that allow for low-cost, high throughput sequencing of regions of interest, genotyping or simple detection of RNA transcripts without inherent instrument inefficiencies that drive up sequencing costs due to the generation of unusable or non-desired data reads. The invention described herein fulfills this need. Here, we describe an adaptor approach that allows for the identification of true PCR duplicates and their removal.

**[0006]** The methods of the present invention provide novel methods for identifying true duplicate reads during sequencing, such as to improve data analysis of sequencing data, and other related advantages.

## SUMMARY OF THE PRESENT INVENTION

**[0007]** The present invention is based, in part, on compositions and methods for discerning duplicate sequencing reads from a population of sequencing reads. The detection and/or removal of duplicate sequencing reads presented herein is a novel approach to increasing the efficacy of evaluating data generated from high throughput sequence reactions, including complex multiplex sequence reactions.

**[0008]** Accordingly, the present invention provides a method of detecting a duplicate sequencing read from a population of sample sequencing reads, the method comprising ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, wherein the adaptor comprises an indexing primer binding site, an indexing site, an identifier site, and a target sequence primer binding site. The ligated adaptor-nucleic acid fragment products can be amplified, thus generating a population of sequencing reads from the amplified adaptor-nucleic acid ligation products. The sequencing reads with a duplicate identifier site and target sequence can then be detected from the population of sequencing reads. The methods can further include the removal of the sequencing reads with the duplicate identifier site and target sequence from the population of sequence reads.

**[0009]** In some embodiments, the identifier site is sequenced with the indexing site or the target sequence. In further embodiments, the identifier site is sequenced separately from the indexing site or the target sequence.

**[0010]** In some embodiments, the adaptor comprises from 5' to 3' the indexing primer binding site; the indexing site; the identifier site; and the target sequence primer binding site. In further embodiments, the adaptor comprises from 5' to 3' the indexing primer binding site; the indexing site; the target sequence primer binding site; and the identifier site.

**[0011]** In some embodiments, the plurality of nucleic acid fragments is generated from more than one sample. In some embodiments, the nucleic acid fragments from each sample have the same indexing site. In some embodiments, the sequencing reads are separated based on the indexing site. In yet other embodiments, the separation of sequencing reads is performed prior to detecting sequence reads with a duplicate identifier site and target sequence.

**[0012]** In some embodiments, the nucleic acid fragments are DNA fragments, RNA fragments, or DNA/RNA fragments. In further embodiments, the nucleic acid fragments are genomic DNA fragments or cDNA fragments.

**[0013]** In some embodiments, the indexing site is between 2 and 8 nucleotides in length. In further embodiments, the indexing site is about 6 nucleotides in length. In some embodiments, the identifier site is between 1 and 8 nucleotides in length. In further embodiments, the identifier site is about 8 nucleotides in length.

**[0014]** In some embodiments, the indexing primer binding site is a universal indexing primer binding site; and in some embodiments, the target sequence primer binding site is a universal target sequence primer binding site.

**[0015]** The present invention also encompasses embodiments that include a kit comprising a plurality of adaptors, wherein each adaptor comprise an indexing primer binding site; an indexing site, and identifier site, and a target sequencing primer binding site.

## BRIEF DESCRIPTION OF THE DRAWINGS

**[0016]** A better understanding of the novel features of the invention and advantages of the present invention will be obtained by reference to the following description that sets forth

illustrative embodiments, in which the principles of the invention are utilized, and the accompanying drawings of which:

**[0017] Figure 1** depicts a schematic of generating sequencing reads of a library including where an indexing primer and a target sequence primer anneal.

**[0018] Figure 2A** depicts a mechanism of the Single Primer Enrichment Technology (SPET) and how an identifier site is carried over into the final library and how sequencing through the indexing site into the identifier site provides data on which nucleic acid molecule is being identified.

**[0019] Figure 2B** is a continuation of Figure 2A.

**[0020] Figure 3** offers a detailed view of the sequence of an example adaptor, among many envisioned embodiments, and the position of the indexing and identifier sites (SEQ ID NO: 1). "N" refers to any nucleic acid.

**[0021] Figure 4** depicts a schematic of two separate sequence libraries, indicating where the indexing primers and the target primers anneal in a traditional library as compared to a library using an identifier site.

**[0022] Figure 5** depicts a data table demonstrating the accuracy of resolving true duplicates versus apparent or perceived duplicates using an identifier site in the adaptors.

## DETAILED DESCRIPTION OF THE PRESENT INVENTION

**[0023]** The present invention is based, in part, on compositions and methods for discerning duplicate sequencing reads from a population of sequencing reads. The present invention encompasses methods of detecting sequences duplicated in sequencing applications, and further removal of the duplicated sequence reads. The present invention further encompasses kits

comprising components that would allow for customized applications of the method of detecting and removing duplicated sequence reads in high throughput sequencing reactions. The compositions and methods can be used with various applications for genetic sample analysis, such as RNA sequence analysis, copy number variation analysis, methylation sequencing analysis, genotyping and whole genome amplification.

**[0024]** Reference will now be made in detail to exemplary embodiments of the invention. While the disclosed methods and compositions will be described in conjunction with the exemplary embodiments, it will be understood that these exemplary embodiments are not intended to limit the present invention. On the contrary, the present disclosure is intended to encompass alternatives, modifications and equivalents, which may be included in the spirit and scope of the present invention.

**[0025]** Unless otherwise specified, terms and symbols of genetics, molecular biology, biochemistry and nucleic acid used herein follow those of standard treatises and texts in the field, e.g. Kornberg and Baker, *DNA Replication,* Second Edition (W.H. Freeman, New York, 1992); Lehninger, *Biochemistry,* Second Edition (Worth Publishers, New York, 1975); Strachan and Read, Human *Molecular Genetics,* Second Edition (Wiley-Liss, New York, 1999); Eckstein, editor, *Oligonucleotides and Analogs: A Practical Approach* (Oxford University Press, New York, 1991); Gait, editor, *Oligonucleotide Synthesis: A Practical Approach* (IRL Press, Oxford, 1984); and the like.

**[0026]** In some embodiments, the methods disclosed herein is for detecting from a population of sequencing reads a sequencing read, such as a duplicate sequencing read with a duplicate identifier site and target sequence. A duplicate sequencing read can be a sequencing read with

the same identifier site and target sequence as another sequencing read in the population of sequencing reads.

***Adaptor***

**[0027]** The present invention provides compositions of adaptors and methods comprising use of an adaptor. An adapter refers to an oligonucleotide sequence, the ligation of which to a target polynucleotide or a target polynucleotide strand of interest enables the generation of amplification-ready products of the target polynucleotide or the target polynucleotide strand of interest. The target polynucleotide molecules may be fragmented or not prior to the addition of adaptors. In some embodiments, a method disclosed herein comprises ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples.

**[0028]** Various adaptor designs are envisioned which are suitable for generation of amplification-ready products of target sequence regions/strands of interest. For example, the two strands of the adaptor may be self-complementary, non-complementary or partially complementary. In some embodiments, the adaptor can comprise an indexing primer binding site, an indexing site, an identifier site, and a target sequence primer binding site.

**[0029]** An indexing primer binding site is a nucleotide sequence for binding a primer for an indexing site. An indexing site is a nucleic acid sequence that acts as an index for multiple polynucleotide samples, thus allowing for the samples to be pooled together into a single sequencing run, which is known as multiplexing. In some embodiments, the indexing site is at least 2, 3, 4, 5, 6, 7, 8, 9, or 10 nucleotides in length. In some embodiments, the indexing site is between 2 and 8 nucleotides in length. In some embodiments, the indexing site is about 6 nucleotides in length.

**[0030]** An identifier site is a nucleic acid sequence that comprises random bases and is used to identify duplicate sequencing reads. In some embodiments, the identifier site is at least 2, 3, 4, 5, 6, 7, 8, 9, or 10 nucleotides in length. In some embodiments, the identifier site is between 1 and 8 nucleotides in length. In some embodiments, the identifier site is about 8 nucleotides in length. This identifier site can be designed as a set of sequences, or it can be semi-random, or it can be completely random. In addition, this identifier site can be a fixed length, or it can be a variable length. In some embodiments, the identifier sites in a plurality of adaptors are of a fixed length. For example, the identifier sites can all be eight random bases. In another embodiment, the identifier sites in a plurality of adaptors are of a variable length. For example, the identifier sites can range in size from 1 to 8 bases. In yet another embodiment, the identifier sites can be of a defined set of defined sequence. For example, the identifier site of a plurality of adaptors can be one of 96 defined six-base nucleotide sequences.

**[0031]** A target sequence primer binding site nucleotide sequence for binding a primer for a target sequence. The primer can be used to amplify the target sequence (e.g., a nucleic acid fragment from a sample). Accordingly, in some embodiments, the adaptor comprises an indexing primer binding site and a target sequence primer binding site.

**[0032]** A primer is a polynucleotide chain, typically less than 200 residues long, most typically between 15 and 100 nucleotides long, but can encompass longer polynucleotide chains. A primer targeting the primer binding sites are typically designed to hybridize to single-stranded nucleic acid strands. In some embodiments, the primers targeting the primer binding sites are designed to hybridize to single-stranded DNA targets. In the case where the sample comprises genomic DNA or other double-stranded DNA, the sample can be first denatured to render the target single stranded and enable hybridization of the primers to the desired sequence regions of

interest. In these embodiments, the methods and compositions described herein can allow for region-specific enrichment and amplification of sequence regions of interest. In some embodiments, the other double-stranded DNA can be double-stranded cDNA generated by first and second strand synthesis of one or more target RNAs.

**[0033]** In other embodiments, the primers targeting the primer binding sites are designed to hybridize to double-stranded nucleic acid targets, without denaturation of the double stranded nucleic acids. In other embodiments, the primers targeting the primer binding sites are designed to hybridize to a double-stranded DNA target, without denaturation of the dsDNA. In these embodiments, the primers targeting the selected sequence regions of interest are designed to form a triple helix (triplex) at the selected sequence regions of interest. The hybridization of the primers to the double-stranded DNA sequence regions of interest can be carried out without prior denaturation of the double stranded nucleic acid sample. In such embodiments, the methods and compositions described herein can allow for region-specific enrichment as well as strand-specific enrichment and amplification of sequence regions of interest. This method can be useful for generation of copies of strand specific sequence regions of interest from complex nucleic acid without the need to denature the dsDNA input DNA, thus enabling enrichment and analysis of multiplicity of sequence regions of interest in the native complex nucleic acid sample. The method can find use for studies and analyses carried out in situ, enable studies and analysis of complex genomic DNA in single cells or collection of very small well defined cell population, as well as permit the analysis of complex genomic DNA without disruption of chromatin structures.

**[0034]** The primers of the invention are generally oligonucleotides that are employed in an extension reaction by a polymerase along a polynucleotide template, such as for amplification of a target sequence (e.g., in PCR). The oligonucleotide primer can be a synthetic polynucleotide

that is single stranded, containing a sequence at its 3'-end that is capable of hybridizing with a sequence of the target polynucleotide. In some embodiments, the 3' region of the primer that hybridizes with the target nucleic acid has at least 80%, preferably 90%, more preferably 95%, most preferably 100%, complementarity to a primer binding site.

**[0035]** In some embodiments, the primer binding site is a binding site for a universal primer. A universal primer is a primer that can be used for amplifying a number of different sequences. In some embodiments, a universal primer is used to amplify different libraries. In some embodiments, an indexing primer binding site is a binding site for a universal indexing primer (i.e., the indexing primer binding site is a universal indexing primer binding site). In some embodiments, the adaptors used for ligating a plurality of nucleic acid fragments have a universal indexing primer binding site. In some embodiments, the universal indexing primer can be used to amplify and/or sequence a number of different indexing sites.

**[0036]** In some embodiments, a target sequence primer binding site is a binding site for a universal target sequence primer (i.e., the target sequence primer binding site is a universal target sequence primer binding site). In some embodiments, the adaptors used for ligating a plurality of nucleic acid fragments have a universal target sequence primer binding site. In some embodiments, the universal target sequence primer can be used to amplify and/or sequence a number of different target sequences.

**[0037]** In some embodiments, the adaptor comprises an identifier site 3' to an indexing site. In some embodiments, the adaptor comprises an identifier site 5' to an indexing site. In some embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, indexing site, identifier site, and target sequence primer binding site. In other embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, indexing site, identifier site, and target

sequence primer binding site. In yet other embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, identifier site, indexing site, and target sequence primer binding site.

***Samples***

**[0038]** In some embodiments, an adaptor is ligated to a nucleic acid fragment (e.g., the 5' end of the nucleic acid fragment). The nucleic acid fragment can be from a plurality of nucleic acid fragments from one or more samples. The nucleic acid fragment can be RNA, DNA, or complex DNA, for example genomic DNA and PNA, in which case one might use a modified nucleic acid. The nucleic acid fragment may also be cDNA. The cDNA can be generated from RNA, e.g., mRNA.

**[0039]** The sample can be a biological sample. For example, the sample can be an animal, plant, bacterial, algal, or viral sample. In some embodiments, the sample is a human, rat, or mouse sample. The sample can be from a mixture of genomes of different species such as host-pathogen, bacterial populations and the like. The sample can be cDNA made from a mixture of genomes of different species. In some embodiments, the sample can be from a synthetic source. The sample can be mitochondrial DNA. The sample can be cell-free DNA. The cell-free DNA can be obtained from sources such as a serum or a plasma sample. The sample can comprise one or more chromosomes. For example, if the sample is from a human, the sample can comprise one or more of chromosome 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, X, or Y. In some embodiments, the sample comprises a linear or circular genome. The sample can be plasmid DNA, cosmid DNA, bacterial artificial chromosome (BAC), or yeast artificial chromosome (YAC). The sample can be from more than one individual or organism. The sample

can be double-stranded or single-stranded. The sample can be part of chromatin. The sample can be associated with histones.

**[0040]** In some embodiments, adaptors are ligated to a plurality of nucleic acid fragments from more than one sample, such as 2, 3, 4, 5, or more samples. In some embodiments, the nucleic acid fragments from each sample have the same indexing site. In some embodiments, a plurality of nucleic acid fragments is generated from a first sample and a second sample and adaptors are ligated to each nucleic acid fragment, in which adaptors ligated to each nucleic acid fragment from the first sample have the same first indexing site and adaptors ligated to nucleic acid fragments from the second sample has the same second indexing site. In some embodiments, the nucleic acid fragments or data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site.

**[0041]** In some embodiments, a population of nucleic acid fragments generated from a sample is of one or more specific size range(s). In some embodiments, the fragments have an average length from about 10 to about 10,000 nucleotides. In some embodiments, the fragments have an average length from about 50 to about 2,000 nucleotides. In some embodiments, the fragments have an average length from about 100-2,500, 10-1,000, 10-800, 10-500, 50-500, 50-250, or 50-150 nucleotides. In some embodiments, the fragments have an average length less than 10,000 nucleotide, such as less than 5,000 nucleotides, less than 2,500 nucleotides, less than 2,500 nucleotides, less than 1,000 nucleotides, less than 500 nucleotides, such as less than 400 nucleotides, less than 300 nucleotides, less than 200 nucleotides, or less than 150 nucleotides.

**[0042]** In some embodiments, fragmentation of the nucleic acids can be achieved through methods known in the art. Fragmentation can be achieved through physical fragmentation methods and/or enzymatic fragmentation methods. Physical fragmentation methods can include

nebulization, sonication, and/or hydrodynamic shearing. In some embodiments, the fragmentation can be accomplished mechanically comprising subjecting the nucleic acids in the input sample to acoustic sonication. In some embodiments, the fragmentation comprises treating the nucleic acids in the input sample with one or more enzymes under conditions suitable for the one or more enzymes to generate double-stranded nucleic acid breaks. Examples of enzymes useful in the generation of nucleic acid or polynucleotide fragments include sequence specific and non-sequence specific nucleases. Non-limiting examples of nucleases include DNase I, Fragmentase, restriction endonucleases, variants thereof, and combinations thereof. Reagents for carrying out enzymatic fragmentation reactions are commercially available (e.g., from New England Biolabs). For example, digestion with DNase I can induce random double-stranded breaks in DNA in the absence of $Mg^{++}$ and in the presence of $Mn^{++}$. In some embodiments, fragmentation comprises treating the nucleic acids in the input sample with one or more restriction endonucleases. Fragmentation can produce fragments having 5' overhangs, 3' overhangs, blunt ends, or a combination thereof. In some embodiments, such as when fragmentation comprises the use of one or more restriction endonucleases, cleavage of sample polynucleotides leaves overhangs having a predictable sequence. In some embodiments, the method includes the step of size selecting the fragments via standard methods known in the art such as column purification or isolation from an agarose gel.

**[0043]** In some embodiments, fragmentation of the nucleic acids is followed by end repair of the nucleic acid fragments. End repair can include the generation of blunt ends, non-blunt ends (i.e. sticky or cohesive ends), or single base overhangs such as the addition of a single dA nucleotide to the 3'-end of the nucleic acid fragments, by a polymerase lacking 3'-exonuclease activity. End repair can be performed using any number of enzymes and/or methods known in the art

including, but not limited to, commercially available kits such as the Encore™ Ultra Low Input NGS Library System I. In some embodiments, end repair can be performed on double stranded DNA fragments to produce blunt ends wherein the double stranded DNA fragments contain 5' phosphates and 3' hydroxyls. In some embodiments, the double-stranded DNA fragments can be blunt-end polished (or "end-repaired") to produce DNA fragments having blunt ends, prior to being joined to adapters. Generation of the blunt ends on the double stranded fragments can be generated by the use of a single strand specific DNA exonuclease such as for example exonuclease 1, exonuclease 7 or a combination thereof to degrade overhanging single stranded ends of the double stranded products. Alternatively, the double stranded DNA fragments can be blunt ended by the use of a single stranded specific DNA endonuclease, for example, but not limited to, mung bean endonuclease or S1 endonuclease. Alternatively, the double stranded products can be blunt ended by the use of a polymerase that comprises single stranded exonuclease activity such as for example T4 DNA polymerase, or any other polymerase comprising single stranded exonuclease activity or a combination thereof to degrade the overhanging single stranded ends of the double stranded products. In some cases, the polymerase comprising single stranded exonuclease activity can be incubated in a reaction mixture that does or does not comprise one or more dNTPs. In other cases, a combination of single stranded nucleic acid specific exonucleases and one or more polymerases can be used to blunt end the double stranded fragments generated by fragmenting the sample comprising nucleic acids. In still other cases, the nucleic acid fragments can be made blunt ended by filling in the overhanging single stranded ends of the double stranded fragments. For example, the fragments may be incubated with a polymerase such as T4 DNA polymerase or Klenow polymerase or a combination thereof in the presence of one or more dNTPs to fill in the single stranded portions

of the double stranded fragments. Alternatively, the double stranded DNA fragments can be made blunt by a combination of a single stranded overhang degradation reaction using exonucleases and/or polymerases, and a fill-in reaction using one or more polymerases in the presence of one or more dNTPs.

**[0044]** U.S. Patent Publication Nos. 2013-0231253 A1 and 2014-0274729 A1 further describe methods of generating nucleic acid fragments, methods of modifying the fragments and analysis of the fragments, and are incorporated by reference in their entirety herein.

***Ligation of Adaptors***

**[0045]** Ligation of adaptors at the desired end of the sequence regions of interest (e.g., at the 5' or 3' end of a nucleic acid fragment generated form a sample) is suitable for carrying out the methods of the invention. Various ligation modalities are envisioned, dependent on the choice of nucleic acid, nucleic acid modifying enzymes and the resulting ligatable end of the nucleic acid. For example, when a blunt end product comprising the target region/sequence of interest is generated, blunt end ligation can be suitable. Alternatively, where the cleavage is carried out using a restriction enzyme of known sequence specificity, leading to the generation of cleavage sites with known sequence overhangs, suitable ends of the adaptors can be designed to enable hybridization of the adaptor to the cleavage site of the sequence region of interest and subsequent ligation. Ligation also refers to any joining of two nucleic acid molecules that results in a single nucleic acid sequence that can be further modified to obtain the sequence of the nucleic acids in question. Reagents and methods for efficient and rapid ligation of adaptors are commercially available, and are known in the art.

**[0046]** In some embodiments, the 5' and/or 3' end nucleotide sequences of fragmented nucleic acids are not modified or end-repaired prior to ligation with the adapter oligonucleotides of the present invention. For example, fragmentation by a restriction endonuclease can be used to leave

a predictable overhang, followed by ligation with one or more adapter oligonucleotides comprising an overhang complementary to the predictable overhang on a nucleic acid fragment. In another example, cleavage by an enzyme that leaves a predictable blunt end can be followed by ligation of blunt-ended nucleic acid fragments to adapter oligonucleotides comprising a blunt end. In some embodiments, end repair can be followed by an addition of 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20 or more nucleotides, such as one or more adenine, one or more thymine, one or more guanine, or one or more cytosine, to produce an overhang. Nucleic acid fragments having an overhang can be joined to one or more adapter oligonucleotides having a complementary overhang, such as in a ligation reaction. For example, a single adenine can be added to the 3' ends of end-repaired DNA fragments using a template independent polymerase, followed by ligation to one or more adapters each having a thymine at a 3' end. In some embodiments, adapter oligonucleotides can be joined to blunt end double-stranded nucleic acid fragments which have been modified by extension of the 3' end with one or more nucleotides followed by 5' phosphorylation. In some cases, extension of the 3' end can be performed with a polymerase such as for example Klenow polymerase or any of the suitable polymerases provided herein, or by use of a terminal deoxynucleotide transferase, in the presence of one or more dNTPs in a suitable buffer containing magnesium. In some embodiments, nucleic acid fragments having blunt ends can be joined to one or more adapters comprising a blunt end. Phosphorylation of 5' ends of nucleic acid fragments can be performed for example with T4 polynucleotide kinase in a suitable buffer containing ATP and magnesium. The fragmented nucleic acid molecules may optionally be treated to dephosphorylate 5' ends or 3' ends, for example, by using enzymes known in the art, such as phosphatases.

**[0047]** In some embodiments, appending the adaptor to the nucleic acid fragments generated by methods described herein can be achieved using a ligation reaction or a priming reaction. In some embodiments, appendage of an adaptor to the nucleic acid fragments comprises ligation. In some embodiments, ligation of the adaptor to the nucleic acid fragments can be following end repair of the nucleic acid fragments. In another embodiment, the ligation of the adaptor to the nucleic acid fragments can be following generation of the nucleic acid fragments without end repair of the nucleic acid fragments. The adaptor can be any type of adaptor known in the art including, but not limited to, conventional duplex or double stranded adaptors in which the adaptor comprises two complementary strands. In some embodiments, the adaptor can be a double stranded DNA adaptor. In some embodiments, the adaptor can be an oligonucleotide of known sequence and, thus, allow generation and/or use of sequence specific primers for amplification and/or sequencing of any polynucleotides to which the adaptor is appended or attached. In some embodiments, the adaptor can be a conventional duplex adaptor, wherein the adaptor comprises sequence well known in the art. In a some embodiments, the adaptor can be appended to the nucleic acid fragments generated by the methods described herein in multiple orientations. In some embodiment, the methods described herein can involve the use of a duplex adaptor comprising double stranded DNA of known sequence that is blunt ended and can bind to the double stranded nucleic acid fragments generated by the methods described herein in one of two orientations. In some embodiments, the adaptor can be ligated to each of the nucleic acid fragments such that each of the nucleic acid fragments comprises the same adaptor. In other words, each of the nucleic acid fragments comprises a common adaptor. In another embodiment, an adaptor can be appended or ligated to a library of nucleic acid fragments generated by the methods described herein such that each nucleic acid fragment in the library of nucleic acid

fragments comprises the adaptor ligated to one or both ends. In another embodiment, more than one adaptor can be appended or ligated to a library of nucleic acid fragments generated by the methods described herein. The multiple adaptors may occur adjacent to one another, spaced intermittently, or at opposite ends of the nucleic acid fragments. In some embodiments, the adaptor can be ligated or appended to the 5' and/or 3' ends of the nucleic acid fragments generated by the methods described herein. The adaptor can comprise two strands wherein each strand comprises a free 3' hydroxyl group but neither strand comprises a free 5' phosphate. In some embodiments, the free 3' hydroxyl group on each strand of the adaptor can be ligated to a free 5' phosphate present on either end of the nucleic acid fragments of the present invention. In this embodiment, the adaptor comprises a ligation strand and a non-ligation strand whereby the ligation strand can be ligated to the 5' phosphate on either end of the nucleic acid fragment while a nick or gap can be present between the non-ligation strand of the adaptor and the 3' hydroxyl on either end of the nucleic acid fragment. In some embodiments, the nick or gap can be filled in by performing a gap repair reaction. In some embodiments, the gap repair can be performed with a DNA dependent DNA polymerase with strand displacement activity. In some embodiments, the gap repair can be performed using a DNA-dependent DNA polymerase with weak or no strand displacement activity. In some embodiments, the ligation strand of the adaptor can serve as the template for the gap repair or fill-in reaction. The gap repair or fill-in reaction may comprise an extension reaction wherein the ligation strand of the adaptor serves as a template and leads to the generation of nucleic acid fragments with complementary termini or ends. In some embodiments, the gap repair can be performed using Taq DNA polymerase. In some embodiments, the ligation of the first adaptor to the nucleic acid fragments generated by the



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methods described herein may not be followed by gap repair. The nucleic acid fragments may comprise the adaptor sequence ligated only at the 5' end of each strand.

**[0048]** Ligation and, optionally gap repair, of the adaptor to the nucleic acid fragments generates an adaptor-nucleic acid fragment complex. In some embodiments, the adaptor-nucleic acid fragment complex can be denatured. Denaturation can be achieved using any of the methods known in the art including, but not limited to, physical, thermal, and/or chemical denaturation. In some embodiments, denaturation can be achieved using thermal or heat denaturation. In some embodiments, denaturation of the adaptor-nucleic acid fragment complex generates single stranded nucleic acid fragments comprising the adaptor sequence at only the 5'end of the nucleic acid fragments. In another embodiment, denaturation of the first adaptor-nucleic acid fragment complex generates single stranded nucleic acid fragments comprising adaptor sequence at both the 5'end and 3'end of the nucleic acid fragments.

***Methods of Amplification***

**[0049]** The methods, compositions and kits described herein can be useful to generate amplification-ready products directly from a nucleic acid source for downstream applications such as next generation sequencing, as well as generation of libraries with enriched population of sequence regions of interest. In some embodiments, the adapter-nucleic fragment ligated products, e.g., from the ligation of an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, is amplified.

**[0050]** Methods of amplification are well known in the art. In some embodiments, the amplification is exponential, e.g. in the enzymatic amplification of specific double stranded sequences of DNA by a polymerase chain reaction (PCR). In other embodiments the amplification method is linear. In other embodiments the amplification method is isothermal. In

some embodiments, the amplification is exponential, e.g. in the enzymatic amplification of specific double stranded sequences of DNA by a polymerase chain reaction (PCR).

**[0051]** Suitable amplification reactions can be exponential or isothermal and can include any DNA amplification reaction, including but not limited to polymerase chain reaction (PCR), strand displacement amplification (SDA), linear amplification, multiple displacement amplification (MDA), rolling circle amplification (RCA), single primer isothermal amplification (SPIA, see e.g. U.S. Pat. No, 6,251,639), Ribo-SPIA, or a combination thereof. In some cases, the amplification methods for providing the template nucleic acid may be performed under limiting conditions such that only a few rounds of amplification (e.g., 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30 etc.), such as for example as is commonly done for cDNA generation. The number of rounds of amplification can be about 1-30, 1-20, 1-15, 1-10, 5-30, 10-30, 15-30, 20-30, 10-30, 15-30, 20-30, or 25-30.

