

# Setting up alerts on STN in Patent Databases

# STN<sup>®</sup>

Martine MICHEL  
CAPADOC

[martine.michel@capadoc.fr](mailto:martine.michel@capadoc.fr)

# Agenda

- SDI Basics
- Multifile SDIs and SDI Package
- Specific features for major STN<sup>®</sup> patent databases or “choosing the right update code”
  - WPINDEX
  - CAplus<sup>SM</sup>
  - INPAFAMDB

# Reasons to setup SDIs

- Stay up-to-date with **research & development trends** and news, especially from patents
- Monitor **competitor patenting activities**, **new technologies**, and/or **new geographical markets**
- Survey **patent families** and **legal status** for expiry, grant, lapse, and expansion to new countries
- Keep a look out for **potential infringement** of your employer's intellectual property rights

Current awareness search = Alert = Profile =  
Selective Dissemination of Information (SDI)

# Planning a SDI involves multiple steps

- Database selection
- Search strategy
- Manual or automatic SDI
- Update codes
  - ED, UP and more!
- SDI run frequency
  - Daily, weekly, monthly; dependent on database
- Duplicate removal
- Result delivery

# Types of SDIs

- Single file SDI
- Multifile SDI
  - One query for all databases
  - Separate query for each database
  - SDI MFILE command
- SDI package
  - Multifile SDI with specific delivery options
  - Monthly delivery of one package of results

# HELP UPDATE gives details about individual database features

- Update frequencies
  - WPINDEX, WPIDS, WPIX : every 3-4 days
  - H/Z/CAPLUS : daily                      H/Z/CA : weekly
  - INPAFAMDB, INPADOODB : weekly
- Run frequency options (automatic SDIs)
  - WPINDEX, WPIDS, WPIX : every update, weekly, monthly
  - H/Z/CAPLUS : daily, weekly, biweekly    H/Z/CA : biweekly
  - INPAFAMDB, INPADOODB : weekly, monthly
- Update codes
  - Update codes with linked proximity (linked sdis)

# WPINDEX : automatic alert for rollerblades

=> **FILE WPINDEX**

=> S (A63C0017-04 OR A63C0017-06 OR A63C0017-08 OR A63C0017-14)/IPC OR  
 INLINE SKATE OR INLINESKATE OR IN LINE SKATE OR ROLLERBLADE OR ROLLER  
 BLADE

L1 3852 (A63C0017-04 OR A63C0017-0  
 OR INLINE SKATE OR INLINES  
 ROLLERBLADE OR ROLLER BLADE

Prepare the search query and type  
**SDI (or ALERT).**

=> **SDI L1**

ENTER UPDATE FIELD CODE (UP), ED, UPP, UPAB  
 UPKW, UPA, UPTC, UPEQ OR ?:**ED**

Select an appropriate update  
 code (more later).

ENTER SDI REQUEST NAME, (AA062/S), OR END:**INLINESKATE/S**

ENTER COST CENTER (N):.

ENTER TITLE (NONE):.

ENTER METHOD OF DELIVERY (EMAIL), OFFLINE, OR ONLINE:**EMAIL**

ENTER EMAIL ID (126K):martine.michel@capadoc.fr

MARTINE.MICHEL@CAPADOC.FR

RECEIVE DELIVERY NOTIFICATION? (Y)/N:**N**

ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N):**Y**

ENTER PRINT FORMAT (STD) OR ?:**ALL**

# WPINDEX : automatic alert for rollerblades


```
HIGHLIGHT HIT TERMS? (Y)/N:Y
ARCHIVE ANSWERS? Y/(N):N
REDISTRIBUTE ANSWERS? Y/(N):N
ENTER MAXIMUM NUMBER OF HITS TO BE PRINTED PER RUN (100):.
SORT SDI ANSWER SET (N)/Y?:N
SEND SDI WITH NO ANSWERS? (Y)/N:N
ENTER SDI RUN FREQUENCY - WEEKLY, (EVERYUPDATE), MONTHLY, OR
?:EVERYUPDATE
ENTER SDI EXPIRATION DATE 'YYYYMMDD' OR (NONE):.
QUERY L1 HAS BEEN SAVED AS SDI REQUEST 'INLINESKATE/S'
```

Accept default answers (in parentheses) with a period.

# Processing SDIs

- Reviewing SDIs
  - D SAVED/S
  - D NAME/S FULL
- Editing SDIs
  - Changing delivery options (e.g., email address)
  - Changing display formats
  - Modifying query
  - SDI EDIT NAME/S FULL
  - Use the **STN Express<sup>®</sup> Discover! Wizard** for convenient modifications

# Receiving SDI results via email

De :  126K@stnk.fiz-karlsruhe.de  
À : MARTINE.MICHEL@CAPADOC.FR  
Cc :  
Objet : STN Results: INLINESKATE/S

Date : lun. 07/06/2010 11:21

**Your STN results are just a click away.** STN brings you more electronic delivery options than ever. Delivering sci-tech information as you like it, STN is proud to be your choice for the most current and timely information available.

*Click on a link below to retrieve your results:*

Title: **INLINESKATE/S**  
Reference Number: **AHH0012K**  
Number of Answers: **1**  
File Name: **WPINDEX**  
SDI Name: **INLINESKATE/S**  
SDI Run Number: **035**  
SDI Run Date: **JUN 06, 2010**

1. [RTF](#) (Rich Text Format)
2. [PDF](#) (Adobe Portable Document Format)
3. [HTML](#) (Hypertext Markup Language)
4. [Plain Text](#) (ASCII)

*Links will expire 90 days from the date this message was sent. Be sure to save your results.*

If you have any questions regarding these options or require assistance retrieving your results, please contact the [Help Desk](#).

