

No. 01-

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IN THE  
**Supreme Court of the United States**

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NATIONAL GEOGRAPHIC SOCIETY,  
NATIONAL GEOGRAPHIC ENTERPRISES, INC.,  
AND MINDSCAPE, INC.,

*Petitioners,*

v.

JERRY GREENBERG AND IDAZ GREENBERG,

*Respondents.*

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**On Petition for Writ of Certiorari to the United States  
Court of Appeals for the Eleventh Circuit**

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**PETITION FOR WRIT OF CERTIORARI**

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## **QUESTIONS PRESENTED**

1. Whether a publisher's exact, image-based reproduction of a collective work in CD-ROM format infringes the copyrights of freelance contributors to that collective work.
2. Whether an applicant for a copyright registration perpetrates a "fraud" on the Copyright Office when the applicant discloses "the material . . . in which copyright is claimed," as the Copyright Office requires, and the Copyright Office itself insists that the applicant provided full disclosure.

**PARTIES TO THE PROCEEDING  
AND CORPORATE DISCLOSURE STATEMENT**

Petitioners National Geographic Society, National Geographic Enterprises, Inc., and Mindscape, Inc., were defendants/appellees below. Petitioner National Geographic Society is a not-for-profit membership organization. Petitioner National Geographic Enterprises, Inc. (now named National Geographic Holdings, Inc.) is a wholly owned subsidiary of NGV, Inc., which in turn is a wholly owned taxable subsidiary of petitioner National Geographic Society. Petitioner Mindscape, Inc. (now incorporated under the name Mindscape LLC) is wholly owned by Mindscape Holdings LLC, and no publicly held company owns 10% or more of its stock.

Respondents Jerry and Idaz Greenberg were plaintiffs/appellants below.

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## INTRODUCTION

This case is about the preservation of collective works (including magazines, newspapers, and encyclopedias) for the education and entertainment of future generations. The Copyright Act grants freelance authors the copyrights in their individual contributions to collective works, but grants the publishers of such works a privilege to reproduce such contributions “as part of [1] that particular collective work, [2] any revision of that collective work, and [3] any later collective work in the same series.” 17 U.S.C. § 201(c). As this Court recently recognized, that provision strikes a fundamental balance between the rights of authors and publishers: a publisher may not exploit an individual freelance contribution outside the context of the collective work, but may reproduce the collective work itself in a new medium. *New York Times Co. v. Tasini*, 121 S. Ct. 2381, 2391-92 (2001).

In this case (decided before *Tasini*), however, the Eleventh Circuit effectively wrote this privilege out of the United States Code. At issue here is “The Complete National Geographic” (CNG), a thirty-disc CD-ROM set reproducing each monthly issue of *National Geographic* magazine from 1888 through 1996. Every page of every issue remains as it was in the original print version, including *all* page arrangements, stories, photographs, graphics, advertising, and attributions. A user thus encounters all freelance contributions (in the words of the *Tasini* Court) in “the context provided . . . by the original periodical editions.” 121 S. Ct. at 2390-91. The conversion to CD-ROM format “represent[s] a mere conversion of intact periodicals (or revisions of periodicals) from one medium to another.” *Id.* at 2392.

The Eleventh Circuit nonetheless held that Section 201(c) did not apply because the CNG is a “new collective work,” and, in the court’s view, the creation of a new collective work necessarily defeats the statutory reproduction privilege. App. 9a-13a. That is simply incorrect. Section 201(c) allows a publisher to reproduce a freelance contribution in the “particular collective work” to which the author contributed, or “any revision of that collective work,” regardless of whether

the publisher thereby creates a “new” and larger collective work. That is precisely why, as the *Tasini* Court emphasized, Section 201(c) authorizes the reproduction of a paperbound collective work in the different media of microfilm or microfiche, even though “the microfilm roll contains multiple editions.” 121 S. Ct. at 2391. As long as each individual contribution remains in its “original context,” the publisher has not infringed the author’s copyright. *Id.*

It is hard to overstate the practical consequences of the decision below. Rather than preserving a balance between the author’s copyright in an individual contribution and a publisher’s copyright in the collective work as a whole, the decision gives freelancers the power to stop publishers from creating electronic archives of their collective works. As a practical matter, no publisher could create such an archive if exact, image-based reproductions of past issues were to violate freelancers’ copyrights. Thus, if allowed to stand, the decision below would prevent publishers, including National Geographic, from creating and preserving electronic archives for the benefit of history and unknown generations of individuals, students, and scholars. That result turns Section 201(c)—and *Tasini*—upside down.

And the Eleventh Circuit was not content merely to strip National Geographic of its statutory reproduction privilege. In addition, the court accused the Society of having “perpetrated a fraud on the Copyright Office,” by having “failed to indicate” the existence of the CD-ROM’s computer program when registering the CNG. That accusation is manifestly incorrect, because the Copyright Office requires an applicant in a multimedia work like the CNG to set forth “all the new copyrightable authorship *that is the basis of the present registration*,” and the Society never claimed authorship of the computer program. That may explain why this issue was never briefed or argued until the Eleventh Circuit *sua sponte* launched the accusation in its opinion. What remains unexplained (and inexplicable), however, is the Eleventh

Circuit's refusal to correct this error, even after it was brought to the court's attention on rehearing, and even after *the Copyright Office itself* explained that the court had misconstrued its disclosure requirements. This Court should not allow the lower courts thus to besmirch a litigant's reputation, and to disregard a federal agency's interpretation of its own rules of practice and procedure.

### OPINIONS BELOW

The Eleventh Circuit's "corrected" opinion is reported at 244 F.3d 1267 and reprinted in the Appendix ("App.") at 1a-21a. That opinion reflects a number of changes made by the Eleventh Circuit while the petition for rehearing was pending. For this Court's convenience, the passages of the original opinion omitted from the "corrected" opinion are indicated with ~~strikeout text~~, App. 16a, and the passage added to the "corrected" opinion is indicated with highlighted text, *see id.* The unreported order denying the petition for rehearing and rehearing *en banc* is reprinted at App. 22a-23a. The district court's unpublished order and opinion granting petitioners' motion for summary judgment is reprinted at App. 37a-44a.

### JURISDICTION

The Eleventh Circuit entered judgment on March 22, 2001. Petitioners timely filed a petition for rehearing and rehearing *en banc*, which was denied on June 8, 2001. App. 22a-23a. This Court has jurisdiction pursuant to 28 U.S.C. § 1254(1).

### PERTINENT STATUTORY PROVISION

Section 201(c) of the Copyright Act provides:

Copyright in each separate contribution to a collective work is distinct from copyright in the collective work as a whole, and vests initially in the author of the contribution. In the absence of an express transfer of the copyright or of any rights under it, the owner of copyright in the collective work is presumed to have acquired only the privilege



of reproducing and distributing the contribution as part of [1] that particular collective work, [2] any revision of that collective work, and [3] any later collective work in the same series.

17 U.S.C. § 201(c).

### STATEMENT OF THE CASE

Petitioner National Geographic Society is the world's largest nonprofit scientific and educational organization, with approximately ten million members worldwide. The Society engages in promoting and funding scientific research, exploration, and grants for geography education, and has given more than 7,000 grants for scientific research. Since its founding in 1888, the Society has published a monthly official journal, *National Geographic* magazine.

