

TIPS AND TOOLS FOR PATENT MONITORING IN CAS STNEXT

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CAS

A division of the
American Chemical Society



Why use STNext to monitor IP?

- STNext has a variety of features and tools that assist with monitoring global IP protection
- Automated alerts in the world's most popular patent and NPL databases
- Tools like Interactive Claim Viewer, Patent Family Manager, and FIZ PatMon further expand your ability to keep up to date with new IP life cycle events
- Precise citation searching allows additional insight into the penetration of IP innovations into other areas of market/research

Agenda

- Alerts/SDI
- Ultimate Owner and Patent Status Indicator
- INPADOC Legal Status Monitoring and FIZ PatMon
- Citations

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Alerts accomplish a variety of goals

- Stay informed on **research and development trends** and industry news, particularly through patent publications
- Track **competitor patent activity** and monitor developments in **new geographic markets**
- **Identify new additions** to existing patent families
- Keep tabs on **legal status changes**—such as expirations, grants, lapses, or territorial expansions
- Watch for signs of potential **intellectual property infringement** affecting your organization

Manual or automatic alerts – your choice

Manual alerts

Individual time ranges and run dates, must be started manually

Monitor large time ranges (> 1 month)

Use for **often changing queries**

Advanced search commands possible, e.g. TRANSFER, ANALYZE, FSEARCH

Refine with **update codes** or **subtract answers**

Scripts

= Simple programming language to pre-program searches on STN; started manually

Full STN retrieval language available

Used to create sophisticated monitoring solutions, incl. multi-database (structure) searches and deduplication

Automatic alerts

Monitor set time ranges, automatic run and results delivery

Single database | ALERT / SDI

Multi-database alerts | ALERT MFILE

Multiple databases, same delivery date
ALERT PACKAGE

Cross-database alerts (CA and Derwent)
SMARTracker | SDI XFILE

Linked Alerts | ALERT

Note: this session does not cover scripts in STNext, but training materials are available on this topic.

Planning an alert involves multiple steps

- Choose the best database(s)
 - Select one or more databases that best fit your search topic.
- Design your search strategy
 - Should the strategy be tailored to individual databases or designed for a combined search?
- Decide between manual and automatic alerts
- Two methods to create an alert in STNext
 - Use the traditional ALERT or SDI commands on the command line
 - Utilize the STNext Alert Wizard for a guided setup

Current awareness search =
Alert = Selective Dissemination
of Information (SDI)

Planning an automatic alert

- Select an appropriate update code
 - Examples: ED (each document), UP (update), etc. Codes vary depending on the database
 - Use the HELP UPDATE command to see valid codes for your database
- Choose how often the alert runs
 - Options: every update, weekly, or monthly; varies by database
- Decide whether to keep or remove previously seen results
 - Consider the relevance of repeat results, e.g., updates to existing patents or legal status changes
- Determine how results will be delivered
 - Delivery options include online, via email, or through RSS feeds

Update codes determine what triggers an alert

- The most frequently used update codes are:
 - /ED (Entry Date): for searching new records (i.e., basics).
 - /UP (Update Date): for searching new or updated records (any update except citations), this code is also applied for new patent family members).
 - /UPP (Update Date Patent Family): for searching records which are new (basics) or to which family information (equivalents) has been added.
- Many other update codes are available, depending on the database.

Different update codes monitor different aspects

Alert Settings

Name ⓘ
CBGPATENTS /S

Method of delivery ⓘ
ONLINE

Expires

Delivery to * (separate with comma)

Send alerts with no answers ON

Delivery notification

Cost center
NONE

Database settings

Database	Print format	Frequency	
HCAPLUS		Weekly	ED

Save Cancel

- UP
- UPM
- UPIT
- UPI
- ED
- UPP
- UPOG
- STUP

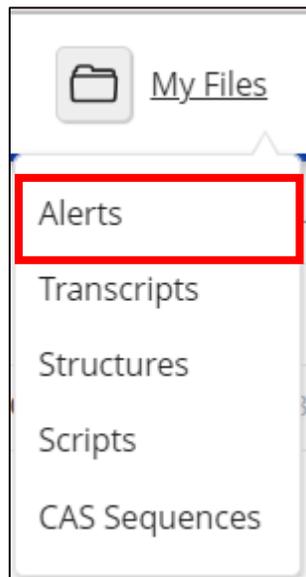
UP: Any update to record
UPM: Update Max*
UPIT: Indexing Term Update (new RNs)*
ED: Entry Date (new records)
UPP: Patent Family Update
UPOG: Update, citing references*
STUP: Patent Status Update Date
***may cause a record to be retrieved multiple times**

Some files, like DWPI, contain many different update code options

- /UPA (Update Date Polymer Indexing)
- /UPB (Update Date Chemical Coding)
- /UPIT (Update Date Index Terms)
- /UPD (Update Date Cited Patent Information)
- /UPG (Update Date Citing Patent Information)
- /UPAB (Update Date Derwent Abstract)
- /UPCP (Update Date Cooperative Patent Classification)
- /UPFT (Update Date Japanese Patent Classification)
- /UPIC (Update Date International Patent Classification)
- /UPIN (Update Date Inventor)
- /UPMC (Update Date Manual Codes)
- /UPPA (Update Date Patent Assignee)
- /UPTI (Update Date Enhanced Title)
- /UPAA (Update Date Author Abstract)
- /UPAG (Update Date Agent)
- /UPAT (Update Date Author Title)
- /UPCL (Update Date Claims)

HELP UPDATE will explain the various update codes for the current database.

