# Table of Contents

About the Authors ........................................................................ vii  
Table of Chapters ......................................................................... xv  
Table of Contents .......................................................................... xvii  

## PATENTS

| Chapter 1 | Patent Basics ........................................................................ 1  
|           |                  |  
| Q 1.1    | What is a patent? ................................................................ 2  
| Q 1.2    | Where can I find U.S. patent law? ....................................... 4  
| Q 1.2.1  | What is the review process within the PTO? ......................... 5  
| Q 1.2.2  | How are PTO decisions appealed? .......................................... 5  
| Q 1.2.3  | What is the standard of review for PTO decisions? ................ 6  
| Q 1.3    | What is the purpose of granting patents? ............................. 6  
| Q 1.4    | What are the advantages of obtaining a patent? ..................... 7  
| Q 1.5    | What are the types of patents?  ........................................... 7  
| Q 1.5.1  | What is a utility patent? .................................................... 7  
| Q 1.5.2  | What is a design patent? .................................................... 8  
| Q 1.5.3  | What is a plant patent? ...................................................... 8  
| Q 1.6    | How long does a patent last? ................................................ 8  
| Q 1.7    | Can the term of a patent be extended or adjusted? ............... 8  
| Q 1.7.1  | What is a Hatch-Waxman extension? .................................... 10  
| Q 1.8    | Can the term of a patent be reduced? ................................... 10  
| Q 1.9    | What kinds of inventions are considered patentable? ............. 11  
| Q 1.9.1  | What is a process? ............................................................ 11  
| Q 1.9.2  | What is a machine? ............................................................ 12  
| Q 1.9.3  | What is a manufacture? ...................................................... 12  
| Q 1.9.4  | What is a composition of matter? ....................................... 12  
| Q 1.10   | What are the limits of the kinds of inventions that can be patented? ..................................................... 12  
| Q 1.10.1 | Can products of nature be patented? .................................. 12  
| Q 1.10.2 | Can natural processes or ideas be patented? ....................... 16  
| Q 1.10.3 | Can business methods be patented? .................................... 20  
| Q 1.10.4 | Can software be patented? ............................................... 23  
| Q 1.10.5 | Can tax strategies be patented? ......................................... 25  

---

Keith R. Hummel & Peter A. Emmi
Q 1.10.6  Are the requirements for plant patents different from those of utility patents? ............................................................... 25
Q 1.10.7  Are the requirements for design patents different from those of utility patents? ............................................................... 25

Chapter 2  The Parts of a Patent ................................................................................. 35

Keith R. Hummel & Peter A. Emmi

Q 2.1  What information is contained on the cover page? ................................. 36
Q 2.2  What is an abstract? ..................................................................................... 38
Q 2.3  What is a specification? .................................................................................. 38
Q 2.4  What is a claim? ............................................................................................. 39
  Q 2.4.1  What are “apparatus” and “method” claims? .............................................. 39
  Q 2.4.2  What is a means-plus-function claim? ....................................................... 40
  Q 2.4.3  What is a Beaufort Claim? ....................................................................... 40
  Q 2.4.4  What is a Jepson claim? ......................................................................... 40
  Q 2.4.5  What is a Markush claim? ..................................................................... 41
  Q 2.4.6  What is a product-by-process claim? ......................................................... 41
  Q 2.4.7  What are the elements of a claim? ............................................................ 41
  Q 2.4.8  What is a claim limitation? ................................................................. 42
  Q 2.4.9  What are “independent” and “dependent” claims? ......................... 43
Q 2.5  What drawings and other demonstratives are included in a patent? ............ 45
  Q 2.5.1  Must drawings be done professionally? .................................................. 45
Q 2.6  Can computer programs be included? ............................................................. 45
Q 2.7  What does “incorporate by reference” mean? ................................................. 46

Chapter 3  Relations Among Patents ............................................................................. 49

Keith R. Hummel & Peter A. Emmi

Q 3.1  What is a “patent family”? .......................................................................... 50
Q 3.2  How are patent families formed? ................................................................. 50
Q 3.3  What is the significance of the “priority date”? .................................... 52
  Q 3.3.1  What is an “effective filing date”? ............................................................. 52
Q 3.4  How is the priority date determined? ............................................................. 52
  Q 3.4.1  How can an applicant establish a priority date earlier than the filing date? 53
  Q 3.4.2  What is the benefit of establishing a priority date earlier than the filing date? 54
Q 3.5  In what situations can an applicant claim priority to another patent application or patent? ......................................................... 55
| Q 3.6 | What is a continuation patent application? | 56 |
| Q 3.6.1 | Why file a continuation patent application? | 56 |
| Q 3.6.2 | What are the requirements for a continuation patent application? | 57 |
| Q 3.7 | What is a continuation-in-part patent application? | 58 |
| Q 3.8 | What is a divisional patent application? | 58 |
| Q 3.8.1 | What are the requirements for a divisional patent application? | 59 |
| Q 3.9 | Do patent relations affect the term of the patent? | 59 |

Chapter 4 Patent Applications

Keith R. Hummel & Peter A. Emmi

| Q 4.1 | What is required, with respect to the invention, prior to filing a patent application? | 64 |
| Q 4.1.1 | Do I have to build or create my invention prior to filing a patent application? | 64 |
| Q 4.2 | What is patent prosecution? | 64 |
| Q 4.2.1 | Who may prosecute a patent application? | 65 |
| Q 4.3 | How long does it typically take to obtain a patent? | 65 |
| Q 4.4 | Who may apply for a patent? | 65 |
| Q 4.5 | Who is considered an inventor? | 66 |
| Q 4.6 | What types of patent applications can be filed? | 68 |
| Q 4.6.1 | What is a nonprovisional application? | 68 |
| Q 4.6.2 | What is a provisional application? | 70 |
| Q 4.7 | What is “prior art”? | 71 |
| Q 4.8 | What is a prior art search? | 71 |
| Q 4.8.1 | Do I have to perform a prior art search before filing a patent application? | 72 |
| Q 4.8.2 | Why would a person search for prior art? | 72 |
| Q 4.8.3 | How do I search for patents? | 72 |
| Q 4.8.4 | How do I search for documents other than patents? | 73 |
| Q 4.8.5 | How does a patent examiner find relevant prior art? | 73 |
| Q 4.9 | What are the time limits for filing a patent application? | 74 |
| Q 4.9.1 | If an invention is put into use, offered for sale, or sold prior to filing a patent application, can I still attempt to obtain a patent? | 75 |
| Q 4.10 | Can one file a patent application electronically? | 75 |
| Q 4.11 | What information must be submitted when filing a patent application? | 76 |
| Q 4.12 | How is the filing date set by the PTO? | 76 |
Chapter 5  The PTO’s Review of the Application

