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(71) Applicants: **ISIS INNOVATION LTD** [GB/GB]; Ewert House, Ewert Place, Summertown, Oxford, Oxfordshire OX2 7SG (GB). **GOVERNMENT OF THE USA, AS REPRESENTED BY THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES** [US/US]; National Institutes of Health Office Technology Transfer, 6011 Executive Boulevard, Suite 325, Rockville, Maryland 20852 (US).

(72) Inventors: **CLARKE, Kieran**; University of Oxford, Department of Physiology, Anatomy & Genetics, Sherrington Building, Parks Road, Oxford Oxfordshire OX1 3PT (GB). **VEECH, Richard**; National Institute of Alcohol Abuse and Alcoholism, NIH, 5625 Fishers Lane 2S28, Rockville, Maryland 20852 (US). **KING, Todd**; National Institute of Alcohol Abuse and Alcoholism, NIH, 5625 Fishers Lane 2S28, Rockville, Maryland 20852 (US).

(74) Agent: **GEARY, Stephen**; Bawden & Associates, 4 The Gatehouse, 2 High Street, Harpenden, Hertfordshire AL5 2TH (GB).

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(54) Title: PROCESS FOR PRODUCING (R)-3-HYDROXYBUTYL (R)-3-HYDROXYBUTYRATE

(57) Abstract: A process for the production of (R)-3-hydroxybutyl (R)-3-hydroxybutyrate comprising: i) contacting poly-(R)-3-hydroxybutyrate with an alcohol to transesterify the poly-(R)-3-hydroxybutyrate under transesterification conditions to produce an ester of (R)-3-hydroxybutyrate and the alcohol; ii) separating the product of step i) into a first and second portion and reducing the first portion of the (R)-3-hydroxybutyrate ester to form (R)-1,3-butanediol; and iii) contacting under transesterification conditions the (R)-1,3-butanediol from step ii) with the second portion of the transesterified ester to produce (R)-3-hydroxybutyl-(R)-hydroxybutanoate.

**PROCESS FOR PRODUCING (R)-3-HYDROXYBUTYL (R)-3-HYDROXYBUTYRATE**

This invention was made with government support under Grant No. W911NF-05-1-0479 awarded by ARMY/ARO. The government has certain rights in this invention.

The invention relates to a process for producing (R)-3-hydroxybutyl (R)-3-hydroxybutyrate. In particular, the invention relates to a process for producing (R)-3-hydroxybutyl (R)-3-hydroxybutyrate from a single starting material feedstock of poly-(R)-3-hydroxybutyrate.

Ketone bodies are chemical compounds which are produced by the liver from fatty acids released from adipose tissue. Ketone bodies themselves can be used as a source of energy in most tissues of the body. The intake of compounds that boost the levels of ketone bodies in the blood can lead to various clinical benefits, including an enhancement of physical and cognitive performance and the treatment of cardiovascular conditions, diabetes, neurodegenerative diseases and epilepsy. Ketone bodies include (R)-3-hydroxybutyrate and acetoacetate.

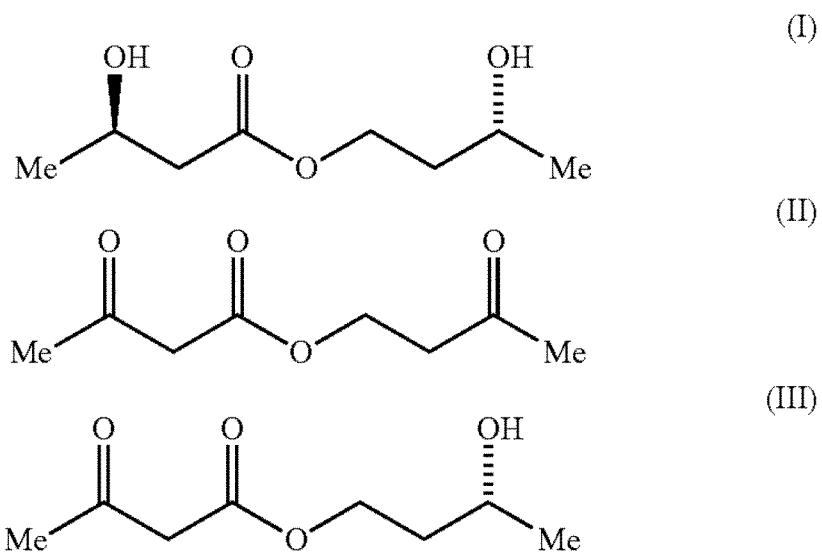
WO2004/108740 discloses that ketone bodies may be administered directly to achieve elevated levels of ketone bodies in a subject. However, direct administration of the compounds is unpractical and potentially dangerous. For example, direct administration of either (R)-3-hydroxybutyrate or acetoacetate in its free acid form can result in significant acidosis following rapid absorption from the gastrointestinal tract. Administration of the sodium salt of these compounds in unregulated amounts is also unsuitable due to a potentially dangerous sodium overload that could accompany administration of therapeutically relevant amounts of the compounds.