Alerts can be modified or deleted from 'My Files'



Return to Session

Alerts

Sort: Date Modified: Newest

IVACAFITOR DERIVATIVES						Edit	
27 Apr 2022 7:01 PM	Name	Database	Query	Delivered To			
Every Update	IVACAFITOR/S	WPIX	View query	JIM.BROWN@FIZ-K.COM			
Answer History							
INPA TEST						Edit	
26 Apr 2022 8:33 AM	Name	Database	Query	Delivered To			
Weekly	INPATEST/S	INPAFAMDB	View query	JIM.BROWN@FIZ-K.COM			
Answer History							
WPIX SMARTRACKER						Edit	
5 Apr 2022 2:14 PM	Name	Database	Query	Delivered To			
Every Update	AA007/S	WPIX	View query	JIM.BROWN@FIZ-K.COM			
Answer History							

Delete Alert

View and download historic alert results

[← Return to Session](#)

Alerts Sort Date Modified: Newest ▾

IVACFTOR DERIVATIVES [Edit](#) 

28 Apr 2022 1:01 AM Name: IVACFTOR/S Database: WPIX Query: [View query](#) Delivered To: JIM.BROWN@FIZ-K.COM

Every Update

[Hide Answer History ▾](#)

Run #	Print Date/Time	Answers	Download Options
74	Sep 14, 2023	0	PDF RTF TXT
73	Sep 12, 2023	1	PDF RTF TXT
72	Sep 8, 2023	0	PDF RTF TXT
71	Sep 5, 2023	3	PDF RTF TXT
70	Sep 1, 2023	0	PDF RTF TXT
69	Aug 29, 2023	0	PDF RTF TXT
68	Aug 25, 2023	0	PDF RTF TXT
67	Aug 22, 2023	0	PDF RTF TXT
66	Aug 18, 2023	1	PDF RTF TXT
65	Aug 15, 2023	0	PDF RTF TXT

[Show All Runs](#)

Creating single-file alerts in STNext

Setting up automatic alerts using the STNext Alert Wizard

Entered HOME 15:16:59 ON 18 MAY 2021

Entered HCAPLUS 15:22:20 ON 18 MAY 2021

L1 107185 S NANO?(W)FIBER? OR NANOFIBER? OR NANOFIBRIL? ...

L2 132131 S TISSUE(2A) (ENGINEER? OR SCAFFOLD? OR MANUFACT? OR PROD?) OR B ...

L3 4711 S (L1 (S) L2) ...

Create an Alert

Patent Family Manager

All settings in one window

Alert Settings

Title *
Tissue Engineering CPlus

Eliminate previously seen answers ON Highlight hit terms ON

Method of delivery ⓘ EMAIL Expires MM/DD/YYYY

Send alert with answers OFF

Cost center NONE

Delivery to (separate with comma)
sebastian.brauch@fiz-karlsruhe.de

Database settings

Database	Print format	Frequency
HCAPLUS	BIB ABS IND	Weekly

Save Cancel

If set to **ON**, historical duplicates in a single database are removed from your answer set. Identification of such historical duplicates is based on **Accession Numbers (AN)** within a database. For this purpose, answers are saved for one year on STNext.

Tip: If no specific update code is available, use UP/UPM and enable the identification of historical duplicates instead of using Entry Date (ED) in dynamic-update databases, e.g., HCAplus (except for SMARTracker alerts or legal status alerts, etc.).

Creating single-file alerts in STNnext

Receiving Alert results via email

Your STN results are just a click away. STN brings you the information as you like it.

Click on a link below to...

Title: **NANOFIBER HCAPLUS**
Reference Number: **AGF**
Number of Answers: **20**
File Name: **HCAPLUS**
SDI Name: **AA029/S**
SDI Parent Name: **AA029/S**
SDI Run Number: **020**
SDI Run Date: **MAY 14, 2021**

1. [RTF](#) (Rich Text Format)
2. [PDF](#) (Adobe Portable Document Format)
3. [HTML](#) (Hypertext Markup Language)
4. [Plain Text](#) (ASCII)

Links will expire 90 days

If you have any question...

STN® - Your Connection

Within the results, the query including the update date searched are specified.

```
20 ANSWERS PRINTED IN
IN FILE 'HCAPLUS'
USING QUERY:
L1          QUE  NANO(W)FIBER? OR NANOFIBER?
L2          QUE  TISSUE (2A) (ENGINEERING OR SCAFFOLDING OR MANUFACT? OR PR
OD?) OR BIOPRINT?
L3          QUE  L1 (S) L2
L4          20 SEA FILE=HCAPLUS L3 AND 20210507-20210512/UP
```

```
L4  ANSWER 1 OF 20  HCAPLUS  COPYRIGHT 2021 ACS on STN
Full Text
AN  2021:1042223  HCAPLUS
TI  Chitosan microsphere-bacterial cellulose composite material and
preparation and application thereof [Machine Translation].
IN  Hong, Feng; Wei, Zhao; Chen, Lin
PA  Donghua University, Peop. Rep. China
SO  Faming Zhuanli Shenqing, 27pp.
CODEN: CNXXEV
DT  Patent
LA  Chinese
FAN.CNT 1
PI
```

	PATENT NO.	KIND	DATE	APPLICATION NO.	DATE
	CN 112773941	A	20210511	CN 2020-11615887	20201231
PRAI	CN 2020-11615887		20201231		

AB [Machine Translation of Descriptors]. The invention relates to a chitosan microsphere-bacterial cellulose composite material and prepn. and application thereof, wherein the composite material has a three-dimensional network structure, and chitosan microspheres are loaded on the surface and the network of **nanofibers**.The nerve catheter prepd. by the invention has the characteristics of sustained-release NGF, in-vivo degrdn., promotion of nerve cell proliferation, adhesion and differentiation, broad-spectrum antibacterial property and the like, and guides repair and regeneration of damaged nerves.The prepn. method of the material is simple, toxic crosslinking agents are not introduced, the composite is uniform and efficient, and a new material and idea are provided for nerve **tissue engineering**.

