

[Proposed] Order Granting Apple's Mot. to Strike Portions of Expert Reports Case No. 11-cv-01846-LHK (PSG) sf-3146206

1	Pursuant to Patent Local Rules 3-1, 3-3, and 3-6; Federal Rules of Civil Procedure 26(e),				
2	33, and 37; and Local Rule 37-4, Apple Inc. ("Apple") seeks to strike certain portions of expert				
3	reports by Stephen Gray, Andries Van Dam, Brian Von Herzen, Woodward Yang, Tim A.				
4	Williams, Jeffrey Johnson, Sam Lucente, Itay Sherman, Nicholas P. Godici, Robert John Anders,				
5	and Michael J. Wagner, each of whom has been retained by Samsung Electronics Co., Ltd.,				
6	Samsung Electronics America, Inc., and Samsung Telecommunications America, LLC				
7	(collectively, "Samsung").				
8	Having considered the arguments of the parties and the papers submitted, and GOOD				
9	CAUSE HAVING BEEN SHOWN, IT IS ORDERED that Apple's Motion to Strike Portions of				
10	Expert Reports is GRANTED.				
11	For the reasons stated below, the Court strikes the portions of the expert reports of				
12	Messrs. Gray, Van Dam, Von Herzen, Yang, Williams, Johnson, Lucente, Sherman, Godici,				
13	Anders, and Wagner that are highlighted in the copies of those reports attached as Exhibits 2, 11-				
14	12, 17-19, 23-24, 26-31, and 34 to the Declaration of Marc J. Pernick in Support of Apple's				
15	Motion to Strike Portions of Expert Reports. Those portions are also identified below.				
16	1. Opening Report of Stephen Gray ("Gray Report"), Pernick Decl. Ex. 2				
17	The Court finds that many of the prior art references discussed or relied upon by				
18	Mr. Gray were not disclosed in Samsung's Patent Local Rule 3-3 Invalidity Contentions. The				
19	Court is not persuaded that disclosure of the Diamond Touch System was sufficient to disclose				
20	applications that run on this system or an article relating to the Diamond Touch system.				
21	Accordingly, Mr. Gray shall offer no testimony in this action regarding any of these				
22	undisclosed prior art references, and all portions of the Gray Report that rely on or discuss the				
23	following references shall be struck, including:				
24	a. Mandelbrot or Fractal Zoom source code and executables. (Gray Report ¶¶ 145,				
25	153, 154, 156, 161-165, 213; Appendix 3 at 1, 5-14, 17-18, 20; Appendices 3.1,				
26	3.2, 3.3, and 3.5.)				
27	b. Video demonstration of the Mandelbrot Application at				

http://www.youtube.com/watch?v=JKWe9U5PHmQ. (Id. ¶¶ 163, 164.)