For many years, the Society has reproduced back issues of the magazine in bound volumes, microfiche, and microfilm. With the advent of CD-ROM technology in recent years, the Society in 1997 produced "The Complete National Geographic" (CNG), a thirty-disc CD-ROM set containing each monthly issue of the magazine for the 108 years from 1888 through 1996. App. 3a. The issues appear chronologically, from the earliest at the beginning of the first disc to the latest at the end of the thirtieth disc. There are no changes to the content, format, or appearance of any issue reproduced in the CD-ROM set. *Id.* at 4a. Every page of every issue remains as it was in the original print version, including all page arrangements, articles, photographs, graphics, advertising, and attributions. *Id.*

The CNG, like any other CD-ROM product, also contains a computer program. *Id.* at 4a-5a. That program not only compresses and decompresses the images, but also allows the user to search an electronic version of *National Geographic's* traditional subject, title, and author-based index. *Id.* An article, once retrieved through the search function, appears just as it did in the original paperbound magazine, with all of the

surrounding materials from the original magazine. The program does not provide a means for the user to separate the photographs from the text or otherwise to edit the pages in any way. *Id.* at 4a.

Whenever a CNG disc is inserted into a CD-ROM drive, it automatically launches an introductory sequence of ten past covers of the magazine that fade into one another. *Id.* at 3a-4a. This “moving covers” sequence, which is accompanied by music and sound effects, lasts for 25 seconds. *Id.* Following the initial installation, a user can stop the moving covers sequence at any time with the click of a button.

After placing the CNG on the market, the Society obtained a copyright registration for the product from the United States Copyright Office. Under settled law and practice, that Office considers a CD-ROM like the CNG to be a “multimedia work.” As relevant here, an applicant for a copyright in such a work must “[g]ive a brief, general statement of the material that has been added to this work *and in which copyright is claimed.*” *Id.* at 12a (emphasis added). Accordingly, the Society claimed a copyright in the “[b]rief introductory audiovisual montage.” *Id.* The Copyright Office registered the CNG copyright effective July 14, 1998. *Id.* at 18a.

Respondent Jerry Greenberg is a freelance photographer whose pictures were published in the January 1962, February 1968, May 1971, and July 1990 issues of *National Geographic* magazine. *Id.* at 2a-3a. Greenberg’s photograph of a diver appeared on the cover of the January 1962 issue, and that cover was one of the ten “moving covers” in the CNG’s introductory sequence. *Id.* at 3a-4a.

Greenberg and his wife, respondent Idaz Greenberg, filed this lawsuit in December 1997, alleging that the Society’s reproduction of his photographs in the CNG infringed their copyrights. (Respondents did not dispute that the Society was entitled to publish Greenberg’s photographs in *National Geographic* magazine in the first instance.) The lawsuit named

as defendants not only the Society, but also its subsidiary, petitioner National Geographic Enterprises, Inc., which developed the CNG product, and petitioner Mindscape, Inc., which distributed the product. *Id.* at 6a. Respondents alleged that the liability of these latter defendants was “at least vicarious.” *Id.* at 7a n.6.

Petitioners moved for summary judgment on the ground that Section 201(c) of the Copyright Act authorizes the publisher of a collective work like *National Geographic* magazine to reproduce that collective work in a new medium like CD-ROM. The district court (Lenard, J., S.D. Fla.) granted the motion, because “th[e] original selection and arrangement” of the print magazine “is preserved in The Complete National Geographic.” *Id.* at 42a. The court specifically rejected respondents’ argument that “the image display and Society logo at the beginning of each disc, the credit display at the end of each disc, and Society’s selection of one edition of the many editions of the magazine, render The Complete National Geographic more than trivially different from [the print] magazines.” *Id.* at 42a-43a. The court did not reach petitioners’ separate argument that the use of the January 1962 cover in the “moving covers” sequence was either *de minimis* or fair use. *See id.* at 43a n.\*.

The Eleventh Circuit reversed. The court began its analysis by noting that Section 201(c) grants publishers “only a privilege, not a right,” and asserting that the privilege must be “narrowly constr[ue]d” when balanced against the author’s rights. *Id.* at 9a. The court then held that Section 201(c) does not allow petitioners to reproduce back issues of *National Geographic* magazine in the CNG, because the CNG itself is a “new” collective work. *Id.* at 9a-13a. The court made no effort to tie that holding to the language of the statute, which nowhere states that the privilege does not apply to “new” collective works. Instead, the court relied entirely on a passage in the legislative history that “the publisher could not revise the contribution itself or include it in a new anthology or an

entirely different magazine or *other collective work*.” *Id.* at 10a (quoting H.R. Rep. No. 94-1476, at 122-23 (1976)) (emphasis added by the court). According to the court, “in creating a new work the Society forfeited any privilege that it might have enjoyed” under Section 201(c). App. 12a-13a (emphasis and footnote omitted). The court separately held that the use of the January 1962 cover in the “moving covers” sequence was neither *de minimis* nor fair use, and thus additionally infringed respondents’ copyright in the cover photograph. *Id.* at 13a-16a.

The Eleventh Circuit buttressed its conclusion that CNG was a “new” collective work by noting that the Society had “registered its claim of copyright in the CNG” with the Copyright Office. *Id.* at 11a. The court then focused on the Society’s registration application, and especially on the subpart requesting “a brief, general statement of the material that has been added to this work *and in which copyright is claimed*.” *Id.* at 12a (emphasis added). As the court noted, the Society responded to that request by stating “Brief introductory audiovisual montage.” *Id.* The court then faulted the Society for having “failed to indicate the . . . critical . . . element of the new work, the [computer] Program,” *id.* at 12a n.13—*even though the Society never claimed a copyright in that program*. Indeed, the court accused the Society of thereby “perpetrat[ing] a fraud on the Copyright Office.” *Id.* The court attached the Society’s copyright registration application as an appendix to its published opinion. *Id.* at 18a-19a.

The court concluded by ordering the entry of judgment in respondents’ favor. *Id.* at 16a. In addition, the court declared respondents to be the “prevailing part[ies]” on appeal, and “therefore . . . entitled to an award of costs and attorneys fees.” *Id.*

Petitioners then filed a petition for rehearing and rehearing *en banc*, noting among other things that this Court was currently considering the correct interpretation of Section 201(c) in *Tasini*. The petition also noted that the court’s

accusation of “fraud on the Copyright Office” was baseless, because the computer program was not “material . . . *in which copyright is claimed*” by the Society. *Id.* at 12a (emphasis added). Finally, the petition noted that the reversal of summary judgment in petitioners’ favor did not automatically entitle respondents to judgment in their favor, and that in any event even “prevailing parties” in copyright cases are not automatically entitled to attorneys’ fees under *Fogerty v. Fantasy, Inc.*, 510 U.S. 517 (1994).<sup>1</sup>

Several weeks after the petition was filed, the Eleventh Circuit *sua sponte* issued a “corrected” opinion (backdated to the date of the original opinion) deleting the direction to enter judgment and award attorneys’ fees in respondents’ favor. App. 16a. The court, however, did not dispose of the pending petition for rehearing and rehearing *en banc*.

Petitioners promptly filed a letter amending the pending petition by withdrawing those portions rendered moot by the subsequent “corrected” opinion. Petitioners also attached a letter they had received from the Copyright Office disputing the Eleventh Circuit’s conclusion that National Geographic had committed “fraud” in its CNG registration application. Respondents moved to strike petitioners’ letter and the attached letter from the Copyright Office. Even before petitioners’ time to respond to that motion had expired, the court granted the motion. App. 36a.

On June 8, 2001, while *Tasini* remained pending in this Court, the Eleventh Circuit denied the petition for rehearing and rehearing *en banc*. App. 22a-23a. This petition follows.