**[0052]** PCR is an in vitro amplification procedure based on repeated cycles of denaturation, oligonucleotide primer annealing, and primer extension by thermophilic template dependent polynucleotide polymerase, resulting in the exponential increase in copies of the desired sequence of the polynucleotide analyte flanked by the primers. The two different PCR primers, which anneal to opposite strands of the DNA, are positioned so that the polymerase catalyzed extension product of one primer can serve as a template strand for the other, leading to the accumulation of a discrete double stranded fragment whose length is defined by the distance between the 5' ends of the oligonucleotide primers.

**[0053]** LCR uses a ligase enzyme to join pairs of preformed nucleic acid probes. The probes hybridize with each complementary strand of the nucleic acid analyte, if present, and ligase is



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employed to bind each pair of probes together resulting in two templates that can serve in the next cycle to reiterate the particular nucleic acid sequence.

**[0054]** SDA (Westin et a 2000, Nature Biotechnology, 18, 199-202; Walker et al 1992, Nucleic Acids Research, 20, 7, 1691-1696), is an isothermal amplification technique based upon the ability of a restriction endonuclease such as HincII or BsoBI to nick the unmodified strand of a hemiphosphorothioate form of its recognition site, and the ability of an exonuclease deficient DNA polymerase such as Klenow exo minus polymerase, or Bst polymerase, to extend the 3'-end at the nick and displace the downstream DNA strand. Exponential amplification results from coupling sense and antisense reactions in which strands displaced from a sense reaction serve as targets for an antisense reaction and vice versa.

**[0055]** Some aspects of the invention utilize linear amplification of nucleic acids or polynucleotides. Linear amplification generally refers to a method that involves the formation of one or more copies of the complement of only one strand of a nucleic acid or polynucleotide molecule, usually a nucleic acid or polynucleotide analyte. Thus, the primary difference between linear amplification and exponential amplification is that in the latter process, the product serves as substrate for the formation of more product, whereas in the former process the starting sequence is the substrate for the formation of product but the product of the reaction, i.e. the replication of the starting template, is not a substrate for generation of products. In linear amplification the amount of product formed increases as a linear function of time as opposed to exponential amplification where the amount of product formed is an exponential function of time.

***Downstream Applications***

**[0056]** One aspect of the present invention is that the methods and compositions disclosed herein can be efficiently and cost-effectively utilized for downstream analyses, such as in next generation sequencing or hybridization platforms, with minimal loss of biological material of interest. The methods of the present invention can also be used in the analysis of genetic information of selective genomic regions of interest (e.g., analysis of SNPs or other disease markers) as well as genomic regions which may interact with the selective region of interest. The methods of the present invention may further be used in the analysis of copy number variation as well as differential expression.

***Sequencing***

**[0057]** In some embodiments, a population of sequencing reads is generated from the amplified adapter-nucleic fragment ligated products. In some embodiments, a sequencing read comprises an index read, which comprises the sequence of an indexing site. In some embodiments, an index read comprises the sequence of an indexing site and the sequence of an identifier site. For example, the indexing site is sequenced with the identifier site. In some embodiments, the index read does not include the sequence of an identifier site. For example, the indexing site is not sequenced with the identifier site. In some embodiments, a sequencing read comprises the target sequence. In some embodiments, a sequencing read comprises a target sequence and an identifier sequence. For example, the target sequence is sequenced with the identifier site. In some embodiments, the target sequence is not sequenced with the identifier site.

**[0058]** The methods of the present invention are useful for sequencing by the method commercialized by Illumina, as described U.S. Pat Nos. 5,750,341; 6,306,597; and 5,969,119.

**[0059]** In general, double stranded fragment polynucleotides can be prepared by the methods of the present invention to produce amplified nucleic acid sequences tagged at one (e.g., (A)/(A') or both ends (e.g., (A)/(A') and (C)/(C')). In some cases, single stranded nucleic acid tagged at one or both ends is amplified by the methods of the present invention (e.g., by SPIA or linear PCR).The resulting nucleic acid is then denatured and the single-stranded amplified polynucleotides are randomly attached to the inside surface of flow-cell channels. Unlabeled nucleotides are added to initiate solid-phase bridge amplification to produce dense clusters of double-stranded DNA. To initiate the first base sequencing cycle, four labeled reversible terminators, primers, and DNA polymerase are added. After laser excitation, fluorescence from each cluster on the flow cell is imaged. The identity of the first base for each cluster is then recorded. Cycles of sequencing are performed to determine the fragment sequence one base at a time.

**[0060]** In some embodiments, the methods of the invention are useful for preparing target polynucleotides for sequencing by the sequencing by ligation methods commercialized by Applied Biosystems (e.g., SOLiD sequencing). In other embodiments, the methods are useful for preparing target polynucleotides for sequencing by synthesis using the methods commercialized by 454/Roche Life Sciences, including but not limited to the methods and apparatus described in Margulies et al., *Nature* (2005) 437:376-380 (2005); and U.S. Pat. Nos. 7,244,559; 7,335,762; 7,211,390; 7,244,567; 7,264,929; and 7,323,305. In other embodiments, the methods are useful for preparing target polynucleotide(s) for sequencing by the methods commercialized by Helicos BioSciences Corporation (Cambridge, Mass.) as described in U.S. application Ser. No. 11/167,046, and U.S. Pat. Nos. 7,501,245; 7,491,498; 7,276,720; and in U.S. Patent Application Publication Nos. US20090061439; US20080087826; US20060286566; US20060024711;

US20060024678; US20080213770; and US20080103058. In other embodiments, the methods are useful for preparing target polynucleotide(s) for sequencing by the methods commercialized by Pacific Biosciences as described in U.S. Pat. Nos. 7,462,452; 7,476,504; 7,405,281; 7,170,050; 7,462,468; 7,476,503; 7,315,019; 7,302,146; 7,313,308; and US Application Publication Nos. US20090029385; US20090068655; US20090024331; and US20080206764.

**[0061]** An example of a sequencing technique that can be used in the methods of the provided invention is semiconductor sequencing provided by Ion Torrent (e.g., using the Ion Personal Genome Machine (PGM)). Ion Torrent technology can use a semiconductor chip with multiple layers, e.g., a layer with micro-machined wells, an ion-sensitive layer, and an ion sensor layer. Nucleic acids can be introduced into the wells, e.g., a clonal population of single nucleic can be attached to a single head, and the bead can be introduced into a well. To initiate sequencing of the nucleic acids on the beads, one type of deoxyribonucleotide (e.g., dATP, dCTP, dGTP, or dTTP) can be introduced into the wells. When one or more nucleotides are incorporated by DNA polymerase, protons (hydrogen ions) are released in the well, which can be detected by the ion sensor. The semiconductor chip can then be washed and the process can be repeated with a different deoxyribonucleotide. A plurality of nucleic acids can be sequenced in the wells of a semiconductor chip. The semiconductor chip can comprise chemical-sensitive field effect transistor (chemFET) arrays to sequence DNA (for example, as described in U.S. Patent Application Publication No. 20090026082). Incorporation of one or more triphosphates into a new nucleic acid strand at the 3' end of the sequencing primer can be detected by a change in current by a chemFET. An array can have multiple chemFET sensors.

**[0062]** Another example of a sequencing technique that can be used in the methods of the provided invention is nanopore sequencing (see e.g., Soni G V and Meller A. (2007) *Clin Chem*

53: 1996-2001). A nanopore can be a small hole of the order of 1 nanometer in diameter. Immersion of a nanopore in a conducting fluid and application of a potential across it can result in a slight electrical current due to conduction of ions through the nanopore. The amount of current that flows is sensitive to the size of the nanopore. As a DNA molecule passes through a nanopore, each nucleotide on the DNA molecule obstructs the nanopore to a different degree. Thus, the change in the current passing through the nanopore as the DNA molecule passes through the nanopore can represent a reading of the DNA sequence.

***Data Analysis***

**[0063]** In some embodiments, the sequence reads are used in the analysis of genetic information of selective genomic regions of interest as well as genomic regions which may interact with the selective region of interest. Amplification methods as disclosed herein can be used in the devices, kits, and methods known to the art for genetic analysis, such as, but not limited to those found in U.S. Pat. Nos. 6,449,562, 6,287,766, 7,361,468, 7,414,117, 6,225,109, and 6,110,709.

**[0064]** In some embodiments, the sequencing reads are used to detect duplicate sequencing reads. In some embodiments, a sequencing read is identified as a duplicate sequencing read when it contains an identifier site and target sequence that is the same as another sequencing read from the same population of sequencing reads.

**[0065]** In some embodiments, duplicate sequencing reads are differentiated from one another as being true duplicates versus apparent or perceived duplicates. Apparent or perceived duplicates may be identified from sequencing libraries and using conventional measures of duplicate reads (i.e., reads were mapped using bowtie), where all reads with the same start and end nucleic acid coordinates were counted as duplicates. True duplicates may be identified from sequencing

libraries having had an identifier site introduced through ligation to differentiate between fragments of DNA that randomly have the same start and end mapping coordinates.

**[0066]** In some embodiments, the sequence of the identifier sites from the index read of two nucleic acids generated from any dsDNA may have the same start site, as determined from the sequencing reads of the target sequence of the generated nucleic acid fragments. If the identifier site from the index read of the two nucleic acid fragments are not identical, then the target sequence reads were not generated from the same original dsDNA molecule and, therefore, are no true duplicate reads. The ligation of random sequences onto dsDNA molecules, accompanied by the methods of the invention, allow for the identification of true duplicate reads versus apparent or perceived duplicate reads.

**[0067]** In some embodiments, the sequence of the identifier sites from the index read of two nucleic acid fragments generated from a genomic DNA (gDNA) molecule that have the same start site, which can be determined from the sequencing reads of the target sequence of the nucleic acid fragments is determined. If the identifier site from the index read of the two nucleic acid fragments are not identical, then the target sequence reads were not generated from the same original gDNA molecule and, therefore, are not true duplicate reads. In another embodiment, an identifier site is inserted at the adapter insert junction. The sequence of the identifier site is carried through the library amplification step. The identifier site is the first sequence read during the forward read. As the identifier sequence is not logically present adjacent to naturally occurring sequence, this uniquely identifies the DNA fragment. Therefore, by ligating random sequences onto the original gDNA, the methods of the invention identify true duplicate reads.

**[0068]** In some embodiments, a duplicate sequencing read is detected and analyzed. Duplicate reads can be filtered using 'samtools rmdup', wherein reads with identical external coordinates

are removed, only one read with highest mapping quality is retained. After filtering, a filtered set of deduplicated reads can be used in any downstream analysis. Conversely, this filtering step can be skipped, and downstream analysis can be done using the unfiltered reads, including duplicates.

**[0069]** In some embodiments, sequencing reads are generated from a number of samples. In some embodiments, adaptors are ligated to a plurality of nucleic acid fragments from the samples, in which the nucleic acid fragments from each sample has the same indexing site. In some embodiments, a plurality of nucleic acid fragments is generated from a first sample and a second sample and adaptors are ligated to each nucleic acid fragment, in which adaptors ligated to each nucleic acid fragment from the first sample have the same first indexing site and adaptors ligated to nucleic acid fragments from the second sample has the same second indexing site. In some embodiments, the data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site before sequencing reads of the target sequence and/or identifier site are analyzed. In some embodiments, the nucleic acid fragments or data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site before duplicate sequencing reads are analyzed and/or removed.

**[0070]** In some embodiments, a method disclosed herein identifies or detects one or more true duplicate(s) with increased accuracy as compared to other methods. For example, in some embodiments, a method disclosed herein identify true duplicates (in contrast to identifying apparent or perceived duplicates) with increased accuracy as compared to other methods. The increased resolution and/or accuracy in identifying one or more true duplicate(s) can provide a considerable contribution to the state of the art in more accurately identifying true duplicates. In some embodiments, a method disclosed herein identifies or detects a true duplicate with

increased efficiency as compared to other methods, such as paired end sequencing. The increase in accuracy, resolution, and/or efficiency in detecting duplicate reads (e.g., true duplicate(s)) can increase confidence in sequencing results, such as for expression and CNV analysis.

***Kits***

**[0071]** Any of the compositions described herein may be comprised in a kit. In a non-limiting example, the kit, in a suitable container, comprises: an adaptor or several adaptors, one or more of oligonucleotide primers and reagents for amplification.

**[0072]** The containers of the kits will generally include at least one vial, test tube, flask, bottle, syringe or other containers, into which a component may be placed, and preferably, suitably aliquotted. Where there is more than one component in the kit, the kit also will generally contain a second, third or other additional container into which the additional components may be separately placed. However, various combinations of components may be comprised in a container.

**[0073]** When the components of the kit are provided in one or more liquid solutions, the liquid solution can be an aqueous solution. However, the components of the kit may be provided as dried powder(s). When reagents and/or components are provided as a dry powder, the powder can be reconstituted by the addition of a suitable solvent.

**[0074]** A kit may include instructions for employing the kit components as well the use of any other reagent not included in the kit. Instructions may include variations that can be implemented.

**[0075]** In some embodiments, the invention provides kits containing any one or more of the elements disclosed in the above methods and compositions. In some embodiments, a kit comprises a composition of the invention, in one or more containers. In some embodiments, the

invention provides kits comprising adapters, primers, and/or other oligonucleotides described herein. In some embodiments, the kit further comprises one or more of: (a) a DNA ligase, (b) a DNA-dependent DNA polymerase, (c) an RNA-dependent DNA polymerase, (d) a forward adapter (e) one or more oligonucleotides comprising reverse adaptor sequence and (f) one or more buffers suitable for one or more of the elements contained in said kit. The adapters, primers, other oligonucleotides, and reagents can be, without limitation, any of those described above. Elements of the kit can further be provided, without limitation, in any of the amounts and/or combinations (such as in the same kit or same container) described above. The kits may further comprise additional agents, such as those described above, for use according to the methods of the invention. For example, the kit can comprise a first forward adaptor that is a partial duplex adaptor as described herein, a second forward adapter, and a nucleic acid modifying enzyme specific for a restriction and/or cleavage site present in the first forward adaptor. The kit elements can be provided in any suitable container, including but not limited to test tubes, vials, flasks, bottles, ampules, syringes, or the like. The agents can be provided in a form that may be directly used in the methods of the invention, or in a form that requires preparation prior to use, such as in the reconstitution of lyophilized agents. Agents may be provided in aliquots for single-use or as stocks from which multiple uses, such as in a number of reaction, may be obtained.

**[0076]** In some embodiments, the kit comprises a plurality of adaptor oligonucleotides, wherein each of the adaptor oligonucleotides comprises at least one of a plurality of identifier site sequences, wherein each identifier site sequence of the plurality of identifier site sequences differs from every other identifier site sequence in said plurality of identifier site sequences at at least three nucleotide positions, and instructions for using the same. Adapters comprising



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different identifier site sequences can be supplied individually or in combination with one or more additional adapters having a different identifier site sequence. In some embodiments, the kit can comprises a plurality of adapter oligonucleotides.

## EXAMPLES

*Example 1: Identification of Duplicate Sequencing Reads with NuGEN Ovation Target Enrichment Library System*

**[0077]** Sample Description: 100ng of DNA from a human HapMap sample (NA19238) was fragmented to approximately 500 base pair in length by sonication with a Covaris system (Covaris, Inc., Woburn, MA). The resulting DNA was treated with end repair enzyme mix NuGEN R01280 and R01439 (NuGEN Technologies, Inc., San Carlos, CA) according to supplier's recommendation to produce blunt ended DNA fragments.

**[0078]** Library Generation. Enrichment, and Identifier Site Incorporation: An oligonucleotide with segments, from 5' to 3' of the top strand, 1) an Illumina indexing read priming site such as AGAGCACACGTCTGAACTCCAGTCAC (SEQ ID NO:2), 2) an indexing site, 3) an identifier site having a random 6 base sequence and, 4) a sequence compatible with an Illumina forward sequencing priming site such as TCTTTCCCTACACGACGCTCTTCCGATCT (SEQ ID NO:3) , was annealed to a second oligonucleotide to form a partially double stranded DNA adapter. Five uM of these adapters were ligated onto the end-repaired DNA using Ligase and Ligase reaction buffer from NuGEN's Ovation Ultralow Library System (NuGEN Technologies, Inc., San Carlos, CA) according to supplier's recommendations. Following 30 minutes of incubation at 25°C, the reaction mixture was diluted with water, 0.8X volume of Ampure XP magnetic beads (Agencourt Biosciences Corporation, A Beckman Coulter Company, Beverly, MA) was added and the solution thoroughly mixed. The beads were collected, washed and the ligated

DNA fragments eluted according to manufacturer's recommendations. A pool of targeting probes was annealed to the eluted DNA fragments by initially heating the solution to 95°C then slowly cooling the mixture from 80°C to 60°C by 0.6 degrees/minute. Targeting probes that were specifically annealed were extended with Taq DNA polymerase (New England Biolabs, Inc., Ipswich, MA) according to the manufacturer's protocols. Following extension, the DNA fragments were collected on Agencourt magnetic beads, washed and eluted according to manufacturer's recommendations. These libraries were enriched by 30 cycles of PCR using NuGEN library enrichment primers (Ovation Target Enrichment Library System, NuGEN Technologies, Inc., San Carlos, CA) that also contain the Illumina flow cell sequences (Illumina Inc., San Diego, CA) according to supplier's recommendation.

**[0079]** The resulting libraries were quantitated by qPCR using a kit provided by KAPA, diluted to 2nM and applied to an Illumina MiSeq DNA Sequencer (Illumina Inc., San Diego, CA). The following series was run: 36 base first read, 14 base second read, and 24 base third read.

**[0080]** *Data Analysis:* The sequencer output was processed in accordance with manufacturer's recommendation. In order to analyze the data, the indexing read was split into two files. The first file contained the first 8 bases of the indexing reads and is utilized as the library index file for standard library parsing. The other file contains only the random bases and is set aside for further sequence parsing.

**[0081]** Following our data analysis pipeline of sequence alignment with bowtie aligner (Langmead B. et al., Ultrafast and memory-efficient alignment of short DNA sequences to the human genome. *Genome Biol.* 2009, 10:R2.), duplicate reads were identified by their genomic start positions. At this point, sequencing reads that started at the same genomic position were checked against the random bases file to see if they have the same or different set of random



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bases that were ligated to them. Where two sequences with the same starting genomic coordinate had the same set of random bases, they were considered to have come from the same initial DNA ligation event, regardless of which Ovation Target Enrichment targeting probe was used to generate the sequence fragment in question. These sequences, therefore, did not provide unique information about the starting genomic DNA and are considered as one sequencing read for the purpose of variant analysis. Two sequence reads with the same starting genomic coordinate that have different random bases were derived from unique ligation events and were considered to both be valid sequencing reads for the purpose of variant identification. **Figure 5** provides the analysis results demonstrating the identification of the duplicate reads. The use of an identifier site allowed for the determination of the number of true duplications versus the number of apparent or perceived duplicates.

**[0082]** If the sequences of two libraries are identical, their duplication status is unknown since this could occur by chance in any library. If an identifier sequence is used in combination with the library reads, the status can be determined (duplicates if identical, distinct if different). With the SPET system, one end is common so the probability of two libraries having identical ends increases. These would appear to be duplicate sequences and their true status can be determined by looking at an identifier sequence.

**[0083]** Over the sampling of all randomly selected reads, the use of identifier sites provided an increased resolution on the presence of true duplicates. When evaluating two million random reads, the apparent duplicates were found to comprise 39% of all reads. However, the true duplicates, identified through the use of an identifier site, were found to comprise only 26% of all reads. The methods employing the use of an identifier site were found to considerably increase the resolution of the true number of duplicates within the pool of reads.



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*Example 2: Removal of Duplicate Sequencing Reads with 8 Base Identifier Site*

**[0084]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0085]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites. This identifier site is designed as eight random bases introduced onto the end of the adaptor. Sequence reads from libraries made with such adaptors contain the 8 bases of the identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 3: Removal of Duplicate Sequencing Reads with Mixture of Random 1-8 Base Identifier Sites*

**[0086]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the

ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0087]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites.

**[0088]** One to eight random bases are introduced onto the end of the adaptor. Sequence reads from libraries made with such adaptors contain between 1 and 8 bases of the identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 4: Removal of Duplicate Sequencing Reads with Mixture of 96 Defined 6-Base Identifier Sites*

**[0089]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0090]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites.

**[0091]** A mixture of 96 defined six-bases sequences are introduced onto the end of the adaptors. Thus, each six-base sequence is an identifier site. Sequence reads from libraries made with such adaptors contain one of the 96 six-base identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 5: Identification of Duplicate Sequencing Reads in Determining mRNA Expression Levels*

**[0092]** Sample Description: Total RNA is extracted from tumor and normal adjacent tissue for the purpose of finding differences in expression levels of transcripts between the two sample types. l00ng of each sample is converted into cDNA using the USP primers, reaction buffer, and Reverse Transcriptase provided in NuGEN's Encore Complete Library System (NuGEN Technologies, Inc., San Carlos, CA) according to the supplier's recommendations. This is followed by second strand synthesis, again using materials provided in the kit according to recommendations. Double stranded cDNA was prepared using the Superscript® Double-Stranded cDNA Synthesis Kit from Life Technologies (Carlsbad, CA) according the manufacturer's instructions. DNA was sheared with a Covaris S-series device (Covaris, Inc., Woburn, MA) using the 200 bp sonication protocol provided with the instrument (10% duty cycle, 200 cycles/burst, 5 intensity, 180 seconds). DNA was treated with 1.5 uL 10X Blunting Buffer, 0.5 uL Blunting Enzyme (New England Biolabs, Inc., Ipswich, MA; p/n E1201) and 1.2 uL of 2.5mM of each dNTP mix in a total volume of 15 uL for 30 minutes at 25°C followed by 10 minutes at 70°C.

**[0093]** *Library Generation*: The DNA fragments were then subjected to end repair using end repair buffers and enzymes provided in NuGEN's Ovation Ultralow Library System (NuGEN Technologies, Inc., San Carlos, CA).

**[0094]** Forward adaptor 5'

**[0095]** AATGATACGGCGACCACCGAGATCTACACTCTTTCCCTACACGACGCTCTTCC GATCTNNNNNNNN (SEQ ID NO:4),

**[0096]** Reverse adaptor 1) 5'

**[0097]** CAAGCAGAAGACGGCATACGAGATTCCCTTGTGACTGGAGTTCAGACGTGTG CTCTTCCGATCTNNNNNNNN (SEQ ID NO:5),

**[0098]** Reverse adaptor 2) 5'

**[0099]** CAAGCAGAAGACGGCATACGAGATTGAAGGGTGACTGGAGTTCAGACGTGT GCTCTTCCGATCNNNNNNNN (SEQ ID NO:6), and

**[0100]** Common partner 5' NNNNNNNNAGATCGGAAGAGC (SEQ ID NO:7) were all ordered from IDT (Integrated DNA Technologies, Coralville, IA). The reverse adaptors each contain a unique identifier (underlined) that enables libraries made with these adapters to be distinguished. In this case N represents an equimolar mixture of A, C, G, and T. A mixture of 5uM forward, 5uM reverse, and l0uM common in l0mM MgCl2, 50mM Tris pH 8 was heated to 95C for 5 minutes, then cooled to 20C. Adaptor ligation was performed by addition of 4.5 uL water, 3 uL Adaptor mix (prepared above), 6 uL 5X NEBNext Quick Ligation Reaction Buffer and 1.5 uL Quick T4 DNA Ligase (New England Biolabs, Inc., Ipswich, MA; p/n E6056), followed by incubation for 30 minutes at 25°C followed by 10 minutes at 70°C. Ligation products were purified by adding 70uL water and 80 uL of Ampure XP beads (Agencourt Genomics), washing twice with 70% ethanol and eluting with 20 uL of l0mM Tris pH 8.0.

Library products were amplified in a 50uL PCR containing 0.5uM each of primer (5' AATGATACGGCGACCACCGA (SEQ ID NO:8), and 5' CAAGCAGAAGACGGCATACGA (SEQ ID NO:9), 10 mM Tris-HCl, pH 8.3, 50 mM KCl, 2 mM MgCl2, 0.2mM each dNTP, and 1 unit Taq polymerase. The reaction was cycled 15 times under the conditions 95C for 15 seconds, 60C for 1 minute. PCR products were purified with 1 volume of Ampure XP beads (Agencourt Biosciences Corporation, A Beckman Coulter Company, Beverly, MA) as described above. The library was analyzed by HS DNA Bioanalyzer (Agilent Technologies, Santa Clara, CA) and quantitated with the KAPA Library Quantification Kit (KAPA Biosystems, Wilmington, MA; p/n KK4835) according to the supplied instructions. The resulting libraries are combined and are compatible with standard TruSeq single end or paired Illumina sequencing protocols for GAIIx, MiSeq, or Hi Seq sequencing instruments (Illumina Inc., San Diego, CA). The following series is run: 50 base first read, 6 base second read. A third read is not required for counting purposes or duplication analysis.

**[0101]** Data Analysis: The sequencer output was processed in accordance with manufacturer's recommendation. The 6 bases of the index read is used for standard library parsing, separating the data files from the two sample types. The first 50 bases of the target sequence read are compared to each other. Any read that has identical sequence to any other read is identified as a duplicate and removed from the population, thus, only a single copy is retained within the file. Once the duplicate reads have been removed, 8 bases are trimmed from each read. The trimmed reads are aligned to a reference genome. Differential expression is then determined by comparing FPKM (fragments per kilobase per million reads) values between libraries utilizing scripts such as cufflinks or cuffdiff (Trapnell et al. 2010, Nature Biotechnology, 28, 511-515; Trapnell et al. 2013, Nature Biotechnology, 31, 46-53).

*Example 6: Sequencing of the Identifier Site With the Target Sequence in Paired End Reads*

**[0102]** The Ovation Library System for Low Complexity Samples (NuGEN Technologies, Inc., San Carlos, CA) was used to generate four libraries, each from a single amplicon, following manufacturer's protocol. Purified libraries were mixed and sequenced as a multiplex on the Illumina MiSeq (Illumina Inc., San Diego, CA) to produce 125nt forward, 8nt index 1, 8nt index 2, and 25nt reverse reads. Because all amplicon reads start and end at the same sequence coordinates, the traditional method of marking library PCR duplicates (marking reads that start and end at the same genomic coordinates as duplicates) cannot be used. Instead, the 0-8nt of random sequence contained in the adaptors ligated to the amplicon were treated as an identifier sequence and used to mark duplicates. Any paired end reads that shared the same length and sequence of these random bases with any other paired end read was called a duplicate. The table below shows the results of this duplicate marking.

Table 1.

| Library | Reads | Duplicate Reads | Reads from independent molecules |
|---|---|---|---|
| 1 | 454249 | 376797 | 77452 |
| 2 | 439367 | 364001 | 75366 |
| 3 | 317760 | 253057 | 64703 |
| 4 | 476572 | 398380 | 78192 |

**[0103]** Table 1 demonstrates the accuracy of the method used to differentiate between duplicate reads and reads from truly independent molecules. The population of reads from independent molecules, depicted in the final column of Table 1, represent sequences from independent amplicon molecules used in generating the libraries.



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*Example 7: Sequencing of the Identifier Site With the Target Sequence in Reduced Representation Bisulfite (RRBS) Libraries*

**[0104]** Reduced representation bisulfite (RRBS) libraries of the human genome are generated through the complete restriction enzyme digestion of 100ng input sample, followed by selection for short fragments. The resulting pool of fragments are ligated to adaptor sequences comprising an indexing site and an identifier site. The identifier sites comprise either 6 or 8 random nucleotides. The sequences are then sequenced to identify the identifier sites, thus revealing the true number of duplicates in the pool. In the absence of identifier sites, the number of apparent or perceived duplicates are greater than the number of true duplicates. The inclusion of an identifier site results in the identification of the number of true duplicates, as compared to the larger number of apparent or perceived duplicates.