Keith R. Hummel & Peter A. Emmi

Q 5.1  What happens when a patent application is filed? ..............................82
Q 5.2  What are the duties of the patent examiner? .....................................82
Q 5.3  How do the applicant and the examiner interact? .............................83
Q 5.4  How can third parties participate in the examination? .......................83
  Q 5.4.1  What are the requirements for a pre-issuance submission? ..........84
Q 5.5  What recourse does the applicant have if the examiner issues a “final” rejection? .................................................................84
Q 5.6  What is an office action? ................................................................85
  Q 5.6.1  What is a nonfinal office action? ................................................85
  Q 5.6.2  What is a “file history”? .............................................................85
Q 5.7  How may the applicant respond to the examiner’s office actions? ..........................86
Q 5.8  Can the applicant make changes to the content of a patent application after filing? ........................................................................86
Q 5.9  What are “restriction requirements” and an “election” of an invention? .....................................................................................87
Q 5.10 What is an “examiner interview” and when is it applicable? .........87
Q 5.11 What is an examiner “rejection” or “objection”? ..........................88
Q 5.12 What are the possible bases for rejection? .....................................88
  Q 5.12.1  What is a double patenting rejection? .......................................88
  Q 5.12.2  What is a terminal disclaimer? ................................................89
Q 5.13  What is a final office action? ..........................................................89
Q 5.14  How may the applicant respond to a final office action? ..........90
  Q 5.14.1  What is a reconsideration request? ..........................................90
  Q 5.14.2  What is a request for continued examination? .......................90
  Q 5.14.3  Can the applicant appeal a final office action? ....................90
Q 5.15  When is a patent application published? .....................................91
Q 5.16  What is the Invention Secrecy Act? ................................................91
Q 5.17  What is the duty to disclose information during prosecution of a patent application? .................................................................92
  Q 5.17.1  What is the scope of the duty of candor and good faith? .......93
  Q 5.17.2  To whom does the duty to disclose apply? ...............................93
  Q 5.17.3  How long does the duty to disclose last? ...............................96
  Q 5.17.4  What is an Information Disclosure Statement (IDS)? ..........96
  Q 5.17.5  When is an IDS required? ......................................................96
Q 5.18  What happens when a patent application is allowed? .................97
### Table of Contents

**Chapter 6 Maintaining and Modifying Patents; Ownership; Marking** .......................................................... 103  

*Keith R. Hummel & Peter A. Emmi*

<table>
<thead>
<tr>
<th>Q 6.1</th>
<th>What are maintenance fees? .......................................................... 104</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q 6.1.1</td>
<td>Can late payment affect patent rights? .......................... 105</td>
</tr>
<tr>
<td>Q 6.2</td>
<td>What is a certificate of correction? ........................................... 105</td>
</tr>
<tr>
<td>Q 6.3</td>
<td>What is a reexamination? ............................................................. 105</td>
</tr>
<tr>
<td>Q 6.3.1</td>
<td>Who can request a reexamination? ............................................ 106</td>
</tr>
<tr>
<td>Q 6.3.2</td>
<td>What is an ex parte reexamination? ........................................... 106</td>
</tr>
<tr>
<td>Q 6.3.3</td>
<td>What is an inter partes reexamination? ...................................... 107</td>
</tr>
<tr>
<td>Q 6.3.4</td>
<td>When can a reexamination be requested? ................................. 107</td>
</tr>
<tr>
<td>Q 6.3.5</td>
<td>What are the requirements for initiating a reexamination? .......... 107</td>
</tr>
<tr>
<td>Q 6.4</td>
<td>What is a supplemental examination? ......................................... 108</td>
</tr>
<tr>
<td>Q 6.4.1</td>
<td>When can a supplemental examination be requested? ................ 109</td>
</tr>
<tr>
<td>Q 6.4.2</td>
<td>What are the requirements for initiating a supplemental examination? ........................................................................... 109</td>
</tr>
<tr>
<td>Q 6.5</td>
<td>What is an inter partes review? ..................................................... 109</td>
</tr>
<tr>
<td>Q 6.5.1</td>
<td>When can an inter partes review be requested? ...................... 110</td>
</tr>
<tr>
<td>Q 6.5.2</td>
<td>What are the requirements for initiating an inter partes review? ........................................................................ 111</td>
</tr>
<tr>
<td>Q 6.5.3</td>
<td>What is the interplay between a district court action and an inter partes review? ........................................ 111</td>
</tr>
<tr>
<td>Q 6.5.4</td>
<td>May the decision to initiate an inter partes review be appealed? ........................................................................ 111</td>
</tr>
<tr>
<td>Q 6.6</td>
<td>What is the transitional program for covered business method (CBM) patents? .......................................................... 111</td>
</tr>
<tr>
<td>Q 6.6.1</td>
<td>When can a covered business method review be requested? .......... 112</td>
</tr>
<tr>
<td>Q 6.6.2</td>
<td>What are the requirements for initiating a covered business method review? ........................................ 112</td>
</tr>
<tr>
<td>Q 6.6.3</td>
<td>What is the potential effect of initiation of a covered business method review? ........................................ 113</td>
</tr>
<tr>
<td>Q 6.7</td>
<td>What is a post-grant review? .......................................................... 113</td>
</tr>
<tr>
<td>Q 6.7.1</td>
<td>When can a post-grant review be requested? .............................. 114</td>
</tr>
<tr>
<td>Q 6.7.2</td>
<td>What are the requirements for initiating a post-grant review? .......... 114</td>
</tr>
<tr>
<td>Q 6.8</td>
<td>What is a reissue? ................................................................. 114</td>
</tr>
<tr>
<td>Q 6.8.1</td>
<td>When can a reissue be requested? ............................................. 115</td>
</tr>
<tr>
<td>Q 6.8.2</td>
<td>What are the requirements for initiating a reissue? .................... 115</td>
</tr>
<tr>
<td>Q 6.9</td>
<td>What are intervening rights? ......................................................... 115</td>
</tr>
</tbody>
</table>
Q 6.9.1 What are absolute intervening rights?.........................116
Q 6.9.2 What are equitable intervening rights?......................117
Q 6.10 Can an application or a patent be abandoned?...............117
Q 6.11 Who is the owner of a patent?..................................118
Q 6.12 Can patents be assigned?.........................................118
Q 6.13 If an invention is created during employment, who owns the patent application and subsequent patent?..................119
Q 6.14 What are the rights of joint owners?.........................119
Q 6.15 How can the patent owner give notice of its rights?.............120
Q 6.16 What is patent “marking”?.......................................120
Q 6.16.1 What does “patent pending” mean?..........................120
Q 6.17 What constitutes “false marking” and what penalty may be imposed?..................................................121

Chapter 7 Inventorship..............................................................129

Keith R. Hummel & Peter A. Emmi

Q 7.1 What is priority of inventorship?.......................................130
Q 7.2 How is priority of inventorship established?......................130
Q 7.2.1 Is the first-to-invent system used in other countries?.......131
Q 7.3 What is conception?......................................................131
Q 7.4 What is reduction to practice?........................................132
Q 7.5 What is diligence between conception and reduction to practice?.................................................................132
Q 7.6 What is “swearing behind” or “swearing back before” a reference?.................................................................133
Q 7.7 How does location of invention affect patentability?..........134
Q 7.8 What is an interference?.................................................134
Q 7.8.1 Who can initiate an interference?................................134
Q 7.8.2 Who are the “senior party” and the “junior party” in an interference?.................................................................135
Q 7.9 What is a first-to-file system?.........................................135
Q 7.9.1 When did this system take effect?.................................135
Q 7.9.2 What is the effect on interference proceedings?.............136
Q 7.10 What is a derivation proceeding?.................................136
Q 7.10.1 When may a petition for a derivation proceeding be filed?.................................................................137
Q 7.10.2 Who determines whether there will be a derivation proceeding?.................................................................137
Q 7.10.3 How can a derivation proceeding end?.........................137
Q 7.10.4 Can derivation claims be made in court rather than in the PTO?.................................................................138
Chapter 8  Requirements for Patentability ............................................. 143
Keith R. Hummel & Peter A. Emmi

Q 8.1  What is “novelty”? ................................................................. 144
   Q 8.1.1  What makes an invention “novel” for patent applications subject to the first-to-invent system? .......... 144
   Q 8.1.2  What makes an invention “novel” for patent applications subject to the first-to-file system? .......... 145
Q 8.2  What is “utility” or “usefulness”? ......................................... 146
Q 8.3  What is “nonobviousness”? ................................................... 146
   Q 8.3.1  What makes an invention “obvious”? ......................... 147
   Q 8.3.2  How does the PTO determine if an invention is obvious? ................................................................. 147
   Q 8.3.3  What is “motivation to combine”? .............................. 148
   Q 8.3.4  What is the concept of “teaching away” and how does it relate to obviousness? ................................. 149
Q 8.4  What is patentable subject matter? ........................................ 149
Q 8.5  What constitutes an “adequate description”? ....................... 149
Q 8.6  What are the statutory bars? .................................................. 152
   Q 8.6.1  What statutory bars are in effect for patent applications subject to the first-to-invent system? .......... 153
   Q 8.6.2  What statutory bars are in effect for patent applications subject to the first-to-file system? .......... 153
Q 8.7  What is the “disclosure-dedication” rule? ............................... 154