If email delivery is specified, an email like this one appears regularly in your email inbox.

Download the SDI results in your preferred data format. The links remain active for 90 days.

RTF and PDF formats include patent drawings (image files).

# Choice of update code will affect the results from the SDI

- **Entry Date (ED) :**
  - The date the record is created in the database
  - Usually does not change unless entire database is reloaded
- **Update Code (UP) :**
  - The date the record was last modified
  - In many files, any change to record (except in the patent databases)

# WPINDEX : alert using ED (Entry Date)

SDI REQUEST 'INLINESKATE/S'

**RUN # 035 - JUN 06, 2010**

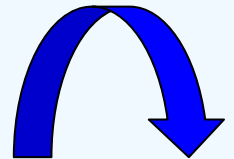
**1 ANSWERS** PRINTED IN FORMAT 'ALL'

IN FILE 'WPINDEX'

USING QUERY:

L1        QUE    (A63C0017-04 OR A63C0017-06 OR A63C0017-08 OR  
              A63C0017-14)/IPC OR INLINE SKATE OR INLINESKATE OR  
              IN LINE SKATE OR ROLLERBLADE OR ROLLER BLADE

L2                    1 SEA FILE=WPINDEX L1 AND **20100604/ED**



L2 ANSWER 1 OF 1 WPINDEX COPYRIGHT 2010 THOMSON REUTERS on STN

[Full Text](#)

AN 2010-F36894 [201035] WPINDEX

TI Producing pressure-sensitive and/or heat-sensitive fibrous web, comprises precalendering the fibrous web, pre-ablating and then actual-ablating the fibrous web and final-calendering the fibrous web

DC F09

IN HAAVISTO J; NIKKANEN V; VAITTINEN H

PA (MISO-C) METSO PAPER INC

CYC 1

PI DE 102008058118 A1 20100520 (201035)\* DE 4[0]

ADT DE 102008058118 A1 DE 2008-102008058118 20081118

PRAI DE 2008-102008058118 20081118

IPCI D21H0023-00 [I,C]; D21H0023-70 [I,A]

AB DE 102008058118 A1 UPAB: 20100604

NOVELTY - The method for producing pressure-sensitive and/or heat-sensitive fibrous web, comprises precalendering the fibrous web, pre-ablating and then actual-ablating the fibrous web and final-calendering the fibrous web. A device provided with a metal strap is used as treatment device in the process. The actual ablation is carried out as film ablation or blade ablation, and floral ablation or **rollerblade** ablation. A metal strap forming a sling is rotatably

# WPINDEX : alert using UP (Update)

SDI REQUEST 'INLINESKATE1/S'

RUN # 035 - JUN 06, 2010

4 ANSWERS PRINTED IN FORMAT 'ALL ED UP'

IN FILE 'WPINDEX'

USING QUERY:

L1 QUE (A63C0017-04 OR A63C0017-06 OR A63C0017-08 OR A63C0017-14)/IPC OR  
INLINE SKATE OR INLINESKATE OR IN LINE SKATE OR ROLLERBLADE OR  
ROLLER BLADE

L2 4 SEA FILE=WPINDEX L1 AND 20100604/UP

L2 ANSWER 1 OF 4 WPINDEX COPYRIGHT 2010 THOMSON REUTERS on STN

AN 2010-F36894 [201035] WPINDEX

TI Producing pressure-sensitive and/or heat-sensitive fibrous web, comprises  
precalendering the fibrous web, pre-ablating and then actual-ablating the  
fibrous web and final-calendering the fibrous web

DC F09

IN HAAVISTO J; NIKKANEN V; VAITTINEN H

PA (MTSO-C) METSO PAPER INC

CYC 1

PI DE 102008058118 A1 20100520 (201035)\* DE 4[0]

L2 ANSWER 2 OF 4 WPINDEX COPYRIGHT 2010 THOMSON REUTERS on STN  
AN 2009-F50222 [200925] WPINDEX  
TI Electrically conductive rubber component for image forming device, has  
surface treatment layer formed by impregnating surface portion of elastic  
layer with liquid having isocyanate compound and carbon black subjected to  
dispersion  
DC A89; G08; P73; P84; S06; T04  
IN HIRAKAWA N; MOTOKAWA S  
PA (SYNZ-N) SYNZTEC CO LTD  
CYC 123  
PI WO 2009028712 A1 20090305 (200925)\* JA 31[4]  
EP 2189279 A1 20100526 (201035) EN  
ADT WO 2009028712 A1 WO 2008-JP65701 20080901; EP 2189279 A1 EP 2008-828787  
20080901; EP 2189279 A1 PCT Application WO 2008-JP65701 20080901  
PRAI JP 2007-227173 20070831  
IPCI B32B0025-00 [I,C]; B32B0025-04 [I,A]; G03G0015-09 [I,A]; G03G0015-09 [I,C]  
EPC G03G0015-08F7; G03G0015-20H2D1  
AB WO 2009028712 A1 UPAB: 20090428  
NOVELTY - An electrically conductive rubber component has a surface  
treatment layer (13) provided in surface layer portion of  
ED 20090428  
UP 20100604

# Identification of historical duplicates

- More on this option when setting up SDIs:

“ ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N) : **Y** ”

- Answers are saved for **one year** on STN
- Identification of these historical duplicates is based on Accession Number (AN)
- Useful if there is no specific update code available, e.g., use UP and answer “Y”

TIP: Always use UP/UPM and answer “Y” instead of using Entry Date (ED) in dynamic-update databases, e.g., HCAPLUS, EXCEPT for SMARTracker alerts (more later).

