

Filed on behalf of Patent Owner Genentech, Inc. by:

David L. Cavanaugh (Reg. No. 36,476)  
Lauren V. Blakely (Reg. No. 70,247)  
Robert J. Gunther, Jr. (*Pro Hac Vice*)  
Lisa J. Pirozzolo (*Pro Hac Vice*)  
Kevin S. Prussia (*Pro Hac Vice*)  
Andrew J. Danford (*Pro Hac Vice*)  
WILMER CUTLER PICKERING  
HALE & DORR LLP  
1875 Pennsylvania Ave., NW  
Washington, DC 20006

Adam R. Brausa (Reg. No. 60,287)  
Daralyn J. Durie (*Pro Hac Vice*)  
DURIE TANGRI LLP  
217 Leidesdorff Street  
San Francisco, CA 94111

UNITED STATES PATENT AND TRADEMARK OFFICE

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**BEFORE THE PATENT TRIAL AND APPEAL BOARD**

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PFIZER, INC. and  
SAMSUNG BIOEPIS CO., LTD.,  
Petitioners,

v.  
GENENTECH, INC.,  
Patent Owner.

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Case IPR2017-01488<sup>1</sup>  
U.S. Patent 6,407,213

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**PATENT OWNER'S UPDATED EXHIBIT LIST**

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<sup>1</sup> Case IPR2017-02139 has been joined with this proceeding.

**IPR2017-01488**  
**Patent Owner's Exhibit List**

<b><u>Patent Owner's Exhibit Number</u></b>	<b><u>Exhibit Name</u></b>
2001	Genentech, Inc. Laboratory Notebook No. 10098 (Leonard Presta) PROTECTIVE ORDER MATERIAL
2002	Genentech, Inc. Laboratory Notebook No. 10823 (Leonard Presta) PROTECTIVE ORDER MATERIAL
2003	Genentech, Inc. Laboratory Notebook No. 11268 (Paul Carter) PROTECTIVE ORDER MATERIAL
2004	Genentech, Inc. Laboratory Notebook No. 11643 (Paul Carter) PROTECTIVE ORDER MATERIAL
2005	Genentech, Inc. Laboratory Notebook No. 10840 (John Brady) PROTECTIVE ORDER MATERIAL
2006	Genentech, Inc. Laboratory Notebook No. 11162 (John Brady) PROTECTIVE ORDER MATERIAL
2007	Excerpts from Genentech, Inc. Laboratory Notebook No. 11008 (Ann Rowland) PROTECTIVE ORDER MATERIAL
2008	Excerpts from Genentech, Inc. Laboratory Notebook No. 11297 (Tim Hotaling) PROTECTIVE ORDER MATERIAL
2009	Excerpts from Genentech, Inc. Laboratory Notebook No. 11568 (Monique Carver) PROTECTIVE ORDER MATERIAL
2010	Genentech, Inc. Interoffice Memorandum from Paul Carter to Leonard Presta and Dennis Henner PROTECTIVE ORDER MATERIAL
2011	Genentech, Inc. Interoffice Memorandum from Paul Carter to Leonard Presta PROTECTIVE ORDER MATERIAL
2012	Genentech, Inc. Synthetic DNA Requests PROTECTIVE ORDER MATERIAL
2013	Genentech, Inc. Synthetic DNA Requests PROTECTIVE ORDER MATERIAL

<u>Patent Owner's Exhibit Number</u>	<u>Exhibit Name</u>
2014	Genentech, Inc. Protein Engineering of 4D5 Status Report PROTECTIVE ORDER MATERIAL
2015	Genentech, Inc. Interoffice Memorandum re: RCC Minutes and Recommendations PROTECTIVE ORDER MATERIAL
2016	Declaration of Dr. Leonard G. Presta PROTECTIVE ORDER MATERIAL
2017	Declaration of Dr. Paul J. Carter PROTECTIVE ORDER MATERIAL
2018	Declaration of John Ridgway Brady PROTECTIVE ORDER MATERIAL
2019	Declaration of Irene Loeffler
2020	Paul Carter, et al., <i>Humanization of the Anti-p185 Antibody for Human Cancer Therapy</i> , 89 PROC. NATL. ACAD. SCI. 4285-4289 (1992)
2021	Leonard Presta, et al., <i>Humanization of an Anti-Vascular Endothelial Growth Factor Monoclonal Antibody for the Therapy of Solid Tumors and Other Disorders</i> , 57 CANCER RESEARCH 4593-4599 (1997)
2022	Marianne Brüggerman, et al., <i>The Immunogenicity of Chimeric Antibodies</i> , 170 J. EXP. MED. 2153-2157 (1989)
2023	Jatinderpal Kalsi, et al., <i>Structure-function Analysis and the Molecular Origins of Anti-DNA Antibodies in Systemic Lupus Erythematosus</i> , EXPERT REVIEWS IN MOLECULAR MEDICINE 1-28 (1999)
2024	Scott Gorman, et al., <i>Reshaping a Therapeutic CD4 Antibody</i> , 88 PROC. NATL. ACAD. SCI. 4181-4185 (1991)
2025	John Isaacs, et al., <i>Humanised Monoclonal Antibody Therapy for Rheumatoid Arthritis</i> , 340 THE LANCET 748-752 (1992)
2026	Elvin Kabat, et al., <i>Sequences of Proteins of Immunological Interest</i> 1-23 (4th ed. 1987)
2027	Anna Tramontano, et al., <i>Framework Residue 71 Is a Major Determinant of the Position and Conformation of the Second Hypervariable Region in the VH Domains of Immunoglobulins</i> , 215 J. MOL. BIOL. 175-182 (1990)