**[0105]** Unless defined otherwise, all technical and scientific terms herein have the same meaning as commonly understood by one of ordinary skill in the art to which this invention belongs. Although any methods and materials, similar or equivalent to those described herein, can be used in the practice or testing of the present invention, the preferred methods and materials are described herein. All publications, patents, and patent publications cited are incorporated by reference herein in their entirety for all purposes.

**[0106]** The publications discussed herein are provided solely for their disclosure prior to the filing date of the present application. Nothing herein is to be construed as an admission that the present invention is not entitled to antedate such publication by virtue of prior invention.

**[0107]** All references, articles, publications, patents, patent publications, and patent applications cited herein are incorporated by reference in their entireties for all purposes. However, mention of any reference, article, publication, patent, patent publication, and

patent application cited herein is not, and should not be taken as an acknowledgment or any form of suggestion that they constitute valid prior art or form part of the common general knowledge in any country in the world.

**[0108]** While the invention has been described in connection with specific embodiments thereof, it will be understood that it is capable of further modifications and this application is intended to cover any variations, uses, or adaptations of the invention following, in general, the principles of the invention and including such departures from the present disclosure as come within known or customary practice within the art to which the invention pertains and as may be applied to the essential features hereinbefore set forth and as follows in the scope of the appended claims.



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# Electronic Acknowledgement Receipt

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| **EFS ID:** | 39188096 |
| **Application Number:** | 16743604 |
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| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
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| 1 | Sequence Listing (Text File) | NUGN-001-03US_SeqList_ST25.TXT | 2694 | no | - |

**Warnings:**

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| **Information:** | | | | | |
| 2 | Applicant Arguments/Remarks Made in an Amendment | NUGN-001-03US_Spec_Marked.PDF | 321115<br>a7fc28464f86ded182d2e3ffb08790685c9911be | no | 40 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 3 | | NUGN-001-03US_SeqList_Amendment.PDF | 92004<br>69f0aca5c5c080658117944231a6fd4ea3a9c855 | yes | 7 |

| | Multipart Description/PDF files in .zip description | | |
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| | **Document Description** | **Start** | **End** |
| | Response to Pre-Exam Sequence Notice | 1 | 1 |
| | Specification | 2 | 2 |
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| | Claims | 4 | 5 |
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| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 4 | Specification | NUGN-001-03US_Spec_Clean.PDF | 320524<br>e5a67332c879f8da8a9700eb9717220f6e503e01 | no | 40 |
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**New International Application Filed with the USPTO as a Receiving Office**

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# COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPFICATE SEQUENCING READ

## CROSS-REFERENCE TO RELATED APPLICATIONS

**[0001]** This application is a continuation of U.S. Patent Application Serial No. 15/406,002, filed January 13, 2017, which application is a Division of U.S. Application 14/540,917, filed November 13, 2014, now issued as U.S. Pat. 9,546,399, each of which claims the benefit of U.S. Provisional Application Serial No. 61/903,826, filed November 13, 2013, each of which is herein incorporated by reference in its entirety.

## DESCRIPTION OF THE TEXT FILE SUBMITTED ELECTRONICALLY

**[0002]** The contents of the text file submitted electronically herewith are incorporated herein by reference in their entirety: A computer readable format copy of the Sequence Listing (filename: ~~NUGN_001_01US_SeqList_ST25.txt~~ NUGN-001-03US_SeqList_ST25.txt, date recorded: ~~November 12, 2014~~ April 3, 2020, file size 3 kilobytes).

## FIELD OF THE PRESENT INVENTION

**[0003]** The present invention relates generally to the field of high throughput sequencing reactions and the ability to discern artifacts arising through sequence duplications from nucleotide molecules that are unique molecules.

## BACKGROUND OF THE PRESENT INVENTION

**[0004]** In RNA sequencing applications, accurate gene expression measurements may be hampered by PCR duplicate artifacts that occur during library amplification. When analyzing RNA sequencing data, when two or more identical sequences are found, it can be difficult to know if these represent unique cDNA molecules derived independently from different RNA molecules, or if they are PCR duplicates derived from a single RNA molecule. In genotyping by

sequencing, duplicate reads can be considered non-informative and may be collapsed down to a single read, thus reducing the number of sequencing reads used in final analysis. Generally, sequencing reads may be determined to be duplicates if both forward and reverse reads have identical starting positions, even though two independently generated molecules can have identical starting positions by random chance. Single primer extension based targeted re-sequencing suffers from an issue in that only one end of a sequencing read is randomly generated, while the other (reverse read) end is generated by a specific probe. This may make it difficult to determine if two reads are duplicates because they have been duplicated by PCR or because by chance they happened to start at the same position.

**[0005]** In expression analysis studies there may be limited value in doing paired end sequencing since the goal of the experiment is to determine amounts of transcript present as opposed to studying exon usage. In these studies, paired end sequencing adds costs while the only value is in helping distinguish PCR duplicates. The probability of two reads starting in the same position on only one end is higher than the probability of two reads having the same starting position on two ends (forward and reverse read). There is a need for improved methods that allow for low-cost, high throughput sequencing of regions of interest, genotyping or simple detection of RNA transcripts without inherent instrument inefficiencies that drive up sequencing costs due to the generation of unusable or non-desired data reads. The invention described herein fulfills this need. Here, we describe an adaptor approach that allows for the identification of true PCR duplicates and their removal.

**[0006]** The methods of the present invention provide novel methods for identifying true duplicate reads during sequencing, such as to improve data analysis of sequencing data, and other related advantages.

## SUMMARY OF THE PRESENT INVENTION

**[0007]** The present invention is based, in part, on compositions and methods for discerning duplicate sequencing reads from a population of sequencing reads. The detection and/or removal of duplicate sequencing reads presented herein is a novel approach to increasing the efficacy of evaluating data generated from high throughput sequence reactions, including complex multiplex sequence reactions.

**[0008]** Accordingly, the present invention provides a method of detecting a duplicate sequencing read from a population of sample sequencing reads, the method comprising ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, wherein the adaptor comprises an indexing primer binding site, an indexing site, an identifier site, and a target sequence primer binding site. The ligated adaptor-nucleic acid fragment products can be amplified, thus generating a population of sequencing reads from the amplified adaptor-nucleic acid ligation products. The sequencing reads with a duplicate identifier site and target sequence can then be detected from the population of sequencing reads. The methods can further include the removal of the sequencing reads with the duplicate identifier site and target sequence from the population of sequence reads.

**[0009]** In some embodiments, the identifier site is sequenced with the indexing site or the target sequence. In further embodiments, the identifier site is sequenced separately from the indexing site or the target sequence.

**[0010]** In some embodiments, the adaptor comprises from 5' to 3' the indexing primer binding site; the indexing site; the identifier site; and the target sequence primer binding site. In further embodiments, the adaptor comprises from 5' to 3' the indexing primer binding site; the indexing site; the target sequence primer binding site; and the identifier site.

**[0011]** In some embodiments, the plurality of nucleic acid fragments is generated from more than one sample. In some embodiments, the nucleic acid fragments from each sample have the same indexing site. In some embodiments, the sequencing reads are separated based on the indexing site. In yet other embodiments, the separation of sequencing reads is performed prior to detecting sequence reads with a duplicate identifier site and target sequence.

**[0012]** In some embodiments, the nucleic acid fragments are DNA fragments, RNA fragments, or DNA/RNA fragments. In further embodiments, the nucleic acid fragments are genomic DNA fragments or cDNA fragments.

**[0013]** In some embodiments, the indexing site is between 2 and 8 nucleotides in length. In further embodiments, the indexing site is about 6 nucleotides in length. In some embodiments, the identifier site is between 1 and 8 nucleotides in length. In further embodiments, the identifier site is about 8 nucleotides in length.

**[0014]** In some embodiments, the indexing primer binding site is a universal indexing primer binding site; and in some embodiments, the target sequence primer binding site is a universal target sequence primer binding site.

**[0015]** The present invention also encompasses embodiments that include a kit comprising a plurality of adaptors, wherein each adaptor comprise an indexing primer binding site; an indexing site, and identifier site, and a target sequencing primer binding site.

## BRIEF DESCRIPTION OF THE DRAWINGS

**[0016]** A better understanding of the novel features of the invention and advantages of the present invention will be obtained by reference to the following description that sets forth

illustrative embodiments, in which the principles of the invention are utilized, and the accompanying drawings of which:

**[0017] Figure 1** depicts a schematic of generating sequencing reads of a library including where an indexing primer and a target sequence primer anneal.

**[0018] Figure 2A** depicts a mechanism of the Single Primer Enrichment Technology (SPET) and how an identifier site is carried over into the final library and how sequencing through the indexing site into the identifier site provides data on which nucleic acid molecule is being identified.

**[0019] Figure 2B** is a continuation of Figure 2A.

**[0020] Figure 3** offers a detailed view of the sequence of an example adaptor, among many envisioned embodiments, and the position of the indexing and identifier sites (SEQ ID NO: 1). "N" refers to any nucleic acid.

**[0021] Figure 4** depicts a schematic of two separate sequence libraries, indicating where the indexing primers and the target primers anneal in a traditional library as compared to a library using an identifier site.

**[0022] Figure 5** depicts a data table demonstrating the accuracy of resolving true duplicates versus apparent or perceived duplicates using an identifier site in the adaptors.

## DETAILED DESCRIPTION OF THE PRESENT INVENTION

**[0023]** The present invention is based, in part, on compositions and methods for discerning duplicate sequencing reads from a population of sequencing reads. The present invention encompasses methods of detecting sequences duplicated in sequencing applications, and further removal of the duplicated sequence reads. The present invention further encompasses kits



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comprising components that would allow for customized applications of the method of detecting and removing duplicated sequence reads in high throughput sequencing reactions. The compositions and methods can be used with various applications for genetic sample analysis, such as RNA sequence analysis, copy number variation analysis, methylation sequencing analysis, genotyping and whole genome amplification.

**[0024]** Reference will now be made in detail to exemplary embodiments of the invention. While the disclosed methods and compositions will be described in conjunction with the exemplary embodiments, it will be understood that these exemplary embodiments are not intended to limit the present invention. On the contrary, the present disclosure is intended to encompass alternatives, modifications and equivalents, which may be included in the spirit and scope of the present invention.

**[0025]** Unless otherwise specified, terms and symbols of genetics, molecular biology, biochemistry and nucleic acid used herein follow those of standard treatises and texts in the field, e.g. Kornberg and Baker, *DNA Replication,* Second Edition (W.H. Freeman, New York, 1992); Lehninger, *Biochemistry,* Second Edition (Worth Publishers, New York, 1975); Strachan and Read, Human *Molecular Genetics,* Second Edition (Wiley-Liss, New York, 1999); Eckstein, editor, *Oligonucleotides and Analogs: A Practical Approach* (Oxford University Press, New York, 1991); Gait, editor, *Oligonucleotide Synthesis: A Practical Approach* (IRL Press, Oxford, 1984); and the like.

**[0026]** In some embodiments, the methods disclosed herein is for detecting from a population of sequencing reads a sequencing read, such as a duplicate sequencing read with a duplicate identifier site and target sequence. A duplicate sequencing read can be a sequencing read with

the same identifier site and target sequence as another sequencing read in the population of sequencing reads.

***Adaptor***

**[0027]** The present invention provides compositions of adaptors and methods comprising use of an adaptor. An adapter refers to an oligonucleotide sequence, the ligation of which to a target polynucleotide or a target polynucleotide strand of interest enables the generation of amplification-ready products of the target polynucleotide or the target polynucleotide strand of interest. The target polynucleotide molecules may be fragmented or not prior to the addition of adaptors. In some embodiments, a method disclosed herein comprises ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples.

**[0028]** Various adaptor designs are envisioned which are suitable for generation of amplification-ready products of target sequence regions/strands of interest. For example, the two strands of the adaptor may be self-complementary, non-complementary or partially complementary. In some embodiments, the adaptor can comprise an indexing primer binding site, an indexing site, an identifier site, and a target sequence primer binding site.

**[0029]** An indexing primer binding site is a nucleotide sequence for binding a primer for an indexing site. An indexing site is a nucleic acid sequence that acts as an index for multiple polynucleotide samples, thus allowing for the samples to be pooled together into a single sequencing run, which is known as multiplexing. In some embodiments, the indexing site is at least 2, 3, 4, 5, 6, 7, 8, 9, or 10 nucleotides in length. In some embodiments, the indexing site is between 2 and 8 nucleotides in length. In some embodiments, the indexing site is about 6 nucleotides in length.

**[0030]** An identifier site is a nucleic acid sequence that comprises random bases and is used to identify duplicate sequencing reads. In some embodiments, the identifier site is at least 2, 3, 4, 5, 6, 7, 8, 9, or 10 nucleotides in length. In some embodiments, the identifier site is between 1 and 8 nucleotides in length. In some embodiments, the identifier site is about 8 nucleotides in length. This identifier site can be designed as a set of sequences, or it can be semi-random, or it can be completely random. In addition, this identifier site can be a fixed length, or it can be a variable length. In some embodiments, the identifier sites in a plurality of adaptors are of a fixed length. For example, the identifier sites can all be eight random bases. In another embodiment, the identifier sites in a plurality of adaptors are of a variable length. For example, the identifier sites can range in size from 1 to 8 bases. In yet another embodiment, the identifier sites can be of a defined set of defined sequence. For example, the identifier site of a plurality of adaptors can be one of 96 defined six-base nucleotide sequences.

**[0031]** A target sequence primer binding site nucleotide sequence for binding a primer for a target sequence. The primer can be used to amplify the target sequence (e.g., a nucleic acid fragment from a sample). Accordingly, in some embodiments, the adaptor comprises an indexing primer binding site and a target sequence primer binding site.

**[0032]** A primer is a polynucleotide chain, typically less than 200 residues long, most typically between 15 and 100 nucleotides long, but can encompass longer polynucleotide chains. A primer targeting the primer binding sites are typically designed to hybridize to single-stranded nucleic acid strands. In some embodiments, the primers targeting the primer binding sites are designed to hybridize to single-stranded DNA targets. In the case where the sample comprises genomic DNA or other double-stranded DNA, the sample can be first denatured to render the target single stranded and enable hybridization of the primers to the desired sequence regions of

interest. In these embodiments, the methods and compositions described herein can allow for region-specific enrichment and amplification of sequence regions of interest. In some embodiments, the other double-stranded DNA can be double-stranded cDNA generated by first and second strand synthesis of one or more target RNAs.

**[0033]** In other embodiments, the primers targeting the primer binding sites are designed to hybridize to double-stranded nucleic acid targets, without denaturation of the double stranded nucleic acids. In other embodiments, the primers targeting the primer binding sites are designed to hybridize to a double-stranded DNA target, without denaturation of the dsDNA. In these embodiments, the primers targeting the selected sequence regions of interest are designed to form a triple helix (triplex) at the selected sequence regions of interest. The hybridization of the primers to the double-stranded DNA sequence regions of interest can be carried out without prior denaturation of the double stranded nucleic acid sample. In such embodiments, the methods and compositions described herein can allow for region-specific enrichment as well as strand-specific enrichment and amplification of sequence regions of interest. This method can be useful for generation of copies of strand specific sequence regions of interest from complex nucleic acid without the need to denature the dsDNA input DNA, thus enabling enrichment and analysis of multiplicity of sequence regions of interest in the native complex nucleic acid sample. The method can find use for studies and analyses carried out in situ, enable studies and analysis of complex genomic DNA in single cells or collection of very small well defined cell population, as well as permit the analysis of complex genomic DNA without disruption of chromatin structures.

**[0034]** The primers of the invention are generally oligonucleotides that are employed in an extension reaction by a polymerase along a polynucleotide template, such as for amplification of a target sequence (e.g., in PCR). The oligonucleotide primer can be a synthetic polynucleotide

that is single stranded, containing a sequence at its 3'-end that is capable of hybridizing with a sequence of the target polynucleotide. In some embodiments, the 3' region of the primer that hybridizes with the target nucleic acid has at least 80%, preferably 90%, more preferably 95%, most preferably 100%, complementarity to a primer binding site.

**[0035]** In some embodiments, the primer binding site is a binding site for a universal primer. A universal primer is a primer that can be used for amplifying a number of different sequences. In some embodiments, a universal primer is used to amplify different libraries. In some embodiments, an indexing primer binding site is a binding site for a universal indexing primer (i.e., the indexing primer binding site is a universal indexing primer binding site). In some embodiments, the adaptors used for ligating a plurality of nucleic acid fragments have a universal indexing primer binding site. In some embodiments, the universal indexing primer can be used to amplify and/or sequence a number of different indexing sites.

**[0036]** In some embodiments, a target sequence primer binding site is a binding site for a universal target sequence primer (i.e., the target sequence primer binding site is a universal target sequence primer binding site). In some embodiments, the adaptors used for ligating a plurality of nucleic acid fragments have a universal target sequence primer binding site. In some embodiments, the universal target sequence primer can be used to amplify and/or sequence a number of different target sequences.

**[0037]** In some embodiments, the adaptor comprises an identifier site 3' to an indexing site. In some embodiments, the adaptor comprises an identifier site 5' to an indexing site. In some embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, indexing site, identifier site, and target sequence primer binding site. In other embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, indexing site, identifier site, and target

sequence primer binding site. In yet other embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, identifier site, indexing site, and target sequence primer binding site.

***Samples***

**[0038]** In some embodiments, an adaptor is ligated to a nucleic acid fragment (e.g., the 5' end of the nucleic acid fragment). The nucleic acid fragment can be from a plurality of nucleic acid fragments from one or more samples. The nucleic acid fragment can be RNA, DNA, or complex DNA, for example genomic DNA and PNA, in which case one might use a modified nucleic acid. The nucleic acid fragment may also be cDNA. The cDNA can be generated from RNA, e.g., mRNA.

**[0039]** The sample can be a biological sample. For example, the sample can be an animal, plant, bacterial, algal, or viral sample. In some embodiments, the sample is a human, rat, or mouse sample. The sample can be from a mixture of genomes of different species such as host-pathogen, bacterial populations and the like. The sample can be cDNA made from a mixture of genomes of different species. In some embodiments, the sample can be from a synthetic source. The sample can be mitochondrial DNA. The sample can be cell-free DNA. The cell-free DNA can be obtained from sources such as a serum or a plasma sample. The sample can comprise one or more chromosomes. For example, if the sample is from a human, the sample can comprise one or more of chromosome 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, X, or Y. In some embodiments, the sample comprises a linear or circular genome. The sample can be plasmid DNA, cosmid DNA, bacterial artificial chromosome (BAC), or yeast artificial chromosome (YAC). The sample can be from more than one individual or organism. The sample

can be double-stranded or single-stranded. The sample can be part of chromatin. The sample can be associated with histones.

**[0040]** In some embodiments, adaptors are ligated to a plurality of nucleic acid fragments from more than one sample, such as 2, 3, 4, 5, or more samples. In some embodiments, the nucleic acid fragments from each sample have the same indexing site. In some embodiments, a plurality of nucleic acid fragments is generated from a first sample and a second sample and adaptors are ligated to each nucleic acid fragment, in which adaptors ligated to each nucleic acid fragment from the first sample have the same first indexing site and adaptors ligated to nucleic acid fragments from the second sample has the same second indexing site. In some embodiments, the nucleic acid fragments or data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site.

**[0041]** In some embodiments, a population of nucleic acid fragments generated from a sample is of one or more specific size range(s). In some embodiments, the fragments have an average length from about 10 to about 10,000 nucleotides. In some embodiments, the fragments have an average length from about 50 to about 2,000 nucleotides. In some embodiments, the fragments have an average length from about 100-2,500, 10-1,000, 10-800, 10-500, 50-500, 50-250, or 50-150 nucleotides. In some embodiments, the fragments have an average length less than 10,000 nucleotide, such as less than 5,000 nucleotides, less than 2,500 nucleotides, less than 2,500 nucleotides, less than 1,000 nucleotides, less than 500 nucleotides, such as less than 400 nucleotides, less than 300 nucleotides, less than 200 nucleotides, or less than 150 nucleotides.

**[0042]** In some embodiments, fragmentation of the nucleic acids can be achieved through methods known in the art. Fragmentation can be achieved through physical fragmentation methods and/or enzymatic fragmentation methods. Physical fragmentation methods can include

nebulization, sonication, and/or hydrodynamic shearing. In some embodiments, the fragmentation can be accomplished mechanically comprising subjecting the nucleic acids in the input sample to acoustic sonication. In some embodiments, the fragmentation comprises treating the nucleic acids in the input sample with one or more enzymes under conditions suitable for the one or more enzymes to generate double-stranded nucleic acid breaks. Examples of enzymes useful in the generation of nucleic acid or polynucleotide fragments include sequence specific and non-sequence specific nucleases. Non-limiting examples of nucleases include DNase I, Fragmentase, restriction endonucleases, variants thereof, and combinations thereof. Reagents for carrying out enzymatic fragmentation reactions are commercially available (e.g., from New England Biolabs). For example, digestion with DNase I can induce random double-stranded breaks in DNA in the absence of $Mg^{++}$ and in the presence of $Mn^{++}$. In some embodiments, fragmentation comprises treating the nucleic acids in the input sample with one or more restriction endonucleases. Fragmentation can produce fragments having 5' overhangs, 3' overhangs, blunt ends, or a combination thereof. In some embodiments, such as when fragmentation comprises the use of one or more restriction endonucleases, cleavage of sample polynucleotides leaves overhangs having a predictable sequence. In some embodiments, the method includes the step of size selecting the fragments via standard methods known in the art such as column purification or isolation from an agarose gel.

**[0043]** In some embodiments, fragmentation of the nucleic acids is followed by end repair of the nucleic acid fragments. End repair can include the generation of blunt ends, non-blunt ends (i.e. sticky or cohesive ends), or single base overhangs such as the addition of a single dA nucleotide to the 3'-end of the nucleic acid fragments, by a polymerase lacking 3'-exonuclease activity. End repair can be performed using any number of enzymes and/or methods known in the art

including, but not limited to, commercially available kits such as the Encore™ Ultra Low Input NGS Library System I. In some embodiments, end repair can be performed on double stranded DNA fragments to produce blunt ends wherein the double stranded DNA fragments contain 5' phosphates and 3' hydroxyls. In some embodiments, the double-stranded DNA fragments can be blunt-end polished (or "end-repaired") to produce DNA fragments having blunt ends, prior to being joined to adapters. Generation of the blunt ends on the double stranded fragments can be generated by the use of a single strand specific DNA exonuclease such as for example exonuclease 1, exonuclease 7 or a combination thereof to degrade overhanging single stranded ends of the double stranded products. Alternatively, the double stranded DNA fragments can be blunt ended by the use of a single stranded specific DNA endonuclease, for example, but not limited to, mung bean endonuclease or S1 endonuclease. Alternatively, the double stranded products can be blunt ended by the use of a polymerase that comprises single stranded exonuclease activity such as for example T4 DNA polymerase, or any other polymerase comprising single stranded exonuclease activity or a combination thereof to degrade the overhanging single stranded ends of the double stranded products. In some cases, the polymerase comprising single stranded exonuclease activity can be incubated in a reaction mixture that does or does not comprise one or more dNTPs. In other cases, a combination of single stranded nucleic acid specific exonucleases and one or more polymerases can be used to blunt end the double stranded fragments generated by fragmenting the sample comprising nucleic acids. In still other cases, the nucleic acid fragments can be made blunt ended by filling in the overhanging single stranded ends of the double stranded fragments. For example, the fragments may be incubated with a polymerase such as T4 DNA polymerase or Klenow polymerase or a combination thereof in the presence of one or more dNTPs to fill in the single stranded portions

of the double stranded fragments. Alternatively, the double stranded DNA fragments can be made blunt by a combination of a single stranded overhang degradation reaction using exonucleases and/or polymerases, and a fill-in reaction using one or more polymerases in the presence of one or more dNTPs.

**[0044]** U.S. Patent Publication Nos. 2013-0231253 A1 and 2014-0274729 A1 further describe methods of generating nucleic acid fragments, methods of modifying the fragments and analysis of the fragments, and are incorporated by reference in their entirety herein.

***Ligation of Adaptors***

**[0045]** Ligation of adaptors at the desired end of the sequence regions of interest (e.g., at the 5' or 3' end of a nucleic acid fragment generated form a sample) is suitable for carrying out the methods of the invention. Various ligation modalities are envisioned, dependent on the choice of nucleic acid, nucleic acid modifying enzymes and the resulting ligatable end of the nucleic acid. For example, when a blunt end product comprising the target region/sequence of interest is generated, blunt end ligation can be suitable. Alternatively, where the cleavage is carried out using a restriction enzyme of known sequence specificity, leading to the generation of cleavage sites with known sequence overhangs, suitable ends of the adaptors can be designed to enable hybridization of the adaptor to the cleavage site of the sequence region of interest and subsequent ligation. Ligation also refers to any joining of two nucleic acid molecules that results in a single nucleic acid sequence that can be further modified to obtain the sequence of the nucleic acids in question. Reagents and methods for efficient and rapid ligation of adaptors are commercially available, and are known in the art.

**[0046]** In some embodiments, the 5' and/or 3' end nucleotide sequences of fragmented nucleic acids are not modified or end-repaired prior to ligation with the adapter oligonucleotides of the present invention. For example, fragmentation by a restriction endonuclease can be used to leave

a predictable overhang, followed by ligation with one or more adapter oligonucleotides comprising an overhang complementary to the predictable overhang on a nucleic acid fragment. In another example, cleavage by an enzyme that leaves a predictable blunt end can be followed by ligation of blunt-ended nucleic acid fragments to adapter oligonucleotides comprising a blunt end. In some embodiments, end repair can be followed by an addition of 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20 or more nucleotides, such as one or more adenine, one or more thymine, one or more guanine, or one or more cytosine, to produce an overhang. Nucleic acid fragments having an overhang can be joined to one or more adapter oligonucleotides having a complementary overhang, such as in a ligation reaction. For example, a single adenine can be added to the 3' ends of end-repaired DNA fragments using a template independent polymerase, followed by ligation to one or more adapters each having a thymine at a 3' end. In some embodiments, adapter oligonucleotides can be joined to blunt end double-stranded nucleic acid fragments which have been modified by extension of the 3' end with one or more nucleotides followed by 5' phosphorylation. In some cases, extension of the 3' end can be performed with a polymerase such as for example Klenow polymerase or any of the suitable polymerases provided herein, or by use of a terminal deoxynucleotide transferase, in the presence of one or more dNTPs in a suitable buffer containing magnesium. In some embodiments, nucleic acid fragments having blunt ends can be joined to one or more adapters comprising a blunt end. Phosphorylation of 5' ends of nucleic acid fragments can be performed for example with T4 polynucleotide kinase in a suitable buffer containing ATP and magnesium. The fragmented nucleic acid molecules may optionally be treated to dephosphorylate 5' ends or 3' ends, for example, by using enzymes known in the art, such as phosphatases.