Examples of the derivatives include esters, for instance esters derived from a variety of alcohols and oligomers of (R)-3-hydroxybutyrate.

WO2010021766 discloses that one particular enantiomer of one particular ester of 3-hydroxybutyrate is an effective and palatable precursor to the ketone body (R)-3-hydroxybutyrate. Thus WO2010021766 discloses 3-hydroxybutyl 3-hydroxybutyrate enantiomerically enriched with respect to (R)-3-hydroxybutyl (R)-3-hydroxybutyrate.

Various synthetic approaches have been developed for the production of this stereoisomer. Methods are known for producing hydroxybutyrate from poly-(R)-3-hydroxybutyrate but involve a large number of steps and are complex. Other synthetic approaches have been attempted but have various technical and commercial drawbacks including low yields, the production of impure product, impracticability on a large scale and cost.

WO2010/120300 discloses various methods of a producing *(R)*-3-hydroxybutyl *(R)*-3-hydroxybutyrate involving enantioselective reduction of a compound of formula I, II or III.



WO2010/120300 also discloses a process involving treating  $\text{HOCH}_2\text{CH}_2\text{COCH}_3$  with a 5 diketene of formula VI in WO2010/120300,  $\text{CH}_2=\text{C}(\text{CH}_2)\text{O}-\text{C}=\text{O}$  and subjecting the reaction to enantioselective reduction. Further processes involving treating butane-1,3-diol with the ketene VI with enantioselective reduction and a process starting from 4-hydroxybutanone are also disclosed. The enantioselective reduction is carried out using a ketoreductase or alcohol dehydrogenase.

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Whilst effective at producing *(R)*-3-hydroxybutyl *(R)*-3-hydroxybutyrate these starting materials may be costly and higher rates of reaction may be desirable. There remains a need to be able to produce *(R)*-3-hydroxybutyl *(R)*-3-hydroxybutyrate at higher volumes and to improve the economics of production.

15

We have now found that these problems may be addressed by subjecting poly-*(R)*-3-hydroxybutyrate, a relatively low cost starting material, to a process that involves transesterification divides the starting material or feedstock into two portions or streams, producing a reduced intermediate from a first portion or stream, which is then reacted with a 20 second portion or stream to provide *(R)*-3-hydroxybutyl *(R)*-3-hydroxybutyrate.

In a first aspect the invention provides a process for the production of *(R)*-3-hydroxybutyl *(R)*-3-hydroxybutyrate comprising:

(i) contacting poly-(*R*)-3-hydroxybutyrate with an alcohol to transesterify the poly-(*R*)-3-hydroxybutyrate under transesterification conditions to produce an ester of (*R*)-3-hydroxybutyrate and the alcohol;

5 (ii) separating the product of step i) into a first and second portion and reducing the first portion of the (*R*)-3-hydroxybutyrate ester to form (*R*)-1,3-butanediol;

(iii) contacting under transesterification conditions the (*R*)-1,3-butanediol from step ii) with the second portion of the transesterified ester to produce (*R*)-3-hydroxybutyl (*R*)-3-hydroxybutyrate.