Chapter 9  Territorial Reach of U.S. Patent Law .................................. 159
Keith R. Hummel & Peter A. Emmi

Q 9.1  What is the territorial scope of U.S. patent protection? ............... 160
   Q 9.1.1  Does the Patent Act reach import and export transactions? ................................................................. 161
Q 9.2  What infringers are beyond the reach of the Patent Act? .............. 161
Q 9.3  Does the Tariff Act protect patent holders? ............................ 162
   Q 9.3.1  Does the Tariff Act offer patentees any advantages over the Patent Act? .................................................. 162
Q 9.4  How can patentees enforce their rights where there is importation of infringing goods? ................................. 163
Q 9.5  What is the United States International Trade Commission? ......... 163
   Q 9.5.1  How does a patentee seek relief from the ITC? ................ 163
   Q 9.5.2  What happens in an ITC proceeding? ............................ 163
   Q 9.5.3  What happens when the ITC has made a final determination? .................................................................. 165
   Q 9.5.4  What remedies are available in an ITC action? ............... 165
Chapter 10  Patent Infringement ...................................................... 169
  Keith R. Hummel & Peter A. Emmi
Q 10.1  What is patent infringement? .............................................. 170
Q 10.2  What are the types of patent infringement? ......................... 170
  Q 10.2.1  What is direct infringement? ........................................ 170
  Q 10.2.2  What is indirect infringement? .................................... 171
Q 10.3  What is inducement of patent infringement? ........................ 171
Q 10.4  What is contributory patent infringement? ........................... 172
Q 10.5  What is the “single infringer” rule? ................................... 173
Q 10.6  What is “willful” infringement? ........................................ 178
Q 10.7  If infringement occurs, how may a patent owner proceed to
         enforce his rights? ....................................................... 180
Q 10.8  Who has standing to enforce a patent? ............................... 181
Q 10.9  What are the rights of a co-owner of a patent? ...................... 181
Q 10.10  What is a “nonpracticing entity,” “patent assertion entity,”
          or “patent troll”? ..................................................... 182
  Q 10.10.1  What legislation is being considered with respect to
             litigation by NPEs? ................................................... 182
Q 10.11  Who has the burden of proof to show patent infringement? .... 185
Q 10.12  What is the standard under which an assessment of
         infringement is performed? ......................................... 185
Q 10.13  What are the basic elements of a patent case? ..................... 186
Q 10.14  What is “claim construction”? ......................................... 186
  Q 10.14.1  How does a judge construe claim language? .................. 188
  Q 10.14.2  What is a “Markman hearing”? ................................. 189
  Q 10.14.3  What is the standard of review of a
             claim construction? ............................................... 190
Q 10.15  What is the doctrine of equivalents? ................................ 193
  Q 10.15.1  What tests are used to determine whether something
             is an “equivalent” for infringement purposes? ................ 194
  Q 10.15.2  What is the “insubstantial differences” test? ................ 195
  Q 10.15.3  What is the “function-way-result” test? ...................... 195
Q 10.16  What is prosecution history estoppel? .............................. 195

Chapter 11  Defenses and Counterclaims in a Patent
Infringement Action .................................................................. 207
  Keith R. Hummel & Peter A. Emmi
Q 11.1  What is the noninfringement defense? ............................... 208
Q 11.2  What is the invalidity defense? ........................................ 209
Q 11.2.1 Who has the burden of proof to show that a patent is invalid? ........................................209
Q 11.2.2 What is the burden of proof of invalidity? ........................................210
Q 11.2.3 What are the bases for invalidity? ........................................210
Q 11.3 What is the “anticipation” defense? ........................................211
Q 11.4 What is the “obviousness” defense? ........................................211
Q 11.4.1 How can the patent owner rebut a defense of obviousness? ........................................215
Q 11.5 What is the “indefiniteness” defense? ........................................215
Q 11.6 What is the unenforceability defense? ........................................217
Q 11.6.1 Who has the burden of proof to show that a patent is unenforceable? ........................................218
Q 11.6.2 What is the standard by which an unenforceability argument is assessed? ........................................218
Q 11.7 What is inequitable conduct? ........................................218
Q 11.7.1 Who determines if inequitable conduct has been committed? ........................................218
Q 11.7.2 What is required to prove inequitable conduct? ........................................219
Q 11.7.3 What is “infectious unenforceability”? ........................................222
Q 11.7.4 How did the America Invents Act affect a defense of inequitable conduct? ........................................222
Q 11.8 What is patent misuse? ........................................223
Q 11.9 What is “prosecution history laches”? ........................................223
Q 11.10 What is a “laches” defense? ........................................223
Q 11.11 What is the effect of a successful defense to a patent assertion? ........................................224
Q 11.12 May counterclaims be raised in patent infringement suits? ........................................225
Q 11.12.1 What is a “Walker Process” claim? ........................................225

Chapter 12 Remedies for Patent Infringement ........................................233

Keith R. Hummel & Peter A. Emmi

Q 12.1 What are the requirements to obtain permanent injunctive relief? ........................................234
Q 12.2 Are preliminary injunctions available in patent cases? ........................................235
Q 12.3 What are the primary theories for money damages? ........................................236
Q 12.4 What are lost profits? ........................................236
Q 12.5 What is a reasonable royalty? ........................................237
Q 12.5.1 How are reasonable royalties proved? ........................................239
Q 12.5.2 What are RAND or FRAND royalty obligations? ........................................240
Q 12.6  What provisional rights are available upon publication of a patent application?  ................................................................. 241
Q 12.7  What is the “entire market value” rule? ................................................................. 241
Q 12.8  What is the “smallest salable unit”? ................................................................. 242
Q 12.9  When can a patent owner recover enhanced damages? ................................................................. 242
Q 12.10  When can a patent owner recover attorney fees? ................................................................. 243
Q 12.11  Are there time limitations to recovery in a patent suit? ................................................................. 246

Chapter 13  Patent Licensing ................................................................. 253