1	c.	Clifton Forlines and Chia Shen, DTLens: Multi-user Tabletop Spatial Data		
2		Exploration. (Id. ¶ 173, Ex. O.)		
3	d.	DTLens source code and executables. (<i>Id.</i> ¶¶ 145, 172-177, 213.)		
4	e.	DTLens video at http://video.google.com/videoplay?docid=-		
5		388651346883829414#docid=3206119989161784297. (<i>Id.</i> ¶¶ 174, 176.)		
6	f.	DTMouse source code and executables. (<i>Id.</i> ¶¶ 145, 153, 156, 178-182, 213.)		
7	g.	DTMouse documentation, including but not limited to documentation produced at		
8		MERL-Drive/diamondtouch/people/shipman/dtsdk/dtsdk2stuff1203/		
9		dtsdk2_stage/dtsdk2_0/doc/. (Id. ¶ 179.)		
10	h.	Video demonstration of the DTMouse Application at		
11		http://www.youtube.com/watch?v=t35HXAjNW6s, and also located at		
12		MERLD rive/diamond touch lpeople/alan/Videos/Diamond Touch/Diamond Touch.		
13		mov. (<i>Id.</i> ¶¶ 180, 181.)		
14	i.	Mark S. Hancock, Frederic D. Vernier, Daniel Wigdor, Sheelagh Carpendale, Chia		
15		Shen. Rotation and Translation Mechanisms for Tabletop Interaction, printed as		
16		MERL Technical Report No. TR2005-118 ("MERL-TR2005-118"). (Id. Ex R.)		
17	j.	Oscar de Bruijn, et al. An Interactive Coffee Table for Opportunistic Browsing.		
18		(Id. Ex T.)		
19	2. <u>Openi</u>	ng Report of Andries Van Dam ("Van Dam Report"), Pernick Decl. Ex. 11		
20	The C	ourt finds that many of the prior art references discussed or relied upon by		
21	Dr. Van Dam	were not disclosed in Samsung's Patent Local Rule 3-3 Invalidity Contentions. The		
22	Court is not p	ersuaded that these references are provided for "mere background," or that the fact		
23	that the '566 Patent is listed on the face of the '381 Patent excuses Samsung's failure to disclose			
24	its intent to rely on this reference. Accordingly, Dr. Van Dam shall offer no testimony in this			
25	action on any	of these undisclosed prior art references, and all portions of the Van Dam Report		
26	that rely on or	discuss the following references shall be struck, including:		
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1	a.	Bruce H. Thomas, Ph.D. Thesis: "Animating Direct Manipulation in Human			
2		Computer Interfaces." (Van Dam Report ¶¶ 47, 49.) ¹			
3	b.	Bruce H. Thomas & Paul Calder, "Animating Direct Manipulation Interfaces."			
4	(<i>Id.</i> ¶¶ 47-49.)				
5	c.	U.S. Patent No. 6,111,577 to Zilles et al. (<i>Id.</i> ¶¶ 47, 48.)			
6	d.	Toshiyuki Masui et al. "Elastic Graphical Interfaces for Precise Data			
7		Manipulation." (Id. ¶47.)			
8	e.	U.S. Patent No. 6,677,965 to C. Ullman et al. (Id.)			
9	f.	U.S. Patent No. 5,495,566 to A. Kwatinetz. (<i>Id.</i> ¶¶ 47, 50.)			
10	3. <u>Openi</u>	ng Report of Brian Von Herzen ("Von Herzen '607 Report"), Pernick Decl. Ex. 12			
11	The C	ourt finds that (1) two of the prior art references discussed or relied upon by			
12	Mr. Von Herz	zen, and (2) Samsung's derivation theory were not disclosed in Samsung's Patent			
13	Local Rule 3-3 Invalidity Contentions. Patent Local Rule 3-3(b) required Samsung to disclose				
14	combinations of references that it believes render the '607 Patent obvious, and to provide the				
15	details of any derivation defense. Accordingly, Mr. Von Herzen shall offer no testimony in this				
16	action on any of the following:				
17	a.	Prior Art References			
18		i. U.S. Patent No. 5,113,041. (Von Herzen '607 Report ¶¶ 116, 195, 345,			
19		411.)			
20		ii. U.S. Patent No. 5,880,411. (<i>Id.</i> ¶¶ 51, 377, 381, 439.)			
21	b.	All theories and arguments that the '607 Patent is derived from the Sony			
22		Smartskin, including Paragraphs 29-30, 45, 52-53, 82, 444-60 of the Von Herzen			
23		Report.			
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26 27	¹ The Van Dam Report has some formatting errors that cause certain paragraph numbers to be repeated. As with all of the stricken portions, the Court therefore directs the parties' attention to the highlighted version of Van Dam's expert report that is attached to the Pernick Declaration in support of Apple's Motion to Strike.				

