

UNITED STATES PATENT AND TRADEMARK OFFICE

---

BEFORE THE PATENT TRIAL AND APPEAL BOARD

---

ROKU, INC.,  
Petitioner,

v.

UNIVERSAL ELECTRONICS INC.,  
Patent Owner.

---

Case IPR2020-00951 and IPR2020-00953  
Patent 9,911,325

---

**OPPOSITION TO PETITIONERS' MOTION FOR JOINDER UNDER 35  
U.S.C. § 315(C) AND 37 C.F.R. §§ 42.22 AND 42.122(B)**

**Mail Stop "PATENT BOARD"**  
Patent Trial and Appeal Board  
U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

## I. INTRODUCTION

Universal Electronics Inc. (“Patent Owner” or “UEI”) served Roku with a District Court complaint on September 18, 2018, alleging infringement of “one or more claims” of U.S. Patent No. 9,911,325 (“the ’325 Patent”). Exactly one year later, Roku strategically petitioned for review of some but not all of the claims of the ’325 Patent. The Board has now instituted review in that proceeding, Roku’s expert is being deposed this week, UEI’s Response is due in two weeks, Roku’s Reply is due in less than three months, and the Board’s Final Decision is due in less than ten months.

Now, 20 months after being served with UEI’s complaint in the District Court case, Roku seeks to flip the IPR process on its head by asking the Board to review *two* brand new IPR petitions that have been time-barred for over eight months, and to ignore the statutory deadline to complete the originally-filed IPR. Simply put, Roku’s newly-filed IPR petitions are harassing, vexatious, duplicative, and untimely; it will significantly increase the costs and resources spent litigating the validity of the ’325 Patent; and is an abuse of the IPR process.

Additionally, Roku’s motion is predicated on a misreading of the Supreme Court’s decision in *Thryv, Inc. v. Click-to-Call Tech, LP*. Contrary to Roku’s argument, *Thryv* did not abrogate the Federal Circuit’s precedential holding in *Facebook, Inc. v. Windy City Innovations, LLC* that same-party and new-issue

joinder are prohibited under §315(c). Rather, *Thryv* makes clear that the no-appeal provision of §314(d) is limited to institution decisions, while *Windy City* pertains solely to proceedings that have already been instituted.

## II. FACTS

On September 18, 2018, UEI served Roku with a complaint filed in the Central District of California alleging infringement of “one or more claims” of each of U.S. Patent Nos. 7,589,642, 8,004,389, 9,911,325, 9,716,853, 7,782,309, 7,821,504, 7,821,505, 7,895,532, and 8,015,446. On December 14, 2018, UEI filed its Disclosure of Asserted Claims and Infringement Contentions, identifying 106 asserted claims across the nine patents, including claims 1-2, 4, and 7 of the ’325 Patent. UEI noted that it had not yet received discovery from Roku, and that the list of claims was based on the limited information that UEI had obtained to date. UEI reserved the right to seek to amend its disclosure of asserted claims as discovery progressed.

On March 14, 2019, the District Court ordered UEI to limit the total number of asserted claims to 25 claims. *See Universal Electronics Inc. v. Roku, Inc.*, No. 8-18-cv-01580, Dkt. 64 (C.D. Cal. Mar. 14, 2019). The District Court noted that UEI would have the opportunity to reassert unselected claims upon a showing that they presented unique issues. *See id.* at 3, 9 (“Again, the Court notes that if UEI ultimately discovers that non-selected claims raise separate and distinct legal issues from those

raised by the already-selected claims, UEI may ask the Court for leave to reassert unselected claims.”). On April 5, 2019, UEI identified the same claims 1-2, 4 and 7 as the claims that it would be proceeding with for the ’325 Patent.

On September 18, 2019—the very last day that Roku could file an IPR challenging the claims of the ’325 Patent—Roku petitioned for *inter partes* review of claims 1-2, 4 and 7 of the ’325 Patent. Roku’s originally-filed IPR is now in its advanced stages. The Board instituted review over two months ago, Roku’s expert is being deposed this week, UEI’s Response is due in two weeks, Roku’s Reply is due in less than three months, and the Board’s Final Decision is due in less than ten months.

On April 16, 2020, UEI filed a complaint at the International Trade Commission, asserting infringement of claims 1, 2, 4, 6-9, and 11-16 against Roku. On May 18, 2020, eight months after the one year statutory bar set forth in §315(b), Roku filed *two* new IPR petitions for the ’325 Patent. Roku’s new petitions rely on new prior art and new arguments that could have been made at the time that Roku filed its earlier petition but were not. For instance, in IPR2020-00951, Roku seeks to challenge claims 6, 8, 9, 11-16 for the first time and seeks to rely on two new prior art references: U.S. Patent Publication No. 2005/0168658 to Woolgar et al. and U.S. Patent No. 7,861,262 to Gutman. In IPR2020-00953, Roku seeks to rely on a new prior art reference, U.S. Patent Publication No. 2012/0249890 to Chardon *et al.*,

based on the new argument that the '325 Patent is not entitled to its earliest claimed priority date. These new references and arguments are an attempt to correct blatant omissions and deficiencies from Roku's earlier filed petition. Roku provides no explanation, however, for why the new prior art references and arguments could not have been made earlier.

### III. ARGUMENT

#### A. Roku's Motion Should Be Denied Because It Is An Abuse of the IPR Process

Roku's motion should be denied because it is an abuse of the IPR process. Roku has known of its alleged infringement of the '325 Patent since at least September 18, 2018 (*i.e.*, the date Roku was served with the complaint in the District Court case). It was Roku's decision to file its original IPR challenging the validity of the '325 Patent on *the very last day* that Roku could file such a challenge (*i.e.*, September 18, 2019), and it was Roku's decision to challenge only a subset of the asserted claims.

Roku's two new IPR petitions—which were filed 20 months after being served with UEI's complaint in the District Court case—are undeniably time-barred under 35 U.S.C. § 315(b), and have been so for eight months. Additionally, in view of the advanced stage of the original IPR proceedings (*see* Section II, *supra*), it is difficult, if not impossible, to imagine how Roku's motion for joinder could be

# Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

## Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time alerts** and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

## Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

## Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

## API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

## LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

## FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

## E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.