<u>Patent Owner's Exhibit Number</u>	<u>Exhibit Name</u>
2028	H.M. Shepard, et al., <i>Herceptin</i> , in THERAPEUTIC ANTIBODIES. HANDBOOK OF EXPERIMENTAL PHARMACOLOGY 183-219 (Y. Chernajovsky & A. Nissim, eds. 2008)
2029	Excerpt from Roche Finance Report 2016
2030	Modified Default Standing Protective Order and Patent Owner's Certification of Agreement to Terms
2031	Modified Default Standing Protective Order – Redline
2032	File History for U.S. Patent Application No. 07/715,272 <i>Immunoglobulin Variants</i> (filed June 14, 1991).
2033	Shearman, et al. <i>Construction, expression and characterization of humanized antibodies directed against the human a/b T cell receptor</i> . J. Immunol. 147(12):4366-4373, (December 15, 1991)
2034	Declaration of Robert J. Gunther, Jr. in support of Motion for Admission Pro Hac Vice
2035	Declaration of Daralyn J. Durie in support of Motion for Admission Pro Hac Vice
2036	Declaration of Lisa J. Pirozzolo in support of Motion for Admission Pro Hac Vice
2037	Declaration of Kevin S. Prussia in support of Motion for Admission Pro Hac Vice
2038	Declaration of Andrew J. Danford in support of Motion for Admission Pro Hac Vice
2039	Deposition Transcript of Jefferson Foote, <i>Pfizer, Inc. v. Genentech, Inc.</i> (PTAB), Feb. 4, 2018
2040	Deposition Transcript of Timothy Buss, <i>Pfizer, Inc. v. Genentech, Inc.</i> (PTAB), Feb. 8, 2018
2041	Expert Declaration of Dr. Ian A. Wilson
2042	U.S. Patent No. 7,375,193
2043	U.S. Patent No. 7,560,111
2044	Leonard Presta, et al., <i>Humanization of an Antibody Directed Against IgE</i> , 151 J. IMMUNOLOGY 2623-2632 (1993)
2045	A. Bondi, <i>van de Waals Volumes and Radii</i> , 68 J. PHYSICAL CHEMISTRY 441-451 (1964)
2046	Reserved
2047	Reserved

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Patent Owner's Updated Exhibit List

<u>Patent Owner's Exhibit Number</u>	<u>Exhibit Name</u>
2048	Reserved
2049	Reserved
2050	Reserved
2051	Man Sung Co, et al., <i>Chimeric and Humanized Antibodies with Specificity for The CD33 Antigen</i> , 148 J. IMMUNOLOGY 1149-1154 (1992)
2052	Trial Transcript – Vol. II, <i>Sinomab Bioscience Ltd. v. Immunomedics, Inc.</i> , No. 2417-VCS (Del. Ch. Nov. 13, 2008) (Excerpted)
2053	Ole Brekke, et al., <i>Therapeutic Antibodies for Human Diseases at the Dawn of the Twenty-First Century</i> , 2 NATURE REVIEWS   DRUG DISCOVERY 52- 62 (2003)
2054	Thomas A. Waldmann, <i>Monoclonal Antibodies in Diagnosis and Therapy</i> , 252 SCIENCE 1657-1662 (1991)
2055	Greg Winter, et al., <i>Antibody-Based Therapy: Humanized Antibodies</i> , 14 TIPS 139-143 (1993)
2056	IPR2016-01694 Expert Declaration of Edward Ball, M.D. In Support of Petition for <i>Inter Partes</i> Review of Patent No. 6,407,213
2057	<i>About HNCs and HNDs</i> , SCOTTISH QUALIFICATIONS AUTH., <a href="https://www.sqa.org.uk/sqa/168.2432.html">https://www.sqa.org.uk/sqa/168.2432.html</a> (last visited Feb. 6, 2018)
2058	Redline of IPR2016-01694 Expert Declaration of Edward Ball, M.D. in Support of Petition for <i>Inter Partes</i> Review of Patent No. 6,407,213 and IPR2017-01488 Declaration of Timothy Buss
2059	Deposition Transcript of Jefferson Foote, <i>Pfizer, Inc. v. Genentech, Inc.</i> (PTAB), June 14, 2018
2060	Transcript of Conference Call, <i>Pfizer, Inc. v. Genentech, Inc.</i> , June 19, 2018

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