If email delivery was specified, an email like this one appears regularly in your email inbox.

Download the alert results in your preferred data format. The links remain active for 90 days.

RTF and PDF formats include patent drawings (image files).

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Identification of the current owner of a patent

Ultimate Owner fields provide updated information

- Company name changes, mergers, acquisitions can often complicate an organization-based IP search
- **Ultimate owner shows the latest owner of IP rights**
- Available in 10+ files, including Caplus, MARPAT, INPADOCDB, and USPATFULL and other full text files
 - /UO** Ultimate owner
 - /UOS** Ultimate owner standardized
- Data obtained from PatentSight through their manual and algorithmic curation of IP ownership and M&A analysis
 - Significant effort to reduce spelling errors and further standardization
 - Does not provide historical changes or date of transfer of IP rights
 - Updated weekly
- Available to all STN users

Acquisitions indicated by a difference in /PA and /UO

L18 ANSWER 1 OF 1 HCAPLUS COPYRIGHT 2025 ACS on STN
[PatentPak PDF](#) | [PatentPak PDF+](#) | [PatentPak Interactive](#)
AN 2025:255988 HCAPLUS [Full-text](#)
DN 189:313455
TI Parathyroid hormone compounds in the treatment of hypoparathyroidism
IN Culler, Michael; Allas, Soraya; Sumeray, Mark; Aribat, Thierry
PA **Amolyt Pharma, Fr.**
UO ASTRAZENECA PLC
UOS AstraZeneca
SO U.S. Pat. Appl. Publ., 57pp.
CODEN: USXXCO
DT Patent
LA English
FAN.CNT 1

Acquisition of patent rights

Alerts based on this type of strategy will bring back newly acquired IP

=> S ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND PY>=2022

6332 ASTRAZENECA/UOS
3144 ASTRAZENECA/PA
10981796 PY>=2022
L21 632 ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND PY>=2022

L21	ANSWER 1 OF 632	HCAPLUS	COPYRIGHT 2025 ACS on STN		
UOS	AstraZeneca				
PI					
	PATENT NO.	KIND	DATE	APPLICATION NO.	DATE
	-----	---	-----	-----	-----
	WO 2025120567	A1	20250612	WO 2024-IB62268	20241205
PA	MedImmune Limited, UK				

L21	ANSWER 2 OF 632	HCAPLUS	COPYRIGHT 2025 ACS on STN		
UOS	AstraZeneca; Neurimmune				
PI					
	PATENT NO.	KIND	DATE	APPLICATION NO.	DATE
	-----	---	-----	-----	-----
	WO 2025104243	A1	20250522	WO 2024-EP82486	20241115
PA	Neurimmune AG, Switz.; Alexion Pharmaceuticals, Inc.				

L21	ANSWER 3 OF 632	HCAPLUS	COPYRIGHT 2025 ACS on STN		
UOS	AstraZeneca				
PI					
	PATENT NO.	KIND	DATE	APPLICATION NO.	DATE
	-----	---	-----	-----	-----
	US 20250163400	A1	20250522	US 2024-18954071	20241120
	WO 2025111362	A1	20250530	WO 2024-US56713	20241120
PA	Icosavax, Inc., USA				

Acquisition of patent rights

ANALYZE original Patent Assignee field to see acquisitions

=> ANA L21 1- PA

L22 ANALYZE L21 1- PA : 138 TERMS

=> D 1-10

L22 ANALYZE L21 1- PA : 138 TERMS

TERM # # OCC # DOC % DOC PA

TERM #	# OCC	# DOC	% DOC	PA
1	128	128	20.25	ALEXION PHARMACEUTICALS INC USA
2	95	95	15.03	MEDIMMUNE LLC USA
3	94	94	14.87	MEDIMMUNE LIMITED UK
4	40	40	6.33	MEDIMMUNE LIMITED
5	31	31	4.91	GRACELL BIOTECHNOLOGIES SHANGHAI CO LTD PEOP REP CH
6	29	29	4.59	FUSION PHARMACEUTICALS INC CAN
7	27	27	4.27	ADC THERAPEUTICS SA SWITZ
8	21	21	3.32	ACHILLION PHARMACEUTICALS INC USA
9	20	20	3.16	PORTOLA PHARMACEUTICALS INC USA
10	13	13	2.06	ACERTA PHARMA B V NETH

Use /UOS in alert strategies to stay up-to-date

=> S ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND PY<2025

```
6339 ASTRAZENECA/UOS
3146 ASTRAZENECA/PA
65472992 PY<2025
L9 4039 ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND PY<2025
```

=> S ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND ED>=20250101

```
6339 ASTRAZENECA/UOS
3146 ASTRAZENECA/PA
1600258 ED>=20250101
      (ED>=20250101)
L10 14 ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND ED>=20250101
```

=> S ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND UP>=20250701

```
6339 ASTRAZENECA/UOS
3146 ASTRAZENECA/PA
377525 UP>=20250701
      (UP>=20250701)
L11 3 ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND UP>=20250701
```

L9: original search strategy to retrieve UO/PA discordance prior to 2025 (historic answers)

L10: Manual re-run with the addition of the ED update code. This will retrieve records that have been added to the database this year.

