



James C. Otteson
jim@agilityiplaw.com

February 6, 2014

Lisa R. Barton
Acting Secretary
United States International Trade Commission
500 E Street, S.W.
Washington, DC 20436

Re: *Certain Wireless Consumer Electronics Devices and Components Thereof,*
Inv. No. 337-TA-853

Dear Secretary Barton:

Enclosed please find the **Public Version** of the January 27, 2014 Letter Submission to Chairman Irving A. Williamson regarding the Order Issued by the Northern District of California Denying HTC's Renewed Motion for Entry of Judgment as a Matter of Law e-filed today in the above-referenced investigation.

Respectfully submitted,



James C. Otteson

Enclosures



James C. Otteson
jim@agilityiplaw.com

January 27, 2014

Chairman Irving A. Williamson
United States International Trade Commission
500 E Street, SW
Washington, DC 20436

**Re: *Certain Wireless Consumer Electronics Devices and Components Thereof,*
Inv. No. 337-TA-853**

Dear Chairman Williamson,

I write on behalf of the Complainants in the 853 Investigation (Technology Properties Limited LLC, Phoenix Digital Solutions LLC, and Patriot Scientific Corporation) to inform the Commission about a recent development in the parallel district court litigation involving Respondent HTC Corporation (“HTC”). As we informed the Commission in our October 22, 2013 letter, a nine-person jury in the Northern District of California found that HTC Corporation infringed claims 6 and 13 of U.S. Patent 5,809,336 (“the ’336 patent”), claims that are also currently at issue in the Commission’s review of the Initial Determination (“ID”) in the 853 Investigation. The California court also recently issued an order that directly relates to the Commission’s current review of the ID.

The January 21, 2014 order from the California court (“Jan. 21 Order”; copy attached) – which denied HTC’s renewed motion for entry of judgment as a matter of law – is directly relevant to the Commission’s review of the ID. Significantly, the California court found that substantial evidence supported the jury’s verdict that the accused products in that case (some of which are at issue in this Investigation) meet the “entire oscillator” limitation of claims 6 and 13. The Jan. 21 Order is entirely consistent with Complainants’ arguments to the Commission, but contradicts Respondents’ arguments to the Commission on four important points.

First, the California court found that substantial evidence supported the jury’s verdict that the clock signal used to clock the CPU in the accused products is ***generated*** by an [REDACTED] oscillator ***without relying on an external crystal to generate that signal***. The California court pointed to testimony from Complainants’ technical expert, as well as HTC’s own technical expert, to support this point:

[Complainants’ technical expert Dr.] Oklobdzija . . . emphasized that a ring oscillator in an HTC accused product does not use an external crystal/clock to generate a clock signal used by the CPU. In particular, he repeatedly clarified that a ring oscillator generates a clock signal on its own, without relying on external crystals. ***HTC’s technical expert, Mr. Gafford, also admitted that it is the ring oscillator that generates the clock signal for the CPU. Gafford further admits that the external crystal is not used to generate the signal. . . . As Oklobdzija explained, the ring oscillator generates a very high frequency clock signal on its own. . . .***



The Honorable Irving A. Williamson
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Jan. 21 Order at 10 (emphasis added). This confirms the arguments and evidence presented in Complainants' briefs to the Commission that "[redacted] in the Accused Products 'generate a clock signal' without reliance on 'an external crystal/clock generator.'" See Comp. Op. Br. at 30.

The same type of evidence that supported the jury's verdict in the California case also supports Complainants' position in this Investigation. For example, as Complainants pointed out, Dr. Oklobdzija clearly and repeatedly stated that "[redacted] Comp. Op. Br. at 31 citing HT 415:15-416:3; 389:2-13; 1092:17-1093:19; 378:24-381:1. Likewise, Dr. Subramanian acknowledged that "[redacted] *Id.* at 31 citing HT 1397:22-1398:2; 1398:23-1399:4; RDX-4.115; see also HT 1386:25-1387:25, 1388:13-19.

Second, in the Jan. 21 Order, the California court correctly observed that the concepts of generating a clock signal and adjusting the *frequency* of a clock signal (*e.g.*, one *characteristic* of a clock signal) are distinct. Accordingly, the California court recognized that there was substantial evidence that the [redacted] oscillator *generates* the clock signal on its own, while the other PLL components *adjust* or *regulate* the *frequency* of the already generated clock signal:

Gafford further admits that the external crystal is not used to generate the signal. Rather, its clock is used only to compare with the phase of the ring oscillator's already generated clock signal that has been steeply divided by the frequency divider. As Oklobdzija explained, the ring oscillator generates a very high frequency clock signal on its own, which must then be divided to obtain a lower frequency so that its phase can be compared to the phase of the external reference. After that, *the PLL can make adjustments* to the analog voltage/current provided *to the ring oscillator to regulate – but not to generate – its frequency.*

Jan. 21 Order at 10-11. Once again, this is entirely consistent with the arguments and evidence in Complainants' briefs to the Commission. See Comp. Reply Br. at 4 ("Importantly, 'current-starved' technology is used to *control frequency – a concept distinct from generating* a clock signal. . . ." (emphasis added)); Comp. Op. Br. at 23-24 ("Thus, *it is the [redacted] that actually generates the clock signal that is used to clock the CPU. . . . All of the other circuitry in [redacted] is merely used to regulate the frequency (i.e., speed) of the clock signal that is generated by the [redacted]*" (emphasis added)).

On the other hand, the California court's Jan. 21 Order directly contradicts Respondents' and the Staff's positions, which improperly conflate clock generation and frequency adjustment. See Comp. Reply Br. at 9 (citing Staff Op. Br. at 7-8). Respondents went so far as to call these two distinct concepts "one and the same" – a conflation that the California court and jury recognized was clearly wrong. See Resp. Reply Br. at 6 ("The concepts of controlling a clock signal's frequency and generating the clock signal are one and the same, because a clock signal has and must have a frequency. . . .") Of course, that position is illogical, as Dr. Oklobdzija

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pointed out during the trial in this Investigation: [REDACTED]
[REDACTED] Comp. Op. Br. at 31 citing 1092:17-1093:19. As discussed above, the California court agreed with Dr. Oklobdzija that these two concepts are distinct. Although Respondents point to a portion of the ALJ's opinion that also appears to merge these distinct concepts, such conflation is inconsistent with the ALJ's claim construction, in which he expressly distinguished between components used to *generate* a clock signal and those used to determine the *frequency* of an oscillator that generates a clock signal. See Comp. Reply Br. at Section I.D ("The ALJ's Claim Construction Expressly Permits Other Components to Determine Oscillator Frequency"); cf. Resp. Reply Br. at 6 citing ID at 121-122.

Third, the California court recognized that there was evidence that the ring oscillator had the ability to generate a clock signal even if disconnected from the external reference crystal, which supported Dr. Oklobdzija's opinion that the crystal was not used to generate the clock signal for the CPU. See Order at 8. Dr. Oklobdzija offered similar testimony in this Investigation: specifically, that the ring oscillator in the Accused products generates a clock signal without reliance upon either an external reference crystal or a control signal. Regarding the external reference crystal, Dr. Oklobdzija testified: [REDACTED]
[REDACTED] HT 852:9-11. In other words, the [REDACTED] oscillators in the Accused Products do not require the external reference crystal to generate a clock signal.

Likewise, the arguments and testimony about the [REDACTED] PLL shown in RX-621C.10 and RDX-4.129C (which Respondents stated was representative of the PLLs in the Accused Products), show that the [REDACTED]
[REDACTED] See Comp. Op. Br. at 25-29 citing Dr. Subramanian's testimony about RX-621C.10 and RDX-4.129C. Respondents missed the point that the California court understood, complaining that Complainants were arguing about a "simplified hypothetical version of a ring oscillator" not used in any of the products. See Comp. Reply Br., Sec. I.B; cf. Resp. Op. Br. at 6-7. But evidence that the [REDACTED] oscillator will generate a clock signal even when disconnected from anything that Respondents could argue is a control signal supports Complainants' position that the ring oscillator generates the CPU's clock signal without relying on a control signal.

