

UNITED STATES PATENT AND TRADEMARK OFFICE

---

BEFORE THE PATENT TRIAL AND APPEAL BOARD

---

ALARM.COM INC.,  
Petitioner,

v.

VIVINT, INC.,  
Patent Owner.

---

Case IPR2015-02004  
Patent 6,147,601

---

Before MICHAEL R. ZECHER, JAMES B. ARPIN, and  
CHARLES J. BOUDREAU, *Administrative Patent Judges*.

BOUDREAU, *Administrative Patent Judge*.

DECISION

Denying Institution of *Inter Partes* Review  
35 U.S.C. § 314(a) and 37 C.F.R. § 42.108

## I. INTRODUCTION

Alarm.com Incorporated (“Petitioner”) filed a Petition (Paper 1, “Pet.”) requesting an *inter partes* review of claims 1–43 of U.S. Patent No. 6,147,601 (Ex. 1001, “the ’601 patent”). Pet. 1, 4. Vivint, Incorporated (“Patent Owner”) filed a Preliminary Response. Paper 9 (“Prelim. Resp.”).<sup>1</sup> We review the Petition under 35 U.S.C. § 314, which provides that an *inter partes* review may not be instituted “unless . . . there is a reasonable likelihood that the petitioner would prevail with respect to at least 1 of the claims challenged in the petition.” 35 U.S.C. § 314(a).

For the reasons that follow, and on this record, we are not persuaded that Petitioner demonstrates a reasonable likelihood of prevailing in showing the unpatentability of any of the challenged claims. Accordingly, we *deny* institution of *inter partes* review.

### A. The ’601 Patent

The ’601 patent, entitled “Electronic Message Delivery System Utilizable in the Monitoring of Remote Equipment and Method of Same,” issued November 14, 2000, from U.S. Patent Application No. 09/317,235, filed May 24, 1999. Ex. 1001, at [21], [22], [45], [54]. The ’601 patent also

---

<sup>1</sup> On December 17, 2015, after Petitioner’s filing of the Petition, but before Patent Owner’s filing of the Preliminary Response, Patent Owner filed a Request for Certificate of Correction with respect to the ’601 patent, seeking to correct an alleged mistake in claim 39. Ex. 2003 (“Request”). By Order dated January 28, 2016, we stayed the Request, pursuant to 37 C.F.R. § 42.3, pending our decision on the Petition, and we also authorized Petitioner to file a Reply Brief limited to certain issues related to the requested Certificate of Correction. See Paper 10 (“Order”). Petitioner filed its Reply on February 3, 2016. Paper 12 (“Pet. Reply”).

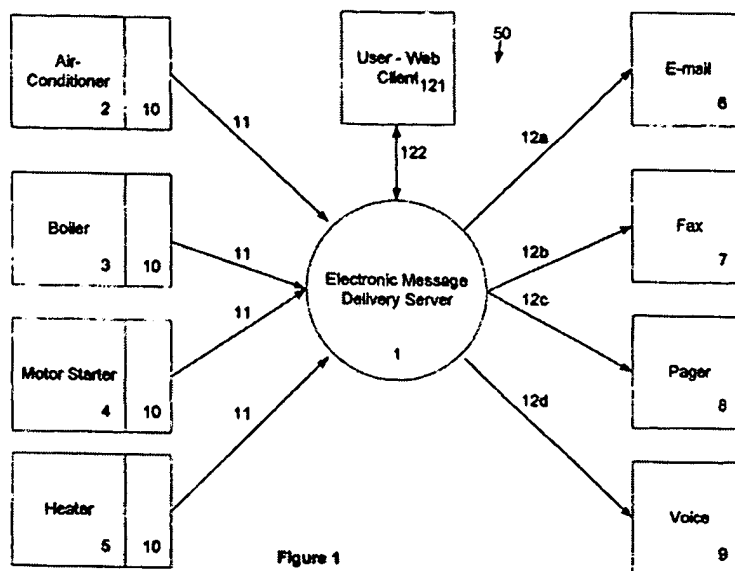
IPR2015-02004  
Patent 6,147,601

claims the benefit of U.S. Provisional Application No. 60/115,305, filed January 9, 1999 (“the ’305 provisional”). *Id.* at [60], 1:6–7.