L11: Manual run with UP>=20250701. This will retrieve records that have been updated or changed within the month of July.

Change the update/entry dates in future manual runs to get the most current information.

Patent status indicator

- Available in Caplus, INPADOC, and full text patent files
- Dynamically updated flag that allows searchers to determine if a patent is ALIVE or DEAD.
- Useful for Freedom to Operate (FTO) and other IP searches
- Provides predictive data over the lifetime of the patent

Quickly see or limit by patent status

```
=> S ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND PY>=2022
```

```
84897 ASTRAZENECA/UOS
```

```
38527 ASTRAZENECA/PA
```

```
23997026 PY>=2022
```

```
(PY>=2022)
```

```
L34 3018 ASTRAZENECA/UOS NOT ASTRAZENECA/PA AND PY>=2022
```

```
=> ANA 1- STI
```

```
ANALYZE IS APPROXIMATELY 34% COMPLETE
```

```
ANALYZE IS APPROXIMATELY 72% COMPLETE
```

```
L35 ANALYZE L34 1- STI : 4 TERMS
```

TERM #	# OCC	# DOC	% DOC	STI
1	2700	2700	89.46	ALIVE
2	163	163	5.40	DEAD
3	82	82	2.72	INDETERMINATE
4	77	77	2.55	TRANSITIONAL

***** END OF L35 *****

Status indicator provides info at-a-glance

```
L11 ANSWER 1 OF 40 HC
TI Me L11 ANSWER 2 C
PI TI Therapeuti
PA method of
-- PI
C PATENT NO.
PSPI -----
PA US 2024021
-- PSPI
C PATENT NO.
DT Pa -----
AB US 2024021
mi Patent
us DT Patent
oi AB . . . n
mushrooms,
comprising
supporting
```

```
L11 ANSWER 4 OF 40 HCAPLUS COPYRIGHT 2025 ACS on STN
TI Pharmaceutical composition comprises cannabigerol or cannabigerolic acid
for preventing and treating respiratory viral infections
PI
PATENT NO. KIND DATE
-----
US 20230330037 A1 20231019
PSPI
PATENT NO. KIND STATUS STATUS DATE
-----
US 20230330037 A1 Dead 20250417
DT Patent
AB . . . treating or preventing respiratory viral infections. The method
includes administering to a patient a pharmaceutical compn. comprising one
or more non psychoactive cannabinoid-contg. compns. consisting
essentially of a cannabinoid fraction including at least one of
```

Use /STI in alert strategies to stay up-to-date

```
=> S L8 AND DEAD/STI
```

```
12548384 DEAD/STI
```

```
L12 3864 L8 AND DEAD/STI
```

```
=> S L8 AND DEAD/STI AND UP>=20250601
```

```
12548384 DEAD/STI
```

```
817331 UP>=20250601
```

```
(UP>=20250601)
```

```
L13 0 L8 AND DEAD/STI AND UP>=20250601
```

A manual alert strategy that includes Patent Status Indicator and uses the UP update code will retrieve records that have had any change, including changes to the /STI field, since the specified date.

Alternately, set up a recurring alert to be notified weekly if changes occur

Alert Settings

Name ⓘ
AZACQDEAD /S

Method of delivery ⓘ
ONLINE

Expires

Delivery to * (separate with comma)

Database settings

Database	Print format	Frequency	Update f
CAPLUS		Weekly	UP

Save Cancel

```
=> sdi  
  
ENTER QUERY L# FOR SDI REQUEST OR (END): L12  
ENTER UPDATE FIELD CODE (UP), UPM, UPIT, UPI, ED, UPP, UPOG, STUP OR ?: UP  
ENTER SDI REQUEST NAME, (AA001/S), OR END: AZACQDEAD/S  
ENTER COST CENTER (NONE) OR NONE: NONE  
ENTER TITLE (NONE): AZ UO CHANGE  
ENTER METHOD OF DELIVERY (EMAIL), ONLINE OR RSS: ONLINE  
ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N): N  
HIGHLIGHT HIT TERMS? (Y)/N: Y  
ENTER SDI RUN FREQUENCY - DAILY, (WEEKLY), BIWEEKLY, OR ?: WEE  
ENTER SDI EXPIRATION DATE 'YYYYMMDD' OR (NONE): ..  
  
QUERY L12 HAS BEEN SAVED AS SDI REQUEST 'AZACQDEAD/S'
```

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Monitoring legal status and family information in INPADOCDB

- Common alerts in INPADOCDB:
 - New published documents
 - From competitors
 - In a technology area
 - New family members of known patents
 - Changes in legal status of known patents

INPADOCDB delivers clear, uncluttered alert results

- INPADOCDB offers **sophisticated update codes** to specifically track changes either of individual records or of the entire patent family
- INPADOCDB offers **customized display formats** for family alerts showing only the current data since the last alert run or from a specific country
- **Linked SDIs** for precise monitoring legal status information
 - (L) update code / LAST

Monitoring legal status information

Linked SDIs enhance precision for SDI searching

```
=> S UNILEVER/PA,PAS AND ORE/LSC2 (L) UPLS/LAST
```

```
85240 UNILEVER/PA
```

```
85251 UNILEVER/PAS
```

```
1021083 ORE/LSC2
```

```
17233608 UPLS/LAST
```

```
(20240716-20250716/UPLS)
```

```
36307 ORE/LSC2 (L) UPLS/LAST
```

```
L39 72 UNILEVER/PA,PAS AND ORE/LSC2 (L) UPLS/LAST
```

UPLS/LAST linked to **ORE/LSC2** leads selectively to records with current opposition or reexamination entries.