Indeed, some of the evidence upon which the California court relied to deny HTC's JMOL motion came from a demonstrative slide, which showed the same figure from [REDACTED] 0013872 that is also shown in RDX-4.129C and on page 29 of Complainants' Opening Brief. That figure includes [REDACTED]

[REDACTED] See Order at 11 n.46 (citing testimony about DDX-124, which shows the figure taken from [REDACTED]-0013872 – the same figure shown on p. 29 of Complainants' Opening Brief); Comp. Op. Br. at 29 citing HT 1445:14-1446:24; 1447:9-25. The ring oscillators in the Accused Products do not rely on a control signal to generate a clock signal.



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Finally, the California court also agreed with Complainants that the “varying” term of claims 6 and 13 is met by the “current-starved” technology of the Accused Products. Just as Complainants observed in their Petition for Review to the Commission, the California court recognized that claims 6 and 13 are worded in the disjunctive, such that Complainants “needed to show only that such variation is a function of at least one parameter among the several fabrication or operational parameters (e.g., voltage and temperature).” Jan. 21 Order at 12; *see* Comp. Pet. for Rev. at 26-27. The California court found that “[w]ith respect to at least the process / fabrication parameters, [Complainant] TPL met its burden,” pointing to the testimony of HTC’s own expert, Mr. Gafford, who admitted that process variation was a factor for all of the chips in the Accused Products. *Id.* at 13-14 (“process variation is endemic to silicon production”). The California court also found that the testimony of HTC’s Vice President of Products and Operations, Martin Fichter – and witnesses from [REDACTED] (makers of the chips in the Accused Products) – also confirmed that process variation existed for the chips in all HTC Accused Products; this was confirmed by the manufacturing step known as “binning.” Jan. 21 Order at 13-14; *see* Comp. Pet. for Rev. at 27-30.

The testimony about process variation, as shown by binning, confirms the evidence and arguments in Complainants’ petition to the Commission. For example, Complainants observed that Respondents’ expert Dr. Subramanian admitted that with respect to chip-to-chip variations based on process, “[t]here’s no disagreement between Dr. Oklobdzija and me on that point,” and “[b]inning is standard practice. So we perform binning.” *Id.* at 28-29 citing HT 1263:23-1265:18 (Subramanian). These chip-to-chip variations – which are proven by the practice of binning, as acknowledged by Respondents in this Investigation – constituted substantial evidence for the California court to sustain the jury’s verdict that the Accused Products satisfy the “varying” element of claims 6 and 13. The same evidence proves that the Accused Products meet the “varying” limitation in this Investigation. The California court’s correct analysis in the Jan. 21 Order also directly contradicts Respondents’ arguments in their Reply submission to the Commission that the “varying” limitation is not met. *See* Resp. Reply Br. at 3.¹

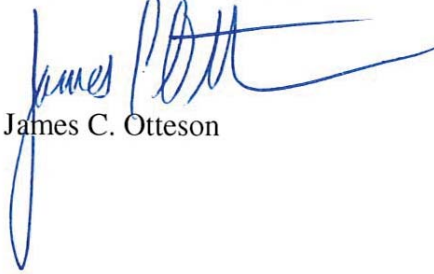
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¹ Respondents also argue that Complainants waived an argument about “varying” because they did not present the issue to the ALJ. Respondents are wrong. Complainants timely presented evidence of fabrication or process parameter variation, including the practice of binning. *See* Comp. Pet. for Rev. at 27-30. Complainants’ point about the operational parameter in their opening brief to the Commission is that the bias current Respondents argue should be excluded because of statements during the prosecution of the ’336 patent is actually expressly recited in and required by claims 6 and 13 as an operational parameter. *See* Comp. Op. Br. at 19. But, because claims 6 and 13 are worded in the disjunctive (“fabrication or operational parameters”), Complainants need only show variation based on one parameter (e.g., fabrication). Just as in the California case, “[w]ith respect to at least the process / fabrication parameters, [Complainant] TPL met its burden.” Jan. 21 Order at 12; *see* Comp. Pet. for Rev. at 27-30.

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Accordingly, while not dispositive in this Investigation, the attached January 21, 2014 Order from the Northern District of California supports Complainants' arguments and contradicts the arguments of the Staff and Respondents on these four points. Complainants respectfully submit that the Jan. 21 Order provides further support for a finding by the Commission that the Accused Products infringe claims 6 and 13 of the '336 patent.

Respectfully submitted,



James C. Otteson

Enclosure: (Jan. 21, 2014 Order Denying Plaintiffs' Renewed Motion for Entry of Judgment as a Matter of Law, Case No. 5:08-cv-00882-PSG, N.D. Cal.)

United States District Court
For the Northern District of California

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UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA
SAN JOSE DIVISION

HTC CORPORATION AND HTC AMERICA,)
INC.,)
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Plaintiffs,)
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v.)
)
TECHNOLOGY PROPERTIES LIMITED,)
et al.,)
)
Defendants.)

Case No. 5:08-cv-00882-PSG

**ORDER DENYING PLAINTIFFS’
RENEWED MOTION FOR ENTRY
OF JUDGMENT AS A MATTER OF
LAW**

(Re: Docket No. 671)

In this patent infringement suit, a jury found that the Plaintiffs in this action, HTC Corporation and HTC America, Inc. infringed a lone patent owned by Defendants Technology Properties Limited, Patriot Scientific Corporation, and Alliacense Limited (collectively, “TPL”). HTC now renews its motion for judgment as a matter of law pursuant to Fed. R. Civ. P. 50(b), arguing that no reasonable jury could have found that HTC infringes any asserted claim of U.S. Patent No. 5,809,336 (“the ’336 patent). TPL opposes. The parties appeared for a hearing. After considering their oral arguments and those in the papers, the court DENIES HTC’s motion.

I. BACKGROUND

Technology Properties Limited and Alliacense, Limited are California corporations with their principal place of business in Cupertino, California; Patriot Scientific Corporation is a Delaware corporation with its principal place of business in Carlsbad, California. These defendants – Technology Properties Limited, Alliacense, and Patriot (collectively “TPL”) – claim ownership of a family of related microprocessor patents. TPL refers to those patents as the Moore Microprocessor Portfolio patents (“MMP patents”), in recognition of co-inventor Charles Moore’s contributions.

A. The Long, Winding Road To Trial

HTC filed this suit on February 8, 2008, seeking a judicial declaration that four of the MMP patents – U.S. Patent Nos. 5,809,336 (“the ’336 patent”), 5,784,584 (“the ’584 patent”), 5,440,749 (“the ’749 patent”), and 6,598,148 (“the ’148 patent”) – are invalid and/or not infringed.¹ TPL counterclaimed for infringement of the ’336, ’749, ’148, and ’890 patents on November 21, 2008.² On April 25, 2008, TPL filed two complaints in the Eastern District of Texas against HTC alleging infringement of the four patents at issue in the pending declaratory judgment action.³ On June 4, 2008, TPL filed additional patent infringement actions against HTC in the Eastern District of Texas asserting U.S. Patent No. 5,530,890 (“the ’890 patent”).⁴ On July 10, 2008, HTC amended its complaint before this court, adding claims for declaratory relief with respect to the ’890 patent.⁵ On February 23, 2009 the parallel Texas litigation was dismissed without prejudice following Judge Fogel’s decision to deny TPL’s Motion to Dismiss, or in the Alternative, to

¹ See Docket No. 1.

² See Docket No. 60 at 6-8.