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<sup>1</sup> A number of publishers, including the Magazine Publishers of America, Inc., the Newspaper Association of America, Inc., Gannett Co., Inc., Hachette Filipacchi Magazines, Inc., The New York Times Company, Time Inc., Times Mirror Co., and Tribune Company, timely moved for leave to file an *amicus* brief in support of the petition for rehearing and rehearing *en banc*. The court, however, denied the motion without explanation. App. 24a.

## REASONS FOR GRANTING THE WRIT

### I. THE ELEVENTH CIRCUIT ERRED, AND CREATED A CONFLICT WITH THIS COURT'S SUBSEQUENT DECISION IN *TASINI*, BY HOLDING THAT A PUBLISHER'S EXACT, IMAGE-BASED REPRODUCTION OF A COLLECTIVE WORK IN CD-ROM FORMAT INFRINGES THE COPYRIGHTS OF FREELANCE CONTRIBUTORS.

This is a straightforward case of statutory interpretation. The Copyright Act grants publishers of collective works a privilege to reproduce freelance contributions as part of the "particular collective work" to which the freelancers contributed, 17 U.S.C. § 201(c), and that is just what National Geographic has done here. The CNG provides an exact, image-based reproduction of each issue of *National Geographic* magazine in CD-ROM format, so that (as the Eleventh Circuit acknowledged) "[w]hat the user of the CNG sees on his computer screen . . . is a reproduction of each page of the Magazine that differs from the original only in the size and resolution of the photographs and text." App. 4a. Because "[e]very cover, article, advertisement, and photograph appears as it did in the original paper copy of the Magazine," *id.*, National Geographic has simply reproduced freelance contributions in a new medium as part of the "particular collective work" to which the freelancers contributed—or, at least, as part of "any revision of that collective work." 17 U.S.C. § 201(c). That is the beginning and the end of this case.

This Court's opinion in *Tasini* confirms this straightforward analysis. At issue in *Tasini* was the reproduction of individual freelance contributions in three electronic databases: (1) LEXIS/NEXIS, (2) the New York Times OnDisc (NTYO), and (3) General Periodicals OnDisc (GPO). 121 S. Ct. at 2385-86. The Court held that such reproduction fell outside the scope of Section 201(c) because in each database "each article is presented to, and retrievable by, the user in isolation, clear of the context the original print publication presented." *Id.* at

2384. With respect to LEXIS/NEXIS and NYTO, both of which store individual articles from collective works in text-only format, "an article appears to a user without the graphics, formatting, or other articles with which the article was initially published." *Id.* at 2391. And with respect to GPO, which stores individual articles from collective works in image-based format, "the article appears with the other materials published on the same page or pages, but without any material published on other pages of the original periodical." *Id.*

*Tasini* confirms, however, that with respect to a product like the CNG, which includes an exact, image-based reproduction of *every page* of a particular collective work, the Section 201(c) privilege applies. In this situation, each freelance contribution is "presented to, and perceptible by, the user" of the product in its "original context" as "part of the collective work to which the author contributed." 121 S. Ct. at 2390-92. Indeed, the *Tasini* Court went out of its way to note that the reproduction of a collective work in microfilm or microfiche *does* qualify for the privilege. As the Court explained, "articles appear on the microforms, writ very small, in precisely the position in which the articles appeared in the newspaper." *Id.* at 2391. Although "the microfilm roll contains multiple editions, and the microfilm user can adjust the machine lens to focus only on [an] Article, to the exclusion of surrounding material," the dispositive fact remains that the user "encounters the Article in context." *Id.* In this critical regard, the CNG is indistinguishable from microfilm or microfiche.

Indeed, the *Tasini* Court specifically reaffirmed the bedrock principle that the Copyright Act is media-neutral, and "the transfer of a work between media does not alter the character of that work for copyright purposes." *Id.* at 2392 (internal quotation and brackets omitted). Thus, a publisher is entitled to reproduce collective works in new media, as long as it reproduces "intact periodicals," not "individual articles." *Id.* That is why the "crucial fact" in *Tasini* was that "the Databases . . . store and retrieve articles *separately* within a vast domain

of diverse texts,” rather than leaving the articles within the context of the particular collective works to which the authors contributed. *Id.* at 2393 (emphasis added). The privilege turns on the preservation of the integrity of the original collective work, not the technology of the medium of reproduction.

The Eleventh Circuit, however, applied an entirely different—and erroneous—analysis. Rather than focusing on whether the CNG presents freelance contributions to users in the “original context” of “the collective work to which the author contributed,” *Tasini*, 121 S. Ct. at 2390-92, the court focused instead on whether the CNG itself could be characterized as a “new” collective work, App. 9a-13a. Thus, while acknowledging that “[e]very cover, article, advertisement, and photograph appears as it did in the original paper copy of the Magazine,” *id.* at 4a, the court concluded that Section 201(c) did not apply because the CNG itself was a “new” collective work. According to the Eleventh Circuit, the crucial fact here is that the CNG includes not only reproductions of past issues of *National Geographic* magazine, but also an independently copyrightable introductory sequence and computer program. *Id.* at 9a-10a. The addition of these elements of originality, the court asserted, rendered the CNG itself a “new” collective work outside the scope of Section 201(c). *Id.* at 9a-13a. Indeed, the court attempted to distinguish the CNG from microfilm and microfiche by asserting that the computer programs necessary to run a CD-ROM “are themselves the subject matter of copyright, and may constitute original works of authorship.” *Id.* at 11a n.12.

The Eleventh Circuit’s focus on whether the CNG is a “new” collective work with independently copyrightable features is flatly inconsistent with *Tasini*. The *Tasini* Court, as noted above, framed the inquiry under Section 201(c) on how “the Articles [are] presented to, and perceptible by, the user of the Databases.” 121 S. Ct. at 2390 (emphasis added); *see also id.* at 2391 n.9 (“This case . . . is about what is presented to the general public in the Databases.”). As long as the user



perceives individual freelance contributions as a part of the particular collective work to which the freelancers contributed, it is immaterial whether the publisher has created a "new" work with independently copyrightable features. As the Eleventh Circuit itself acknowledged, a user typically does not know or care about the existence of an independently copyrightable computer program. See App. 12a n.13.

Indeed, if the creation of a "new" collective work with independently copyrightable elements were legally dispositive, this Court's analysis in *Tasini* was all wrong and gratuitous. All three databases at issue in *Tasini* (LEXIS/NEXIS, NYTO, and GPO) include computer programs that, like the CNG's computer program, are independently copyrightable. 121 S. Ct. at 2385-86. Each of these databases, thus, could be characterized as a "new" collective work under the Eleventh Circuit's analysis. But the *Tasini* Court never suggested that this point was dispositive. To the contrary, the Court gave this point *no weight whatsoever* in its legal analysis. Rather, as noted above, the *Tasini* Court focused on the entirely different question whether the databases presented individual freelance contributions to the user in "isolation," or instead in "the context the original print publication presented." *Id.* at 2384; see also *id.* ("The publishers are not sheltered by § 201(c), we conclude, *because the databases reproduce and distribute articles standing alone and not in context.*") (emphasis added).