See **HELP LEGSTAT** for details about legal event categories and coverage

Monitoring legal status information

Linked SDIs enhance precision for SDI searching

Entered INPADOCDB 11:31:18 ON 16 JUL 2025

L37 QUE UNILEVER/PA,PAS AND ORE/LSC2 (L) UPLS/LAST



Alert Settings

Title *
Unilever opposition filing

Method of delivery [ⓘ]
EMAIL

Expires
MM/DD/YYYY

Delivery to (separate with comma)
SEBASTIAN.BRAUCH@FIZ-KARLSRUHE.DE

Eliminate previously seen answers OFF

Highlight hit terms ON

Send alerts with no answers OFF

Delivery OFF

Cost center
NONE

Database settings

Database	Print format	Frequency	Update field code
INPADOCDB	BIB LS	Weekly	UPLS

Advanced

Save Cancel

Do **NOT** eliminate previously seen answers to not miss any further legal status updates to the same publication in the future.

Family and legal status alerts

Monitor patent applications for new family members or legal status changes

Entered HOME 08:53:47 ON 21 MAY 2021

Entered INPADOCDB 08:54:02 ON 21 MAY 2021

L1 11 S (US 20140127211 OR US 20060046991 OR US 20050256123 OR US 201)

Create an Alert

Patent Family Manager

Search or query the patent numbers, and start the alert wizard.

Alert Settings

Title *
Pfizer key patents

Eliminate previously seen answers OFF Highlight hit terms ON

Method of delivery [ⓘ] EMAIL Expires MM/DD/YYYY

Send alerts with no answers ON Delivery notification OFF

Delivery to (separate with commas)
sebastian.brauch@fiz-karlsruhe.de

Database settings

Database	Print format	Frequency	Update field code
INPADOCDB	CFAM FFAMED	Weekly	UPFE

Advanced

Save Cancel

Although starting from a single patent family member, the combination of the **UPFE** update code and **FFAMED** display format provides any **new records**, **new publications**, or **new legal status** for each alert run for the **entire INPADOC patent family**.

Family and legal status alerts

Monitor patent applications for new family members or legal status changes

PATENT FAMILY INFORMATION

AN 92474071 INPADOCDB

+-----PI-----+

...
EP 3497103 A1 20190619
EP 3497103 B1 20210505
US 20200392142 A1 20201217
US 20180044344 A1 20180215
...

AN 95383102 INPADOCDB ED 20190620 EW 201925 UP 20200723 UW 202117 Full-text
FN 57447004
DT Patent
PI EP 3497103 A1 20190619 English

LEGAL STATUS

AN 95383102 INPADOCDB
20210505 EPREG REFERENCE TO A NATIONAL CODE
GBFG4D + GB: EUROPEAN PATENT GRANTED
MIS Miscellaneous or Ambiguous

This alert regularly delivers a simple list of publication numbers (CFAM), and details of new publications, and/or legal status changes from the latest database update (FFAMED).

For **EP3497103** (equivalent of **US20180044344**) we have new legal status information in the latest database update (20210513).

.....20210513

FIZ PatMon – STN's own patent monitoring service

Efficient monitoring of the global legal protection of competitor and internal patents is crucial for successful patent portfolio management

- **New patent family members** indicate in which countries competitors are active and when a patent has been granted
- **Legal status updates** indicate if an application has been withdrawn, a patent has been challenged by opposition or patent ownership has changed
- Worldwide monitoring of INPADOC patent family and legal status changes
- Based on **enhanced INPADOC family information** from FIZ Karlsruhe Editorial

Monitoring options – examples

Option	Examples
All changes (standard option)	Monitor all patent family and legal status changes in the INPADOC family to get the complete picture
Specific countries	<ul style="list-style-type: none">– Monitor individual countries or exclude countries from your global alert, e.g. exclude Asian countries– Country-specific WO/EP legal status events are included
Publication types	<ul style="list-style-type: none">– Monitor applications (of a patent family) to become granted (e.g. to file oppositions)– specifically: monitor PCT-applications for granted EP patents
<u>Exclude</u> legal status events/categories	Tailor the volume of changes and exclude particular events/categories, e.g. Fee payments, Classification changes, EP designated states, EP inventor changes, US assignments
<u>Select</u> specific legal status events or categories	Monitor specific categories, e.g. Expiry, Lapse, Limitation of Rights, Opposition/Appeal, Withdrawal/Refusal.

Display of alert results

- Alert results are provided via e-mail notification or directly in FIZ PatMon
- All new family members and new legal status events at a glance
- INPADOC family display as overview or detailed for each domestic family
- Detailed legal status display - either for full INPADOC family or restricted to a domestic family

One e-mail per week or month summarizes all cases with relevant changes

Relevant changes were detected for your monitored patents.

Monitoring Run Number: #90
Monitoring Run Date: 2019-05-17

Below you find a list of cases with relevant events during the last monitoring cycle. The summarized results include all relevant changes according to your monitoring profile.

Cases in FIZ PatMon can directly be accessed by clicking on the case names.