1	4. Rebuttal Report of Stephen Gray ("Gray Rebuttal Report"), Pernick Decl. Ex. 19
2	The Court finds that Mr. Gray's opinion that
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5	has not been disclosed sufficiently to comply with Rule 26(a) of the Federal Rules of
6	Civil Procedure (and in any event is too opaque and unspecific to provide Apple with a
7	meaningful opportunity to rebut or respond). As a result, Paragraphs 33-34, 52, 75, and 187 from
8	the Gray Rebuttal Report shall be struck.
9	5. Rebuttal Report of Brian Von Herzen ("Von Hezen Rebuttal Report"), Pernick Decl. Ex. 18
10	The Court finds that two non-infringement opinions set forth in the Von Herzen '607
11	Rebuttal Report were not seasonably disclosed in response to Apple's Interrogatory No. 2 as
12	required under Rules 26(e) and 33 of the Federal Rules of Civil Procedure. Samsung fails to
13	demonstrate that this violation was harmless or substantially justified. Accordingly, as mandated
14	by Rule 37(c)(1), I order that Mr. Von Herzen shall offer no testimony in this action on these non-
15	infringement opinions, and the following portions of the Von Herzen Rebuttal Report shall be
16	struck:
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24	6. Rebuttal Report of Jeffrey Johnson ("Johnson Report"), Pernick Decl. Ex. 17
25	The Court finds that the opinion set forth in the Johnson Rebuttal Report regarding
26	was not seasonably disclosed in response to Apple's Interrogatory No. 2 as
27	required under Rule 26(e). Samsung fails to demonstrate that this violation was harmless or
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substantially justified. Accordingly, as mandated by Rule 37(c)(l), I order that Mr. Johnson shall offer no testimony in this action on the and the following portions of the Johnson Rebuttal Report shall be struck: ¶ 65, Features 2 column of table associated with ¶ 63, Gallery column 2 of table associated with ¶ 74, Gallery row 2 of table associated with ¶ 75, and Exhibit 4 of the Johnson Rebuttal Report.

7. Opening Report of Woodward Yang ("Yang Report"), Pernick Decl. Ex. 23

The Court hereby strikes from the opening expert report of Dr. Yang Paragraphs 43-46 and 54-56, as well as Samsung's "Evidence of Infringement" for the second and fourth claim limitations identified in Exhibit 1A-1 ("entering a first Email transmission sub-mode ..." and "sequentially displaying ..."), page 3 of Exhibit 1A-1 ("Under the doctrine of equivalents, swiping meets this claim element. Source code for the Accused Devices reflect that the differences between use of scroll keys and swiping are insubstantial"), page 3 of Exhibit 1A-2, and page 7 of Exhibit 1A-2 as highlighted by Apple in its moving papers. Dr. Yang shall not be allowed to offer at trial any testimony relating to the substance of the struck material.

8. Opening Report of Tim A. Williams ("Williams Report"), Pernick Decl. Ex. 24

The Court finds that the opinion of Dr. Williams that the first channel is all non-HARQ channels (i.e., the DPDCH, DPCCH, HS-DPCCH, and E-DPCCH channels) is contrary to the position put forward by Samsung in its Infringement Contentions that the "DPDCH channels" are the claimed first channel not supporting HARQ. Patent Local Rule 3-1 requires all infringement theories to be disclosed in a party's Rule 3-1 disclosures. As a result, I order that Paragraphs 58, 65, 105, 110, 119, 173, and 198 of the Williams Report shall be stricken. Dr. Williams shall not be allowed to offer at trial any testimony relating to the substance of the struck material.

9. Opening Report of Sam Lucente ("Lucente Report"), Pernick Decl. Ex. 26

The Court finds that many of the opinions set forth in the Lucente Report were not seasonably disclosed in response to Apple's Interrogatory Nos. 5 and 12 as required under Rules 26(e) and 33 of the Federal Rules of Civil Procedure. Samsung fails to demonstrate that this violation was harmless or substantially justified. Accordingly, as mandated by Rule 37(c)(1),

I order that these portions of the Lucente Report are struck, and that Mr. Lucente shall offer no