# Agenda

- SDI Basics
- **Multifile SDIs and SDI Package**
- Specific features for major STN patent databases or “choosing the right update code”
  - WPINDEX
  - CAplus
  - INPAFAMDB

# Steps for setting up and running a multifile SDI

- Create a common multifile query in one of the databases of interest, or a separate query in each database
- Open the relevant databases, e.g., **FILE HCAPLUS WPINDEX**, and enter **SDI MFILE**
- Enter a name for the SDI and general multifile options, e.g., delivery method
- Enter a name for each single file SDI within the multifile SDI and further file-specific options
- Choose update field codes and print formats individually for each database of interest

# Example: Multifile SDI

**Search request:** Monitor new basic patent applications for detecting, analyzing or testing for HIV protease (retropepsin) enzymes.

**Step 1:** Create the query in one relevant database

**Step 2:** Open all the relevant databases for the SDI

**Step 3:** Set-up the multifile SDI options

# Example: Multifile SDI (cont.)

=> **FILE HCAPLUS**

=> **QUE HUMAN IMMUNODEFICIENCY VIRUS (3A) PROTEASE  
OR HIV PROTEASE OR RETROPEPSIN**

L1 **QUE HUMAN IMMUNODEFICIENCY VIRUS (3A) PROTEASE  
OR HIV PROTEASE OR RETROPEPSIN**

=> **QUE MEASUR? OR DIAGNOS? OR ?ANALY? OR TEST?**

L2 **QUE MEASUR? OR DIAGNOS? OR ?ANALY? OR TEST?**

=> **QUE L1 AND L2 AND P/DT**

L3 **QUE L1 AND L2 AND P/DT**

Create the query in one of the databases of interest, e.g., HCAplus.

# General information is completed first in the MFILE SDI

Complete the general information  
for the overall SDI.

=> **FILE HCAPLUS WPINDEX**

=> **SDI MFILE**

## MULTIFILE SDI GENERAL PARAMETERS

```
-----  
ENTER MULTIFILE SDI REQUEST NAME ('AA004/S'), OR END: HIVPRO/S  
ENTER TITLE (NONE): HIV PROTEASE ANALYSIS  
ENTER COST CENTER (NONE) OR NONE: .  
ENTER METHOD OF DELIVERY (OFFLINE), ONLINE, OR EMAIL: EMAIL  
ENTER EMAIL ID (120K): martine.michel@capadoc.fr  
RECEIVE DELIVERY NOTIFICATION? (Y)/N: N  
ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N): Y  
HIGHLIGHT HIT TERMS? (Y)/N: Y  
SEND SDI WITH NO ANSWERS? (Y)/N: N  
ENTER SDI EXPIRATION DATE 'YYYYMMDD' OR (NONE): .
```

# Tailor information for each individual database in the MFILE SDI

## MULTIFILE SDI FILE SPECIFIC PARAMETERS: HCAPLUS

```

-----
ENTER COMPONENT SDI REQUEST NAME ('AA001/S') OR END:HIVPROHCA/S
ENTER QUERY L# FOR MULTIFILE SDI REQUEST OR END:L3
ENTER UPDATE FIELD CODE (UP) OR ?:UP
ENTER PRINT FORMAT (BIB) OR ?:IBIB ABS HITIND
ARCHIVE ANSWERS? Y/(N):N
REDISTRIBUTE ANSWERS? Y/(N):N
ENTER MAXIMUM NUMBER OF HITS TO BE PR
SORT SDI ANSWER SET (N)/Y?:N
DISPLAY CURRENCY INFORMATION? (Y)/N:Y
ENTER SDI RUN FREQUENCY - DAILY, (WEEK

```

Specific options can be tailored for each database, e.g., display formats.

## MULTIFILE SDI FILE SPECIFIC PARAMETERS: WPINDEX

```

-----
ENTER COMPONENT SDI REQUEST NAME ('AA001/S') OR END:HIVPROWPI/S
ENTER QUERY L# FOR MULTIFILE SDI REQUEST OR END:L3
ENTER UPDATE FIELD CODE (UP) OR ?:ED
ENTER PRINT FORMAT (BIB) OR ?:ALL
ENTER SDI RUN FREQUENCY - (EVERYUPDATE), WEEKLY, MONTHLY :WEEKLY

```

```

MULTIFILE SDI HAS BEEN SAVED AS SDI REQUEST 'HIVPRO/S'
QUERY L3 HAS BEEN SAVED AS SDI REQUEST 'HIVPROHCA/S' FOR FILE HCAPLUS
QUERY L3 HAS BEEN SAVED AS SDI REQUEST 'HIVPROWPI/S' FOR FILE WPINDEX

```



# Use duplicate removal in multifile SDIs since patent numbers are used across databases

- Multifile SDIs are run separately as single file SDIs in each selected database
- Patent numbers are compared across patent databases, just like the DUPLICATE REMOVE command
- Duplicates are removed when they appear and a preferred database cannot be specified
- Basic patents are compared between DWPI<sup>SM</sup> and CAplus, so duplicates are not always identified

## SDI PACKAGE provides multiframe SDI results in a convenient single monthly package

- Results are delivered on the last day of each month using the least frequent SDI option for each database
- Results are automatically de-duplicated and a preferred database can be specified during set-up
- Pricing includes normal SDI run charges, search term charges, and print fees

# Comparison SDI PACKAGE / MFILE SDI

## SDI Package

- All SDI results are delivered **at the same time but monthly**
- email SDI => **one email** with one link for all results (HTML, RTF, PDF, ASCII)
- DUP REM => File preference can be set
- SDI results are **less timely**
- **One display format** for all databases