The ’601 patent describes systems and methods for monitoring remote equipment such as “devices . . . employed in heating, ventilating, and [air conditioning] (HVAC) systems.” Ex. 1001, Abstract, 1:11–14. The ’601 patent explains that “[i]t is desirable to be able to monitor remotely equipment that may require periodic preventive maintenance and/or that may require rapid response time should a catastrophic failure occur.” *Id.* at 1:16–19. According to the ’601 patent, prior art systems were limited insofar as they did not “allow for sufficient flexibility in routing fault messages to a variety of different potential recipients of such messages via a variety of different media, depending on the urgency or nature of the fault.” *Id.* at 1:66–2:3. The ’601 patent provides, as an example, that an HVAC customer may want to send “certain non-emergency condition notifications (e.g., filter needs cleaning) to certain individuals (e.g., contractor/maintenance personnel) via a certain medium (e.g., e-mail) and emergency condition notifications (e.g., low or high refrigerant pressure) to other individuals (building owner, contractor, etc.) via other means (e.g., via beeper or other personal communication device).” *Id.* at 2:5–14. “Such a list of who to contact via what means depending on which fault has occurred may be referred to as a ‘message profile.’” *Id.* at 2:14–16. According to the ’601 patent, conventional systems did not allow for “easy customer modifications to the message profile.” *Id.* at 2:21–22.

The ’601 patent purportedly solves these problems by disclosing a system for remotely monitoring electrical or mechanical equipment that can deliver fault notification messages to different individuals for different fault

conditions via different electronic media, and in which a customer may interactively modify its message profile. Ex. 1001, 2:33–41. Figure 1 of the '601 patent, reproduced below, illustrates a schematic diagram of the preferred embodiment of this system. *Id.* at 3:24–25, 5:38–39.



As shown in Figure 1, system 50 monitors existing pieces of electronic equipment, such as air-conditioner 2, boiler 3, motor starter 4, heater 5, or any other equipment that a prospective user desires to monitor. Ex. 1001, 5:39–42. Each piece of equipment is fitted with interface 10 that periodically sends a status signal to electronic message delivery server 1 indicating whether the piece of equipment and its corresponding interface are functioning correctly. *Id.* at 5:43–47. When a predetermined “exception” condition, e.g., a fault condition, occurs in a piece of equipment being monitored, interface unit 10 sends a message to electronic message delivery server 1. *Id.* at 5:47–51. Electronic message delivery server 1 then routes the message to the appropriate user interface, such as email 6, fax 7,

IPR2015-02004  
Patent 6,147,601

pager 8, voice 9, etc., according to a message profile configured by the user via user-web client 121 connected to Internet 122. *Id.* at 5:51–55.

In the described systems and methods, a sensor in communication with a piece of remote equipment determines the state of at least one parameter of the remote equipment. *Id.* at 2:48–50, 55–56. When the sensor detects an “exception” condition (i.e., an operating condition that is either out of the ordinary or beyond nominal parameters) in the remote equipment, an interface unit connected to the sensor and having a message generating mechanism generates an incoming exception message and forwards the message to a central computer server. *Id.* at 2:56–65. The server forwards at least one outgoing exception message to at least one predetermined user-defined end device based on the incoming exception message. *Id.* at 2:65–67.

#### *B. Related Proceedings*

The '601 patent is the subject of a district court action between the parties titled *Vivint, Inc. v. Alarm.com Inc.*, 2:15-cv-00392-CW-BCW (D. Utah 2015). Pet. 1; Paper 8, 2. Petitioner also filed two other petitions challenging subsets of the '601 patent's claims (Cases IPR2016-00116 and IPR2016-00155) and at least ten petitions challenging certain claims of the following other patents owned by Patent Owner: (1) U.S. Patent No. 6,462,654 B1 (Cases IPR2015-02003 and IPR2016-00161); (2) U.S. Patent No. 6,535,123 B2 (Cases IPR2015-01995 and IPR2016-00173); (3) U.S. Patent No. 6,717,513 B1 (Cases IPR2015-01997 and IPR2016-00129); (4) U.S. Patent No. 6,924,727 B2 (Cases IPR2015-01977 and IPR2015-

# Explore Litigation Insights

Docket Alarm provides insights to develop a more informed litigation strategy and the peace of mind of knowing you're on top of things.

## Real-Time Litigation Alerts



Keep your litigation team up-to-date with **real-time alerts** and advanced team management tools built for the enterprise, all while greatly reducing PACER spend.

Our comprehensive service means we can handle Federal, State, and Administrative courts across the country.

## Advanced Docket Research



With over 230 million records, Docket Alarm's cloud-native docket research platform finds what other services can't. Coverage includes Federal, State, plus PTAB, TTAB, ITC and NLRB decisions, all in one place.

Identify arguments that have been successful in the past with full text, pinpoint searching. Link to case law cited within any court document via Fastcase.

## Analytics At Your Fingertips



Learn what happened the last time a particular judge, opposing counsel or company faced cases similar to yours.

Advanced out-of-the-box PTAB and TTAB analytics are always at your fingertips.

## API

Docket Alarm offers a powerful API (application programming interface) to developers that want to integrate case filings into their apps.

## LAW FIRMS

Build custom dashboards for your attorneys and clients with live data direct from the court.

Automate many repetitive legal tasks like conflict checks, document management, and marketing.

## FINANCIAL INSTITUTIONS

Litigation and bankruptcy checks for companies and debtors.

## E-DISCOVERY AND LEGAL VENDORS

Sync your system to PACER to automate legal marketing.