

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

ALBAUGH, LLC,
Petitioner,

v.

BASF SE,
Patent Owner.

PGR2026-00026
Patent 12,305,206 B2

Before JAMES A. TARTAL, ZHENYU YANG, and DAVID COTTA,
Administrative Patent Judges.

COTTA, *Administrative Patent Judge.*

SCHEDULING ORDER

A. GENERAL INSTRUCTIONS

1. Initial and Additional Conference Calls

The parties are directed to contact the Board within a month of this Order if there is a need to discuss proposed changes to this Scheduling Order or proposed motions that have not been authorized in this Order or other prior Order or Notice. *See* Trial Practice Guide¹ §§ I.A.2., II.E; *see also* 84 Fed. Reg. 64,280 (Nov. 21, 2019). A request for an initial conference call shall include a list of proposed motions, if any, to be discussed during the call.

The parties may request additional conference calls as needed. Any email requesting a conference call with the Board should: (a) copy all parties, (b) indicate generally the relief being requested or the subject matter of the conference call, (c) include multiple times when all parties are available, (d) state whether the opposing party opposes any relief requested, and (e) if opposed, either certify that the parties have met and conferred telephonically or in person to attempt to reach agreement, or explain why such meet and confer did not occur. The email may not contain substantive argument and, unless otherwise authorized, may not include attachments. *See* Trial Practice Guide § I.A.2.

2. Related Matters Updates

The parties must keep the Board apprised of developments regarding adjudication of validity or patentability of the challenged patent claims, or substantially similar patent claims, such as claim construction, findings of fact, or conclusions of law, in “any other judicial or administrative matter that would affect, or be affected by, a decision in the proceeding” and is

¹ Available at www.uspto.gov/patents/ptab/trial-practice-guide.

identified as a related matter under 37 C.F.R. § 42.8(b)(2). The parties must alert the Board to any such developments within five business days, by sending an email to Trials@uspto.gov, and file in the docket of this proceeding relevant materials from the related matter(s).

3. Protective Order

No protective order shall apply to this proceeding until the Board enters one. If either party files a motion to seal before entry of a protective order, a jointly proposed protective order shall be filed as an exhibit with the motion. It is the responsibility of the party whose confidential information is at issue, not necessarily the proffering party, to file the motion to seal.² The Board encourages the parties to adopt the Board's default protective order if they conclude that a protective order is necessary. *See* Trial Practice Guide, App. B (Protective Order Guidelines and Default Protective Order). If the parties choose to propose a protective order deviating from the default protective order, they must submit the proposed protective order jointly along with a marked-up comparison of the proposed and default protective orders showing the differences between the two and explain why good cause exists to deviate from the default protective order.

The Board has a strong interest in the public availability of trial proceedings. Redactions to documents filed in this proceeding should be limited to the minimum amount necessary to protect confidential information, and the thrust of the underlying argument or evidence must be clearly discernible from the redacted versions. We also advise the parties that information subject to a protective order may become public if

² If the entity whose confidential information is at issue is not a party to the proceeding, please contact the Board.

identified in a final written decision in this proceeding, and that a motion to expunge the information will not necessarily prevail over the public interest in maintaining a complete and understandable file history. *See* Trial Practice Guide § I.E.6.

4. Discovery Disputes

The Board encourages parties to resolve disputes relating to discovery on their own. To the extent that a dispute arises between the parties relating to discovery, the parties must meet and confer to resolve such a dispute before contacting the Board. If attempts to resolve the dispute fail, a party may request a conference call with the Board.

5. Testimony

The parties are reminded that the Testimony Guidelines appended to the Trial Practice Guide, App. D (Testimony Guidelines) apply to this proceeding. The Board may impose an appropriate sanction for failure to adhere to the Testimony Guidelines. 37 C.F.R. § 42.12. For example, reasonable expenses and attorneys' fees incurred by any party may be levied on a person who impedes, delays, or frustrates the fair examination of a witness.

6. Cross-Examination

Except as the parties might otherwise agree, for each due date: Cross-examination ordinarily takes place after any supplemental evidence is due. 37 C.F.R. § 42.53(d)(2).

Cross-examination ordinarily ends no later than a week before the filing date for any paper in which the cross-examination testimony is expected to be used. *Id.*

7. Motion to Amend

Patent Owner may file a motion to amend without prior authorization from the Board. Nevertheless, Patent Owner must confer with the Board before filing such a motion. 37 C.F.R. § 42.221(a). To satisfy this requirement, Patent Owner should request a conference call with the Board no later than two weeks prior to DUE DATE 1. *See* Section B below regarding DUE DATES.

Any motion to amend and briefing related to such a motion shall comply with the rules pertaining to motions to amend (37 C.F.R. § 42.221) and the practices and procedures described in *Lectrosonics, Inc. v. Zaxcom, Inc.*, IPR2018-01129, Paper 15 (PTAB Feb. 25, 2019) (precedential).