The Eleventh Circuit's focus on the existence of independently copyrightable elements in the CNG (rather than the perceptions of the end user) also violates the bedrock principle of media-neutrality specifically reaffirmed in *Tasini*. The reproduction of a collective work in new media will almost invariably entail the addition of some independently copyrightable element, such as a computer program. Indeed, the very advantages of new media (including, but not limited to, CD-ROM) often consist of independently copyrightable features. Thus, one of the reasons that CD-ROM is such a powerful medium is that its copyrightable computer program

compresses images (allowing the reproduction of vast quantities of information in a limited space), and performs an electronic search function. If the presence of such a program were sufficient to defeat the privilege, then Section 201(c) would *never* permit the reproduction of collective works in CD-ROM or other electronic media. But a “particular collective work” does not cease to be a “particular collective work” just because it is reproduced in a new medium that includes independently copyrightable elements. The Copyright Act is not a Luddite law, and does not prevent publishers from using technological advances to reproduce their collective works in new media.

Indeed, the Eleventh Circuit’s analysis would prevent a publisher like National Geographic from reproducing a collective work even in “old” media (such as microfilm and microfiche) because these media too include independently copyrightable elements, such as an introductory page and a subject, title, and author-based index. As noted above, however, the *Tasini* Court specifically recognized that Section 201(c) allows publishers to reproduce their collective works in these media. As long as individual freelance contributions are presented to the user in the context of the original collective work, the addition of intellectual property in any particular medium of reproduction is immaterial.

At bottom, the Eleventh Circuit’s analysis ignores the fundamental balance struck by Section 201(c) and reaffirmed in *Tasini*. That provision “accommodate[s]” the author’s copyright in an *individual* work and the publisher’s copyright in the *collective* work. 121 S. Ct. at 2389; *see also* H.R. Rep. No. 94-1476, at 122-23 (1976) (Section 201(c) “represents a fair balancing of equities” between authors and publishers). Indeed, the publishers’ privilege to reproduce its collective work is the “essential counterpart” to the authors’ copyright in their individual contributions. *Id.* The Eleventh Circuit’s analysis, however, is based on the premise that the publishers’ privilege is to be “narrowly constru[ed]” as against “the

constitutionally-secured rights of the author/contributor,” App. 9a—a premise not only absent from *Tasini*, but affirmatively inconsistent with the fundamental balance reaffirmed in that decision. By holding that a publisher violates a freelancer’s copyright by reproducing an entire *collective* work in any format that includes new elements of originality, the Eleventh Circuit missed the whole point of the statute.

The Eleventh Circuit’s analysis and holding are not only inconsistent with *Tasini*, but wholly unrooted in the statutory text. As noted above, the statute specifically authorizes publishers to reproduce freelance contributions as part of the “particular collective work” to which the freelancer contributed, or “any revision of that collective work.” 17 U.S.C. § 201(c). The statute nowhere says that this privilege does not apply with respect to reproductions that include independently copyrightable elements. The Eleventh Circuit did not suggest otherwise; to the contrary, the court based its analysis and holding entirely on a passage in the legislative history. (Indeed, the court attached the legislative history as an appendix to its opinion, App. 20a-21a.)

As an initial matter, the Eleventh Circuit’s approach to statutory interpretation is itself erroneous, because legislative history is a tool for resolving statutory ambiguity, not a substitute for statutory text. *See, e.g., Shannon v. United States*, 512 U.S. 573, 583-84 (1994) (“[C]ourts have no authority to enforce a principle gleaned solely from legislative history that has no statutory reference point.”) (internal quotation and brackets omitted). And, even more to the point, the cited passage from the legislative history does not support the Eleventh Circuit’s conclusion.

The court relied on the following passage from the legislative history:

The basic presumption of section 201(c) is fully consistent with present law and practice, and

represents a fair balancing of equities. At the same time, the last clause of the subsection, under which the privilege of republishing the contribution under certain limited circumstances would be presumed, is an essential counterpart of the basic presumption. Under the language of this clause a publishing company could reprint a contribution from one issue in a later issue of its magazine, and could reprint an article from a 1980 edition of an encyclopedia in a 1990 revision of it; *the publisher could not* revise the contribution itself or *include it in* a new anthology or *an* entirely different magazine or *other collective work*.

App. 10a (quoting H.R. Rep. No. 94-1476, at 122-23 (1976)) (emphasis added by the court).

According to the Eleventh Circuit, these italicized words from the legislative history mean that the publisher of an "other collective work" (*i.e.*, a "new" collective work) necessarily loses the privilege. That is simply not true. To the contrary, the passage underscores the importance of the publisher's privilege (the "essential counterpart" to the author's copyright), and provides two examples of what publishers can and cannot do within the scope of that privilege. According to the passage, Section 201(c) allows a publisher to (1) "reprint a contribution from one issue in a later issue of its magazine," and (2) "reprint an article from a 1980 edition of an encyclopedia in a 1990 revision of it," but does not allow the publisher to (1) "revise the contribution itself," or (2) "include it in a new anthology or an entirely different magazine or other collective work."

The Eleventh Circuit seized on the last three words of this passage ("other collective work") to conclude that the statute does not allow a publisher to reproduce a freelance contribution in a new (and independently copyrightable) collective work, even where (as here) that collective work includes an exact image-based reproduction of the original

collective work. But that is not what the passage says. To the contrary, both of the examples of what a publisher *can* do entail the creation of new (and independently copyrightable) collective works: the publication of “a later issue of its magazine,” and the publication of a new edition of an encyclopedia.

That a publisher cannot reproduce an individual freelance contribution in a “new anthology” or “an entirely different magazine or other collective work” simply means (in the words of the statute) that the publisher cannot *remove* the contribution from the “particular collective work” in which it originally appeared. A freelance contribution to *National Geographic* magazine, for example, cannot be reproduced in *The New Yorker*, the Encyclopedia Britannica, or a collection of articles on a particular topic. Contrary to the Eleventh Circuit’s conclusion, the passage does not remotely suggest that a publisher cannot include a “particular collective work” in its *entirety* in a new (and independently copyrightable) collective work. The creation of a new collective work (whether or not copyrightable or copyrighted in its own right) is simply not inconsistent with the preservation of the “particular collective work” in which an individual freelance contribution originally appeared. One collective work can form part of another, just as a Sunday magazine forms part of a Sunday newspaper. Thus, a publisher is free to reproduce a “particular collective work” or “any revision of that collective work” in new media (such as microfilm, microfiche, or CD-ROM), regardless of whether the resulting product is itself characterized as a “new” collective work through the addition of new, original elements.

Accordingly, the Eleventh Circuit erred by focusing on whether the CNG itself is a “new” collective work rather than focusing on whether the CNG exploits any individual freelance contribution outside the context of the original collective work. Because the Eleventh Circuit asked the wrong question, it reached the wrong answer. The Section 201(c) privilege

applies here because the CNG preserves intact the integrity of the original print versions of *National Geographic* magazine.<sup>2</sup>

The practical consequences of the Eleventh Circuit's error are enormous. On the most direct level, the decision makes it impossible for publishers to create archives of their collective works in CD-ROM format, because the inevitable addition of independently copyrightable material (such as a computer program) necessarily defeats the privilege. Because it is impossible as a practical matter for those publishers (like National Geographic) that have already created CD-ROM archives of their collective works to reach retroactive license agreements with all of their past freelance contributors, the only solution for such publishers is to withdraw their CD-ROM products from the market. Needless to say, the destruction of a valuable historical archive like the CNG, which has allowed countless persons easy, quick, and inexpensive access to collective works, harms not only National Geographic, but also unknown generations of individuals, students, and scholars.<sup>3</sup>

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<sup>2</sup> The Eleventh Circuit also erred by rejecting petitioners' distinct argument that the use of respondents' January 1962 cover photograph in the introductory montage was permissible under the fair use and *de minimis* doctrines. See App. 13a-16a. That rejection was expressly based in part on the court's conclusion that the "moving covers" sequence was "an integral part of a larger, new collective work" outside the scope of Section 201(c). App. 14a. Accordingly, the court's erroneous interpretation of Section 201(c) necessarily infected its fair use and *de minimis* analysis as well, and review of the former issue warrants review of the latter.