## Multifile SDI

- All SDI results are delivered **in predetermined, individual frequency**
- email SDI => each update in each database creates a **separate email**
- DUP REM => No file preference can be set
- **High timeliness**
- **Different display formats** per database available

# Agenda

- SDI Basics
- Multifile SDIs and SDI Package
- Specific features for major STN patent databases or “choosing the right update code”
  - **WPINDEX, WPIDS, WPIX** (41 patent offices)
  - **H/Z/CAPLUS, H/Z/CA** (60 patent offices)
  - **INPAFAMDB, INPADOCDB** (90 patent offices)

# Update requirements of patent databases

- Patent records are often dynamic
  - Sophisticated data structure
    - Different types of data
    - Various indexing + classification systems
  - Updated, corrected and amended frequently in different parts of the record, e.g., indexing vs. patent family additions
  - Relevant parts which are updated get distinct update codes
- For a SDI, it often matters which part of the document is being updated

# There are a variety of database specific SDI features available

- WPINDEX
  - Linked SDIs and linked update codes
- HCAplus
  - SMARTracker chemical substance SDI
- INPAFAMDB / INPAFAMDB
  - Legal Status and Patent Family SDIs

# Which DWPI update code?

Use...	When searching for. . .
<b>/ED</b>	New records = new basic patents
<b>/UPEQ</b>	Records with new equivalent patents
<b>/UPP</b>	New records and/or new equivalent patents
<b>/UP</b>	Any updates, changes or corrections

UPP can be linked with search terms using the **(P)** operator.

# Which DWPI update code? (cont.)

<b>Use...</b>	<b>When searching for. . .</b>
<b>/UPAB</b>	Documents with new or updated abstracts
<b>/UPTI</b>	Documents with new or updated enhanced title
<b>/UPIT</b>	Documents with new or updated DCR indexing
<b>/UPB</b>	Documents with new or updated subscriber chemical indexing (fragmentation codes)
<b>/UPA</b>	Documents with new or updated subscriber polymer indexing

# Which DWPI update code? (cont.)

<b>Use...</b>	<b>When searching for. . .</b>
<b>/UPAA</b>	Documents with new or updated <i>original</i> abstract
<b>/UPAT</b>	Documents with new or updated <i>author</i> title
<b>/UPCL</b>	Documents with new or updated claims

Update Codes for the DWPI Member (publication) Level.

=> D TI PA ED UP UPP UPIT UPB

L1 ANSWER 1 OF 1 WPIX COPYRIGHT 2010 THOMSON REUTERS on STN  
 TI Reducing one or more biological activities of Toll like receptor 2  
 (TLR2) in a TLR2 expressing cell or tissue implicated in renal disease  
 or inflammation, comprises contacting the cell or tissue with an  
 antagonist of TLR2 activity  
 PA (OPSO-N) OPSONA THERAPEUTICS LTD

ED 20090130

UP 20100430

Date of database entry

Update date of bibliographic part.

PI WO 2009004094 A2 20090108 (200916)\* EN 132[21]  
 WO 2009004094 A3 20090409 (200926) EN  
 AU 2008270218 A1 20090108 (201010) EN  
 CA 2692509 A1 20090108 (201028) EN  
 EP 2167129 A2 20100331 (201023) EN

Update  
 date of  
 patent  
 family\*.

UPIT 20090313

UPB 20090313

Update date of the IT-field (DCR)

Update date of chemical coding

## WPINDEX supports linked SDIs

- Provides enhanced precision for SDI searching
- Search terms are linked to the updates with (P)
- Answers retrieved only if the hit search term is in a portion of a record which has been updated
  - Use **Update code /LAST** in your SDI query
- Especially used for patent information data
  - Patent Information: PI (/UPP)
  - UPP/LAST

## Patent family linked SDIs

- Patent family SDIs for tracking any document type additions can be set-up using UPP
- Alternatively specific document type additions to families can be tracked using linked SDIs

=> QUERY **terms of interest** (P) UPP/LAST

Example: **QUE EPB# /PK (P) UPP/LAST**

=> **SDI**

Update code: **UPP**

Eliminate previously seen answers: **N**

# Example: Patent family linked SDIs

**Search request:** Monitor SONY patents which have recently been granted in Europe.

**Step 1:** Search for SONY as a patent assignee

**Step 2:** Search for EP patents

**Step 3:** Set-up an automatic SDI using appropriate linked DWPI update codes

# Example: Set-up a SDI to monitor EP patents being granted to Sony

=> QUE SONY/PACO AND EPB#/PK (P) UPP/LAST

L1 QUE SONY-C/PACO AND EPB#/PK (P) UPP/LAST

=> SDI

ENTER QUERY L# FOR SDI REQUEST OR (END): L1

ENTER UPDATE FIELD CODE (UP) OR ? : UPP

ENTER SDI REQUEST NAME, (AA001/S), OR END: SONY/S

ENTER COST CENTER (NONE) OR NONE: LEGAL

ENTER TITLE (NONE): SONY EP GRANTED

ENTER METHOD OF DELIVERY (OFFLINE), ONLINE, OR EMAIL: EMAIL

ENTER EMAIL ID (4462K): A...@FIZ.COM

ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N) : N

ENTER PRINT FORMAT (STD) OR ? : BIB

. . . .

ENTER SDI RUN FREQUENCY - WEEKLY, (EVERYUPDATE), MONTHLY, OR  
?: WEEKLY

ENTER SDI EXPIRATION DATE 'YYYYMMDD' OR (NONE): .

QUERY L3 HAS BEEN SAVED AS SDI REQUEST 'SONY/S'

Important!!