Keith R. Hummel & Peter A. Emmi

Q 13.1  What is a patent license? ................................................................. 254
Q 13.2  What is an express license? ................................................................. 254
  Q 13.2.1  What is an exclusive license? ................................................................. 254
  Q 13.2.2  What is a nonexclusive license? ................................................................. 255
Q 13.3  What is an implied license? ................................................................. 255
  Q 13.3.1  What is “patent exhaustion”? ................................................................. 256
Q 13.4  Who may grant a license to a patent? ................................................................. 256
Q 13.5  What are the rights that can be conveyed in a patent license? ................................................................. 257
  Q 13.5.1  Can the right to sublicense be granted? ................................................................. 257
Q 13.6  What is the duration of rights conveyed in a patent license? ................................................................. 258
Q 13.7  What duties, if any, does the licensor have to the licensee if the licensed patents are infringed? ................................................................. 258
Q 13.8  What duties, if any, does the licensee have to the licensor if the licensed patents are infringed? ................................................................. 258
Q 13.9  Does a licensee have standing to prosecute an infringement case? ................................................................. 258
Q 13.10  Does a licensee have standing to sue a licensor for noninfringement and/or invalidity of a licensed patent? ................................................................. 259
Q 13.11  What is a “royalty”? ................................................................. 259
  Q 13.11.1  Can a minimum royalty be set? ................................................................. 259
  Q 13.11.2  Are provisions specifying post-expiration royalties enforceable? ................................................................. 260
Q 13.12  What is a covenant not to sue? ................................................................. 260
  Q 13.12.1  Is a covenant not to sue always distinct from a license? ................................................................. 261
Chapter 14  Patents in Foreign Countries  ......................................................... 265  
Keith R. Hummel & Peter A. Emmi  
Q 14.1  What is a foreign filing license? ............................................................ 266  
Q 14.1.1  How is a foreign filing license obtained? ............................................. 266  
Q 14.2  What is the WTO’s Agreement on Trade-Related Aspects of  
Intellectual Property Rights? ...................................................................... 267  
Q 14.3  What is the Paris Convention? .............................................................. 268  
Q 14.4  What is the European Patent Convention? ........................................ 268  
Q 14.4.1  How are European patents issued? .................................................. 268  
Q 14.4.2  What rights does a European patent confer? ................................. 269  
Q 14.5  What is the Patent Cooperation Treaty? .............................................. 270  
Q 14.5.1  What is an international patent application  
(PCT patent application)? ....................................................................... 270  
Q 14.5.2  What procedure must be followed to file a  
PCT application? ................................................................................. 270  
Q 14.5.3  What happens in the international phase of  
prosecution? ......................................................................................... 271  
Q 14.5.4  What happens in the national phase of prosecution? ................. 271  
Q 14.5.5  What is an international search report? ........................................ 271  
Q 14.5.6  What is an international preliminary  
examination report? ............................................................................ 271  
Q 14.6  What is the Patent Law Treaties Implementation Act? .................. 272  
Q 14.7  What is the Hague Agreement? .......................................................... 272  
Q 14.8  What is the United Nations Convention on Contracts for  
the International Sale of Goods? ............................................................ 273  
Q 14.8.1  Can a remedy be sought under the CISG for goods  
purchased overseas that violate the patent rights  
of third parties? ..................................................................................... 273  
Q 14.9  What is the IP5 organization? ............................................................... 273  
Q 14.10  What is an ISDS provision and where is it found? ........................ 274  
Q 14.10.1  How is ISDS being applied in the patent context? ....................... 274  

Chapter 15  Alternatives to Patenting .............................................................. 279  
Keith R. Hummel & Peter A. Emmi  
Q 15.1  What is trade secret protection? ......................................................... 280  
Q 15.2  How does a trade secret differ from a patent? ................................. 281  
Q 15.3  How does a trademark or servicemark differ from a patent? ......... 281  
Q 15.4  How does a copyright differ from a patent? ..................................... 282
Q 15.5 What is a statutory invention registration (SIR)?.................................282
Q 15.6 What is a research disclosure?.................................................................282
Q 15.7 Can I simply publish my invention?.........................................................283

TRADEMARKS

Chapter 16 Trademark Basics...........................................................................285
Darin P. McAtee
Q 16.1 What is a trademark?...........................................................................286
  Q 16.1.1 What different types of marks are protected by trademark law?...........287
Q 16.2 What is the constitutional basis for trademark law?...............................287
Q 16.3 What statutes govern trademarks?.........................................................287
Q 16.4 What is the public policy behind protecting trademark rights?..............288
Q 16.5 How does trademark protection differ from patent and copyright protection?..................................................................................289
Q 16.6 Does a mark need to be registered to be protected?............................289
Q 16.7 What does it mean for a mark to be used to distinguish goods?..............290
Q 16.8 Does a trademark need to be unique?...................................................291
Q 16.9 Does a trademark need to identify the name of the source of the product?..................................................................................292
Q 16.10 How are marks categorized by their distinctiveness?............................292
  Q 16.10.1 What is a “fanciful” mark?.................................................................293
  Q 16.10.2 What is an “arbitrary” mark?.............................................................294
  Q 16.10.3 What is a “suggestive” mark?............................................................294
  Q 16.10.4 What is “inherently distinctive”?......................................................295
  Q 16.10.5 What is a “descriptive” mark?...........................................................295
  Q 16.10.6 What is “secondary meaning”?......................................................295
  Q 16.10.7 What is a “generic” mark?...............................................................296
Q 16.11 What does it mean for a trademark to “disparage”?..............................297
Q 16.12 What does it mean for a trademark to be “geographically misdescriptive”? ..................................................................................300
Q 16.13 Can a surname be protected as a trademark?......................................302
Q 16.14 Can a color or a combination of colors be protected?............................303
  Q 16.14.1 Can a color be inherently distinctive?...............................................303
  Q 16.14.2 What is the scope of trademark protection for school colors?...........304
  Q 16.14.3 Is a color functional?.......................................................................305
Q 16.15 What is entitled to protection as a service mark? ..................306
Q 16.15.1 Can a sound be protected as a service mark? .................307
Q 16.16 What are collective and certification marks? .....................308
Q 16.16.1 How are certification marks used to signify environmentally relevant characteristics of goods? ................308
Q 16.17 What is trade dress? ......................................................309
Q 16.17.1 What does it mean for trade dress to be “distinctive”? .....309
Q 16.17.2 What does it mean for trade dress to be “nonfunctional”? ......310
Q 16.18 When can an entity’s trademark be used in someone else’s domain name? ...........................................311
Q 16.18.1 What is the Uniform Domain Name Dispute Resolution Policy? 312
Q 16.18.2 What is the Anticybersquatting Consumer Protection Act? 313
Q 16.18.3 What is a generic top-level domain? .............................315
Q 16.19 Who owns a trademark? ..................................................316
Q 16.20 What are the limits on selling a trademark? .......................317
Q 16.21 What are the limits on licensing a trademark? ....................317
Q 16.21.1 What happens if quality control is not maintained? ...........318
Q 16.21.2 How much control is enough? ......................................318

Chapter 17 Trademark Registration ........................................331

Darin P. McAtee

Q 17.1 What is the Principal Register? .........................................332
Q 17.2 How does an applicant know if it can register its trademark? ....332
Q 17.3 What is the Supplemental Register? ....................................333
Q 17.4 Does the applicant need to use the mark before it can be registered? ..................................................334
Q 17.4.1 How does the applicant establish its “bona fide intention” to use its mark? ..................................................334
Q 17.5 Why conduct a trademark search? ......................................335
Q 17.6 What are the PTO’s online resources for a search? ................335
Q 17.7 Does the PTO permit in-person searching? ..........................336
Q 17.8 How should the applicant search for unregistered trademarks? .....................................................................336
Q 17.9 Are trademark searches important for anyone other than an applicant? ..................................................337
Q 17.10 How long does it take to register a trademark? ...................337
Q 17.10.1 What happens in the filing stage? ....................................338
Q 17.10.2 What happens in the examination stage? ......................... 338
Q 17.10.3 What happens in the publication stage? ......................... 339
Q 17.10.4 What happens in the notice of allowance stage? .............. 340
Q 17.11 Where can the application form be found? ....................... 340
Q 17.12 What are the minimum filing requirements for an application? 341
Q 17.12.1 What satisfies the clear drawing requirement? ............... 341
Q 17.12.2 What satisfies the requirement for a listing of recognizable goods or services? ............................................ 341
Q 17.12.3 What are the filing fees? .............................................. 342
Q 17.13 What are the filing requirements for a complete application? 342
Q 17.13.1 What satisfies the requirement of a “basis for filing”? ...... 343
Q 17.13.2 What satisfies the verified statement requirement? ........... 343
Q 17.14 What are the effects of registering a trademark? ................ 344
Q 17.15 How long does a trademark registration last? .................... 346
Q 17.15.1 Does the owner have to do anything during the ten-year period? ................................................................. 346
Q 17.16 Can a trademark registration be renewed? ....................... 346
Q 17.17 What else must be done to protect a trademark after it is registered? ................................................................. 347
Q 17.18 Can a trademark be canceled? ........................................ 348
Q 17.19 What are the grounds for cancellation? ............................ 348
Q 17.19.1 What does it mean for a trademark to become generic? .... 349
Q 17.19.2 What is abandonment for nonuse? ................................ 350
Q 17.19.3 What does it mean for a trademark to be fraudulently obtained? ................................................................. 351
Q 17.20 What is tacking? ............................................................. 352
Q 17.21 Who determines whether two marks may be tacked? ........... 352
Q 17.22 Can a trademark be registered internationally? ................ 353

