

**PATENT COOPERATION TREATY**

**PCT**

**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

(Chapter I of the Patent Cooperation Treaty)

(PCT Rule 44bis)

Applicant's or agent's file reference 2017P19659WO	<b>FOR FURTHER ACTION</b>		See item 4 below
International application No. PCT/US2018/050834	International filing date ( <i>day/month/year</i> ) 13 September 2018 (13.09.2018)	Priority date ( <i>day/month/year</i> ) 14 September 2017 (14.09.2017)	
International Patent Classification (8th edition unless older edition indicated) See relevant information in Form PCT/ISA/237			
Applicant SIEMENS HEALTHCARE DIAGNOSTICS INC.			

<p>1. This international preliminary report on patentability (Chapter I) is issued by the International Bureau on behalf of the International Searching Authority under Rule 44 bis.1(a).</p> <p>2. This REPORT consists of a total of 6 sheets, including this cover sheet.</p> <p>In the attached sheets, any reference to the written opinion of the International Searching Authority should be read as a reference to the international preliminary report on patentability (Chapter I) instead.</p>																								
<p>3. This report contains indications relating to the following items:</p> <table> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. I</td> <td>Basis of the report</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. II</td> <td>Priority</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. III</td> <td>Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. IV</td> <td>Lack of unity of invention</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. V</td> <td>Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VI</td> <td>Certain documents cited</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VII</td> <td>Certain defects in the international application</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. VIII</td> <td>Certain observations on the international application</td> </tr> </table> <p>4. The International Bureau will communicate this report to designated Offices in accordance with Rules 44bis.3(c) and 93bis.1 but not, except where the applicant makes an express request under Article 23(2), before the expiration of 30 months from the priority date (Rule 44bis .2).</p>	<input checked="" type="checkbox"/>	Box No. I	Basis of the report	<input type="checkbox"/>	Box No. II	Priority	<input checked="" type="checkbox"/>	Box No. III	Non-establishment of opinion with regard to novelty, inventive step and industrial applicability	<input type="checkbox"/>	Box No. IV	Lack of unity of invention	<input checked="" type="checkbox"/>	Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement	<input type="checkbox"/>	Box No. VI	Certain documents cited	<input type="checkbox"/>	Box No. VII	Certain defects in the international application	<input checked="" type="checkbox"/>	Box No. VIII	Certain observations on the international application
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<p align="center">The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland</p> <p>Facsimile No. +41 22 338 82 70</p>	<p>Date of issuance of this report 17 March 2020 (17.03.2020)</p>
	<p>Authorized officer</p> <p align="center"><b>Agnès Wittmann-Regis</b></p> <p>e-mail: pct.team6@wipo.int</p>

PATENT COOPERATION TREATY

From the  
INTERNATIONAL SEARCHING AUTHORITY

To: Kyle D. Petaja  
Siemens Corporation  
Intellectual Property Dept.  
3501 Quadrangle Blvd Ste 230  
Orlando, Florida 32817  
United States of America

PCT

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

(PCT Rule 43bis.1)

Date of mailing  
(day/month/year) **14 NOV 2018**

Applicant's or agent's file reference  
2017P19659WO

**FOR FURTHER ACTION**  
See paragraph 2 below

International application No.  
PCT/US18/50834

International filing date (day/month/year)  
13 September 2018 (13.09.2018)

Priority date (day/month/year)  
14 September 2017 (14.09.2017)

International Patent Classification (IPC) or both national classification and IPC  
IPC - G01N 33/50, 33/53, 33/543; C12Q 1/68 (2018.01)  
CPC - G01N 33/50, 33/53, 33/5302, 33/543; C12Q 1/68

Applicant **SIEMENS HEALTHCARE DIAGNOSTICS INC.**

1. This opinion contains indications relating to the following items:
- Box No. I Basis of the opinion
  - Box No. II Priority
  - Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
  - Box No. IV Lack of unity of invention
  - Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step and industrial applicability; citations and explanations supporting such statement
  - Box No. VI Certain documents cited
  - Box No. VII Certain defects in the international application
  - Box No. VIII Certain observations on the international application
2. **FURTHER ACTION**
- If a demand for international preliminary examination is made, this opinion will be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA") except that this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notified the International Bureau under Rule 66.1bis(b) that written opinions of this International Searching Authority will not be so considered.
- If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later.
- For further options, see Form PCT/ISA/220.

Name and mailing address of the ISA/US  
Mail Stop PCT, Attn: ISA/US  
Commissioner for Patents  
P.O. Box 1450, Alexandria, Virginia 22313-1450  
Facsimile No. 571-273-8300

Date of completion of this opinion  
**26 October 2018 (26.10.2018)**

Authorized officer  
**Shane Thomas**  
PCT Helpdesk: 571-272-4300  
PCT OSP: 571-272-7774

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.

PCT/US18/50834

**Box No. 1 Basis of this opinion**

1. With regard to the **language**, this opinion has been established on the basis of:

- the international application in the language in which it was filed.  
 a translation of the international application into \_\_\_\_\_ which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b)).

2.  This opinion has been established taking into account the **rectification of an obvious mistake** authorized by or notified to this Authority under Rule 91 (Rule 43*bis*.1(a)).

3.  With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, this opinion has been established on the basis of a sequence listing:

a.  forming part of the international application as filed:

- in the form of an Annex C/ST.25 text file.  
 on paper or in the form of an image file.

b.  furnished together with the international application under PCT Rule 13*ter*.1(a) for the purposes of international search only in the form of an Annex C/ST.25 text file.

c.  furnished subsequent to the international filing date for the purposes of international search only:

- in the form of an Annex C/ST.25 text file (Rule 13*ter*.1(a)).  
 on paper or in the form of an image file (Rule 13*ter*.1(b) and Administrative Instructions, Section 713).