<sup>3</sup> Indeed, the CNG is presently sold at retail for less than \$100, and grants a user access to all back issues of *National Geographic* magazine (which, in paperbound form, take up an entire room) on thirty discs. The same collection on microfilm, in contrast, takes up 170 rolls of film, and currently sells for \$37,000. And a set of 717 microfiche cards reproducing all issues of the magazine since 1978 currently sells for approximately \$3,000. Not surprisingly, very few (if any) individuals buy microfilm or microfiche (or the expensive machines necessary to read them) for home use—in sharp contrast to CD-ROM, which is ideal for home use on a personal computer.

And the consequences of the Eleventh Circuit's error are by no means limited to the CD-ROM context. Rather, by holding Section 201(c) inapplicable whenever a collective work is reproduced in a medium that includes independently copyrightable elements, the court essentially rendered the privilege a dead letter for *all* purposes. If an exact, image-based reproduction of a collective work like the CNG violates freelancers' copyrights, then publishers are essentially precluded from reproducing their collective works in *any* new media. That result is especially perverse in an age of rapid technological development, which allows collective works to be stored, retrieved, and searched in new ways that make access to such works more broadly, easily, and inexpensively available to all. And that result, needless to say, undermines copyright's constitutional goal of "promot[ing] the Progress of Science and useful Arts." U.S. Const. art. II, § 8, cl. 8.

Accordingly, as in *Tasini*, this Court should grant *certiorari* to address this issue of such great legal and practical importance. At the very least, the Court should grant *certiorari*, vacate the decision below, and remand for the Eleventh Circuit to reconsider its decision in light of this Court's subsequent decision in *Tasini*.

**II. THE ELEVENTH CIRCUIT ERRED BY HOLDING THAT AN APPLICANT FOR A COPYRIGHT REGISTRATION PERPETRATES A "FRAUD" ON THE COPYRIGHT OFFICE WHEN THE APPLICANT DISCLOSES ALL THE INFORMATION THAT THE COPYRIGHT OFFICE REQUIRES.**

The Eleventh Circuit separately erred by accusing National Geographic of having "perpetrated a fraud" on the Copyright Office when applying for the CNG's copyright registration. App. 12a n.13. This is not some arcane error of law, but a fundamental "depart[ure] from the accepted and usual course of judicial proceedings," S. Ct. R. 10(a): the accusation is of the utmost gravity, and manifestly erroneous. This Court

should not allow the lower courts to besmirch a litigant's reputation with impunity, especially a litigant like the National Geographic Society, a not-for-profit organization whose very existence depends in large measure on the continued support of its members and benefactors.

As noted above, the Eleventh Circuit concluded that the CNG was a "new" collective work based on the existence of the moving covers sequence and the computer program. App. 9a-13a. The court then noted that "[t]his analysis is totally consistent with the conduct of the Society when it registered its claim of copyright in the CNG," *id.* at 11a, because such registration necessarily presupposes the addition of some element of originality. The court then embarked on a frolic and detour through National Geographic's registration application, which it attached as an appendix to its published decision. In particular, the court focused on "section '6,' subpart 'b,' which requested, 'Material added to this work. Give a brief, general statement of the material that has been added to this work *and in which copyright is claimed.*'" App. 12a (emphasis added). In response, the court noted, "the Society wrote 'Brief introductory audiovisual montage.'" *Id.*

Seizing on this answer, the court asserted that "the Society failed to indicate the third, and critical, element of the new work, the [computer] Program." *Id.* at 12a n.13; *see also id.* at 5a ("No reference was made to, nor was there any disclosure of, the copyrightable Mindscape Program or the two pre-existing, copyrightable sub-programs that it incorporates, all of which are also components of the CNG."). The court then accused the Society of having "perpetrated a fraud on the Copyright Office"—albeit, "[g]iving the Society the benefit of the doubt," perhaps "not . . . intentionally." *Id.* at 12a n.13. (A most curious accusation, given that fraud is an intentional tort. *See, e.g.,* 37 C.J.S. Fraud § 28 (1997).)

The Eleventh Circuit's accusation of "fraud on the Copyright Office" is manifestly erroneous. (One reason for this error may be that this issue was never briefed or argued by



any of the parties prior to the court's decision, and the court never solicited the views of the Copyright Office.) As explained by the very registration form that the Eleventh Circuit quoted and published, subpart 6(b) requires the applicant to list only "the material that has been added to this work *and in which copyright is claimed.*" App. 12a (emphasis added); *see also* Copyright Registration for Multimedia Works 4 (1999), available online at [www.loc.gov/copyright/circs/circ55.pdf](http://www.loc.gov/copyright/circs/circ55.pdf) (instructing an applicant to fill out subpart 6(b) by "[b]riefly describ[ing] all the new copyrightable authorship *that is the basis of the present registration*") (emphasis added); *id.* at 2 (noting that "[a] separate registration is required . . . for any element of a multimedia kit that is . . . claimed by someone other than the copyright claimant for the other elements"). Because National Geographic did not claim a copyright in the computer program, it was neither necessary nor appropriate for National Geographic to refer to that program in that subpart.

Petitioners brought this error to the Eleventh Circuit's attention in their petition for rehearing and rehearing *en banc*. Several weeks later, while that petition remained pending, National Geographic received a detailed letter from the General Counsel of the Copyright Office confirming National Geographic's interpretation of the registration application. App. 27a-35a. The letter explains that the court's accusation of fraud on the Copyright Office is "based on a misunderstanding of copyright registration practices," and that "there can be no question of any attempt to perpetrate a fraud on the Copyright Office, and the court's speculation in footnote 13 of the opinion is inconsistent with the Copyright Office registration record for this particular work." App. 35a, 31a; *see also id.* at 27a ("[T]he court's remarks about the National Geographic Society's possible fraud on the Copyright Office appear to reveal a misunderstanding of Copyright Office registration practices."); *id.* at 28a ("[W]e find that the National Geographic Society's application complied with the Office's requirements for registration, and that there is no reason to

conclude that the application misled the Office in any way.”); *id.* at 34a (“The National Geographic Society had no obligation to disclose or assert a copyright claim in the software.”).<sup>4</sup>

National Geographic immediately forwarded the Copyright Office letter to the Eleventh Circuit. *Id.* at 25a-26a. Respondents, however, moved to strike the filing. Even before the expiration of petitioners’ time to respond to the motion, the court granted the motion. *Id.* at 36a. Several weeks later, the court denied the pending petition for rehearing and rehearing *en banc* without deleting or otherwise modifying the accusation of fraud on the Copyright Office.

This Court should not allow the Eleventh Circuit’s baseless accusation on a matter of such gravity to stand. It is bad enough that the court *sua sponte* accused National Geographic of having “perpetrated a fraud on the Copyright Office,” App. 12a n.13, when the very registration application quoted by the court makes it perfectly clear that only material “in which copyright is claimed” need be set forth, *id.* at 12a. But it is another thing altogether for the court to refuse to correct such a manifest error once brought to its attention, especially where—as here—the court’s analysis is disputed by the very federal agency against which the court deemed the “fraud” to have been perpetrated. Congress entrusted the complex responsibility of administering copyright registration procedures to the Copyright Office, not the Eleventh Circuit. Neither litigants nor federal agencies should be subject to such judicial caprice.