L2 ANSWER 1 OF 7 WPINDEX COPYRIGHT 2010

[Full Text](#)

AN **2008-J57237** [200856] WPINDEX

DNN N2008-690301 [200856]

TI Solid state imaging apparatus e.g. charge coupled device type imaging apparatus, has generating section to generate reset pulse signal for triggering reset operation of comparator so as to adjust reference value of counter

DC T01; U12; U13; W04

IN INADA Y; INUTSUKA J; KIKUCHI M; KOSEKI K; TAJIMA A; YAMAGATA Y; INUZUKA J; KOSEKI M

PA **(SONY-C)** SONY CORP

CYC 42

PIA EP 1954033 A1 20080806 (200856)\* EN 27[18]

US 20080186388 A1 20080807 (200856) EN

JP 2008193373 A 20080821 (200857) JA 18

CN 101242478 A 20080813 (200858) ZH

KR 2008073217 A 20080808 (200905) KO

**EP 1954033 B1 20100602 (201036) EN**

ADT EP 1954033 A1 EP 2008-2056 20080204; JP 20070205; KR 2008073217 A KR 2008-9028 2008-24195 20080201; CN 101242478 A CN 2008-24195 20080201

B1 EP 2008-2056 20080204

PRAI JP 2007-25031 20070205

In this SDI run , 7 Sony families were updated with an EP granted patent.

In this example an EP granted patent was added in DWPI update (DW 201036).

# The linked SDI gives more precise answers

## Query linked SDI:

SDI REQUEST 'SONYLAST/S'  
RUN # 036 - JUN 11, 2010

7 ANSWERS PRINTED IN FORMAT 'BIB'  
IN FILE 'WPINDEX'  
USING QUERY:

L1 QUE SONY/PACO AND EPB#/PK (L) UPP/LAST  
L2 7 SEA FILE=WPINDEX L1 AND 20100609/UPP

## Query normal SDI:

SDI REQUEST 'SONY/S'  
RUN # 036 - JUN 11, 2010

32 ANSWERS PRINTED IN FORMAT 'BIB'  
IN FILE 'WPINDEX'  
USING QUERY:

L1 QUE SONY/PACO AND EPB#/PK  
L2 32 SEA FILE=WPINDEX L1 AND 20100609/UPP

ANSWER 1 OF 7 WPINDEX COPYRIGHT 2010				THOMSON REUTERS on STN	
PIA	EP 1954033	A1	20080806 (200856)*	EN	27[18]
	US 20080186388	A1	20080807 (200856)	EN	
	JP 2008193373	A	20080821 (200857)	JA	18
	CN 101242478	A	20080813 (200858)	ZH	
	KR 2008073217	A	20080808 (200905)	KO	
	<b>EP 1954033</b>	<b>B1</b>	<b>20100602 (201036)</b>	<b>EN</b>	<b>Match</b>

ANSWER 2 OF 32 WPINDEX COPYRIGHT 2010				THOMSON REUTERS on STN	
PI	US 20080012712	A1	20080117 (200822)*	EN	20[13]
	EP 1884881	A1	20080206 (200822)	EN	
	JP 2008022435	A	20080131 (200822)	JA	16
	KR 2008007181	A	20080117 (200857)	KO	
	<b>EP 1884881</b>	<b>B1</b>	<b>20100414 (201026)</b>	<b>EN</b>	
	DE 602007005881	E	20100527 (201036)	DE	

False drop from  
normal SDI.

# Which CAplus update code?

Use ...	When searching for ...
<b>/ED</b>	New documents (patents + non-patents)
<b>/UP</b>	New and updated documents ( <i>except</i> UPP)
<b>/UPP</b>	New patent basics and/or equivalent patents
<b>/UPIT</b>	CAS RN indexing added, updated when supplemental PRPH indexing is added
<b>/UPM</b>	New and all updated documents (ED, UPIT, UP+UPP)
<b>/UPI</b>	CA Abstract Number (CAN) and Indexing

# H/Z/CAPLUS

- 9 of the major patent offices (CA, DE, EP, FR, GB, JP, RU, US, WO) are available online in CAPLUS within 2 days of the patents' issuance and full indexed by CAS scientists in less than 27 days from the date of issue.

# CAPLUS record (in process)

AN 2010:622249 CAPLUS

ED Entered STN: 20 May 2010

**Entry Date = 20 May**

TI Antioxidant [machine translation]

IN Takahashi, Hidehisa; Inagaki, Minoru; Maeda, Yoshitake; Matsuura, Nobuo

PA ATM Co., Ltd., Japan

SO Jpn. Kokai Tokkyo Koho, 12pp.

CODEN: JKXXAF

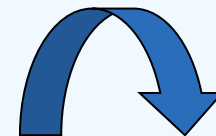
DT Patent

LA Japanese

CC 62 (Essential Oils and Cosmetics)

FAN.CNT 1

	PATENT NO.	KIND	DATE	APPLICATION NO.	DATE
	-----	----	-----	-----	-----
PI	JP 2010111602	A	<b>20100520</b>	JP 2008-283799	20081105
PRAI	JP 2008-283799		20081105		

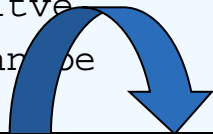


# CAPLUS record (in process)

CLASS

PATENT NO.	CLASS	PATENT FAMILY CLASSIFICATION CODE	Entry Date = 20 May
-----	-----	-----	
JP 2010111602	IPCI	A61K0008-97 [I,A]; A61K0008-96 [I,C*]; A61K0036-18 [I,A]; A61P0017-18 [I,A]; A61P0039-06 [I,A]; A61P0039-00 [I,C*]; A61Q0019-00 [I,A]; A61Q0019-08 [I,A]; A61Q0019-02 [I,A]; A61P0017-00 [I,A]	
	FTERM	4C083/AA032; 4C083/AA072; 4C083/AA082; 4C083/AA111; 4C083/AA112; 4C083/AA122; 4C083/AC022; 4C083/AC072;	