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1	a.	All theories and arguments that U.S. Patent No. D504,889 (the "D'889 Patent") is			
2		invalid on the ground that it is anticipated or rendered obvious by any of these			
3		prior a	prior art references:		
4		i.	1988 U of Illinois Apple design contest Tablet (Sherman Report pp. 14-15)		
5		ii.	Apple "Brain Box" design (id. pp. 15-16, 30)		
6		iii.	KR 30-0304213 (id. p.17)		
7		iv.	US D412,157 (id. pp. 17-18, 29-30)		
8		v.	US D500,037 (id. pp. 21, 29-30)		
9		vi.	US6919678 (id. pp. 21-22)		
10		vii.	EU registered design 000048061-0001 (id. p. 22)		
11		viii.	D464,344 (id. pp. 23-25)		
12		ix.	D463,797 (id. pp. 23-24)		
13		х.	x. Q72 iBook (<i>id.</i> p. 24)		
14		xi.	xi. Space Odyssey 2001 (1968) (id. pp. 25-26)		
15		xii.	"Tomorrow People" (1973-79) (id.)		
16	b.	All theories and arguments that U.S. Patent No. D618,677 (the "D'677 Patent") is			
17		invalid on the ground that it is anticipated or rendered obvious by any of these			
18		prior a	art references:		
19		i.	JP D1204221 (id. pp. 33-34, 47-48, 55)		
20		ii.	D514,590 (id. pp. 34-35, 55-56)		
21		iii.	iRiver U10 (id. pp.35-36, 56-57)		
22		iv.	KR30-0394921 (id. p. 36)		
23		v.	v. Olympus MR500i multimedia device (<i>id</i> .)		
24		vi.	Nokia Fingerprint concept phones images (id. pp. 36-37, 54-55)		
25		vii.	U.S. D500,037 (id. pp. 37-38)		
26		viii.	U.S. 6,919,678 (id.)		
27		ix.	U.S. D497,364 (id.)		
28		х.	KR30-0452985 (id. pp. 38-39, 57-58)		

1		xi.	Samsung F700 Handset (id. pp. 39, 57)		
2		xii.	U.S. D560,192 (id. p. 39)		
3		xiii.	Documents produced by Samsung in this litigation labeled as		
4			SAMNDCA00321457-656 (id. pp. 39-40)		
5		xiv.	EU Registration 000569157-0005 (id. pp. 41-42, 60-61)		
6		XV.	U.S. D534,516 (id. pp. 42-43, 61-62)		
7		xvi.	Samsung K3 MP3 (id. pp. 44, 62-63)		
8		xvii.	JP D1295003 (id. pp. 44-45, 54)		
9		xviii.	Sony Ericsson W950 Walkman phone (id. pp. 48-50)		
10		xix.	Sony K800i (id. p. 50)		
11		XX.	035 Proto (id. pp. 51-52)		
12		xxi.	U.S. Patent No. 504,889 (id. pp. 50-53)		
13		xxii.	Sharp Aquos Fulltouch (id. p. 53)		
14	c.	All theories and arguments that U.S. Patent No. D593,087 (the "D'087 Patent") is			
15		invalid on the ground that it is anticipated or rendered obvious by any of these			
16		prior art references:			
17		i.	JP D1204221 (id. pp. 33-34, 47-48, 55, applied to D'087 Patent at id. 65)		
18		ii.	U.S. D514,590 (id. pp. 34-35, 55-56, applied to D'087 Patent at id. 65)		
19		iii.	iRiver U10 (id. pp. 35-36, 56-57, applied to D'087 Patent at id. 65)		
20		iv.	KR30-0394921 (id. p. 36, applied to D'087 Patent at id. 65)		
21		v.	Olympus MR500i multimedia device (<i>id.</i> p. 36, applied to D'087 Patent at		
22			id. 65)		
23		vi.	Nokia Fingerprint design (<i>id.</i> pp. 36-37, 54-55, 70, and applied to D'087 Patent at <i>id.</i> 65)		
24		vii.	D500,037 (id. pp. 37-38, applied to D'087 Patent at id. 65)		
25		viii.	U.S. 6,919,678 (id. pp. 37-38, applied to D'087 Patent at id. 65)		
26		ix.	D497,364 (id. pp. 37-38, applied to D'087 Patent at id. 65)		
27		х.	KR30-0452985 (id. pp. 38-39, 57-58, 72-73, and applied to D'087 Patent at		
28			id. 65)		

