

**IN THE UNITED STATES DISTRICT COURT  
FOR THE EASTERN DISTRICT OF TEXAS  
MARSHALL DIVISION**

VALTRUS INNOVATIONS LTD.

Plaintiff,

v.

NTT DATA SERVICES, LLC ET AL

Defendants.

Case No. 2:24-cv-00361-JRG (Lead Case)  
Case No. 2:24-cv-00259-JRG (Member Case)  
Case No. 2:24-cv-00139-JRG (Member Case)  
Case No. 2:24-cv-00534-JRG (Member Case)  
Case No. 2:24-cv-00535-JRG (Member Case)

**Jury Trial Demanded**

**VERTIV CORPORATION'S INVALIDITY AND INELIGIBILITY CONTENTIONS  
AND DISCLOSURES PURSUANT TO PATENT RULE 3-3**

## **EXHIBITS**

| <b>Exhibit</b> | <b>Invalidity Claim Charts</b>                        |
|----------------|-------------------------------------------------------|
| A-1 – A-10     | Invalidity claim charts for U.S. Patent No. 6,718,277 |
| B-1 – B-21     | Invalidity claim charts for U.S. Patent No. 6,854,287 |
| C-1 – C-27     | Invalidity claim charts for U.S. Patent No. 6,862,179 |
| D-1 – D-8      | Invalidity claim charts for U.S. Patent No. 7,031,870 |
| E-1 – E-17     | Invalidity claim charts for U.S. Patent No. 7,339,490 |

## INTRODUCTION

Intervenor Vertiv Corporation (“Vertiv”) hereby submits its Invalidity Contentions concerning patent claims asserted by Plaintiff Valtrus Innovations Limited (“Plaintiff” or “Valtrus”). The citation of prior art herein and the accompanying exhibits are being disclosed as, and should be construed as nothing more than, Vertiv’s Invalidity Contentions, and may, in part, be based on Plaintiff Valtrus’s apparent view as to the scope of the Asserted Claims as reflected in its Infringement Contentions. Vertiv in no way accepts Valtrus’s apparent reading of the claims as reflecting the proper scope of the claims.

Vertiv’s Invalidity Contentions are based on its current knowledge, understanding of the prior art and information reasonably available. Thus, Vertiv expressly reserves the right to amend, or supplement these Invalidity Contentions based on further investigation, discovery, evaluation of the scope and content of the prior art, admissions, the Court’s claim construction, any other reasonable basis, and as permitted by the Court, Local Rules and the Federal Rules of Civil Procedure.

Further, the Court has not yet construed the Asserted Claims. Valtrus’s subsequent assertions, and this Court’s construction may alter the materiality and relevance of some references and moot the Invalidity Contentions while simultaneously giving rise to new issues regarding invalidity of the Asserted Patents.

These Invalidity Contentions are based in large part on what Vertiv believes are Valtrus’s claim constructions. They shall not be treated as an admission that Vertiv agrees with Valtrus’s claim constructions, or that Plaintiff’s contentions on the meaning of the claims are correct. To the extent Vertiv determines that a different meaning is appropriate for any claim term, they will assert that in connection with Court’s procedures, and reserve the right to update these Invalidity

Contentions as a result of the *Markman* hearing, or any other subsequent clarification or alteration of the meaning of claim terms.

Much of the art identified in the attached exhibits reflect common knowledge and the state of the art before the filing date of the Asserted Patents. In many instances where a particular contention calls for combining references, any one of a number of references can be combined. The inclusion of certain exemplary combinations of prior art references does not exclude other combinations based upon the claim charts attached hereto.

## **I. ASSERTED PATENTS**

Valtrus's Infringement Contentions assert the following patents and patent claims in relation to Vertiv products<sup>1</sup> (collectively, the "Asserted Patents" and "Asserted Claims"):

| <b>Asserted Patent</b>        | <b>Asserted Claims</b> |
|-------------------------------|------------------------|
| 6,718,277 (the "'277 patent") | 1-11, 12-21            |
| 6,854,287 (the "'287 patent") | 1-9                    |
| 6,862,179 (the "'179 patent") | 1-6, 9-13, 15          |
| 7,031,870 (the "'870 patent") | 1-2, 6-12              |
| 7,339,490 (the "'490 patent") | 1-4, 6-10, 11-27, 28   |

## **II. RESERVATION OF RIGHTS**

Vertiv's Invalidity Contentions are based on its current knowledge of the Asserted Patents, the prior art, Plaintiff's Infringement Contentions, and upon information presently and reasonably available to Vertiv. This litigation is in the early stages, and Vertiv's investigation of the prior art is ongoing. Consistent with the local Patent Rules (including P.R. 3- 6) and the Federal Rules of Civil Procedure, Vertiv reserves the right to supplement, amend, modify, revise, or correct any

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<sup>1</sup> Valtrus's Infringement Contentions assert US 9,310,855 in relation to non-Vertiv products.

aspect of its Invalidity Contentions and to provide additional information as such information becomes available through discovery or otherwise.

No aspect of Vertiv's Invalidity Contentions shall be deemed to be an admission that its contentions are complete. In particular, Vertiv reserves the right to supplement its Invalidity Contentions as discovery continues and after any further claim construction by the Court. In addition, Vertiv also reserves the right to supplement its Invalidity Contentions should Plaintiff subsequently attempt to amend its P.R. 3-1 or 3-2 disclosures in any way, or to otherwise modify its infringement allegations against Vertiv or seek to establish an earlier date of invention (while reserving all rights to challenge any attempt by Plaintiff to do so).

Vertiv further reserves the right to supplement its Invalidity Contentions with information subsequently provided by Plaintiff concerning its infringement contentions. Plaintiff's Infringement Contentions fail to identify specifically for many of the asserted claim limitations the allegedly infringing structures and acts in the accused products and methods, in contravention of P.R. 3-1. Plaintiff's failure to identify specifically infringing structures and acts prevents Vertiv from searching for, locating, presenting, and relying on prior art having all or some of such structures and acts, thus effectively denying Vertiv the opportunity to rely on the fundamental principle that whatever infringes a claim if later in time anticipates the claim if earlier in time, and further denying Vertiv the opportunity to conduct other invalidity analytical methods.

Moreover, Vertiv reserves the right to revise its ultimate contentions concerning the invalidity of the claims of the Asserted Patents based upon the Court's construction of the claims of the Asserted Patents, any findings as to the priority dates of the Asserted Claims, and/or positions that Plaintiff, Vertiv, or any expert witness may take concerning claim interpretation,

infringement, and/or invalidity issues. Prior art not included in this disclosure, whether known or not known to Vertiv, may become relevant.

In particular, Vertiv is currently unaware of the extent, if any, to which Plaintiff will contend that limitations of the Asserted Claims are not disclosed in the prior art identified by Vertiv. To the extent Plaintiff contends limitations of the Asserted Claims are not disclosed in the prior art identified by Vertiv, Vertiv reserves the right to identify other references that would have made the addition of the allegedly missing limitation to the disclosed device or method obvious or show that the allegedly missing limitation would have been known or readily apparent to one of ordinary skill in the art at the time of the alleged invention in light of the disclosure of the prior art at issue. Vertiv reserves the right to rely on any reference found in the prosecution histories of the applications leading to the Asserted Patents or otherwise identified in connection with this litigation.

Further, Vertiv reserves the right to rely on any reference or item sought or to be sought from third parties that is solely within those third parties' possession, custody, or control, and has not yet been produced during discovery. Vertiv may issue subpoenas to third parties believed to have knowledge, documentation and/or corroborating evidence concerning some of the prior art listed herein and/or additional prior art. These third parties include, but are not limited to, the authors, employers of authors, inventors, assignees, or former or current employee of assignees, of the references identified or the Asserted Patents, and of other parties accused of infringing the Asserted Patents in this or related litigation matters.

Vertiv reserves the right to supplement these Invalidity Contentions in light of any newly discovered information produced by these or other companies from which Vertiv may seek discovery. Much of the art identified in the attached exhibits reflects common knowledge and the

state of the art before the filing date of the Asserted Patents. In many instances where a particular contention calls for combining references, any one of a number of references can be combined. The inclusion of certain exemplary combinations of prior art references does not exclude other combinations based upon the claim charts attached hereto. Each of the Asserted Claims of the Asserted Patents is anticipated by and/or obvious in view of one or more of the items of prior art identified herein alone or in combination with other prior art references.

Vertiv's claim charts cite to or reference particular teachings and disclosures of the prior art as applied to features of the Asserted Claims, but persons having ordinary skill in the art generally may view an item of prior art in the context of other publications, literature, products, and understanding. As such, the cited portions are examples only, and Vertiv reserves the right to rely on uncited portions of the prior-art references and on other publications and expert testimony as aids in understanding and interpreting the cited portions, as providing context thereto, and as additional evidence that the prior art discloses a claim limitation.

Vertiv further reserves the right to rely on uncited portions of the prior-art references, other publications, and testimony to establish reasons for combining certain cited references that render the Asserted Claims obvious. The references discussed in the claim charts may disclose the elements of the Asserted Claims explicitly and/or inherently, and/or they may be relied upon to show the state of the art in the relevant time frame. Vertiv intends to rely on admissions concerning the scope of the prior art relevant to the Asserted Patents found in, inter alia: the Asserted Patents and related patents and/or patent applications; the patent prosecution histories for the Asserted Patents and related patents and/or patent applications (including all prior art cited therein); any deposition testimony of the named inventors of the Asserted Patents and related patents and/or patent applications in this matter or any other matter; evidence and testimony relating to the level

of ordinary skill in the art; evidence from prior litigation, administrative proceedings, and correspondence involving the Asserted Patents and related patents; and the papers filed and any evidence submitted by Plaintiff in connection with this matter or the related matters involving the Asserted Patents.

To the extent these Invalidity Contentions rely on or otherwise embody particular constructions of terms or phrases in the Asserted Claims, Vertiv is not proposing or adopting any such constructions as proper constructions of those terms or phrases at this time. The Court has established, or will establish separate deadlines for the parties' proposed claim constructions in a Docket Control Order, and Vertiv will disclose its proposed constructions according to those deadlines. For purposes of these Invalidity Contentions, Vertiv may adopt alternative claim construction positions and broadly interpret each term or phrase. Certain of these contentions may be based on claim constructions that appear to underlie Plaintiff's Infringement Contentions or claim construction positions. Vertiv, however, does not concede that Plaintiff's apparent constructions are proper, and expressly reserves the right to contest any such constructions. In addition, to the extent that these Invalidity Contentions suggest or imply a particular order in which the steps of method claims are performed, Vertiv does not necessarily propose that the method claims must be limited to such order, although Vertiv reserves the right to propose such an order.

Moreover, Vertiv does not admit that any accused product, method, or service infringes any of the Asserted Claims. Nothing stated herein shall be treated as an admission, acknowledgement, acquiescence, or suggestion regarding the scope of any of the Asserted Claims or that any accused technology meets any limitations of the claims. Nothing stated herein shall be construed as an admission or a waiver of any particular construction of any claim term. Moreover, use of terms herein from the Asserted Patents should not be understood to mean that such terms as

used in the Asserted Patents, or claims, thereof are definite, enabled, or supported by adequate written description in accordance with 35 U.S.C. §§ 112(1), (2), (6).

Likewise, use of terms herein from the Asserted Patents should not be understood to suggest or imply a common, usual, ordinary, customary, plain, or accepted meaning in the art for any such term. Vertiv's Invalidity Contentions are made in a variety of alternatives and do not represent Vertiv's agreement or view as to the meaning, definiteness, written description support for, or enablement of any claim contained therein. Given that the Court has not yet made any claim construction ruling in this action, Vertiv's Invalidity Contentions are made in a variety of alternatives and are not intended to necessarily be consistent with each other and/or Vertiv's other contentions in this action, and should not be otherwise construed. Vertiv's contentions herein are not, and should in no way be seen as, admissions or adoptions as to any particular claim scope or construction, or as any admission that any particular claim element is met in any particular way. Vertiv objects to any attempt to imply claim constructions from any identification of potential prior art.

Additionally, Vertiv's Invalidity Contentions may use Plaintiff's improper assertions of infringement and improper applications of the claims to understand Plaintiff's view of the scope of the Asserted Claims. Vertiv does not agree with Plaintiff's application of the claims and denies infringement. Further, to the extent an accused product or feature comprises or arises from prior art, Vertiv contends, without admitting purported infringement, that the Asserted Patents are anticipated and/or made obvious in light of that prior art and Plaintiff's own Infringement Contentions.

In those instances where Vertiv asserts that the claims are invalid under 35 U.S.C. § 112 (e.g., no written description, not enabled, and/or indefinite), Vertiv has applied the prior art in part

in accordance with Vertiv's assumptions that Plaintiff: (1) contends those claims are definite, (2) finds written description support for those claims, and (3) contends that those claims are enabled. However, Vertiv's prior art invalidity contentions do not necessarily represent Vertiv's agreement or view as to the meaning, definiteness, written description support for, or enablement of any claim contained therein. In fact, Vertiv notes numerous grounds for invalidity on such bases below.

Pursuant to P.R. 3-3(c), Vertiv has, in the attached appendices, identified examples of where the subject matter recited in the preambles of the Asserted Claims may be found in various prior art references, without regard to whether the preambles are properly considered to be limitations of the Asserted Claims. Vertiv reserves the right to argue that any of the preambles are or are not limiting during the claim construction proceedings in this case.

Vertiv's Invalidity Contentions are based at least in part on the claimed priority dates that appear on the faces of the Asserted Patents and may also address any claims by Plaintiff to have sworn behind such dates. Vertiv reserves the right to challenge Plaintiff's claimed priority dates for the Asserted Patents, based on the faces of the Asserted Patents or sworn behind or otherwise, as discovery continues and after any further claim construction by the Court, including based on Plaintiff's proposed (or implicit) claim construction positions or other facts learned during discovery.

Discovery is ongoing, and Vertiv reserves the right to assert invalidity under 35 U.S.C. §§ 101 and 102(a)-(g) to the extent that discovery or further investigation yield additional information forming the basis for such claims. Vertiv reserves the right to assert that any Asserted Patent is invalid under 35 U.S.C. §§ 102(f) and 116, in the event Vertiv obtain evidence that one or more of the named inventors should not have been named as an inventor, or that one or more persons who should have been named as an inventor was not named. In either event, Vertiv will supplement

its Invalidity Contentions to address the misjoinder and/or non-joinder of inventors by, inter alia, identifying the persons who should not have been named inventors (or who should have been named) and describing the relevant facts and circumstances. Pursuant to P.R. 3-3 and 3-4, Vertiv has provided disclosures and related documents pertaining only to the Asserted Claims as identified by Plaintiff in its Infringement Contentions. Vertiv reserves the right to modify, amend, or supplement these Invalidity Contentions to show the invalidity of any additional claims that the Court may allow Plaintiff to later assert. Vertiv further reserves the right to supplement its P.R. 3-4 document production should it later find additional, responsive documents.

Vertiv incorporate(s) by reference all other bases for invalidity that may be identified in other filings, including in any interrogatory responses or in submissions before the patent office (e.g., during *Inter Partes* Review proceedings) concerning the Asserted Patents and all related patents and/or parent applications, including but not limited to statements made by Vertiv, the Patent Owner, APJs, and references cited therein.

Vertiv further incorporates by reference any and all invalidity contentions previously served or subsequently served in the above captioned matters, including those served by other parties Valtrus has accused of infringement.

### III. PRIORITY AND CONCEPTION DATES FOR THE ASSERTED CLAIMS

Plaintiff has alleged that the Asserted Claims are entitled to the priority dates shown below:

| Asserted Patent | Asserted Claims      | Priority Date                                        |
|-----------------|----------------------|------------------------------------------------------|
| 6,718,277       | 1-11, 12-21          | April 17, 2002 (filing date of U.S. App. 10/123,403) |
| 6,854,287       | 1-9                  | August 2, 2002 (filing date of U.S. App. 10/210,040) |
| 6,862,179       | 1-6, 9-13, 15        | Nov. 26, 2002 (filing date of U.S. App. 10/303,761)  |
| 7,031,870       | 1-2, 6-12            | May 28, 2004 (filing date of U.S. App. 10/855,400)   |
| 7,339,490       | 1-4, 6-10, 11-27, 28 | June 29, 2004 (filing date of U.S. App. 10/880,869)  |

Vertiv understands Plaintiff is not asserting an invention date, conception, reduction to practice, design, and/or development of the claimed invention, prior to the asserted priority dates identified above. To the extent Plaintiff later alleges that any such activities occurred prior to the priority dates identified above, Vertiv reserves the right to object to such belated changes in position and/or to supplement these Invalidity Contentions to address any such contention, including by identifying and/or charting additional prior art that may become relevant in view of such assertion. To the extent Plaintiff alleges that any prior art relied on in these Invalidity Contentions does not actually qualify as prior art to the Asserted Patents, Vertiv reserves the right to rebut those allegations (e.g., by demonstrating an earlier critical date for the challenged prior art and/or a later priority date and/or date of invention for a particular Asserted Claim). Vertiv also reserves the right to rely on additional documents, information, and evidence to demonstrate public availability or public availability by a certain date of a prior art reference or to rebut any efforts by Plaintiff to allege any reference was not publicly available or publicly available by a certain date or otherwise available as prior art.

#### **IV. STATE OF THE ART**

This section describes the general state of the art surrounding the claimed inventions at the time of the alleged invention and identifies a number of prior art references providing additional background, detail, and context, on which Vertiv may rely. Vertiv sets forth additional description and summary of the state of the art for each of the Asserted Patents in the Sections regarding the Disclosures of the Asserted Patents below. Vertiv also intends to rely on each of the prior art references discussed below and in exhibits to these Invalidity Contentions for purposes of demonstrating the state of the art for the Asserted Patents. Vertiv also reserves the right to rely on the discussions of the state of the art and prior art in each of the Asserted Patents and their file

histories including explanations of the state of the art and the correspondence of prior art references with the claims of the Asserted Patents. Vertiv further expressly reserves the right to supplement its summary of the state of the art, including for example, by information from any of the authors or named inventors on any of the prior art references, by personnel familiar with systems based on any of the prior art, or by technical experts retained on behalf of any party.

The Asserted Patents generally relate to systems and methods for delivering cooling to data center computing racks. As indicated in Section II above, the priority dates for the Asserted Patents range from April 2002 – June 2004. By this timeframe, industry had, for decades, been acutely aware of the need to reliably deliver sufficient cooling to data center racks in multiple zones. *See* claim charts A-1 *et seq.*, B-1 *et seq.*, C-1 *et seq.*, D-1 *et seq.*, and E-1 *et seq.* For starters, HVAC equipment, such as air conditioning units, refrigerant and chilled water cooling coils, air handlers, heat pumps and heat exchangers, had been in use for decades. Further, electronic thermostats, (inclusive of temperature sensors, controllers and firmware), were well-known and widely used to maintain a desired temperature range in cooling zones found in data centers and other residential, commercial, and/or industrial settings. It was also widely known that different zones required different cooling needs based on the variability of the equipment and other factors. Relatedly, the industry widely understood the need to promote efficiency by delivering sufficient cooling fluid to individual zones while avoiding delivering more than what was needed.

Indeed, as early as 1983, Vertiv's predecessor, Liebert Corporation, offered a series of Deluxe System/3 Cooling Water Systems, which became a widely known environmental control system for data centers used throughout the industry. These systems included many relevant features and functionalities (such as those identified in Charts B-18, B-19, C-25 and C-26) and became widely known and commercially implemented over the 20 years that followed prior to the

priority dates of the Asserted Patents. For example, at least as early as 1985, Liebert's Deluxe System/3 Cooling Water systems varied the flow of cooling fluid to the air-to-fluid heat exchangers to address different cooling needs, such as in response to room temperature and humidity readings in a zone of a data center. *See* LIEBERT, DELUXE SYSTEM/3 TECHNICAL DATA MANUAL, SL-18100 (R 4/85) (1985) at 7. Additionally, Liebert's Deluxe System/3 Cooling Water systems were designed to promote energy efficiency when controlling the temperature in spaces such as data centers. *See, e.g.*, LIEBERT, DELUXE SYSTEM/3 CHILLED WATER SYSTEMS TECHNICAL DATA MANUAL, SL-18110 (R10/01) at 21 ("A variable speed drive (VSD) is available for models FH/UH600C, FH/UH599C, FH/UH740C, and FH/UH739C to reduce energy consumption. The fan motor speed shall be varied from 100% to 60% of rated speed in response to room conditions.").

In the same timeframe, Liebert offered a compressed refrigerant version of the Deluxe System/3. The "DX" model included a Dual Source Cooling capability that provided all the features of a compressed refrigerant system and a second cooling coil connected to a source of chilled water and individually controlled chilled water flow rate to each heat exchanger based on sensed temperatures to reduce compressor operation. *See, e.g.*, LIEBERT, DELUXE SYSTEM/3 OPERATIONS MANUAL 2000 at 3-4. Liebert also disclosed this design in multiple patents, including U.S. Patent No. 4,270,362 issued in June of 1981.

It appears that cooling-water-based Deluxe System units form a basis of Valtrus's Infringement Contentions, notwithstanding that the accused features of those systems had been widely and continuously promoted, sold and publicly used many years prior to the relevant priority dates.

No later than 1996, Liebert introduced its first Industrial Cooling Series System, which became another widely known environmental control system for data centers used throughout the industry. This system included many relevant features and functionalities (such as those identified in Charts B-20 and C-27) that had become widely known and commercially implemented by the time of the priority dates of the Asserted Patents. For example, Liebert’s Industrial Cooling Series System determined the heating or cooling requirements of a room or data center based on one or more temperature setpoints and varied a flow of cooling fluid to meet those heating or cooling requirements. *See, e.g.*, LIEBERT, INDUSTRIAL COOLING SERIES OPERATION AND MAINTENANCE MANUAL, SL-18530 at 40 (“The temperature control program for the advanced microprocessor is based on a calculated % requirement for cooling/ heating . . . , the % requirement is determined by the difference between the return air temperature and the temperature setpoint.”); *id.* at 3 (“These systems utilize a central chiller and control cooling by modulating a control valve in the chilled water line.”).

On information and belief, no later than July 2001, Liebert introduced its DataCool System and the Rack Cooler System, which provide targeted cooling at the racks and became widely used throughout the data center and/or cooling industry. These systems included many relevant features and functionalities (such as those identified in Charts B-17 and B-21) that were widely known by the time of the priority dates of the Asserted Patents. For example, the DataCool System and the RackCooler System provide a “flexible, scalable and space-saving solution that adds targeted cooling capacity to the base environmental equipment—taking care of enclosure hot spots where they occur.” LIEBERT, DATACOOOL BROCHURE, SL-16700 (11/01) at 2; LIEBERT, RACKCOOLER BROCHURE, SL-16750 (11/01) at 2. These systems deployed a plurality of air-to-fluid heat exchangers to provide localized cooling at the racks, supplied chilled water as a cooling fluid to

the heat exchangers, and provided for automatic control of the temperature of the cooling fluid and/or the flow rate of the cooling fluid, based on sensed temperature conditions in a data center. LIEBERT, DATACOOL BROCHURE, SL-16700 (11/01) at 4; LIEBERT, RACKCOOLER BROCHURE, SL-16750 (11/01) at 3-4. Cooling systems designed to automatically control the flow of cool air to different zones of a data center or building in response to sensed temperature data reflecting localized heat loads and cooling needs were also state-of-the-art as of the relevant priority dates. U.S. Patent No. 4,874,127, issued in October of 1989, is one of several references corroborating that it was well-known to deploy raised floor platforms for computer equipment integrated with temperature monitoring and control units operable to automatically adjust air flow partitions to direct controlled amounts of cooling to individual zones of the room based on localized heat loads.