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<sup>4</sup> Indeed, the Copyright Office explained that it is self-understood that “when works of authorship embodied in CD-ROM format are submitted for registration, computer programs may be included on the same CD-ROM, and that use of those computer programs may be necessary in order for a user to gain access to the work of authorship in which copyright is claimed.” App. 32a. Accordingly, “it is not necessary in such cases that the application for copyright registration include a claim of copyright in the software.” *Id.*

The Eleventh Circuit's holding merits this Court's review because the decision below is misleading, confusing, and leaves copyright registration applicants in the dark about what to disclose. Under the Eleventh Circuit's view, an applicant for a copyright registration in a multimedia work *must* include a copyrightable computer program in its application, even if the applicant makes no claim to the copyright; under the Copyright Office's view, the applicant *cannot* include such a program if the applicant does not claim the copyright. *See, e.g.*, Copyright Registration for Multimedia Works 2 ("A separate registration is required . . . for any element of a multimedia kit that is . . . claimed by someone other than the copyright claimant for the other elements."). Copyright registrants are thus faced with the Hobson's choice of following either the Copyright Office or the Eleventh Circuit in filling out a copyright registration application. In addition, the decision below subjects existing valid registrations in multimedia works to invalidation. If ever there were an issue calling for this Court's exercise of its "supervisory power" to correct a decision that has "so far departed from the accepted and usual course of judicial proceedings," S. Ct. R. 10(a), this is it.

### CONCLUSION

For the foregoing reasons, this Court should grant the petition for writ of *certiorari*.

Respectfully submitted,

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July 30, 2001

**APPENDIX**

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**APPENDIX A**

**IN THE UNITED STATES COURT OF APPEALS  
FOR THE ELEVENTH CIRCUIT**

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No. 00-10510

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D.C. Docket No. 97-03924-CV-JAL

JERRY GREENBERG,  
IDAZ GREENBERG,

Plaintiffs-Appellants,

versus

NATIONAL GEOGRAPHIC SOCIETY,  
a District of Columbia Corporation,  
NATIONAL GEOGRAPHIC ENTERPRISES, INC.,  
a corporation, MINDSCAPE, INC.,  
a California corporation,

Defendants-Appellees.

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Appeal from the United States District Court  
for the Southern District of Florida

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(March 22, 2001)

Before ANDERSON, Chief Judge, and TJOFLAT and BIRCH,  
Circuit Judges.

BIRCH, Circuit Judge:

This appeal requires us, as a matter of first impression in this circuit, to construe the extent of the privilege afforded to the owner of a copyright in a collective work to reproduce and distribute the individual contributions to the collective work "as part of that particular collective work, any revision of that

collective work, and any later collective work in the same series” under 17 U.S.C. § 201(c).<sup>1</sup> In this copyright infringement case, the district court granted the defendants’ motion for summary judgment, holding that the allegedly infringing work was a revision of a prior collective work that fell within the defendants’ privilege under § 201(c). Because we find that the defendants’ product is not merely a revision of the prior collective work but instead constitutes a new collective work that lies beyond the scope of § 201(c), we **REVERSE**.

## I. BACKGROUND

The National Geographic Society (“Society”) purports to be the world’s largest nonprofit scientific and educational organization at approximately 9.5 million members, and is responsible for the publication of National Geographic Magazine (“Magazine”). Through National Geographic Enterprises, a wholly owned, for-profit subsidiary, the Society also produces television programs and computer software, along with other educational products. In order to acquire photographs for the Magazine and its other publications, the Society hires freelance photographers on an independent-contractor basis to complete specific assignments.

Jerry Greenberg is a photographer who completed four photographic assignments for the Society over the course of 30 years. Photographs from the first three assignments were published in the January 1962, February 1968, and May 1971 issues of the Magazine, respectively. The terms of Greenberg’s employment for these assignments were set out in a series of relatively informal letters. Greenberg received compensation consisting of a daily fee, a fee based on the number of photographs published, and payment of expenses, and in return the Society acquired all rights in any photograph taken on the

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<sup>1</sup> Hereafter, all references to statutory sections (“§”) will be to Title 17 of the United States Code, unless indicated otherwise.



jobs that was ultimately selected for publication in the Magazine. In 1985, at Greenberg's request, the Society reassigned its copyrights in the pictures from these three jobs back to Greenberg. Greenberg's fourth hire for the Society appeared in the July 1990 issue of the Magazine, but the agreement for this job was more detailed than its predecessors. The principle terms of the fourth agreement were similar to those of the first three; however, in this agreement it was explicitly provided that all rights that the Society acquired in the photographs from the job would be returned to Greenberg 60 days after the pictures were published in the Magazine.

In 1996, the Society, in collaboration with Mindscape, Inc., began the development of a product called "The Complete National Geographic" ("CNG"), which is a 30 CD-ROM library that collects every<sup>2</sup> issue of the Magazine from 1888 to 1996 in digital format. There are three components of the CNG that are relevant to this appeal: (1) the moving covers sequence ("Sequence"); (2) the digitally reproduced issues of the Magazine themselves ("Replica"); and (3) the computer program that serves as the storage repository and retrieval system for the images ("Program").

The Sequence is an animated clip that plays automatically when any disc from the CNG library is activated. The clip begins with the image of an actual cover of a past issue of the Magazine. This image, through the use of computer animation, overlappingly fades ("morphs") into the image of another cover, pauses on that cover for approximately one second, and then morphs into another cover image, and so on, until 10 different covers have been displayed. One of the cover images used in the moving covers sequence is a picture of a diver that

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<sup>2</sup> The Society publishes multiple regional and international editions of each issue of the Magazine. These various editions differ from one another in the language in which they are written and the advertisements that are printed. The CNG includes only one representative edition of each issue.

was taken by Greenberg in 1961. The entire sequence lasts for 25 seconds, and is accompanied by music and sound effects.

The collected issues of the Magazine, which are, of course, the CNG's *raison d'être*, were converted to digital format through a process of scanning each cover and page of each issue into a computer. What the user of the CNG sees on his computer screen, therefore, is a reproduction of each page of the Magazine that differs from the original only in the size and resolution of the photographs and text. Every cover, article, advertisement, and photograph appears as it did in the original paper copy of the Magazine. The user can print out the image of any page of the Magazine, but the CNG does not provide a means for the user to separate the photographs from the text or otherwise to edit the pages in any way.

The Program, which was created by Mindscape, is the element of the software that enables the user to select, view, and navigate through the digital "pages" of the Magazine Replica on the CD-ROM. In creating the Program for the CNG, Mindscape incorporated two separate programs: the CD Author Development System ("CDA"), which is a search engine created by Dataware Technologies, Inc.; and the PicTools Development Kit ("PicTools"), which is a program for compressing and decompressing images that was created by Pegasus Imaging Corp.<sup>3</sup> The CNG package contains a "shrink-

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<sup>3</sup> Mindscape indicates that it has not registered a claim of copyright in the Program, which is manifestly copyrightable. See §§ 101 (defining "computer program"), 102; *Montgomery v. Noga*, 168 F.3d 1282, 1288 (11th Cir. 1999). However, copyright arises by operation of law upon fixation of an original work of authorship in a tangible medium of expression, which has clearly occurred in the case of the Program. See § 102; *Montgomery*, 168 F.3d at 1288. Moreover, Mindscape has represented to this court that two component elements of the Program, the CDA and PicTools, each of which are separately copyrightable computer programs, have been registered with the Copyright Office by Dataware Technologies, Inc., and Pegasus Imaging Corp., respectively. Because it consists of at least two other individually copyrighted works, the Program  
(continued...)

wrap” license agreement in which “all rights [in the Program] not expressly granted are reserved by Mindscape or its suppliers.” Without the Program, the Replica could still be stored on a CD-ROM, but the individual “pages” of the Magazine would not be efficiently accessible to the user of the CNG.