1		xi. Samsung F700 Handset (id. pp. 39, 57, applied to D'087 Patent at id. 65		
2	xii. U.S. D560,192 (<i>id.</i> p. 39, applied to D'087 Patent at <i>id.</i> 65)		U.S. D560,192 (id. p. 39, applied to D'087 Patent at id. 65)	
3	xiii.		xiii.	Documents produced by Samsung in this litigation labeled as SAMNDCA00321457-656 (<i>id.</i> pp. 39-40, applied to D'087 Patent at <i>id.</i>
5				65)
6			xiv.	EU Registration 000569157-0005 (<i>id.</i> pp. 41-42, 60-61, applied to D'087 Patent at <i>id.</i> 65)
7			xv.	U.S. D534,516 (id. pp. 42-43, 61-62, applied to D'087 Patent at id. 65)
8			xvi.	Samsung K3 MP3 (id. pp. 44, 62-63, applied to D'087 Patent at id. 65)
9			xvii.	JP D1295003 (id. pp. 44-45, 54, 69-70, and applied to D'087 Patent at id
10				65)
11			xviii.	Sony Ericsson W950 Walkman phone (<i>id.</i> pp. 48-50, applied to D'087 Patent at <i>id.</i> 65)
12			xix.	Sony K800i (id. p.50, applied to D'087 Patent at id. 65)
13			XX.	035 Proto (id. pp. 51-52, applied to D'087 Patent at id. 65)
14			xxi.	U.S. D504,889 (id. pp. 50-53, applied to D'087 Patent at id. 65)
15			xxii.	Sharp Aquos Fulltouch (id. pp. 53, 69, and applied to D'087 Patent at id.
16 17				65)
18			xxiii.	KR30-0398307 (id. p. 71)
19			xxiv.	Bluebird Pidion BM-200 (id. pp. 71-72)
20	d. All theories and arguments that the asserted trade dress is not distinctive.			
21	(<i>Id.</i> pp. 80-85)			
22	e. All theories and arguments that the D'889 Patent is indefinite. (<i>Id.</i> pp. 85-87)			
23	12. Opening Report of Nicholas P. Godici ("Godici Report"), Pernick Dec. Ex. 28			
24		The C	ourt fin	ds that Mr. Godici's opinions relating to the scope of the D'889 Patent, the
25	D'087	Patent,	the D'	677 Patent, the D'305 Patent, and the D'334 Patent were not seasonably
26	disclos	sed in re	esponse	to Apple's Interrogatory No. 11. The Court further finds that Mr. Godici's
27	opinions relating to the purported indefiniteness of the D'087 Patent and the D'677 Patent were			
	not seasonably disclosed in response to Apple's Interrogatory No. 12. As a result, Samsung			