10 The process allows industrial scale production of enantiomerically enriched monoester of (*R*)-3-hydroxybutyric acid and (*R*)-1,3-butanediol from bulk poly-(*R*)-3-hydroxybutyrate which is commercially available in large scale and acceptable cost, for example by fermentation of corn starch or sugar cane.

15 The term "enriched", as employed herein, means that the level of the enriching isomer is higher than the level at which that isomer would be present in a racemic mixture. Where a percentage enrichment is referred to, the enriching isomer constitutes that molar percentage of the total 3-hydroxybutyl 3-hydroxybutyrate product present.

20 Preferably enantiomeric purity is measured using chiral high performance liquid chromatography (chiral HPLC). Measurements are typically made against the corresponding racemic mixture. Alternatively, chiral gas chromatography (chiral GC) may be used reliably. Accordingly, where a percentage enrichment is referred to herein, the percentage enrichment is typically that measured by chiral HPLC or by chiral GC.

25 Preferably, the percentage enrichment is that measured by chiral HPLC. Usually, the enzyme employed is one which is capable of reducing said compound of formula (II), (III) or (IV) to produce 3-hydroxybutyl 3-hydroxybutyrate which is enantiomerically enriched to at least 95 %, for instance to at least 97 %, to at least 98 %, or to at least 99 %, with respect to (*R*)-3-hydroxybutyl(*R*)-3hydroxybutyrate.

30 The process may be continuous or batch. Advantageously, the invention enables a high throughput industrial production of (*R*)-3-hydroxybutyl (*R*)-3-hydroxybutyrate from poly-(*R*)-3-hydroxybutyrate which may be obtained from corn starch.

35 Preferably, the poly-(*R*)-3-hydroxybutyrate feedstock is provided from a single feedstock by fermentation of corn starch with microorganisms.

The poly-(*R*)-3-hydroxybutyrate feedstock may be transesterified in step i) using any suitable alcohol which allows the formed ester to be reduced to (*R*)-1,3-butanediol. Suitably a dihydric or trihydric alcohol is employed but preferably the alcohol is monohydric, for example a C1-6 alcohol. Where (*R*)-3-hydroxybutyl (*R*)-3-hydroxybutyrate is for 5 consumption for example as a food or nutritional supplement, the alcohol is suitably ethanol as this is more acceptable for consumption than other alcohols.

Suitably, the alcohol is present in sufficient quantity that poly-(*R*)-3-hydroxybutyrate moieties may be esterified. Preferably the weight ratio of alcohol to poly-(*R*)-3-hydroxybutyrate is 10 from 1:1 to 10:1, more preferably from 2:1 to 6:1.

The transesterification in step i) is suitably carried out in acidic conditions. Preferably, the reaction mixture comprises an acid catalyst. The acid may be organic or inorganic and is preferably a mineral acid, for example sulphuric acid. The catalyst may be solid as desired.

15 Suitably the transesterification is carried out at elevated temperature, preferably greater than 50 °C, greater than 90 °C and desirably not more than 150 °C. Elevated pressure may be employed. Suitably, the transesterification is carried out for sufficient time to affect transesterification to an economically acceptable degree having regard to the temperature, 20 catalyst and alcohol employed. Preferably, the transesterification step is carried out for at least 1 hour, more preferably at least 10 hours, and especially 15 to 30 hours, for example 20 hours, 22 hours and 24 hours.

25 The product of the transesterification reaction may then be treated by one or more optional steps including filtering, purification, for example by distillation and neutralisation for example by the addition of base for example hydroxide, bicarbonate and acetate, particularly calcium hydroxide or sodium bicarbonate to neutralise the acid present.