It was also conventional practice as of the relevant priority dates to utilize commercially available thermal mapping software capable of processing sensed temperature data into a thermal map showing temperature contours throughout locations of a data center. *See, e.g.*, ‘277 Patent at 4:35-67. Computational fluid dynamics software tools for generating thermal maps and modeling other atmospheric parameters were also widely available and known to those skilled in the art), as was pattern recognition software for detecting differences in visually presented information. *See, id.* at 5:1-15; 6:36-59.

It was also within the state of the art to model airflow and heat distribution characteristics of raised floor data center cooling systems using known thermodynamics and fluid dynamics principles and mathematical computations to understand the effect of geometric and operational parameters in relation to optimizing data center and cooling system designs. For example, inventors of the ‘870 Patent disclosed these very techniques, including mathematical formulas

recited in the '870 Patent, in publications for the data center cooling industry in June 2002 and in April 2003. *See* Sharma I and Sharma II.

It was also well-known to use conventional temperature sensors, such as thermocouples, to sense temperatures at various locations within a room, and to control the flow of conditioned air based on the cooling needs of a data center. *See, e.g.,* '287 patent at 1:52-2:29; 6:63-7:9; 10:39-62. Programmable controllers for controlling temperature of the cooling fluid and/or the output of the heat exchange units were also conventional. *See, id.* at 3:49-57. Such controllers were also conventionally used to control operation of associated fans, pumps and valves. *See, e.g., id.* at 8:8-59. It was well-understood by POSITAs that such control systems should be set up to control air flow characteristics and/or cooling fluid temperature or flowrates to operate cooling systems at optimized levels. *See, e.g., id.* at 9:37-57.

The various types of conventionally available sensors included modular sensors with multiple sensor modules integrated into a single substrate and connectable via common wire to a centralized networked monitoring or control system. For example, Liebert's SiteNet Integrator product was commercially sold and publicly known and available as early as June of 1999. SiteNet Integrator provided a rack-deployed networked system for coordinating and monitoring uninterruptible power supply systems, environmental control systems, and monitoring systems, and supported numerous sensors including integrated temperature and humidity sensors connected by a common wire to a central system via a connector board. *See e.g.,* SiteNet Integrator LIEBERT, SNMP-BASED INTEGRATED REMOTE MONITORING AND LOAD CONTROL (Liebert Corporation Doc. No. SL-53100, 1997) at 2-3.

Various form factors for such multiple sensor assemblies were known and available. For example, European Patent Application No. 0278102 to McQuoid, published in August of 1988,

reflects the understanding that it is often necessary to monitor the temperature at a plurality of points within a computer room. McQuoid at 1:23–30. McQuoid discloses a sensor assembly including a flexible cable with multiple discrete temperature sensing nodes distributed at desired points along the cable, each of which may be individually interrogated by a networked controller. *See, id.* at 2: 35-49 and 4:19-42.

Further details regarding relevant design, functions, features, principles of operation, and optimization of data center environmental control systems, widely known and available as of the respective priority dates of the Asserted Patents, are provided in the claim charts attached as A-1 *et seq.*, B-1 *et seq.*, C-1 *et seq.*, D-1 *et seq.*, and E-1 *et seq.* and the references and other evidence cited therein.

## **V. P.R. 3-3(C) - INVALIDITY UNDER 35 U.S.C. §§ 102 AND 103**

Each Asserted Claim of the Asserted Patents is invalid as anticipated by the prior art under various subsections of 35 U.S.C. § 102<sup>2</sup> and/or as obvious in view of the prior art under 35 U.S.C. § 103. Pursuant to P.R. 3-3(c), the charts attached to these invalidity contentions as Exhibits A-1 *et seq.*, B-1 *et seq.*, C-1 *et seq.*, D-1 *et seq.*, and E-1 *et seq.* set forth how prior art identified by Vertiv anticipates either expressly or inherently, and/or renders obvious, each Asserted Claim.

In the charts, Vertiv cites various relevant portions of the identified prior art references, but other portions may contain additional or different support for a particular claim limitation, and thus may additionally anticipate, either expressly or inherently, and/or render obvious, one or more of the Asserted Claims. Persons of ordinary skill in the art at the time of the filing of the Asserted

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<sup>2</sup> Based on the priority dates of the Asserted Claims, Vertiv applies sections 102 and 103 (pre-AIA).

Patents knew to read references as a whole, and in the context of other publications and literature and the general knowledge in the field.

Vertiv also reserves the right to rely on other references disclosed or incorporated by reference in these Invalidity Contentions, in prior art references identified or charted in these contentions, in the Asserted Patents, any patents or applications related to the Asserted Patents, in the file history of the Asserted Patents or any related patents or applications. Vertiv's claim charts may disclose multiple theories of invalidity in a single chart.

Each chart directed to an anticipatory product/system may also describe that the product/system alone, in light of the knowledge and skill in the art, or in light of one or more other prior art references, renders each Asserted Claim obvious. Where Vertiv cites to a particular figure in a prior art reference, the citation should be understood to encompass the caption and description of the figure as well as any text relating to the figure in addition to the figure itself.

Conversely, where a cited portion of text refers to a figure, the citation should be understood to include the figure as well. Furthermore, while Vertiv has generally identified at least one citation per limitation present in a reference or combination, every disclosure of the same or similar limitation in the same reference or combination is not necessarily identified. To focus the issues, Vertiv cites particularly pertinent portions of identified references, even where a reference or combination may contain additional support for a particular claim element.

Thus, Vertiv may rely on uncited portions of the prior art references for additional support or context for a particular element. Vertiv may rely upon other prior art identified in future supplements, corroborating references, documentation, source code, products, and testimony, including materials obtained through further investigation and third-party discovery of the prior art identified herein, that demonstrates the invalidating functionality identified in these Invalidity

Contentions or that show the state of the art in the relevant time period (irrespective of whether such references themselves qualify as prior art to the Asserted Patent), and expert testimony to provide context to or aid in understanding the cited portions of the identified prior art. Similarly, where there are multiple references relating to a single prior art product or system, Vertiv may cite only to a single reference for a particular limitation, even though other references may also contain similar teachings. Thus, Vertiv may rely on uncited references relating to a particular prior art document or system for additional support for a particular element. Any prior art disclosed as anticipating a limitation also renders that limitation obvious.

Additionally, persons of ordinary skill in the art at the time of the alleged inventions generally read a prior art reference as a whole and in the context of other publications and literature. Numerous prior art references, including those identified herein and in the attached exhibits, reflect common knowledge and the state, scope, and content of the prior art before the priority date of the Asserted Claims of the Asserted Patents. Vertiv may rely on uncited portions of the prior art references and on other publications and expert testimony to provide context and as aids to understanding and interpreting the portions that are cited.

In general, a claimed invention is invalid due to obviousness “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.” 35 U.S.C. § 103; *Graham v. John Deere Co.*, 383 U.S. 1, 13-14 (1966). The ultimate determination of whether an invention is or is not obvious is a legal conclusion based on underlying factual inquiries including: “(1) the scope and content of the prior art; (2) the differences between the prior art and the claims; (3) the level of ordinary skill in the art at the time of invention; and (4) objective evidence of nonobviousness.” See *Miles Labs., Inc. v. Shandon*,

*Inc.*, 997 F.2d 870, 877 (Fed. Cir. 1993); *Graham*, 383 U.S. at 17-18. The U.S. Supreme Court decision *KSR Int'l Co. v. Teleflex Inc.* reaffirmed *Graham*, 127 S. Ct. 1727, 1739 (2007), but further held that a claimed invention can be obvious even if there is no explicit teaching, suggestion, or motivation for combining the prior art to produce that invention.

To the extent that any claim limitation is not anticipated pursuant to 35 U.S.C. § 102, Vertiv contends that any purported difference is such that the claimed subject matter as a whole would have been obvious to one skilled in the art at the time of the alleged inventions, in view of the state of the art and knowledge of those skilled in the art under 35 U.S.C. § 103. Each Asserted Claim would have been obvious in view of each reference cited in the attached Exhibits pertaining to that Asserted Patent, either alone or combined with the knowledge that was possessed by one of ordinary skill in the art. Additionally, each Asserted Claim would have been obvious to one of ordinary skill in the art in view of the combination of any one of the prior art references identified in the attached Exhibits with one or more of the other references identified or discussed in the same Exhibits. Vertiv reserves the right to illustrate the knowledge of one of ordinary skill in the art using any of the prior art references identified throughout these Invalidity Contentions, expert testimony, learned treatises, and/or testimony of prior art fact witnesses.

Statements made by applicants of the Asserted Patents (“Applicants”) in the specification and/or during prosecution of the Asserted Patents and any related patents/applications, such as in the “Background of the Invention” section that describes the related art known to Applicants, are admissions that can be relied upon for both anticipation and obviousness determinations, regardless of whether the admitted prior art would otherwise qualify as prior art under the statutory categories set forth in 35 U.S.C. § 102. *See* MPEP §§ 2129 and 608.01(c). To the extent Plaintiff contends that the Asserted Claims are not invalid as anticipated by and/or obvious in view of the

prior art under 35 U.S.C. §§ 102 and 103, Vertiv reserves the right to rely on the inventors' admitted prior art to demonstrate the invalidity of the Asserted Claims.

Additionally, Vertiv believes that certain non-parties and current or former employees thereof may have possession of relevant information and/or documents constituting prior art to the Asserted Patents, including parties in related litigations. Vertiv is continuing the investigation into these and other companies and their products. Vertiv reserves the right to supplement these Invalidity Contentions to identify additional references, combinations, motivations to modify, or explanations for particular references based on any information and/or documents provided by the former employees and/or successors-in-interests of companies or individuals who may possess relevant information and/or documents constituting prior art to the Asserted Patents.

The concepts disclosed and claimed in each of the Asserted Patents are not new, and had been disclosed, used, offered for sale, sold, and/or practiced by others prior to the claimed priority date of the patents. The prior art identified herein and in the claim charts, individually or in combination, invalidates the Asserted Claims under 35 U.S.C. §§ 102 (a), (b), (e), (g) and §103. Because discovery is ongoing, Vertiv expects to gather additional information about the identified prior art, and other prior art, through third-party discovery or other discovery, and will thus amend and supplement these Invalidity Contentions once they obtain that discovery and have meaningful and reasonable time to analyze it. As described in more detail below, claims of the Asserted Patents are also invalid under 35 U.S.C. §§ 101 and 112.

Moreover, Vertiv reserves the right to rely on inventor admissions concerning the scope of the prior art relevant to the Asserted Patents found in, inter alia, the prosecution histories of the Asserted Patents or related patents and/or patent applications, any testimony or declarations of the named inventors concerning the Asserted Patents or related patents, and any papers or evidence

submitted by Plaintiff in connection with this litigation, any other pending or future litigation brought by Plaintiff involving the Asserted Patents or related patents, or *inter partes* review proceedings involving the Asserted Patents or related patents. Vertiv also may establish what was known to a person having ordinary skill in the art (“POSITA”) through references discussed above in connection with the state of the art and treatises, published industry standards, other publications, products, and/or testimony.

In this section, Vertiv identifies products and systems that were sold, on-sale or publicly used or disclosed before the priority dates of the respective Asserted Patents. The products and/or systems offered for sale or publicly disclosed, and related information known, are identified below and in the claim charts. The sales, sales offers, and public use or disclosures include those made by Vertiv’s predecessor, Liebert Corporation, and other entities identified in the charts below.

The tables below and accompanying claim charts identify items offered for sale or publicly used and, based on the current investigation and information reasonably available to Vertiv, the estimated timing of when the product or system was first marketed, made commercially available for sale, became known within the data center cooling industry, and/or was otherwise made public. The sales records being produced under Bates No. VERTIV\_N0008263 provide additional details regarding particular sales of such products and systems to particular Liebert resellers and customers. As discovery and investigation continues, Vertiv reserves the right to identify, disclose and/or make available for inspection, additional facts, documents and things concerning the prior art products and systems, including the identity of the product/system’s purchasers or recipients<sup>3</sup>, additional details regarding the features and functionalities of the products/systems, physical

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<sup>3</sup> Purchasers and recipients of Liebert products and systems include Liebert’s resellers and customers.

samples representative of the products/systems, and software and/or source code for the products/systems.

#### **A. P.R. 3-3(C) Disclosures for the '277 Patent**

##### **1. Identification of Prior Art for the '277 Patent**

###### **Patent References**

| <b>Chart</b> | <b>Patent Number</b> | <b>Citation</b> | <b>Country of Origin</b> | <b>Issue / Pub. Date</b>      |
|--------------|----------------------|-----------------|--------------------------|-------------------------------|
| A-1          | US2002/0149911       | Bishop          | US                       | October 17, 2002 <sup>4</sup> |
| A-2          | US6402043            | Cockerill       | US                       | June 6, 2011                  |
| A-3          | WO1997/026507        | Degani          | PCT                      | July 24, 1997                 |
| A-4          | US4850264            | Kiser           | US                       | July 25, 1989                 |
| A-5          | JP2000-283526        | Nakanishi       | Japan                    | October 13, 2000              |
| A-6          | US6134511            | Subbarao        | US                       | Oct. 17, 2000                 |

###### **Publications**

| <b>Chart</b> | <b>Title</b>                                                                                                                   | <b>Author / Publisher</b> | <b>Date of Publication</b> |
|--------------|--------------------------------------------------------------------------------------------------------------------------------|---------------------------|----------------------------|
| A-7          | Computational Fluid Dynamics Modeling of High Compute Density Data Centers to Assure System Inlet Air Specifications ("Patel") | Patel                     | July 13, 2001              |
| A-8          | Liebert SiteScan Product Brochure SL-27070                                                                                     | Liebert                   | Jan. 21, 1997              |
| A-9          | Liebert SiteScan User Manual SL-27091                                                                                          | Liebert                   | Nov. 1998                  |

###### **Product Sales, Offers for Sale, and/or Public Use or Disclosures**

| <b>Chart</b> | <b>Description</b>      | <b>Entity</b> | <b>Sale / Disclosure Date</b> |
|--------------|-------------------------|---------------|-------------------------------|
| A-10         | Liebert SiteScan System | Liebert       | Nov. 1998                     |

In addition, the below references are prior art to the '277 Patent and relevant to the state of the art, obviousness and the knowledge of a POSITA as of the '277 Patent priority date.

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<sup>4</sup> Bishop was filed April 12, 2001.

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 2003/0158718                  | US                       | August 21, 2003                   | February 19, 2002             | Nakagawa           |
| 6,353,803                     | US                       | March 5, 2002                     | January 21, 1997              | Degani 803         |
| 0 520 827                     | EP                       | December 30, 1992                 | June 26, 1992                 | Buchholz           |
| 2 387 669                     | GB                       | October 22, 2003                  | April 16, 2002                | Ferguson           |
| 2002/0014538                  | US                       | February 7, 2002                  | August 4, 2000                | Weimer             |
| 2003/0050003                  | US                       | March 13, 2003                    | September 3, 2002             | Charron            |
| 2003/0193777                  | US                       | October 16, 2003                  | April 16, 2002                | Friedrich          |
| 5,467,607                     | US                       | November 21, 1995                 | February 22, 1994             | Harvey             |
| 5,550,752                     | US                       | August 27, 1996                   | July 25, 1994                 | Federspiel         |
| 5,718,628                     | US                       | February 17, 1998                 | April 26, 1996                | Nakazato           |
| 5,832,411                     | US                       | November 3, 1998                  | February 6, 1997              | Schatzmann         |
| 6,374,627                     | US                       | April 23, 2002                    | January 9, 2001               | Schumacher         |
| 6,711,470                     | US                       | March 23, 2004                    | November 16, 2000             | Hartenstein        |
| 01/86217                      | WIPO                     | November 15, 2001                 | May 7, 2001                   | Spinazzola         |
| 4,916,642                     | US                       | April 10, 1990                    | January 14, 1987              | Kiser 642          |
| 5,202,843                     | US                       | April 13, 1993                    | April 24, 1991                | Kunimine           |
| 0 632 268                     | EP                       | April 1, 1995                     | June 28, 1994                 | Wenger             |
| 6,157,943                     | US                       | December 5, 2000                  | November 12, 1998             | Meyer              |
| 7,574,323                     | US                       | August 11, 2009                   | December 17, 2001             | Rappaport          |
| 5,345,779                     | US                       | September 13, 1994                | April 23, 1993                | Feeney             |
| 5,709,100                     | US                       | January 20, 1998                  | August 29, 1996               | Baer               |
| 6,553,778                     | US                       | April 29, 2003                    | January 16, 2001              | Tipton             |
| 5,590,062                     | US                       | December 31, 1996                 | June 21, 1994                 | Nagamitsu          |

| <b>Title</b>                                                                                                    | <b>Author/<br/>Publisher</b>                                  | <b>Date<br/>Published</b> | <b>Short Title</b>                           |
|-----------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|---------------------------|----------------------------------------------|
| Dynamic Simulation Of A Building Central Chilling System And Evaluation Of EMCS On-Line Control Strategies      | Wang/<br>Elsevier<br>Science                                  | 1998                      | Wang –<br>Dynamic<br>Simulation              |
| Efficient Thermal Management of Data Centers – Immediate and Long-Term Research Needs                           | Bash/HDAC<br>&R Research                                      | April 2003                | Bash –<br>Efficient<br>Thermal<br>Management |
| Energy Mapping and Analysis Procedures (EMAPs) as Building Diagnostics                                          | Christensen/<br>SERI                                          | April 1985                | Christensen –<br>EMAPs                       |
| A Methodology for the Design of Perforated Tiles in Raised Floor Data Centers Using Computational Flow Analysis | Kang/ IEEE                                                    | July 2001                 | Kang                                         |
| Thermal Characteristics of Complex Systems                                                                      | Di Ianni                                                      | 1999                      | Di Ianni                                     |
| The 2001 ASHRAE Handbook                                                                                        | Wessel/<br>ASHRAE                                             | 2001                      | ASHRAE<br>Handbook                           |
| Habitat Monitoring: Application Driver for Wireless Communications Technology                                   | Cerpa/ ACM<br>SIGCOMM<br>Computer<br>Communicat<br>ion Review | February<br>2001          | Cerpa                                        |
| The Future of Intelligent Buildings is Now: Minutes from a Roundtable Discussion                                | Ivanovich/<br>HPAC                                            | May 1999                  | Ivanovich                                    |
| Wireless Sensors Improve Data Center Energy Efficiency                                                          | U.S.<br>Department<br>of Energy                               | September<br>2010         | DoE                                          |
| Ventilation design: Use of computational fluid dynamics as a study tool                                         | Chow /<br>Building<br>Services<br>Engineering                 | November 3,<br>1994       | Chow                                         |

| Title | Author/<br>Publisher       | Date<br>Published | Short Title |
|-------|----------------------------|-------------------|-------------|
|       | Research and<br>Technology |                   |             |

| Description                              | Entity  | Sale / Disclosure Date |
|------------------------------------------|---------|------------------------|
| Liebert Industrial Cooling Series System | Liebert | May 1996               |

## 2. The Asserted Claims of the ‘277 Patent Would Have Been Obvious

If not anticipated, the Asserted Claims of the ‘277 Patent would have been obvious. In particular, limitations, such as “generating an empirical atmospheric map from the results of said sensing step using software for processing input from said sensing step and for producing output in the form of said empirical atmospheric map,” “comparing said empirical atmospheric map to a template atmospheric map,” “identifying pattern differentials between said empirical and template atmospheric maps,” “correlating at least one of the location, size, and intensity of said pattern differentials to at least one of the location of said plurality of vents, the speed of said at least one blower, and the capacity of said at least one source of conditioned air,” “using thermal mapping software to process input from said sensing step and to produce output in the form of said empirical atmospheric map,” “using pattern recognition software,” “generating a map composed of temperature contours that define various isothermal regions,” and “identifying pattern differentials between said empirical and template atmospheric maps comprises performing at least one of extrapolation and triangulation to determine locations of one or more hot spots,” would have been obvious to a POSITA. For starters, the charted references in A-1 *et seq.* are single reference obviousness references in light of the knowledge of a POSITA. Further, a person having ordinary skill in the art would have been motivated to modify or combine the references discussed in charts

A-1, *et seq.* based on the disclosures identified and/or information that would have been generally known to a POSITA with reasonable expectations of success. Rationales and/or motivations for such modifications or combinations include:

- Combining the prior art elements according to known methods would have yielded predictable results.
- Simple substitution of one known limitation for another would have yielded predictable results.
- Use of a known technique to improve similar devices in the same ways.
- Applying a known technique to a known system ready for improvement.
- Choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success.
- Variations based on known work in the field.
- Teachings, suggestions, and/or motivations provided in the references themselves.

In particular, the ‘277 Patent discloses “a method and system for controlling atmospheric conditions within a building.” ‘277, Abstract. The alleged improvement relates to “substantially reducing the energy consumption associated with cooling a data center, by virtue of using directed, location-specific cooling instead of diffused, room-level cooling.” *See, e.g.*, ‘277, 7:38-48. In other words, the ‘277 Patent purportedly seeks to promote cooling system efficiency and reduce operating costs, while ensuring multiple computing devices (in varying locations and with varying cooling needs) are sufficiently monitored and reliably cooled. *Id.* (noting the disclosed system “can be operated relatively more efficiently compared to the prior art by virtue of a more precise method of tracking and using actual temperature measurement as an input to cooling system control”).

A POSITA would have been motivated by several factors, including:

- The need to reliably deliver sufficient cooling to data center racks in multiple zones of varying cooling needs.

- The desire to optimize the operation of cooling systems to provide effective cooling in an efficient manner.
- The known convenience and other benefits of providing visual representation and monitoring of atmospheric conditions such as operating temperatures and operational parameters associated with environmental control systems and cooling operations, such as via a map, chart, graphic, or the like.
- A POSITA's knowledge of the fundamental technique of establishing predetermined desired atmospheric conditions, sensing current atmospheric conditions, and adjusting operating parameters to achieve the desired atmospheric conditions.
- A POSITA's knowledge of the utility of comparing a visual representation of actual atmospheric conditions against a visual representation of desired atmospheric conditions to evaluate and adjust the operation of a cooling system; and
- A POSITA's knowledge that making adjustments based on identified differences between actual and desired atmospheric conditions can help improve the effectiveness and efficiency of the cooling system.

Indeed, as shown below in this section, and in the corresponding claim charts, each of the prior art references recognize the need to achieve these objectives and provide solutions, including the use of temperature or atmospheric profiles or maps, similar to those of the '277 Patent. To the extent there are variations among the references in terms of how they achieve common objectives, such variations represent finite number alternative approaches that a POSITA would have reasonably understood would succeed. All told, the nature of these problems to be solved would have led a POSITA to incorporate any combination of the finite number of solutions disclosed, available and/or otherwise known with predictable results, an exercise involving nothing more than routine optimization of well-understood principles and components of cooling systems.