1		e. JP D1142127		
2		f. JP D1250487		
3		g. KR 30-0304213		
4		h. U.S. Patent D560,192		
5	ii.	In Section III, all comparisons of the D'087 Patent with prior art, except for		
6		Table B III (b).		
7	iii.	In Sections IV, VI–VIII, and X–XIII, all infringement analyses of the		
8		accused products with the D'087 Patent.		
9	iv.	In Section V, all infringement analyses of the Samsung Infuse 4G with the		
10		D'087 Patent except for any analyses based on the assertion that the		
11		Samsung Infuse 4G lacks the curved bezel/trim piece that is visually		
12		pronounced in the D'087 Patent.		
13	v.	In Section IX, all infringement analyses of the Samsung Galaxy S 4G with		
14		the D'087 Patent except for any analyses based on the assertion that the		
15		bezel/trim piece of the Samsung Galaxy S 4G varies in width.		
16	vi.	In Section XIV, except with respect to the Galaxy S 4G and the Samsung		
17		Infuse 4G, all opinions that there are substantial differences in the overall		
18		appearance of any accused product when compared against the D'087		
19		Patent.		
20	b. Part C	C (the D'677 Patent)		
21	i.	In Section II, Table C II, all analyses of any of these prior art references:		
22		a. Samsung K3 MP3 Player		
23		b. KR 30-0398307		
24		c. KR 30-0452985		
25		d. European Union RCD 000569157-0005		
26		e. JP D1142127		
27		f. JP D1204221		
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1		g.	Olympus m:robe MR-100	
2		h. Nokia Fingerprint (2004 Nokia Design Contest)		
3		i. iRiver U10		
4		j.	KR-30-0394921	
5		k.	U.S. Patent D534,516	
6		1.	U.S. Patent D504,889	
7	ii.	In Sec	tion III, all comparisons of the D'677 Patent with prior art, except for	
8		Table	C III (b).	
9	iii.	In Sec	tions IV-VIII, and X-XIV, all infringement analyses of the accused	
10		produ	cts with the D'677 Patent.	
11	iv.	In Sec	tion IX, all infringement analyses of the Samsung Galaxy S 4G with	
12		the D'677 Patent except for any analyses based on the curvature radius of		
13		the rounded top corners of the Samsung Galaxy S 4G.		
14	v.	In Sec	tion XV, except with respect to the Samsung Galaxy S 4G, all	
15		opinions that there are substantial differences in the overall appearance of		
16		any accused product when compared with each and every view of an		
17		embodiment of the D'677 Patent.		
18	c. <u>Part E</u>	E (the D'889 Patent)		
19	i.	All opinions that the views of the drawings of the D'889 Patent are		
20		improperly labeled and drawn and improperly oriented, and that the D'889		
21		Patent is indefinite. (\S 1, $\P\P$ 3-5; \S 4, Tables E IV and E V.)		
22 23	ii.	In Section II, Table E II, all analyses of any of these prior art references:		
23		a.	JP D1104685	
25		b.	U.S. Patent D532,791	
26		c.	1988 Student Tablet Design for Apple	
27		d.	U.S. Patent D333,574	
28		e.	U.S. Patent D500,037	

1	f. JP D1178470					
2	iii. In Section III, all comparisons of the D'889 Patent with prior art.					
3	iv. In Section IV, all infringement analyses of the Samsung Galaxy Tablet					
4	10.1 with the D'889 Patent based on:					
5	a. Any comparison of the Samsung Galaxy Tablet 10.1 and/or the					
6	D'889 Patent with prior art;					
7	b. The proportion ratios of the Samsung Galaxy Tablet 10.1 and the D'889 Patent; and					
8 9	c. The appearance of a dark frame around the Samsung Galaxy Tablet 10.1.					
10	14. Rebuttal Expert Report of Michael J. Wagner ("Rebuttal Wagner Report"), Pernick Decl. Ex. 31					
11	The Court finds that the underlying financial data in Tab 6 of the Rebuttal Expert Report					
12	of Michael J. Wagner, dated April 16, 2012 (as corrected on April 20, 2012), was not produced					
13	before the close of fact discovery. Samsung fails to demonstrate that this violation was harmless					
14	or substantially justified. Accordingly, pursuant to Rule 37(c)(1), I order that Tab 6 of the					
15	Wagner Rebuttal Report is stricken. Mr. Wagner shall offer no testimony in this action related to					
16	Tab 6, the damages calculations therein, or any of the underlying data used in Tab 6.					
17 18	15. Supplemental Expert Report of Michael J. Wagner ("Supplemental Wagner Report"), Pernick Decl. Ex. 34					
19	The Court finds that the Supplemental Expert Report of Michael J. Wagner, dated					
20	May 11, 2012, was untimely and will be stricken in its entirety. The deadline for filing rebuttal					
21	expert reports was April 16, 2012. Samsung did not seek the Court's leave to file a supplemental					
22	damages report after that date.					
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1	IT IS SO ORDERED.	
2	Dated:	
3		HONORABLE PAUL S. GREWAL United States Magistrate Judge
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