³ See Docket No. 16 at 3.

⁴ See Docket No. 35 at 5.

⁵ See Docket No. 34.

1 Transfer Venue in the California action.⁶ On March 25, 2010, the court accepted the parties'
 2 stipulation to dismiss the '584 patent from this litigation.⁷ On August 24, 2012, Technology
 3 Properties Limited, Patriot, and Phoenix Digital Solutions initiated an International Trade
 4 Commission investigation regarding HTC's alleged infringement of the '336 patent.⁸ On July 17,
 5 2013, the court accepted the parties' stipulation to dismiss the '148 and '749 patents from this
 6 litigation.⁹ On September 19, 2013, the court accepted the parties stipulation to dismiss all claims
 7 relating to the '890 patent from this litigation.¹⁰

8 In sum, only the '336 patent was considered by the jury at trial.

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 10 **B. The '336 Patent**

11 The '336 patent issued on September 15, 1998, and describes a microprocessor with an
 12 internal variable speed clock, or oscillator, that drives the processor's central processing unit
 13 ("CPU").¹¹ Traditional microprocessors use external, fixed speed crystals to clock the CPU.¹² A
 14 CPU's maximum possible processing capacity depends on process, voltage, and temperature

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 18 ⁶ See Docket Nos. 49 (denying motion to dismiss, to transfer venue, and to stay) and 88 (granting
 motion for leave to file motion for reconsideration and denying motion for reconsideration).

19 ⁷ See Docket No. 152.

20 ⁸ See Docket No. 561-1. Claims 1, 6, 7, 9-11, and 13-16 were asserted in the investigation. On
 21 September 6, 2013, Administrative Law Judge James Gildea issued an Initial Determination from
 22 in the ITC proceeding holding that HTC did not violate Section 337 of the Tariff Act of 1930.
See id.

23 ⁹ See Docket No. 462.

24 ¹⁰ See Docket No. 594.

25 ¹¹ See Docket No. 393-3 at 1 ("A high performance, low cost microprocessor system having a
 26 variable speed system clock is disclosed herein. The microprocessor system includes an integrated
 circuit having a Central processing unit and a ring oscillator variable speed system clock for
 clocking the microprocessor.").

27 ¹² *See id.* at 17:12-14 ("Most microprocessors derive all system timing from a single clock. The
 28 disadvantage is that different parts of the system can slow all operations.").

1 (“PVT parameters”).¹³ An external clock must therefore set the timing of the CPU to suboptimal
 2 PVT conditions, resulting in waste of the CPU’s processing speed under optimal conditions. The
 3 internal, variable clock described in the ’336 patent claims real-time adjustment of the timing of the
 4 CPU by placing the clock on the chip itself. Thus, the CPU can perform optimally under any set of
 5 parameters.¹⁴ The microprocessor nevertheless requires a second external clock because devices
 6 other than the CPU do not operate at variable speed.¹⁵

7
 8 Independent claim 6 provides:

9 A microprocessor system comprising:

10 a central processing unit disposed upon an integrated circuit substrate, said central
 11 processing unit operating at a processing frequency and being constructed of a first
 12 plurality of electronic devices;

13 an entire oscillator disposed upon said integrated circuit substrate and connected to said
 14 central processing unit, said oscillator clocking said central processing unit at a clock
 15 rate and being constructed of a second plurality of electronic devices, thus varying the
 16 processing frequency of said first plurality of electronic devices and the clock rate of
 17 said second plurality of electronic devices in the same way as a function of parameter
 18 variation in one or more fabrication or operational parameters associated with said
 19 integrated circuit substrate, thereby enabling said processing frequency to track said
 20 clock rate in response to said parameter variation; an on-chip input/output interface,
 21 connected between said central processing unit and an off-chip external memory bus,
 22 for facilitating exchanging coupling control signals, addresses and data with said central
 23 processing unit; and

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 13 See *id.* at 17:21-22 (“Speed may vary by a factor of four depending upon temperature, voltage,
 and process.”).

14 See *id.* at 17:32-34 (“By decoupling the variable speed of the CPU 70 from the fixed speed of the
 I/O interface 432, optimum performance can be achieved by each.”).

15 See *id.* at 44-53 (“The designer of a high speed microprocessor must produce a product which
 operate over wide temperature ranges, wide voltage swings, and wide variations in semiconductor
 processing. Temperature, voltage, and process all affect transistor propagation delays. Traditional
 CPU designs are done so that with the worse case of the three parameters, the circuit will function
 at the rated clock speed. The result are designs that must be clocked a factor of two slower than
 their maximum theoretical performance, so they will operate properly in worse case conditions.”);
id. at 16:67-17:10 (“By deriving system timing from the ring oscillator 430, CPU 70 will always
 execute at the maximum frequency possible, but never too fast. For example, if the processing of a
 particular die is not good resulting in slow transistors, the latches and gates on the microprocessor
 50 will operate slower than normal. Since the microprocessor 50 ring oscillator clock 430 is made
 from the same transistors on the same die as the latches and gates, it too will operate slower
 (oscillating at a lower frequency), providing compensation which allows the rest of the chip's logic
 to operate properly.”).

1 an off-chip external clock, independent of said oscillator, connected to said input/output
2 interface wherein said off-chip external clock is operative at a frequency independent of
3 a clock frequency of said oscillator and wherein a clock signal from said off-chip
4 external clock originates from a source other than said oscillator.¹⁶

5 **C. The Verdict: HTC Infringes**

6 A seven-day jury trial was held to consider whether HTC infringed the '336 patent.¹⁷

7 At trial, HTC did not contest the validity of the '336 patent. HTC moved for judgment as a matter
8 of law after the close of TPL's case.¹⁸ After two days of deliberations, the jury found that HTC
9 and its accused products literally infringed all asserted claims: 6, 7, 9, 13, 14, and 15.¹⁹ As to
10 damages, the jury made the following findings:

11 3. To the extent you have found that at least one claim of the '336 patent is infringed, what
12 has TPL proven that it is entitled to as a reasonable royalty for infringement:

13 One-time (lump sum) payment of \$958,560 for the life of the patent.²⁰

14 Following the jury verdict HTC filed a renewed motion for judgment as a matter of law that its
15 products do not infringe the '336 patent.²¹

16 **II. LEGAL STANDARDS**

17 Fed. R. Civ. P. 50(b) provides that, upon a renewed motion for judgment as a matter of law,
18 the court may: (1) "allow judgment on the verdict, if the jury returned a verdict," (2) "order a new
19 trial," or (3) "direct the entry of judgment as a matter of law." To grant a Rule 50(b) motion, the
20 court must determine that "the evidence, construed in the light most favorable to the non-moving

21 ¹⁶ Docket No. 393-3.

22 ¹⁷ See Docket No. 657.

23 ¹⁸ See Docket No. 647. HTC also moved for judgment as a matter of law as to willful infringement
24 and damages. The jury returned a verdict that HTC's infringement was not willful. HTC has not
25 renewed its motion for judgment as a matter of law on the issue of damages. See Docket No. 654
at 3-4.

26 ¹⁹ See Docket No. 654 at 2.

27 ²⁰ *Id.* at 4.

28 ²¹ See Docket 671.