**[0047]** In some embodiments, appending the adaptor to the nucleic acid fragments generated by methods described herein can be achieved using a ligation reaction or a priming reaction. In some embodiments, appendage of an adaptor to the nucleic acid fragments comprises ligation. In some embodiments, ligation of the adaptor to the nucleic acid fragments can be following end repair of the nucleic acid fragments. In another embodiment, the ligation of the adaptor to the nucleic acid fragments can be following generation of the nucleic acid fragments without end repair of the nucleic acid fragments. The adaptor can be any type of adaptor known in the art including, but not limited to, conventional duplex or double stranded adaptors in which the adaptor comprises two complementary strands. In some embodiments, the adaptor can be a double stranded DNA adaptor. In some embodiments, the adaptor can be an oligonucleotide of known sequence and, thus, allow generation and/or use of sequence specific primers for amplification and/or sequencing of any polynucleotides to which the adaptor is appended or attached. In some embodiments, the adaptor can be a conventional duplex adaptor, wherein the adaptor comprises sequence well known in the art. In a some embodiments, the adaptor can be appended to the nucleic acid fragments generated by the methods described herein in multiple orientations. In some embodiment, the methods described herein can involve the use of a duplex adaptor comprising double stranded DNA of known sequence that is blunt ended and can bind to the double stranded nucleic acid fragments generated by the methods described herein in one of two orientations. In some embodiments, the adaptor can be ligated to each of the nucleic acid fragments such that each of the nucleic acid fragments comprises the same adaptor. In other words, each of the nucleic acid fragments comprises a common adaptor. In another embodiment, an adaptor can be appended or ligated to a library of nucleic acid fragments generated by the methods described herein such that each nucleic acid fragment in the library of nucleic acid

fragments comprises the adaptor ligated to one or both ends. In another embodiment, more than one adaptor can be appended or ligated to a library of nucleic acid fragments generated by the methods described herein. The multiple adaptors may occur adjacent to one another, spaced intermittently, or at opposite ends of the nucleic acid fragments. In some embodiments, the adaptor can be ligated or appended to the 5' and/or 3' ends of the nucleic acid fragments generated by the methods described herein. The adaptor can comprise two strands wherein each strand comprises a free 3' hydroxyl group but neither strand comprises a free 5' phosphate. In some embodiments, the free 3' hydroxyl group on each strand of the adaptor can be ligated to a free 5' phosphate present on either end of the nucleic acid fragments of the present invention. In this embodiment, the adaptor comprises a ligation strand and a non-ligation strand whereby the ligation strand can be ligated to the 5' phosphate on either end of the nucleic acid fragment while a nick or gap can be present between the non-ligation strand of the adaptor and the 3' hydroxyl on either end of the nucleic acid fragment. In some embodiments, the nick or gap can be filled in by performing a gap repair reaction. In some embodiments, the gap repair can be performed with a DNA dependent DNA polymerase with strand displacement activity. In some embodiments, the gap repair can be performed using a DNA-dependent DNA polymerase with weak or no strand displacement activity. In some embodiments, the ligation strand of the adaptor can serve as the template for the gap repair or fill-in reaction. The gap repair or fill-in reaction may comprise an extension reaction wherein the ligation strand of the adaptor serves as a template and leads to the generation of nucleic acid fragments with complementary termini or ends. In some embodiments, the gap repair can be performed using Taq DNA polymerase. In some embodiments, the ligation of the first adaptor to the nucleic acid fragments generated by the

methods described herein may not be followed by gap repair. The nucleic acid fragments may comprise the adaptor sequence ligated only at the 5' end of each strand.

**[0048]** Ligation and, optionally gap repair, of the adaptor to the nucleic acid fragments generates an adaptor-nucleic acid fragment complex. In some embodiments, the adaptor-nucleic acid fragment complex can be denatured. Denaturation can be achieved using any of the methods known in the art including, but not limited to, physical, thermal, and/or chemical denaturation. In some embodiments, denaturation can be achieved using thermal or heat denaturation. In some embodiments, denaturation of the adaptor-nucleic acid fragment complex generates single stranded nucleic acid fragments comprising the adaptor sequence at only the 5'end of the nucleic acid fragments. In another embodiment, denaturation of the first adaptor-nucleic acid fragment complex generates single stranded nucleic acid fragments comprising adaptor sequence at both the 5'end and 3'end of the nucleic acid fragments.

***Methods of Amplification***

**[0049]** The methods, compositions and kits described herein can be useful to generate amplification-ready products directly from a nucleic acid source for downstream applications such as next generation sequencing, as well as generation of libraries with enriched population of sequence regions of interest. In some embodiments, the adapter-nucleic fragment ligated products, e.g., from the ligation of an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, is amplified.

**[0050]** Methods of amplification are well known in the art. In some embodiments, the amplification is exponential, e.g. in the enzymatic amplification of specific double stranded sequences of DNA by a polymerase chain reaction (PCR). In other embodiments the amplification method is linear. In other embodiments the amplification method is isothermal. In

some embodiments, the amplification is exponential, e.g. in the enzymatic amplification of specific double stranded sequences of DNA by a polymerase chain reaction (PCR).

**[0051]** Suitable amplification reactions can be exponential or isothermal and can include any DNA amplification reaction, including but not limited to polymerase chain reaction (PCR), strand displacement amplification (SDA), linear amplification, multiple displacement amplification (MDA), rolling circle amplification (RCA), single primer isothermal amplification (SPIA, see e.g. U.S. Pat. No, 6,251,639), Ribo-SPIA, or a combination thereof. In some cases, the amplification methods for providing the template nucleic acid may be performed under limiting conditions such that only a few rounds of amplification (e.g., 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30 etc.), such as for example as is commonly done for cDNA generation. The number of rounds of amplification can be about 1-30, 1-20, 1-15, 1-10, 5-30, 10-30, 15-30, 20-30, 10-30, 15-30, 20-30, or 25-30.

**[0052]** PCR is an in vitro amplification procedure based on repeated cycles of denaturation, oligonucleotide primer annealing, and primer extension by thermophilic template dependent polynucleotide polymerase, resulting in the exponential increase in copies of the desired sequence of the polynucleotide analyte flanked by the primers. The two different PCR primers, which anneal to opposite strands of the DNA, are positioned so that the polymerase catalyzed extension product of one primer can serve as a template strand for the other, leading to the accumulation of a discrete double stranded fragment whose length is defined by the distance between the 5' ends of the oligonucleotide primers.

**[0053]** LCR uses a ligase enzyme to join pairs of preformed nucleic acid probes. The probes hybridize with each complementary strand of the nucleic acid analyte, if present, and ligase is

employed to bind each pair of probes together resulting in two templates that can serve in the next cycle to reiterate the particular nucleic acid sequence.

**[0054]** SDA (Westin et a 2000, Nature Biotechnology, 18, 199-202; Walker et al 1992, Nucleic Acids Research, 20, 7, 1691-1696), is an isothermal amplification technique based upon the ability of a restriction endonuclease such as HincII or BsoBI to nick the unmodified strand of a hemiphosphorothioate form of its recognition site, and the ability of an exonuclease deficient DNA polymerase such as Klenow exo minus polymerase, or Bst polymerase, to extend the 3'-end at the nick and displace the downstream DNA strand. Exponential amplification results from coupling sense and antisense reactions in which strands displaced from a sense reaction serve as targets for an antisense reaction and vice versa.

**[0055]** Some aspects of the invention utilize linear amplification of nucleic acids or polynucleotides. Linear amplification generally refers to a method that involves the formation of one or more copies of the complement of only one strand of a nucleic acid or polynucleotide molecule, usually a nucleic acid or polynucleotide analyte. Thus, the primary difference between linear amplification and exponential amplification is that in the latter process, the product serves as substrate for the formation of more product, whereas in the former process the starting sequence is the substrate for the formation of product but the product of the reaction, i.e. the replication of the starting template, is not a substrate for generation of products. In linear amplification the amount of product formed increases as a linear function of time as opposed to exponential amplification where the amount of product formed is an exponential function of time.

***Downstream Applications***

**[0056]** One aspect of the present invention is that the methods and compositions disclosed herein can be efficiently and cost-effectively utilized for downstream analyses, such as in next generation sequencing or hybridization platforms, with minimal loss of biological material of interest. The methods of the present invention can also be used in the analysis of genetic information of selective genomic regions of interest (e.g., analysis of SNPs or other disease markers) as well as genomic regions which may interact with the selective region of interest. The methods of the present invention may further be used in the analysis of copy number variation as well as differential expression.

***Sequencing***

**[0057]** In some embodiments, a population of sequencing reads is generated from the amplified adapter-nucleic fragment ligated products. In some embodiments, a sequencing read comprises an index read, which comprises the sequence of an indexing site. In some embodiments, an index read comprises the sequence of an indexing site and the sequence of an identifier site. For example, the indexing site is sequenced with the identifier site. In some embodiments, the index read does not include the sequence of an identifier site. For example, the indexing site is not sequenced with the identifier site. In some embodiments, a sequencing read comprises the target sequence. In some embodiments, a sequencing read comprises a target sequence and an identifier sequence. For example, the target sequence is sequenced with the identifier site. In some embodiments, the target sequence is not sequenced with the identifier site.

**[0058]** The methods of the present invention are useful for sequencing by the method commercialized by Illumina, as described U.S. Pat Nos. 5,750,341; 6,306,597; and 5,969,119.

**[0059]** In general, double stranded fragment polynucleotides can be prepared by the methods of the present invention to produce amplified nucleic acid sequences tagged at one (e.g., (A)/(A') or both ends (e.g., (A)/(A') and (C)/(C')). In some cases, single stranded nucleic acid tagged at one or both ends is amplified by the methods of the present invention (e.g., by SPIA or linear PCR).The resulting nucleic acid is then denatured and the single-stranded amplified polynucleotides are randomly attached to the inside surface of flow-cell channels. Unlabeled nucleotides are added to initiate solid-phase bridge amplification to produce dense clusters of double-stranded DNA. To initiate the first base sequencing cycle, four labeled reversible terminators, primers, and DNA polymerase are added. After laser excitation, fluorescence from each cluster on the flow cell is imaged. The identity of the first base for each cluster is then recorded. Cycles of sequencing are performed to determine the fragment sequence one base at a time.

**[0060]** In some embodiments, the methods of the invention are useful for preparing target polynucleotides for sequencing by the sequencing by ligation methods commercialized by Applied Biosystems (e.g., SOLiD sequencing). In other embodiments, the methods are useful for preparing target polynucleotides for sequencing by synthesis using the methods commercialized by 454/Roche Life Sciences, including but not limited to the methods and apparatus described in Margulies et al., *Nature* (2005) 437:376-380 (2005); and U.S. Pat. Nos. 7,244,559; 7,335,762; 7,211,390; 7,244,567; 7,264,929; and 7,323,305. In other embodiments, the methods are useful for preparing target polynucleotide(s) for sequencing by the methods commercialized by Helicos BioSciences Corporation (Cambridge, Mass.) as described in U.S. application Ser. No. 11/167,046, and U.S. Pat. Nos. 7,501,245; 7,491,498; 7,276,720; and in U.S. Patent Application Publication Nos. US20090061439; US20080087826; US20060286566; US20060024711;

US20060024678; US20080213770; and US20080103058. In other embodiments, the methods are useful for preparing target polynucleotide(s) for sequencing by the methods commercialized by Pacific Biosciences as described in U.S. Pat. Nos. 7,462,452; 7,476,504; 7,405,281; 7,170,050; 7,462,468; 7,476,503; 7,315,019; 7,302,146; 7,313,308; and US Application Publication Nos. US20090029385; US20090068655; US20090024331; and US20080206764.

**[0061]** An example of a sequencing technique that can be used in the methods of the provided invention is semiconductor sequencing provided by Ion Torrent (e.g., using the Ion Personal Genome Machine (PGM)). Ion Torrent technology can use a semiconductor chip with multiple layers, e.g., a layer with micro-machined wells, an ion-sensitive layer, and an ion sensor layer. Nucleic acids can be introduced into the wells, e.g., a clonal population of single nucleic can be attached to a single head, and the bead can be introduced into a well. To initiate sequencing of the nucleic acids on the beads, one type of deoxyribonucleotide (e.g., dATP, dCTP, dGTP, or dTTP) can be introduced into the wells. When one or more nucleotides are incorporated by DNA polymerase, protons (hydrogen ions) are released in the well, which can be detected by the ion sensor. The semiconductor chip can then be washed and the process can be repeated with a different deoxyribonucleotide. A plurality of nucleic acids can be sequenced in the wells of a semiconductor chip. The semiconductor chip can comprise chemical-sensitive field effect transistor (chemFET) arrays to sequence DNA (for example, as described in U.S. Patent Application Publication No. 20090026082). Incorporation of one or more triphosphates into a new nucleic acid strand at the 3' end of the sequencing primer can be detected by a change in current by a chemFET. An array can have multiple chemFET sensors.

**[0062]** Another example of a sequencing technique that can be used in the methods of the provided invention is nanopore sequencing (see e.g., Soni G V and Meller A. (2007) *Clin Chem*

53: 1996-2001). A nanopore can be a small hole of the order of 1 nanometer in diameter. Immersion of a nanopore in a conducting fluid and application of a potential across it can result in a slight electrical current due to conduction of ions through the nanopore. The amount of current that flows is sensitive to the size of the nanopore. As a DNA molecule passes through a nanopore, each nucleotide on the DNA molecule obstructs the nanopore to a different degree. Thus, the change in the current passing through the nanopore as the DNA molecule passes through the nanopore can represent a reading of the DNA sequence.

***Data Analysis***

**[0063]** In some embodiments, the sequence reads are used in the analysis of genetic information of selective genomic regions of interest as well as genomic regions which may interact with the selective region of interest. Amplification methods as disclosed herein can be used in the devices, kits, and methods known to the art for genetic analysis, such as, but not limited to those found in U.S. Pat. Nos. 6,449,562, 6,287,766, 7,361,468, 7,414,117, 6,225,109, and 6,110,709.

**[0064]** In some embodiments, the sequencing reads are used to detect duplicate sequencing reads. In some embodiments, a sequencing read is identified as a duplicate sequencing read when it contains an identifier site and target sequence that is the same as another sequencing read from the same population of sequencing reads.

**[0065]** In some embodiments, duplicate sequencing reads are differentiated from one another as being true duplicates versus apparent or perceived duplicates. Apparent or perceived duplicates may be identified from sequencing libraries and using conventional measures of duplicate reads (i.e., reads were mapped using bowtie), where all reads with the same start and end nucleic acid coordinates were counted as duplicates. True duplicates may be identified from sequencing

libraries having had an identifier site introduced through ligation to differentiate between fragments of DNA that randomly have the same start and end mapping coordinates.

**[0066]** In some embodiments, the sequence of the identifier sites from the index read of two nucleic acids generated from any dsDNA may have the same start site, as determined from the sequencing reads of the target sequence of the generated nucleic acid fragments. If the identifier site from the index read of the two nucleic acid fragments are not identical, then the target sequence reads were not generated from the same original dsDNA molecule and, therefore, are no true duplicate reads. The ligation of random sequences onto dsDNA molecules, accompanied by the methods of the invention, allow for the identification of true duplicate reads versus apparent or perceived duplicate reads.

**[0067]** In some embodiments, the sequence of the identifier sites from the index read of two nucleic acid fragments generated from a genomic DNA (gDNA) molecule that have the same start site, which can be determined from the sequencing reads of the target sequence of the nucleic acid fragments is determined. If the identifier site from the index read of the two nucleic acid fragments are not identical, then the target sequence reads were not generated from the same original gDNA molecule and, therefore, are not true duplicate reads. In another embodiment, an identifier site is inserted at the adapter insert junction. The sequence of the identifier site is carried through the library amplification step. The identifier site is the first sequence read during the forward read. As the identifier sequence is not logically present adjacent to naturally occurring sequence, this uniquely identifies the DNA fragment. Therefore, by ligating random sequences onto the original gDNA, the methods of the invention identify true duplicate reads.

**[0068]** In some embodiments, a duplicate sequencing read is detected and analyzed. Duplicate reads can be filtered using 'samtools rmdup', wherein reads with identical external coordinates

are removed, only one read with highest mapping quality is retained. After filtering, a filtered set of deduplicated reads can be used in any downstream analysis. Conversely, this filtering step can be skipped, and downstream analysis can be done using the unfiltered reads, including duplicates.

**[0069]** In some embodiments, sequencing reads are generated from a number of samples. In some embodiments, adaptors are ligated to a plurality of nucleic acid fragments from the samples, in which the nucleic acid fragments from each sample has the same indexing site. In some embodiments, a plurality of nucleic acid fragments is generated from a first sample and a second sample and adaptors are ligated to each nucleic acid fragment, in which adaptors ligated to each nucleic acid fragment from the first sample have the same first indexing site and adaptors ligated to nucleic acid fragments from the second sample has the same second indexing site. In some embodiments, the data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site before sequencing reads of the target sequence and/or identifier site are analyzed. In some embodiments, the nucleic acid fragments or data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site before duplicate sequencing reads are analyzed and/or removed.

**[0070]** In some embodiments, a method disclosed herein identifies or detects one or more true duplicate(s) with increased accuracy as compared to other methods. For example, in some embodiments, a method disclosed herein identify true duplicates (in contrast to identifying apparent or perceived duplicates) with increased accuracy as compared to other methods. The increased resolution and/or accuracy in identifying one or more true duplicate(s) can provide a considerable contribution to the state of the art in more accurately identifying true duplicates. In some embodiments, a method disclosed herein identifies or detects a true duplicate with

increased efficiency as compared to other methods, such as paired end sequencing. The increase in accuracy, resolution, and/or efficiency in detecting duplicate reads (e.g., true duplicate(s)) can increase confidence in sequencing results, such as for expression and CNV analysis.

***Kits***

**[0071]** Any of the compositions described herein may be comprised in a kit. In a non-limiting example, the kit, in a suitable container, comprises: an adaptor or several adaptors, one or more of oligonucleotide primers and reagents for amplification.

**[0072]** The containers of the kits will generally include at least one vial, test tube, flask, bottle, syringe or other containers, into which a component may be placed, and preferably, suitably aliquotted. Where there is more than one component in the kit, the kit also will generally contain a second, third or other additional container into which the additional components may be separately placed. However, various combinations of components may be comprised in a container.

**[0073]** When the components of the kit are provided in one or more liquid solutions, the liquid solution can be an aqueous solution. However, the components of the kit may be provided as dried powder(s). When reagents and/or components are provided as a dry powder, the powder can be reconstituted by the addition of a suitable solvent.

**[0074]** A kit may include instructions for employing the kit components as well the use of any other reagent not included in the kit. Instructions may include variations that can be implemented.

**[0075]** In some embodiments, the invention provides kits containing any one or more of the elements disclosed in the above methods and compositions. In some embodiments, a kit comprises a composition of the invention, in one or more containers. In some embodiments, the

invention provides kits comprising adapters, primers, and/or other oligonucleotides described herein. In some embodiments, the kit further comprises one or more of: (a) a DNA ligase, (b) a DNA-dependent DNA polymerase, (c) an RNA-dependent DNA polymerase, (d) a forward adapter (e) one or more oligonucleotides comprising reverse adaptor sequence and (f) one or more buffers suitable for one or more of the elements contained in said kit. The adapters, primers, other oligonucleotides, and reagents can be, without limitation, any of those described above. Elements of the kit can further be provided, without limitation, in any of the amounts and/or combinations (such as in the same kit or same container) described above. The kits may further comprise additional agents, such as those described above, for use according to the methods of the invention. For example, the kit can comprise a first forward adaptor that is a partial duplex adaptor as described herein, a second forward adapter, and a nucleic acid modifying enzyme specific for a restriction and/or cleavage site present in the first forward adaptor. The kit elements can be provided in any suitable container, including but not limited to test tubes, vials, flasks, bottles, ampules, syringes, or the like. The agents can be provided in a form that may be directly used in the methods of the invention, or in a form that requires preparation prior to use, such as in the reconstitution of lyophilized agents. Agents may be provided in aliquots for single-use or as stocks from which multiple uses, such as in a number of reaction, may be obtained.

**[0076]** In some embodiments, the kit comprises a plurality of adaptor oligonucleotides, wherein each of the adaptor oligonucleotides comprises at least one of a plurality of identifier site sequences, wherein each identifier site sequence of the plurality of identifier site sequences differs from every other identifier site sequence in said plurality of identifier site sequences at at least three nucleotide positions, and instructions for using the same. Adapters comprising



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different identifier site sequences can be supplied individually or in combination with one or more additional adapters having a different identifier site sequence. In some embodiments, the kit can comprises a plurality of adapter oligonucleotides.

## EXAMPLES

*Example 1: Identification of Duplicate Sequencing Reads with NuGEN Ovation Target Enrichment Library System*

**[0077]** Sample Description: 100ng of DNA from a human HapMap sample (NA19238) was fragmented to approximately 500 base pair in length by sonication with a Covaris system (Covaris, Inc., Woburn, MA). The resulting DNA was treated with end repair enzyme mix NuGEN R01280 and R01439 (NuGEN Technologies, Inc., San Carlos, CA) according to supplier's recommendation to produce blunt ended DNA fragments.

**[0078]** Library Generation. Enrichment, and Identifier Site Incorporation: An oligonucleotide with segments, from 5' to 3' of the top strand, 1) an Illumina indexing read priming site such as AGAGCACACGTCTGAACTCCAGTCAC (SEQ ID NO:2), 2) an indexing site, 3) an identifier site having a random 6 base sequence and, 4) a sequence compatible with an Illumina forward sequencing priming site such as TCTTTCCCTACACGACGCTCTTCCGATCT (SEQ ID NO:3) , was annealed to a second oligonucleotide to form a partially double stranded DNA adapter. Five uM of these adapters were ligated onto the end-repaired DNA using Ligase and Ligase reaction buffer from NuGEN's Ovation Ultralow Library System (NuGEN Technologies, Inc., San Carlos, CA) according to supplier's recommendations. Following 30 minutes of incubation at 25°C, the reaction mixture was diluted with water, 0.8X volume of Ampure XP magnetic beads (Agencourt Biosciences Corporation, A Beckman Coulter Company, Beverly, MA) was added and the solution thoroughly mixed. The beads were collected, washed and the ligated

DNA fragments eluted according to manufacturer's recommendations. A pool of targeting probes was annealed to the eluted DNA fragments by initially heating the solution to 95°C then slowly cooling the mixture from 80°C to 60°C by 0.6 degrees/minute. Targeting probes that were specifically annealed were extended with Taq DNA polymerase (New England Biolabs, Inc., Ipswich, MA) according to the manufacturer's protocols. Following extension, the DNA fragments were collected on Agencourt magnetic beads, washed and eluted according to manufacturer's recommendations. These libraries were enriched by 30 cycles of PCR using NuGEN library enrichment primers (Ovation Target Enrichment Library System, NuGEN Technologies, Inc., San Carlos, CA) that also contain the Illumina flow cell sequences (Illumina Inc., San Diego, CA) according to supplier's recommendation.

**[0079]** The resulting libraries were quantitated by qPCR using a kit provided by KAPA, diluted to 2nM and applied to an Illumina MiSeq DNA Sequencer (Illumina Inc., San Diego, CA). The following series was run: 36 base first read, 14 base second read, and 24 base third read.

**[0080]** *Data Analysis:* The sequencer output was processed in accordance with manufacturer's recommendation. In order to analyze the data, the indexing read was split into two files. The first file contained the first 8 bases of the indexing reads and is utilized as the library index file for standard library parsing. The other file contains only the random bases and is set aside for further sequence parsing.

**[0081]** Following our data analysis pipeline of sequence alignment with bowtie aligner (Langmead B. et al., Ultrafast and memory-efficient alignment of short DNA sequences to the human genome. *Genome Biol.* 2009, 10:R2.), duplicate reads were identified by their genomic start positions. At this point, sequencing reads that started at the same genomic position were checked against the random bases file to see if they have the same or different set of random

bases that were ligated to them. Where two sequences with the same starting genomic coordinate had the same set of random bases, they were considered to have come from the same initial DNA ligation event, regardless of which Ovation Target Enrichment targeting probe was used to generate the sequence fragment in question. These sequences, therefore, did not provide unique information about the starting genomic DNA and are considered as one sequencing read for the purpose of variant analysis. Two sequence reads with the same starting genomic coordinate that have different random bases were derived from unique ligation events and were considered to both be valid sequencing reads for the purpose of variant identification. **Figure 5** provides the analysis results demonstrating the identification of the duplicate reads. The use of an identifier site allowed for the determination of the number of true duplications versus the number of apparent or perceived duplicates.

**[0082]** If the sequences of two libraries are identical, their duplication status is unknown since this could occur by chance in any library. If an identifier sequence is used in combination with the library reads, the status can be determined (duplicates if identical, distinct if different). With the SPET system, one end is common so the probability of two libraries having identical ends increases. These would appear to be duplicate sequences and their true status can be determined by looking at an identifier sequence.

**[0083]** Over the sampling of all randomly selected reads, the use of identifier sites provided an increased resolution on the presence of true duplicates. When evaluating two million random reads, the apparent duplicates were found to comprise 39% of all reads. However, the true duplicates, identified through the use of an identifier site, were found to comprise only 26% of all reads. The methods employing the use of an identifier site were found to considerably increase the resolution of the true number of duplicates within the pool of reads.



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*Example 2: Removal of Duplicate Sequencing Reads with 8 Base Identifier Site*

**[0084]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0085]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites. This identifier site is designed as eight random bases introduced onto the end of the adaptor. Sequence reads from libraries made with such adaptors contain the 8 bases of the identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 3: Removal of Duplicate Sequencing Reads with Mixture of Random 1-8 Base Identifier Sites*

**[0086]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the

ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0087]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites.

**[0088]** One to eight random bases are introduced onto the end of the adaptor. Sequence reads from libraries made with such adaptors contain between 1 and 8 bases of the identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 4: Removal of Duplicate Sequencing Reads with Mixture of 96 Defined 6-Base Identifier Sites*

**[0089]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0090]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites.

**[0091]** A mixture of 96 defined six-bases sequences are introduced onto the end of the adaptors. Thus, each six-base sequence is an identifier site. Sequence reads from libraries made with such adaptors contain one of the 96 six-base identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 5: Identification of Duplicate Sequencing Reads in Determining mRNA Expression Levels*

**[0092]** Sample Description: Total RNA is extracted from tumor and normal adjacent tissue for the purpose of finding differences in expression levels of transcripts between the two sample types. l00ng of each sample is converted into cDNA using the USP primers, reaction buffer, and Reverse Transcriptase provided in NuGEN's Encore Complete Library System (NuGEN Technologies, Inc., San Carlos, CA) according to the supplier's recommendations. This is followed by second strand synthesis, again using materials provided in the kit according to recommendations. Double stranded cDNA was prepared using the Superscript® Double-Stranded cDNA Synthesis Kit from Life Technologies (Carlsbad, CA) according the manufacturer's instructions. DNA was sheared with a Covaris S-series device (Covaris, Inc., Woburn, MA) using the 200 bp sonication protocol provided with the instrument (10% duty cycle, 200 cycles/burst, 5 intensity, 180 seconds). DNA was treated with 1.5 uL 10X Blunting Buffer, 0.5 uL Blunting Enzyme (New England Biolabs, Inc., Ipswich, MA; p/n E1201) and 1.2 uL of 2.5mM of each dNTP mix in a total volume of 15 uL for 30 minutes at 25°C followed by 10 minutes at 70°C.

**[0093]** *Library Generation*: The DNA fragments were then subjected to end repair using end repair buffers and enzymes provided in NuGEN's Ovation Ultralow Library System (NuGEN Technologies, Inc., San Carlos, CA).