For example, Bishop discloses “an apparatus for providing cool air to electronic module cabinets” that includes the exemplary elements identified in the corresponding claim chart. Bishop, Abstract; Chart A-1. A POSITA would have been motivated to turn to Bishop, and/or combine it with references directed to similar objectives, for solutions that solve “the need for a more efficient cool air delivery system for use in critical environments,” and in particular, the “need for an air

delivery system that can automatically alter air volume to module cabinets based on cabinet and/or component temperature.” Bishop, ¶0032.

Cockerill discloses “devices for optimally controlling the activation of furnaces, ventilation units and air conditioners” that include the exemplary elements identified in the corresponding claim chart. Cockerill, 1:5-9, Abstract; Chart A-2. A POSITA would have been motivated to turn to Cockerill, and/or combine it with references directed to similar objectives, for solutions that “more exactly control the temperature setting of [an] HVAC unit” so that “the HVAC unit itself is [] controlled in an efficient manner.” Cockerill, 1:61-2:3.

Degani discloses “a novel testing apparatus for determining the efficiency of a heating and/or cooling system, and the like, for testing or controlling a system in which fluid flows and where in the system fluid either dissipates in part or requires regeneration.” Degani, 1; Chart A-3. A POSITA would have been motivated to turn to Degani, and/or combine it with references directed to similar objectives, for solutions that “provide an apparatus or a machine, and a correlated method, for monitoring a system, in which a fluid is flowing, with time in space, which will provide more conclusive results regarding system anomalies or system efficiency.” Degani, 2.

Kiser discloses “[a]n improved system for maintaining atmospheric conditions within prescribed parameters throughout the interior of a building,” that includes the exemplary elements identified in the corresponding claim chart. Kiser, Abstract; Chart A-4. More specifically, Kiser describes a “ductless system for conditioning the air within the interior of an enclosed building [wherein] air is emitted at various points around the perimeter of the building in controlled amounts in response to observed atmospheric conditions at corresponding locations within the building. Kiser, 1:5-18. A POSITA would have been motivated to turn to Kiser, and/or combine it with

references directed to similar objectives, for solutions that “provide an improved system for the . . . air conditioning of industrial-type buildings,” “assure that atmospheric conditions will be continuously maintained within prescribed parameters throughout the building” “provide such a system which is relatively inexpensive to install, operate, and maintain . . . and extremely energy efficient.” *Id.*, 2:62-3:13.

Nakanishi discloses “an air conditioning system and an air conditioning method . . . for quickly and effectively controlling the temperature in a room requiring cooling and keeping the room at a uniform temperature.” Nakanishi, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart A-5. A POSITA would have been motivated to turn to Nakanishi, and/or combine it with references directed to similar objectives, for solutions capable of “quickly responding to the fluctuation of temperature distribution in a computer room, properly controlling a temperature, and keeping an optimum temperature state.” Nakanishi, 1:35-50.

Subbarao discloses “a method and apparatus for applying corrective flows to better calibrate an audit building to the actual building” that include the exemplary elements identified in the corresponding claim chart. Subbarao, 1:5-11; Chart A-6. A POSITA would have been motivated to turn to Subbarao, and/or combine it with references directed to similar objectives, for solutions that “enable the evaluation, commissioning, diagnostics, and optimal control of buildings,” “use of any building energy simulator,” and “address the building shell as well as HVAC (Heating, Ventilation and Air-Conditioning) systems.” Subbarao, 3:28-40.

Patel discloses modeling of “the air flow and temperature distribution in a data center.” Patel, 1. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart A-7. A POSITA would have been motivated to turn to Patel, and/or combine

it with references directed to similar objectives, to better understand “fluid mechanics and heat transfer processes inside the data center,” including the identification of “‘hot spots’ in the room.” Patel, 2.

The prior art Liebert SiteScan system identified in chart A-10 was a widely known data center environmental control system used throughout the industry. A POSITA would have known of Liebert’s solutions and understood their features and improvements to achieve objectives relating to efficiently supplying cooling fluid to computing racks in data centers. Therefore, a POSITA would have been motivated to combine these systems’ known features with references directed to similar objectives. Similarly, a POSITA would have been motivated to consult widely available Liebert literature relating to its systems, such as the literature disclosed in chart A-8 and A-9 for similar reasons.

Furthermore, a POSITA would have been motivated to combine with reasonable expectations of success, based on the disclosures identified therein and/or information that would have been generally known to a POSITA, any of the primary references A-1 *et. seq.* charted above with: (1) any other such A-1 *et seq.* primary reference(s); (2) any reference disclosed in the section above for specific concepts claimed in the patent; (3) any statements made in the intrinsic record of the ‘277 Patent, and/or (4) the knowledge of one of ordinary skill in the art. By way of example and without prejudice to any other combinations of references, Vertiv provides the following exemplary combinations, which would obviate the invention of the ‘277 Patent.

### Exemplary Reference Combinations

| Reference | In Combination With                                                                                                                                    | Claims      |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| Bishop    | Cockerill<br>Degani<br>Kiser<br>Nakanishi<br>Subbarao<br>Patel<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091  | 1-11, 12-21 |
| Cockerill | Bishop<br>Degani<br>Kiser<br>Nakanishi<br>Subbarao<br>Patel<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091     | 1-11, 12-21 |
| Degani    | Bishop<br>Cockerill<br>Kiser<br>Nakanishi<br>Subbarao<br>Patel<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091  | 1-11, 12-21 |
| Kiser     | Bishop<br>Cockerill<br>Degani<br>Nakanishi<br>Subbarao<br>Patel<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091 | 1-11, 12-21 |
| Nakanishi | Bishop<br>Cockerill<br>Degani<br>Kiser<br>Subbarao<br>Patel<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091     | 1-11, 12-21 |

| Reference                                  | In Combination With                                                                                                                                    | Claims      |
|--------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| Subbarao                                   | Bishop<br>Cockerill<br>Degani<br>Kiser<br>Nakanishi<br>Patel<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091    | 1-11, 12-21 |
| Patel                                      | Bishop<br>Cockerill<br>Degani<br>Kiser<br>Nakanishi<br>Subbarao<br>Liebert SiteScan Product Brochure SL-27070<br>Liebert SiteScan User Manual SL-27091 | 1-11, 12-21 |
| Liebert SiteScan Product Brochure SL-27070 | Bishop<br>Cockerill<br>Degani<br>Kiser<br>Nakanishi<br>Subbarao<br>Patel<br>Liebert SiteScan User Manual SL-27091                                      | 1-11, 12-21 |
| Liebert SiteScan User Manual SL-27091      | Bishop<br>Cockerill<br>Degani<br>Kiser<br>Nakanishi<br>Subbarao<br>Patel<br>Liebert SiteScan Product Brochure SL-27070                                 | 1-11, 12-21 |
| Liebert SiteScan System                    | Bishop<br>Cockerill<br>Degani<br>Kiser<br>Nakanishi<br>Subbarao<br>Patel                                                                               | 1-11, 12-21 |

## **B. P.R. 3-3(C) Disclosures for the ‘287 Patent**

### **1. Identification of Prior Art for the ‘287 Patent**

### Patent References

| Chart | Patent Number  | Citation   | Country of Origin | Issue / Pub. Date |
|-------|----------------|------------|-------------------|-------------------|
| B-1   | US6006528      | Arima      | US                | December 28, 1999 |
| B-2   | US2001/0042616 | Baer       | US                | Nov. 22, 2001     |
| B-3   | US5467609      | Feeney     | US                | Nov. 21, 1995     |
| B-4   | CN1043380      | Kunin      | CN                | June 27, 1990     |
| B-5   | US4270362      | Lancia     | US                | June 2, 1981      |
| B-6   | JPH04350444A   | Matsuo     | JP                | December 4, 1992  |
| B-7   | EP 0741269     | Nakazato   | EP                | Nov. 21, 2001     |
| B-8   | US3384155      | Newton     | US                | May 21, 1968      |
| B-9   | US6574104      | Patel      | US                | June 3, 2003      |
| B-10  | US4688390      | Sawyer     | US                | August 25, 1987   |
| B-11  | US5142877      | Shimizu I  | US                | September 1, 1992 |
| B-12  | US5317907      | Shimizu II | US                | June 7, 1994      |
| B-13  | EP0482629      | Suzuki     | EP                | April 29, 1992    |

### Publications

| Chart | Title                                                                                                                  | Author / Publisher | Date of Publication |
|-------|------------------------------------------------------------------------------------------------------------------------|--------------------|---------------------|
| B-14  | Liebert Deluxe System/3 Operation and Maintenance Manual, SL-18350 (Revised April 2000) (“DS/3 Operation Manual 2000”) | Liebert            | 2000                |
| B-15  | Liebert Industrial Cooling Series Operation and Maintenance Manual, SL-18530 (“ICS Operation Manual”)                  | Liebert            | 1998                |
| B-16  | Liebert RackCooler Brochure, SL-16750 (11/01) (“RackCooler Brochure”)                                                  | Liebert            | Nov. 2001           |

### Product Sales, Offers for Sale, and/or Public Use or Disclosures

| Chart | Description                                       | Entity  | Sale / Disclosure Date |
|-------|---------------------------------------------------|---------|------------------------|
| B-17  | Liebert DataCool System                           | Liebert | July 2001              |
| B-18  | Liebert Deluxe System/3 Cooling Water System - CW | Liebert | April 1983             |
| B-19  | Liebert Deluxe System / DX System - DX            | Liebert | April 1983             |
| B-20  | Liebert Industrial Cooling Series System          | Liebert | May 1996               |

| Chart | Description                | Entity  | Sale / Disclosure Date |
|-------|----------------------------|---------|------------------------|
| B-21  | Liebert Rack Cooler System | Liebert | July 2001              |

In addition, the below references are prior art to the '287 Patent and relevant to the state of the art, obviousness and the knowledge of a POSITA as of the '287 Patent priority date.

| Patent/Publication No. | Country of Origin | Date of Issue/ Publication | Relevant Priority Date | Short Title   |
|------------------------|-------------------|----------------------------|------------------------|---------------|
| 5,261,483              | US                | November 16, 1993          | January 15, 1992       | Imaoka        |
| 0 449 628              | EP                | October 2, 1991            | March 28, 1991         | Kabushiki     |
| 0 965 799              | EP                | December 22, 1999          | June 19, 1996          | Pollak-Diener |
| 2 644 228              | FR                | September 14, 1990         | March 13, 1989         | Gerber        |
| 2003-139351            | JP                | May 14, 2003               | November 6, 2001       | Kawai         |
| 0486908                | JP                | March 19, 1992             | July 30, 1990          | Ohashi        |
| 974415                 | SU                | November 15, 1982          | May 29, 1981           | Guzman        |
| 2003/0221821           | US                | December 4, 2003           | May 31, 2002           | Patel 821     |
| 4,830,274              | US                | May 16, 1989               | November 8, 1988       | Johnson       |
| 5,718,628              | US                | February 17, 1998          | April 26, 1996         | Nakazato      |
| 5,788,570              | US                | August 4, 1998             | May 2, 1997            | Cho           |
| 6,167,714              | US                | January 2, 2001            | February 4, 2000       | Baffes        |
| 02/16854               | WIPO              | February 28, 2002          | August 23, 2001        | Spinazzola    |
| 08105647               | JP                | April 23, 1996             | October 3, 1994        | Adachi        |
|                        |                   |                            |                        |               |
| 3,525,385              | US                | August 25, 1970            | February 9, 1966       | Liebert       |
| 05118580               | JP                | May 14, 1993               | October 30, 1991       | Sato          |

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 6,557,624                     | US                       | May 6, 2003                       | August 9, 2000                | Stahl              |
| 4,182,484                     | US                       | January 8, 1980                   | April 24, 1978                | Stanke             |
| 4,103,508                     | US                       | August 1, 1978                    | February 4, 1977              | Apple              |
| 5,131,236                     | US                       | July 21, 1992                     | October 3, 1991               | Wruck              |
| 5,138,842                     | US                       | August 18, 1992                   | October 3, 1991               | Wruck 842          |
| 5,345,779                     | US                       | September 13, 1994                | April 23, 1993                | Feeney             |
| 5,709,100                     | US                       | January 20, 1998                  | August 29, 1996               | Baer               |
| 5,984,002                     | US                       | November 16, 1999                 | August 29, 1995               | Kido               |
| 6,553,778                     | US                       | April 29, 2003                    | January 16, 2001              | Tipton             |

| <b>Title</b>                                                                                                 | <b>Author/ Publisher</b>          | <b>Date Published</b> | <b>Short Title</b> |
|--------------------------------------------------------------------------------------------------------------|-----------------------------------|-----------------------|--------------------|
| Split Systems: A Primer                                                                                      | Legutko / Carrier Corporation     | September 2000        | Legutko            |
| Choosing the Best Controls for Commercial Rooftop Applications: Electromechanical vs. Electronic Thermostats | Scott-Younis/ Carrier Corporation | December 1998         | Scott-Younis       |

| <b>Description</b>                             | <b>Entity</b>       | <b>Sale / Disclosure Date</b> |
|------------------------------------------------|---------------------|-------------------------------|
| York Curbpak Air Handling Units                | York International  | 2001                          |
| Trane Tracer Summit Building Automation System | The Trane Company   | January 2000                  |
| Carrier ComfortID System                       | Carrier Corporation | 1999                          |
| Carrier VAV Fan Terminal Zone Controller       | Carrier Corporation | 1999                          |
| Trane CenTraVac Liquid Chillers                | The Trane Company   | January 1999                  |

| Description                                         | Entity              | Sale / Disclosure Date |
|-----------------------------------------------------|---------------------|------------------------|
| Liebert SiteScan SS2W for Windows Monitoring System | Liebert Corporation | 1998                   |
| Liebert UPStation S3 UPS                            | Liebert Corporation | 1998                   |
| Trane VariTrane Products                            | The Trane Company   | December 1999          |
| Trane Underfloor Air Distribution System            | The Trane Company   | 2001                   |

## 2. The Asserted Claims of the ‘287 Patent Would Have Been Obvious

If not anticipated, the Asserted Claims of the ‘287 Patent would have been obvious. In particular, limitations, such as “a plurality of heat exchanger units,” “controlling at least one of the temperature of said cooling fluid and said air delivery by said plurality of heat exchanger units to said room in response to said sensed temperatures at said one or more locations,” “individually manipulating a mass flow rate of the cooling fluid supplied to each of the plurality of heat exchanger units,” “determining whether the sensed temperatures at one or more locations in said room are within a predetermined range,” “increasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being below said predetermined range,” “decreasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being above said predetermined range,” “metering the flow of cooling fluid through each of said plurality of heat exchanger units with a plurality of valves positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units” and/or “metering the flow of cooling fluid through said plurality of heat exchanger units with a plurality of pumps positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units,” would have been obvious to a POSITA. For starters, the charted references in B-1 *et seq.* are single reference obviousness references in light of the knowledge of a POSITA. Furthermore, a person having ordinary skill in the art would have been motivated to modify or

combine the references discussed in charts B-1 *et seq.* based on the disclosures identified and/or information that would have been generally known to a POSITA with reasonable expectations of success. Rationales and/or motivations for such modifications or combinations include:

- Combining the prior art elements according to known methods would have yielded predictable results.
- Simple substitution of one known limitation for another would have yielded predictable results.
- Use of a known technique to improve similar devices in the same ways.
- Applying a known technique to a known system ready for improvement.
- Choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success.
- Variations based on known work in the field.
- Teachings, suggestions, and/or motivations provided in the references themselves.

In particular, the ‘287 Patent discloses a “system and method for cooling a room configured to house a plurality of computer systems.” ‘287, Abstract. The alleged improvement relates to “means for cooling air . . . and measuring temperatures . . . and controlling delivery of the cooled air in response to the temperature measurements and means for controlling the temperature of the cooling fluid.” ‘287, 2:59-3:2. In other words, the ‘287 patent seeks to promote data center cooling systems efficiency and reduce operating costs by monitoring local cooling needs and operating cooling components “according to the actual needs” instead of “at substantially 100 percent of the anticipated heat dissipation from the computer systems.” *Id.*, 3:57-67.

A POSITA would have been motivated by several factors, including:

- The need to reliably deliver sufficient cooling to data center racks in multiple zones.
- The conventional practice of monitoring operating temperatures and cooling operations.

- The need to improve the “efficiency,” or minimize excess operating expenses associated with the cooling operations within a data center.
- The known approach and benefits of using a plurality of heat exchanger units to more accurately and efficiently deploy cooling to zones, regions, sections, or racks within the data center independent of coolant supplied to other managed zones, regions, sections, or racks within the data center consistent with the current conditions of the various specific zones, regions, sections, or racks.
- The known and conventional approach of sensing temperatures at one or more locations within the data center so that cooling operations can be more efficiently tailored based upon actual and anticipated cooling requirements within specific zones, regions, sections, or racks within the data center.
- A POSITA’s knowledge that use of a plurality of heat exchanger units can help improve the efficiency of a cooling operation within a room, building, or similar, by, for example, providing greater cooling in a specific section of a room that is prone to warmer temperatures.
- A POSITA’s knowledge that the efficiency of a cooling operation within a room, building, or similar can be improved by the addition of a plurality of vents, heat exchangers, air conditioning units, or similar components.
- A POSITA’s knowledge that prior art and practices directed to heating applications can also be used in cooling applications.
- A POSITA’s knowledge that achieving a desired temperature in a zone or region by moving a heating or cooling fluid through an HVAC system is a function of the temperature of the cooling fluid, the flow characteristics of the fluid, the pressure differential of the fluid across the HVAC system, and the air flow characteristics, such that one or more variables may be changed to achieve a desired temperature conditions at various locations.
- A POSITA’s knowledge that achieving a desired temperature in a zone or region may be achieved by manipulating a mass flow rate of a cooling fluid through an HVAC system and/or the air flow characteristics.
- A POSITA’s knowledge that the mass flow rate of a cooling fluid through an HVAC system may be manipulated in a variety of ways, including pumps, valves, or any number of combinations involving both pumps and valves.

Indeed, as shown below in this section, and in the corresponding claim charts, each of the prior art references recognize the need to achieve these objectives and provide solutions similar to those of the ‘287 Patent. Further, as provided in the corresponding claim charts, it was widely

known to address these objectives by varying the supply of cooling fluid, cooling fluid temperature, and/or airflow characteristics based on sensor readings in the manner contemplated by the ‘287 Patent. To the extent there are variations among the references in terms of how they achieve common objectives, such variations represent finite number alternative approaches that a POSITA would have reasonably understood would succeed. All told, the nature of these problems to be solved would have led a POSITA to incorporate any combination of the finite number of solutions disclosed, available and/or otherwise known with predictable results, an exercise involving nothing more than routine optimization of well-understood principles and components of cooling systems.

For example, Arima discloses “an air conditioning system for circulating a fluid.” Arima, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-1. A POSITA would have been motivated to turn to Arima, and/or combine it with references directed to similar objectives, for solutions capable of “provide a system capable of performing an optimum flow circulation.” Arima, 3:5-12.

Baer discloses an “apparatus and method for cooling the air exiting an electronics enclosure” that includes the exemplary elements identified in the corresponding claim chart. Baer, Abstract; Chart B-2. A POSITA would have been motivated to turn to Baer, and/or combine it with references directed to similar objectives, for solutions that “provide more efficient cooling than is available from prior art devices and techniques.” Baer, Abstract.

Feeney discloses “a floor supported sub-structure system and module assemblage serving to operationally support computer system components, particularly of the incrementally expandable, rack mounted variety” that includes the exemplary elements identified in the corresponding claim chart. Feeney, 2:26-62; Chart B-3. A POSITA would have been motivated to

turn to Feeney, and/or combine it with references directed to similar objectives, for solutions that can accommodate “environmental and power input demands [that] can be achieved on a practical cost basis.” Feeney, 2:14-23.

Kunin discloses a “multi-room air conditioning device [that] is suitable for cooling or heating a plurality of rooms at the same time” that includes the exemplary elements identified in the corresponding claim chart. Kunin, [0001]; Chart B-4. A POSITA would have been motivated to turn to Kunin, and/or combine it with references directed to similar objectives, for solutions that “provide an improved air conditioning apparatus which is capable of performing not only simultaneous cooling operation and simultaneous room heating operation for a plurality of arbitrarily selected room units, but also simultaneous room cooling and heating operation.” Kunin, [0007].

Lancia discloses a “temperature and humidity electrical/electronic control circuits and apparatus to maintain a room at a constant temperature and humidity” that includes the exemplary elements identified in the corresponding claim chart. Lancia, Abstract; Chart B-5. A POSITA would have been motivated to turn to Lancia, and/or combine it with references directed to similar objectives, for a solution “capable of responding to a correspondingly broad range of temperature conditions both within the zone” while ensuring “energy conservation is enhanced.” Lancia, 2:47-58.

Matsuo discloses “a multiplex air-conditioning apparatus.” Matsuo, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-6. A POSITA would have been motivated to turn to Matsuo, and/or combine it with references directed to similar objectives, for solutions capable of providing “an air conditioner capable of flexibly performing air-conditioning suitable for each individual even when there is a

change in the division of each floor for different tenants and/or even when there is a change in the layout in a single office.” Matsuo, ¶0012.

Nakazato discloses “an air conditioning method . . . in which a cooling air is supplied through an air passageway formed below a floor into a forced air-cooling equipment disposed on the floor.” Nakazato, 1:1-5. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-7. A POSITA would have been motivated to turn to Nakazato, and/or combine it with references directed to similar objectives, for that “provide an air conditioning method which permits cooling an equipment within a room without fail, while reducing the facility cost and operating cost, and also permits improving the temperature distribution within the machine room.” Nakazato, 1:53-2:2.

Newton discloses “[a]n air conditioning system in which a heated and chilled liquid heat exchange medium is alternately made available to the heat exchange units in various zones.” Newton, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-8. A POSITA would have been motivated to turn to Newton, and/or combine it with references directed to similar objectives, for solutions that “provide a low-cost air conditioning system in which the temperature in various zones can be individually controlled . . . [or] a system in which the heated or chilled water is alternately made available to the room air conditioning units during periods when some rooms require cooling and others require heating to enable proper operation of a heat pump system having a plurality of independently activated zone heat exchangers.” Newton, 2:27-40.

Patel discloses a cooling system “configured to adjust cooling fluid flow to various racks located throughout a data center based upon the detected or anticipated temperatures at various locations throughout the data center.” Patel, Abstract. Disclosed embodiments include the

exemplary elements identified in the corresponding claim chart. *See* Chart B-9. A POSITA would have been motivated to turn to Patel, and/or combine it with references directed to similar objectives, for solutions related to “energy efficient utilization of a cooling system by operating them substantially only as needed,” individually varying “cooling fluid supply . . . in accordance with actual or anticipated temperatures of the heat generating components” and substantially lowering “costs associated with operating the cooling system.” Patel, 2:64-3:13.