1 party, permits only one reasonable conclusion, and that conclusion is contrary to the jury’s.”²² In
 2 other words, to set aside the verdict, there must be an absence of “substantial evidence” – meaning
 3 “relevant evidence that a reasonable mind would accept as adequate to support a conclusion” – to
 4 support the jury’s verdict.²³ “Substantial evidence is more than a mere” scintilla;²⁴ it constitutes
 5 “such relevant evidence as reasonable minds might accept as adequate to support a conclusion even
 6 if it is possible to draw two inconsistent conclusions from the evidence.”²⁵ In reviewing a motion
 7 for judgment as a matter of law, the court “must view the evidence in the light most favorable to
 8 the non-moving party and draw all reasonable inferences in its favor.”²⁶ “In ruling on such a
 9 motion, the trial court may not weigh the evidence or assess the credibility of witnesses in
 10 determining whether substantial evidence exists to support the verdict.”²⁷

11 III. DISCUSSION

12 A. The Jury Considered Substantial Evidence that the Accused Products Involve An 13 “Entire Oscillator”

14 HTC first disputes the sufficiency of evidence regarding practice of the “entire oscillator”
 15 limitation. The court addressed the term in its order granting-in-part summary judgment of
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 19 ²² *Callicrate v. Wadsworth Mfg.*, 427 F.3d 1361, 1366 (Fed. Cir. 2005) (*quoting Pavao v. Pagay*,
 20 307 F.3d 915, 918 (9th Cir. 2002)) (“The Ninth Circuit upholds any jury verdict supported by
 21 substantial evidence.”).

22 ²³ *Id.*

23 ²⁴ *Chisholm Bris. Farm Equip. Co. v. Int’l Harvester Co.*, 498 F.2d 1137, 1140 (9th Cir. 1974)
 24 (*quoting Consol. Edison Co. v. NLRB*, 305 U.S. 197, 229 (1938)).

25 ²⁵ *Landes Constr. Co. v. Royal Bank of Canada*, 833 F.2d 1365, 1371 (9th Cir. 1987).

26 ²⁶ *Transbay Auto Serv., Inc. v. Chevron U.S.A., Inc.*, Case No. 3:09-cv-04932 SI, 2013 WL 496098,
 27 at *2 (N.D. Cal. Feb. 7, 2013) (*quoting Josephs v. Pacific Bell*, 443 F.3d 1050, 1062
 28 (9th Cir. 2006)) (“We must view the evidence in the light most favorable to the nonmoving party –
 here, Josephs, – and draw all reasonable inferences in that party’s favor.”).

²⁷ *Id.* (citing *Mosesian v. Peat, Marwick, Mitchell & Co.*, 727 F.2d 873, 877 (9th Cir. 1984)
 (“Neither the district court nor this court may weigh the evidence or order a result it finds more
 reasonable if substantial evidence supports the jury verdict.”)).

1 non-infringement and no willfulness.²⁸ The court explained:

2 The court agrees with HTC that the disputed limitations are properly understood to exclude
3 any external clock used to generate a signal.²⁹ Nevertheless, there remains a factual dispute
4 whether HTC's products contain an on-chip ring oscillator that is self-generating and does
5 not rely on an input control to determine its frequency. While HTC's expert says that the
6 PLLs generate the clock, TPL's expert counters that the ring oscillators generate the clock
7 and the PLLs merely buffer or fix the frequency.³⁰ This is a classic factual question that
8 requires a trial to answer.³¹

9 HTC argues that the record at trial was uncontroverted that the ring oscillator in all accused HTC
10 products is a phase locked loop ("PLL") and that the frequency output from the PLL is used to
11 clock the CPU in the accused products. In particular, the frequency generated by that PLL relies
12 on an off-chip crystal to set the frequency which is used to clock the CPU. The court's
13 construction teaches that if an off chip crystal is used to clock the CPU, then the accused products
14 fall outside of the claims. Because this was the factual predicate under which the trial was held and
15 all of the evidence at trial demonstrates the PLLs in the accused products necessarily reference an
16 off-chip signal in order to set the frequency to clock the CPU, no reasonable jury could find
17 infringement. At bottom, the evidence was undisputed that the signal that is used to clock the CPU
18 cannot exist but for the existence of the off chip crystal's input – there is nothing to clock the CPU
19 if the off chip crystal is not referenced.

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21 ²⁸ See Docket No. 585.

22 ²⁹ The patentee's arguments traversing the prior art narrowed the claims. *See Festo Corp. v.*
23 *Shoketsu Kinzoku Kogyo Kabushiki Co.*, 535 U.S. 722, 740 (2002) ("A patentee's decision to
24 narrow his claims through amendment may be presumed to be a general disclaimer of the territory
25 between the original claim and the amended claim."); *cf. Saeilo Inc. v. Colt's Mfg. Co.*,
26 26 F. App'x 966, 973 (Fed. Cir. 2002) ("Where an amendment narrows the scope of a claim for a
27 reason related to the statutory requirements for patentability, prosecution history estoppel acts as a
28 complete bar to the application of the doctrine of equivalents to the amended claim element.").

³⁰ Compare Docket No. 457 at 16 ("the oscillators in the accused products indisputably rely on an
external crystal or clock generator to clock" the CPU), *with* Docket No. 470 at 14 ("Each HTC
product includes a CPU/system clock – a **ring oscillator** within a PLL – that **generates** a clock
signal **on its own**, as long as it has a power supply.") (emphasis in original).

³¹ Docket No. 585 at 11.

1 TPL counters that HTC failed to preserve the issue, and that in any event there was
 2 sufficient evidence that even if the external crystal can be used to regulate frequency clocking the
 3 CPU that is separate and distinct from the generation of the clock. TPL points to testimony from
 4 its expert, Dr. Oklobdzija, that because one could remove the crystal and still see a signal, even
 5 though that was not how the accused products operate, that suggested to him, an expert in the field,
 6 that the crystal was not being used to generate the signal.³² Oklobdzija also opined that no off-chip
 7 crystal is relied upon to generate a clock signal.³³ Even HTC's own expert opined that the external
 8 crystal clocks were used in HTC phones as reference signals, not to actually generate the on-chip
 9 clock signal itself.³⁴

10
 11 As an initial matter, the court is satisfied that HTC's arguments regarding the meaning of
 12 "entire oscillator" were preserved. After the court issued its order denying HTC's motion for
 13 summary judgment of non-infringement, HTC filed a motion requesting that the court adopt a jury
 14 instruction incorporating a construction of "entire oscillator" consistent with the order.
 15 In particular, HTC asked the court to adopt a construction that included two sentences: (1) a first
 16 sentence stating that the limitation is "not satisfied by an accused system that uses any external
 17 clock to generate a signal," and (2) a second sentence specifying, among other things, that an
 18 accused product can infringe only if it "does not rely on an input control to determine its
 19 frequency."³⁵ The court held a hearing on HTC's motion and issued an order adopting a
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 23 ³² See Docket No. 641, Trial Tr. at 565:15-19 ("The ring oscillator generates the clock regardless,
 and it will continue to generate the clock even when you disconnect this, the crystal.").

24 ³³ See *id.*, Trial Tr. at 565:22-25 ("Q: Does any on-chip component rely on the off-chip crystal to
 generate a clock signal? A: No.").

25 ³⁴ See Docket No. 643, Trial Tr. at 1019:23-1020:3 ("Q: And have you heard of the term "Crystal
 26 Clock," or "Crystal Oscillator"? A: Yeah. Crystal Oscillator is a component that you put a voltage
 on the component and then it starts oscillating at a fixed frequency. It's also part of a PLL.
 27 It feeds a PLL and makes sure that the PLL has a reference signal.").

28 ³⁵ Docket No. 590 at 2:19-23; *see also* Docket No. 604 (citing the intrinsic record).

1 construction of “entire oscillator” based on a modified version of the first sentence of HTC’s
2 proposal. The court chose not to adopt the second sentence of HTC’s proposal and informed the
3 parties that it would instruct the jury in accordance with its construction.³⁶

4 HTC raised this issue again with the court on the day before closing arguments in the
5 context of jury instructions on the construction of “entire oscillator.” During the jury instruction
6 conference with the court, after taking up the jury instruction on claim construction, counsel for
7 HTC asked the court to confirm that HTC’s earlier objections and arguments with respect to its
8 proposed two-sentence construction of “entire oscillator” had been preserved for the record.
9 The court confirmed that they were.
10

11 Mr. Weinstein:

12 I just want to make sure, we understand you -- we had extensive argument about the
13 entire oscillator term. We had a hearing prior to the trial and I just wanted to make
14 sure that the objections that we had regarding the two sentences that we wanted are
15 still preserved.