Patent Owner has the option to receive preliminary guidance from the Board on its motion to amend. *See* 37 C.F.R. § 42.221(e). If Patent Owner elects to request preliminary guidance from the Board on its motion, it must do so in its motion to amend filed on DUE DATE 1. *Id.* § 42.221(a)(1)(ii).

At DUE DATE 3, Patent Owner may file a reply to the opposition to the motion to amend and/or the preliminary guidance. 37 C.F.R. § 42.221(e)(3). In lieu of a reply, Patent Owner has the option to file a revised motion to amend that addresses the issues raised in the preliminary guidance or in petitioner's opposition to the motion to amend. *Id.* § 42.221(f)(1)–(2). Patent Owner may elect to file a revised motion to amend even if Patent Owner did not request to receive preliminary guidance on its motion to amend. A revised motion to amend must include one or more new proposed substitute claims in place of the previously presented substitute claims, where each new proposed substitute claim presents a new claim amendment. *Id.*

If Patent Owner files a revised motion to amend, the Board may determine whether to request the Chief Administrative Patent Judge to extend the final written decision deadline more than one year from the date a trial is instituted in accordance with § 42.200(c) and whether to extend any remaining deadlines under § 42.5(c)(2). 37 C.F.R. § 42.221(f)(1). Typically the Board will enter a revised scheduling order setting the briefing schedule for that revised motion and adjusting other due dates as needed.

At DUE DATE 5, Petitioner may file a sur-reply that is limited to responding to the preliminary guidance and/or arguments made in the patent owner's reply brief. *Id.* § 42.221(e)(3). The sur-reply may not be accompanied by new evidence, but may comment on any new evidence filed with the reply and/or point to cross-examination testimony of a reply witness, if relevant to the arguments made in the reply brief. *Id.*

If the Board issues preliminary guidance on the motion to amend, and Patent Owner files neither a reply to the opposition to the motion to amend nor a revised motion to amend at DUE DATE 3, Petitioner may file a reply to the Board's preliminary guidance, no later than three weeks after DUE DATE 3 or at any other DUE DATE that the Board specifies in a revised scheduling order. The reply may only respond to the preliminary guidance and may not be accompanied by new evidence. 37 C.F.R. § 42.221(e)(4). Patent Owner may file a sur-reply in response to Petitioner's reply to the Board's preliminary guidance. *Id.* The sur-reply may only respond to petitioner's reply and may not be accompanied by new evidence. *Id.* The sur-reply must be filed no later than three weeks after Petitioner's reply or at any other DUE DATE that the Board specifies in a revised scheduling order.

In the event the Board requests examination assistance pursuant to 37 C.F.R. § 42.221(d)(3)(ii), the parties will be notified of the request and may adjust the scheduling order as needed.

8. Pre-Hearing Conference

The Board will hold a pre-hearing conference call with both parties. The purpose of the pre-hearing conference is for the Board panel to provide guidance as to particular issues that the panel would like the parties to address at the oral hearing, for example, claim construction issues, reason to combine prior art teachings, or objective indicia of nonobviousness. The pre-hearing conference also provides the parties the opportunity to identify (but not argue) any issues the parties would like to address at the oral hearing. The parties may also discuss with the Board any pending motions, request an early decision on the admissibility of a limited number of exhibits subject to a motion to exclude, and discuss any unresolved issues with demonstrative exhibits.

9. Oral Argument

Requests for oral argument must comply with 37 C.F.R. § 42.70(a). To permit the Board sufficient time to schedule the oral argument, the parties may not stipulate to an extension of the request for oral argument beyond the date set forth in the Due Date Appendix.

All oral arguments will be held in person, and both parties are expected to be physically present, absent a showing of good cause. Good cause will generally be limited to circumstances such as financial hardship, medical emergencies, or other comparable obstacles to in-person attendance. Approval for virtual appearance is determined on a party-by-party basis. An approved request for one party does not constitute good cause for others; each party must independently demonstrate good cause.

The parties may request that the oral argument be held at the USPTO headquarters in Alexandria. The parties should state in the request for oral argument, DUE DATE 4, whether good cause exists for a party to appear virtually. To the extent the parties disagree, they should meet and confer; if the dispute cannot be resolved by meeting and conferring, the parties should inform the Board of each party's individual preferences.

Note that the Board may not be able to honor the parties' preferences due to, among other things, the availability of hearing room resources, the needs of the panel, and USPTO policy at the time of the hearing. The Board will consider the parties' request and notify the parties of how and where the hearing will be conducted.

For in-person hearings, seating in the Board's hearing rooms may be limited, and will be available on a first-come, first-served basis. If either party anticipates that more than five individuals will attend the argument on its behalf, the party should notify the Board as soon as possible, and no later than the request for oral argument. Parties should note that the earlier a request for accommodation is made, the more likely the Board will be able to accommodate additional individuals.