Chapter 18 Trademark Infringement ........................................... 361

Darin P. McAtee

Q 18.1 What are the statutory bases for an action for trademark infringement? ................................................................. 362
Q 18.2 What are the elements of an action for trademark infringement? ................................................................. 363
Q 18.3 Which party bears the burden of proof? ............................ 363
Q 18.4 What type of confusion is actionable? ............................... 364
Q 18.4.1 What is passing off? .................................................. 364
Q 18.4.2 What is reverse confusion? ........................................ 365

xxx
Table of Contents

Q 18.4.3  What is initial interest confusion? ................................................. 365
Q 18.4.4  What is post-sale confusion? ....................................................... 366
Q 18.5     How do I prove “use in commerce”? ........................................... 367
Q 18.6     How do I prove likelihood of confusion? ...................................... 369
  Q 18.6.1  How do the federal circuits interpret the multifactor test for likelihood of confusion? 369
  Q 18.6.2  How does a court analyze similarity of the marks? ...................... 372
  Q 18.6.3  How does a court analyze proximity or relatedness of the goods? 374
  Q 18.6.4  How does a court analyze the possibility of bridging the gap? ......... 375
  Q 18.6.5  How does a court analyze strength of the trademarks? ............... 376
  Q 18.6.6  How does a court analyze evidence of actual confusion? ............... 377
  Q 18.6.7  How does a court analyze the defendant’s good faith? ................ 378
  Q 18.6.8  How does a court analyze the quality of the defendant’s product? ...... 379
  Q 18.6.9  How does a court analyze the sophistication of the buyers? .......... 379
  Q 18.6.10 How does a court weigh the various factors within the likelihood of confusion test? 380
Q 18.7     Who can bring an infringement action? ........................................ 381
  Q 18.7.1  What is the effect of a plaintiff’s having an unregistered mark? ...... 381
Q 18.8     Against whom can an infringement action be brought? ................ 382
  Q 18.8.1  Can a claim be brought against an entity who aids in a third party’s infringement? 382
  Q 18.8.2  Can a claim be brought against a foreign defendant? .................. 384
Q 18.9     What are the possible forums for trademark infringement actions? 385
Q 18.10    What is counterfeiting? ............................................................... 386
  Q 18.10.1 What are the elements of civil counterfeiting? .......................... 387
  Q 18.10.2 What are the elements of criminal counterfeiting? ..................... 387

Chapter 19  Defenses in a Trademark Infringement Action .......................... 399

Darin P. McAtee

Q 19.1     How may a defendant challenge the validity of the plaintiff’s trademark? .......................................................... 400
Q 19.2     What other defenses for infringement actions involving incontestable trademarks are listed in the Lanham Act? . 400
Q 19.3     What equitable defenses are available to a defendant charged with trademark infringement? .............................. 401
Q 19.4 What is the defense of laches? .......................................................... 402
  Q 19.4.1 What is an “unreasonable delay”? .................................................. 402
  Q 19.4.2 How does a defendant show prejudice? ........................................ 403
  Q 19.4.3 Is the laches defense the same as a statute of limitations defense? .......................................................... 405
Q 19.5 What is the defense of acquiescence? ............................................... 405
Q 19.6 What is the defense of unclean hands? .......................................... 407
  Q 19.6.1 Does plaintiff’s violation of antitrust laws create unclean hands? .......................................................... 407
Q 19.7 What is the defense of fair use? ....................................................... 408
  Q 19.7.1 What is statutory fair use? ............................................................ 408
  Q 19.7.2 What is nominative fair use? .......................................................... 409
Q 19.8 Is comparative advertising fair use? ................................................. 410
Q 19.9 Is compatibility advertising fair use? ............................................... 410
Q 19.10 Is parody fair use? ............................................................................. 412

Chapter 20 Remedies for Trademark Infringement ...................................... 421

   Darin P. McAtee

Q 20.1 When is injunctive relief available? ..................................................... 422
Q 20.2 What is the scope of injunctive relief a court may award? ............... 423
Q 20.3 When is a preliminary injunction available? ................................... 425
Q 20.4 What happens if a defendant violates the terms of an injunction? .......................................................... 427
Q 20.5 What is the availability of monetary relief generally? ...................... 427
Q 20.6 When may the plaintiff recover the infringer’s profits? ................. 428
  Q 20.6.1 Is proof of scienter required for an award of profits? ................. 429
  Q 20.6.2 Does reliance on the advice of counsel negate a finding of willful infringement? .......................................................... 429
  Q 20.6.3 Who bears the burden of proof in showing the amount of the infringer’s profits? .......................................................... 430
  Q 20.6.4 Who determines the amount of profits to be disgorged? .......... 431
Q 20.7 When are actual damages available? ................................................. 431
  Q 20.7.1 Who bears the burden of proof in showing the amount of the plaintiff’s actual damages? .......................................................... 432
  Q 20.7.2 What is corrective advertising? ..................................................... 432
Q 20.8 Can the plaintiff recover both the infringer’s profits and its actual damages? .......................................................... 433
Q 20.9 Are treble damages available? ............................................................ 433
Q 20.10 Are punitive damages available? ...................................................... 433
Q 20.11 May attorney fees be recovered? .................................................... 434
Q 20.12 May court costs be awarded? ..................................................... 434
Q 20.13 What are the penalties for criminal counterfeiting? .................. 435
Q 20.14 What special remedies are available for civil counterfeiting? .... 435

Chapter 21 Trademark Dilution ................................................................ 443

Darin P. McAtee

Q 21.1 What is trademark dilution generally? ........................................ 444
Q 21.1.1 What is dilution by blurring? ................................................. 445
Q 21.1.2 What is dilution by tarnishment? ............................................ 445
Q 21.2 Are trademark infringement and trademark dilution mutually exclusive? ................................................................. 445
Q 21.3 What is the statutory basis for an action for trademark dilution? ................................................................. 446
Q 21.4 What are the elements of an action for trademark dilution? ....... 446
Q 21.5 Which party bears the burden of proof? .................................... 447
Q 21.6 How does a plaintiff prove that its mark is famous? ................... 447
Q 21.6.1 How does the court analyze “advertising and publicity”? .......... 449
Q 21.6.2 How does the court analyze “sales and revenue”? ................. 450
Q 21.6.3 How does the court analyze “actual recognition”? ............... 450
Q 21.6.4 How does the court analyze “federal registration”? .......... 451
Q 21.7 How does a plaintiff prove “use in commerce”? ....................... 452
Q 21.8 How does a plaintiff prove dilution by blurring? ....................... 452
Q 21.8.1 How does the court analyze “similarity”? ........................... 453
Q 21.8.2 How does the court analyze “distinctiveness”? ................... 453
Q 21.8.3 How does the court analyze “substantially exclusive use”? .... 454
Q 21.8.4 How does the court analyze “recognition”? ....................... 454
Q 21.8.5 How does the court analyze “intent”? ............................... 455
Q 21.8.6 How does the court analyze “actual association”? ............ 455
Q 21.8.7 How does a court weigh the various factors? .................... 456
Q 21.9 How does a plaintiff prove dilution by tarnishment? ................ 456
Q 21.10 Who can bring a dilution action? ............................................. 458
Q 21.10.1 What if the potential plaintiff has an unregistered mark? .... 458
Q 21.11 Against whom can a dilution action be brought? .................... 458
Q 21.11.1 Can a claim for dilution by blurring be brought against a defendant selling a competing product? .......... 459
Q 21.11.2 Can a dilution claim be brought against an entity that aids in a third party’s dilution? ....................... 459
Q 21.12 What defenses may be raised in a dilution action? ..........460
  Q 21.12.1 What statutory defenses are available in a
dilution action?.........................................................460
  Q 21.12.2 How does the registration of a mark protect a
defendant from claims of dilution?.................................460
  Q 21.12.3 What will the court protect as “fair use”?..............461
  Q 21.12.4 What will the court protect as “comparative
advertising”?................................................................461
  Q 21.12.5 What will the court protect as “parody”?..................462
  Q 21.12.6 How does a defendant prove “noncommercial”
use as a defense?............................................................463
Q 21.13 What equitable defenses are available to a defendant
charged with trademark dilution?......................................463
Q 21.14 What remedies can a court award for dilution?..........464
Q 21.15 What is the availability of injunctive relief?..................464
  Q 21.15.1 When will the court grant a permanent injunction?....464
  Q 21.15.2 When will the court grant a preliminary injunction?...465
  Q 21.15.3 What will the scope of the injunction be?.................465
Q 21.16 What is the availability of monetary relief?..................466
  Q 21.16.1 How will a court treat actions for damages brought
before October 6, 2006?.................................................466
  Q 21.16.2 How will a court analyze willfulness?.......................466