AB [Machine Translation of Descriptors]. By inhibiting development of active oxygen and an in the living body radical, formation of lipid peroxide is controlled and the thing in which a prevention and therapy is possible is provided for a senescence of skins, such as an elasticity decline of a skin, skin inflammations, the pigmentation of skin, etc. A Japanese iris (*Iris ensata* var. *ensata*), An iris (*Iris sanguinea* Hornem.), *Iris laevigata* Fisch. (*Iris laevigata* Fisch.), it is attained by the antioxidant characteristic of comprising the ext. of the plant of one or two or more kinds chosen from the above. This antioxidant has an active oxygen elimination action and/or a radical elimination action, and they can be used for it also as a radical eliminating substance and an active oxygen scavenger. Moreover, the cosmetics contg. this antioxidant can be provided.



# CAPLUS record (in process)

AN 2010:622249 CAPLUS

ED Entered STN: 20 May 2010

TI Antioxidants **containing Iris plant extracts, and their uses as cosmetics, etc.**

AB Antioxidants contain exts. of  $\geq 1$  plant selected from iris ensata ensata, Iris sanguinea, and Iris laevigata. Also claimed are radical scavengers, reactive oxygen species scavengers, and cosmetics contg. the antioxidants. Thus, 50% EtOH ext. of I. ensata ensata showed superoxide scavenging effect with IC50 25.3 ppm. Skin milk contg. I. ensata root ext. improved sagging, elasticity, roughness, and spots of skin.

ST Iris ext antioxidant radical reactive oxygen scavenger antiaging cosmetic

IT Antiaging cosmetics

Antioxidants

Human

Iris ensata ensata

Iris laevigata

Iris sanguinea

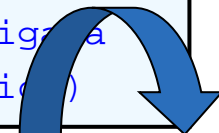
Radical scavengers

Skin conditioners

(antioxidants contg. Iris ensata ensata, I. sanguinea, or I. laevigata for radical scavengers, reactive O species scavengers, and cosmetic)

**UPdated on 02 June  
20100602/UP**

**Title and abstract are changed  
Indexing terms are added**



# CAPLUS record

IT Reactive oxygen species  
RL: REM (Removal or disposal); PROC (Process)  
(antioxidants contg. *Iris ensata ensata*, *I. sanguinea*, or *I. laevigata*  
for radical scavengers, reactive O species scavengers, and cosmetics)

IT 7782-44-7D, Oxygen, reactive species 11062-77-4, Superoxide  
RL: REM (Removal or disposal); PROC (Process)  
(antioxidants contg. *Iris ensata ensata*, *I. sanguinea*, or *I. laevigata*  
for radical scavengers, reactive O species scavengers, and cosmetics)

**UPdated on 02 June**  
**Rns added**

AN 2010:622249 CAPLUS

**DN 152:575874**

ED Entered STN: 20 May 2010

TI Antioxidants containing *Iris* plant extr  
etc.

IN Takahashi, Hidehisa; Inagaki, Minoru; Maeda, Yoshitake; Matsuura, Nobuo

PA ATM Co., Ltd., Japan

SO Jpn. Kokai Tokkyo Koho, 12pp.

CODEN: JKXXAF

DT Patent

LA Japanese

**UPdated on 10 June**  
**Document Number added**  
**so entered in CA**

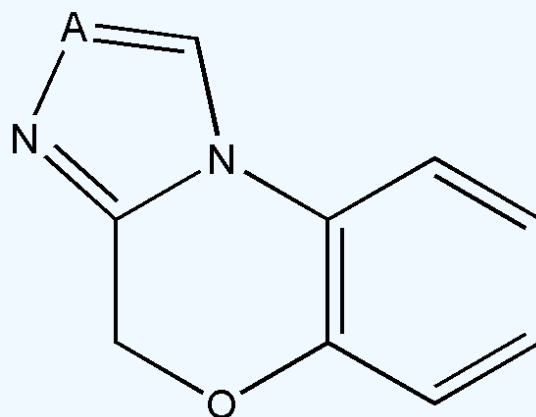
## SMARTTracker is a substance based SDI which delivers bibliographic results

- A REGISTRY file query is searched :
  - Structure search
  - Dictionary search (molecular formula, chemical name fragment..)
- Retrieved CAS Registry numbers (RNs) are crossed over to the specified CA file :
  - Keywords and/or roles may be added
- SMART command initiates SMARTTracker SDI set up in HCAplus (or Caplus)

# Example: HCAplus SMARTTracker

**Search request:** Review and continue to monitor patents describing a new class of metalloprotease inhibitors based on the following structure:

A = N, O



# Example: HCAplus SMARTracker

**Step 1:** Run the structure query in REGISTRY

**Step 2:** Retrieve the most recent patent references in the HCAplus database

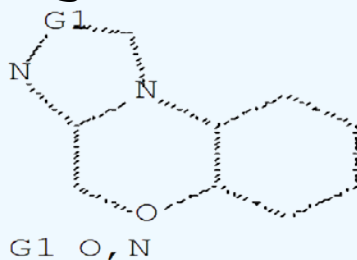
**Step 3:** Use SMARTracker chemical structure SDI to continue to monitor new patent publications, and any that are updated with supplemental RN indexing

# First find patent references for a specific structure query

=> **FILE REGISTRY**

Uploading...

