

UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

APPLE INC.,
Petitioner,

v.

CALIFORNIA INSTITUTE OF TECHNOLOGY,
Patent Owner.

Case IPR2017-00700
Patent 7,421,032

**DECLARATION OF BRENDAN FREY, PH.D.
REGARDING U.S. PATENT NO. 7,421,032
CLAIMS 11, 12, 13, and 14-16**

Apple v. Caltech
IPR2017-00700
Apple 1065

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I, Brendan Frey, Ph.D., declare as follows:

1. My name is Brendan Frey.

I. BACKGROUND

2. I received a B.Sc. with Honors in Electrical Engineering from the University of Calgary in 1990, a M.Sc. in Electrical and Computer Engineering from the University of Manitoba in 1993, and a Ph.D. in Electrical and Computer Engineering from the University of Toronto in 1997.

3. Since July 2001, I have been at the University of Toronto, where I am a Professor of Electrical and Computer Engineering and Computer Science.

4. During my career I have conducted research in the areas of graphical models, error-correcting coding, machine learning, genome biology, medicine and computer vision. In 2015, I co-founded Deep Genomics Inc., a startup located in Toronto that is using artificial intelligence to find new medicines. Since then I have acted as its Chief Executive Officer. Deep Genomics has received over \$17M in venture capital funding, mostly from Silicon Valley investors. Deep Genomics has recruited scientists and engineers from top universities, including MIT, Stanford, the University of California, San Diego, and the University of Toronto, and from competing biotech and software companies, including Amazon,

Autodesk, Calico, and Human Longevity. In 2017, I co-founded the Vector Institute for Artificial Intelligence. The Vector Institute is internationally regarded as one of, if not the, top artificial intelligence research institutes in the world. It has over \$200M in funding and its current and newly hired professors have chosen faculty positions at the Vector Institute in preference to faculty offers from leading universities, including Stanford and MIT, and to senior researcher offers from leading industrial labs, including DeepMind, Google, Facebook, Microsoft and OpenAI.

5. I have received a number of honors and awards for the research I have conducted. In 2008, I was named a Fellow of the Institute for Electrical and Electronic Engineers (IEEE), an honor given to a person with an “extraordinary record or accomplishments” in the field of electrical engineering. In 2009, I was named a Fellow of the American Association for the Advancement of Science (AAAS), an honor that recognizes “efforts on behalf of the advancement of science or its applications which are scientifically or socially distinguished.” In 2009, I was awarded a Steacie Fellowship for my work on the theory and implementation of artificial and natural mechanisms for inferring patterns from data. The Steacie Fellowship is awarded by the Natural Sciences and Engineering Research Council of Canada (NSERC) to “outstanding and highly promising scientists and

engineers” who are faculty members of Canadian universities. In 2011, I received the NSERC’s John C. Polanyi Award, in recognition of my research on inferring genetic codes embedded in DNA that direct activities within cells. In 2015, I was elected as a Fellow of the Royal Society of Canada, with the following citation:

“Professor Frey has contributed to the emergence of new fields of research in machine learning and genome biology. He was one of the first researchers to successfully train a deep neural network, and he was a pioneer in inventing message passing algorithms, which are now widely used. He co-developed the long-sought-after ‘splicing code’ for determining how genes are expressed and introduced a new approach to understanding the genetics of disease.”

6. Throughout my career I have received funding from various governmental agencies to support my research, including the Natural Sciences and Engineering Research Council of Canada, the Canadian Institutes of Health Research, and the Canadian Institute for Advanced Research.

7. I have authored more than 200 publications and am named as an inventor on nine patents issued by the U.S. Patent and Trademark Office.

8. A copy of my curriculum vitae is included as Exhibit 1066.

9. I have reviewed the specification and claims of U.S. Patent No. 7,421,032 (the “’032 patent”; Ex. 1001). I have been informed that the ’032 patent

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