30 Suitably, the ester of (*R*)-3-hydroxybutyrate is separated from the reaction mixture by removal of alcohol and optionally by-products of the reaction. The separation may be carried out in multiple stages as desired. In a preferred embodiment, the ester is separated and purified from the alcohol and reaction by-products. The ester may be separated from unreacted alcohol and other undesired materials, for example alkyl crotonate by separation of the liquid phase, for example by distillation of the alcohol and alkyl crotonate. The alcohol 35 and by-products may be removed by multiple distillations, suitably at atmospheric pressure and at a temperature above the boiling point of the alcohol, for example greater than 80 °C, greater than 110 °C for example at a temperature of 110 to 150 °C. The ester of (*R*)-3-

hydroxybutyrate is then suitably separated to provide a first portion which is subjected to a reduction reaction.

The reduction in step ii) may be a hydride transfer reduction, hydrogenation, hydrosilylation followed by silyl ether hydrolysis. Preferably the reduction is carried out with any suitable reducing agent for reducing an ketoester. The reducing agent may be organic or inorganic. The reduction step may be mediated by an enzyme, for example a ketoreductase (KRED) or an alcohol dehydrogenase (ADH), and may be naturally occurring or commercially available, for example as described in WO2010/120300.

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The reducing agent may comprise hydrogen and a hydrogenation catalyst may be employed, for example Raney nickel, desirably employed at elevated pressure and temperature and catalysts comprising platinum, palladium, rhodium, iridium or ruthenium. Preferably the reducing agent employs a hydride transfer reagent. Examples of suitable reducing agents include complex metal hydrides for example, lithium aluminium hydride, lithium tetrahydridoaluminate, sodium bis (2-methoxyethoxy) aluminium hydride, sodium borohydride, nickel borohydride, other inorganic reducing agents, for example, sodium hydrosulphite, sodium tetrahydroborate and ruthenium hydrogenation catalysts known in the art, for example ruthenium hydride and rhodium hydrogenation catalysts known in the art, aluminium triisopropoxide, and organic reducing agents including a chiral borane, for example 2,5-dimethylborolane, borontrihydride:tetrahydrofuran or catlcholborane, and enzymes and cofactors, for example nicotinamide adenine dinucleotide (NADH) and nicotinamide adenine dinucleotide phosphate (NADPH). As desired a cofactor recycling system is suitably employed.

15

The reducing step is suitably carried out under reducing conditions. A solvent may be employed. The solvent may be anhydrous, for example diethyl ether or tetrahydrofuran, or may be carried out in polar protic solvent, for example water, alcohol and basic aqueous media, depending upon the reducing agent.

20

Preferably, the reducing step is carried out in aqueous solution and a moderately strong reducing agent is employed so as to ensure retention of the desired stereochemistry. Desirably, the temperature of the reducing step is controlled to avoid significant temperature rise, and is desirably carried out at a temperature below standard temperature, desirably under 10 °C, for example -5 to 3C.

Suitably, the reducing agent is contacted with the first portion slowly to avoid undue temperature rise. The reducing agent and first portion are suitably allowed to react over an extended period of time, for example at least 30 minute, preferably at least 1 hour, more preferably 1 to 20 hours, especially 4 to 10 hours. Upon completion of the reduction reaction

5 to the desired degree, the reaction may be quenched by addition of a quenching agent, for example by addition of acid, for example sulphuric acid and allowed to stand for a period of time, for example at least 1 hour, preferably 1 to 20 hours, for example overnight. Thereafter, the reaction mixture may be contacted with a removal agent, for example hydroxide and especially calcium hydroxide to remove salts of the reducing agent and quenching agent.

10

The butanediol produced from the first portion is then contacted with the second portion of the ester of (*R*) 3-hydroxybutanoate.

15 The transesterification is suitably carried out in the presence of a transesterification catalyst, for example an enzyme, acid or base. Suitable examples of enzymes include lipase, examples of suitable acids include mineral acids for example sulphuric acid and hydrochloric acid, examples of suitable bases include alkali metal hydroxides and alkali metal alkoxides.

20 Preferably, the transesterification reaction between the second portion and (*R*)-1,3-butanediol is carried out at elevated temperature, for example from 30 to 150 °C, particularly 40 to 100 °C.

This transesterification process may be carried out in a batch or continuous process.