16 The court:

17 They are preserved, absolutely.³⁷

18 Second, HTC’s pre-verdict JMOL motion fully raised the argument that the accused HTC
19 products do not infringe because the oscillator in the accused HTC products relies on an input
20 control to determine its frequency.³⁸ HTC’s pre-verdict motion specifically argued, for example,
21 that the “entire oscillator” limitation was not satisfied because “the output frequency of the on-chip
22 clock is expressly calculated, in each instance, based on the input frequency provided by the
23 external clock.”³⁹ HTC’s motion explained in detail how the frequency of the on-chip oscillator
24

25 ³⁶ See Docket No. 607 at 1.

26 ³⁷ Docket No. 695-2, Ex. 16 at 1456:16-21.

27 ³⁸ See Docket No. 647 at 4-6.

28 ³⁹ *Id.* at 6.

1 was based on a formula that expressly relies on the frequency input from the external clock,
2 including specific citations to the evidentiary record at trial.⁴⁰

3 This was sufficient.⁴¹

4 As for the merits of the dispute, Oklobdzija took the stand and offered expert testimony
5 that, after considering the accused products, his opinion was that the CPU was clocked by an
6 on-chip crystal. He emphasized that a ring oscillator in an HTC accused product does not use an
7 external crystal/clock to generate a clock signal used by the CPU. In particular, he repeatedly
8 clarified that a ring oscillator generates a clock signal on its own, without relying on external
9 crystals.⁴² HTC's technical expert, Mr. Gafford, also admitted that it is the ring oscillator that
10 generates the clock signal for the CPU.⁴³ Gafford further admits that the external crystal is not
11 used to generate the signal. Rather, its clock is used only to compare with the phase of the ring
12 oscillator's already generated clock signal that has been steeply divided by the frequency divider.⁴⁴
13 As Oklobdzija explained, the ring oscillator generates a very high frequency clock signal on its
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16 ⁴⁰ See *id.* at 4-6.

17 ⁴¹ See *C.B. v. City of Sonora*, 730 F.3d 816, 824 n.5 (9th Cir. 2013) (citing *EEOC v. Go Daddy*
18 *Software, Inc.*, 581 F.3d 951, 961 (9th Cir. 2009)) (In the Ninth Circuit, "Rule 50(b) 'may be
19 satisfied by an ambiguous or inartfully made motion under Rule 50(a),' and it is given a 'liberal
20 interpretation' to avoid overly harsh results."); *W. Union Co. v. MoneyGram Payment Sys., Inc.*,
21 626 F.3d 1361, 1367 (Fed. Cir. 2010) (*quoting Blackboard, Inc. v. Desire2Learn, Inc.*, 574 F.3d
22 1371, 1379-80 (Fed. Cir. 2009) (holding that even "a cursory motion suffices to preserve an issue
23 on JMOL so long as it 'serves the purposes of Rule 50(a), i.e., to alert the court to the party's legal
24 position and to put the opposing party on notice of the moving party's position as to the
25 insufficiency of the evidence.'").

26 ⁴² See Docket No. 641, Trial Tr. at 565:15-19 ("The ring oscillator generates the clock regardless,
27 and it will continue to generate the clock even when you disconnect this, this crystal.");
28 Trial Tr. 565:22-25 ("Q: Does any on-chip component rely on the off-chip crystal to generate a
clock signal? A: No.").

⁴³ See Docket No. 684, Trial Tr. at 1364:18-22 ("Q: So you've got a 2.0 gigahertz clock signal
generated by the ring oscillator that's clocking the CPU, and you divide by 100, and that's what
this circuitry actually does; correct? A: Yes.").

⁴⁴ See *id.*, Trial Tr. at 1364:18-1365:1 ("Q: [The 2.0-gigahertz clock signal generated by the ring
oscillator is divided by 100] [t]o get a 20 megahertz signal so that you can do edge matching with
the external reference crystal signal in the phase detector, correct? A: Yes.").

own, which must then be divided to obtain a lower frequency so that its phase can be compared to the phase of the external reference.⁴⁵ After that, the PLL can make adjustments to the analog voltage/current provided to the ring oscillator to regulate – but not to generate – its frequency.⁴⁶

Even if Oklobdzija’s positions were later undermined by other evidence to a degree or diminished through cross-examination, his expert testimony as corroborated by other experts provides sufficient substantial evidence as required under Rule 50(b).

B. The Jury Considered Substantial Evidence of Variation of the Processing Frequency and Entire Oscillator as a Function of PVT

HTC next argues that no reasonable jury could have found infringement because TPL did not provide substantial evidence that the processing frequency of the CPU and entire oscillator “varied as a function of process, voltage, or temperature.” In support, HTC claims the accused products “are designed to maintain the target frequency across PVT variations.”⁴⁷ What’s more, none “of the formulae for any Qualcomm, TI or Samsung chip recites any fabrication or operational parameter variation as playing any role in the determination of the PLL output

⁴⁵ See Docket No. 641, Trial Tr. at 569:2-18 (“Q: Where is the digital to analog converter here? A: It says DAC. DAC means digital to analog converter, the component here (indicating). So this output operation to extend the digital signal to DAC, this DAC just makes the plain voltage out (indicating), this voltage which comes from here (indicating), and produces this voltage which will smoothly move this one in the range we want it to oscillate (indicating). Now, let me go back just one second. This is a divider (indicating), and this is a comparator (indicating). This is what is called a phase detector (indicating). Here is the reference (indicating). This reference is compared with the divided signal here, and what it does is, you can see the switches, it either moves this voltage up or down. These capacitors have been charged and they filter that voltage so it’s not jumping up and down, so it’s smooth, that voltage, okay, when connected.”).

⁴⁶ See *id.* at 569:19-22 (“And in this case this is disconnected, but when connected, it’s converted into a current some with what digital PLL does, or digital output, same thing, voltage, and it will adjust this VCO, voltage control oscillator, ring oscillator.”).

⁴⁷ Docket No. 643, Trial Tr. at 1062:2-3 (“Regarding PLL’s, I can tell you that PLL’s are designed to maintain the target frequency across PVT variations.”); Docket No. 640, Trial Tr. at 359:2-8 (“Q: Is the output frequency from the DPLL stable? A: That is part of the specification. In other words, the outer clock is always known to have a known value within a tight range. That’s how the specification on the PLL is developed. So yes, the answer is correct, it’s stable, it’s a known value.”).

1 frequency. The accused HTC products, therefore, do not meet the “varying” limitations as a matter
2 of law.”⁴⁸

3 Again, the court finds substantial evidence supports the jury’s verdict. Gafford, HTC’s
4 expert, testified that the processing frequency of the CPU and the clock rate of the on-chip
5 oscillator must always vary in the same way.⁴⁹ Because the claim limitation is disjunctive, TPL
6 needed to show only that such variation is a function of at least one parameter among the several
7 fabrication or operational parameters (e.g., voltage and temperature). With respect to at least the
8 process / fabrication parameters, TPL met its burden. Process parameters vary from chip to chip
9 because, as Gafford testified, process parameters are the same for components of the same chip,
10 such as the CPU and the on-chip oscillator in each HTC accused product.⁵⁰ Gafford also admitted
11 that such process variation between chips results in variation between chips in processing
12 frequency and the associated clock rate.⁵¹

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16 ⁴⁸ Docket No. 671 at 8.