**[0094]** Forward adaptor 5'

**[0095]** AATGATACGGCGACCACCGAGATCTACACTCTTTCCCTACACGACGCTCTTCC GATCTNNNNNNNN (SEQ ID NO:4),

**[0096]** Reverse adaptor 1) 5'

**[0097]** CAAGCAGAAGACGGCATACGAGATTCCCTTGTGACTGGAGTTCAGACGTGTG CTCTTCCGATCTNNNNNNNN (SEQ ID NO:5),

**[0098]** Reverse adaptor 2) 5'

**[0099]** CAAGCAGAAGACGGCATACGAGATTGAAGGGTGACTGGAGTTCAGACGTGT GCTCTTCCGATCNNNNNNNN (SEQ ID NO:6), and

**[0100]** Common partner 5' NNNNNNNNAGATCGGAAGAGC (SEQ ID NO:7) were all ordered from IDT (Integrated DNA Technologies, Coralville, IA). The reverse adaptors each contain a unique identifier (underlined) that enables libraries made with these adapters to be distinguished. In this case N represents an equimolar mixture of A, C, G, and T. A mixture of 5uM forward, 5uM reverse, and l0uM common in l0mM MgCl2, 50mM Tris pH 8 was heated to 95C for 5 minutes, then cooled to 20C. Adaptor ligation was performed by addition of 4.5 uL water, 3 uL Adaptor mix (prepared above), 6 uL 5X NEBNext Quick Ligation Reaction Buffer and 1.5 uL Quick T4 DNA Ligase (New England Biolabs, Inc., Ipswich, MA; p/n E6056), followed by incubation for 30 minutes at 25°C followed by 10 minutes at 70°C. Ligation products were purified by adding 70uL water and 80 uL of Ampure XP beads (Agencourt Genomics), washing twice with 70% ethanol and eluting with 20 uL of l0mM Tris pH 8.0.

Library products were amplified in a 50uL PCR containing 0.5uM each of primer (5' AATGATACGGCGACCACCGA (SEQ ID NO:8), and 5' CAAGCAGAAGACGGCATACGA (SEQ ID NO:9), 10 mM Tris-HCl, pH 8.3, 50 mM KCl, 2 mM MgCl2, 0.2mM each dNTP, and 1 unit Taq polymerase. The reaction was cycled 15 times under the conditions 95C for 15 seconds, 60C for 1 minute. PCR products were purified with 1 volume of Ampure XP beads (Agencourt Biosciences Corporation, A Beckman Coulter Company, Beverly, MA) as described above. The library was analyzed by HS DNA Bioanalyzer (Agilent Technologies, Santa Clara, CA) and quantitated with the KAPA Library Quantification Kit (KAPA Biosystems, Wilmington, MA; p/n KK4835) according to the supplied instructions. The resulting libraries are combined and are compatible with standard TruSeq single end or paired Illumina sequencing protocols for GAIIx, MiSeq, or Hi Seq sequencing instruments (Illumina Inc., San Diego, CA). The following series is run: 50 base first read, 6 base second read. A third read is not required for counting purposes or duplication analysis.

**[0101]** Data Analysis: The sequencer output was processed in accordance with manufacturer's recommendation. The 6 bases of the index read is used for standard library parsing, separating the data files from the two sample types. The first 50 bases of the target sequence read are compared to each other. Any read that has identical sequence to any other read is identified as a duplicate and removed from the population, thus, only a single copy is retained within the file. Once the duplicate reads have been removed, 8 bases are trimmed from each read. The trimmed reads are aligned to a reference genome. Differential expression is then determined by comparing FPKM (fragments per kilobase per million reads) values between libraries utilizing scripts such as cufflinks or cuffdiff (Trapnell et al. 2010, Nature Biotechnology, 28, 511-515; Trapnell et al. 2013, Nature Biotechnology, 31, 46-53).

*Example 6: Sequencing of the Identifier Site With the Target Sequence in Paired End Reads*

**[0102]** The Ovation Library System for Low Complexity Samples (NuGEN Technologies, Inc., San Carlos, CA) was used to generate four libraries, each from a single amplicon, following manufacturer's protocol. Purified libraries were mixed and sequenced as a multiplex on the Illumina MiSeq (Illumina Inc., San Diego, CA) to produce 125nt forward, 8nt index 1, 8nt index 2, and 25nt reverse reads. Because all amplicon reads start and end at the same sequence coordinates, the traditional method of marking library PCR duplicates (marking reads that start and end at the same genomic coordinates as duplicates) cannot be used. Instead, the 0-8nt of random sequence contained in the adaptors ligated to the amplicon were treated as an identifier sequence and used to mark duplicates. Any paired end reads that shared the same length and sequence of these random bases with any other paired end read was called a duplicate. The table below shows the results of this duplicate marking.

Table 1.

| Library | Reads | Duplicate Reads | Reads from independent molecules |
|---|---|---|---|
| 1 | 454249 | 376797 | 77452 |
| 2 | 439367 | 364001 | 75366 |
| 3 | 317760 | 253057 | 64703 |
| 4 | 476572 | 398380 | 78192 |

**[0103]** Table 1 demonstrates the accuracy of the method used to differentiate between duplicate reads and reads from truly independent molecules. The population of reads from independent molecules, depicted in the final column of Table 1, represent sequences from independent amplicon molecules used in generating the libraries.

*Example 7: Sequencing of the Identifier Site With the Target Sequence in Reduced Representation Bisulfite (RRBS) Libraries*

**[0104]** Reduced representation bisulfite (RRBS) libraries of the human genome are generated through the complete restriction enzyme digestion of 100ng input sample, followed by selection for short fragments. The resulting pool of fragments are ligated to adaptor sequences comprising an indexing site and an identifier site. The identifier sites comprise either 6 or 8 random nucleotides. The sequences are then sequenced to identify the identifier sites, thus revealing the true number of duplicates in the pool. In the absence of identifier sites, the number of apparent or perceived duplicates are greater than the number of true duplicates. The inclusion of an identifier site results in the identification of the number of true duplicates, as compared to the larger number of apparent or perceived duplicates.

**[0105]** Unless defined otherwise, all technical and scientific terms herein have the same meaning as commonly understood by one of ordinary skill in the art to which this invention belongs. Although any methods and materials, similar or equivalent to those described herein, can be used in the practice or testing of the present invention, the preferred methods and materials are described herein. All publications, patents, and patent publications cited are incorporated by reference herein in their entirety for all purposes.

**[0106]** The publications discussed herein are provided solely for their disclosure prior to the filing date of the present application. Nothing herein is to be construed as an admission that the present invention is not entitled to antedate such publication by virtue of prior invention.

**[0107]** All references, articles, publications, patents, patent publications, and patent applications cited herein are incorporated by reference in their entireties for all purposes. However, mention of any reference, article, publication, patent, patent publication, and

patent application cited herein is not, and should not be taken as an acknowledgment or any form of suggestion that they constitute valid prior art or form part of the common general knowledge in any country in the world.

**[0108]** While the invention has been described in connection with specific embodiments thereof, it will be understood that it is capable of further modifications and this application is intended to cover any variations, uses, or adaptations of the invention following, in general, the principles of the invention and including such departures from the present disclosure as come within known or customary practice within the art to which the invention pertains and as may be applied to the essential features hereinbefore set forth and as follows in the scope of the appended claims.

Amendments to the Specification

Please replace the specification of the subject application, i.e., pages 1-40, with the substitute specification filed herewith.

Sequence Listing

Please enter the Sequence Listing in computer readable form (CRF), filed herewith, which is contained in the text file named: NUGN-001-03US_SeqList_ST25.txt.



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**CONFIRMATION NO. 3249**

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**Applicant(s)**

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**Power of Attorney:** None

**Domestic Priority data as claimed by applicant**

This application is a CON of 15/406,002 01/13/2017 PAT 10570448
which is a DIV of 14/540,917 11/13/2014 PAT 9546399
which claims benefit of 61/903,826 11/13/2013

**Foreign Applications** for which priority is claimed (You may be eligible to benefit from the **Patent Prosecution Highway** program at the USPTO. Please see http://www.uspto.gov for more information.) - None.
*Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.*

**Permission to Access Application via Priority Document Exchange:** Yes

**Permission to Access Search Results:** Yes



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Applicant may provide or rescind an authorization for access using Form PTO/SB/39 or Form PTO/SB/69 as appropriate.

**If Required, Foreign Filing License Granted:** 02/14/2020
The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 16/743,604**
**Projected Publication Date:** To Be Determined - pending completion of Sequence Disclosures
**Non-Publication Request:** No
**Early Publication Request:** No
**Title**

COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

**Preliminary Class**

**Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications:** No

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

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Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at http://www.uspto.gov/web/offices/pac/doc/general/index.html.

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## Title 35, United States Code, Section 184

## Title 37, Code of Federal Regulations, 5.11 & 5.15

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**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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## PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number: 16/743,604

### APPLICATION AS FILED - PART I

| FOR | (Column 1) NUMBER FILED | (Column 2) NUMBER EXTRA | SMALL ENTITY RATE($) | SMALL ENTITY FEE($) | OR | OTHER THAN SMALL ENTITY RATE($) | OTHER THAN SMALL ENTITY FEE($) |
|---|---|---|---|---|---|---|---|
| BASIC FEE (37 CFR 1.16(a), (b), or (c)) | N/A | N/A | N/A | | | N/A | 300 |
| SEARCH FEE (37 CFR 1.16(k), (i), or (m)) | N/A | N/A | N/A | | | N/A | 660 |
| EXAMINATION FEE (37 CFR 1.16(o), (p), or (q)) | N/A | N/A | N/A | | | N/A | 760 |
| TOTAL CLAIMS (37 CFR 1.16(i)) | 21 minus 20 = | * 1 | | | OR | x 100 = | 100 |
| INDEPENDENT CLAIMS (37 CFR 1.16(h)) | 2 minus 3 = | * | | | | x 460 = | 0.00 |
| APPLICATION SIZE FEE (37 CFR 1.16(s)) | If the specification and drawings exceed 100 sheets of paper, the application size fee due is $310 ($155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). | | | | | | 0.00 |
| MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j)) | | | | | | | 0.00 |
| * If the difference in column 1 is less than zero, enter "0" in column 2. | | | TOTAL | | | TOTAL | 1820 |

### APPLICATION AS AMENDED - PART II

| | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | SMALL ENTITY RATE($) | SMALL ENTITY ADDITIONAL FEE($) | OR | OTHER THAN SMALL ENTITY RATE($) | OTHER THAN SMALL ENTITY ADDITIONAL FEE($) |
|---|---|---|---|---|---|---|---|---|---|---|
| AMENDMENT A | Total (37 CFR 1.16(i)) | * | Minus | ** | = | x = | | OR | x = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | x = | | OR | x = | |
| | Application Size Fee (37 CFR 1.16(s)) | | | | | | | | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | OR | | |
| | | | | | | TOTAL ADD'L FEE | | OR | TOTAL ADD'L FEE | |

| | | (Column 1) CLAIMS REMAINING AFTER AMENDMENT | | (Column 2) HIGHEST NUMBER PREVIOUSLY PAID FOR | (Column 3) PRESENT EXTRA | RATE($) | ADDITIONAL FEE($) | | RATE($) | ADDITIONAL FEE($) |
|---|---|---|---|---|---|---|---|---|---|---|
| AMENDMENT B | Total (37 CFR 1.16(i)) | * | Minus | ** | = | x = | | OR | x = | |
| | Independent (37 CFR 1.16(h)) | * | Minus | *** | = | x = | | OR | x = | |
| | Application Size Fee (37 CFR 1.16(s)) | | | | | | | | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j)) | | | | | | | OR | | |
| | | | | | | TOTAL ADD'L FEE | | OR | TOTAL ADD'L FEE | |

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1.

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UNITED STATES DEPARTMENT OF COMMERCE
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www.uspto.gov

| APPLICATION NUMBER | FILING OR 371(C) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|---|---|---|---|
| 16/743,604 | 01/15/2020 | Douglas A. Amorese | NUGN-001/03US 34079/516 |

**CONFIRMATION NO. 3249**

21710
BROWN RUDNICK LLP
ONE FINANCIAL CENTER
BOSTON, MA 02111

**FORMALITIES LETTER**

*OC000000114755245*

Date Mailed: 02/18/2020

# NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE AND/OR AMINO ACID SEQUENCE DISCLOSURES

*Filing Date Granted*

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to comply with the sequence rules, 37 CFR §§ 1.821-1.825. Failure to comply with these requirements will result in ABANDONMENT of the application under 37 CFR §1.821(g). Extension of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR §1.136.

**Items 1) and 2) provide general guidance related to requirements for sequence disclosures.**

1) 37 CFR 1.821(c) requires that patent applications which contain disclosures of nucleotide and/or amino acid sequences that fall within the definitions of 37 CFR 1.821(a) must contain a "Sequence Listing", *as a separate part of the disclosure*, which presents the nucleotide and/or amino acid sequences and associated information using the symbols and format in accordance with the requirements of 37 CFR 1.821-1.825. This "Sequence Listing" part of the disclosure may be submitted:
   a) via EFS-Web (see Section I.1 of the Legal Framework for EFS-Web (https://www.uspto.gov/patents-application-process/filing-online/legal-framework-efs-web), hereinafter "Legal Framework") as an ASCII text file, together with an incorporation-by-reference of the material in the ASCII text file in a separate paragraph of the specification identifying:
      i) the name of the ASCII text file;
      ii) the date of creation; and
      iii) the size of the ASCII text file in bytes;
   b) on compact disc(s) in duplicate according to 37 CFR 1.52(e)(1)(ii) and (4), labeled according to 37 CFR 1.52(e)(6), together with a statement that the duplicate compact discs are identical and an incorporation-by-reference of the material in the ASCII text file according to 37 CFR 1.52(e)(5) in a separate paragraph of the specification identifying:
      i) the name of the ASCII text file;
      ii) the date of creation; and
      iii) the size of the ASCII text file in bytes;
   c) via EFS-Web as a PDF (not recommended); or
   d) on paper.
2) 37 CFR 1.821(e) requires that a *copy* of the "Sequence Listing" must also be submitted in computer readable form (CRF) in accordance with the requirements of 37 CFR 1.824.
   a) If a "Sequence Listing" ASCII text file submitted via EFS-Web on the application filing date complies with the requirements of 37 CFR 1.824(a)(2)-(6) and (b), and applicant has not filed a "Sequence Listing" as



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a PDF, the text file will serve as both the "Sequence Listing" required by 37 CFR 1.821(c) and the CRF required by 37 CFR 1.821(e), and the statement of identity under the "Legal Framework" is not required.

b) If the "Sequence Listing" required by 37 CFR 1.821(c) is filed via EFS-Web as a PDF, then the "Legal Framework" requires submission of a statement that the "Sequence Listing" content of the PDF copy and the ASCII text file copy submitted via EFS-Web are identical.

c) If the "Sequence Listing" required by 37 CFR 1.821(c) is filed on paper or compact disc, then 37 CFR 1.821(f) requires submission of a statement that the "Sequence Listing" content of the paper or compact disc copy and the CRF are identical.

**Specific deficiencies and the required response to this notice are as follows:**

- This application fails to comply with the requirements of 37 CFR 1.821-1.825 because it does not contain a "Sequence Listing" as a separate part of the disclosure or a CRF. Applicant must provide:
  - A "Sequence Listing" part of the disclosure, as described above in item 1); **together with**
  - **An amendment specifically directing its entry into the application;**
  - A statement that the "Sequence Listing" includes no new matter; and
  - A statement that indicates support for the amendment in the application, as filed, as required by 37 CFR 1.825 and the "Legal Framework".
- If the "Sequence Listing" part of the disclosure is submitted according to item 1) a) or b) above, Applicant must also provide:
  - A substitute specification in compliance with 37 CFR 1.121(b)(3) and 1.125 inserting the required incorporation-by-reference paragraph, consisting of:
    - A copy of the previously-submitted specification, with deletions shown with strikethrough or brackets and insertions shown with underlining (marked-up version);
    - A copy of the amended specification without markings (clean version); and
    - A statement that the substitute specification contains no new matter.
- If the "Sequence Listing" part of the disclosure is submitted according to item 1) b), c), or d) above, Applicant must also provide:
  - A CRF; and
  - A statement according to item 2) b) or c) above.
- If applicant desires the CRF in this application to be identical with the CRF of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF (Form PTO/SB/93 may be used for this purpose).

**For questions regarding compliance to these requirements, please contact:**

- **For Rules interpretation, call (571) 272-2510**
- **For CRF submission help, call (571) 272-2510**
- **For PatentIn software program support technical assistance, call (866) 217-9197.**
- **Send e-mail correspondence for PatentIn software program help to ebc@uspto.gov**
- **PatentIn software is available at http://www.uspto.gov/patents/resources/tools/checker/patentinrel.jsp .**

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.



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Replies must be received in the USPTO within the set time period or must include a proper Certificate of Mailing or Transmission under 37 CFR 1.8 with a mailing or transmission date within the set time period. For more information and a suggested format, see Form PTO/SB/92 and MPEP 512.

Replies should be mailed to:

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web, including a copy of this Notice and selecting the document description "Applicant response to Pre-Exam Formalities Notice". https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at http://www.uspto.gov/ebc.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

Questions about the contents of this notice and the requirements it sets forth should be directed to the Office of Data Management, Application Assistance Unit, at **(571) 272-4000** or **(571) 272-4200** or **1-888-786-0101**.

/juwimana/



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| APPLICANT: | NUGEN TECHNOLOGIES, INC. |
| SERIAL NUMBER: | NOT YET ASSIGNED |
| FILING DATE: | NOT YET ASSIGNED |
| EXAMINER: | NOT YET ASSIGNED |
| CONTINUITY: | Continuation of Application No. 15/406,002, filed January 13, 2017 |
| TITLE: | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |

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

**FILED ELECTRONICALLY**

## PRELIMINARY AMENDMENT

Prior to examination of the application, please enter this amendment.

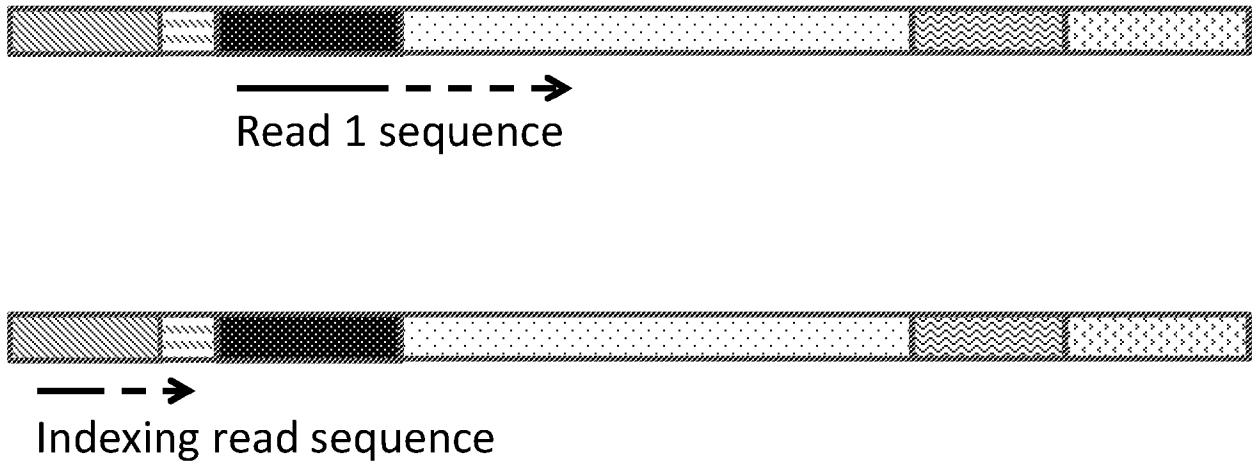
**Amendment to the specification** begin on page 2.

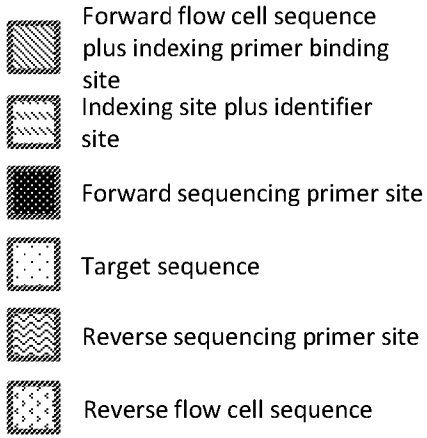
**Remarks** begin on page 3.

Applicant authorizes any required fee to be charged to Deposit Account No. 500369.

# Standard DNA Sequencing With Duplication Counter

- Sequence Read 1 (forward read)



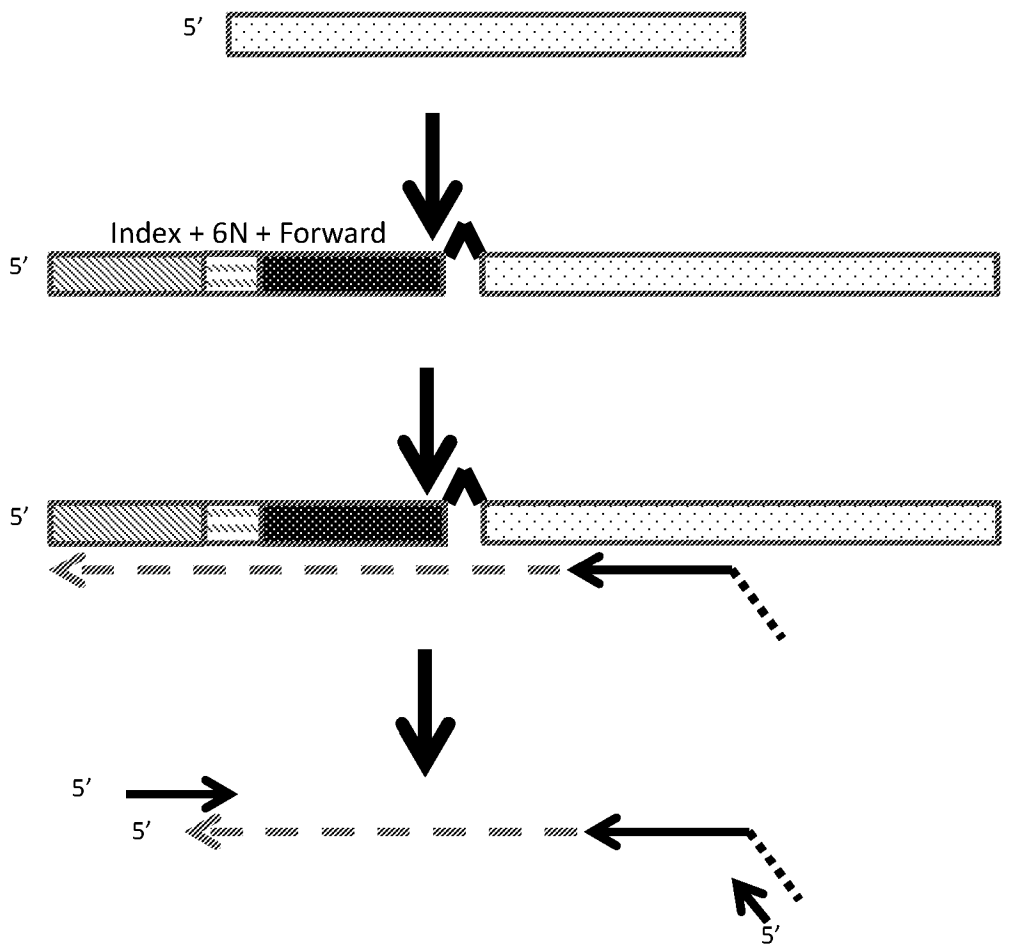

The indexing read results in sequencing of both the index site and the identifier site

- Extension of the indexing read beyond the indexing site and into the nucleotides of the identifier site provides data on which nucleic acid molecule is being sequenced.

**Figure 1**

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# Single Primer Extension (SPET) Reaction




gDNA is sheared

Adapters are ligated on to end-repaired DNA. The adapters contain at least a partial indexing sequence priming site, an indexing site, an identifier site, and the forward sequencing priming site. Each gDNA is now labeled with a unique identifier sequence

Targeting oligos are hybridized to gDNA and extended through the adapter containing an identifier site (6N) sequence

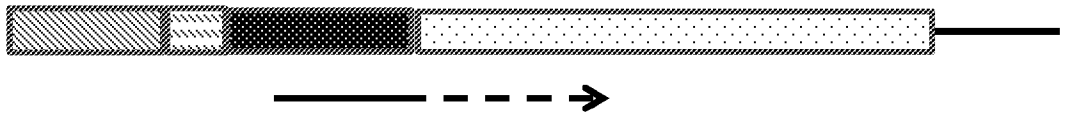
Probes that have extended through an adapter are PCR amplified for sequencing

**Figure 2A**

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# SPET Sequencing

- Sequence from random end toward the probe



Read 1 sequence

PCR adds sequence specific primer binding sites and Read 1 of sequencing is performed



Indexing read sequence

Indexing Read performed sequences both the indexing site as well as the identifier site (N6)

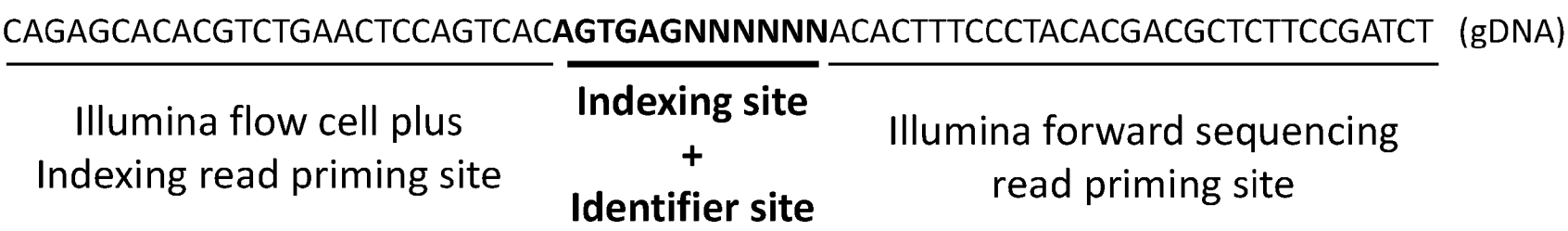
- Extending the indexing read past the 6 base indexing site sequence and into the random Ns of the identifier site provides data on which gDNA molecule the extension reaction occurred upon.