25 Suitably the transesterification process is carried out for at least 1 hour, preferably 1 to 20 hours, for example 5 to 10 hours. Upon completion of the reaction to the desired degree, the product of the reaction may then be subjected to further treatment to remove catalyst, unreacted starting materials and by-products, for example by filtering, distillation or the like.

30 The invention will be illustrated by the following non-limiting examples.

#### Example 1

##### Transesterification step i)

35 A 5 gallon Parr reactor is charged with 12.5L (10kg) absolute ethanol and 2.5 kg poly (*R*)-3-hydroxybutanoate (Biocycle, Fazenda de Pedra, c Postal 02 CEP 14158-00, Serenaa, S.P. Brazil) and stirred for 2-5min to complete mixing after which 0.1 L concentrated sulfuric acid is added slowly to the mixture. The mixture is heated with a 300 °C/h ramp to 110°C and the

reactor held in soak mode for a total run time is 22 h . The unit is cooled to about 30°C using chilled water. After the temperature has fallen below 60°C, the digester is vented and purged with nitrogen to remove formed ether. An amount of base, equal to the equivalents of acid is added to the crude digest with stirring to neutralize the acid. Stirring is continued  
5 about 16 h after which the stirring is stopped and the solids left to settle. The liquid phase is siphoned off into a wiped film distillation apparatus and distilled in phases to remove first the ethanol and ethyl crotonate (a side product), and then the ethyl (R)-3-hydroxybutyrate. Ethanol/ethyl crotonate is distilled off over 3 passes generally at atmospheric pressure and band heater and pump flow rates of 120 & 5 L/h , 120 & 3L/h and 140 & 3L/h respectively.  
10 The ethyl (R) 3-hydroxybutyrate is distilled at 10 mmHg, band heater = 88 and feed rate 4 L/h. The primary chiller is set to 5 °C and the secondary chiller at -1 °C for all distillations. The trap is charged with dry ice and either acetone or IPA. When collecting the ethyl (R) 3-hydroxybutyrate, the residue from the first pass is recycled through the still to recover more product. The ethyl-(R)-3-hydroxybutyrate is assayed by GC-MS and NMR for purity.

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Reduction Step ii)

A heavy duty stainless steel stock pot is charged with 12L water and a portion of (3.49L) ethyl (R) 3-hydroxybutyrate. Both water and ester were previously chilled to 4 °C for at least 24 h. The stock pot is surrounded by ice, gassed with nitrogen and stirred. After about 1 h, 20 1Kg sodium borohydride is added in small aliquots to order to minimize temperature gain. Borohydride addition takes about 1 h and the temperature should be kept below 20 °C during the NaBH<sub>4</sub> addition. About 5 h after borohydride addition the reaction is quenched by slowly adding 745 ml concentrated sulfuric acid. The mixture is allowed to stand, with stirring overnight and the temperature rise to room temperature. The mixture is filtered, the 25 filtrate heated to 90°C and neutralized\* by adding calcium hydroxide with stirring. . After 2 hours mixture is cooled and filtered and the filtrate ionic strength reduced using ion exchange resins after which the solution is placed on a Buchi Rotovap and the bulk of the water removed. This leaves a viscous liquid assaying to > 10 M (R) 1,3-butanediol and containing 5-10% water. Remaining water is removed by nitrogen purge or distillation. The 30 purity is checked by enzymatic assay, GC-MS and NMR.

Transesterification using R-1,3-butanediol

A solution is prepared by combining and mixing 600ml of (R) 1,3-butanediol and 1200 ml of ethyl (R)-3-hydroxybutanoate in a stainless steel pan. A nylon mesh “tea bag” containing 35 lipase is laid in the solution and the pan is placed on a heating pad set to 40°C. The “tea bag” is sewn with lanes to keep the enzyme dispersed. The reaction is carried out under nitrogen with agitation. After 6 h the reaction is stopped by removing the “tea bag” and

collecting the solution. The solution is passed through a filter to remove any enzyme resin “fines” and collected. Once enough crude solution has been collected the solution is distilled sequentially to first degas and remove any remaining ethanol, then to remove ethyl (R)-3-hydroxybutanoate, (R) 1,3-butanediol and finally to collect the desired pure ketone ester, 5 (R)-3-hydroxybutyl (R)-3-hydroxybutyrate. Recovered ethyl (R)-3-hydroxybutanoate and (I) 1,3-butanediol are recycled in subsequent transesterification experiments. Crude solutions and still fractions are analyzed by GC-MS.