Prior to placing the CNG on the market, the Society dispatched a letter to each person who had contributed to the Magazine. This letter informed the contributors about the CNG product and stated the Society’s position that it would not provide the contributors with any additional compensation for the digital republication and use of their works. Greenberg contends that he responded to this notice through counsel and objected to the Society’s use of his photographs in the CNG, but he received no response from the Society.

The Society sought registration for its claim of copyright for the CNG in 1998, but noted 1997 as the year of its completion. On the registration form,<sup>4</sup> the Society indicated that the “nature of authorship” included photographs, text, and an “introductory audiovisual montage.” The Society claimed that the work had not been registered before, but indicated that it was a derivative work, namely a “compilation of pre-existing material primarily pictorial,” to which a “brief introductory audiovisual montage” had been added. No reference was made to, nor was there any disclosure of, the copyrightable Mindscape Program or the two pre-existing, copyrightable sub-programs that it incorporates, all of which are also components of the CNG. The box in which the CNG is packaged and each individual CD-ROM bear the mark “© 1997 National

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<sup>3</sup> (...continued)

meets the definition of both a “compilation” and a “collective work” under § 101 of the Act.

<sup>4</sup> A copy of the registration form (application), which when approved by the Copyright Office became the registration certificate, is attached hereto as Appendix A.

Geographic Society”—indicating the creation of a new work of authorship in 1997.

Greenberg initiated an infringement action against the Society, National Geographic Enterprises, and Mindscape, alleging five counts of copyright infringement, two of which are relevant here: count “III” addressed the Society’s reuse of Greenberg’s photographs in the CNG, generally, and count “V” specifically addressed the use of his diver photograph in the Sequence. The Society, together with the two other defendants, moved for summary judgment on counts III-V, arguing that it had a privilege under § 201(c) to reproduce and distribute Greenberg’s photographs in the CNG because it owned the copyright in the original issues of the Magazine in which the photographs appeared.<sup>5</sup> Greenberg filed a cross-motion for summary judgment on count III. The district court, relying on the district court opinion in *Tasini v. New York Times Co.*, 972 F. Supp. 804 (S.D.N.Y. 1997), *rev’d*, 206 F.3d 161 (2d Cir. 2000), *cert. granted*, 69 U.S.L.W. 3312, 3316 (U.S. Nov. 6, 2000) (No. 00-201), held that the CNG constituted a “revision” of the paper copies of the Magazine that was within the Society’s privilege under § 201(c), and accordingly granted summary judgment for all of the defendants on counts III-V. The district court later dismissed counts I and II, which did not relate to the CNG, at the parties’ joint request. The Greenbergs appeal the district court’s judgment only as to counts III and V.

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<sup>5</sup> There is no evidence in the record that would support the theory that National Geographic Enterprises or Mindscape, neither of which has a copyright interest in the original issues of the Magazine, somehow are privy to the privilege in § 201(c) enjoyed by the Society.

## II. DISCUSSION

To evaluate the claims of infringement leveled by Greenberg against the defendants,<sup>6</sup> we must interpret and apply § 201(c) of the Act. That section constitutes the sole basis and defense of the Society's use of Greenberg's copyrighted photographs. In all cases involving copyright law, we understand that any interpretation and application of the statutory law must be consistent with the copyright clause of the United States Constitution; specifically, the eighth clause of the eighth section of Article I. That clause is a limitation, as well as a grant, of the copyright power.<sup>7</sup> The copyright clause,

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<sup>6</sup> In the Amended Complaint, Greenberg refers to Mindscape's and National Geographic Enterprises's liability as "at least vicarious." We construe this as an allegation of contributory copyright infringement. A contributory copyright infringer is "one who, with knowledge of the infringing activity, induces, causes or materially contributes to the infringing conduct of another." *Cable/Home Communication Corp. v. Network Prods., Inc.*, 902 F.2d 829, 845 (11th Cir. 1990) (citations omitted). Accordingly, there can be no contributory infringement without a finding that there was direct copyright infringement by another party. *Id.* Further, the CNG appears to be a "joint work," which is defined under § 101 as "a work prepared by two or more authors with the intention that their contributions be merged into inseparable or interdependent parts of a unitary whole." Here the two "authors," the Society and Mindscape ("authors" under the legal fiction created in § 201(b)), clearly intended their contributions of the Sequence, Replica, and Program to function and be presented as a unitary whole. The CNG also fits the definition of a "collective work" under § 101; that is, "a work . . . in which a number of contributions, constituting separate and independent works in themselves, are assembled into a collective whole." The concept of the "collective work" is included within the term "compilation," which is defined in § 101 as "a work formed by the collection and assembling of preexisting materials . . . that are selected, coordinated, or arranged in such a way that the resulting work as a whole constitutes an original work of authorship." Whether the CNG is considered a "joint work" or a "collective work" makes no difference in our analysis because under each definition, a work results that is copyrightable as an entity separate and distinct from its constituent, pre-existing, separately copyrightable contributions.

<sup>7</sup> See Paul J. Heald and Suzanna Sherry, "Implied Limits on the  
(continued...)

consisting of twenty-four words crafted by our founding fathers, is the Rosetta Stone for all statutory interpretation and analysis. Accordingly, it is upon that predicate that we examine § 201(c) in the context of this case.<sup>8</sup>

The Society conceded that it has used Greenberg's photographs in a way that is inconsistent with his exclusive rights as an author under § 106.<sup>9</sup> However, the Society

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<sup>7</sup> (...continued)

Legislative Power: the Intellectual Property Clause as an Absolute Constraint on Congress," 2000 U. Ill. L. Rev. 1119 (2000).

<sup>8</sup> Appreciation of fundamental principles is required in all areas of the law, but is particularly important in the copyright arena. As observed by Professor L. Ray Patterson's opening remarks in his insightful article entitled "Understanding the Copyright Clause," 47 J. COPYRIGHT SOC'Y 365 (2000):

Probably few industries as large as the copyright industry have rested on a legal foundation as slim as the twenty-four words of the copyright clause. And probably no foundation of comparable importance has been so little understood and so often ignored. This is all the more surprising because the components of the copyright industry-information/learning/entertainment-are so important to a free society, and because the history of the copyright clause is so well documented.

*Id.* at 365. The copyright clause provides: "The Congress shall have Power . . . To promote the Progress of Science . . . by securing for limited Times to Authors . . . the exclusive Right to their . . . Writings." U.S. Const. art. I, § 8, cl. 8.