Parties are encouraged to participate in the Board's LEAP program.³ Either party may request that a qualifying LEAP practitioner participate in the program and conduct at least a portion of the party's oral argument. The Board will grant up to 15 minutes of additional argument time to that party. A party should submit the LEAP Practitioner Verification Form and Request

³ Information about the LEAP program and the combined LEAP Practitioner Request for Oral Hearing Participation and Verification Form can be found at www.uspto.gov/leap.

for Hearing Participation at least five business days before the oral hearing, by email to the Board at PTABHearings@uspto.gov.

B. DUE DATES

This Order sets due dates for the parties to take action after institution of the proceeding. The parties may stipulate different dates for DUE DATES 1, 5, and 7, as well as the portion of DUE DATE 2 related to Petitioner's reply (earlier or later, but no later than DUE DATE 3 for Patent Owner's sur-reply) and the portion of DUE DATE 3 related to Patent Owner's sur-reply (earlier or later, but no later than DUE DATE 8). The parties may not stipulate to a different date for the portion of DUE DATE 2 related to Petitioner's opposition to a motion to amend, or for the portion of DUE DATE 3 related to Patent Owner's reply to an opposition to a motion to amend (or Patent Owner's revised motion to amend) without prior authorization from the Board. In stipulating to move any due dates in the scheduling order, the parties must be cognizant that the Board requires four weeks after the filing of an opposition to the motion to amend (or the due date for the opposition, if none is filed) for the Board to issue its preliminary guidance, if requested by Patent Owner. A notice of the stipulation, specifically identifying the changed due dates, must be promptly filed. The parties may not stipulate an extension of DUE DATES 4, 6, 8, and 9.

In stipulating different times, the parties should consider the effect of the stipulation on times to object to evidence (37 C.F.R. § 42.64(b)(1)), to supplement evidence (§ 42.64(b)(2)), to conduct cross-examination (§ 42.53(d)(2)), and to draft papers depending on the evidence and cross-examination testimony.

1. DUE DATE 1

Patent Owner may file—

a. A response to the petition (37 C.F.R. § 42.120). If Patent Owner elects not to file a response, Patent Owner must arrange a conference call with the parties and the Board. Patent Owner is cautioned that any arguments not raised in the response may be deemed waived.

b. A motion to amend the patent (37 C.F.R. § 42.121) after conferring with the Board under 37 C.F.R. § 42.121(a).

2. DUE DATE 2

Petitioner may file a reply to the Patent Owner's response.

Petitioner may file an opposition to the motion to amend.

3. DUE DATE 3

Patent Owner may file a sur-reply to Petitioner's reply.

Patent Owner may also file either:

a. a reply to the opposition to the motion to amend and/or preliminary guidance (if provided); or

b. a revised motion to amend.

NOTE: If Patent Owner files neither of the above papers (a reply to the opposition or a revised motion to amend), and the Board has issued preliminary guidance, Petitioner may file a reply to the preliminary guidance, no later than three weeks after DUE DATE 3. Patent Owner may file a sur-reply to Petitioner's reply to the preliminary guidance no later than three weeks after Petitioner's reply.

4. DUE DATE 4

Either party may file a request for oral argument (may not be extended by stipulation).

A party seeking to appear virtually at the oral hearing must submit a request and include a showing of good cause. Approval for one party to appear virtually does not establish good cause for other parties; each party must make a separate showing. The Board may consider untimely requests where the circumstances giving rise to request could not have been reasonably anticipated.

5. DUE DATE 5

Petitioner may file a sur-reply to Patent Owner's reply to the opposition to the motion to amend.

Either party may file a motion to exclude evidence (37 C.F.R. § 42.64(c)).

6. DUE DATE 6

The parties will have a pre-hearing conference with the Board panel.

7. DUE DATE 7

Either party may file an opposition to a motion to exclude evidence.

8. DUE DATE 8

Either party may file a reply to an opposition to a motion to exclude evidence.

9. DUE DATE 9

The oral argument (if requested by either party) shall be held on this date. Approximately one month prior to the argument, the Board will issue an order setting the start time of the hearing and the procedures that will govern the parties' arguments.

DUE DATE APPENDIX

DUE DATE 1	October 20, 2026
Patent Owner's response to the petition	
Patent Owner's motion to amend the patent	
DUE DATE 2	January 12, 2027
Petitioner's reply to Patent Owner's response to petition	
Petitioner's opposition to motion to amend	
DUE DATE 3	February 23, 2027
Patent Owner's sur-reply to reply	
Patent Owner's reply to opposition to motion to amend (or Patent Owner's revised motion to amend) ⁴	
DUE DATE 4	March 16, 2027
Request for oral argument (may not be extended by stipulation)	
DUE DATE 5	April 6, 2027
Petitioner's sur-reply to reply to opposition to motion to amend	
Motion to exclude evidence	
DUE DATE 6	April 12, 2027
Pre-hearing conference with Board panel	
DUE DATE 7.....	April 13, 2027
Opposition to motion to exclude	
DUE DATE 8	April 20, 2027
Reply to opposition to motion to exclude	

⁴ If Patent Owner files neither a reply to Petitioner's opposition to the MTA nor a revised MTA, the parties are directed to Section B(3) above.

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Oral argument (if requested)

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