**Figure 2B**

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# Example Adaptor

An adaptor sequence with necessary priming sites, the index site, and the identifier site

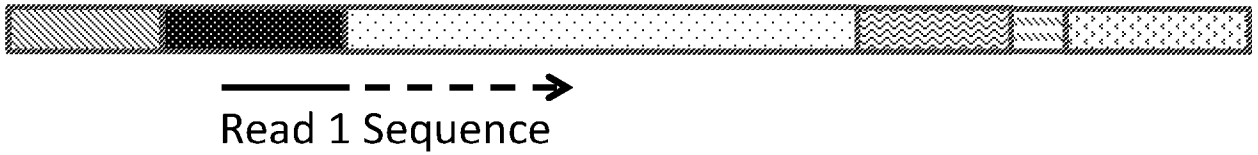


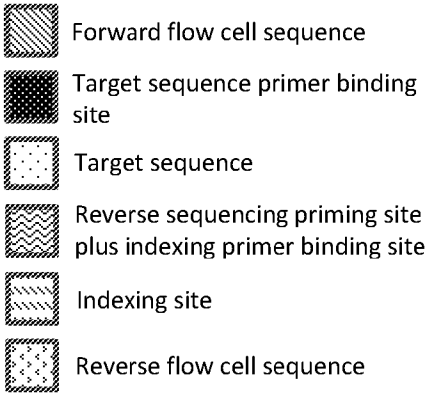

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**Figure 3**

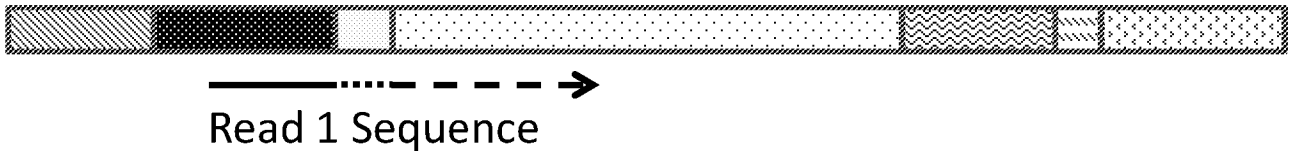
# DNA Sequencing With Duplicate Recognition at the insert junction

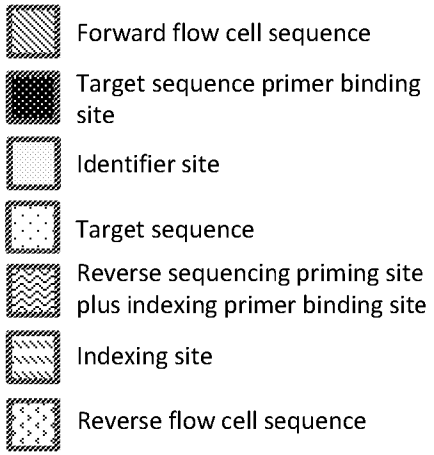
- Traditional library, sequence read 1 (forward read)




- Duplicate recognition library, sequence read 1 (forward read)




Read 1 initially records the approximately 8 random bases of the identifier site appended to the library sequences, followed by the target sequence

**Figure 4**

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# Resolution of apparent duplicate reads by identifier sequence ligation

**Libraries** were generated from 100ng genomic DNA Covaris fragmented to ~500bp in length. These were enriched with the 344 gene cancer panel, ~12k probes covering 969kb of genomic space and sequenced on the ILMN Miseq. Different numbers of reads were randomly selected for this analysis

| Total reads randomly selected | Aligned read | Fold Target Coverage | Total duplicates after identifier analysis (true rate) | Percentage duplicates after identifier analysis (true rate) | Total apparent duplicates with no identifier | Percentage apparent duplicates with no identifier |
|---|---|---|---|---|---|---|
| 100K | 97,919 | 2X | 1854 | 1.89 | 3256 | 3.33 |
| 500K | 488,423 | 7X | 39731 | 8.13 | 68741 | 14.07 |
| 1M | 976,662 | 13X | 145589 | 14.91 | 237882 | 24.36 |
| 2M | 1,954,673 | 21X | 514848 | 26.34 | 764825 | 39.13 |
| 10M | 9,771,462 | 43X | 6493577 | 66.45 | 7515496 | 76.91 |

**"Apparent" Duplicates** – individual targets within libraries consist of one random end (result of fragmentation) and one common end (initiated with the sequence specific probe). Apparent duplicates are derived from sequencing libraries and using conventional measures of duplicate reads ie, reads were mapped using bowtie and all reads with the same start and end genomic coordinates were counted as duplicates.

**"True" duplicates -** An identifier sequence is introduced through ligation to differentiate between fragments of DNA that randomly have the same start and end mapping coordinates. The analysis method is described in the specification.

**Figure 5**

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## ABSTRACT

The present invention provides methods, compositions and kits for detecting duplicate sequencing reads. In some embodiments, the duplicate sequencing reads are removed.

## CLAIMS

1. A method for detecting a duplicate sequencing read from a population of sample sequencing reads comprising:
    a) ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, wherein the adaptor comprises:
        (i) an indexing primer binding site;
        (ii) an indexing site;
        (iii) an identifier site; and
        (iv) a target sequence primer binding site;
    b) amplifying the adapter-nucleic acid fragment ligated products;
    c) generating a population of sequencing reads from amplified adapter-nucleic acid fragment ligated products; and
    d) detecting the population of sequencing reads comprising a sequencing read with a duplicate identifier site and target sequence.
2. The method of claim 1, wherein the method further comprises removing from the population of sequence reads the sequencing read with a duplicate identifier site and target sequence.
3. The method of claim 1, wherein the identifier site is sequenced with the indexing site.
4. The method of claim 1, wherein the identifier site is sequenced separately from the indexing site.
5. The method of claim 1, wherein the identifier site is sequenced with the target sequence.
6. The method of claim 1, wherein the identifier site is sequenced separately from the target sequence.
7. The method of claim 1, wherein the adaptor comprises from 5' to 3':

(i) the indexing primer binding site;

(ii) the indexing site;

(iii) the identifier site; and

(iv) the target sequence primer binding site.

8. The method of claim 1, wherein the adaptor comprises from 5' to 3':

(i) the indexing primer binding site;

(ii) the indexing site;

(iii) the target sequence primer binding site; and

(iv) the identifier site.

9. The method of claim 1, wherein the plurality of nucleic acid fragments is generated from more than one sample.

10. The method of claim 9, wherein the nucleic acid fragments from each sample has the same indexing site.

11. The method of claim 10, wherein the sequencing reads are separated based on the indexing site.

12. The method of claim 11, wherein the separation of sequencing reads is performed prior to step d).

13. The method of claim 1, wherein the nucleic acid fragments are DNA fragments, RNA fragments, or DNA/RNA fragments.

14. The method of claim 13, wherein the nucleic acid fragments are genomic DNA fragments or cDNA fragments.

15. The method of claim 1, wherein the indexing site is between 2 and 8 nucleotides in length.

16. The method of claim 1, wherein the indexing site is about 6 nucleotides in length.

17. The method of claim 1, wherein the identifier site is between 1 and 8 nucleotides in length.

18. The method of claim 1, wherein the identifier site is about 8 nucleotides in length.

19. The method of claim 1, wherein the indexing primer binding site is a universal indexing primer binding site.

20. The method of claim 1, wherein the target sequence primer binding site is a universal target sequence primer binding site.

21. A kit comprising a plurality of adaptors, wherein each adaptor comprises:

    (i) an indexing primer binding site;

    (ii) an indexing site;

    (iii) an identifier site; and

    (iv) a target sequencing primer binding site.

# COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ

## CROSS-REFERENCE TO RELATED APPLICATIONS

**[0001]** This application claims the benefit of U.S. Provisional Application Serial No. 61/903,826, filed November 13, 2013, which is herein incorporated by reference in its entirety.

## DESCRIPTION OF THE TEXT FILE SUBMITTED ELECTRONICALLY

**[0002]** The contents of the text file submitted electronically herewith are incorporated herein by reference in their entirety: A computer readable format copy of the Sequence Listing (filename: NUGN_001_01US_SeqList_ST25.txt, date recorded: November 12, 2014, file size 3 kilobytes).

## FIELD OF THE PRESENT INVENTION

**[0003]** The present invention relates generally to the field of high throughput sequencing reactions and the ability to discern artifacts arising through sequence duplications from nucleotide molecules that are unique molecules.

## BACKGROUND OF THE PRESENT INVENTION

**[0004]** In RNA sequencing applications, accurate gene expression measurements may be hampered by PCR duplicate artifacts that occur during library amplification. When analyzing RNA sequencing data, when two or more identical sequences are found, it can be difficult to know if these represent unique cDNA molecules derived independently from different RNA molecules, or if they are PCR duplicates derived from a single RNA molecule. In genotyping by

sequencing, duplicate reads can be considered non-informative and may be collapsed down to a single read, thus reducing the number of sequencing reads used in final analysis. Generally, sequencing reads may be determined to be duplicates if both forward and reverse reads have identical starting positions, even though two independently generated molecules can have identical starting positions by random chance. Single primer extension based targeted re-sequencing suffers from an issue in that only one end of a sequencing read is randomly generated, while the other (reverse read) end is generated by a specific probe. This may make it difficult to determine if two reads are duplicates because they have been duplicated by PCR or because by chance they happened to start at the same position.

**[0005]** In expression analysis studies there may be limited value in doing paired end sequencing since the goal of the experiment is to determine amounts of transcript present as opposed to studying exon usage. In these studies, paired end sequencing adds costs while the only value is in helping distinguish PCR duplicates. The probability of two reads starting in the same position on only one end is higher than the probability of two reads having the same starting position on two ends (forward and reverse read). There is a need for improved methods that allow for low-cost, high throughput sequencing of regions of interest, genotyping or simple detection of RNA transcripts without inherent instrument inefficiencies that drive up sequencing costs due to the generation of unusable or non-desired data reads. The invention described herein fulfills this need. Here, we describe an adaptor approach that allows for the identification of true PCR duplicates and their removal.

**[0006]** The methods of the present invention provide novel methods for identifying true duplicate reads during sequencing, such as to improve data analysis of sequencing data, and other related advantages.

## SUMMARY OF THE PRESENT INVENTION

**[0007]** The present invention is based, in part, on compositions and methods for discerning duplicate sequencing reads from a population of sequencing reads. The detection and/or removal of duplicate sequencing reads presented herein is a novel approach to increasing the efficacy of evaluating data generated from high throughput sequence reactions, including complex multiplex sequence reactions.

**[0008]** Accordingly, the present invention provides a method of detecting a duplicate sequencing read from a population of sample sequencing reads, the method comprising ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, wherein the adaptor comprises an indexing primer binding site, an indexing site, an identifier site, and a target sequence primer binding site. The ligated adaptor-nucleic acid fragment products can be amplified, thus generating a population of sequencing reads from the amplified adaptor-nucleic acid ligation products. The sequencing reads with a duplicate identifier site and target sequence can then be detected from the population of sequencing reads. The methods can further include the removal of the sequencing reads with the duplicate identifier site and target sequence from the population of sequence reads.

**[0009]** In some embodiments, the identifier site is sequenced with the indexing site or the target sequence. In further embodiments, the identifier site is sequenced separately from the indexing site or the target sequence.

**[0010]** In some embodiments, the adaptor comprises from 5' to 3' the indexing primer binding site; the indexing site; the identifier site; and the target sequence primer binding site. In further embodiments, the adaptor comprises from 5' to 3' the indexing primer binding site; the indexing site; the target sequence primer binding site; and the identifier site.

**[0011]** In some embodiments, the plurality of nucleic acid fragments is generated from more than one sample. In some embodiments, the nucleic acid fragments from each sample have the same indexing site. In some embodiments, the sequencing reads are separated based on the indexing site. In yet other embodiments, the separation of sequencing reads is performed prior to detecting sequence reads with a duplicate identifier site and target sequence.

**[0012]** In some embodiments, the nucleic acid fragments are DNA fragments, RNA fragments, or DNA/RNA fragments. In further embodiments, the nucleic acid fragments are genomic DNA fragments or cDNA fragments.

**[0013]** In some embodiments, the indexing site is between 2 and 8 nucleotides in length. In further embodiments, the indexing site is about 6 nucleotides in length. In some embodiments, the identifier site is between 1 and 8 nucleotides in length. In further embodiments, the identifier site is about 8 nucleotides in length.

**[0014]** In some embodiments, the indexing primer binding site is a universal indexing primer binding site; and in some embodiments, the target sequence primer binding site is a universal target sequence primer binding site.

**[0015]** The present invention also encompasses embodiments that include a kit comprising a plurality of adaptors, wherein each adaptor comprise an indexing primer binding site; an indexing site, and identifier site, and a target sequencing primer binding site.

## BRIEF DESCRIPTION OF THE DRAWINGS

**[0016]** A better understanding of the novel features of the invention and advantages of the present invention will be obtained by reference to the following description that sets forth

illustrative embodiments, in which the principles of the invention are utilized, and the accompanying drawings of which:

**[0017] Figure 1** depicts a schematic of generating sequencing reads of a library including where an indexing primer and a target sequence primer anneal.

**[0018] Figure 2A** depicts a mechanism of the Single Primer Enrichment Technology (SPET) and how an identifier site is carried over into the final library and how sequencing through the indexing site into the identifier site provides data on which nucleic acid molecule is being identified.

**[0019] Figure 2B** is a continuation of Figure 2A.

**[0020] Figure 3** offers a detailed view of the sequence of an example adaptor, among many envisioned embodiments, and the position of the indexing and identifier sites (SEQ ID NO: 1). "N" refers to any nucleic acid.

**[0021] Figure 4** depicts a schematic of two separate sequence libraries, indicating where the indexing primers and the target primers anneal in a traditional library as compared to a library using an identifier site.

**[0022] Figure 5** depicts a data table demonstrating the accuracy of resolving true duplicates versus apparent or perceived duplicates using an identifier site in the adaptors.

## DETAILED DESCRIPTION OF THE PRESENT INVENTION

**[0023]** The present invention is based, in part, on compositions and methods for discerning duplicate sequencing reads from a population of sequencing reads. The present invention encompasses methods of detecting sequences duplicated in sequencing applications, and further removal of the duplicated sequence reads. The present invention further encompasses kits

comprising components that would allow for customized applications of the method of detecting and removing duplicated sequence reads in high throughput sequencing reactions. The compositions and methods can be used with various applications for genetic sample analysis, such as RNA sequence analysis, copy number variation analysis, methylation sequencing analysis, genotyping and whole genome amplification.

**[0024]** Reference will now be made in detail to exemplary embodiments of the invention. While the disclosed methods and compositions will be described in conjunction with the exemplary embodiments, it will be understood that these exemplary embodiments are not intended to limit the present invention. On the contrary, the present disclosure is intended to encompass alternatives, modifications and equivalents, which may be included in the spirit and scope of the present invention.

**[0025]** Unless otherwise specified, terms and symbols of genetics, molecular biology, biochemistry and nucleic acid used herein follow those of standard treatises and texts in the field, e.g. Kornberg and Baker, *DNA Replication,* Second Edition (W.H. Freeman, New York, 1992); Lehninger, *Biochemistry,* Second Edition (Worth Publishers, New York, 1975); Strachan and Read, Human *Molecular Genetics,* Second Edition (Wiley-Liss, New York, 1999); Eckstein, editor, *Oligonucleotides and Analogs: A Practical Approach* (Oxford University Press, New York, 1991); Gait, editor, *Oligonucleotide Synthesis: A Practical Approach* (IRL Press, Oxford,1984); and the like.

**[0026]** In some embodiments, the methods disclosed herein is for detecting from a population of sequencing reads a sequencing read, such as a duplicate sequencing read with a duplicate identifier site and target sequence. A duplicate sequencing read can be a sequencing read with

the same identifier site and target sequence as another sequencing read in the population of sequencing reads.

***Adaptor***

**[0027]** The present invention provides compositions of adaptors and methods comprising use of an adaptor. An adapter refers to an oligonucleotide sequence, the ligation of which to a target polynucleotide or a target polynucleotide strand of interest enables the generation of amplification-ready products of the target polynucleotide or the target polynucleotide strand of interest. The target polynucleotide molecules may be fragmented or not prior to the addition of adaptors. In some embodiments, a method disclosed herein comprises ligating an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples.

**[0028]** Various adaptor designs are envisioned which are suitable for generation of amplification-ready products of target sequence regions/strands of interest. For example, the two strands of the adaptor may be self-complementary, non-complementary or partially complementary. In some embodiments, the adaptor can comprise an indexing primer binding site, an indexing site, an identifier site, and a target sequence primer binding site.

**[0029]** An indexing primer binding site is a nucleotide sequence for binding a primer for an indexing site. An indexing site is a nucleic acid sequence that acts as an index for multiple polynucleotide samples, thus allowing for the samples to be pooled together into a single sequencing run, which is known as multiplexing. In some embodiments, the indexing site is at least 2, 3, 4, 5, 6, 7, 8, 9, or 10 nucleotides in length. In some embodiments, the indexing site is between 2 and 8 nucleotides in length. In some embodiments, the indexing site is about 6 nucleotides in length.

**[0030]** An identifier site is a nucleic acid sequence that comprises random bases and is used to identify duplicate sequencing reads. In some embodiments, the identifier site is at least 2, 3, 4, 5, 6, 7, 8, 9, or 10 nucleotides in length. In some embodiments, the identifier site is between 1 and 8 nucleotides in length. In some embodiments, the identifier site is about 8 nucleotides in length. This identifier site can be designed as a set of sequences, or it can be semi-random, or it can be completely random. In addition, this identifier site can be a fixed length, or it can be a variable length. In some embodiments, the identifier sites in a plurality of adaptors are of a fixed length. For example, the identifier sites can all be eight random bases. In another embodiment, the identifier sites in a plurality of adaptors are of a variable length. For example, the identifier sites can range in size from 1 to 8 bases. In yet another embodiment, the identifier sites can be of a defined set of defined sequence. For example, the identifier site of a plurality of adaptors can be one of 96 defined six-base nucleotide sequences.

**[0031]** A target sequence primer binding site nucleotide sequence for binding a primer for a target sequence. The primer can be used to amplify the target sequence (e.g., a nucleic acid fragment from a sample). Accordingly, in some embodiments, the adaptor comprises an indexing primer binding site and a target sequence primer binding site.

**[0032]** A primer is a polynucleotide chain, typically less than 200 residues long, most typically between 15 and 100 nucleotides long, but can encompass longer polynucleotide chains. A primer targeting the primer binding sites are typically designed to hybridize to single-stranded nucleic acid strands. In some embodiments, the primers targeting the primer binding sites are designed to hybridize to single-stranded DNA targets. In the case where the sample comprises genomic DNA or other double-stranded DNA, the sample can be first denatured to render the target single stranded and enable hybridization of the primers to the desired sequence regions of

interest. In these embodiments, the methods and compositions described herein can allow for region-specific enrichment and amplification of sequence regions of interest. In some embodiments, the other double-stranded DNA can be double-stranded cDNA generated by first and second strand synthesis of one or more target RNAs.

**[0033]** In other embodiments, the primers targeting the primer binding sites are designed to hybridize to double-stranded nucleic acid targets, without denaturation of the double stranded nucleic acids. In other embodiments, the primers targeting the primer binding sites are designed to hybridize to a double-stranded DNA target, without denaturation of the dsDNA. In these embodiments, the primers targeting the selected sequence regions of interest are designed to form a triple helix (triplex) at the selected sequence regions of interest. The hybridization of the primers to the double-stranded DNA sequence regions of interest can be carried out without prior denaturation of the double stranded nucleic acid sample. In such embodiments, the methods and compositions described herein can allow for region-specific enrichment as well as strand-specific enrichment and amplification of sequence regions of interest. This method can be useful for generation of copies of strand specific sequence regions of interest from complex nucleic acid without the need to denature the dsDNA input DNA, thus enabling enrichment and analysis of multiplicity of sequence regions of interest in the native complex nucleic acid sample. The method can find use for studies and analyses carried out in situ, enable studies and analysis of complex genomic DNA in single cells or collection of very small well defined cell population, as well as permit the analysis of complex genomic DNA without disruption of chromatin structures.

**[0034]** The primers of the invention are generally oligonucleotides that are employed in an extension reaction by a polymerase along a polynucleotide template, such as for amplification of a target sequence (e.g., in PCR). The oligonucleotide primer can be a synthetic polynucleotide

that is single stranded, containing a sequence at its 3'-end that is capable of hybridizing with a sequence of the target polynucleotide. In some embodiments, the 3' region of the primer that hybridizes with the target nucleic acid has at least 80%, preferably 90%, more preferably 95%, most preferably 100%, complementarity to a primer binding site.

**[0035]** In some embodiments, the primer binding site is a binding site for a universal primer. A universal primer is a primer that can be used for amplifying a number of different sequences. In some embodiments, a universal primer is used to amplify different libraries. In some embodiments, an indexing primer binding site is a binding site for a universal indexing primer (i.e., the indexing primer binding site is a universal indexing primer binding site). In some embodiments, the adaptors used for ligating a plurality of nucleic acid fragments have a universal indexing primer binding site. In some embodiments, the universal indexing primer can be used to amplify and/or sequence a number of different indexing sites.

**[0036]** In some embodiments, a target sequence primer binding site is a binding site for a universal target sequence primer (i.e., the target sequence primer binding site is a universal target sequence primer binding site). In some embodiments, the adaptors used for ligating a plurality of nucleic acid fragments have a universal target sequence primer binding site. In some embodiments, the universal target sequence primer can be used to amplify and/or sequence a number of different target sequences.

**[0037]** In some embodiments, the adaptor comprises an identifier site 3' to an indexing site. In some embodiments, the adaptor comprises an identifier site 5' to an indexing site. In some embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, indexing site, identifier site, and target sequence primer binding site. In other embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, indexing site, identifier site, and target

sequence primer binding site. In yet other embodiments, the adaptor comprises from 5' to 3' an indexing primer binding site, identifier site, indexing site, and target sequence primer binding site.

***Samples***

**[0038]** In some embodiments, an adaptor is ligated to a nucleic acid fragment (e.g., the 5' end of the nucleic acid fragment). The nucleic acid fragment can be from a plurality of nucleic acid fragments from one or more samples. The nucleic acid fragment can be RNA, DNA, or complex DNA, for example genomic DNA and PNA, in which case one might use a modified nucleic acid. The nucleic acid fragment may also be cDNA. The cDNA can be generated from RNA, e.g., mRNA.

**[0039]** The sample can be a biological sample. For example, the sample can be an animal, plant, bacterial, algal, or viral sample. In some embodiments, the sample is a human, rat, or mouse sample. The sample can be from a mixture of genomes of different species such as host-pathogen, bacterial populations and the like. The sample can be cDNA made from a mixture of genomes of different species. In some embodiments, the sample can be from a synthetic source. The sample can be mitochondrial DNA. The sample can be cell-free DNA. The cell-free DNA can be obtained from sources such as a serum or a plasma sample. The sample can comprise one or more chromosomes. For example, if the sample is from a human, the sample can comprise one or more of chromosome 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, X, or Y. In some embodiments, the sample comprises a linear or circular genome. The sample can be plasmid DNA, cosmid DNA, bacterial artificial chromosome (BAC), or yeast artificial chromosome (YAC). The sample can be from more than one individual or organism. The sample

can be double-stranded or single-stranded. The sample can be part of chromatin. The sample can be associated with histones.

**[0040]** In some embodiments, adaptors are ligated to a plurality of nucleic acid fragments from more than one sample, such as 2, 3, 4, 5, or more samples. In some embodiments, the nucleic acid fragments from each sample have the same indexing site. In some embodiments, a plurality of nucleic acid fragments is generated from a first sample and a second sample and adaptors are ligated to each nucleic acid fragment, in which adaptors ligated to each nucleic acid fragment from the first sample have the same first indexing site and adaptors ligated to nucleic acid fragments from the second sample has the same second indexing site. In some embodiments, the nucleic acid fragments or data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site.

**[0041]** In some embodiments, a population of nucleic acid fragments generated from a sample is of one or more specific size range(s). In some embodiments, the fragments have an average length from about 10 to about 10,000 nucleotides. In some embodiments, the fragments have an average length from about 50 to about 2,000 nucleotides. In some embodiments, the fragments have an average length from about 100-2,500, 10-1,000, 10-800, 10-500, 50-500, 50-250, or 50-150 nucleotides. In some embodiments, the fragments have an average length less than 10,000 nucleotide, such as less than 5,000 nucleotides, less than 2,500 nucleotides, less than 2,500 nucleotides, less than 1,000 nucleotides, less than 500 nucleotides, such as less than 400 nucleotides, less than 300 nucleotides, less than 200 nucleotides, or less than 150 nucleotides.

**[0042]** In some embodiments, fragmentation of the nucleic acids can be achieved through methods known in the art. Fragmentation can be achieved through physical fragmentation methods and/or enzymatic fragmentation methods. Physical fragmentation methods can include

nebulization, sonication, and/or hydrodynamic shearing. In some embodiments, the fragmentation can be accomplished mechanically comprising subjecting the nucleic acids in the input sample to acoustic sonication. In some embodiments, the fragmentation comprises treating the nucleic acids in the input sample with one or more enzymes under conditions suitable for the one or more enzymes to generate double-stranded nucleic acid breaks. Examples of enzymes useful in the generation of nucleic acid or polynucleotide fragments include sequence specific and non-sequence specific nucleases. Non-limiting examples of nucleases include DNase I, Fragmentase, restriction endonucleases, variants thereof, and combinations thereof. Reagents for carrying out enzymatic fragmentation reactions are commercially available (e.g., from New England Biolabs). For example, digestion with DNase I can induce random double-stranded breaks in DNA in the absence of $Mg^{++}$ and in the presence of $Mn^{++}$. In some embodiments, fragmentation comprises treating the nucleic acids in the input sample with one or more restriction endonucleases. Fragmentation can produce fragments having 5′ overhangs, 3′ overhangs, blunt ends, or a combination thereof. In some embodiments, such as when fragmentation comprises the use of one or more restriction endonucleases, cleavage of sample polynucleotides leaves overhangs having a predictable sequence. In some embodiments, the method includes the step of size selecting the fragments via standard methods known in the art such as column purification or isolation from an agarose gel.

**[0043]** In some embodiments, fragmentation of the nucleic acids is followed by end repair of the nucleic acid fragments. End repair can include the generation of blunt ends, non-blunt ends (i.e sticky or cohesive ends), or single base overhangs such as the addition of a single dA nucleotide to the 3′-end of the nucleic acid fragments, by a polymerase lacking 3′-exonuclease activity. End repair can be performed using any number of enzymes and/or methods known in the art

including, but not limited to, commercially available kits such as the Encore™ Ultra Low Input NGS Library System I. In some embodiments, end repair can be performed on double stranded DNA fragments to produce blunt ends wherein the double stranded DNA fragments contain 5′ phosphates and 3′ hydroxyls. In some embodiments, the double-stranded DNA fragments can be blunt-end polished (or "end-repaired") to produce DNA fragments having blunt ends, prior to being joined to adapters. Generation of the blunt ends on the double stranded fragments can be generated by the use of a single strand specific DNA exonuclease such as for example exonuclease 1, exonuclease 7 or a combination thereof to degrade overhanging single stranded ends of the double stranded products. Alternatively, the double stranded DNA fragments can be blunt ended by the use of a single stranded specific DNA endonuclease, for example, but not limited to, mung bean endonuclease or S1 endonuclease. Alternatively, the double stranded products can be blunt ended by the use of a polymerase that comprises single stranded exonuclease activity such as for example T4 DNA polymerase, or any other polymerase comprising single stranded exonuclease activity or a combination thereof to degrade the overhanging single stranded ends of the double stranded products. In some cases, the polymerase comprising single stranded exonuclease activity can be incubated in a reaction mixture that does or does not comprise one or more dNTPs. In other cases, a combination of single stranded nucleic acid specific exonucleases and one or more polymerases can be used to blunt end the double stranded fragments generated by fragmenting the sample comprising nucleic acids. In still other cases, the nucleic acid fragments can be made blunt ended by filling in the overhanging single stranded ends of the double stranded fragments. For example, the fragments may be incubated with a polymerase such as T4 DNA polymerase or Klenow polymerase or a combination thereof in the presence of one or more dNTPs to fill in the single stranded portions

of the double stranded fragments. Alternatively, the double stranded DNA fragments can be made blunt by a combination of a single stranded overhang degradation reaction using exonucleases and/or polymerases, and a fill-in reaction using one or more polymerases in the presence of one or more dNTPs.

**[0044]** U.S. Patent Publication Nos. 2013-0231253 A1 and 2014-0274729 A1 further describe methods of generating nucleic acid fragments, methods of modifying the fragments and analysis of the fragments, and are incorporated by reference in their entirety herein.