Sawyer discloses a “heat pump system for selectively heating or cooling a plurality of zones with a corresponding plurality of zone heat exchangers.” Sawyer, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-10. A POSITA would have been motivated to turn to Sawyer, and/or combine it with references directed to similar objectives, for solutions “to enable proper operation of a heat pump system having a plurality of independently activated zone heat exchangers.” Sawyer, 2:16-22.

Shimizu I discloses “a multiple type air conditioning system including a plurality of internal units (air conditioning units) and one external unit (refrigerant supply unit) which respectively supplies refrigerant to the plurality of internal units.” Shimizu I, 1:10-15. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-11. A POSITA would have been motivated to turn to Shimizu I, and/or combine it with references directed to similar objectives, for solutions capable of “distribut[ing] an appropriate amount of refrigerant to each internal unit of a multiple type air conditioning system.” Shimizu I, 1:45-52.

Shimizu II discloses “a multi-type air-conditioning apparatus having a plurality of air-conditioning units connected to an outdoor unit.” Shimizu II, 1:9-12. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-12. A

POSITA would have been motivated to turn to Shimizu II, and/or combine it with references directed to similar objectives, for solutions capable of achieving an “optimum capability corresponding to the number of personal air-conditioning units to be driven” while providing a “comfortable air-conditioned environment.” Shimizu II, 2:5-14.

Suzuki discloses “a multiple-system air-conditioning apparatus that air-conditions a plurality of living spaces.” Suzuki, 1:5-7. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart B-13. A POSITA would have been motivated to turn to Suzuki, and/or combine it with references directed to similar objectives, for solutions capable of “improving the efficiency and reliability of a refrigeration cycle . . . and comfortably air-conditioning a plurality of rooms without fluctuating room temperatures even under light loads.” Suzuki, 3:56-4:3.

The prior art Liebert Systems identified in charts B-17 – B-21 were widely known data center environmental control systems deployed and used throughout the industry. A POSITA would have known of Liebert’s solutions and understood their features and improvements to achieve objectives relating to efficiently supplying cooling fluid to computing racks in data centers. Therefore, a POSITA would have been motivated to combine these systems’ known features with references directed to similar objectives. Similarly, a POSITA would have been motivated to consult widely available Liebert literature relating to its systems, such as the literature disclosed in charts B-14 – B-16, for similar reasons.

Furthermore, a POSITA would have been motivated to combine with reasonable expectations of success, based on the disclosures identified therein and/or information that would have been generally known to a POSITA, any of the primary references B-1 *et. seq.* charted above with: (1) any other such B-1 *et seq.* primary reference(s); (2) any reference disclosed in the section

above for specific concepts claimed in the patent; (3) any statements made in the intrinsic record of the patent, and/or (4) the knowledge of one of ordinary skill in the art. By way of example and without prejudice to any other combinations of references, Vertiv provides the following exemplary combinations, which would obviate the invention of the '287 Patent.

#### **Exemplary Reference Combinations**

| <b>Reference</b> | <b>In Combination With</b>                                                                                                                                                                              | <b>Claims</b> |
|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Arima            | Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure  | 1-9           |
| Baer             | Arima<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure | 1-9           |

| Reference | In Combination With                                                                                                                                                                                    | Claims |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Feeney    | Arima<br>Baer<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure  | 1-9    |
| Kunin     | Arima<br>Baer<br>Feeney<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure | 1-9    |
| Lancia    | Arima<br>Feeney<br>Kunin<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure          | 1-9    |

| Reference | In Combination With                                                                                                                                                                                   | Claims |
|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Matsuo    | Arima<br>Feeney<br>Kunin<br>Lancia<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure         | 1-9    |
| Nakazato  | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure   | 1-9    |
| Newton    | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure | 1-9    |

| Reference | In Combination With                                                                                                                                                                                    | Claims |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Patel     | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure | 1-9    |
| Sawyer    | Arima<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure          | 1-9    |
| Shimizu I | Arima<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure             | 1-9    |

| Reference                  | In Combination With                                                                                                                                                                           | Claims |
|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Shimizu II                 | Arima<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure     | 1-9    |
| Suzuki                     | Arima<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure | 1-9    |
| DS/3 Operation Manual 2000 | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>ICS Operation Manual<br>RackCooler Brochure             | 1-9    |

| Reference            | In Combination With                                                                                                                                                                      | Claims |
|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| ICS Operation Manual | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>RackCooler Brochure  | 1-9    |
| RackCooler Brochure  | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual | 1-9    |

| Reference                                         | In Combination With                                                                                                                                                                                             | Claims |
|---------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Liebert DataCool System                           | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>RackCooler Brochure | 1-9    |
| Liebert Deluxe System/3 Cooling Water System - CW | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>ICS Operation Manual<br>RackCooler Brochure                               | 1-9    |

| Reference                                      | In Combination With                                                                                                                                                                     | Claims |
|------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Liebert Deluxe<br>System / DX System<br>- DX   | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>ICS Operation Manual<br>RackCooler Brochure       | 1-9    |
| Liebert Industrial<br>Cooling Series<br>System | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>RackCooler Brochure | 1-9    |

| Reference                  | In Combination With                                                                                                                                                                      | Claims |
|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| Liebert Rack Cooler System | Arima<br>Baer<br>Feeney<br>Kunin<br>Lancia<br>Matsuo<br>Nakazato<br>Newton<br>Patel<br>Sawyer<br>Shimizu I<br>Shimizu II<br>Suzuki<br>DS/3 Operation Manual 2000<br>ICS Operation Manual | 1-9    |

### C. P.R. 3-3(C) Disclosures for the ‘179 Patent

The tables below list prior art that anticipates and/or renders obvious one or more of the Asserted Claims. The attached claim charts in Exhibits C-1 – C-27 demonstrate where each limitation of the claims is found, either expressly or inherently in the larger context of the passage, or rendered obvious by, certain of the references listed below, as understood by a person having ordinary skill in the art. The following patents, publications, products and/or services are prior art under at least 35 U.S.C. §§ 102(a), (b), and/or (e).

#### 1. Identification of Prior Art for the ‘179 Patent

##### Patent References

| Chart | Patent Number  | Citation | Country of Origin | Issue / Pub. Date          |
|-------|----------------|----------|-------------------|----------------------------|
| C-1   | US2001/0042616 | Baer     | US                | Nov. 22, 2001              |
| C-2   | US5410448      | Barker   | US                | April 25, 1995             |
| C-3   | US2004/0065097 | Bash     | US                | April 8, 2004 <sup>5</sup> |

<sup>5</sup> Bash was filed October 3, 2002.

| Chart | Patent Number  | Citation   | Country of Origin | Issue / Pub. Date           |
|-------|----------------|------------|-------------------|-----------------------------|
| C-4   | US2002/0149911 | Bishop     | US                | Oct. 17, 2002 <sup>6</sup>  |
| C-5   | US6672955      | Charron    | US                | Jan. 6, 2004 <sup>7</sup>   |
| C-6   | US4874127      | Collier    | US                | Oct. 17, 1989               |
| C-7   | WO 2003/054454 | Darling    | PCT               | July 3, 2003 <sup>8</sup>   |
| C-8   | US6019677      | Demster    | US                | Feb. 1, 2000                |
| C-9   | US5769315      | Drees      | US                | June 23, 1998               |
| C-10  | US6196467      | DuShane    | US                | March 6, 2001               |
| C-11  | US5467609      | Feeney     | US                | Nov. 21, 1995               |
| C-12  | US5979167      | Kochavi    | US                | Nov. 9, 1999                |
| C-13  | US4270362      | Lancia     | US                | June 2, 1981                |
| C-14  | US6283380      | Nakanishi  | US                | Sept. 4, 2001               |
| C-15  | US5718628      | Nakazato   | US                | Feb. 17, 1998               |
| C-16  | US6574104      | Patel '104 | US                | April 10, 2003 <sup>9</sup> |
| C-17  | US5317907      | Shimizu    | US                | Jun. 7, 1994                |
| C-18  | US6557624      | Stahl      | US                | May 6, 2003 <sup>10</sup>   |
| C-19  | US4182484      | Stanke     | US                | Jan. 8, 1980                |

#### Publications

| Chart | Title                                                                                                                  | Author / Publisher | Date of Publication |
|-------|------------------------------------------------------------------------------------------------------------------------|--------------------|---------------------|
| C-20  | Liebert Deluxe System/3 Operation and Maintenance Manual, SL-18350 (Revised April 2000) ("DS/3 Operation Manual 2000") | Liebert            | 2000                |
| C-21  | Liebert Industrial Cooling Series Operation and Maintenance Manual, SL-18530 ("ICS Operation Manual")                  | Liebert            | 1998                |
| C-22  | Liebert SLI-53040                                                                                                      | Liebert            | 1999                |
| C-23  | Liebert SL-53100                                                                                                       | Liebert            | 1997                |
| C-24  | Computational Fluid Dynamics Modeling of High Compute Density Data Centers to                                          | Patel              | July 13, 2001       |

<sup>6</sup> Bishop was filed April 12, 2002.

<sup>7</sup> Charron was filed September 3, 2002.

<sup>8</sup> Darling was filed December 12, 2001.

<sup>9</sup> Patel '104 was filed on October 5, 2001.

<sup>10</sup> Stahl was filed on August 9, 2000.

| <b>Chart</b> | <b>Title</b>                                        | <b>Author / Publisher</b> | <b>Date of Publication</b> |
|--------------|-----------------------------------------------------|---------------------------|----------------------------|
|              | Assure System Inlet Air Specifications<br>("Patel") |                           |                            |

**Product Sales, Offer for Sale and/or Public Use or Disclosures**

| <b>Chart</b> | <b>Description</b>                                | <b>Entity</b> | <b>Sale / Disclosure Date</b> |
|--------------|---------------------------------------------------|---------------|-------------------------------|
| C-25         | Liebert Deluxe System/3 Cooling Water System - CW | Liebert       | April 1983                    |
| C-26         | Liebert Deluxe System / DX System - DX            | Liebert       | April 1983                    |
| C-27         | Liebert Industrial Cooling Series System          | Liebert       | May 1996                      |

In addition, the below references are prior art to the '179 Patent and relevant to the state of the art, obviousness and the knowledge of a POSITA as of the '179 Patent priority date.

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 5,164,394                     | JP                       | June 29, 1993                     | December 13, 1991             | Hanzawa            |
| 2,644,228                     | FR                       | September 14, 1990                | March 13, 1989                | Gerber             |
| 5,154,666                     | US                       | October 13, 1992                  | September 17, 1990            | Wapner             |
| 4,732,318                     | US                       | March 22, 1988                    | January 17, 1986              | Osheroff           |
| 0,914,738                     | JP                       | January 17, 1997                  | June 28, 1995                 | Ikeda              |
| 6,374,627                     | US                       | April 23, 2002                    | January 9, 2001               | Schumacher         |
| 6,318,113                     | US                       | November 20, 2001                 | June 12, 2000                 | Levy               |
| 4,795,088                     | US                       | January 3, 1989                   | June 11, 1987                 | Kobayashi          |
| 4,729,292                     | US                       | March 3, 1988                     | October 29, 1986              | Marton             |
| 5,980,381                     | US                       | November 9, 1999                  | September 8, 1998             | McCormick          |
| 6,142,866                     | US                       | November 7, 2000                  | March 18, 1999                | Wright             |
| 0 741 269                     | EP                       | June 11, 1996                     | April 29, 1996                | Hayama             |

| Patent/Publication No. | Country of Origin | Date of Issue/Publication | Relevant Priority Date | Short Title |
|------------------------|-------------------|---------------------------|------------------------|-------------|
| 2002-156136            | JP                | May 31, 2002              | November 20, 2000      | Inoue       |
| 01277155               | JP                | November 7, 1989          | April 28, 1988         | Nakao       |
| 05243770               | JP                | September 21, 1993        | March 2, 1992          | Horimoto    |
| 01/86217               | WIPO              | November 15, 2001         | May 7, 2001            | Spinazzola  |
| 5,345,779              | US                | September 13, 1994        | April 23, 1993         | Feeney 779  |
| 08105647               | JP                | April 23, 1996            | October 3, 1994        | Adachi      |
| 5,709,100              | US                | January 20, 1998          | August 29, 1996        | Baer        |
|                        |                   |                           |                        |             |
| 6,554,697              | US                | April 29, 2003            | December 3, 1999       | Koplin      |
| 6,535,382              | US                | March 18, 2003            | April 12, 2001         | Bishop      |

| Title                                                                                              | Author/Publisher | Date Published    | Short Title      |
|----------------------------------------------------------------------------------------------------|------------------|-------------------|------------------|
| Operation of Chilled Water Precision Air Systems White Paper #110                                  | APC              | 2001              | White Paper #110 |
| Trane engineers newsletter: turning air distribution upside down . . . Underfloor Air Distribution | Stanke / Trane   | December 17, 2001 | Stanke           |

## 2. The Asserted Claims of the ‘179 Patent Would Have Been Obvious

If not anticipated, the Asserted Claims of the ‘179 patent would have been obvious. In particular, limitations, such as “manipulating said controllable partition in response to said sensed temperature,” “varying an output of said cooling device in response to said sensed pressure falling outside of said predetermined pressure range,” “determining whether . . . measured pressure falls

below or equals a predetermined minimum set point pressure,” “receiving temperatures from a movable device at various locations of said data center,” “performing a numerical modeling of a temperature distribution and flow characteristics of the data center,” “manipulating said cooling device in response to said numerical modeling” and “implementing said numerical modeling to correlate” would have been obvious to a POSITA. For starters, the charted references in C-1 *et seq.* are single reference obviousness references in light of the knowledge of a POSITA. Furthermore, a person having ordinary skill in the art would have been motivated to modify or combine the references discussed in charts C-1 *et seq.* based on the disclosures identified and/or information that would have been generally known to a POSITA with reasonable expectations of success. Rationales and/or motivations for such modifications or combinations include:

- Combining the prior art elements according to known methods would have yielded predictable results.
- Simple substitution of one known limitation for another would have yielded predictable results.
- Use of a known technique to improve similar devices in the same ways.
- Applying a known technique to a known system ready for improvement.
- Choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success.
- Variations based on known work in the field.
- Teachings, suggestions, and/or motivations provided in the references themselves.

In particular, the ‘179 Patent is directed to system(s) and method(s) for supplying cooling fluid, such as cooled air, to computing racks in data centers. The alleged improvement relates to “providing substantially only that amount of cooling fluid necessary to maintain the racks within normal operating temperatures.” *See, e.g.*, ‘179, 17:5-10. In other words, the ‘179 Patent seeks to promote cooling system efficiency and reduce operating costs, while ensuring the computing

devices are sufficiently and reliably cooled. 2:1-13 (noting it was widely desirable to avoid “incur[ing] greater amounts of operating expenses than may be necessary to sufficiently cool the heat generating components contained in the racks of data centers”).

A POSITA would have been motivated by several factors, including:

- The need to reliably deliver sufficient cooling to data center racks in multiple zones.
- The need to promote efficiency by delivering an optimum amount of cooling fluid at an optimum velocity.
- The desire to eliminate “hot spots,” or local regions in a data center or equipment rack where the temperature exceeds a desired maximum.
- The conventional practice of estimating a temperature distribution in a room through a simulation tool and controlling flow rates and flow directions of cooled supply air and warm return air via fans, louvers, or vents on the basis of the simulation result.
- A POSITA’s knowledge and familiarity with the design and operation of raised floor platforms for supporting computer racks arranged within zones and providing pathways for the delivery of cooled air to regions of the data center and for the return of warm air from the cooled regions.
- A POSITA’s knowledge of the use of a thermostat, inclusive of firmware, controllers and temperature sensors, in a well-known manner, including the ability to input a set temperature or temperature range.
- A POSITA’s knowledge of a thermostat’s feedback loop that compares the detected temperature to the set temperature or temperature range and initiates application of heating or cooling fluid until the detected temperature is brought into range of the set temperature.
- A POSITA’s knowledge that prior art and conventional practices directed to heating applications can also be used in cooling applications.

A POSITA’s knowledge that achieving a desired temperature in a zone or region by moving a heating or cooling fluid through an HVAC system is a function of the temperature of the fluid, the flow characteristics of the fluid, and the pressure differential of the fluid across the HVAC system, such that one or more variables may be changed to achieve desired temperature conditions at various locations.

- A POSITA’s knowledge that a movable temperature sensor can perform the same functionality as a fixed temperature sensor.

Indeed, as shown below in this section, and in the corresponding claim charts, each of the prior art references recognize the need to achieve these objectives and provide solutions similar to those of the '179 Patent. Further, as provided in the corresponding claim charts, it was widely known to address these objectives by varying the supply of cooling fluid to zones or regions of a data center based on multiple sensor readings in the data center in the manner contemplated by the '179 Patent, including as applied to raised-floor data center arrangements, similar to the arrangement disclosed in the '179 Patent. To the extent there are variations among the references in terms of how they achieve common objectives, such variations represent finite number alternative approaches that a POSITA would have reasonably understood would succeed. All told, the nature of these problems to be solved would have led a POSITA to incorporate any combination of the finite number of solutions disclosed, available and/or otherwise known with predictable results, an exercise involving nothing more than routine optimization of well-understood principles and components of cooling systems.

For example, Baer discloses an “apparatus and method for cooling the air exiting an electronics enclosure” that includes the exemplary elements identified in the corresponding claim chart. Baer, Abstract; Chart C-1. A POSITA would have been motivated to turn to Baer, and/or combine it with references directed to similar objectives, for solutions that “provide more efficient cooling than is available from prior art devices and techniques.” Baer, Abstract.

Barker discloses a “parallel air flow system which automatically maintains proper coolant flow” that includes the exemplary elements identified in the corresponding claim chart. Barker, Abstract; Chart C-2. A POSITA would have been motivated to turn to Barker, and/or combine it with references directed to similar objectives, for solutions that promote “overall system reliability” in the related field. Barker, 1:53-2:2.

Bash discloses an improved “cooling system for cooling racks in a data center” that includes the exemplary elements identified in the corresponding claim chart. Bash, Abstract; Chart C-3. A POSITA would have been motivated to turn to Bash, and/or combine it with references directed to similar objectives, for solutions that “circulate cooling fluid substantially only as needed by the racks,” which do so in a “more efficient manner as compared to conventional cooling systems.” Bash, ¶0069.

Bishop discloses “an apparatus for providing cool air to electronic module cabinets” that includes the exemplary elements identified in the corresponding claim chart. Bishop, Abstract; Chart C-4. A POSITA would have been motivated to turn to Bishop, and/or combine it with references directed to similar objectives, for solutions that solve “the need for a more efficient cool air delivery system for use in critical environments,” and in particular, the “need for an air delivery system that can automatically alter air volume to module cabinets based on cabinet and/or component temperature.” Bishop, ¶0032.

Charron discloses an “air flow management system for an Internet Data Center” that includes the exemplary elements identified in the corresponding claim chart. Charron, Abstract; Chart C-5. A POSITA would have been motivated to turn to Charron, and/or combine it with references directed to similar objectives, for solutions that “properly control cooling capacity” and “avoid wasting any cooling capacity.” Charron, 1:45-2:8.

Collier discloses a climate control apparatus for raised floor data centers that includes the exemplary elements identified in the corresponding claim chart. Collier 1:1-15; Chart C-6. A POSITA would have been motivated to turn to Collier, and/or combine it with references directed to similar objectives, for solutions that incorporate appropriate “controls to effect both generalized and localized control of cooling on an energy-efficient basis.” Collier, 2:63-3:4.

Darling discloses “a system for controlling the distribution of air for heating or cooling to different zones in a forced air delivery system” that includes the exemplary elements identified in the corresponding claim chart. Darling, 1:7-9; Chart C-7. A POSITA would have been motivated to turn to Darling, and/or combine it with references directed to similar objectives, for solutions for “controlling the distribution of air through the existing duct system in a home which is able to control temperature on a room by room zone basis and which is relatively inexpensive to operate and install.” Darling, 2:32-3:4.

Demster discloses “heating and air conditioning systems and air distribution terminals” that includes the exemplary elements identified in the corresponding claim chart. Demster, 1:5-9; Chart C-8. A POSITA would have been motivated to turn to Demster, and/or combine it with references directed to similar objectives, for solutions that “provide modular terminal designs that are readily adaptable to a wide number of HVAC applications” and “in which components of a terminal are assembled using a number of different components, to thereby provide a plurality of terminal models that can be incorporated into an economic and efficient HVAC system.” Demster, 2:15-30.

Drees discloses “a method and system for minimizing supply air temperature disturbances in multi-zone variable air volume systems” that includes the exemplary elements identified in the corresponding claim chart. Drees, 1:5-9; Chart C-9. A POSITA would have been motivated to turn to Drees, and/or combine it with references directed to similar objectives, for solutions that “minimize[e] supply air temperature disturbances.” Drees, 1:54-63.

DuShane discloses wirelessly connected movable temperature sensor devices used in commercial and industrial settings that includes the exemplary elements identified in the corresponding claim chart. DuShane, 1:13-30; Chart C-10. A POSITA would have been motivated

to turn to DuShane, and/or combine it with references directed to similar objectives, for solutions relating to “industrial and commercial buildings” comprising “many . . . separate zones of occupation with separate heating or cooling,” where temperatures are probed at multiple locations throughout the room. DuShane 2:23-38.

Feeney discloses “a floor supported sub-structure system and module assemblage serving to operationally support computer system components, particularly of the incrementally expandable, rack mounted variety” that includes the exemplary elements identified in the corresponding claim chart. Feeney, 2:26-62; Chart C-11. A POSITA would have been motivated to turn to Feeney, and/or combine it with references directed to similar objectives, for solutions that can accommodate “environmental and power input demands [that] can be achieved on a practical cost basis.” Feeney, 2:14-23.

Kochavi discloses a system that provides “conditioned air to a plurality of rooms wherein the temperature of each of the rooms may be controlled independently.” Kochavi, 9:13. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. Chart C-12. A POSITA would have been motivated to turn to Kochavi, and/or combine it with references directed to similar objectives, for solutions that avoid “inefficient operation.” Kochavi, 1:44:50.

Lancia discloses “[t]emperature and humidity electrical/electronic control circuits and apparatus to maintain a room at a constant temperature and humidity” that include the exemplary elements identified in the corresponding claim chart. Lancia, Abstract; Chart C-13. A POSITA would have been motivated to turn to Lancia, and/or combine it with references directed to similar objectives, for a solution “capable of responding to a correspondingly broad range of temperature conditions” while ensuring “energy conservation is enhanced.” Lancia, 2:46-51.

Nakanishi discloses “[a]n air conditioning system and an air conditioning method . . . for quickly and effectively controlling the temperature in a room requiring cooling and keeping the room at a uniform temperature.” Nakanishi, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart C-14. A POSITA would have been motivated to turn to Nakanishi, and/or combine it with references directed to similar objectives, for solutions capable of “quickly responding to the fluctuation of temperature distribution in a computer room, properly controlling a temperature, and keeping an optimum temperature state.” Nakanishi, 1:35-50.