17 ⁴⁹ See Docket No. 684, Trial Tr. at 1387:13-1388:1 (“Q: Let me ask you this: the processing
18 frequency of the CPU and the clock rate of the entire oscillator must always vary together; right?
19 A: Yes, they must vary in the same way. Q: They all – they must always vary in the same way,
20 and the reason is that the CPU gets its processing frequency from the clock rate of the entire
21 oscillator; right? A: I believe that’s the way—I believe that’s how everyone has agreed we’re
22 interpreting this element. Q: Okay. Like Dr. Oklobdzija’s analogy, if I’m the entire oscillator and
23 you’re the CPU and we’re shaking hands and I’m moving my hand at two hertz, your hand is also
24 moving at two hertz; correct?”)

25 ⁵⁰ See *id.*, Trial Tr. at 1394:8-11 (“Q: Now, Variations in fabrication parameters, again, are from
26 chip to chip. They’re not in the same chip during operation; right? A: Yes.”); Trial Tr.
27 at 1393:16-23 (“Q: Now, you also recognized that there have to be process variations among the
28 chips in the HTC accused products; right? A: Yes. Q: Because process variation is endemic to
silicon production; correct? A: Yes. Q: You can’t get away from it; right? A: Yes.”).

⁵¹ See *id.*, Trial Tr. at 1390:2-11 (“Q: But when we’re talking about fabrication variations, those
are variations from chip to chip; right? A: Yes. Q: So some chips will have the ability to run
faster and some chips will only be able to run at slower speeds; right? A: That’s right. Q: And
that’s why we have a binning step in manufacturing chips; correct? A: As to its effect on the CPU
speed, yes, that is what binning does.”); Trial Tr. at 1394:8-11 (“Q: Now, Variations in fabrication
parameters, again, are from chip to chip. They’re not in the same chip during operation; right? A:
Yes.”).

1 Evidence of process variation, and therefore processing frequency and clock rate variation,
 2 between chips, was shown in all HTC accused products. Qualcomm's representative, Sina Dena,
 3 testified, for example, that for the same chip design, Qualcomm separates chips with higher clock
 4 speeds at the "high end" or "fast corner of the process," from chips with lower clock speeds at the
 5 "slower corner of the process" -- a practice called binning.⁵² Qualcomm assigns different product
 6 names or designations to chips in different bins even though they have the "same design."⁵³ In
 7 fact, "the higher speed bin products will have potentially a different frequency plan."⁵⁴ Qualcomm
 8 charges more for such chips.⁵⁵ Gafford confirmed that "there have to be process variations among
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 11 ⁵² See Docket No. 643, Trial Tr. at 1083:5-14 ("The court: The next question has to do with
 12 binning. We've heard much discussion in this trial about binning. When you were describing
 13 binning earlier during your testimony, were you referring to binning of a single or common IC
 14 design? The witness: Yes. Basically it's -- it's -- it's the same design which performs, can take
 15 higher clock speeds at the high end of the process, at the fast corner of the process and versus, you
 16 know, lower clock speed at the slower corner of the process.")

17 ⁵³ See *id.*, Trial Tr. at 1083:5-14 ("The court: The next question has to do with binning. We've
 18 heard much discussion in this trial about binning. When you were describing binning earlier
 19 during your testimony, were you referring to binning of a single or common IC design? The
 20 witness: Yes. Basically it's -- it's -- it's the same design which performs, can take higher clock
 21 speeds at the high end of the process, at the fast corner of the process and versus, you know, lower
 22 clock speed at the slower corner of the process."); Trial Tr. at 1064:14-24 ("Q: Okay. Understood
 23 so you change the PLL based on the speed bin that the chip goes in; right? A: Right. And the
 24 chips usually are going to have a different identification when they are at the higher speed versus
 25 the one that -- Q: And I think you called these premium chips, the faster ones, right? A: I don't
 26 know if it's premium, but the marketing group. Q: But you're able to charge more money for those
 27 chips; right? A: Yes."); 1083:22-23 ("Now, usually when the binning is done, either product name
 28 is changed or there is some sort of designation that goes.")

21 ⁵⁴ See *id.*, Trial Tr. at 1083:22-1084:5. ("Now, usually when the binning is done, either product
 22 name is changed or there is some sort of designation that goes. So it's -- even though you might
 23 call it the same design, the higher speed bin products will have potentially a different frequency
 24 plan, and it's very simple to manage with a single release of software that we do for these chips.
 25 Basically the software reads the fuse space, finds it, okay, this is a faster device, so I'm going to
 26 change my PLL plan to a different setting for this particular device.")

25 ⁵⁵ See *id.*, Trial Tr. at 1064:10-24 ("A: Now, is there a market for 1.2 Gigahertz? Sure, there is if
 26 you do that. So we have a premium for the fast corner process devices, and then the frequency
 27 plan, the PLL plan is going to change for that particular group of devices. Q: Okay. Understood
 28 so you change the PLL based on the speed bin that the chip goes in; right? A: Right. And the
 chips usually are going to have a different identification when they are at the higher speed versus
 the one that -- Q: And I think you called these premium chips, the faster ones, right? A: I don't
 know if it's premium, but the marketing group. Q: But you're able to charge more money for those
 chips; right? A: Yes.")

1 the chips in the HTC accused products,” “because process variation is endemic to silicon
2 production.”⁵⁶

3 As to the formulae cited by HTC, they merely show how the ring oscillator uses the
4 external crystal clock as a reference, not how the ring oscillator actually generates the clock signal.
5 HTC’s own witness, Mr. Fichter, testified that the external crystal clock in the HTC phones serves
6 merely as a reference signal.⁵⁷ Dena confirmed that this crystal functions as a reference for the
7 Qualcomm chips used in the HTC phones.⁵⁸ Dr. Haroun, a corporate representative from Texas
8 Instruments, also confirmed that the external crystal clock functions as a reference for the TI chips
9 used in the HTC phones.⁵⁹ Because the external crystal serves merely as a reference, if that crystal
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14 ⁵⁶ See Docket No. 684, Trial Tr. at 1393:16-23 (“Q: Now, you also recognized that there have to
15 be process variations among the chips in the HTC accused products; right? A: Yes. Q: Because
16 process variation is endemic to silicon production; correct? A: Yes. Q: You can’t get away from
17 it; right? A: Yes.”).

18 ⁵⁷ See Docket No. 643, Trial Tr. at 1019:23-1020:3 (“Q: And have you heard of the term “Crystal
19 Clock,” or “Crystal Oscillator”? A: Yeah. Crystal Oscillator is a component that you put a voltage
20 on the component and then it starts oscillating at a fixed frequency. It’s also part of a PLL.
21 It feeds a PLL and makes sure that the PLL has a reference signal.”).

22 ⁵⁸ See *id.*, Trial Tr. at 1044:2-12 (“Q: And at a high level, what is the purpose of a phase lock
23 loop? A: Phase lock loop is used to provide a fixed target frequency clock signal. Q: And
24 generally how is that achieved? A: In the Qualcomm family of chips, basically there’s a fixed
25 reference input clock that comes to a box, phase lock loop. There are elements that go into it, we
26 call them L, M, N, different parameters, and the output frequency of the phase lock loop would be
27 a mathematical formula of those elements multiplied by the input reference clock frequency.”),
28 Trial Tr. at 1048:10-15 (“Q: Okay. Now, one more last question about this. This TCXO right
here, is that a -- what type of signal is that (indicating)? A: It’s what you call a reference clock
signal fixed at 19.2 and it’s extremely important for PLL operation for this signal to be fixed across
variation and temperatures (indicating).”).