***Ligation of Adaptors***

**[0045]** Ligation of adaptors at the desired end of the sequence regions of interest (e.g., at the 5' or 3' end of a nucleic acid fragment generated form a sample) is suitable for carrying out the methods of the invention. Various ligation modalities are envisioned, dependent on the choice of nucleic acid, nucleic acid modifying enzymes and the resulting ligatable end of the nucleic acid. For example, when a blunt end product comprising the target region/sequence of interest is generated, blunt end ligation can be suitable. Alternatively, where the cleavage is carried out using a restriction enzyme of known sequence specificity, leading to the generation of cleavage sites with known sequence overhangs, suitable ends of the adaptors can be designed to enable hybridization of the adaptor to the cleavage site of the sequence region of interest and subsequent ligation. Ligation also refers to any joining of two nucleic acid molecules that results in a single nucleic acid sequence that can be further modified to obtain the sequence of the nucleic acids in question. Reagents and methods for efficient and rapid ligation of adaptors are commercially available, and are known in the art.

**[0046]** In some embodiments, the 5′ and/or 3′ end nucleotide sequences of fragmented nucleic acids are not modified or end-repaired prior to ligation with the adapter oligonucleotides of the present invention. For example, fragmentation by a restriction endonuclease can be used to leave

a predictable overhang, followed by ligation with one or more adapter oligonucleotides comprising an overhang complementary to the predictable overhang on a nucleic acid fragment. In another example, cleavage by an enzyme that leaves a predictable blunt end can be followed by ligation of blunt-ended nucleic acid fragments to adapter oligonucleotides comprising a blunt end. In some embodiments, end repair can be followed by an addition of 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20 or more nucleotides, such as one or more adenine, one or more thymine, one or more guanine, or one or more cytosine, to produce an overhang. Nucleic acid fragments having an overhang can be joined to one or more adapter oligonucleotides having a complementary overhang, such as in a ligation reaction. For example, a single adenine can be added to the 3′ ends of end-repaired DNA fragments using a template independent polymerase, followed by ligation to one or more adapters each having a thymine at a 3′ end. In some embodiments, adapter oligonucleotides can be joined to blunt end double-stranded nucleic acid fragments which have been modified by extension of the 3′ end with one or more nucleotides followed by 5′ phosphorylation. In some cases, extension of the 3′ end can be performed with a polymerase such as for example Klenow polymerase or any of the suitable polymerases provided herein, or by use of a terminal deoxynucleotide transferase, in the presence of one or more dNTPs in a suitable buffer containing magnesium. In some embodiments, nucleic acid fragments having blunt ends can be joined to one or more adapters comprising a blunt end. Phosphorylation of 5′ ends of nucleic acid fragments can be performed for example with T4 polynucleotide kinase in a suitable buffer containing ATP and magnesium. The fragmented nucleic acid molecules may optionally be treated to dephosphorylate 5′ ends or 3′ ends, for example, by using enzymes known in the art, such as phosphatases.

**[0047]** In some embodiments, appending the adaptor to the nucleic acid fragments generated by methods described herein can be achieved using a ligation reaction or a priming reaction. In some embodiments, appendage of an adaptor to the nucleic acid fragments comprises ligation. In some embodiments, ligation of the adaptor to the nucleic acid fragments can be following end repair of the nucleic acid fragments. In another embodiment, the ligation of the adaptor to the nucleic acid fragments can be following generation of the nucleic acid fragments without end repair of the nucleic acid fragments. The adaptor can be any type of adaptor known in the art including, but not limited to, conventional duplex or double stranded adaptors in which the adaptor comprises two complementary strands. In some embodiments, the adaptor can be a double stranded DNA adaptor. In some embodiments, the adaptor can be an oligonucleotide of known sequence and, thus, allow generation and/or use of sequence specific primers for amplification and/or sequencing of any polynucleotides to which the adaptor is appended or attached. In some embodiments, the adaptor can be a conventional duplex adaptor, wherein the adaptor comprises sequence well known in the art. In a some embodiments, the adaptor can be appended to the nucleic acid fragments generated by the methods described herein in multiple orientations. In some embodiment, the methods described herein can involve the use of a duplex adaptor comprising double stranded DNA of known sequence that is blunt ended and can bind to the double stranded nucleic acid fragments generated by the methods described herein in one of two orientations. In some embodiments, the adaptor can be ligated to each of the nucleic acid fragments such that each of the nucleic acid fragments comprises the same adaptor. In other words, each of the nucleic acid fragments comprises a common adaptor. In another embodiment, an adaptor can be appended or ligated to a library of nucleic acid fragments generated by the methods described herein such that each nucleic acid fragment in the library of nucleic acid

fragments comprises the adaptor ligated to one or both ends. In another embodiment, more than one adaptor can be appended or ligated to a library of nucleic acid fragments generated by the methods described herein. The multiple adaptors may occur adjacent to one another, spaced intermittently, or at opposite ends of the nucleic acid fragments. In some embodiments, the adaptor can be ligated or appended to the 5′ and/or 3′ ends of the nucleic acid fragments generated by the methods described herein. The adaptor can comprise two strands wherein each strand comprises a free 3′ hydroxyl group but neither strand comprises a free 5′ phosphate. In some embodiments, the free 3′ hydroxyl group on each strand of the adaptor can be ligated to a free 5′ phosphate present on either end of the nucleic acid fragments of the present invention. In this embodiment, the adaptor comprises a ligation strand and a non-ligation strand whereby the ligation strand can be ligated to the 5′ phosphate on either end of the nucleic acid fragment while a nick or gap can be present between the non-ligation strand of the adaptor and the 3′ hydroxyl on either end of the nucleic acid fragment. In some embodiments, the nick or gap can be filled in by performing a gap repair reaction. In some embodiments, the gap repair can be performed with a DNA dependent DNA polymerase with strand displacement activity. In some embodiments, the gap repair can be performed using a DNA-dependent DNA polymerase with weak or no strand displacement activity. In some embodiments, the ligation strand of the adaptor can serve as the template for the gap repair or fill-in reaction. The gap repair or fill-in reaction may comprise an extension reaction wherein the ligation strand of the adaptor serves as a template and leads to the generation of nucleic acid fragments with complementary termini or ends. In some embodiments, the gap repair can be performed using Taq DNA polymerase. In some embodiments, the ligation of the first adaptor to the nucleic acid fragments generated by the

methods described herein may not be followed by gap repair. The nucleic acid fragments may comprise the adaptor sequence ligated only at the 5′ end of each strand.

**[0048]** Ligation and, optionally gap repair, of the adaptor to the nucleic acid fragments generates an adaptor-nucleic acid fragment complex. In some embodiments, the adaptor-nucleic acid fragment complex can be denatured. Denaturation can be achieved using any of the methods known in the art including, but not limited to, physical, thermal, and/or chemical denaturation. In some embodiments, denaturation can be achieved using thermal or heat denaturation. In some embodiments, denaturation of the adaptor-nucleic acid fragment complex generates single stranded nucleic acid fragments comprising the adaptor sequence at only the 5′end of the nucleic acid fragments. In another embodiment, denaturation of the first adaptor-nucleic acid fragment complex generates single stranded nucleic acid fragments comprising adaptor sequence at both the 5′end and 3′end of the nucleic acid fragments.

***Methods of Amplification***

**[0049]** The methods, compositions and kits described herein can be useful to generate amplification-ready products directly from a nucleic acid source for downstream applications such as next generation sequencing, as well as generation of libraries with enriched population of sequence regions of interest. In some embodiments, the adapter-nucleic fragment ligated products, e.g., from the ligation of an adaptor to a 5' end of each nucleic acid fragment of a plurality of nucleic acid fragments from one or more samples, is amplified.

**[0050]** Methods of amplification are well known in the art. In some embodiments, the amplification is exponential, e.g. in the enzymatic amplification of specific double stranded sequences of DNA by a polymerase chain reaction (PCR). In other embodiments the amplification method is linear. In other embodiments the amplification method is isothermal. In

some embodiments, the amplification is exponential, e.g. in the enzymatic amplification of specific double stranded sequences of DNA by a polymerase chain reaction (PCR).

**[0051]** Suitable amplification reactions can be exponential or isothermal and can include any DNA amplification reaction, including but not limited to polymerase chain reaction (PCR), strand displacement amplification (SDA), linear amplification, multiple displacement amplification (MDA), rolling circle amplification (RCA), single primer isothermal amplification (SPIA, see e.g. U.S. Pat. No. 6,251,639), Ribo-SPIA, or a combination thereof. In some cases, the amplification methods for providing the template nucleic acid may be performed under limiting conditions such that only a few rounds of amplification (e.g., 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30 etc.), such as for example as is commonly done for cDNA generation. The number of rounds of amplification can be about 1-30, 1-20, 1-15, 1-10, 5-30, 10-30, 15-30, 20-30, 10-30, 15-30, 20-30, or 25-30.

**[0052]** PCR is an in vitro amplification procedure based on repeated cycles of denaturation, oligonucleotide primer annealing, and primer extension by thermophilic template dependent polynucleotide polymerase, resulting in the exponential increase in copies of the desired sequence of the polynucleotide analyte flanked by the primers. The two different PCR primers, which anneal to opposite strands of the DNA, are positioned so that the polymerase catalyzed extension product of one primer can serve as a template strand for the other, leading to the accumulation of a discrete double stranded fragment whose length is defined by the distance between the 5′ ends of the oligonucleotide primers.

**[0053]** LCR uses a ligase enzyme to join pairs of preformed nucleic acid probes. The probes hybridize with each complementary strand of the nucleic acid analyte, if present, and ligase is

employed to bind each pair of probes together resulting in two templates that can serve in the next cycle to reiterate the particular nucleic acid sequence.

**[0054]** SDA (Westin et a 2000, Nature Biotechnology, 18, 199-202; Walker et al 1992, Nucleic Acids Research, 20, 7, 1691-1696), is an isothermal amplification technique based upon the ability of a restriction endonuclease such as HincII or BsoBI to nick the unmodified strand of a hemiphosphorothioate form of its recognition site, and the ability of an exonuclease deficient DNA polymerase such as Klenow exo minus polymerase, or Bst polymerase, to extend the 3′-end at the nick and displace the downstream DNA strand. Exponential amplification results from coupling sense and antisense reactions in which strands displaced from a sense reaction serve as targets for an antisense reaction and vice versa.

**[0055]** Some aspects of the invention utilize linear amplification of nucleic acids or polynucleotides. Linear amplification generally refers to a method that involves the formation of one or more copies of the complement of only one strand of a nucleic acid or polynucleotide molecule, usually a nucleic acid or polynucleotide analyte. Thus, the primary difference between linear amplification and exponential amplification is that in the latter process, the product serves as substrate for the formation of more product, whereas in the former process the starting sequence is the substrate for the formation of product but the product of the reaction, i.e. the replication of the starting template, is not a substrate for generation of products. In linear amplification the amount of product formed increases as a linear function of time as opposed to exponential amplification where the amount of product formed is an exponential function of time.

***Downstream Applications***

**[0056]** One aspect of the present invention is that the methods and compositions disclosed herein can be efficiently and cost-effectively utilized for downstream analyses, such as in next generation sequencing or hybridization platforms, with minimal loss of biological material of interest. The methods of the present invention can also be used in the analysis of genetic information of selective genomic regions of interest (e.g., analysis of SNPs or other disease markers) as well as genomic regions which may interact with the selective region of interest. The methods of the present invention may further be used in the analysis of copy number variation as well as differential expression.

***Sequencing***

**[0057]** In some embodiments, a population of sequencing reads is generated from the amplified adapter-nucleic fragment ligated products. In some embodiments, a sequencing read comprises an index read, which comprises the sequence of an indexing site. In some embodiments, an index read comprises the sequence of an indexing site and the sequence of an identifier site. For example, the indexing site is sequenced with the identifier site. In some embodiments, the index read does not include the sequence of an identifier site. For example, the indexing site is not sequenced with the identifier site. In some embodiments, a sequencing read comprises the target sequence. In some embodiments, a sequencing read comprises a target sequence and an identifier sequence. For example, the target sequence is sequenced with the identifier site. In some embodiments, the target sequence is not sequenced with the identifier site.

**[0058]** The methods of the present invention are useful for sequencing by the method commercialized by Illumina, as described U.S. Pat Nos. 5,750,341; 6,306,597; and 5,969,119.

**[0059]** In general, double stranded fragment polynucleotides can be prepared by the methods of the present invention to produce amplified nucleic acid sequences tagged at one (e.g., (A)/(A′) or both ends (e.g., (A)/(A′) and (C)/(C′)). In some cases, single stranded nucleic acid tagged at one or both ends is amplified by the methods of the present invention (e.g., by SPIA or linear PCR).The resulting nucleic acid is then denatured and the single-stranded amplified polynucleotides are randomly attached to the inside surface of flow-cell channels. Unlabeled nucleotides are added to initiate solid-phase bridge amplification to produce dense clusters of double-stranded DNA. To initiate the first base sequencing cycle, four labeled reversible terminators, primers, and DNA polymerase are added. After laser excitation, fluorescence from each cluster on the flow cell is imaged. The identity of the first base for each cluster is then recorded. Cycles of sequencing are performed to determine the fragment sequence one base at a time.

**[0060]** In some embodiments, the methods of the invention are useful for preparing target polynucleotides for sequencing by the sequencing by ligation methods commercialized by Applied Biosystems (e.g., SOLiD sequencing). In other embodiments, the methods are useful for preparing target polynucleotides for sequencing by synthesis using the methods commercialized by 454/Roche Life Sciences, including but not limited to the methods and apparatus described in Margulies et al., *Nature (*2005) 437:376-380 (2005); and U.S. Pat. Nos. 7,244,559; 7,335,762; 7,211,390; 7,244,567; 7,264,929; and 7,323,305. In other embodiments, the methods are useful for preparing target polynucleotide(s) for sequencing by the methods commercialized by Helicos BioSciences Corporation (Cambridge, Mass.) as described in U.S. application Ser. No. 11/167,046, and U.S. Pat. Nos. 7,501,245; 7,491,498; 7,276,720; and in U.S. Patent Application Publication Nos. US20090061439; US20080087826; US20060286566; US20060024711;

US20060024678; US20080213770; and US20080103058. In other embodiments, the methods are useful for preparing target polynucleotide(s) for sequencing by the methods commercialized by Pacific Biosciences as described in U.S. Pat. Nos. 7,462,452; 7,476,504; 7,405,281; 7,170,050; 7,462,468; 7,476,503; 7,315,019; 7,302,146; 7,313,308; and US Application Publication Nos. US20090029385; US20090068655; US20090024331; and US20080206764.

**[0061]** An example of a sequencing technique that can be used in the methods of the provided invention is semiconductor sequencing provided by Ion Torrent (e.g., using the Ion Personal Genome Machine (PGM)). Ion Torrent technology can use a semiconductor chip with multiple layers, e.g., a layer with micro-machined wells, an ion-sensitive layer, and an ion sensor layer. Nucleic acids can be introduced into the wells, e.g., a clonal population of single nucleic can be attached to a single head, and the bead can be introduced into a well. To initiate sequencing of the nucleic acids on the beads, one type of deoxyribonucleotide (e.g., dATP, dCTP, dGTP, or dTTP) can be introduced into the wells. When one or more nucleotides are incorporated by DNA polymerase, protons (hydrogen ions) are released in the well, which can be detected by the ion sensor. The semiconductor chip can then be washed and the process can be repeated with a different deoxyribonucleotide. A plurality of nucleic acids can be sequenced in the wells of a semiconductor chip. The semiconductor chip can comprise chemical-sensitive field effect transistor (chemFET) arrays to sequence DNA (for example, as described in U.S. Patent Application Publication No. 20090026082). Incorporation of one or more triphosphates into a new nucleic acid strand at the 3' end of the sequencing primer can be detected by a change in current by a chemFET. An array can have multiple chemFET sensors.

**[0062]** Another example of a sequencing technique that can be used in the methods of the provided invention is nanopore sequencing (see e.g., Soni G V and Meller A. (2007) *Clin Chem*

53: 1996-2001). A nanopore can be a small hole of the order of 1 nanometer in diameter. Immersion of a nanopore in a conducting fluid and application of a potential across it can result in a slight electrical current due to conduction of ions through the nanopore. The amount of current that flows is sensitive to the size of the nanopore. As a DNA molecule passes through a nanopore, each nucleotide on the DNA molecule obstructs the nanopore to a different degree. Thus, the change in the current passing through the nanopore as the DNA molecule passes through the nanopore can represent a reading of the DNA sequence.

***Data Analysis***

**[0063]** In some embodiments, the sequence reads are used in the analysis of genetic information of selective genomic regions of interest as well as genomic regions which may interact with the selective region of interest. Amplification methods as disclosed herein can be used in the devices, kits, and methods known to the art for genetic analysis, such as, but not limited to those found in U.S. Pat. Nos. 6,449,562, 6,287,766, 7,361,468, 7,414,117, 6,225,109, and 6,110,709.

**[0064]** In some embodiments, the sequencing reads are used to detect duplicate sequencing reads. In some embodiments, a sequencing read is identified as a duplicate sequencing read when it contains an identifier site and target sequence that is the same as another sequencing read from the same population of sequencing reads.

**[0065]** In some embodiments, duplicate sequencing reads are differentiated from one another as being true duplicates versus apparent or perceived duplicates. Apparent or perceived duplicates may be identified from sequencing libraries and using conventional measures of duplicate reads (i.e., reads were mapped using bowtie), where all reads with the same start and end nucleic acid coordinates were counted as duplicates. True duplicates may be identified from sequencing

libraries having had an identifier site introduced through ligation to differentiate between fragments of DNA that randomly have the same start and end mapping coordinates.

**[0066]** In some embodiments, the sequence of the identifier sites from the index read of two nucleic acids generated from any dsDNA may have the same start site, as determined from the sequencing reads of the target sequence of the generated nucleic acid fragments. If the identifier site from the index read of the two nucleic acid fragments are not identical, then the target sequence reads were not generated from the same original dsDNA molecule and, therefore, are no true duplicate reads. The ligation of random sequences onto dsDNA molecules, accompanied by the methods of the invention, allow for the identification of true duplicate reads versus apparent or perceived duplicate reads.

**[0067]** In some embodiments, the sequence of the identifier sites from the index read of two nucleic acid fragments generated from a genomic DNA (gDNA) molecule that have the same start site, which can be determined from the sequencing reads of the target sequence of the nucleic acid fragments is determined. If the identifier site from the index read of the two nucleic acid fragments are not identical, then the target sequence reads were not generated from the same original gDNA molecule and, therefore, are not true duplicate reads. In another embodiment, an identifier site is inserted at the adapter insert junction. The sequence of the identifier site is carried through the library amplification step. The identifier site is the first sequence read during the forward read. As the identifier sequence is not logically present adjacent to naturally occurring sequence, this uniquely identifies the DNA fragment. Therefore, by ligating random sequences onto the original gDNA, the methods of the invention identify true duplicate reads.

**[0068]** In some embodiments, a duplicate sequencing read is detected and analyzed. Duplicate reads can be filtered using 'samtools rmdup', wherein reads with identical external coordinates

are removed, only one read with highest mapping quality is retained. After filtering, a filtered set of deduplicated reads can be used in any downstream analysis. Conversely, this filtering step can be skipped, and downstream analysis can be done using the unfiltered reads, including duplicates.

**[0069]** In some embodiments, sequencing reads are generated from a number of samples. In some embodiments, adaptors are ligated to a plurality of nucleic acid fragments from the samples, in which the nucleic acid fragments from each sample has the same indexing site. In some embodiments, a plurality of nucleic acid fragments is generated from a first sample and a second sample and adaptors are ligated to each nucleic acid fragment, in which adaptors ligated to each nucleic acid fragment from the first sample have the same first indexing site and adaptors ligated to nucleic acid fragments from the second sample has the same second indexing site. In some embodiments, the data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site before sequencing reads of the target sequence and/or identifier site are analyzed. In some embodiments, the nucleic acid fragments or data associated with the nucleic acid fragments (e.g., sequencing reads) are separated based on the indexing site before duplicate sequencing reads are analyzed and/or removed.

**[0070]** In some embodiments, a method disclosed herein identifies or detects one or more true duplicate(s) with increased accuracy as compared to other methods. For example, in some embodiments, a method disclosed herein identify true duplicates (in contrast to identifying apparent or perceived duplicates) with increased accuracy as compared to other methods. The increased resolution and/or accuracy in identifying one or more true duplicate(s) can provide a considerable contribution to the state of the art in more accurately identifying true duplicates. In some embodiments, a method disclosed herein identifies or detects a true duplicate with

increased efficiency as compared to other methods, such as paired end sequencing. The increase in accuracy, resolution, and/or efficiency in detecting duplicate reads (e.g., true duplicate(s)) can increase confidence in sequencing results, such as for expression and CNV analysis.

***Kits***

**[0071]** Any of the compositions described herein may be comprised in a kit. In a non-limiting example, the kit, in a suitable container, comprises: an adaptor or several adaptors, one or more of oligonucleotide primers and reagents for amplification.

**[0072]** The containers of the kits will generally include at least one vial, test tube, flask, bottle, syringe or other containers, into which a component may be placed, and preferably, suitably aliquotted. Where there is more than one component in the kit, the kit also will generally contain a second, third or other additional container into which the additional components may be separately placed. However, various combinations of components may be comprised in a container.

**[0073]** When the components of the kit are provided in one or more liquid solutions, the liquid solution can be an aqueous solution. However, the components of the kit may be provided as dried powder(s). When reagents and/or components are provided as a dry powder, the powder can be reconstituted by the addition of a suitable solvent.

**[0074]** A kit may include instructions for employing the kit components as well the use of any other reagent not included in the kit. Instructions may include variations that can be implemented.

**[0075]** In some embodiments, the invention provides kits containing any one or more of the elements disclosed in the above methods and compositions. In some embodiments, a kit comprises a composition of the invention, in one or more containers. In some embodiments, the

invention provides kits comprising adapters, primers, and/or other oligonucleotides described herein. In some embodiments, the kit further comprises one or more of: (a) a DNA ligase, (b) a DNA-dependent DNA polymerase, (c) an RNA-dependent DNA polymerase, (d) a forward adapter (e) one or more oligonucleotides comprising reverse adaptor sequence and (f) one or more buffers suitable for one or more of the elements contained in said kit. The adapters, primers, other oligonucleotides, and reagents can be, without limitation, any of those described above. Elements of the kit can further be provided, without limitation, in any of the amounts and/or combinations (such as in the same kit or same container) described above. The kits may further comprise additional agents, such as those described above, for use according to the methods of the invention. For example, the kit can comprise a first forward adaptor that is a partial duplex adaptor as described herein, a second forward adapter, and a nucleic acid modifying enzyme specific for a restriction and/or cleavage site present in the first forward adaptor. The kit elements can be provided in any suitable container, including but not limited to test tubes, vials, flasks, bottles, ampules, syringes, or the like. The agents can be provided in a form that may be directly used in the methods of the invention, or in a form that requires preparation prior to use, such as in the reconstitution of lyophilized agents. Agents may be provided in aliquots for single-use or as stocks from which multiple uses, such as in a number of reaction, may be obtained.

**[0076]** In some embodiments, the kit comprises a plurality of adaptor oligonucleotides, wherein each of the adaptor oligonucleotides comprises at least one of a plurality of identifier site sequences, wherein each identifier site sequence of the plurality of identifier site sequences differs from every other identifier site sequence in said plurality of identifier site sequences at at least three nucleotide positions, and instructions for using the same. Adapters comprising

different identifier site sequences can be supplied individually or in combination with one or more additional adapters having a different identifier site sequence. In some embodiments, the kit can comprises a plurality of adapter oligonucleotides.

## EXAMPLES

*Example 1: Identification of Duplicate Sequencing Reads with NuGEN Ovation Target Enrichment Library System*

**[0077]** Sample Description: l00ng of DNA from a human HapMap sample (NA19238) was fragmented to approximately 500 base pair in length by sonication with a Covaris system (Covaris, Inc., Woburn, MA). The resulting DNA was treated with end repair enzyme mix NuGEN R01280 and R01439 (NuGEN Technologies, Inc., San Carlos, CA) according to supplier's recommendation to produce blunt ended DNA fragments.

**[0078]** Library Generation, Enrichment, and Identifier Site Incorporation: An oligonucleotide with segments, from 5' to 3' of the top strand, 1) an Illumina indexing read priming site such as AGAGCACACGTCTGAACTCCAGTCAC (SEQ ID NO:2), 2) an indexing site, 3) an identifier site having a random 6 base sequence and, 4) a sequence compatible with an Illumina forward sequencing priming site such as TCTTTCCCTACACGACGCTCTTCCGATCT (SEQ ID NO:3) , was annealed to a second oligonucleotide to form a partially double stranded DNA adapter. Five uM of these adapters were ligated onto the end-repaired DNA using Ligase and Ligase reaction buffer from NuGEN's Ovation Ultralow Library System (NuGEN Technologies, Inc., San Carlos, CA) according to supplier's recommendations. Following 30 minutes of incubation at 25°C, the reaction mixture was diluted with water, 0.8X volume of Ampure XP magnetic beads (Agencourt Biosciences Corporation, A Beckman Coulter Company, Beverly, MA) was added and the solution thoroughly mixed. The beads were collected, washed and the ligated

DNA fragments eluted according to manufacturer's recommendations. A pool of targeting probes was annealed to the eluted DNA fragments by initially heating the solution to 95°C then slowly cooling the mixture from 80°C to 60°C by 0.6 degrees/minute. Targeting probes that were specifically annealed were extended with Taq DNA polymerase (New England Biolabs, Inc., Ipswich, MA) according to the manufacturer's protocols. Following extension, the DNA fragments were collected on Agencourt magnetic beads, washed and eluted according to manufacturer's recommendations. These libraries were enriched by 30 cycles of PCR using NuGEN library enrichment primers (Ovation Target Enrichment Library System, NuGEN Technologies, Inc., San Carlos, CA) that also contain the Illumina flow cell sequences (Illumina Inc., San Diego, CA) according to supplier's recommendation.

**[0079]** The resulting libraries were quantitated by qPCR using a kit provided by KAPA, diluted to 2nM and applied to an Illumina MiSeq DNA Sequencer (Illumina Inc., San Diego, CA). The following series was run: 36 base first read, 14 base second read, and 24 base third read.

**[0080]** *Data Analysis:* The sequencer output was processed in accordance with manufacturer's recommendation. In order to analyze the data, the indexing read was split into two files. The first file contained the first 8 bases of the indexing reads and is utilized as the library index file for standard library parsing. The other file contains only the random bases and is set aside for further sequence parsing.

**[0081]** Following our data analysis pipeline of sequence alignment with bowtie aligner (Langmead B. et al., Ultrafast and memory-efficient alignment of short DNA sequences to the human genome. *Genome Biol.* 2009, 10:R2.), duplicate reads were identified by their genomic start positions. At this point, sequencing reads that started at the same genomic position were checked against the random bases file to see if they have the same or different set of random

bases that were ligated to them. Where two sequences with the same starting genomic coordinate had the same set of random bases, they were considered to have come from the same initial DNA ligation event, regardless of which Ovation Target Enrichment targeting probe was used to generate the sequence fragment in question. These sequences, therefore, did not provide unique information about the starting genomic DNA and are considered as one sequencing read for the purpose of variant analysis. Two sequence reads with the same starting genomic coordinate that have different random bases were derived from unique ligation events and were considered to both be valid sequencing reads for the purpose of variant identification. **Figure 5** provides the analysis results demonstrating the identification of the duplicate reads. The use of an identifier site allowed for the determination of the number of true duplications versus the number of apparent or perceived duplicates.

**[0082]** If the sequences of two libraries are identical, their duplication status is unknown since this could occur by chance in any library. If an identifier sequence is used in combination with the library reads, the status can be determined (duplicates if identical, distinct if different). With the SPET system, one end is common so the probability of two libraries having identical ends increases. These would appear to be duplicate sequences and their true status can be determined by looking at an identifier sequence.