4.  In addition, in the case that more than one version or copy of a sequence listing has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that forming part of the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

5. Additional comments:

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITYInternational application No.  
PCT/US18/50834**Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of:

the entire international application.

claims Nos. 4-20

because:

the said international application, or the said claims Nos. \_\_\_\_\_ relate to the following subject matter which does not require an international search (*specify*):

the description, claims or drawings (*indicate particular elements below*) or said claims Nos. 4-20 are so unclear that no meaningful opinion could be formed (*specify*):

because claims 4-20 are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

the claims, or said claims Nos. \_\_\_\_\_ are so inadequately supported by the description that no meaningful opinion could be formed (*specify*):

no international search report has been established for said claims Nos. 4-20

a meaningful opinion could not be formed without the sequence listing; the applicant did not, within the prescribed time limit:

furnish a sequence listing in the form of an Annex C/ST.25 text file, and such listing was not available to the International Searching Authority in the form and manner acceptable to it; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.

furnish a sequence listing on paper or in the form of an image file complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in the form and manner acceptable to it; or the sequence listing furnished did not comply with the standard provided for in Annex C of the Administrative Instructions.

pay the required late furnishing fee for the furnishing of a sequence listing in response to an invitation under Rule 13<sup>ter</sup>.1(a) or (b).

See Supplemental Box for further details.

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.

PCT/US18/50834

**Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step and industrial applicability; citations and explanations supporting such statement**

## 1. Statement

Novelty (N)	Claims	<u>3/1-2</u>	YES
	Claims	<u>1-2</u>	NO
Inventive step (IS)	Claims	<u>None</u>	YES
	Claims	<u>1-2, 3/1-2</u>	NO
Industrial applicability (IA)	Claims	<u>1-2, 3/1-2</u>	YES
	Claims	<u>None</u>	NO

## 2. Citations and explanations:

Claims 1-2 lack novelty under PCT Article 33(2) as being anticipated by US 2011/0105712 A1 to Jiang et al. (hereinafter 'Jiang').

As per claim 1, Jiang discloses a membrane for an in vitro diagnostic sensor (a polymer monolayer comprising a polymer backbone is utilized on a diagnostic sensor surface, although not explicitly disclosed the surface polymer monolayer would meet the limitation of a membrane; paragraphs [0034], [0036], [0075], [0129]) for detecting the presence of a target analyte in a fluidic biological sample (target molecules (analytes) from a sample can be bound to the polymer monolayer for use as a diagnostic assay, as such the presence of the target analyte would be detected as claimed, the sample may comprise human blood (fluidic biological sample); paragraphs [0036], [0129], [0229]), the membrane comprising: a polymer matrix comprising a polymer that has been modified to contain at least one surface adhesion functional group (the polymer backbone (matrix) comprises one or more catechol groups which allows the polymer to adhere to a surface, as such the polymer has been modified to contain at least one surface adhesion functional group as claimed; paragraphs [0075], [0079]), wherein the at least one surface adhesion functional group enables attachment of the membrane to a substrate of the in vitro diagnostic sensor (the catechol groups (surface adhesion functional group) allow the polymer to adhere (attachment of the membrane) on the surface, the surface is a substrate of the biosensor (diagnostic sensor) for diagnostic assays (in vitro); paragraphs [0033]-[0034], [0079]).

As per claim 2, Jiang discloses the membrane of claim 1, and Jiang further discloses wherein the at least one surface adhesion functional group comprises a catecholic functional group (a catechol (functional) group is utilized with the polymer, the catechol group would meet the limitation of the at least one surface adhesion function group as claimed; paragraph [0079]).

Claims 3/1-2 lack an inventive step under PCT Article 33(3) as being obvious over Jiang, further in view of WO 2016/105503 A1 to Genentech, Inc (hereinafter 'Genentech').

As per claims 3/1-2, Jiang discloses the membrane of claims 1-2, and Jiang further discloses polymer is a polyvinyl (vinyl polymer backbone; paragraph [0083]). Jiang does not disclose wherein the polymer is polyvinyl chloride, carboxylated-polyvinyl chloride, and/or aminated-polyvinyl chloride. Genentech discloses wherein the polymer is polyvinyl chloride (an assay can detect specific biomarkers by binding the biomarkers to a polymer surface, the polymer surface may comprise a polyvinyl chloride; page 43, lines 9-14). It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the membrane of Jiang to provide polyvinyl chloride as the polymer material, as taught by Genentech, in order to provide a means for bonding specific biomarkers from a sample in an assay using a well-established binding process (Genentech, page 44, lines 9-18).

Claims 1-2 and 3/1-2 have industrial applicability as defined by PCT Article 33(4) because the subject matter can be made or used in industry.

WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY

International application No.

PCT/US18/50834

**Box No. VIII Certain observations on the international application**

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:

Claim 2 is objected to under PCT Rule 66.2(a)(v) as lacking clarity under PCT Article 6 because the claim is indefinite for the following reason(s):

In claim 2, line 2, the phrase "catecholic functional group (1,2-dihydroxybenzene)" is interpreted as being indefinite since it is unclear if (1,2-dihydroxybenzene) is a required limitation of the claim or merely a preferred embodiment. For the purposes of this opinion the phrase has been interpreted as reading -catecholic functional group-.