# Contents

*List of abbreviations*  
xii

*Preface*  
xiv

*Acknowledgements*  
xv

*Table of cases*  
xvi

## PART I: THE PROBLEM – ACCESS AS A NECESSARY ELEMENT OF FOLLOW-ON INNOVATION?

1. Biopharmaceutical R&D: the increased importance of cumulative innovation and related concerns  
   1.1 Introduction  
   1.2 The case of research tools  
      1.2.1 Defining research tools  
      1.2.2 The patent experience in biotechnology: biomedical research tools  
      1.2.3 The effect of patent trends on the patent balance for research tools  
   1.3 Conclusion  

## PART II: THE PATENT BALANCE AND WORKING SOLUTIONS IN THE PATENT SYSTEM

2. The patent system as a system of balancing  
   2.1 The Patent Balance  
   2.2 The particular importance of the patent balance in the biopharmaceutical industry  
      2.2.1 The patent system and the biopharmaceutical industry  
      2.2.1.1 Biopharmaceutical innovation and patenting  
      2.2.1.2 Has the importance of patents been overstated?  
   2.3 Conclusion  

3. The patent system and some potential safety nets  
   3.1 Introduction to the patent safety nets  

vii
3.2 The patent safety nets

3.2.1 Experimental use exemption

3.2.1.1 The experimental use exemption: a viable and effective working solution? 39
3.2.1.2 The US experience: a helpful paradigm? 44
3.2.1.3 Conclusion on the EUE 46

3.2.2 The reverse doctrine of equivalents and blocking patents 48

3.2.3 Patent pools 51

3.2.4 Compulsory licensing in the patent provisions

3.2.4.1 Introduction to compulsory licensing 54

(a) Definition and history 54
(b) Support and opposition for CL 54
(c) Grounds for granting a compulsory licence 57

3.2.4.2 Analysis of the role of CL 58

(a) The role of CL in balancing commensurability 58

(i) CL as a mechanism to induce broad licensing 58
(ii) CL for non-use 59
(iii) CL for significant technological advances 59
(iv) CL to address health emergencies 61
(v) CL as a remedy for anti-competitive conduct 63

(b) Conclusions on CL 63

4. The right to health as an interpretive principle of patent law 70

4.1 Introduction 70

4.2 The right to health as a human right and its status in European law

4.2.1 Introduction to the right to health 71
4.2.2 Sources of the right to health 74
4.2.3 Implications of the right to health

4.2.3.1 Elements of the right to health 77
4.2.3.2 Obligation to respect, protect and fulfil 79

4.2.4 International Efforts to Strengthen the Right to Health 80

4.3 The right to health and patent law: The fundamental nature of health concerns and the move towards a right to health as an interpretive principle in patent law 82
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.3.1</td>
<td>The link between the right to health and patent law</td>
<td>82</td>
</tr>
<tr>
<td>4.3.1.1</td>
<td>The effect of patent law on the right to health</td>
<td>82</td>
</tr>
<tr>
<td>4.3.1.2</td>
<td>The effect of the right to health on patent law</td>
<td>83</td>
</tr>
<tr>
<td>4.3.2</td>
<td>The right to property and IP: IP as a human right</td>
<td>84</td>
</tr>
<tr>
<td>4.3.2.1</td>
<td>Striking the balance: limitations in the public interest</td>
<td>86</td>
</tr>
<tr>
<td>4.3.3</td>
<td>Patenting and the right to health</td>
<td>87</td>
</tr>
<tr>
<td>4.3.3.1</td>
<td>Direct effect</td>
<td>87</td>
</tr>
<tr>
<td>4.3.3.2</td>
<td>The indirect effect of the right to health</td>
<td>88</td>
</tr>
<tr>
<td>4.3.4</td>
<td>The right to health as an interpretive principle in patent law</td>
<td>90</td>
</tr>
<tr>
<td>4.3.4.1</td>
<td>Effect on specific patent provisions</td>
<td>91</td>
</tr>
<tr>
<td>4.3.4.2</td>
<td>Case-law on public health</td>
<td>93</td>
</tr>
<tr>
<td>4.3.4.3</td>
<td>European cases on IP and fundamental rights analysis</td>
<td>94</td>
</tr>
<tr>
<td>4.4</td>
<td>Conclusions</td>
<td>96</td>
</tr>
</tbody>
</table>

PART III: ANTITRUST AS A COMPLEMENT TO THE PATENT SYSTEM

5. Unilateral conduct, intellectual property rights and Competition Law: a systems’ interaction 101
   5.1 Introduction 101
   5.2 The practice of the courts 103
      5.2.1 The existence/exercise distinction 103
   5.3 IPRs and competition: A systems’ interaction 107
      5.3.1 IPRs – public goods, exclusivity and information goods 107
         5.3.1.1 Public goods and market failure 107
         5.3.1.2 Patronage, procurement and property 109
      5.3.2 Implications for competition 112
         5.3.2.1 IP like other property rights for the purposes of competition 112
         5.3.2.2 Competition embedded in the IP system 114
         5.3.2.3 The transition from separate to unified fields 114
         5.3.2.4 How antitrust control affects incentives to innovate 116
   5.3.3 Recent recognition of antitrust control 119
   5.4 Conclusions 121
6. The Duty to Deal under Art. 82 EC  122
   6.1 Introduction  122
      6.1.1 What is a refusal to deal and what is the rationale behind its prohibition?  122
      6.1.2 Concerns relating to a refusal to deal: Potential harm to competition  123
   6.2 The state of the law  126
      6.2.1 Cutting off existing customers: The dependence cases  128
      6.2.2 ‘Reservation of an ancillary activity’ and leverage economics  130
      6.2.3 The indispensability requirement and the essential facilities doctrine (EFD)  133
         6.2.3.1 Indispensability  135
         6.2.3.2 Two-market requirement  138
         6.2.3.3 Objective justification  139
      6.2.4 New product innovation  141
   6.3 Conclusions  143
Appendix The refusal to deal cases under Art. 82  145

PART IV: A MORE INNOVATION SENSITIVE APPROACH TO THE INTERFACE OF COMPETITION LAW AND PATENTS?

7. The duty to deal as applied to address technology access problems in the biopharmaceutical industry  177
   7.1 Conclusions on the patent system in the case of research tools  177
      7.1.1 The particularity of research tools: pre-commercial stage patents  177
      7.1.2 A gap in the patent system?  179
      7.1.3 The more the better? Optimal market structure for innovation  179
   7.2 Two possible avenues for increased access to essential research tools  181
      7.2.1 Patent law  181
      7.2.2 A role for Art. 82?  185
         7.2.2.1 Indispensability  186
         7.2.2.2 Preventing the emergence of a new product for which there is potential consumer demand  187
         7.2.2.3 Elimination of competition on a downstream or neighbouring market/two-market requirement  187
### Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.2.2.4</td>
<td>The absence of an objective justification</td>
<td>188</td>
</tr>
<tr>
<td>7.2.3.1</td>
<td>The impact of Art. 82 duty to deal with case-law on the patent system</td>
<td>189</td>
</tr>
<tr>
<td>7.2.3.2</td>
<td>An innovation sensitive approach: innovation markets in Art. 82?</td>
<td>191</td>
</tr>
<tr>
<td>7.2.3.3</td>
<td>Conclusions on compulsory licensing as a safety net</td>
<td>195</td>
</tr>
<tr>
<td>7.2.4</td>
<td>Conclusion: A human rights approach to competition law?</td>
<td>196</td>
</tr>
</tbody>
</table>

### Bibliography

- **Legislation and Guidelines**
- **Reports and Studies**
- **Authors**
- **Index**