⁵⁹ Docket No. 640, Trial Tr. at 350:14-17 (“Q: Now, all of the -- now, all of the OMAP chips use
PLL’s with -- that have a reference signal from an external clock; correct? A: That is correct.”).
In fact, Dr. Haroun admitted that only the ring oscillator in the TI chips could create or generate the
high frequency used to clock the CPU. *Id.* at Trial Tr. at 353:23-354:3 (“Q: Okay. Let me clarify
it this way: there’s no other portion in the PLL besides the ring oscillator that can create a
frequency that’s so much higher than the external crystal; correct? A: That is correct. That is
where it’s -- where the extra edges are generated, yes.”).

1 is disconnected, the ring oscillator will still be able to generate a clock signal.⁶⁰ HTC's focus on
2 the formulae therefore ignores the fact that differently binned chips – even if they have the same
3 design – are set to run at different frequencies and sold for different prices.

4 In sum, substantial evidence supports the jury's infringement verdict.

5 **IT IS SO ORDERED.**

6 Dated: January 21, 2014

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8 PAUL S. GREWAL
9 United States Magistrate Judge

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United States District Court
For the Northern District of California

⁶⁰ See Docket No. 641, Trial Tr. at 567:8-22 (“Q: So the ring oscillator will still run if you disconnect the crystal? A: Yes, because crystal is not essential to generate the clock. Crystal is not needed to generate the clock.”)

**UNITED STATES INTERNATIONAL TRADE COMMISSION
WASHINGTON, D.C.**

Before the Honorable E. James Gildea
Administrative Law Judge

In the Matter of

**CERTAIN WIRELESS CONSUMER
ELECTRONICS DEVICES AND
COMPONENTS THEREOF**

Investigation No. 337-TA-853

CERTIFICATE OF SERVICE

I, Sherri Mills, hereby certify that on January 27, 2014 a copy of the foregoing document was served upon the following parties or their counsel in the manner indicated:

**LETTER SUBMISSION TO CHAIRMAN IRVING A. WILLIAMSON
REGARDING ORDER ISSUED BY NORTHERN DISTRICT OF
CALIFORNIA DENYING HTC'S RENEWED MOTION FOR ENTRY
OF JUDGMENT AS A MATER OF LAW (CONFIDENTIAL VERSION)**

<i>Acting Secretary</i>	
The Honorable Lisa R. Barton Acting Secretary U.S. International Trade Commission 500 E Street, S.W., Room 112A Washington, D.C. 20436	<input checked="" type="checkbox"/> Via EDIS <input checked="" type="checkbox"/> Via Overnight Courier <i>Eight Copies</i>
<i>Administrative Law Judge</i>	
The Honorable E. James Gildea U.S. International Trade Commission 500 E Street, S.W., Room 317 Washington, D.C. 20436	<input type="checkbox"/> Via Hand Delivery <input checked="" type="checkbox"/> Via Overnight Courier <i>Two Copies</i>
<i>Administrative Law Judge Attorney Advisors</i>	
Ken Schopfer Sarah Zimmerman Attorney Advisors 500 E Street, S.W., Room 317 Washington, DC 20436 kenneth.schopfer@usitc.gov sarah.zimmerman@usitc.gov	<input checked="" type="checkbox"/> Via Email (PDF copy)

**CERTAIN WIRELESS CONSUMER ELECTRONICS
DEVICES AND COMPONENTS THEREOF**

Inv. No. 337-TA-853

<i>Office of Unfair Import Investigation</i>	
Whitney Winston Investigative Attorney Office of Unfair Import Investigation U.S. International Trade Commission 500 E Street, S.W., Suite 401 Washington, D.C. 20436 Telephone: (202) 205-2221 Whitney.Winston@usitc.gov	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Complainant Patriot Scientific Corporation</i>	
Charles T. Hoge KIRBY NOONAN LANCE & HOGE, LLP 350 Tenth Avenue, Suite 1300 San Diego, California 92101 Telephone: (619) 231-8666 choge@knlh.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents Acer Inc. and Acer America Corporation</i>	
Eric C. Rusnak K&L GATES LLP 1601 K Street, NW Washington, DC 20006-1600 Telephone: (202) 778-9000 Facsimile: (202) 778-9100 AcerAmazonNovatel_ITC853@klgates.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondent Amazon.com, Inc.</i>	
Eric C. Rusnak K&L GATES LLP 1601 K Street, NW Washington, DC 20006-1600 Telephone: (202) 778-9000 Facsimile: (202) 778-9100 AcerAmazonNovatel_ITC853@klgates.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondent Barnes & Noble, Inc.</i>	
Paul F. Brinkman QUINN EMANUEL URQUHART & SULLIVAN, LLP 1299 Pennsylvania Avenue NW, Suite 825 Washington, DC 20004 Tel.: (202) 538-8000 Fax: (202) 538-8100 BN-853@quinnemanuel.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)

**CERTAIN WIRELESS CONSUMER ELECTRONICS
DEVICES AND COMPONENTS THEREOF**

Inv. No. 337-TA-853

<i>Counsel for Respondents Garmin Ltd., Garmin International, Inc. and Garmin USA, Inc.</i>	
Louis S. Mastriani ADDUCI, MASTRIANI & SCHAUMBERG, L.L.P. 1133 Connecticut Avenue, N.W., 12th Floor Washington, DC 20036 Telephone: (202) 467-6300 Facsimile: (202) 466-4006 Garmin-853@adduci.com Garmin_853@eriseIP.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents HTC Corporation and HTC America</i>	
Stephen R. Smith COOLEY LLP 11951 Freedom Drive Reston, VA 20190 Telephone: (703) 456-8000 Facsimile: (703) 456-8100 HTC-TPL@cooley.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondent Huawei Technologies Co., Ltd. , Huawei Device Co., Ltd., Huawei Device USA Inc., and Futurewei Technologies, Inc.</i>	
Timothy C. Bickham STEPTOE & JOHNSON LLP 1330 Connecticut Avenue, N.W. Washington, D.C. 20036 Telephone: (202) 429-3000 Facsimile: (202) 429-3902 Huawei853@steptoe.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents Kyocera Corporation and Kyocera Communications, Inc.</i>	
M. Andrew Woodmansee MORRISON & FOERSTER LLP 12531 High Bluff Drive San Diego, CA 92130 Telephone: (858) 720-5100 Facsimile: (858) 720-5125 Kyocera-TPL-ITC@mofo.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)

**CERTAIN WIRELESS CONSUMER ELECTRONICS
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Inv. No. 337-TA-853

<i>Counsel for Respondents LG Electronics, Inc. and Electronics U.S.A., Inc.</i>	
Scott A. Elengold FISH & RICHARDSON P.C. 1425 K Street, N.W. 11 th Floor Washington, DC 20005 Telephone: (202) 783-5070 Facsimile: (202) 783-2331 LG-TPLITCService@fr.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents Nintendo Co., Ltd. and Nintendo of America, Inc.</i>	
Stephen R. Smith COOLEY LLP 11951 Freedom Drive Reston, VA 20190 Telephone: (703) 456-8000 Facsimile: (703) 456-8100 Nintendo-TPL@cooley.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondent Novatel Wireless, Inc.</i>	
Eric C. Rusnak K&L GATES LLP 1601 K Street, NW Washington, DC 20006-1600 Telephone: (202) 778-9000 AcerAmazonNovatel ITC853@klgates.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Attorneys for Respondents Samsung Electronics Co., Ltd. and Samsung Electronics America, Inc.</i>	
Aaron Wainscoat DLA PIPER LLP 2000 University Avenue East Palo Alto, CA 94303-2214 Telephone: (650) 833-2442 853-DLA-Samsung-Team@dlapiper.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents ZTE Corporation & ZTE (USA) Inc.</i>	
Jay H. Reiziss BRINKS HOFER GILSON & LIONE 1775 Pennsylvania Avenue, NW Washington, D.C. 20006 Telephone: (202) 296-8700 Brinks-853-ZTE@brinkshofer.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)