Chapter 22 State Trademark Laws........................................477
  Darin P. McAtee
Q 22.1 What is the relation between state trademark laws and
the Lanham Act?..............................................................478
Q 22.2 Can a mark be registered in a state?..............................478
  Q 22.2.1 What marks can be registered on a state’s register?......479
  Q 22.2.2 What is the effect of a state registration?....................479
Q 22.3 How does a plaintiff prove infringement under state law?..480
Q 22.4 How does a plaintiff prove dilution under state law?........481
Q 22.5 What remedies are available in a trademark action under
state law?....................................................................482
  Q 22.5.1 Can a state court award punitive damages for
trademark infringement?...............................................483
Chapter 23  Practical Aspects of Trademark Litigation ........................................487
  Darin P. McAtee
Q 23.1 When should a cease-and-desist letter be sent? .......................................488
Q 23.2 What is the value of a cease-and-desist letter? ........................................488
Q 23.3 What should a cease-and-desist letter say? ............................................489
Q 23.4 What risk factors should be considered before sending a cease-and-desist letter? ..............................................................................................................490
  Q 23.4.1 Should a cease-and-desist letter be sent to a “fan site”? .........................490
  Q 23.4.2 Is there a risk of bad publicity for the sender of a cease-and-desist letter? .............................................................................................................491
  Q 23.4.3 Is there a risk that the recipient of a cease-and-desist letter will sue the sender? ...........................................................................................................492
Q 23.5 Before bringing suit, what should a trademark owner consider with respect to the nature of its mark? .................................................................492
Q 23.6 What should the trademark owner consider with respect to the infringing use? .............................................................................................................493
Q 23.7 Is it important to have a strong case before filing suit? .................................494
Q 23.8 What should a trademark owner consider with respect to the type of relief it is seeking? ............................................................................................494
Q 23.9 Should the trademark owner try to assert claims beyond its Lanham Act claims? .................................................................................................495
Q 23.10 Should the trademark owner sue in state court or in federal court? ..............496
  Q 23.10.1 How should venue be chosen? ..............................................................496
Q 23.11 What administrative relief is available? ....................................................496
Q 23.12 What are some practical considerations for pre-litigation and settlement negotiations? .........................................................................................497
  Q 23.12.1 How can a covenant not to sue impact ongoing trademark litigation? .................................................................................................................497
Q 23.13 What are some practical considerations for a defendant responding to a complaint? .......................................................................................................498
Q 23.14 What types of discovery are useful in a trademark case? ............................498
  Q 23.14.1 How should plaintiff target its discovery? ............................................499
  Q 23.14.2 How should defendant target its discovery? .......................................499
Q 23.15 What are some practical pointers regarding depositions? ..........................499
  Q 23.15.1 Whom should the plaintiff depose? .....................................................500
  Q 23.15.2 Whom should the defendant depose? ..................................................500
Q 23.16 What are some practical pointers regarding document requests? ...............501
Q 23.17 What are some practical pointers regarding interrogatories? ......................501
Q 23.18 What are some practical pointers regarding requests for admission? ........................................502
Q 23.19 How can a litigant use the Internet as a discovery tool? ..........502
Q 23.20 What role can experts play in a trademark case? ...............503
  Q 23.20.1 What are the standards applied to trademark experts? ...503
Q 23.21 What is the role of survey evidence in a trademark case? ........504
  Q 23.21.1 Can surveys establish genericness? .............................505
  Q 23.21.2 Can surveys establish secondary meaning? ...................506
Q 23.22 What is the role of third-party and public perception evidence? ........................................................................506
  Q 23.22.1 Is public perception evidence inadmissible as hearsay? ........................................................................506
Q 23.23 When is a motion for a preliminary injunction useful? ..........508
Q 23.24 What discovery motions should be considered? ...................508
Q 23.25 When is a motion in limine useful? ..................................509
Q 23.26 Can a trademark case be resolved on a motion to dismiss for failure to state a claim? ........................................510
Q 23.27 Can a trademark case be resolved on a motion for summary judgment? ......................................................510
  Q 23.27.1 Can the court’s summary judgment ruling be appealed? ........................................................................511
Q 23.28 When should a jury be requested? ....................................512
  Q 23.28.1 How does a party request a jury? .................................512
  Q 23.28.2 If the defendant requests a jury, does the plaintiff have any choice? ....................................................513
Q 23.29 How is the burden of proof divided with respect to damages? 513
Q 23.30 How can a party make its case more persuasive? ...............514

COPYRIGHTS

Chapter 24 Copyright Basics .............................................................523
  Michael T. Reynolds & Teena-Ann V. Sankoorikal
Q 24.1 What is a copyright? .............................................................524
Q 24.2 How long do copyrights last? ................................................525
Q 24.3 What is the purpose of copyright? ........................................525
Q 24.4 What is the constitutional and statutory basis for the copyright laws of the United States? .............................525
Q 24.5 Who is an “author”? ..............................................................525
Table of Contents

Q 24.6 What is the significance of categorizing a work as a work for hire?.................................................................526
Q 24.7 How is a work for hire defined?.................................................................526
  Q 24.7.1 What distinguishes employees from independent contractors?...............................527
  Q 24.7.2 What is a “commissioned work”?.................................................................527
Q 24.8 Can photographs be works for hire? .................................................................528
Q 24.9 Can choreography be a work for hire? .................................................................528
Q 24.10 Can the works of a creative or artistic genius be works for hire?.................................528
Q 24.11 What subject matter is within the scope of a copyright? .................................................................528
Q 24.12 What constitutes an “original work of authorship”? .................................................................529
  Q 24.12.1 What kinds of things are typically not original enough to be protected? ..................530
Q 24.13 What constitutes a “tangible medium of expression”? .................................................................530
  Q 24.13.1 What is the significance of the phrase “now known or later developed”? ..............531
Q 24.14 What does it mean to be capable of being “perceived, reproduced, or otherwise communicated”? .................................................................531
Q 24.15 What is the difference between a copyrightable expression and an uncopyrightable idea, concept, process, or system? .................................................................532
Q 24.16 What is a derivative work? .................................................................533
Q 24.17 What is a compilation? .................................................................533
Q 24.18 Does the Copyright Statute protect both published and unpublished works? ..............534
  Q 24.18.1 What is the definition of a “published work”? .................................................................534
  Q 24.18.2 What is the definition of an “unpublished work”? .................................................................535
Q 24.19 What is a “restored work”? .................................................................535
Q 24.20 Are works of the U.S. government protected by copyright? .................................................................535
Q 24.21 Can the U.S. government hold copyrights? .................................................................536
Q 24.22 Are works of state governments protected by copyright? .................................................................536