Nakazato discloses “an air conditioning method in which a cooling air is supplied through an air passageway formed below a floor into a forced air-cooling equipment disposed on the floor.” Nakazato, 1:6-12. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. Chart C-15. A POSITA would have been motivated to turn to Nakazato, and/or combine it with references directed to similar objectives, for solutions capable of providing “an air conditioning method which permits cooling an equipment within a room without fail, while reducing the facility cost and operating cost.” Nakazato, 1:50-57.

Patel ‘104 discloses a cooling system “configured to adjust cooling fluid flow to various racks located throughout a data center based upon the detected or anticipated temperatures at various locations throughout the data center.” Patel ‘104, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. Chart C-16. A POSITA would have been motivated to turn to Patel ‘104, and/or combine it with references directed to similar objectives, for solutions related to “energy efficient utilization of a cooling system by operating them substantially only as needed,” individually varying “cooling fluid supply

. . . in accordance with actual or anticipated temperatures of the heat generating components,” and substantially lowering “costs associated with operating the cooling system.” Patel ‘104, 2:64-3:13.

Shimizu discloses “a multi-type air-conditioning apparatus having a plurality of air-conditioning units connected to an outdoor unit” that includes the exemplary elements identified in the corresponding claim chart. Shimizu, 1:8-14; Chart C-17. A POSITA would have been motivated to turn to Shimizu, and/or combine it with references directed to similar objectives, for solutions “to set up a comfortable air-conditioned environment with less temperature variation.” Shimizu, 1:63-2:3.

Stahl discloses a “method and system . . . for cooling a room having one or more heat generating objects” that includes the exemplary elements identified in the corresponding claim chart. Stahl, Abstract; Chart C-18. A POSITA would have been motivated to turn to Stahl, and/or combine it with references directed to similar objectives, for solutions providing “a cooling system having its cooling characteristics closely tailored to the heating characteristics of the equipment to be cooled.” Stahl, 2:1-11.

Stanke discloses a “temperature control . . . for a variable volume air conditioning system” for spaces with multiple zones. Stanke, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart C-19. A POSITA would have been motivated to turn to Stanke, and/or combine it with references directed to similar objectives, for solutions that “limit both the minimum and maximum flow of conditioned air to the zone in order to maintain proper ventilation requirements and prevent drafts or excessive noise within the conditioned zone.” Stanke, 1:32-48.

The prior art Liebert Systems identified in charts C-25 – C-27 were widely known data center environmental control systems used throughout the industry. A POSITA would have known

of Liebert’s solutions and understood their features and improvements to achieve objectives relating to efficiently supplying cooling fluid to computing racks in data centers. Therefore, a POSITA would have been motivated to combine these systems’ known features with references directed to similar objectives. Similarly, a POSITA would have been motivated to consult widely available Liebert literature relating to its systems, such as the literature disclosed in charts C-20 – C-23, for similar reasons.

Patel discloses modeling of “air flow and temperature distribution in a data center.” Patel, 1. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart C-24. A POSITA would have been motivated to turn to Patel, and/or combine it with references directed to similar objectives, to better understand “fluid mechanics and heat transfer processes inside the data center,” including the identification of “‘hot spots’ in the room.” Patel, 2.

Furthermore, a POSITA would have been motivated to combine with reasonable expectations of success, based on the disclosures identified therein and/or information that would have been generally known to a POSITA, any of the primary references C-1 *et. seq.* charted above with: (1) any other such C-1 *et seq.* primary reference(s); (2) any reference disclosed in the section above for specific concepts claimed in the patent; (3) any statements made in the intrinsic record of the patent, and/or (4) the knowledge of one of ordinary skill in the art. By way of example and without prejudice to any other combinations of references, Vertiv provides the following exemplary combinations, which would obviate the invention of the ‘179 Patent.

#### **Exemplary Reference Combinations**

| <b>Reference</b> | <b>In Combination With</b> | <b>Claims</b> |
|------------------|----------------------------|---------------|
| Baer             | Barker<br>Bash<br>Bishop   | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                                | Claims        |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                           |               |
| Barker    | Baer<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Bash      | Baer                                                                                                                                                                                                                                                                                               | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                                | Claims        |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | Barker<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel       |               |
| Bishop    | Baer<br>Barker<br>Bash<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                               | Claims        |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Charron   | Baer<br>Barker<br>Bash<br>Bishop<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Collier   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100          | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                               | Claims        |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | Patel                                                                                                                                                                                                                                                                                             |               |
| Darling   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Demster   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual                                                   | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                                 | Claims        |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                                                                                                                                                                                      |               |
| Drees     | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| DuShane   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke                                                                                                           | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                                | Claims        |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                                                                                                                               |               |
| Feeney    | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Kochavi   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu                                                                                                                             | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                                | Claims        |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                                                                                                            |               |
| Lancia    | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Nakanishi | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakazato                                                                                                                                                        | 1-6, 9-13, 15 |

| Reference  | In Combination With                                                                                                                                                                                                                                                                              | Claims        |
|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|            | Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                                                                                 |               |
| Nakazato   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Patel '104 | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi                                                                                                                                                                            | 1-6, 9-13, 15 |

| Reference | In Combination With                                                                                                                                                                                                                                                                               | Claims        |
|-----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|           | Lancia<br>Nakanishi<br>Nakazato<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                                                             |               |
| Shimizu   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Stahl     | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane                                                                                                                                                                                                  | 1-6, 9-13, 15 |

| Reference                  | In Combination With                                                                                                                                                                                                                                                                                | Claims        |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|                            | Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                                    |               |
| Stanke                     | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| DS/3 Operation Manual 2000 | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster                                                                                                                                                                                                                       | 1-6, 9-13, 15 |

| Reference            | In Combination With                                                                                                                                                                                                                                                                  | Claims        |
|----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|                      | Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel                                                                                       |               |
| ICS Operation Manual | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Liebert SLI-53040    | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier                                                                                                                                                                                                                               | 1-6, 9-13, 15 |

| Reference        | In Combination With                                                                                                                                                                                                                                                                      | Claims        |
|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|                  | Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SL-53100<br>Patel                                                            |               |
| Liebert SL-53100 | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Patel | 1-6, 9-13, 15 |
| Patel            | Baer<br>Barker<br>Bash<br>Bishop                                                                                                                                                                                                                                                         | 1-6, 9-13, 15 |

| Reference                                          | In Combination With                                                                                                                                                                                                                                                            | Claims        |
|----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
|                                                    | Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100                |               |
| Liebert Deluxe System/ 3 Cooling Water System - CW | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |

| Reference                                | In Combination With                                                                                                                                                                                                                                                            | Claims        |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Liebert Deluxe System / DX System - DX   | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>ICS Operation Manual<br>Liebert SLI-53040<br>Liebert SL-53100<br>Patel | 1-6, 9-13, 15 |
| Liebert Industrial Cooling Series System | Baer<br>Barker<br>Bash<br>Bishop<br>Charron<br>Collier<br>Darling<br>Demster<br>Drees<br>DuShane<br>Feeney<br>Kochavi<br>Lancia<br>Nakanishi<br>Nakazato<br>Patel '104<br>Shimizu<br>Stahl<br>Stanke<br>DS/3 Operation Manual 2000<br>Liebert SLI-53040<br>Liebert SL-53100    | 1-6, 9-13, 15 |

| Reference | In Combination With | Claims |
|-----------|---------------------|--------|
|           | Patel               |        |

#### **D. P.R. 3-3(C) Disclosures for the '870 Patent**

##### **1. Identification of Prior Art for the '870 Patent**

##### **Patent References**

| Chart | Patent Number | Citation  | Country of Origin | Issue / Pub. Date          |
|-------|---------------|-----------|-------------------|----------------------------|
| D-1   | US8544289     | Johnson   | US                | Oct. 1, 2013 <sup>11</sup> |
| D-2   | US6283380     | Nakanishi | US                | Sept. 4, 2001              |
| D-3   | US5718628     | Nakazato  | US                | Feb. 17, 1998              |

##### **Publications**

| Chart | Title                                                                                                              | Author / Publisher | Date of Publication |
|-------|--------------------------------------------------------------------------------------------------------------------|--------------------|---------------------|
| D-4   | A Hybrid Methodology For The Optimization Of Data Center Room Layout ("Guggari")                                   | Guggari            | July 6, 2003        |
| D-5   | Thermal Considerations in Cooling Large Scale High Compute Density Data Centers ("Patel")                          | Patel              | 2002                |
| D-6   | Multi-Scale Modeling of High Power Density Data Centers ("Rambo")                                                  | Rambo              | July 6, 2003        |
| D-7   | Dimensionless Parameters For Evaluation If Thermal Design And Performance Of Large-Scale Data Centers ("Sharma I") | Sharma             | June 24, 2002       |
| D-8   | Efficient Thermal Management of Data Centers - Immediate and Long-Term Research Needs ("Sharma II")                | Sharma             | April 2003          |

In addition, the below references are prior art to the '870 Patent and relevant to the state of the art, obviousness and the knowledge of a POSITA as of the '870 Patent priority date.

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<sup>11</sup> Johnson is a continuation of U.S. Patent App. No. 10/303,641, which was filed Nov. 25, 2002.

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 2005/0174733                  | US                       | August 11, 2005                   | February 6, 2004              | Novotny            |
| 2,644,228                     | FR                       | September 14, 1990                | March 13, 1989                | Gerber             |
| 2001074290                    | JP                       | March 23, 2001                    | August 31, 1999               | Oguro              |
| 2002061911                    | JP                       | February 28, 2002                 | August 17, 2000               | Kubo               |
| 06201175                      | JP                       | July 19, 1994                     | December 28, 1992             | Goto               |
| 2001/0029163                  | US                       | October 11, 2001                  | February 16, 2001             | Spinazzola         |
| 2002/0103628                  | US                       | August 1, 2002                    | August 23, 2001               | Leslie             |
| 2002/0112491                  | US                       | August 22, 2002                   | February 22, 2001             | Malone             |
| 2002/0157821                  | US                       | October 31, 2002                  | April 30, 2001                | Beitelmal          |
| 2003/0053293                  | US                       | March 20, 2003                    | September 14, 2001            | Beitelmal          |
| 2003/0147214                  | US                       | August 7, 2003                    | February 5, 2002              | Patel              |
| 2003/0158718                  | US                       | August 21, 2003                   | February 19, 2002             | Nakagawa           |
| 2003/0200050                  | US                       | October 23, 2003                  | April 17, 2002                | Sharma             |
| 2003/0221821                  | US                       | December 4, 2003                  | May 31, 2002                  | Patel              |
| 2004/0004813                  | US                       | January 8, 2004                   | June 24, 2003                 | Coglitore          |
| 2004/0008113                  | US                       | January 15, 2004                  | July 9, 2003                  | Pradhan            |
| 2004/0020224                  | US                       | February 5, 2004                  | December 4, 2002              | Bash               |
| 2004/0020225                  | US                       | February 5, 2004                  | August 2, 2002                | Patel              |
| 2004/0020226                  | US                       | February 5, 2004                  | December 4, 2002              | Bash               |
| 2004/0065097                  | US                       | April 8, 2004                     | October 3, 2002               | Bash               |
| 2004/0072535                  | US                       | April 15, 2004                    | May 27, 2003                  | Schneider          |
| 2005/0038562                  | US                       | February 17, 2005                 | August 13, 2003               | Bash               |

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 2005/0225936                  | US                       | October 13, 2005                  | March 28, 2003                | Day                |
| 4,874,127                     | US                       | October 17, 1989                  | November 12, 1987             | Collier            |
| 5,209,072                     | US                       | May 11, 1993                      | March 18, 1992                | Truckenbrod        |
| 5,699,287                     | US                       | December 16, 1997                 | October 20, 1995              | Muramatsu          |
| 6,009,939                     | US                       | January 4, 2000                   | February 26, 1997             | Nakanishi          |
| 6,283,380                     | US                       | September 4, 2001                 | March 20, 2000                | Nakanishi          |
| 6,374,627                     | US                       | April 23, 2002                    | January 9, 2001               | Schumacher         |
| 6,389,582                     | US                       | May 14, 2002                      | December 21, 1995             | Valainis           |
| 6,405,142                     | US                       | June 11, 2002                     | August 11, 1999               | Ogawa              |
| 6,676,026                     | US                       | January 13, 2004                  | August 7, 2002                | McKinley           |
| 4,386,502                     | US                       | June 7, 1983                      | July 6, 1981                  | Umezu              |
| 6,104,003                     | US                       | August 15, 2000                   | October 7, 1999               | Jones              |
| 2005/0122684                  | US                       | June 9, 2005                      | December 3, 2003              | Chu                |
| 2007/0213000                  | US                       | September 13, 2007                | March 28, 2003                | Day                |
| 6,859,366                     | US                       | February 22, 2005                 | March 19, 2003                | Fink               |

| <b>Title</b>                                                                                                                   | <b>Author/ Publisher</b> | <b>Date Published</b> | <b>Short Title</b> |
|--------------------------------------------------------------------------------------------------------------------------------|--------------------------|-----------------------|--------------------|
| A Hybrid Flow Network-CFD Method for Achieving Any Desired Flow Partitioning Through Floor Tiles of a Raised-Floor Data Center | Vangilder/ ASME          | January 2003          | Vangilder          |
| The Different Types of Air Conditioning Equipment for IT Environments: White Paper #59                                         | Evans / APC              | 2004                  | Evans              |

## 2. The Asserted Claims of the ‘870 Patent Would Have Been Obvious

If not anticipated, the Asserted Claims of the ‘870 Patent would have been obvious. In particular, limitations, such as “calculating indices of air re-circulation for the one or more heat dissipating devices based upon the detected inlet temperatures, outlet temperatures and supplied air temperatures,” “determining whether the indices of air re-circulation has changed in response to the varied flow field settings,” “evaluating the one or more components based upon changes in the indices of air re-circulation for the one or more heat dissipating devices at the various flow field settings,” “indices of air re-circulation are supply heat indices . . . [defined by the disclosed equation]” would have been obvious to a POSITA. For starters, the charted references in D-1 *et seq.* are single reference obviousness references in light of the knowledge of a POSITA. Furthermore, a person having ordinary skill in the art would have been motivated to modify or combine the references discussed in charts D-1 *et seq.* based on the disclosures identified and/or information that would have been generally known to a POSITA with reasonable expectations of success. Rationales and/or motivations for such modifications or combinations include:

- Combining the prior art elements according to known methods would have yielded predictable results.
- Simple substitution of one known limitation for another would have yielded predictable results.
- Use of a known technique to improve similar devices in the same ways.
- Applying a known technique to a known system ready for improvement.
- Choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success.
- Variations based on known work in the field.
- Teachings, suggestions, and/or motivations provided in the references themselves.

In particular, the ‘870 Patent discloses a “method for evaluating one or more components in a data center” in relation to “inlet and outlet temperatures. ‘870, Abstract. The ‘870 Patent represents that it improves upon data center “infrastructures that are not efficiently designed for varying heat loads and airflows.” *See, e.g., id.*, 2:30-35. Thus, the ‘870 Patent seeks to promote cooling system efficiency and reduce operating costs, while ensuring the computing devices are sufficiently and reliably cooled. *Id.*, 2:7-12 (noting it was widely desirable to avoid “incur[ing] greater amounts of operating expenses than may be necessary to sufficiently cool the heat generating components contained in the racks of data centers”).

A POSITA would have been motivated by several factors, including:

- The need to reliably deliver sufficient cooling to data center racks in multiple zones.
- The need to promote efficiency by delivering an optimum amount of cooling fluid at various regions of a data center.
- The desire to eliminate “hot spots,” or local regions in a data center or equipment rack where the temperature exceeds a desired maximum.
- The conventional practice of estimating a temperature distribution in a room through a simulation and controlling flow rates and airflow directions of cooled supply air and warm return air via fans, louvers, or vents on the basis of the simulation result.
- A POSITA’s knowledge of the use of temperature sensors in a well-known manner to collect temperature data in relation to optimizing the design and operation of data center cooling systems.
- A POSITA’s knowledge and understanding of basic thermodynamic principles and fluid dynamics principles that inform the optimal design and arrangement of data center computing equipment and cooling system components.
- A POSITA’s knowledge and experience with conventional CFD modeling and simulation tools for analyzing data center cooling systems and the impact of changes to the design, operational parameters and layout of the data center computing equipment and cooling system components.
- A POSITA’s knowledge of making mathematical calculations, such as to compute air re-circulation indices, applying fundamental thermodynamics and fluid dynamics principles for evaluating the components of data center cooling systems and optimizing

the design and operations of data center cooling systems to provide more effective and efficient cooling.

Indeed, as shown below in this section, and in the corresponding claim charts, each of the prior art references recognize the need to achieve these objectives and provide solutions similar to those of the '870 Patent. Further, as provided in the corresponding claim charts, it was known to calculate air re-circulation indices in the manner contemplated by the '870 Patent. To the extent there are variations among the references in terms of how they achieve common objectives, such variations represent a finite number of alternative approaches that a POSITA would have reasonably understood would succeed. All told, the nature of these problems to be solved would have led a POSITA to incorporate any combination of the finite number of solutions disclosed, available and/or otherwise known with predictable results, an exercise involving nothing more than routine optimization of well-understood principles and components of cooling systems.

For example, Johnson discloses a “system and method . . . for removal of exhaust air vented from equipment during operation to thereby remove heat from the equipment.” Johnson, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-1. A POSITA would have been motivated to turn to Johnson, and/or combine it with references directed to similar objectives, for solutions that “remove exhaust air produced by rack-mounted equipment for efficient and effective cooling of the equipment.” Johnson, 5:55-60.

Nakanishi discloses “an air conditioning system and an air conditioning method . . . for quickly and effectively controlling the temperature in a room requiring cooling and keeping the room at a uniform temperature.” Nakanishi, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-2. A POSITA would have been motivated to turn to Nakanishi, and/or combine it with references directed to similar

objectives, for solutions capable of “quickly responding to the fluctuation of temperature distribution in a computer room, properly controlling a temperature, and keeping an optimum temperature state.” Nakanishi, 1:35-50.

Nakazato discloses “an air conditioning method in which a cooling air is supplied through an air passageway formed below a floor into a forced air-cooling equipment disposed on the floor.” Nakazato, 1:6-12. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-3. A POSITA would have been motivated to turn to Nakazato, and/or combine it with references directed to similar objectives, for solutions capable of providing “an air conditioning method which permits cooling an equipment within a room without fail, while reducing the facility cost and operating cost.” Nakazato, 1:50-57.

Guggari discloses methodologies covering “both under floor analysis and above floor analysis to arrive at the best layout possible” and “how flow gets distributed through the racks in order to ensure that rack inlet temperature is within prescribed.” Guggari, 2. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-4. A POSITA would have been motivated to turn to Guggari, and/or combine it with references directed to similar objectives, for solutions “for the optimization of the data center” and “analysis of the room to determine if adequate cooling is provided for the racks.” Guggari, 8.

Patel discloses “an overview of a data center cooling design and presents the results of a case study where layout change was made by virtue of numerical modeling to avail efficient use of air conditioning resources.” Patel, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-5. A POSITA would have been motivated to turn to Patel, and/or combine it with references directed to similar objectives, “to

provide energy saving by removing the need for this additional capacity in CRAC units, by CFD modeling and variable capacity air conditioning infrastructure.” Patel, 6.

Rambo discloses a “multi-scale approach to modeling flow inside a data center.” Rambo, 7. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-6. A POSITA would have been motivated to turn to Rambo, and/or combine it with references directed to similar objectives, for solutions providing a “reliable methodology . . . to make the most efficient use of the cooling capacity supplied by the CRAC units and ultimately reduce the operational cost of data centers.” Rambo, 2.<sup>12</sup>

Sharma I discloses “dimensionless, scalable parameters for design and performance evaluation of data centers.” Sharma I, 1. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-7. A POSITA would have been motivated to turn to Sharma I, and/or combine it with references directed to similar objectives, for solutions that “provide an invaluable tool to understand convective heat transfer in large data centers but also suggest means to improve energy efficiency in data centers.” Sharma I, 1.

Sharma II discloses “current research trends in data center design and analysis that address the problem of increased power densities in air-cooled environments.” Sharma II, 151. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart D-8. A POSITA would have been motivated to turn to Sharma II, and/or combine it with references directed to similar objectives, for solutions providing “further development of energy-efficient data center air-conditioning equipment that can enable dynamic provisioning of CRACs, and cooling resources in general, to meet the needs of a dynamic environment.” *Id.*, 139.

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<sup>12</sup> Further, Rambo and Johnson were distributed at the same International Electronic Packaging Technical Conference and Exhibition, July 6-11, 2003, Maui, Hawaii, USA.

Furthermore, a POSITA would have been motivated to combine with reasonable expectations of success, based on the disclosures identified therein and/or information that would have been generally known to a POSITA, any of the primary references D-1 *et seq.* charted above with: (1) any other such D-1 *et seq.* primary reference(s); (2) any reference disclosed in the section above for specific concepts claimed in the patent; (3) any statements made in the intrinsic record of the patent, and/or (4) the knowledge of one of ordinary skill in the art. By way of example and without prejudice to any other combinations of references, Vertiv provides the following exemplary combinations, which would obviate the invention of the '870 Patent.

#### **Exemplary Reference Combinations**

| <b>Reference</b> | <b>In Combination With</b>                                                  | <b>Claims</b> |
|------------------|-----------------------------------------------------------------------------|---------------|
| Johnson          | Nakanishi<br>Nakazato<br>Guggari<br>Patel<br>Rambo<br>Sharma I<br>Sharma II | 1-2, 6-12     |
| Nakanishi        | Johnson<br>Nakazato<br>Guggari<br>Patel<br>Rambo<br>Sharma I<br>Sharma II   | 1-2, 6-12     |
| Nakazato         | Johnson<br>Nakanishi<br>Guggari<br>Patel<br>Rambo<br>Sharma I<br>Sharma II  | 1-2, 6-12     |

| Reference | In Combination With                                                           | Claims    |
|-----------|-------------------------------------------------------------------------------|-----------|
| Guggari   | Johnson<br>Nakanishi<br>Nakazato<br>Patel<br>Rambo<br>Sharma I<br>Sharma II   | 1-2, 6-12 |
| Patel     | Johnson<br>Nakanishi<br>Nakazato<br>Guggari<br>Rambo<br>Sharma I<br>Sharma II | 1-2, 6-12 |
| Rambo     | Johnson<br>Nakanishi<br>Nakazato<br>Guggari<br>Patel<br>Sharma I<br>Sharma II | 1-2, 6-12 |
| Sharma I  | Johnson<br>Nakanishi<br>Nakazato<br>Guggari<br>Patel<br>Rambo<br>Sharma II    | 1-2, 6-12 |
| Sharma II | Johnson<br>Nakanishi<br>Nakazato<br>Guggari<br>Patel<br>Rambo<br>Sharma I     | 1-2, 6-12 |

#### **E. P.R. 3-3(C) Disclosures for the ‘490 Patent**

##### **1. Identification of Prior Art for the ‘490 Patent**

### Patent References

| Chart | Patent Number  | Citation    | Country of Origin | Issue / Pub. Date            |
|-------|----------------|-------------|-------------------|------------------------------|
| E-1   | US2002/0177970 | Awtrey      | US                | Nov. 28, 2002                |
| E-2   | US2003/0174099 | Bauer       | US                | Sept. 18, 2003 <sup>13</sup> |
| E-3   | US2002/0149911 | Bishop      | US                | Oct. 17, 2002                |
| E-4   | US6511478      | Burnside    | US                | Jan. 28, 2003                |
| E-5   | US6608566      | Davis       | US                | Aug. 19, 2003 <sup>14</sup>  |
| E-6   | FR2793019      | Depeursinge | France            | Nov. 3, 2000                 |
| E-7   | US8358206      | Huscher     | US                | Nov. 3, 2005 <sup>15</sup>   |
| E-8   | US2003/0046339 | Ip          | US                | March 6, 2003                |
| E-9   | US5430663      | Judd        | US                | July 4, 1995                 |
| E-10  | US2003/0141956 | Knutson     | US                | July 31, 2003 <sup>16</sup>  |
| E-11  | US6626697      | Martin      | US                | Sept. 30, 2003 <sup>17</sup> |
| E-12  | EP0278102      | McQuoid     | EP                | Aug. 17, 1988                |
| E-13  | JP2002/303445  | Sakamaki    | Japan             | Oct. 18, 2002                |
| E-14  | US2003/0125886 | Spitaels    | US                | July 3, 2003 <sup>18</sup>   |
| E-15  | US6529127      | Townsend    | US                | March 4, 2003                |
| E-16  | US2003/0052778 | Wong        | US                | March 20, 2003 <sup>19</sup> |

### Product Sales and/or Public Disclosures

| Chart | Description                                     | Entity  | Sale / Disclosure Date |
|-------|-------------------------------------------------|---------|------------------------|
| E-17  | Liebert SiteNet Integrator with SiteNet Sensors | Liebert | June 1999              |

In addition, the below references are prior art to the '490 Patent and relevant to the state of the art, obviousness and the knowledge of a POSITA as of the '490 Patent priority date.