Results of Monitoring

Case ID: 137688

Case Name: [NU_0363-EP-ETD](#)

hyperlink to the case in
FIZ PatMon application

Monitored Publication Number: EP2982699

Monitored Publication Title: PROCESS FOR THE PREPARATION OF VINYL POLYMER DISPERSIONS

Monitoring Reason:

Case Owner: Dieter Geiss

Case Watchers Armin Foerderer

Summary of Changes

New Publications

Publication			Application			Priority			Status	Calc. Expiration
Number	Kind	Date	Number	Kind	Date	Number	Kind	Date		
DK 2982699	T3	20190506	DK 2015-186237	T	20120411	EP 2011-161907 A20110411			GRANTED	20320411
						EP 2012-712685 A20120411				

Legal Status Changes

Gazette Date	Application	Legal Status Category	+/- Legal Event	Legal Event Description	Legal Event Details	Update Date
20190506	EP 2015-186237	ENP Entry into National Phase	+ EPREG DKT3	REFERENCE TO A NATIONAL CODE: EP PATENT WITH DANISH CLAIMS	LSCY: DK LSDF: 20190430 PN: DK 2982699	20190516

INPADOC family overview for a case

Family Overview

Title:			OPTICAL COMPONENT								
Inventors:			WALDIS SEVERIN, Switzerland (CH)								
AU 2012200481	A1	20120223	AU 2012-200481	A	20120127	AU 2010-224344 AU 2012-200481	A A	201009... 201201...	PRE-GRANT PUBLICATION	20300920	Regis
AU 2012200481	B2	20140417				AU 2010-224344 AU 2012-200481	A A	201009... 201201...	GRANTED	20300920	
EP 2259757	A1	20101215	EP 2009-728505	A	20090401	WO 2009-US39144 US 2008-41432P US 2009-415728	W P A	200904... 200804... 200903...	PRE-GRANT PUBLICATION	20290401	Register Federated Register
EP 2259757	A4	20140212				WO 2009-US39144 US 2008-41432P US 2009-415728	W P A	200904... 200804... 200903...	PRE-GRANT PUBLICATION	20290401	
EP 2259757	B1	20190313				WO 2009-US39144 US 2008-41432P US 2009-415728	W P A	200904... 200804... 200903...	GRANTED	20290401	

Each family with own background color

Links to Register or Global Dossier

Highlighting of new family members and legal events

Family Legal Status

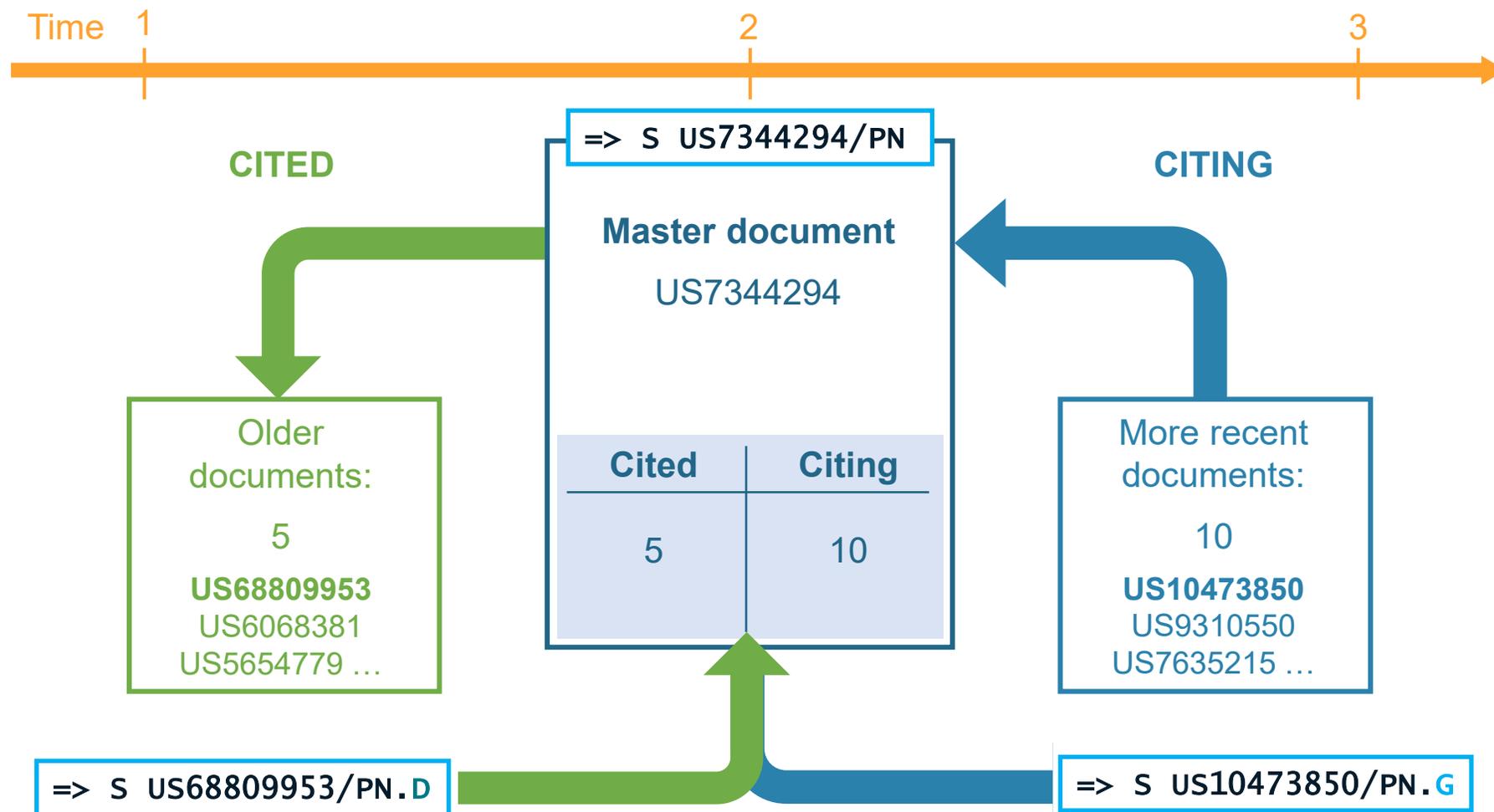
Gazette Date	Application	Legal Status Category	+/-	Legal Event	Legal Event Description	Legal Event Details	Update Date
20180831	EP 2007-827229	LAP Lapse (Non-Payment of Fees)	-	EPPG25	LAPSED IN A CONTRACTING STATE [ANNOUNCED FROM NATIONAL OFFICE TO EPO]	Country: BE Further Information: LAPSE BECAUSE OF NON-PAYMENT OF DUE FEES Date in Force: 20171031	20180913
20180828	US 2018-16113752	CHG Change of Owner, Inventor, Applicant	-	USAS	ASSIGNMENT	New Owner: INSPIREMD, LTD., ISRAEL Further Information: ASSIGNMENT OF ASSIGNORS INTEREST;ASSIGNORS:BAR, ELI;HOLZER, ZEEV ASHER;PAZ, OFIR;SIGNING DATES FROM 20140825 TO 20140923;REEL/FRAME:046718/0821	20190321