=> **D**



Upload structure query in REGISTRY.

Because this is a heterocyclic ring with an odd number of atoms, all bonds were made unspecified.

=> **S L1 SSS SAM**

L2 3 SEA SSS SAM L1

=> **S L1 SSS FULL**

L3 161 SEA SSS FUL L1

Run the full structure search.

=> **FILE HCAPLUS**

=> **S L3 AND P/DT**

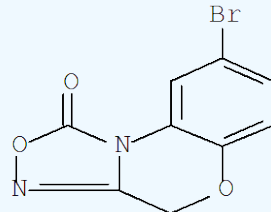
L4 15 L3 AND P/DT

Crossover results into HCAplus.

# Hit structures may be displayed in context using the HITSTR format

```

AN    2007:876447  HCAPLUS  Full-text
DN    147:227214
TI    Neural thermoprotective compositions of protein kinase G (PKG)
      pathway inhibitors, and method of therapeutic use
IN    Dawson-Scully, Kenneth; Sokolowski, Marla; Kent, Clement; Robertson,
      R.Meldrum; Armstrong, Gary A.
DT    Patent
LA    English
FAN.CNT 1
      PATENT NO.           KIND      DATE           APPLICATION NO.         DATE
      -----           -
PI    US 20070184044      A1       20070809      US 2006-538645         20061004
PRAI  US 2005-723527P    P        20051004
IT    204326-43-2
      RL: PAC (Pharmacological activity); THU (Therapeutic use); BIOL
      (Biological study); USES (Uses)
      (protein kinase G pathway inhibitor neural thermoprotective
      composition)
CN    1H,4H-[1,2,4]Oxadiazolo[3,4-c][1,4]benzoxazin-1-one, 8-bromo-
      (CA INDEX NAME)
  
```



# Continue to monitor updates by initiating a SMARTracker

Choose the query L-number and UPIT (or UPM) update code.

=> SMART

SMARTracker INITIATED

```
ENTER QUERY L# FOR SDI REQUEST OR (END):L4
ENTER UPDATE FIELD CODE (UP) OR ?:UPIT
ENTER SDI REQUEST NAME, (AA048/S), OR END:AZATRICYC/S
ENTER COST CENTER (NONE) OR NONE:.
ENTER TYPE OF SEARCH (SSS), CSS, FAMILY, OR EXACT:SSS
ENTER TITLE (NONE):AZATRICYCLIC INHIBITORS
ENTER METHOD OF DELIVERY (OFFLINE), ONLINE, OR EMAIL:EMAIL
ENTER EMAIL ID (5584C):LBUR...@CAS.ORG
LBUR...@CAS.ORG
RECEIVE DELIVERY NOTIFICATION? (Y)/N:N
ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N):N
ENTER PRINT FORMAT (BIB) OR ?:BIB ABS HITSTR
• • •
ENTER SDI RUN FREQUENCY - (WEEKLY), BIWEEKLY, OR ?:WEEKLY
ENTER SDI EXPIRATION DATE 'YYYYMMDD' OR (NONE):.
QUERY L4 HAS BEEN SAVED AS SDI REQUEST 'AZATRICYC/S'
```

IMPORTANT! To see supplemental substance indexing which may be added after CAN assignment, do NOT eliminate previously seen answers.

# Common SDI's in INPAFAMDB

- New published documents
  - From competitors
  - In a technology area
- New family members of known patents
- Changes in legal status of known patents

# INPAFAMDB delivers clear, uncluttered SDIs

- Record-based update codes can be used to track changes of individual records
- Family-based update codes can be used to track changes of all family members
- Linked SDIs use (L) operator
  - (L) update code / LAST
- SDI frequencies
  - Weekly or monthly

For a list of all SDI options see the INPAFAMDB Workshop Manual

[http://www.stn-international.com/fileadmin/be\\_user/STN/pdf/search\\_materials/patents/INPADOCDB\\_INPAFAMDB\\_en\\_1002.pdf](http://www.stn-international.com/fileadmin/be_user/STN/pdf/search_materials/patents/INPADOCDB_INPAFAMDB_en_1002.pdf)

# Update code options

	<b>Record</b>	<b>Family</b>
	INPADOCDB	INPAFAMDB
New family ("basic")	-	<b>EDF</b>
New record (MEMBER)	<b>EDP</b>	<b>UPFD</b>
New document (publication)	<b>ED</b>	<b>UPFP</b>
Update to bibliography	<b>UP</b>	<b>UPFB</b>
Update to legal status	<b>UPLS</b>	<b>UPFL</b>
New document or LS	<b>EDLS</b>	<b>UPFE</b>
All updates (any changes)	<b>UPM</b>	<b>UPFA</b>

Use Record update codes to track changes to individual documents.  
Use Family update codes to track changes to all patent family members.

# Linked SDIs for monitoring legal status

**Search request:** Monitor legal status of Unilever publications for opposition filing and reexaminations.

**Step 1:** Prepare search query, use legal status categories

**Step 2:** Modify query with appropriate “linked SDI” parameter

**Step 3:** Set up SDI

# Monitor Unilever publications for opposition filing

=> **QUE UNILEVER/PA,PAS AND ORE/LSC2 (L) UPLS/LAST**

L1 QUE UNILEVER/PA,PAS AND ORE/LSC2(L)UPLS/LAST

Search or query legal status category ORE for Unilever publications

=> **SDI**

ENTER QUERY L# FOR SDI REQUEST OR (END):**L1**

ENTER UPDATE FIELD CODE (UP) OR ? : **UPLS**

ENTER SDI REQUEST NAME, (AA014/S), OR END:**UNILEVER/S**

o o o

ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N): **N**

ENTER PRINT FORMAT (BIB.M) OR ? : **BRIEF HIT**

HIGHLIGHT HIT TERMS? (Y)/N:.