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<sup>13</sup> Bauer was filed January 9, 2003.

<sup>14</sup> Davis was filed February 7, 2000.

<sup>15</sup> Huscher was filed June 15, 2004.

<sup>16</sup> Knutson was filed December 30, 2002.

<sup>17</sup> Martin was filed on Nov. 7, 2002.

<sup>18</sup> Spitaels was filed on January 2, 2002.

<sup>19</sup> Wong was filed on September 17, 2002.

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 6,574,104                     | US                       | October 5, 2001                   | June 3, 2002                  | Patel              |
| 2 506 791                     | CA                       | June 10, 2004                     | November 21, 2003             | Wiebe              |
| 09318461                      | JP                       | December 12, 1997                 | May 31, 1996                  | Satake             |
| 316720                        | NO                       | April 13, 2004                    | June 28, 2002                 | Skjermo            |
| 520262                        | SE                       | June 17, 2003                     | December 18, 2000             | Persson            |
| 2003/0051023                  | US                       | March 13, 2003                    | May 1, 2002                   | Reichel            |
| 2003/0079062                  | US                       | April 24, 2003                    | October 19, 2001              | Sicola             |
| 2003/0211797                  | US                       | November 13, 2003                 | May 8, 2003                   | Hill               |
| 2004/0009729                  | US                       | January 15, 2004                  | February 13, 2003             | Hill               |
| 2004/0059903                  | US                       | March 25, 2004                    | September 5, 2003             | Smith              |
| 2004/0104310                  | US                       | June 3, 2004                      | June 20, 2002                 | Demuth             |
| 4,413,259                     | US                       | November 1, 1983                  | September 18, 1981            | Lutz               |
| 2004/027549                   | WIPO                     | April 1, 2004                     | September 8, 2003             | Smith              |
| 4,878,226                     | US                       | October 31, 1989                  | April 22, 1988                | McQuoid-226        |
| 6,626,697                     | US                       | September 30, 2003                | November 7, 2002              | Martin             |
| 2005/0242666                  | US                       | November 3, 2005                  | June 15, 2004                 | Huscher            |
| 2002/0020175                  | US                       | February 21, 2002                 | May 4, 2001                   | Street             |
| 2002/0071475                  | US                       | June 13, 2002                     | December 7, 2000              | Betzner            |
| 2004/0059903                  | US                       | March 25, 2004                    | September 5, 2003             | Smith              |
| 2004/0070497                  | US                       | April 15, 2004                    | March 14, 2002                | Lauroschi          |
| 2005/0066218                  | US                       | March 24, 2005                    | September 24, 2003            | Stachura           |

| <b>Patent/Publication No.</b> | <b>Country of Origin</b> | <b>Date of Issue/ Publication</b> | <b>Relevant Priority Date</b> | <b>Short Title</b> |
|-------------------------------|--------------------------|-----------------------------------|-------------------------------|--------------------|
| 6,266,721                     | US                       | July 24, 2001                     | October 1, 1997               | Sheikh             |
| 6,591,296                     | US                       | July 8, 2003                      | December 15, 1999             | Ghanime            |
| 6,776,707                     | US                       | August 17, 2004                   | April 28, 2003                | Koplin             |
| 6,881,142                     | US                       | April 19, 2005                    | September 12, 2003            | Nair               |
| 7,009,510                     | US                       | March 7, 2006                     | August 12, 2002               | Douglass           |
| 7,456,736                     | US                       | November 25, 2008                 | April 14, 2003                | Primm              |
| 7,529,838                     | US                       | May 5, 2009                       | January 16, 2001              | Primm              |
| 8,468,372                     | US                       | June 18, 2013                     | December 17, 2009             | Johnson            |
| 2003/0079553                  | US                       | May 1, 2003                       | November 1, 2002              | Cain               |
| 01/59411                      | WIPO                     | August 16, 2001                   | February 8, 2001              | Keller             |
| 8,414,489                     | US                       | April 9, 2013                     | November 13, 2003             | Shah               |
| 6,987,673                     | US                       | January 17, 2006                  | September 9, 2003             | French             |
| 6,856,009                     | US                       | February 15, 2005                 | March 11, 2003                | Bolken             |
| 6,975,510                     | US                       | December 13, 2005                 | May 9, 2003                   | Robbins            |
| 7,033,267                     | US                       | April 25, 2006                    | May 13, 2003                  | Rasmussen          |
| 7,187,547                     | US                       | March 6, 2007                     | September 9, 2003             | French 547         |
| 7,227,751                     | US                       | June 5, 2007                      | May 9, 2003                   | Robbins            |
| 8,403,736                     | US                       | March 26, 2013                    | May 13, 2003                  | Rasmussen 736      |

| Title                                                                                   | Author/<br>Publisher                         | Date<br>Published | Short Title   |
|-----------------------------------------------------------------------------------------|----------------------------------------------|-------------------|---------------|
| National Plan for Solar Heating & Cooling                                               | Energy Research & Development Administration | March 1975        | National Plan |
| Proceedings 2003 VLDB Conference: 29th International Conference on Very Large Databases | Kaufmann                                     | 2003              | Kaufmann      |
| Environmental Monitoring and Alarming                                                   | Geist                                        | 2000              | Geist         |

| Description                    | Entity | Sale / Disclosure Date |
|--------------------------------|--------|------------------------|
| Geist Environmental Monitoring | Geist  | 2000                   |

## 2. The Asserted Claims of the '490 Patent Would Have Been Obvious

If not anticipated, the Asserted Claims of the '490 Patent would have been obvious. In particular, limitations, such as “an elongate flexible body, configured to attach to a computer rack,” “a substantially rigid outer covering,” “the outer covering is configured to attach to a door of the computer rack,” “an adhesive, disposed on the elongate body, configured to allow the sensor assembly to be adhesively attached to the computer rack,” “the plurality of sensors are attached in parallel to the ground wire and the data wire, and configured to draw power from the data wire,” “an environmental monitor, configured to selectively collect data from each of the addressable sensors, and to determine spatially-correlated environmental conditions related to the computer rack,” and/or “a modular sensor assembly disposed on a front of the computer rack, and a modular sensor assembly disposed on a rear of the computer rack, the front sensor assembly being configured to detect a temperature of cooling air supplied to the front of the rack, and the rear sensor assembly being configured to detect a temperature of return air exhausted from the rear of the rack,” would have been obvious to a POSITA. For starters, the charted references in E-1 *et seq.*

are single reference obviousness references in light of the knowledge of a POSITA. Furthermore, a person having ordinary skill in the art would have been motivated to modify or combine the references discussed in charts E-1 *et seq.* based on the disclosures identified and/or information that would have been generally known to a POSITA with reasonable expectations of success. Rationales and/or motivations for such modifications or combinations include:

- Combining the prior art elements according to known methods would have yielded predictable results.
- Simple substitution of one known limitation for another would have yielded predictable results.
- Use of a known technique to improve similar devices in the same ways.
- Applying a known technique to a known system ready for improvement.
- Choosing from a finite number of identified, predictable solutions, with a reasonable expectation of success.
- Variations based on known work in the field.
- Teachings, suggestions, and/or motivations provided in the references themselves.

In particular, the ‘490 Patent discloses a “modular sensor assembly for sensing conditions at a computer rack, such as environmental conditions.” ‘490, Abstract. The ‘490 Patent recognizes the need for efficient cooling of data centers, which requires “detailed temperature information from many different locations.” *See, e.g.*, ‘490, 2:20-27. Thus, the ‘490 Patent seeks to address the need for “a distributed network of sensors that is simple to install on new or existing equipment rack systems, and that provides a low-cost sensor assembly for deploying multiple sensors over a widely distributed area.” ‘490, 2:67-3:4.

A POSITA would have been motivated by several factors, including:

- The need for efficient cooling in a data center comprising multiple racks with varied cooling needs (hence the need for multiple wired sensors).

- The need for sensing conditions, such as environmental conditions, in specific difficult to access locations, such as at a computer rack within a data center;
- The need to efficiently cool computer data centers, including by efficiently cooling zones, regions, sections, or racks within a data center by collecting temperature data from data centers so that the computing equipment can be cooled based on actual cooling requirements.
- The need to develop a distributed network of sensors that is simple to install on new or existing structures or equipment, such as equipment rack systems, and that provides a low cost sensor assembly for deploying multiple sensors over a widely distributed area.
- The need for sensors that are low cost and easy to install.
- A POSITA's knowledge that a plurality of addressable sensors can be interconnected with a common connector wire.
- A POSITA's knowledge that a plurality of addressable sensors can be connected to a central system configured to receive and interpret data from the plurality of sensors.
- A POSITA's knowledge that sensors can be placed in a variety of locations and affixed in those locations in a variety of ways.
- A POSITA's knowledge that a plurality of sensors can be used to sense evolving conditions, such as input and output temperatures.

Indeed, as shown below in this section, and in the corresponding claim charts, each of the prior art references recognizes the need to achieve these objectives and provide solutions similar to those of the '490 Patent. Further, as provided in the claim charts, modular sensor assemblies with flexible bodies and parallel connections were well known. To the extent there are variations among the references in terms of how they achieve common objectives, such variations represent a finite number of alternative approaches that a POSITA would have reasonably understood would succeed. All told, the nature of these problems to be solved would have led a POSITA to incorporate any combination of the finite number of solutions disclosed, available and/or otherwise known with predictable results, an exercise involving nothing more than routine optimization of well-understood principles and components of cooling systems.

For example, Awtrey discloses “devices and methods for monitoring and communicating environmental conditions such as temperature.” Awtrey, ¶0002. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-1. A POSITA would have been motivated to turn to Awtrey, and/or combine it with references directed to similar objectives, for solutions that “efficiently, effectively and accurately measure temperature and other environmental conditions” in multiple settings and locations. Awtrey, ¶0014.

Bauer discloses using an intelligent station with temperature sensors that communicate information through a digital data cable that includes the exemplary elements identified in the corresponding claim chart. Bauer, ¶0133; Chart E-2. A POSITA would have been motivated to turn to Bauer, and/or combine it with references directed to similar objectives, for solutions for monitoring or measuring environmental parameters like temperature and “keep track of the environment for each item [on a shelf] and provide a warning if environmental conditions [a]re out of limits for specific types of items.” Bauer, ¶0139.

Bishop discloses using “an apparatus for providing cool air to electronic module cabinets” that includes the exemplary elements identified in the corresponding claim chart. Bishop, Abstract; Chart E-3. Bishop discloses multiple temperature sensors provided in modules. *Id.*, 0081. A POSITA would have been motivated to turn to Bishop, and/or combine it with references directed to similar objectives, for solutions that promote “reducing costs associated with previous systems that required dedicated sensors.” Bishop, ¶0086.

Burnside discloses “[s]ystems and methods for reducing the number of temperature measurement wires” in multiple sensor systems. Burnside, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-4. A POSITA would have been motivated to turn to Burnside, and/or combine it with references

directed to similar objectives, for solutions that provide a “reduced number of electrical paths, or temperature sensor wires.” Burnside, 2:42-46.

Davis discloses a “real-time, or synchronous, sensor data acquisition system [that] acquires physical characteristics or properties associated with a structure or physical system using a plurality of sensors coupled in series to a single cable.” Davis, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-5. A POSITA would have been motivated to turn to Davis, and/or combine it with references directed to similar objectives, for solutions that “provide a real-time, or synchronous, data acquisition system to acquire data from relatively large structures” and “with simple and inexpensive instrumentation.” Davis, 1:63-2:13.

Depeursinge discloses a “multi-sensor monitoring or measurement system.” Depeursinge, ¶0001. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-6. A POSITA would have been motivated to turn to Depeursinge, and/or combine it with references directed to similar objectives, for solutions that “provide an improved multi-sensor monitoring system by simplifying the attachment of the sensors to their assigned locations and their connection to the management unit, with the dual aim of giving the system great flexibility of use and reducing its cost.” Depeursinge, ¶0004.

Huscher discloses “a device for acquiring signals from sensors.” Huscher, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-7. A POSITA would have been motivated to turn to Huscher, and/or combine it with references directed to similar objectives, for solutions that address “the task of simplifying” sensor assemblies comprised of multiple wired sensors. Huscher, 1:52-54.

Ip discloses “a communication circuit in order to allow one or more users to obtain the status and location information of the servers over a network.” Ip, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-8. A POSITA would have been motivated to turn to Ip, and/or combine it with references directed to similar objectives, for solutions that allow the monitoring of multiple servers in a data center with multiple sensors, including “the locations, e.g. which shelf, bank or cabinet contains the server, and the general conditions, e.g. power supply status, temperature, whether cabinet doors are open or closed, of the servers in order to monitor and service the servers.” Ip, ¶0004.

Judd discloses a “multipoint data collection system us[ing] multiple parallel data buses connecting a central controller to addressable sensor interfaces to permit any sensor to be connected to a central controller over any one of the data buses.” Judd, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-9. A POSITA would have been motivated to turn to Judd, and/or combine it with references directed to similar objectives, for solutions that “provide a bused data collection system wherein the system includes redundant parallel data buses for fault tolerance in the event that any one bus is damaged.” Judd, 2:19-23.

Knutson discloses a “temperature detection and switching assembly comprising a solid state low temperature cut-out, operatively linkable to a remote controller.” Knutson, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-10. A POSITA would have been motivated to turn to Knutson and/or combine it with references directed to similar objectives, for “a temperature detection and switching assembly having improved sensitivity, greatly reduced installation effort, greater operational

flexibility (e.g., no limitation on sensor orientation, no restriction on controller placement, etc.), and improved durability.” Knutson, ¶0010.

Martin discloses “an interconnect module or cassette that connects network components to a sensor component.” Martin, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-11. A POSITA would have been motivated to turn to Martin and/or combine it with references directed to similar objectives, for overcoming problems or concerns associated with expensive circuitry, space constraints and associated time consumption, and “difficult and expensive mechanical routing process[es],” among others. *See* Martin, 1:63-2:33.

McQuoid discloses a “multiple point remote temperature sensing system.” McQuoid, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-12. A POSITA would have been motivated to turn to McQuoid, and/or combine it with references directed to similar objectives, for solutions that improve upon conventional multi-sensor systems that were “lacking in the requisite reliability and have required constant maintenance.” McQuoid, 1:50-2:1.

Sakamaki discloses an “apparatus for preventing temperature rise in a server cabinet.” Sakamaki, ¶0001. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-13. A POSITA would have been motivated to turn to Sakamaki, and/or combine it with references directed to similar objectives, for solutions that “reduce the installation cost.” Sakamaki, ¶0005.

Spitaels discloses “[s]ystems and methods for monitoring power in power distribution systems.” Spitaels, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-14. A POSITA would have been motivated to turn

to Spitaels, and/or combine it with references directed to similar objectives, for solutions related to “monitoring and controlling a power distribution system that has a plurality of circuit branches for providing power to a plurality of devices . . . [,] controlling each of the plurality of devices to operate at a predetermined percentage of maximum power, and means for detecting a value of a characteristic of power provided to each of the plurality of circuit branches . . . [,] detecting air temperature values in a facility containing the power distribution system . . . [, and] “comparing the detected air temperature values with predetermined temperature values, and means for interrupting power to at least one of the plurality of devices when the detected air temperature values exceed the predetermined temperature values.” Spitaels, ¶¶0010-0016.

Townsend discloses a “multidrop network of multichannel, addressable sensing modules (ASM’s), to be embedded within a composite structure, remotely powered, and interrogated by a personal computer through a non-contacting inductive link.” Townsend, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-15. A POSITA would have been motivated to turn to Townsend, and/or combine it with references directed to similar objectives, for solutions that provide an “open network architecture [that] permits the addition or subtraction of various sensing modules, in order to best meet the requirements of a specific application.” Townsend, 3:43-54.

Wong discloses “[a]n automated, flexible and programmable system to update delivery and inventory status for an” assortments of shelves and bins using a variety of “sensors mounted on flexible circuit boards.” Wong, Abstract. Disclosed embodiments include the exemplary elements identified in the corresponding claim chart. *See* Chart E-16. A POSITA would have been motivated to turn to Wong, and/or combine it with references directed to similar objectives, for solutions related to providing status updates regarding remote bins “through the use of sensors, flexible

circuit boards, [and] distributed microcontrollers capable of scanning the sensor information and reporting its status.” Wong, ¶0010.

The prior art Liebert SiteNet Integrator System identified in chart E-17 was a widely known data center environmental control systems used throughout the industry. A POSITA would have known of this solution and understood its features and improvements to achieve objectives relating to integrating easy-to-install wired temperature and humidity sensors in varying locations throughout the data center into a networked based monitoring and control system. Therefore, a POSITA would have been motivated to combine these systems’ known features with references directed to similar objectives.

Furthermore, a POSITA would have been motivated to combine with reasonable expectations of success, based on the disclosures identified therein and/or information that would have been generally known to a POSITA, any of the primary references E-1 *et. seq.* charted above with: (1) any other such E-1 *et seq.* primary reference(s); (2) any reference disclosed in the section above for specific concepts claimed in the patent; (3) any statements made in the intrinsic record of the patent, and/or (4) the knowledge of one of ordinary skill in the art. By way of example and without prejudice to any other combinations of references, Vertiv provides the following exemplary combinations, which would obviate the invention of the ‘490 Patent.

### Exemplary Reference Combinations

| Reference | In Combination With                                                                                                                                       | Claims               |
|-----------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Awtrey    | Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong  | 1-4, 6-10, 11-27, 28 |
| Bauer     | Awtrey<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |

| Reference | In Combination With                                                                                                                                      | Claims               |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Bishop    | Awtrey<br>Bauer<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |
| Burnside  | Awtrey<br>Bauer<br>Bishop<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong   | 1-4, 6-10, 11-27, 28 |

| Reference   | In Combination With                                                                                                                                       | Claims               |
|-------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Davis       | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |
| Depeursinge | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong       | 1-4, 6-10, 11-27, 28 |

| Reference | In Combination With                                                                                                                                          | Claims               |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Huscher   | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong      | 1-4, 6-10, 11-27, 28 |
| Ip        | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |

| Reference | In Combination With                                                                                                                                        | Claims               |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Judd      | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |
| Knutson   | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong    | 1-4, 6-10, 11-27, 28 |

| Reference | In Combination With                                                                                                                                      | Claims               |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Martin    | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |
| McQuoid   | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong  | 1-4, 6-10, 11-27, 28 |

| Reference | In Combination With                                                                                                                                    | Claims               |
|-----------|--------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Sakamaki  | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |
| Spitaels  | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |

| Reference | In Combination With                                                                                                                                        | Claims               |
|-----------|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Townsend  | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Wong     | 1-4, 6-10, 11-27, 28 |
| Wong      | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend | 1-4, 6-10, 11-27, 28 |

| Reference                                       | In Combination With                                                                                                                                                | Claims               |
|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Liebert SiteNet Integrator with SiteNet Sensors | Awtrey<br>Bauer<br>Bishop<br>Burnside<br>Davis<br>Depeursinge<br>Huscher<br>Ip<br>Judd<br>Knutson<br>Martin<br>McQuoid<br>Sakamaki<br>Spitaels<br>Townsend<br>Wong | 1-4, 6-10, 11-27, 28 |

#### VI. P.R. 3-4(D) - INVALIDITY UNDER 35 U.S.C. § 112

Pursuant to P.R. 3-3(d), and subject to Vertiv’s reservation of rights, Vertiv provides the following contentions relating to the invalidity of the Asserted Claims under 35 U.S.C. § 112.<sup>20</sup> The Asserted Claims of the Asserted Patents are invalid for lack of written description and/or enablement under 35 U.S.C. § 112, ¶1 and/or for failing to comply with the definiteness requirements of 35 U.S.C. § 112, ¶2. Vertiv’s contentions that the following claims are invalid under 35 U.S.C. § 112 are made in the alternative, and do not constitute, and should not be interpreted as, admissions regarding the construction or scope of the Asserted Claims, or that any of the Asserted Claims are not anticipated or rendered obvious by any prior art.

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<sup>20</sup> Based on Plaintiff’s contention as to the priority dates of the Asserted Claims, Vertiv applies pre-AIA 35 U.S.C. § 112 here. However, to the extent that any other form of the patent statute (e.g., post-AIA) regarding invalidity for indefiniteness, non-enablement, or lack of written description applies, Vertiv’s invalidity contentions and analysis apply just the same.

Vertiv sets forth exemplary limitations that are invalid for failing to comply with these requirements. The disclosures below do not attempt to identify all recitations of a given term or phrase in each claim. Where Vertiv has identified an instance of a term, phrase, or limitation in a particular claim that renders the claim invalid under Section 112, Vertiv contends that every instance of the challenged term, phrase, or limitation, or similar term, phrase or limitation, in the claim renders the claim invalid for the same reasons. Where a particular claim term, phrase, or limitation is identified, Vertiv contends that the identified term, phrase, or limitation, as well as the surrounding claim language in context as recited in the applicable claim, suffer from the identified Section 112 defect. Although complete phrases are sometimes identified below, Vertiv reserves the right to argue any word or sub-phrase within a larger phrase also violates the written description, enablement, and/or definiteness requirements of 35 U.S.C. § 112. Furthermore, where a particular claim term, phrase, or limitation is identified with respect to one or more particular claims, Vertiv contends that each other Asserted Claim that recites the same claim term, phrase, or limitation, or similar claim term, phrase, or limitation, is subject to the same Section 112 defect. Vertiv contends that each dependent claim that depends from an independent claim that is invalid, as identified below, is also invalid for the same reasons.