Chapter 25 Exclusive Rights and Fair Use ..................................................................................................................541
  Michael T. Reynolds & Teena-Ann V. Sankoorikal
Q 25.1 What are “exclusive rights” in copyrighted works? .................................................................542
  Q 25.1.1 Are the exclusive rights divisible? .................................................................542
  Q 25.1.2 Do the exclusive rights protect against noncommercial uses? .................................................................543
Q 25.2 What does it mean “to reproduce” a copyrighted work? .................................................................543
Q 25.2.1 Does a copy have to be perfect to constitute a reproduction? .................................................. 544
Q 25.2.2 Are there exceptions to the reproduction right? ................................................................. 544
Q 25.2.3 Does a human being need to be involved in the copying for there to be a reproduction? ................................................................. 544
Q 25.3 What constitutes a derivative work? ............................................................................ 545
Q 25.3.1 Can a derivative work be copyrighted? ............................................................................. 546
Q 25.4 What constitutes a “distribution”? .................................................................................. 547
Q 25.5 What constitutes a “public performance”? ........................................................................ 547
Q 25.6 What is a “display” right? ............................................................................................. 548
Q 25.7 What is a public performance by digital audio transmission? ...................................... 549
Q 25.7.1 Are there exceptions to the digital audio transmission right? ............................................. 549
Q 25.8 What right does an author have to attribution? ................................................................. 550
Q 25.8.1 Can an author sue for plagiarism? ......................................................................................... 550
Q 25.9 What right does an author have to the integrity of a work? .................................................. 550
Q 25.10 What is “fair use”? ............................................................................................................. 551
Q 25.11 What are the statutory factors considered in asserting fair use? ........................................ 551
Q 25.12 What factors are relevant in defining “the purpose and character of a use”? ......................... 552
Q 25.12.1 What is a parody? ............................................................................................................... 553
Q 25.12.2 Can thumbnail images be transformative? ................................................................. 553
Q 25.13 How is the “nature of the work” defined? .............................................................................. 554
Q 25.14 How is “amount and substantiality” measured? .............................................................. 554
Q 25.14.1 Can music “samples” be fair use? ...................................................................................... 555
Q 25.15 How is the effect of the use upon the potential market for, or value of, a use measured? ................................................................. 556

Chapter 26 Special Applications of Copyright Law ................................................................. 563

Michael T. Reynolds & Teena-Ann V. Sankoorikal

Q 26.1 Are libraries and archives exempt from copyright law? ................................. 564
Q 26.2 How do libraries and/or archives qualify for an exemption under section 108? ................................. 564
Q 26.3 What types of works are excluded from section 108? ........................................... 566
Q 26.4 What are the limitations on copies made by libraries and archives? ................................. 566
Q 26.4.1 How many reproductions can a library make? ......................................................... 567
Q 26.4.2 Can a library make copies or phonorecords of unpublished works for archival purposes? ................................. 567
<table>
<thead>
<tr>
<th>Question</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q 26.4.3</td>
<td>Can a library make copies or phonorecords of published works in order to replace damaged or lost works?</td>
</tr>
<tr>
<td>Q 26.4.4</td>
<td>Can a library make a reproduction or distribution in response to a user’s request or another library’s request pursuant to an interlibrary loan?</td>
</tr>
<tr>
<td>Q 26.5</td>
<td>May a library or archive exchange copies with other libraries?</td>
</tr>
<tr>
<td>Q 26.6</td>
<td>Is a library liable for copyright infringement for the unsupervised use of copying machines located on its premises?</td>
</tr>
<tr>
<td>Q 26.7</td>
<td>What special rights do libraries have during the last twenty years of any term of copyright of a published work?</td>
</tr>
<tr>
<td>Q 26.8</td>
<td>Is there a difference between rights in a physical copy and the copyright in the underlying work?</td>
</tr>
<tr>
<td>Q 26.8.1</td>
<td>What is the “first sale” doctrine?</td>
</tr>
<tr>
<td>Q 26.8.2</td>
<td>Can an acquirer of a copyrighted work display for others the acquired copy?</td>
</tr>
<tr>
<td>Q 26.9</td>
<td>Are educational or instructional performances exempt from infringement actions?</td>
</tr>
<tr>
<td>Q 26.10</td>
<td>What is a secondary transmission?</td>
</tr>
<tr>
<td>Q 26.10.1</td>
<td>What is a primary transmission?</td>
</tr>
<tr>
<td>Q 26.11</td>
<td>What types of secondary transmissions are exempt from infringement actions?</td>
</tr>
<tr>
<td>Q 26.12</td>
<td>How are secondary transmissions by cable systems treated?</td>
</tr>
<tr>
<td>Q 26.12.1</td>
<td>What cable systems are eligible for the exemption?</td>
</tr>
<tr>
<td>Q 26.12.2</td>
<td>What factors may preclude the exemption?</td>
</tr>
<tr>
<td>Q 26.12.3</td>
<td>What is a statutory (or compulsory) license for cable systems?</td>
</tr>
<tr>
<td>Q 26.12.4</td>
<td>What formality is required for a compulsory license?</td>
</tr>
<tr>
<td>Q 26.12.5</td>
<td>How are royalties calculated for a compulsory license?</td>
</tr>
<tr>
<td>Q 26.13</td>
<td>What is an “ephemeral recording”?</td>
</tr>
<tr>
<td>Q 26.14</td>
<td>Are ephemeral recordings exempt from infringement actions?</td>
</tr>
<tr>
<td>Q 26.15</td>
<td>How are digital transmissions of sound recordings treated?</td>
</tr>
<tr>
<td>Q 26.16</td>
<td>What is the scope of exclusive rights in sound recordings?</td>
</tr>
<tr>
<td>Q 26.17</td>
<td>Does the author of a sound recording have an exclusive right in the public performance of that recording?</td>
</tr>
<tr>
<td>Q 26.18</td>
<td>What is statutory licensing for sound recordings?</td>
</tr>
<tr>
<td>Q 26.19</td>
<td>How are rates for statutory licenses computed?</td>
</tr>
<tr>
<td>Q 26.20</td>
<td>What is a compulsory music license?</td>
</tr>
<tr>
<td>Q 26.21</td>
<td>How are rates for the compulsory license determined?</td>
</tr>
</tbody>
</table>
Q 26.22 Are there limitations on exclusive rights relating to computer programs? ................................................................. 600
Q 26.23 Are there limitations relating to the use of certain works in connection with noncommercial broadcasting? ......................... 605
Q 26.24 How are rates set for compulsory licenses of works for use in noncommercial broadcasting? ........................................ 606
Q 26.25 Are there particular rules with respect to architectural works? ................................................................................. 606
Q 26.26 Are there exemptions from infringement actions for copies reproduced or distributed for the blind or persons with disabilities? ........................................................................ 610