**CLAIMS**

1. A process for the production of *(R)*-3-hydroxybutyl *(R)*-3-hydroxybutyrate comprising:
  - 5 (i) contacting poly-*(R)*-3-hydroxybutyrate with an alcohol to transesterify the poly-*(R)*-3-hydroxybutyrate under transesterification conditions to produce an ester of *(R)*-3-hydroxybutyrate and the alcohol;
  - (ii) separating the product of step i) into a first and second portion and reducing the first portion of the *(R)* 3-hydroxybutyrate ester to form *(R)*-1,3-butanediol;
  - 10 (iii) contacting under transesterification conditions the *(R)*-1,3-butanediol from step ii) with the second portion of the transesterified ester to produce *(R)*-3-hydroxybutyl-*(R)*-hydroxybutanoate.
2. A process according to claim 1 wherein the poly-*(R)*-3-hydroxybutyrate is obtained from corn starch or sugar cane.
- 15 3. A process according to claim 1 or claim 2 wherein the poly-*(R)*-3-hydroxybutyrate is transesterified in step i) using ethanol.
4. A process according to any one of the preceding claims wherein the weight ratio of 20 alcohol to poly-*(R)*-3-hydroxybutyrate is from 1:1 to 10:1.
5. A process according to any one of the preceding claims wherein the step i) is carried out in acidic conditions.
- 25 6. A process according to any one of the preceding claims wherein the product of step i) is treated to neutralise the acid, remove the alcohol by distillation.
7. A process according to claim 6 wherein the distillation is carried out at a temperature of 110 °C to 150 °C.
- 30 8. A process according to any one of the preceding claims wherein the reduction in step ii) comprises reducing *(R)*-3-hydroxybutyrate ester using a hydride transfer reagent.
9. A process according to claim 8 wherein the reducing agent is selected from lithium aluminium hydride, sodium bis (2-methoxyethoxy) aluminium hydride, sodium borohydride, nickel borohydride.

# INTERNATIONAL SEARCH REPORT

International application No  
PCT/EP2014/055156

**A. CLASSIFICATION OF SUBJECT MATTER**  
 INV. C07C67/03 C07C29/147 C07C69/675 C12P7/62 C07C31/20  
 ADD.

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)  
 C07C C12P C07B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

EPO-Internal, WPI Data, CHEM ABS Data

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	WO 2010/021766 A1 (ISIS INNOVATION [GB]; US GOV HEALTH & HUMAN SERV [US]; CLARKE KIERAN [ ) 25 February 2010 (2010-02-25) cited in the application example 1 ----- MORI ET AL: "Pheromone synthesis. 100. New synthesis of both enantiomers of grandisol, the boll weevil pheromone", TETRAHEDRON, ELSEVIER SCIENCE PUBLISHERS, AMSTERDAM, NL, vol. 43, no. 10, 1 January 1987 (1987-01-01), pages 2229-2239, XP002106626, ISSN: 0040-4020, DOI: 10.1016/S0040-4020(01)86806-X figure 3 page 2230, paragraph 2 page 2235, paragraph 3 -----	1-9
Y		1-9



Further documents are listed in the continuation of Box C.



See patent family annex.

\* Special categories of cited documents :

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Date of the actual completion of the international search	Date of mailing of the international search report
21 May 2014	04/06/2014
Name and mailing address of the ISA/ European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Fax: (+31-70) 340-3016	Authorized officer  van Bergen, Marc

**INTERNATIONAL SEARCH REPORT**

## Information on patent family members

International application No

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Patent document cited in search report	Publication date	Patent family member(s)		Publication date
WO 2010021766	A1 25-02-2010	AU 2009283171	A1 25-02-2010	25-02-2010

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