In some instances, grounds upon which the Asserted Claims are invalid for failure to meet the requirements of 35 U.S.C. §112 may be based upon the apparent constructions being employed by Plaintiff. These contentions shall not be construed as an admission that any claim construction advanced by Vertiv in this case is in any way inconsistent, flawed, or erroneous. Nor should these contentions prevent Vertiv from advancing claim construction and/or non-infringement positions in lieu of, or in addition to, these invalidity positions. Further these contentions shall not be construed as an admission of acquiescence to Plaintiff's purported construction of the claim language or of other

positions advanced by Plaintiff during the course of this litigation. Vertiv's invalidity contentions under 35 U.S.C. §112 may depend, in part, on the Court's claim construction as well as Plaintiff's alleged scope of the Asserted Claims. Consequently, Vertiv identifies only the issues under 35 U.S.C. §112 of which it is presently aware.

Vertiv's investigation of the Asserted Patents is ongoing, and Vertiv reserves the right to amend or supplement these disclosures based on further investigation and in a manner consistent with the Federal Rules of Civil Procedure, the Local Patent Rules for the Eastern District of Texas, and the Docket Control Order, or otherwise in accordance with any order or direction of this Court or agreement of the parties. These contentions are being proffered without expert disclosure or discovery. Further, Plaintiff's Infringement Contentions fail to provide sufficient detail to fully understand its proposed application of the Asserted Claims, and Vertiv reserves the right to assert additional grounds for invalidity under 35 U.S.C. § 112 in response to Plaintiff's claim interpretations. Vertiv also reserves the right to supplement, modify, or otherwise amend these grounds for invalidity under 35 U.S.C. § 112 based on the Court's claim construction rulings or opinions or the parties' positions or arguments taken in connection with the claim construction process. Consequently, Vertiv only identifies the issues under 35 U.S.C. § 112 of which they are presently aware. A more detailed basis for Vertiv's indefiniteness, enablement, and/or written description defenses will be set forth in Vertiv's claim construction briefing and/or expert reports on invalidity and/or in Motion[s] for Summary Judgment of Invalidity, to be served in accordance with the Court's Docket Control Order.

Subject to Vertiv's reservation of rights, Vertiv identifies the following indefiniteness, written description, and enablement grounds with respect to the following Asserted Claims. The following does not purport to list every claim limitation to the foregoing disclosed grounds.

## A. Legal Principals

### 1. Indefiniteness

The claims of a patent must “particularly point[] out and distinctly claim[] the subject matter which the inventor or a joint inventor regards as the invention.” 35 U.S.C. § 112, second paragraph. Claims are indefinite if they, “read in light of the specification delineating the patent, and the prosecution history, fail to inform, with reasonable certainty, those skilled in the art about the scope of the invention.” *Nautilus, Inc. v. Biosig Instruments, Inc.*, 572 U.S. 898, 901 (2014). “[I]t cannot be sufficient that a court can ascribe some meaning to a patent’s claim; the definiteness inquiry trains on the understanding of a skilled artisan at the time of the patent application, not that of a court viewing matters post hoc.” *Id.* at 2130.

In evaluating indefiniteness, courts “look to the patent record—the claims, specification, and prosecution history—to ascertain if they convey to one of skill in the art with reasonable certainty the scope of the invention claimed.” *Teva Pharms. USA, Inc. v. Sandoz, Inc.*, 789 F.3d 1335, 1341 (Fed. Cir. 2015). Although “some modicum of uncertainty” is allowed to ensure “the appropriate incentives for innovation,” the claims nonetheless must be “precise enough to afford clear notice of what is claimed, thereby appris[ing] the public of what is still open to them.” *Nautilus*, 572 U.S. at 899 (alteration in original) (citations and internal quotation marks omitted). Ultimately, the indefiniteness inquiry is not whether “a court can ascribe *some* meaning to a patent’s claims,” but rather whether the claims provide “objective boundaries.” *Interval Licensing LLC v. AOL Inc.*, 766 F.3d 1364, 1371 (Fed. Cir. 2014) (quotation omitted) (discussing *Nautilus*). Claim scope cannot depend solely on the unrestrained, subjective opinion of a particular individual purported to be practicing the invention. *Datamize LLC v. Plumtree Software, Inc.*, 417 F.3d 1342, 1350 (Fed. Cir. 2005).

A claim term can be indefinite based on multiple grounds ranging from the substantive concerns to unresolvable drafting errors, each of which can be fatal to the validity of the claims as a matter of law. For example, the Federal Circuit has repeatedly held that apparatus claims that contain method claim limitations are indefinite because it is impossible to determine when direct infringement occurs. *See, e.g., Rembrandt Data Techs., LP v. AOL, LLC*, 641 F.3d 1331, 1339-40 (Fed. Cir. 2723) (an independent claim that recited both an apparatus and a method of using that apparatus was indefinite, as was its dependent claims); *IPXL Holdings v. Amazon.com*, 430 F.3d 1377, 1384 (Fed. Cir. 2005); *In re Katz Interactive Call Processing Patent Litigation*, 639 F.3d 1303, 1318 (Fed. Cir. 2723) (mixed claims “create confusion as to when direct infringement occurs because they are directed both to systems and to actions performed by” users). Claim terms that lack antecedent basis are indefinite. *See, e.g., Allen Eng’g Corp. v. Bartell Indus., Inc.*, 299 F.3d 1336, 1348-49 (Fed. Cir. 2002) (claim ending in the middle of a claim limitation was indefinite because it was “impossible to discern the scope of such a truncated limitation”). Furthermore, means-plus-function claims, which invoke 35 U.S.C. § 112 ¶6, may be invalid as indefinite where a patent owner has failed to disclose adequate corresponding structure linked to the recited claim functionality. *Noah Sys., Inc. v. Intuit Inc.*, 675 F.3d 1302, 1311-12 (Fed. Cir. 2012).

Furthermore, when a claim includes a term of degree, such as “substantially” or “essentially,” the patent must provide “some standard for measuring” that degree. *See Exmark Mfg. Co. v. Briggs & Stratton Power Prods. Group, LLC*, 879 F.3d 1332, 1346 (Fed. Cir. 2018). When a claim includes a term of degree, the patent “must provide ‘some standard for measuring that degree’ such that the claim language provides ‘enough certainty to one of skill in the art when read in the context of the invention.’” *GE Lighting Solutions, LLC v. Lights of Am., Inc.*, 663 Fed. Appx. 938, 940 (Fed. Cir. 2016) (alteration in original) (citation omitted); *see also Interval*

*Licensing LLC*, 766 F.3d at 1370. For terms of degree, “the patent must provide that additional information in the form of ‘objective boundaries.’” *GE Lighting Solutions*, 663 Fed. Appx. at 940 (citation omitted). And the Federal Circuit’s “case law is clear that the objective boundaries requirement applies to terms of degree.” *Berkheimer v. HP Inc.*, 881 F.3d 1360, 1364 (Fed. Cir. 2018). A claim may also be indefinite if its language “‘might mean several different things’ and the patent itself identifies ‘no informed and confident choice . . . among the contending definitions.’” *Otsuka Pharm. Co., Ltd. v. Torrent Pharm. Ltd.*, 151 F. Supp. 3d 525, 545 (D.N.J. 2015) (quoting *Nautilus*, 135 S. Ct. at 2130 n.8).

Claims that depend from claims that are indefinite inherit the indefiniteness of the claims from which they depend and are therefore also indefinite.

## **2. Written Description**

The first paragraph of 35 U.S.C. § 112 requires a patent specification to contain “a written description of the invention.” The written description must “reasonably convey[] to those skilled in the art that the inventor had possession of the claimed subject matter as of the filing date.” *Ariad Pharms., Inc. v. Eli Lilly & Co.*, 598 F.3d 1336, 1350 (Fed. Cir. 2010) (*en banc*) (citation omitted). If the claimed invention does not appear in the specification, the claim fails regardless of whether one of skill in the art could make or use the claimed invention. *See id.* at 1348. Establishing possession as of the filing date is crucial as “[t]he purpose of the written description requirement is to prevent an applicant from later asserting that he invented that which he did not; the applicant for a patent is therefore required to ‘recount his invention in such detail that his future claims can be determined to be encompassed within his original creation.’” *Amgen Inc. v. Hoechst Marion Roussel, Inc.*, 314 F.3d 1313, 1330 (Fed. Cir. 2003). For example, a written description is inadequate where the claim in question exceeds the scope of what the patent discloses by omitting an attribute of the described invention from the limitations, thereby over-extending the reach of the claim. *ICU Med.*,

*Inc. v. Alaris Med. Sys., Inc.*, 558 F.3d 1368, 1377-78 (Fed. Cir. 2009). It is also insufficient that one of ordinary skill in the art might recognize that the disclosure could be modified in light of the prior art to arrive at the claimed subject matter. *Id.* at 1378-79 (citing *Eli Lilly*, 119 F.3d at 1566-67 (explaining that “an applicant complies with the written description requirement by describing the invention, with all its claimed limitations, *not that which makes it obvious*.” (internal quotation marks omitted, emphasis added))).

Claims that depend from claims that are invalid for lack of written description support inherit the deficiencies of the claims from which they depend and are also invalid.

### **3. Enablement**

The enablement requirement of § 112 is separate from and in addition to the written description requirement. *Ariad*, 598 F.3d at 1344. To meet the enablement requirement, the specification must enable a POSITA to “make and use the invention” across the full scope of the claim, “without undue experimentation.” *In re Wands*, 858 F.2d 731, 737 (Fed. Cir. 1988); *see Wyeth & Cord/s Corp. v. Abbott Labs.*, 720 F.3d 1380, 1384 (Fed. Cir. 2013); *see also LizardTech, Inc. v. Earth Res. Mapping, Inc.*, 424 F.3d 1336, 1344-45 (Fed. Cir. 2005) (A patentee must “describe the manner and process of making and using the invention so as to enable a person of skill in the art to make and use the full scope of the invention without undue experimentation.”). When “the teachings set forth in the specifications provide no more than a ‘plan’ or ‘invitation’ for those of skill in the art to experiment,” the claims are not enabled. *Enzo Biochem, Inc. v. Calgene, Inc.*, 188 F.3d 1362, 1374 (Fed. Cir. 1999). To determine whether “undue” experimentation is required, a court considers: “(1) the quantity of experimentation necessary, (2) the amount of direction or guidance presented, (3) the presence or absence of working examples, (4) the nature of the invention, (5) the state of the

prior art, (6) the relative skill of those in the art, (7) the predictability or unpredictability of the art, and (8) the breadth of the claims.” *Wands*, 858 F.2d at 737.

Claims that depend from claims that are invalid for lack of enablement inherit the deficiencies of the claims from which they depend and are also invalid.

## **B. Indefiniteness Contentions**

Vertiv contends that the Asserted Claims fail to particularly point out and distinctly claim the subject matter that the listed inventor regarded as his invention. Vertiv contends that several Asserted Claims are invalid for indefiniteness under § 112 ¶2 because they fail to inform, with reasonable certainty, those skilled in the art about the scope of the claimed invention. *See Nautilus, Inc. v. Biosig Instruments, Inc.*, 134 S. Ct. 2120 (2014). Vertiv provides below an identification of terms or phrases in Asserted Claims that render the Asserted Claims, at least as apparently construed by Valtrus in its Infringement Contentions as discussed above, invalid pursuant to 35 U.S.C. § 112 ¶2 as indefinite.

### **1. '277 Patent**

The following terms or phrases of the Asserted Claims of the '277 patent are indefinite. Each such term or phrase lacks adequate precision or objective boundaries to afford clear notice of what is claimed and/or requires the exercise of subjective judgment. The specification and prosecution history do not adequately describe the term or phrase such that a POSITA would understand with reasonable certainty the scope of the limitation[s] incorporating such term or phrase.

- “empirical atmospheric map” (Claims 1, 6, 10, 11)
- “using software for processing input from said sensing step and for producing output in the form of said empirical atmospheric map” (Claim 1)
- “template atmospheric map[s]” (Claims 1, 11, 21)

- “identifying pattern differentials between said empirical and template atmospheric maps” (Claim 1)
- “using thermal mapping software to process input from said sensing step and to produce output in the form of said empirical atmospheric map” (Claim 6)
- “empirical thermal map” (Claims 12, 17)
- “template thermal map” (Claim 12)
- “using software for processing input from said sensing step and for producing output in the form of said empirical thermal map” (Claim 12)
- “identifying pattern differentials between said empirical and template thermal maps” (Claim 12)
- “varying at least one of the quantity, quality, and distribution of said conditioned fluid in accord with said determining step” (Claims 2, 13)
- “correlating at least one of the location, size, and intensity of said pattern differentials to at least one of the location of said plurality of vents, the speed of said at least one blower, and the capacity of said at least one source of conditioned air” (Claims 4, 15)
- “using thermal mapping software to process input from said sensing step and to produce output in the form of said empirical thermal map, wherein said thermal mapping software triangulates locations of hot spots” (Claim 17)
- “using pattern recognition software” (Claims 7, 18)
- “generating a map composed of temperature contours that define various isothermal regions” (Claims 10, 20)
- “performing at least one of extrapolation and triangulation to determine locations of one or more hot spots” (Claims 11, 21)

## 2. ‘287 Patent

The following terms or phrases of the Asserted Claims of the ‘287 patent are indefinite. Each such term or phrase lacks adequate precision or objective boundaries to afford clear notice of what is claimed and/or requires the exercise of subjective judgment. The specification and prosecution history do not adequately describe the term or phrase such that a POSITA would

understand with reasonable certainty the scope of the limitation[s] incorporating such term or phrase.

- “supplying said plurality of heat exchanger units with cooling fluid from an air conditioning unit” (Claim 1)
- “controlling at least one of the temperature of said cooling fluid and said air delivery by said plurality of heat exchanger units to said room” (Claim 1)
- “controlling said air delivery by said plurality of heat exchanger units comprises individually manipulating a mass flow rate of the cooling fluid supplied to each of the plurality of heat exchanger units” (Claim 1)
- “controlling at least one of a temperature of said cooling fluid and said air delivery to said room comprises varying an output of said air conditioning unit to control the temperature of said cooling fluid” (Claim 2)
- “increasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being below said predetermined range” (Claim 5)
- “decreasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being above said predetermined range” (Claim 6)
- “metering the flow of cooling fluid through each of said plurality of heat exchanger units with a plurality of valves positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units” (Claim 7)
- “metering the flow of cooling fluid through said plurality of heat exchanger units with a plurality of pumps positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units” (Claim 8)
- “manipulating a mass flow rate of the cooling fluid supplied to the plurality of heat exchanger units in substantially independent manners with respect to each of the plurality of heat exchanger units” (Claim 9)

In addition, the following phrase of the Asserted Claims of the ‘287 patent create a mix of apparatus and method limitations and result in claim indefiniteness because it is impossible to determine when direct infringement occurs:

- “providing a plurality of heat exchanger units” (Claim 1)

### 3. ‘179 Patent

The following terms or phrases of the Asserted Claims of the ‘179 patent are indefinite. Each such term or phrase lacks adequate precision or objective boundaries to afford clear notice of what is claimed and/or requires the exercise of subjective judgment. The specification and prosecution history do not adequately describe the term or phrase such that a POSITA would understand with reasonable certainty the scope of the limitation[s] incorporating such term or phrase.

- “controllable partition” (Claim 1)
- “a zone of said data center” (Claim 1)
- “manipulating said controllable partition to vary said supply of said cooling fluid” (Claims 1, 9)
- “varying an output of said cooling device” (Claim 3)
- “increasing the supply of said cooling fluid to said zone in response to said at least one associated rack having a measured temperature that exceed said predetermined minimum set point temperature” (Claim 4)
- “decreasing an output of said cooling fluid from said cooling device in response to said decrease in cooling fluid supply to said zone exceeding said increase in cooling fluid supply to said zone” (Claim 6)
- “numerical modeling of a temperature distribution and flow characteristics of the data center” (Claim 10)
- “manipulating said cooling device in response to said numerical modeling” (Claim 10)
- “increasing an output of said cooling fluid from said cooling device in response to said decrease in cooling fluid supply to said zone falling below said increase in cooling fluid supply to said zone” (Claim 13)
- “implementing said numerical modeling to correlate at least two of temperature, velocity and pressure of said cooling fluid and power draw of at least one of said zone and said racks with said data center to thereby infer a thermal condition throughout said data center” (Claim 15)

#### 4. '870 Patent

The following terms or phrases of the Asserted Claims of the '870 patent are indefinite. Each such term or phrase lacks adequate precision or objective boundaries to afford clear notice of what is claimed and/or requires the exercise of subjective judgment. The specification and prosecution history do not adequately describe the term or phrase such that a POSITA would understand with reasonable certainty the scope of the limitation[s] incorporating such term or phrase.

- “calculating indices of air re-circulation for the one or more heat dissipating devices based upon the detected inlet temperatures, outlet temperatures and supplied air temperatures” (Claim 1)
- “varying a flow field setting of air” (Claim 1)
- “determining whether the indices of air re-circulation has changed in response to the varies flow field settings” (Claim 1)
- “evaluating the one or more components based upon chances in the indices of air recirculation” (Claim 1)
- “designing a substantially optimized layout of the date center” (Claim 7)
- “determining various flow field settings” (Claim 8)
- “determining a level of influence of at least one of the one or more CRAC units in response to a determination that the at least one of the one or more heat dissipating devices is influenced by at least one of the one or more CRAC units” (Claim 10)
- “varying one or more of the flow field settings in response to the indices of air re-circulation being substantially the same for the various one or more flow field settings for the at least one of the one or more heat dissipating devices” (Claim 11)
- “determining the air re-circulation index of the at least one of the one or more heat dissipating devices” (Claim 11)
- “determining the level of change in the air re-circulation index of at least one of the one or more heat dissipating devices in response to a determination that the air re-circulation index of the at least one of the one or more heat dissipating devices has changed” (Claim 12)

- “correlating the level of change in the air re-circulation index of the at least one of the one or more heat dissipating devices to an airflow characteristic of the at least one of the one or more heat dissipating devices” (Claim 12)

## 5. ‘490 Patent

The following terms or phrases of the Asserted Claims of the ‘490 patent are indefinite. Each such term or phrase lacks adequate precision or objective boundaries to afford clear notice of what is claimed and/or requires the exercise of subjective judgment. The specification and prosecution history do not adequately describe the term or phrase such that a POSITA would understand with reasonable certainty the scope of the limitation[s] incorporating such term or phrase.

- “an elongate flexible body” (Claim 1)
- “the elongate body comprises a substantially rigid outer covering” (Claim 4)
- “a flexible elongate body” (Claim 11)
- “substantially flat flexible conductors” (Claim 25)
- “spatially-correlated environmental conditions” (Claim 26)
- “an elongate flexible sensor body” (Claim 28)

These are merely examples and are not intended to be limiting. Vertiv reserves all rights to amend its Invalidity Contentions under 35 U.S.C. § 112 ¶2 including after an Asserted Claim is ultimately construed by the Court, in response to any interpretation of an Asserted Claim embodied in Valtrus’ infringement positions, and/or to account for any changes in the law concerning indefiniteness. Vertiv additionally reserves the right to provide additional explanation and/or argument for their Invalidity Contentions under § 112 ¶2 including, for example, based on expert testimony. Plaintiff has not yet revealed its proposed constructions for the terms in these patents. Once Plaintiff has identified its proposed constructions, Plaintiff’s constructions may render certain terms indefinite. Vertiv further expressly reserves the right to raise and address, once the

parties have exchanged claim terms and constructions, any indefiniteness issues arising out of those exchanges.

### **C. Written Description Contentions**

Vertiv contends that the Asserted Claims are invalid because the Asserted Patents do not include sufficient written description of the purported inventions claimed therein, and of the manner and process of making and using said inventions, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which the inventions pertain, or which they are most nearly connected, to make and use any of the claimed inventions. 35 U.S.C. § 112 ¶1.

Vertiv contends that the specifications to which priority is sought fail to describe the full scope of the claimed inventions in sufficient detail such that one skilled in the art could reasonably conclude that the inventor had possession of the claimed invention as of the filing dates to which the Asserted Patents claim priority. The specifications of the Asserted Patents fail to describe the claimed inventions in a manner understandable to one of ordinary skill in the art and fail to show that the listed inventors actually invented the claimed inventions. Accordingly, each of the Asserted Claims is invalid for lack of adequate written description under 35 U.S.C. § 112 ¶1.

Vertiv provides below an identification of terms or phrases in Asserted Claims that lack written description support in the specification of the corresponding Asserted Patent, at least as apparently construed by Valtrus in its Infringement Contentions as discussed above, rendering the Asserted Claims invalid pursuant to 35 U.S.C. § 112 ¶1.

#### **1. '277 Patent**

The Asserted Claims of the '277 patent are invalid for failure to comply with the written description and/or enablement requirements of Section 112 ¶1.

The ‘277 patent specification is narrowly drawn to a specific disclosed method and system for controlling atmospheric conditions within an air-conditioned building. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘277 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘277 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘277 patent overly broad in scope and would extend those claims well beyond the purported inventions described in the specification of the ‘277 patent.

The specification of the ‘277 patent does not provide sufficient written description or enablement of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘277 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                                                    | Asserted Claims |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “generating an empirical atmospheric map from the results of said sensing step using software for processing input from said sensing step and for producing output in the form of said empirical atmospheric map”             | 1               |
| “comparing said empirical atmospheric map to a template atmospheric map”                                                                                                                                                      | 1               |
| “identifying pattern differentials between said empirical and template atmospheric maps”                                                                                                                                      | 1               |
| “generating an empirical thermal map of said data center from the results of said sensing step using software for processing input from said sensing step and for producing output in the form of said empirical thermal map” | 12              |

| Claim Term                                                                                                                                                                                                                                                       | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “comparing said empirical thermal map to a template thermal map”                                                                                                                                                                                                 | 12              |
| “identifying pattern differentials between said empirical and template thermal maps”                                                                                                                                                                             | 12              |
| “correlating at least one of the location, size, and intensity of said pattern differentials to at least one of the location of said plurality of vents, the speed of said at least one blower, and the capacity of said at least one source of conditioned air” | 4, 15           |
| “using thermal mapping software to process input from said sensing step and to produce output in the form of said empirical atmospheric map”                                                                                                                     | 6, 17           |
| “using pattern recognition software”                                                                                                                                                                                                                             | 7, 18           |
| “generating a map composed of temperature contours that define various isothermal regions”                                                                                                                                                                       | 10, 20          |
| “performing at least one of extrapolation and triangulation to determine locations of one or more hot spots”                                                                                                                                                     | 11, 21          |

## 2. ‘287 Patent

The Asserted Claims of the ‘287 patent are invalid for failure to comply with the written description and/or enablement requirements of Section 112 ¶1.

The ‘287 patent specification is narrowly drawn to a specific disclosed method and system for cooling a room. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘287 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘287 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘287 patent overly

broad in scope and would extend those claims well beyond the purported inventions described in the specification of the '287 patent.