Agenda

- Alerts/SDI
- Ultimate Owner and Patent Status Indicator
- INPADOC Legal Status Monitoring and FIZ PatMon
- Citation Monitoring

Citation information on STN

What is the difference between Cited and Citing



Cited and citing reference field codes

Summary of fields for cited and citing information in DWPI



CITED (selected fields)

OS.D (Cited DWPI accession number)
PN.D (Cited patent number)
PACO.D (Cited patent assignee code)
 PACO.DX (... by examiner)
 PACO.DO (... by opposition)
 PACO.DTH (... by third party)
PA.D (Cited patent assignee)
IN.D (Cited Patent Inventor)
PC.D (Cited Patent Country)

CAT.D (Cited patent category)
PNC.D (Cited patents count)
OSC.D (Cited accession number count)
CRC (Cited reference count)
REN (Reference literature)

Master document

AN (Accession number)
PN (Patent number)
PACO (PA code)
PA (Patent assignee)
IN (Inventor)

Cited

Citing

CITING (selected fields)

OS.G (Citing DWPI accession number)
PN.G (Citing patent number)
PACO.G (Citing Patent Assignee Code)
 PACO.GX (... by examiner)
 PACO.GO (... by opposition)
 PACO.GTH (... by third party)
PA.G (Citing patent assignee)
IN.G (Citing inventor)
PC.G (Citing patent country)

CAT.G (Citing patent category)
PNC.G (Citing patents count)
OSC.G (Citing accession number count)

Citations in CAPLUS records

File CAPLUS

L6 ANSWER 8 OF 8 CAPLUS COPYRIGHT 2025 ACS on STN

AN **1991:539158** CAPLUS [Full-text](#)

DN 115:139158

OREF 115:23831a

TI Synthetic porous crystalline material, its preparation, and use

IN Beck, Jeffrey Scott; Chu, Cynthia Ting Wah; Johnson, Ivy Dawn; Kresge, Charles Theodore; Leonowicz, Michael Edward; Roth, Wieslaw Jerzy; Vartuli, James Clarke

PA Mobil Oil Corp., USA

UO EXXON MOBIL CORP

UOS Exxon Mobil

SO PCT Int. Appl., 96 pp.
CODEN: PIXXD2

DT Patent

LA English

FAN.CNT 13

ASSIGNMENT HISTORY FOR US PATENT AVAILABLE IN LSUS DISPLAY FORMAT

OSC.G 313 THERE ARE 313 CAPLUS RECORDS THAT CITE THIS RECORD (370 CITINGS)

Locate the reference of interest – its accession number will be used to locate the citing references, which are counted in the OSC.G field.

Search the accession number in the cited reference accession numbers (/RAN.CAPLUS) field

=> S 1991:539158/RAN.CAPLUS

L7 313 1991:539158/RAN.CAPLUS

=> ANA 1- PA

L8 ANALYZE L7 1- PA : 50 TERMS

This search retrieves 313 CAplus records that cite the reference. ANALYZE to see the top citing companies or inventors. Re-run periodically with an update code to see new results.

TERM #	# OCC	# DOC	% DOC	PA
1	18	18	5.75	MOBIL OIL CORP USA
2	5	5	1.60	EXXONMOBIL CHEMICAL PATENTS INC USA
3	4	4	1.28	CHEVRON U S A INC USA
4	3	3	0.96	ABB LUMMUS GLOBAL INC USA
5	3	3	0.96	AKZO NOBEL N V NETH
6	3	3	0.96	BOARD OF TRUSTEES OPERATING MICHIGAN STATE UNIVERSI
7	3	3	0.96	MOBIL OIL CORPORATION USA
8	3	3	0.96	PHILIP MORRIS USA INC USA
9	2	2	0.64	ABB LUMMUS GLOBAL INC NETH
10	2	2	0.64	IOWA STATE UNIVERSITY RESEARCH FOUNDATION INC USA

Citation searching in DWPI with high precision

- Single parts of a Derwent citation entry are linked together in one “paragraph”, e.g. cited patent numbers with cited patent assignee and citation category
 - Use **(P)** paragraph operator to pinpoint records of greatest interest
- Example: Search for EP inventions which cite BASF inventions as X or I documents

```
=> S EP/PC.F (P) BADI/PACO.D (P) (X OR I)/CAT  
  
    3828909 EP/PC.F  
    246897 BADI/PACO.D  
          (BADI-C/PACO.D)  
    14139789 X/CAT  
    2686166 I/CAT  
L41      10012 EP/PC.F (P) BADI/PACO.D (P) (X OR I)/CAT
```

```
=> D HIT
```