ARCHIVE ANSWERS? Y/(N):.

REDISTRIBUTE ANSWERS? Y/(N):.

ENTER MAXIMUM NUMBER OF HITS

o o o

UPLS/LAST linked to ORE/LSC2 leads selectively to records with current opposition or reexamination entries.

# SDI results for oppositions against Unilever

TIEN Packaged concentrate for preparing a bouillon, soup, sauce, gravy or for use as a seasoning, the concentrate comprising xanthan and tara gum.

PI	AR 65458	A1	20090610
PI	AT 430490T	T	20090515
PI	AT 465646T	T	20100515
PI	AU 2008200857	A1	20090108
PI	AU 2008200857	B2	20090507
PI	BR 2008000853	A2	20090127
PI	EP 2005844	B1	20090506

Opposition has been filed against  
EP 2005844

PI	RU 2008106843	A	20090827
PI	US 20080311249	A1	20081218
PI	WO 2008151850	A1	20081218
PI	ZA 2008001781	A	20091125
PA	UNILEVER N.V.		

Opposition entry in the current  
legal status update 20100319

## LEGAL STATUS HIT

AN	36857070	INPAFAMDB	UPFL	20100603
20100317	EP26	-	OPPOSITION FILED	
			[EP 2007-110027	A 20070612]
			NESTEC S.A.	
			20100205	

ORE Opposition, Reexamination

201011.....20100319

# INPAFAMDB offers customized display formats for family SDIs

- Weekly family displays
- Monthly family displays
- Customized display format only shows current data since the last SDI run
- Display formats can be restricted to individual country information (weekly SDI)

# INPAFAMDBs weekly and monthly family display formats

<b>FFAMED</b>	BIB LSUP for family members with new publications or changes to Legal Status
<b>FFAMED.PC</b>	FFAMED for a specific country, e.g., FFAMED.US
<b>FFAMUP</b>	BIB LSUP for any changes to family members
<b>FFAMUP.PC</b>	FFAMUP for a specific authority, e.g., FFAMUP.EP
<b>LFAMUP</b>	PI LSUP for family members with updated Legal Status
<b>LFAMUP.PC</b>	LFAMUP for a specific country, e.g., LFAMUP.DE

# Example: INPAFAMDB family and legal status SDI

**Search request:** Monitor key Pfizer patent applications for new family members or legal status changes.

- Step 1:** Retrieve the family members in INPAFAMDB
- Step 2:** Set-up an automatic SDI to track future updates to the patent family and legal status

# Monitor key Pfizer patent applications for new family members or legal status changes

```
=> S (WO2005067620 OR WO2005080313 OR WO2003102130 OR
    WO2005004839 OR WO2005009965 OR WO2005089728.....)/PN
L1 10 (WO2005067620 OR WO2005080313 OR WO2003102130 OR ....
```

=> **SDI**

Search the patent numbers and use the **SDI** command.

ENTER QUERY L# FOR SDI REQUEST OR (END):**L1**

ENTER UPDATE FIELD CODE (UP) OR ?: **UPFE**

ENTER SDI REQUEST NAME, (AA007/S), OR END:**PFIZER/S**

o o o

ELIMINATE PREVIOUSLY SEEN ANSWERS WITH EACH SDI RUN? Y/(N): **N**

ENTER PRINT FORMAT (BIB.M) OR ?: **CFAM FFAMED**

HIGHLIGHT HIT TERMS? (Y)/N:.

ARCHIVE ANSWERS? Y/(N):.

REDISTRIBUTE ANSWERS? Y/(N):.

ENTER MAXIMUM NUMBER OF HITS T

o o o

The combination of **UPFE** update code and **FFAMED** display format provides any new records, new publications, or new legal status for each SDI run.



# Monitor key Pfizer patent applications for new family members or legal status changes (cont.)

## PATENT FAMILY INFORMATION

```
AN 15473209 INPAFAMDB
+-----PI-----+
AR 47509          A1 20060125
AT 375977T       T 20071115
```

6 priorities, 19 applications, 26 publications

### MEMBER 9

```
PI EP 1708991          A2 20061011 English
```

```
20080829 EPPGFP      + POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE
BE: 20080107
```

Payment Year: 04

200836.....

```
20080829 EPPGFP      + POSTGRANT: ANNUAL FEES PAID TO NATIONAL OFFICE
```

RO: 20071219

Payment Year: 04

200836.....

```
20080829 EPPG25      - LAPSED IN A CONTRACTING STATE ANNOUNCED VIA POSTGRANT
```

INFORM. FROM NAT. OFFICE TO EPO

LAPSE BECAUSE OF NON-PAYMENT OF DUE FEES

MC: 20080131

NIF Lapses, Expiries, Withdrawals, Refusals

200836.....**..20080904**

This SDI regularly delivers a simple list of publication numbers (CFAM), details of new publications, and/or legal status changes from the latest database update (FFAMED).

For **EP1708991** we have new legal status information in the latest database update.



# Additional Resources

- Visit STN International's e-seminar archive for even MORE details on setting up alerts on STN, including using Web Assistants and Wizards, plus more case studies
  - Setting up alerts on STN – Basics – June 2010

[www.stn-international.com/archive/e\\_sem/e\\_sem\\_arc.html](http://www.stn-international.com/archive/e_sem/e_sem_arc.html)

**Thank you for your attention!**

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[www.cas.org](http://www.cas.org)

[www.capadoc.com](http://www.capadoc.com)



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Leibniz Institute for Information Infrastructure