**[0083]** Over the sampling of all randomly selected reads, the use of identifier sites provided an increased resolution on the presence of true duplicates. When evaluating two million random reads, the apparent duplicates were found to comprise 39% of all reads. However, the true duplicates, identified through the use of an identifier site, were found to comprise only 26% of all reads. The methods employing the use of an identifier site were found to considerably increase the resolution of the true number of duplicates within the pool of reads.

*Example 2: Removal of Duplicate Sequencing Reads with 8 Base Identifier Site*

**[0084]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0085]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites. This identifier site is designed as eight random bases introduced onto the end of the adaptor. Sequence reads from libraries made with such adaptors contain the 8 bases of the identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rmdup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 3: Removal of Duplicate Sequencing Reads with Mixture of Random 1-8 Base Identifier Sites*

**[0086]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the

ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0087]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites.

**[0088]** One to eight random bases are introduced onto the end of the adaptor. Sequence reads from libraries made with such adaptors contain between 1 and 8 bases of the identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rndup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 4: Removal of Duplicate Sequencing Reads with Mixture of 96 Defined 6-Base Identifier Sites*

**[0089]** In a standard RNA sequencing library, adaptors are ligated to the ends of double stranded cDNA. These adaptors contain universal sequences that allow for PCR amplification and sequencing on high throughput sequencing machines. The adaptors are synthesized with a large population of additional sequences, in which each additional sequence is an identifier site, at the ligation end. The identifier sites are present at the junction between the adaptor and the cDNA. The sequence read starts with the identifier site and follows with the cDNA sequence.

**[0090]** This pool of identifier sites is used for the detection of PCR duplicates, as PCR duplicates will contain the identical identifier site, whereas two different cDNA molecules will ligate to two different adaptors containing two different identifier sites.

**[0091]** A mixture of 96 defined six-bases sequences are introduced onto the end of the adaptors. Thus, each six-base sequence is an identifier site. Sequence reads from libraries made with such adaptors contain one of the 96 six-base identifier site followed by the cDNA sequence. Standard PCR duplicate removal software such as PICARD, Markduplicates, and/or SAMtools rndup is used to identify and remove the PCR duplicates, leaving behind for analysis any instances of multiple cDNA fragments that happen to have the same sequence.

*Example 5: Identification of Duplicate Sequencing Reads in Determining mRNA Expression Levels*

**[0092]** Sample Description: Total RNA is extracted from tumor and normal adjacent tissue for the purpose of finding differences in expression levels of transcripts between the two sample types. 100ng of each sample is converted into cDNA using the USP primers, reaction buffer, and Reverse Transcriptase provided in NuGEN's Encore Complete Library System (NuGEN Technologies, Inc., San Carlos, CA) according to the supplier's recommendations. This is followed by second strand synthesis, again using materials provided in the kit according to recommendations. Double stranded cDNA was prepared using the SuperScript® Double-Stranded cDNA Synthesis Kit from Life Technologies (Carlsbad, CA) according the manufacturer's instructions. DNA was sheared with a Covaris S-series device (Covaris, Inc., Woburn, MA) using the 200 bp sonication protocol provided with the instrument (10% duty cycle, 200 cycles/burst, 5 intensity, 180 seconds). DNA was treated with 1.5 uL l0X Blunting Buffer, 0.5 uL Blunting Enzyme (New England Biolabs, Inc., Ipswich, MA; p/n E1201) and 1.2 uL of 2.5mM of each dNTP mix in a total volume of 15 uL for 30 minutes at 25°C followed by 10 minutes at 70°C.

**[0093]** *Library Generation*: The DNA fragments were then subjected to end repair using end repair buffers and enzymes provided in NuGEN's Ovation Ultralow Library System (NuGEN Technologies, Inc., San Carlos, CA).

**[0094]** Forward adaptor 5'

**[0095]** AATGATACGGCGACCACCGAGATCTACACTCTTTCCCTACACGACGCTCTTCC GATCTNNNNNNNN (SEQ ID NO:4),

**[0096]** Reverse adaptor 1) 5'

**[0097]** CAAGCAGAAGACGGCATACGAGATTCCCTTGTGACTGGAGTTCAGACGTGTG CTCTTCCGATCTNNNNNNNN (SEQ ID NO:5),

**[0098]** Reverse adaptor 2) 5'

**[0099]** CAAGCAGAAGACGGCATACGAGATTGAAGGGTGACTGGAGTTCAGACGTGT GCTCTTCCGATCNNNNNNNN (SEQ ID NO:6), and

**[00100]** Common partner 5' NNNNNNNNAGATCGGAAGAGC (SEQ ID NO:7) were all ordered from IDT (Integrated DNA Technologies, Coralville, IA). The reverse adaptors each contain a unique identifier (underlined) that enables libraries made with these adapters to be distinguished. In this case N represents an equimolar mixture of A, C, G, and T. A mixture of 5uM forward, 5uM reverse, and 10uM common in 10mM MgCl2, 50mM Tris pH 8 was heated to 95C for 5 minutes, then cooled to 20C. Adaptor ligation was performed by addition of 4.5 uL water, 3 uL Adaptor mix (prepared above), 6 uL 5X NEBNext Quick Ligation Reaction Buffer and 1.5 uL Quick T4 DNA Ligase (New England Biolabs, Inc., Ipswich, MA; p/n E6056), followed by incubation for 30 minutes at 25°C followed by 10 minutes at 70°C. Ligation products were purified by adding 70uL water and 80 uL of Ampure XP beads (Agencourt Genomics), washing twice with 70% ethanol and eluting with 20 uL of 10mM Tris pH 8.0.

Library products were amplified in a 50uL PCR containing 0.5uM each of primer (5' AATGATACGGCGACCACCGA (SEQ ID NO:8) , and 5' CAAGCAGAAGACGGCATACGA (SEQ ID NO:9), 10 mM Tris-HCl, pH 8.3, 50 mM KCl, 2 mM MgC12, 0.2mM each dNTP, and 1 unit Taq polymerase. The reaction was cycled 15 times under the conditions 95C for 15 seconds, 60C for 1 minute. PCR products were purified with 1 volume of Ampure XP beads (Agencourt Biosciences Corporation, A Beckman Coulter Company, Beverly, MA) as described above. The library was analyzed by HS DNA Bioanalyzer (Agilent Technologies, Santa Clara, CA) and quantitated with the KAPA Library Quantification Kit (KAPA Biosystems, Wilmington, MA; p/n KK4835) according to the supplied instructions. The resulting libraries are combined and are compatible with standard TruSeq single end or paired Illumina sequencing protocols for GAIIx, MiSeq, or Hi Seq sequencing instruments (Illumina Inc., San Diego, CA). The following series is run; 50 base first read, 6 base second read. A third read is not required for counting purposes or duplication analysis.

**[00101]** Data Analysis: The sequencer output was processed in accordance with manufacturer's recommendation. The 6 bases of the index read is used for standard library parsing, separating the data files from the two sample types. The first 50 bases of the target sequence read are compared to each other. Any read that has identical sequence to any other read is identified as a duplicate and removed from the population, thus, only a single copy is retained within the file. Once the duplicate reads have been removed, 8 bases are trimmed from each read. The trimmed reads are aligned to a reference genome. Differential expression is then determined by comparing FPKM (fragments per kilobase per million reads) values between libraries utilizing scripts such as cufflinks or cuffdiff (Trapnell et al. 2010, Nature Biotechnology, 28, 511-515; Trapnell et al. 2013, Nature Biotechnology, 31, 46-53).

*Example 6: Sequencing of the Identifier Site With the Target Sequence in Paired End Reads*

**[00102]** The Ovation Library System for Low Complexity Samples (NuGEN Technologies, Inc., San Carlos, CA) was used to generate four libraries, each from a single amplicon, following manufacturer's protocol. Purified libraries were mixed and sequenced as a multiplex on the Illumina MiSeq (Illumina Inc., San Diego, CA) to produce 125nt forward, 8nt index 1, 8nt index 2, and 25nt reverse reads. Because all amplicon reads start and end at the same sequence coordinates, the traditional method of marking library PCR duplicates (marking reads that start and end at the same genomic coordinates as duplicates) cannot be used. Instead, the 0-8nt of random sequence contained in the adaptors ligated to the amplicon were treated as an identifier sequence and used to mark duplicates. Any paired end reads that shared the same length and sequence of these random bases with any other paired end read was called a duplicate. The table below shows the results of this duplicate marking.

Table 1.

| Library | Reads | Duplicate Reads | Reads from independent molecules |
|---|---|---|---|
| 1 | 454249 | 376797 | 77452 |
| 2 | 439367 | 364001 | 75366 |
| 3 | 317760 | 253057 | 64703 |
| 4 | 476572 | 398380 | 78192 |

**[00103]** Table 1 demonstrates the accuracy of the method used to differentiate between duplicate reads and reads from truly independent molecules. The population of reads from independent molecules, depicted in the final column of Table 1, represent sequences from independent amplicon molecules used in generating the libraries.

*Example 7: Sequencing of the Identifier Site With the Target Sequence in Reduced Representation Bisulfite (RRBS) Libraries*

**[00104]** Reduced representation bisulfite (RRBS) libraries of the human genome are generated through the complete restriction enzyme digestion of 100ng input sample, followed by selection for short fragments. The resulting pool of fragments are ligated to adaptor sequences comprising an indexing site and an identifier site. The identifier sites comprise either 6 or 8 random nucleotides. The sequences are then sequenced to identify the identifier sites, thus revealing the true number of duplicates in the pool. In the absence of identifier sites, the number of apparent or perceived duplicates are greater than the number of true duplicates. The inclusion of an identifier site results in the identification of the number of true duplicates, as compared to the larger number of apparent or perceived duplicates.

**[00105]** Unless defined otherwise, all technical and scientific terms herein have the same meaning as commonly understood by one of ordinary skill in the art to which this invention belongs. Although any methods and materials, similar or equivalent to those described herein, can be used in the practice or testing of the present invention, the preferred methods and materials are described herein. All publications, patents, and patent publications cited are incorporated by reference herein in their entirety for all purposes.

**[00106]** The publications discussed herein are provided solely for their disclosure prior to the filing date of the present application. Nothing herein is to be construed as an admission that the present invention is not entitled to antedate such publication by virtue of prior invention.

**[00107]** All references, articles, publications, patents, patent publications, and patent applications cited herein are incorporated by reference in their entireties for all purposes. However, mention of any reference, article, publication, patent, patent publication, and

patent application cited herein is not, and should not be taken as an acknowledgment or any form of suggestion that they constitute valid prior art or form part of the common general knowledge in any country in the world.

**[00108]** While the invention has been described in connection with specific embodiments thereof, it will be understood that it is capable of further modifications and this application is intended to cover any variations, uses, or adaptations of the invention following, in general, the principles of the invention and including such departures from the present disclosure as come within known or customary practice within the art to which the invention pertains and as may be applied to the essential features hereinbefore set forth and as follows in the scope of the appended claims.

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# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
|---|---|

As the below named inventor, I hereby declare that:

This declaration is directed to:

☐ The attached application, or

☒ United States application or PCT international application number 14/540,917

filed on 11/13/2014.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

## WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

LEGAL NAME OF INVENTOR

Inventor: Ben Schroeder Date (Optional) : _____

Signature: _____

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

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# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

| | |
|---|---|
| **Title of Invention** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |

As the below named inventor, I hereby declare that:

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☐ The attached application, or

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LEGAL NAME OF INVENTOR

Inventor: Douglas Amorese Date (Optional) :

Signature:

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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# DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
|---|---|

As the below named inventor, I hereby declare that:

This declaration is directed to:

☐ The attached application, or

☒ United States application or PCT international application number 14/540,917

filed on 11/13/2014.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

## WARNING:

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LEGAL NAME OF INVENTOR

Inventor: Jonathan Scolnick Date (Optional) : _____

Signature: _____

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Use an additional PTO/AIA/01 form for each additional inventor.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | NUGN-001/03US 34079/516 |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76.
This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.

## Secrecy Order 37 CFR 5.2:

☐ Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.)

## Inventor Information:

**Inventor 1** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | Douglas | A. | Amorese | |

**Residence Information (Select One)** ● US Residency Non US Residency Active US Military Service

| City | State/Province | Country of Residence |
|---|---|---|
| Los Altos | CA | US |

**Mailing Address of Inventor:**

| | |
|---|---|
| Address 1 | 900 Chesapeake Drive |
| Address 2 | |
| City | Redwood City |
| State/Province | CA |
| Postal Code | 94063 |
| Country | US |

**Inventor 2** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | Jonathan | | Scolnick | |

**Residence Information (Select One)** ◉ US Residency Non US Residency Active US Military Service

| City | State/Province | Country of Residence |
|---|---|---|
| San Francisco | CA | US |

**Mailing Address of Inventor:**

| | |
|---|---|
| Address 1 | 451 Kansas Street #518 |
| Address 2 | |
| City | San Francisco |
| State/Province | CA |
| Postal Code | 94107 |
| Country | US |

**Inventor 3** Remove

**Legal Name**

| Prefix | Given Name | Middle Name | Family Name | Suffix |
|---|---|---|---|---|
| | Benjamin | G. | Schroeder | |

**Residence Information (Select One)** ◉ US Residency Non US Residency Active US Military Service

QIAGEN Exhibit 1013.0496

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | NUGN-001/03US 34079/516 |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

| City | San Mateo | State/Province | CA | Country of Residence | US |
|---|---|---|---|---|---|

**Mailing Address of Inventor:**

| | | | |
|---|---|---|---|
| **Address 1** | 33 Hayward Ave, Apt 112 | | |
| **Address 2** | | | |
| **City** | San Mateo | **State/Province** | CA |
| **Postal Code** | 94401 | **Country** | US |

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the **Add** button. Add

## Correspondence Information:

**Enter either Customer Number or complete the Correspondence Information section below.**
**For further information see 37 CFR 1.33(a).**

☐ **An Address is being provided for the correspondence Information of this application.**

| | | | |
|---|---|---|---|
| **Customer Number** | 21710 | | |
| **Email Address** | ip@brownrudnick.com | Add Email | Remove Email |

## Application Information:

| | | | |
|---|---|---|---|
| **Title of the Invention** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | | |
| **Attorney Docket Number** | NUGN-001/03US 34079/516 | **Small Entity Status Claimed** | ☐ |
| **Application Type** | Nonprovisional | | |
| **Subject Matter** | Utility | | |
| **Total Number of Drawing Sheets (if any)** | 6 | **Suggested Figure for Publication (if any)** | |

## Filing By Reference:

Only complete this section when filing an application by reference under 35 U.S.C. 111(c) and 37 CFR 1.57(a). Do not complete this section if application papers including a specification and any drawings are being filed. Any domestic benefit or foreign priority information must be provided in the appropriate section(s) below (i.e., "Domestic Benefit/National Stage Information" and "Foreign Priority Information").

For the purposes of a filing date under 37 CFR 1.53(b), the description and any drawings of the present application are replaced by this reference to the previously filed application, subject to conditions and requirements of 37 CFR 1.57(a).

| Application number of the previously filed application | Filing date (YYYY-MM-DD) | Intellectual Property Authority or Country |
|---|---|---|
| | | |

## Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

☐ **Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

QIAGEN Exhibit 1013.0497

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|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

## Representative Information:

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32).
Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

| Please Select One: | ● Customer Number | US Patent Practitioner | ○ Limited Recognition (37 CFR 11.9) |
|---|---|---|---|
| Customer Number | 21710 | | |

## Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, 365(c), or 386(c) or indicate National Stage entry from a PCT application. Providing benefit claim information in the Application Data Sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.
When referring to the current application, please leave the "Application Number" field blank.

| Prior Application Status | Pending | | Remove |
|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing or 371(c) Date (YYYY-MM-DD) |
| | Continuation of | 15/406002 | 2017-01-13 |

| Prior Application Status | Patented | | | | Remove |
|---|---|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) | Patent Number | Issue Date (YYYY-MM-DD) |
| 15/406002 | Division of | 14/540917 | 2014-11-13 | 9546399 | 2017-01-17 |

| Prior Application Status | Expired | | Remove |
|---|---|---|---|
| Application Number | Continuity Type | Prior Application Number | Filing or 371(c) Date (YYYY-MM-DD) |
| 14/540917 | Claims benefit of provisional | 61/903826 | 2013-11-13 |

Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the **Add** button. Add

## Foreign Priority Information:

PTO/AIA/14 (02-18)
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|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

This section allows for the applicant to claim priority to a foreign application. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55. When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX)[i] the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(i)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

Remove

| Application Number | Country[i] | Filing Date (YYYY-MM-DD) | Access Code[i] (if applicable) |
|---|---|---|---|
| | | | |

Additional Foreign Priority Data may be generated within this form by selecting the **Add** button. Add

## Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications

☐ This application (1) claims priority to or the benefit of an application filed before March 16, 2013 and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.
NOTE: By providing this statement under 37 CFR 1.55 or 1.78, this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.

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# Authorization or Opt-Out of Authorization to Permit Access:

When this Application Data Sheet is properly signed and filed with the application, applicant has provided written authority to permit a participating foreign intellectual property (IP) office access to the instant application-as-filed (see paragraph A in subsection 1 below) and the European Patent Office (EPO) access to any search results from the instant application (see paragraph B in subsection 1 below).

Should applicant choose not to provide an authorization identified in subsection 1 below, applicant **must opt-out** of the authorization by checking the corresponding box A or B or both in subsection 2 below.

**NOTE**: This section of the Application Data Sheet is **ONLY** reviewed and processed with the **INITIAL** filing of an application. After the initial filing of an application, an Application Data Sheet cannot be used to provide or rescind authorization for access by a foreign IP office(s). Instead, Form PTO/SB/39 or PTO/SB/69 must be used as appropriate.

**1. Authorization to Permit Access by a Foreign Intellectual Property Office(s)**

**A. Priority Document Exchange (PDX)** - Unless box A in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the State Intellectual Property Office of the People's Republic of China (SIPO), the World Intellectual Property Organization (WIPO), and any other foreign intellectual property office participating with the USPTO in a bilateral or multilateral priority document exchange agreement in which a foreign application claiming priority to the instant patent application is filed, access to: (1) the instant patent application-as-filed and its related bibliographic data, (2) any foreign or domestic application to which priority or benefit is claimed by the instant application and its related bibliographic data, and (3) the date of filing of this Authorization. See 37 CFR 1.14(h)(1).

**B. Search Results from U.S. Application to EPO** - Unless box B in subsection 2 (opt-out of authorization) is checked, the undersigned hereby **grants the USPTO authority** to provide the EPO access to the bibliographic data and search results from the instant patent application when a European patent application claiming priority to the instant patent application is filed. See 37 CFR 1.14(h)(2).

The applicant is reminded that the EPO's Rule 141(1) EPC (European Patent Convention) requires applicants to submit a copy of search results from the instant application without delay in a European patent application that claims priority to the instant application.

**2. Opt-Out of Authorizations to Permit Access by a Foreign Intellectual Property Office(s)**

☐ A. Applicant **DOES NOT** authorize the USPTO to permit a participating foreign IP office access to the instant application-as-filed. If this box is checked, the USPTO will not be providing a participating foreign IP office with any documents and information identified in subsection 1A above.

☐ B. Applicant **DOES NOT** authorize the USPTO to transmit to the EPO any search results from the instant patent application. If this box is checked, the USPTO will not be providing the EPO with search results from the instant application.

**NOTE:** Once the application has published or is otherwise publicly available, the USPTO may provide access to the application in accordance with 37 CFR 1.14.

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| Application Data Sheet 37 CFR 1.76 | Attorney Docket Number | NUGN-001/03US 34079/516 |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

## Applicant Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

**Applicant** 1 Remove

If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.

Clear

| ● Assignee | Legal Representative under 35 U.S.C. 117 | Joint Inventor |
|---|---|---|
| Person to whom the inventor is obligated to assign. | Person who shows sufficient proprietary interest | |

If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:

Name of the Deceased or Legally Incapacitated Inventor:

If the Applicant is an Organization check here. ☒

| Organization Name | NUGEN TECHNOLOGIES, INC. | | |
|---|---|---|---|
| **Mailing Address Information For Applicant:** | | | |
| **Address 1** | 900 Chesapeake Drive | | |
| Address 2 | | | |
| **City** | Redwood City | **State/Province** | CA |
| **Country** | US | Postal Code | 94063 |
| Phone Number | | Fax Number | |
| Email Address | | | |

Additional Applicant Data may be generated within this form by selecting the Add button. Add

## Assignee Information including Non-Applicant Assignee Information:

Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.

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|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

**Assignee 1**

Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication. An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.

Remove

If the Assignee or Non-Applicant Assignee is an Organization check here. ☐

| Prefix | **Given Name** | Middle Name | **Family Name** | Suffix |
|---|---|---|---|---|
| | | | | |

**Mailing Address Information For Assignee including Non-Applicant Assignee:**

| | | | |
|---|---|---|---|
| **Address 1** | | | |
| Address 2 | | | |
| **City** | | **State/Province** | |
| **Country** i | | Postal Code | |
| Phone Number | | Fax Number | |
| Email Address | | | |

Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button. Add

## Signature:

Remove

**NOTE:** This Application Data Sheet must be signed in accordance with 37 CFR 1.33(b). **However, if this Application Data Sheet is submitted with the INITIAL filing of the application and either box A or B is not checked in subsection 2 of the "Authorization or Opt-Out of Authorization to Permit Access" section, then this form must also be signed in accordance with 37 CFR 1.14(c).**

This Application Data Sheet **must** be signed by a patent practitioner if one or more of the applicants is a **juristic entity** (e.g., corporation or association). If the applicant is two or more joint inventors, this form must be signed by a patent practitioner, **all** joint inventors who are the applicant, or one or more joint inventor-applicants who have been given power of attorney (e.g., see USPTO Form PTO/AIA/81) on behalf of **all** joint inventor-applicants.

See 37 CFR 1.4(d) for the manner of making signatures and certifications.

| **Signature** | /Thomas C. Meyers/ | | | Date (YYYY-MM-DD) | 2020-01-15 |
|---|---|---|---|---|---|
| First Name | Thomas | Last Name | Meyers | Registration Number | 36,989 |

Additional Signature may be generated within this form by selecting the Add button. Add

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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| **Application Data Sheet 37 CFR 1.76** | Attorney Docket Number | NUGN-001/03US 34079/516 |
|---|---|---|
| | Application Number | |
| Title of Invention | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ | |

This collection of information is required by 37 CFR 1.76. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

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7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

QIAGEN Exhibit 1013.0504

# Electronic Patent Application Fee Transmittal

| | |
|---|---|
| **Application Number:** | |
| **Filing Date:** | |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |

Filed as Large Entity

**Filing Fees for Utility under 35 USC 111(a)**

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Basic Filing:** | | | | |
| UTILITY APPLICATION FILING | 1011 | 1 | 300 | 300 |
| UTILITY SEARCH FEE | 1111 | 1 | 660 | 660 |
| UTILITY EXAMINATION FEE | 1311 | 1 | 760 | 760 |
| **Pages:** | | | | |
| **Claims:** | | | | |
| CLAIMS IN EXCESS OF 20 | 1202 | 1 | 100 | 100 |
| **Miscellaneous-Filing:** | | | | |
| **Petition:** | | | | |

| Description | Fee Code | Quantity | Amount | Sub-Total in USD($) |
|---|---|---|---|---|
| **Patent-Appeals-and-Interference:** | | | | |
| **Post-Allowance-and-Post-Issuance:** | | | | |
| **Extension-of-Time:** | | | | |
| **Miscellaneous:** | | | | |
| | | **Total in USD ($)** | | **1820** |

# Electronic Acknowledgement Receipt

| | |
|---|---|
| **EFS ID:** | 38298349 |
| **Application Number:** | 16743604 |
| **International Application Number:** | |
| **Confirmation Number:** | 3249 |
| **Title of Invention:** | COMPOSITIONS AND METHODS FOR IDENTIFICATION OF A DUPLICATE SEQUENCING READ |
| **First Named Inventor/Applicant Name:** | Douglas A. Amorese |
| **Customer Number:** | 21710 |
| **Filer:** | Thomas C. Meyers/Sandra Richards |
| **Filer Authorized By:** | Thomas C. Meyers |
| **Attorney Docket Number:** | NUGN-001/03US 34079/516 |
| **Receipt Date:** | 15-JAN-2020 |
| **Filing Date:** | |
| **Time Stamp:** | 15:46:38 |
| **Application Type:** | Utility under 35 USC 111(a) |

## Payment information:

| | |
|---|---|
| Submitted with Payment | yes |
| Payment Type | DA |
| Payment was successfully received in RAM | $1820 |
| RAM confirmation Number | E20201EF46528158 |
| Deposit Account | |
| Authorized User | |

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

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## File Listing:

| Document Number | Document Description | File Name | File Size(Bytes)/ Message Digest | Multi Part /.zip | Pages (if appl.) |
|---|---|---|---|---|---|
| 1 | | NUGN-001-03US-Prlm-Amdt-011520.pdf | 127886<br>5f422297bd6592b4645bd5e41ce2d054210b8f30 | yes | 3 |

| | Multipart Description/PDF files in .zip description | | |
|---|---|---|---|
| | **Document Description** | **Start** | **End** |
| | Applicant Arguments/Remarks Made in an Amendment | 3 | 3 |
| | Specification | 2 | 2 |
| | Preliminary Amendment | 1 | 1 |

**Warnings:**

**Information:**

| | | | | | |
|---|---|---|---|---|---|
| 2 | | NUGN-001-03US-Application.pdf | 2249576<br>b749306e55b6aa95b4e00bea98196a75895c405e | yes | 50 |

| | Multipart Description/PDF files in .zip description | | |
|---|---|---|---|
| | **Document Description** | **Start** | **End** |
| | Drawings-only black and white line drawings | 45 | 50 |
| | Abstract | 44 | 44 |
| | Claims | 41 | 43 |
| | Specification | 1 | 40 |

**Warnings:**

**Information:**

| | | | | | |
|---|---|---|---|---|---|
| 3 | Oath or Declaration filed | NUGN-001-03US-Declarations.pdf | 339534<br>dccecf84056f6bd25e501e9dac8593813d9374f6 | no | 3 |

**Warnings:**

QIAGEN Exhibit 1013.0508

| Information: | | | | | |
|---|---|---|---|---|---|
| 4 | Application Data Sheet | NUGN-001-03US-ADS.pdf | 1256192<br>7ef873e3229e3d0d968af06774867f17881<br>56ee | no | 9 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| 5 | Fee Worksheet (SB06) | fee-info.pdf | 36776<br>856f597f700426809d76766eee87dd5f5a8a<br>e3c8 | no | 2 |
| **Warnings:** | | | | | |
| **Information:** | | | | | |
| | | | **Total Files Size (in bytes):** | 4009964 | |

**This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.**

**New Applications Under 35 U.S.C. 111**

**If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.**

**National Stage of an International Application under 35 U.S.C. 371**

**If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.**

**New International Application Filed with the USPTO as a Receiving Office**

**If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.**

## Remarks

By this amendment, the specification is amended to state the full benefit claim.

No new matter is added.

If there are any questions concerning this application, please contact Applicant's undersigned representative.

Dated: January 15, 2020

Respectfully submitted,
**BROWN RUDNICK LLP**

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63611281

Amendments to the Specification

Please amend the "CROSS-REFERENCE TO RELATED APPLICATIONS" section at the top of page 1 as follows:

**[0001]** This application is a continuation of U.S. Patent Application Serial No. 15/406,002, filed January 13, 2017, which application is a Division of U.S. Application 14/540,917, filed November 13, 2014, now issued as U.S. Pat. 9,546,399, each of which claims the benefit of U.S. Provisional Application Serial No. 61/903,826, filed November 13, 2013, each of which is herein incorporated by reference in its entirety.