The specification of the '287 patent does not provide sufficient written description or enablement of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the '287 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                                                                                                         | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “supplying said plurality of heat exchanger units with cooling fluid from an air conditioning unit”                                                                                                                                                                                | 1               |
| “individually manipulating a mass flow rate of the cooling fluid supplied to each of the plurality of heat exchanger units”                                                                                                                                                        | 1               |
| “varying an output of said air conditioning unit to control the temperature of said cooling fluid”                                                                                                                                                                                 | 2               |
| “increasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being below said predetermined range”                                                                                                                          | 5               |
| “decreasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being above said predetermined range”                                                                                                                          | 6               |
| “metering the flow of cooling fluid through each of said plurality of heat exchanger units with a plurality of valves positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units” | 7               |
| “metering the flow of cooling fluid through said plurality of heat exchanger units with a plurality of pumps positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units”          | 8               |
| “manipulating a mass flow rate of the cooling fluid supplied to the plurality of heat exchanger units in substantially independent                                                                                                                                                 | 9               |

| Claim Term                                                             | Asserted Claims |
|------------------------------------------------------------------------|-----------------|
| manners with respect to each of the plurality of heat exchanger units” |                 |

### 3. ‘179 Patent

The Asserted Claims of the ‘179 patent are invalid for failure to comply with the written description and/or enablement requirements of Section 112 ¶1.

The ‘179 patent specification is narrowly drawn to a specific disclosed method and system for cooling a plurality of racks in a data center. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in the written specification and prosecution history of the ‘179 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘179 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘179 patent overly broad in scope and would extend those claims well beyond the purported inventions described in the specification of the ‘179 patent.

The specification of the ‘179 patent does not provide sufficient written description or enablement of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘179 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                              | Asserted Claims |
|-----------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “opening a controllable partition configured to vary a supply of cooling fluid within a zone of said data center”                       | 1               |
| “manipulating said controllable partition to vary said supply of said cooling fluid to said zone in response to said sensed temperature | 1               |

| Claim Term                                                                                                                                                                                                                   | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| being outside said predetermined temperature range”                                                                                                                                                                          |                 |
| “increasing the supply of said cooling fluid to said zone in response to said at least one associated rack having a measured temperature that exceed said predetermined minimum set point temperature”                       | 4               |
| “decreasing an output of said cooling fluid from said cooling device in response to said decrease in cooling fluid supply to said zone exceeding said increase in cooling fluid supply to said zone”                         | 6               |
| “manipulating said controllable partition to vary said supply of said cooling fluid to said zone in response to at least one of said sensed and received temperatures being outside of said predetermined temperature range” | 9               |
| “increasing an output of said cooling fluid from said cooling device in response to said decrease in cooling fluid supply to said zone falling below said increase in cooling fluid supply to said zone”                     | 13              |

#### 4. ‘870 Patent

The Asserted Claims of the ‘870 patent are invalid for failure to comply with the written description and/or enablement requirements of Section 112 ¶1.

The ‘870 patent specification is narrowly drawn to a specific method for evaluating components in a data center. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘870 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘870 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the

‘870 patent overly broad in scope and would extend those claims well beyond the purported inventions described in the specification of the ‘870 patent.

The specification of the ‘870 patent does not provide sufficient written description or enablement of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘870 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “calculating indices of air re-circulation for the one or more heat dissipating devices based upon the detected inlet temperatures, outlet temperatures and supplied air temperatures”                                                                                                                                                                                                                                                                                                               | 1               |
| “determining whether the indices of air re-circulation has changed in response to the varied flow field settings”                                                                                                                                                                                                                                                                                                                                                                                    | 1, 8, 11        |
| “determining a level of influence of at least one of the one or more CRAC units in response to a determination that the at least one of the one or more heat dissipating devices is influenced by at least one of the one or more CRAC units.”                                                                                                                                                                                                                                                       | 10              |
| “determining the level of change in the air re-circulation index of at least one of the one or more heat dissipating devices in response to a determination that the air re-circulation index of the at least one of the one or more heat dissipating devices has changed; correlating the level of change in the air re-circulation index of at least one of the one or more heat dissipating devices to an airflow characteristic of the at least one of the one or more heat dissipating devices” | 12              |

## 5. ‘490 Patent

The Asserted Claims of the ‘490 patent are invalid for failure to comply with the written description and/or enablement requirements of Section 112 ¶1.

The ‘490 patent specification is narrowly drawn to a specific sensor apparatus for sensing conditions at a computer rack. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘490 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘490 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘490 patent overly broad in scope and would extend those claims well beyond the purported inventions described in the specification of the ‘490 patent.

The specification of the ‘490 patent does not provide sufficient written description or enablement of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘490 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                       | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “an elongate flexible body”                                                                                                                                      | 1               |
| “a plurality of addressable sensors, disposed along the body and interconnected to a common connector wire”                                                      | 1               |
| “a flexible elongate body”                                                                                                                                       | 11              |
| “a plurality of addressable sensors, disposed along the elongate body of the modular sensor assembly, and interconnected in parallel to a common connector wire” | 11              |
| “an elongate flexible sensor body”                                                                                                                               | 28              |
| “a plurality of addressable sensors connected in parallel to a common connector wire”                                                                            | 28              |
| “a connector board, associated with the rack body, interconnected to the connector wire and to a central computer system”                                        | 28              |

These are merely examples and are not intended to be limiting. Vertiv reserves all rights to amend its Invalidity Contentions under 35 U.S.C. § 112 ¶1 including after an Asserted Claim is ultimately construed by the Court, in response to any interpretation of an Asserted Claim embodied in Valtrus' infringement positions, and/or to account for any changes in the law concerning written description. Vertiv additionally reserves the right to provide additional explanation and/or argument for its Invalidity Contentions under § 112 ¶1 including, for example, based on expert testimony. Plaintiff has not yet revealed its proposed constructions for the terms in these patents. Once Plaintiff has identified its proposed constructions, Plaintiff's constructions may render certain terms unsupported by adequate written description. Vertiv further expressly reserves the right to raise and address, once the parties have exchanged claim terms and constructions, any written description issues arising out of those exchanges.

#### **D. Enablement Contentions**

Vertiv contends that, at the time of Valtrus' claimed priority date, the patent applications to which Valtrus claims priority did not enable one of ordinary skill in the art to make and use the full scope of the claimed inventions without undue experimentation. Accordingly, each of the Asserted Claims is invalid for lack of enablement under 35 U.S.C. § 112 ¶1.

For example, the specification of the Asserted Patents does not provide sufficient enablement of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims in which they appear (and any claims depending therefrom) invalid.

##### **1. '277 Patent**

The Asserted Claims of the '277 patent are invalid for failure to comply with the enablement requirement of Section 112 ¶1.

The ‘277 patent specification is narrowly drawn to a specific disclosed method and system for controlling atmospheric conditions within an air-conditioned building. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘277 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘277 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘277 patent overly broad in scope and would extend those claims well beyond the purported inventions enabled by the specification of the ‘277 patent.

The specification of the ‘277 patent does not provide an enabling disclosure of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘277 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                                                    | Asserted Claims |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “generating an empirical atmospheric map from the results of said sensing step using software for processing input from said sensing step and for producing output in the form of said empirical atmospheric map”             | 1               |
| “comparing said empirical atmospheric map to a template atmospheric map”                                                                                                                                                      | 1               |
| “identifying pattern differentials between said empirical and template atmospheric maps”                                                                                                                                      | 1               |
| “generating an empirical thermal map of said data center from the results of said sensing step using software for processing input from said sensing step and for producing output in the form of said empirical thermal map” | 12              |
| “comparing said empirical thermal map to a template thermal map”                                                                                                                                                              | 12              |

| Claim Term                                                                                                                                                                                                                                                       | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “identifying pattern differentials between said empirical and template thermal maps”                                                                                                                                                                             | 12              |
| “correlating at least one of the location, size, and intensity of said pattern differentials to at least one of the location of said plurality of vents, the speed of said at least one blower, and the capacity of said at least one source of conditioned air” | 4, 15           |
| “using thermal mapping software to process input from said sensing step and to produce output in the form of said empirical atmospheric map”                                                                                                                     | 6, 17           |
| “using pattern recognition software”                                                                                                                                                                                                                             | 7, 18           |
| “generating a map composed of temperature contours that define various isothermal regions”                                                                                                                                                                       | 10, 20          |
| “performing at least one of extrapolation and triangulation to determine locations of one or more hot spots”                                                                                                                                                     | 11, 21          |

## 2. ‘287 Patent

The Asserted Claims of the ‘287 patent are invalid for failure to comply with the enablement requirement of Section 112 ¶1.

The ‘287 patent specification is narrowly drawn to a specific disclosed method and system for cooling a room. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘287 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘287 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘287 patent overly

broad in scope and would extend those claims well beyond the purported inventions enabled by the specification of the '287 patent.

The specification of the '287 patent does not provide an enabling disclosure of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the '287 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                                                                                                         | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “supplying said plurality of heat exchanger units with cooling fluid from an air conditioning unit”                                                                                                                                                                                | 1               |
| “individually manipulating a mass flow rate of the cooling fluid supplied to each of the plurality of heat exchanger units”                                                                                                                                                        | 1               |
| “varying an output of said air conditioning unit to control the temperature of said cooling fluid”                                                                                                                                                                                 | 2               |
| “increasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being below said predetermined range”                                                                                                                          | 5               |
| “decreasing said cooling fluid temperature in response to a sum of the sensed temperatures at one or more locations being above said predetermined range”                                                                                                                          | 6               |
| “metering the flow of cooling fluid through each of said plurality of heat exchanger units with a plurality of valves positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units” | 7               |
| “metering the flow of cooling fluid through said plurality of heat exchanger units with a plurality of pumps positioned along respective cooling fluid lines configured to channel cooling fluid from the air conditioning unit to the plurality of heat exchanger units”          | 8               |
| “manipulating a mass flow rate of the cooling fluid supplied to the plurality of heat exchanger units in substantially independent manners with respect to each of the plurality of heat exchanger units”                                                                          | 9               |

### 3. '179 Patent

The Asserted Claims of the '179 patent are invalid for failure to comply with the enablement requirement of Section 112, ¶1.

The '179 patent specification is narrowly drawn to a specific disclosed method and system for cooling a plurality of racks in a data center. Based on Vertiv's understanding of Valtrus's Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the '179 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the '179 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus' apparent claim constructions render the Asserted Claims of the '179 patent overly broad in scope and would extend those claims well beyond the purported inventions enabled by the specification of the '179 patent.

The specification of the '179 patent does not provide an enabling disclosure of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the '179 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                             | Asserted Claims |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| "opening a controllable partition configured to vary a supply of cooling fluid within a zone of said data center"                                                                                      | 1               |
| "manipulating said controllable partition to vary said supply of said cooling fluid to said zone in response to said sensed temperature being outside said predetermined temperature range"            | 1               |
| "increasing the supply of said cooling fluid to said zone in response to said at least one associated rack having a measured temperature that exceed said predetermined minimum set point temperature" | 4               |

| Claim Term                                                                                                                                                                                                                   | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “decreasing an output of said cooling fluid from said cooling device in response to said decrease in cooling fluid supply to said zone exceeding said increase in cooling fluid supply to said zone”                         | 6               |
| “manipulating said controllable partition to vary said supply of said cooling fluid to said zone in response to at least one of said sensed and received temperatures being outside of said predetermined temperature range” | 9               |
| “increasing an output of said cooling fluid from said cooling device in response to said decrease in cooling fluid supply to said zone falling below said increase in cooling fluid supply to said zone”                     | 13              |

#### 4. ‘870 Patent

The Asserted Claims of the ‘870 patent are invalid for failure to comply with the enablement requirement of Section 112 ¶1.

The ‘870 patent specification is narrowly drawn to a specific method for evaluating components in a data center. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written specification and prosecution history of the ‘870 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘870 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘870 patent overly broad in scope and would extend those claims well beyond the purported inventions enabled by the specification of the ‘870 patent.

The specification of the ‘870 patent does not provide an enabling disclosure of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘870 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “calculating indices of air re-circulation for the one or more heat dissipating devices based upon the detected inlet temperatures, outlet temperatures and supplied air temperatures”                                                                                                                                                                                                                                                                                                               | 1               |
| “determining whether the indices of air re-circulation has changed in response to the varied flow field settings”                                                                                                                                                                                                                                                                                                                                                                                    | 1, 8, 11        |
| “determining a level of influence of at least one of the one or more CRAC units in response to a determination that the at least one of the one or more heat dissipating devices is influenced by at least one of the one or more CRAC units.”                                                                                                                                                                                                                                                       | 10              |
| “determining the level of change in the air re-circulation index of at least one of the one or more heat dissipating devices in response to a determination that the air re-circulation index of the at least one of the one or more heat dissipating devices has changed; correlating the level of change in the air re-circulation index of at least one of the one or more heat dissipating devices to an airflow characteristic of the at least one of the one or more heat dissipating devices” | 12              |

## 5. ‘490 Patent

The Asserted Claims of the ‘490 patent are invalid for failure to comply with the enablement requirement of Section 112 ¶1.

The ‘490 patent specification is narrowly drawn to a specific sensor apparatus for sensing conditions at a computer rack. Based on Vertiv’s understanding of Valtrus’s Infringement Contentions, Valtrus is attempting to construe the Asserted Claims in an idiosyncratic manner that is entirely inconsistent with the narrowly disclosed purported invention described in written

specification and prosecution history of the ‘490 patent as well as with the understanding of one of ordinary skill in the art at the time the application that issued as the ‘490 patent was filed. These allegations are inconsistent with the plain language of the claims, the supporting description, and the prosecution history. Valtrus’ apparent claim constructions render the Asserted Claims of the ‘490 patent overly broad in scope and would extend those claims well beyond the purported inventions enabled by the specification of the ‘490 patent.

The specification of the ‘490 patent does not provide an enabling disclosure of the aspects of the alleged invention corresponding to following claim limitations, rendering the Asserted Claims of the ‘490 patent in which they appear (and any claims depending therefrom) invalid:

| Claim Term                                                                                                                                                       | Asserted Claims |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| “an elongate flexible body”                                                                                                                                      | 1               |
| “a plurality of addressable sensors, disposed along the body and interconnected to a common connector wire”                                                      | 1               |
| “a flexible elongate body”                                                                                                                                       | 11              |
| “a plurality of addressable sensors, disposed along the elongate body of the modular sensor assembly, and interconnected in parallel to a common connector wire” | 11              |
| “an elongate flexible sensor body”                                                                                                                               | 28              |
| “a plurality of addressable sensors connected in parallel to a common connector wire”                                                                            | 28              |
| “a connector board, associated with the rack body, interconnected to the connector wire and to a central computer system”                                        | 28              |

These are merely examples and are not intended to be limiting. Vertiv reserves all rights to amend its Invalidity Contentions under 35 U.S.C. § 112 ¶1 including after an Asserted Claim is ultimately construed by the Court, in response to any interpretation of an Asserted Claim embodied in Valtrus’ infringement positions, and/or to account for any changes in the law concerning enablement. Vertiv additionally reserves the right to provide additional explanation and/or argument for their Invalidity Contentions under § 112 ¶1 including, for example, based on expert

testimony. Plaintiff has not yet revealed its proposed constructions for the terms in these patents. Once Plaintiff has identified its proposed constructions, Plaintiff's constructions may render certain terms unsupported by adequate written description. Vertiv further expressly reserves the right to raise and address, once the parties have exchanged claim terms and constructions, any enablement issues arising out of those exchanges.

## **VII.P.R. 3-4 – DOCUMENT PRODUCTION**

### **A. P.R. 3-4(a) Disclosures**

Pursuant to P.R. 3-4(a), Vertiv has produced representative technical documentation within its possession, custody, and control that show the operation of aspects or elements of the Accused Instrumentalities identified by Valtrus in its Infringement Contentions. *See* VERTIV\_N00000001 – VERTIVN000005791. Vertiv reserves the right to supplement these disclosures with additional documentation. Vertiv will produce relevant computer source code for inspection at the office of its outside counsel upon request.

### **B. P.R. 3-4(b) Disclosures**

In accordance with P.R. 3-4(b), Vertiv is producing a set of prior art references identified in these Invalidity Contentions for prior art related to the Asserted Patents. Vertiv is also producing prior art references and additional documentation concerning prior art systems and methods, including business records evidencing sales of equipment and software tools deployed in such prior art systems and methods prior to the applicable priority dates of the Asserted Patents. Such documents can be found at the following Bates range: VERTIV\_N0005792 – VERTIV\_N0013257. Any prior art references not in English are produced with an English translation of the portion(s) relied upon. These prior art references are cited herein and support the contentions presented. Vertiv's search for prior art references, additional documentation, and/or

corroborating evidence concerning prior art systems and methods is ongoing. Accordingly, Vertiv reserves the right to supplement its production, as provided by the local rules, as additional prior art references, additional documentation, and/or corroborating evidence concerning prior art documents/apparatuses, and methods are obtained during the course of discovery. Such additional evidence may include physical equipment specimens and/or source code evidence associated one or more prior art systems or methods obtained through further investigation and discovery.

#### **VIII. PATENT SUBJECT MATTER INELIGIBILITY CONTENTIONS**

The following Subject Matter Ineligibility Contentions incorporate by reference the Subject Matter Ineligibility Contentions set forth in Appendices 1 – 4. These Subject Matter Ineligibility Contentions are subject to revision and amendment pursuant to F.R.C.P. 26(e) and the Court’s Docket Control Order, to the extent appropriate, in light of further investigation and discovery regarding the defenses below, the Court’s construction of the Asserted Claims of the Asserted Patents, and/or the review and analysis of expert witnesses.

Whether an invention is eligible for patent protection under 35 U.S.C. § 101 is a “threshold test.” *See Bilski v. Kappos*, 130 S. Ct. 3218, 3225 (2010). Section 101 lists four broad categories of patent-eligible subject matter but is subject to “an important implicit exception” that “[l]aws of nature, natural phenomena, and abstract ideas,” which form the “basic tools of scientific and technological work,” are not eligible for patent protection. *Alice Corp. Pty. Ltd. v. CLS Bank Int’l*, 573 U.S. 208, 216 (2014) (internal quotation marks omitted). “The ‘abstract ideas’ category embodies ‘the longstanding rule that an idea of itself is not patentable.’” *Id.* at 209 (quoting *Gottschalk v. Benson*, 409 U.S. 63, 67 (1972) (quoting *Rubber-Tip Pencil Co. v. Howard*, 87 U.S. 498 (1874))).

*Alice* set forth a two-step inquiry. “First, we determine whether the *claims* at issue are directed to one of those patent-ineligible concepts.” *Id.* at 217 (emphasis added). In making this

inquiry, the claims “must be considered as a whole.” *Alice*, 573 U.S. at 218 n.3 (quoting *Diamond v. Diehr*, 450 U.S. 175, 188 (1981)). In analyzing step one, courts consider “whether the claims in the patent focus on a specific means or method, or are instead directed to a result or effect that itself is the abstract idea and merely invokes generic process and machinery.” *Two-Way Media Ltd. v. Comcast Cable Commc’ns, LLC*, 874 F.3d 1329, 1337 (Fed. Cir. 2017); *see also Free Stream Media Corp. v. Alphonso Inc.*, 996 F.3d 1355, 1363 (Fed. Cir. 2021).

“[M]ental processes, and abstract intellectual concepts are not patentable, as they are the basic tools of scientific and technological work.” *Gottschalk v. Benson*, 409 U.S. 63, 67 (1972); *see also Cybersource Corp. v. Retail Decisions, Inc.*, 654 F.3d 1366, 99 USPQ2d 1690 (Fed. Cir. 2011) (claim “fails to recite patent-eligible subject matter because it is drawn to an unpatentable mental process—a subcategory of unpatentable abstract ideas”). For example, a patent that claims use of a mathematical formula for calculating updated values of alarm limits for alarms that monitor process variables (such as temperature) during a chemical process was directed to ineligible subject matter. *Parker v. Flook*, 437 U.S. 584, 594-95 (1978). The Supreme Court rejected the notion that the recitation of a practical application for the calculation could alone make the invention patentable, stating that any “competent draftsman could attach some form of post-solution activity to almost any mathematical formula.” *Id.* at 590.

If the claims recite an abstract idea, the second step requires a “search for an ‘inventive concept’—an element or combination of elements that is ‘sufficient to ensure that the patent in practice amounts to significantly more than a patent upon the [ineligible concept] itself.’” *Alice*, 573 U.S. at 218 (quoting *Mayo Collaborative Servs. v. Prometheus Labs., Inc.*, 566 U.S. 66, 73 (2016)). “A claim that recites an abstract idea must include ‘additional features’ to ensure ‘that the claim is more than a drafting effort designed to monopolize the abstract idea.’” *Id.* at 221 (quoting *Mayo*,

566 U.S. at 78) (alterations omitted). The recited “additional features must be more than well-understood, routine, conventional activity.” *Ultramercial, Inc. v. Hulu, LLC*, 772 F.3d 1335, 1339 (Fed. Cir. 2013) (internal quotations omitted).

Application of an abstract idea using “conventional and well understood techniques” does not “supply an inventive concept.” *BSG Tech. LLC v. Buyseasons, Inc.*, 899 F.3d 1281, 1290–91 (Fed. Cir. 2018); *see also Baggage Airline Guest Servs., Inc. v. Roadie, Inc.*, 351 F. Supp. 3d 753, 761 (D. Del. 2019), *aff’d*, 2019 WL 5703890 (Fed. Cir. Nov. 5, 2019) (finding that “reciting generic computer functions and the use of generic computer elements to achieve a more efficient way of ‘coordinating and monitoring baggage delivery’” is not an inventive concept). A “critical difference” exists between “patenting a particular concrete solution to a problem” and “attempting to patent the abstract idea of a solution to the problem in general,” because the overbroad functional claiming of the latter “purport[s] to monopolize every potential solution to the problem.” *BSG*, 899 F.3d at 1290–91. Further, claims are subject matter ineligible if “[w]hat is claimed is simply a generic environment in which to carry out the abstract idea.” *Yu v. Apple Inc.*, 1 F.4th 1040, 1043 (Fed. Cir. 2021)

As required by the Standing Order, Vertiv identifies each Asserted Claim of the ’277, ’287, ’179, and ’870 patents as being directed to the abstract ideas. The Asserted Claims of the ’277 patent are directed to the abstract idea of collecting, organizing, and analyzing data to evaluate a cooling system and make appropriate adjustments. The Asserted Claims of the ’287 and ’179 patents are similarly directed to the abstract idea of collecting and analyzing data to evaluate a cooling system and make appropriate adjustments. The Asserted Claims of the ’870 patent are directed to the abstract idea of collecting data and analyzing the data using a mathematical formula

to evaluate a cooling system. There is nothing in any of the Asserted Claims to transform these abstract ideas into inventive concepts or patent eligible subject matter. *See* Appendices 1 – 4.

Dated: September 18, 2024

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**CERTIFICATE OF SERVICE**

The undersigned certifies that the foregoing document and all attachments thereto have been served on all counsel of record on the date provided below.

Dated: September 18, 2024

s/ Timothy P. Maloney  
\_\_\_\_\_  
Timothy P. Maloney