Chapter 27 Copyright Ownership, Transfer, and Duration ............... 627

Michael T. Reynolds & Teena-Ann V. Sankoorikal

Q 27.1 Who owns a copyright? ................................................................. 628
Q 27.1.1 Is someone who directs the work of others an “author”? ........................................................................ 628
Q 27.2 What is the nature of joint ownership? ......................................................... 629
Q 27.2.1 How is joint authorship established? ............................................ 630
Q 27.2.2 Can joint authors transfer their interest? ........................................ 631
Q 27.3 Who owns a work for hire? ................................................................. 631
Q 27.4 Who owns a collective work? ................................................................. 632
Q 27.5 How are copyrights transferred? ................................................................. 632
Q 27.6 What formalities are necessary to transfer a copyright? ...................... 633
Q 27.7 How are transfers terminated? ................................................................. 634
Q 27.7.1 What notice is required for exercising the termination right? ................................................................. 635
Q 27.7.2 Who may exercise the right to terminate a transfer? ......................... 635
Q 27.7.3 What is the result of an exercise of the termination right? ..................... 636
Q 27.8 Is the ownership of the copyright different from the ownership of the material object? ................................................................. 636
Q 27.9 What is the duration of a copyright for works created on or after January 1, 1978? ................................................................. 637
Q 27.10 What is the duration of a copyright for works that were copyrighted before January 1, 1978? ................................................................. 637
Q 27.11 What is the duration of a copyright for works created—but not published or copyrighted—before January 1, 1978? ................................................................. 638
Q 27.12 Is duration affected by a transfer of the copyright? ................................................................. 638
### Chapter 28  Copyright Notice and Registration ................................. 649

*Michael T. Reynolds & Teena-Ann V. Sankoorikal*

| Q 28.1 | Are notices of copyright required? ........................................... 650 |
| Q 28.2 | What benefits does notice provide? ............................................. 650 |
| Q 28.3 | What form should the notice take? .............................................. 650 |
| Q 28.4 | Is a single notice of copyright effective for a collective work? .... 650 |
| Q 28.5 | What is the effect of an omitted notice of copyright? ............... 651 |
| Q 28.6 | What is the effect of a notice with the wrong name or date? ...... 652 |
| Q 28.7 | What benefits does registration provide? ...................................... 653 |
| Q 28.8 | How are copyrights registered? ................................................ 653 |
| Q 28.9 | What type of copy must be deposited with the Library of Congress? ................................. 653 |
| Q 28.10 | Where are forms available to register a copyright? ................ 654 |
| Q 28.11 | Are lawyers needed to register copyrights? ................................. 654 |

### Chapter 29  Copyright Infringement Actions .................................. 659

*Michael T. Reynolds & Teena-Ann V. Sankoorikal*

| Q 29.1 | Who is liable for infringement of a copyright? ............................ 660 |
| Q 29.2 | What is secondary liability for copyright infringement? .................. 661 |
| Q 29.2.1 | Who is liable for contributory infringement? ................................... 661 |
| Q 29.2.2 | Who is liable for inducing infringement? ........................................ 662 |
| Q 29.2.3 | Who is liable for vicarious infringement? ........................................ 663 |
| Q 29.3 | Must certain defendants be joined in an infringement action? ........ 663 |
| Q 29.4 | Who can bring an infringement action? ........................................ 663 |
| Q 29.4.1 | Can a licensee sue for infringement? ............................................ 664 |
| Q 29.4.2 | May assignors and assignees sue for infringement? ...................... 664 |
| Q 29.5 | Does a plaintiff need to register a copyright before bringing suit for its infringement? .................................................... 665 |
| Q 29.6 | Who may intervene in an infringement action? ................................ 665 |
| Q 29.7 | Are there special rules for infringement suits by television broadcast stations? ......................................................... 665 |
| Q 29.8 | What parties must be joined as plaintiffs in an infringement action? ................................................................................. 666 |
Q 29.9 Can a copyright owner obtain an injunction for an infringement? ..........................................................666
Q 29.9.1 What are the requirements for a preliminary injunction? ..............................................................667
Q 29.9.2 What are the requirements for a permanent injunction? ..............................................................667
Q 29.10 Can infringing articles be impounded? ..........................................................669
Q 29.11 What damages are available in a successful infringement action? ..................................................670
Q 29.11.1 How are actual damages and profits calculated? ..........................................................670
Q 29.11.2 What are statutory damages? ..........................................................674
Q 29.11.3 How are statutory damages calculated? ..........................................................674
Q 29.11.4 Is a copyright owner entitled to statutory damages for each copy made? ..................................................676
Q 29.12 Are costs and attorneys' fees available for successful infringement actions? ..............................677
Q 29.12.1 Who counts as a “prevailing party”? ..................................................................................678
Q 29.12.2 What factors does the court consider in deciding whether to award attorneys’ fees to a prevailing party? ..................................................................................679
Q 29.12.3 How is the amount of attorneys’ fees calculated? ..................................................................................680
Q 29.13 Can defendants limit their exposure to attorneys’ fees and costs? ..................................................681
Q 29.14 Is copyright infringement a criminal offense? ..........................................................682
Q 29.15 Are there criminal copyright violations apart from infringement? ..................................................683
Q 29.16 What are the penalties for copyright crimes? ..........................................................684

Chapter 30 The Digital Millennium Copyright Act ..........................................................697

Michael T. Reynolds & Teena-Ann V. Sankoorikal

Q 30.1 What is the DMCA? ..................................................................................698
Q 30.2 What is the purpose of the OCILLA? ..................................................................................699
Q 30.3 What limitations on service provider liability are created by OCILLA? ..........................699
Q 30.3.1 Is the DMCA a limitation on liability or a safe harbor? ..........................................................700
Q 30.4 How is “service provider” defined under the DMCA? ..........................................................701
Q 30.5 What threshold conditions must a service provider meet in order to receive the protections of the DMCA? ..........................................................701
Q 30.6 What activities are referred to as “transitory digital network communications”? ..........................................................702
Q 30.7 What activities constitute “system caching”? .........................703
Q 30.8 What activities result in information residing on the network “at the direction of users”? ..................................................704
  Q 30.8.1 When does a service provider lose its protection because of knowledge of the infringement? ....................705
  Q 30.8.2 When does a service provider lose its protection because of financial benefit from the infringement? ..............706
Q 30.8.3 What is a DMCA “takedown notice”? ..............................706
Q 30.8.4 What is a “counter-notification”? .................................708
Q 30.8.5 What mechanisms are in place to prevent abusive use of takedown notices and counter-notifications? ..............708
Q 30.9 What constitutes an information location tool? .................709
Q 30.10 Can a copyright owner request that a service provider identify an alleged infringer? ..................................................710
Q 30.11 What type of injunctive relief is available? .......................711

Chapter 31 Digital Audio Recording Devices and Media ..................719
  Michael T. Reynolds & Teena-Ann V. Sankoorikal
Q 31.1 What is a “digital audio recording device”? .........................720
Q 31.2 Are copy controls required? .............................................720
Q 31.3 What if an end user tries to circumvent the copy controls? ....721
Q 31.4 What are the obligations to make royalty payments? ..............721
  Q 31.4.1 How is the royalty calculated? .....................................721
  Q 31.4.2 Does the royalty obligation continue through each step in the distribution chain? ........................................723
  Q 31.4.3 Where are royalty payments deposited? .......................723
Q 31.5 Who is entitled to royalty payments? ................................723
Q 31.6 What remedies are available for circumvention of a copyright protection system? .................................................724

Chapter 32 Practical Aspects of Copyright Litigation .......................727
  Michael T. Reynolds & Teena-Ann V. Sankoorikal
Q 32.1 What factors should be considered before bringing a copyright claim? ..........................................................728
Q 32.2 What ownership issues arise in connection with actions? ......729
Q 32.3 Can an action be brought before a copyright is registered? ....730
Q 32.4 What are the considerations in choosing between statutory and actual damages? .................................................731
Q 32.5 What role can experts play in copyright cases?.........................731
  Q 32.5.1 Are technical experts useful? .............................................732
Q 32.6 What type of discovery is useful in copyright cases? .................732
  Q 32.6.1 Is discovery of “things” useful?...........................................733
Q 32.7 How can a litigant use the Internet as a discovery tool? ...............734
Q 32.8 Can copyright cases be resolved on summary judgment? ..........734
Q 32.9 What practical issues arise in connection with seeking
  preliminary injunctive relief?.........................................................736

Index ........................................................................................................743