Manually run citation alerts – refine with update codes

```
=> S EP/PC.F (P) BADI/PACO.D (P) (X OR I)/CAT AND ED>20250101
```

```
3832678 EP/PC.F
```

```
247126 BADI/PACO.D
```

```
(BADI-C/PACO.D)
```

```
14165919 X/CAT
```

```
2692582 I/CAT
```

```
10022 EP/PC.F (P) BADI/P
```

```
2406540 ED>20250101
```

```
(ED>20250101)
```

```
L7 53 EP/PC.F (P) BADI/P
```

```
=> S EP/PC.F (P) BADI/PACO.D (P) (X OR I)/CAT AND UPP>20250101
```

```
3832678 EP/PC.F
```

```
247126 BADI/PACO.D
```

```
(BADI-C/PACO.D)
```

```
14165919 X/CAT
```

```
2692582 I/CAT
```

```
10022 EP/PC.F (P) BADI/PACO.D (P) (X OR I)/CAT
```

```
3531020 UPP>20250101
```

```
(UPP>20250101)
```

```
L6 699 EP/PC.F (P) BADI/PACO.D (P) (X OR I)/CAT AND UPP>20250101
```

Use citation searching to identify competitors

```
=> S ((E11-Q02A OR E31-H01 OR N07-L02C OR N07-L01+NT)/MC OR (B01D0053-9418 OR F01N0003-2066+NT)/CPC) AND BADI/PACO.D
```

E11-Q02A ENGINE EXHAUST TREATMENT

E31-H01 REMOVAL OF NITROGEN OXIDES FROM WASTE GASES ETC. CATALYTICALLY

N07-L02C REMOVAL/TREATMENT OF NITROGEN (COMPOUNDS)

N07-L01 PURIFICATION/WASTE DISPOSAL

25695 E11-Q02A/MC

32367 E31-H01/MC

23620 N07-L02C/MC

43448 N07-L01+NT/MC (8 TERMS)

2816 B01D0053-9418/CPC

14642 F01N0003-2066+NT/CPC (3 TERMS)

246897 BADI/PACO.D

(BADI-C/PACO.D)

```
L43 3101 ((E11-Q02A OR E31-H01 OR N07-L02C OR N07-L01+NT)/MC OR (B01D0053  
-9418 OR F01N0003-2066+NT)/CPC) AND BADI/PACO.D
```

Strategies like this can be saved as recurring alerts or run manually with an update code to identify new documents that cite an existing one.

Eliminate self-citations and ANALYZE to show key competitors

=> S L43 NOT BADI/PACO.G

197398 BADI/PACO.G

(BADI-C/PACO.G)

L44 2195 L43 NOT BADI/PACO.G

=> ANA L44 1- PACO; D DOC TOP 20

L45 ANALYZE L44 1- PACO : 1372 TERMS

TERM #	# OCC	# DOC	% DOC	PACO
1	267	165	7.52	BADI-C
2	232	145	6.61	JOHO-C
3	134	110	5.01	UMIC-C
4	183	92	4.19	TOYT-C
5	54	53	2.41	CATR-C
6	82	51	2.32	FORD-C
7	45	44	2.00	CUND-C
8	38	37	1.69	GENE-C
9	55	36	1.64	GENK-C
10	33	32	1.46	HYMR-C

Display citations alongside bibliographic information

```
=> S (D05-H19C OR B04-E13 OR B04-L05A2)/MC AND MULTI? (2A) GEN? (2A) EDIT? -> L1
```

```
=> D L1 1-10 FULLG CITNA
```

```
L1 ANSWER 1 OF X WPIX COPYRIGHT 2021 CLARIVATE on STN
```

```
AN 2019-99769H [201994] WPIX
```

```
TI New isolated nucleic acid having functional transcriptional promoter activity during meiosis, used in expression cassette or expression vector ...
```

```
PA (CNRS-C) CENT NAT RECH SCI; (INRG-C) INRA INST NAT RECH AGRONOMIQUE;
```

```
PI WO 2019224324 A1 20191128 (201994) * FR 33[7]
```

```
AB WO 2019224324 A1 UPAB 20191210
```

```
NOVELTY - Isolated nucleic acid having a functional transcriptional promoter activity during meiosis, and comprising a nucleotide sequence. SEQ ID NO: 1 (sequences not defined here may be found at ..
```

```
...
```

Cited Publication	By	Accession Number
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EP 3150626 A1	E	2017-22428Y
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WO 2015001521 A1	E	2015-03492Y
------------------	---	-------------

WO 2017161264 A1	E	2017-65933M
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Abbreviated display formats like **CITNA** provide deduplicated citation information on the Derwent family level and can be easily displayed along the full bibliographic data.

Summary

- STNNext has many tools and strategies for monitoring global IP protection and status
- Highly customizable alerts and precision analysis have long been a hallmark of STN's ability to track IP over its life cycle
- Additional tools like Ultimate Owner information, Patent Status Indicator, Interactive Claim Viewer, and Patent Family Manager make it easier and more efficient to follow a patent throughout its life
- FIZ PatMon, part of the STN IP Protection Suite, streamlines and automates legal status monitoring based on INPADOC data
- Citation searching in various databases adds additional depth to patent monitoring

Questions? Contact us!

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