/s/ Sherri Mills

Sherri Mills

**UNITED STATES INTERNATIONAL TRADE COMMISSION
WASHINGTON, D.C.**

Before the Honorable E. James Gildea
Administrative Law Judge

In the Matter of

**CERTAIN WIRELESS CONSUMER
ELECTRONICS DEVICES AND
COMPONENTS THEREOF**

Investigation No. 337-TA-853

CERTIFICATE OF SERVICE

I, Tracey Nero, hereby certify that on February 6, 2014, a copy of the foregoing document was served upon each of the following parties or their counsel in the manner indicated:

1. LETTER SUBMISSION TO CHAIRMAN IRVING A. WILLIAMSON REGARDING ORDER ISSUED BY NORTHERN DISTRICT OF CALIFORNIA DENYING HTC'S RENEWED MOTION FOR ENTRY OF JUDGMENT AS A MATTER OF LAW [**PUBLIC VERSION**]

<i>Acting Secretary</i>	
The Honorable Lisa R. Barton Acting Secretary U.S. International Trade Commission 500 E Street, S.W., Room 112A Washington, D.C. 20436	<input checked="" type="checkbox"/> Via EDIS <input checked="" type="checkbox"/> Via Overnight Courier <i>Two Copies</i>
<i>Administrative Law Judge</i>	
The Honorable E. James Gildea U.S. International Trade Commission 500 E Street, S.W., Room 317 Washington, D.C. 20436	<input type="checkbox"/> Via Hand Delivery <input checked="" type="checkbox"/> Via Overnight Courier <i>Two Double-Sided Copies</i>
<i>Administrative Law Judge Attorney Advisors</i>	
Ken Schopfer Primary Attorney Advisor 500 E Street, S.W., Room 317 Washington, DC 20436 kenneth.schopfer@usitc.gov	<input checked="" type="checkbox"/> Via Email (PDF copy) <i>Excluding Attachments</i>

**CERTAIN WIRELESS CONSUMER ELECTRONICS
DEVICES AND COMPONENTS THEREOF**

Inv. No. 337-TA-853

<p>Sarah Zimmerman Attorney Advisor 500 E Street, S.W., Room 317 Washington, DC 20436 sarah.zimmerman@usitc.gov</p>	<p><input checked="" type="checkbox"/> Via Email (PDFcopy) <i>Excluding Attachments</i></p>
<i>Office of Unfair Import Investigation</i>	
<p>R. Whitney Winston Investigative Attorney Office of Unfair Import Investigation U.S. International Trade Commission 500 E Street, S.W., Suite 401 Washington, D.C. 20436 Telephone: (202) 205-2221 Whitney.Winston@usitc.gov</p>	<p><input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)</p>
<i>Counsel for Complainant Patriot Scientific Corporation</i>	
<p>Charles T. Hoge KIRBY NOONAN LANCE & HOGE, LLP 350 Tenth Avenue, Suite 1300 San Diego, California 92101 Telephone: (619) 231-8666 choge@knlh.com</p>	<p><input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)</p>
<i>Counsel for Respondents Acer Inc. and Acer America Corporation</i>	
<p>Eric C. Rusnak K&L GATES LLP 1601 K Street, NW Washington, DC 20006-1600 Telephone: (202) 778-9000 Facsimile: (202) 778-9100 AcerAmazonNovatel_ITC853@klgates.com</p>	<p><input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)</p>
<i>Counsel for Respondent Amazon.com, Inc.</i>	
<p>Eric C. Rusnak K&L GATES LLP 1601 K Street, NW Washington, DC 20006-1600 Telephone: (202) 778-9000 Facsimile: (202) 778-9100 AcerAmazonNovatel_ITC853@klgates.com</p>	<p><input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)</p>

**CERTAIN WIRELESS CONSUMER ELECTRONICS
DEVICES AND COMPONENTS THEREOF**

Inv. No. 337-TA-853

<i>Counsel for Respondent Barnes & Noble, Inc.</i>	
Paul F. Brinkman QUINN EMANUEL URQUHART & SULLIVAN, LLP 1299 Pennsylvania Avenue NW, Suite 825 Washington, DC 20004 Tel.: (202) 538-8000 Fax: (202) 538-8100 BN-853@quinnemanuel.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents Garmin Ltd., Garmin International, Inc. and Garmin USA, Inc.</i>	
Louis S. Mastriani ADDUCI, MASTRIANI & SCHAUMBERG, L.L.P. 1133 Connecticut Avenue, N.W., 12th Floor Washington, DC 20036 Telephone: (202) 467-6300 Facsimile: (202) 466-4006 Garmin-853@adduci.com Garmin-853@eriseIP.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents HTC Corporation and HTC America</i>	
Stephen R. Smith COOLEY LLP 11951 Freedom Drive Reston, VA 20190 Telephone: (703) 456-8000 Facsimile: (703) 456-8100 HTC-TPL@cooley.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondent Huawei Technologies Co., Ltd., Huawei Device Co., Ltd., Huawei Device USA Inc., and Futurewei Technologies, Inc.</i>	
Timothy C. Bickham STEPTOE & JOHNSON LLP 1330 Connecticut Avenue, N.W. Washington, D.C. 20036 Telephone: (202) 429-3000 Facsimile: (202) 429-3902 Huawei853@steptoe.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)

**CERTAIN WIRELESS CONSUMER ELECTRONICS
DEVICES AND COMPONENTS THEREOF**

Inv. No. 337-TA-853

<i>Counsel for Respondents Kyocera Corporation and Kyocera Communications, Inc.</i>	
M. Andrew Woodmansee MORRISON & FOERSTER LLP 12531 High Bluff Drive San Diego, CA 92130 Telephone: (858) 720-5100 Facsimile: (858) 720-5125 Kyocera-TPL-ITC@mofo.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents LG Electronics, Inc. and LG Electronics U.S.A., Inc.</i>	
Scott A. Elengold FISH & RICHARDSON P.C. 1425 K Street, N.W. 11 th Floor Washington, DC 20005 Telephone: (202) 783-5070 Facsimile: (202) 783-2331 LG-TPLITCService@fr.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondents Nintendo Co., Ltd. and Nintendo of America Inc.</i>	
Stephen R. Smith COOLEY LLP 11951 Freedom Drive Reston, VA 20190 Telephone: (703) 456-8000 Facsimile: (703) 456-8100 Nintendo-TPL@cooley.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Counsel for Respondent Novatel Wireless, Inc.</i>	
Eric C. Rusnak K&L GATES LLP 1601 K Street, NW Washington, DC 20006-1600 Telephone: (202) 778-9000 Facsimile: (202) 778-9100 AcerAmazonNovatel_ITC853@klgates.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)
<i>Attorneys for Respondents Samsung Electronics Co., Ltd. and Samsung Electronics America, Inc.</i>	
Aaron Wainscoat DLA PIPER LLP 2000 University Avenue East Palo Alto, CA 94303-2214 Telephone: (650) 833-2442 Facsimile: (650) 687-1135 853-DLA-Samsung-Team@dlapiper.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)

**CERTAIN WIRELESS CONSUMER ELECTRONICS
DEVICES AND COMPONENTS THEREOF**

Inv. No. 337-TA-853

<i>Counsel for Respondents ZTE Corporation and ZTE (USA) Inc.</i>	
Jay H. Reiziss BRINKS HOFER GILSON & LIONE 1775 Pennsylvania Avenue, NW, Suite 900 Washington, D.C. 20006 Telephone: (202) 296-6940 Facsimile: (202) 296-8701 Brinks-853-ZTE@brinkshofer.com	<input type="checkbox"/> Via First Class Mail <input type="checkbox"/> Via Hand Delivery <input type="checkbox"/> Via Overnight Courier <input checked="" type="checkbox"/> Via Email (PDF copy)

/s/ Tracey Nero
Tracey Nero