<sup>9</sup> Section 106 reserves to the owner of a copyright the rights: (1) to reproduce the copyrighted work in copies or phonorecords; (2) to prepare derivative works based upon the copyrighted work; (3) to distribute copies or phonorecords of the copyrighted work to the public by sale or other transfer of ownership, or by rental, lease, or lending; (4) in the case of literary, musical, dramatic, and choreographic works, pantomimes, and motion pictures and other audiovisual works, to perform the copyrighted work publicly; (5) in the case of literary, musical, dramatic, and choreographic works, pantomimes, and pictorial, graphic, or sculptural works, including the individual images of a motion picture or other audiovisual work, to display the copyrighted work publicly; and (6) in the

(continued...)

contends that it is privileged to make such use of the photographs under § 201(c), and therefore does not violate such exclusive rights and thus is not an infringer under § 501(a). Subpart "c" of § 201, entitled "Ownership of Copyright," provides:

**(c) Contributions to Collective Works.** Copyright in each separate contribution to a collective work is distinct from copyright in the collective work as a whole, and vests initially in the author of the contribution. In the absence of an express transfer of the copyright or of any rights under it, the owner of copyright in the collective work is presumed to have acquired only the privilege of reproducing and distributing the contribution as part of that particular collective work, any revision of that collective work, and any later collective work in the same series.

In the context of this case, Greenberg is "the author of the contribution" (here each photograph is a contribution) and the Society is "the owner of copyright in the collective work" (here the Magazine). Note that the statute grants to the Society "only [a] privilege," not a right. Thus the statute's language contrasts the contributor's "copyright" and "any rights under it" with the publisher's "privilege." This is an important distinction that militates in favor of narrowly construing the publisher's privilege when balancing it against the constitutionally-secured rights of the author/contributor.

The Society argues that its use of Greenberg's photographs constitutes a "revision" of the Magazine ["that collective work"], referring to the CNG as the compendium of over 1,200 independent back issues; in copyright terms, a collective work of separate and distinct collective works, arranged in

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<sup>9</sup> (...continued)

case of sound recordings, to perform the copyrighted work publicly by means of a digital audio transmission.

chronological order.<sup>10</sup> Assuming *arguendo*, but expressly not deciding, that 201(c)'s revision privilege embraces the entirety of the Replica portion of the CNG (the 1,200 issues, as opposed to each separate issue of the Magazine), we are unable to stretch the phrase "that particular collective work" to encompass the Sequence and Program elements as well. In layman's terms, the instant product is in no sense a "revision." In this case we do not need to consult dictionaries or colloquial meanings to understand what is permitted under § 201(c). Congress in its legislative commentary spelled it out in the concluding paragraph of its discussion of § 201(c) (which is identical in both the Senate and House versions):<sup>11</sup>

The basic presumption of section 201(c) is fully consistent with present law and practice, and represents a fair balancing of equities. At the same time, the last clause of the subsection, under which the privilege of republishing the contribution under certain limited circumstances would be presumed, is an essential counterpart of the basic presumption. Under the language of this clause a publishing company could reprint a contribution from one issue in a later issue of its magazine, and could reprint an article from a 1980 edition of an encyclopedia in a 1990 revision of it, *the publisher could not* revise the contribution itself or *include it in* a new anthology or an entirely different magazine or *other collective work*.

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<sup>10</sup> It does not satisfy the definition of "compilation" since inclusion of all issues of a publication in chronological order does not satisfy the minimum creativity necessary for the selection, coordination, or arrangement that would result in an original work of authorship. See *Warren Publ'g, Inc. v. Microdos Data Corp.*, 115 F.3d 1509, 1518-19 (11th Cir. 1997) (en banc) (holding that work incorporating "entire relevant universe" did not exhibit sufficient creativity in selection to merit copyright protection as a compilation).

<sup>11</sup> A reproduction of the entire discussion in the House and Senate Reports is set out in Appendix B.



H.R. Rep. No. 94-1476, at 122-23 (1976), *reprinted in* 1976 U.S.C.C.A.N. 5659, 5738 (emphasis added).

As discussed above, the CNG is an "other collective work" composed of the Sequence, the Replica, and the Program. However, common-sense copyright analysis compels the conclusion that the Society, in collaboration with Mindscape, has created a new product ("an original work of authorship"), in a new medium, for a new market that far transcends any privilege of revision or other mere reproduction envisioned in § 201(c).<sup>12</sup>

This analysis is totally consistent with the conduct of the Society when it registered its claim of copyright in the CNG (under the title "108 Years of National Geographic on CD-ROM"). Under section "5" of the copyright registration form, in response to the question: "Has registration for this work, or for an earlier version of this work, already been made in the Copyright Office?"; the Society replied, "No." Accordingly, this was a new work. Registrations had already been made relative to individual issues of the Magazine. Under section

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<sup>12</sup> The Society characterizes this case as one in which there has merely been a republication of a preexisting work, without substantive change, in a new medium; specifically, digital format. As discussed in the text, however, this case is both factually and legally different than a media transformation. The Society analogizes the digitalization of the Magazine to the reproduction of the Magazine on microfilm and microfiche. While it is true that both the digital reproductions and the microfilm/microfiche reproductions require a mechanical device for viewing them, the critical difference, from a copyright perspective, is that the computer, as opposed to the machines used for viewing microfilm and microfiche, requires the interaction of a computer program in order to accomplish the useful reproduction involved with the new medium. These computer programs are themselves the subject matter of copyright, and may constitute original works of authorship, and thus present an additional dimension in the copyright analysis. Because this case involves not only the incorporation of a new computer program, but also the combination of the Sequence and the Replica, we need not decide in this case whether the addition of only the Program would result in the creation of a new collective work.

“6,” subpart “a,” the Society described the work (the CNG) as a “Compilation of pre-existing material primarily pictorial.” Under section “6,” subpart “b,” which requested, “Material added to this work. Give a brief, general statement of the material that has been added to this work and in which copyright is claimed,” the Society wrote “Brief introductory audiovisual montage.” See Appendix A.<sup>13</sup> Thus, even the Society admitted that the registered work, the CNG, was a compilation. Recall that a collective work is included in the definition of compilation and embraces those works wherein its separate components are each themselves copyrightable—as are the Sequence, Replica, and Program (the “pre-existing materials” referred to in part [only the Replica was disclosed] by the Society in section “6.”). Accordingly, in the words of the legislative report, “the publisher [the Society] could not . . . include [the contribution (the photographs)] in a new anthology . . . or other collective work [the CNG].” Thus in creating a new work the Society forfeited any privilege that it *might*<sup>14</sup>

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<sup>13</sup> As noted earlier, the Society failed to indicate the third, and critical, element of the new work, the Program. While the storage and retrieval system may be “transparent” to the unsophisticated computer user, it nevertheless is present and integral to the operation and presentation of the data and images viewed and accessed by the user. Giving the Society the benefit of the doubt, it may not have intentionally perpetrated a fraud on the Copyright Office.

<sup>14</sup> We indicate “*might*” because a persuasive argument can be made that when the Replica portion of the CNG was converted from text and picture images on a page to electronic, digital format, the statutory definition of a “derivative work” was not satisfied. A “derivative work” is defined under § 101 as:

a work based upon one or more preexisting works, such as a translation, musical arrangement, dramatization, fictionalization, motion picture version, sound recording, art reproduction, abridgment, condensation, or any other form in which a work may be recast, transformed, or adapted. A work consisting of editorial revisions, annotations, elaborations, or other modifications which,

(continued...)

have enjoyed with respect to only one component thereof, the Replica.

With respect to the Sequence and its unauthorized use of Greenberg's diver photograph, we find that the Society has infringed upon the photographer's exclusive right under § 106(2) to prepare derivative works based upon his copyrighted photograph. The Society has selected ten preexisting works, photographs included in covers of ten issues of the Magazine, including Greenberg's, and transformed them into a moving visual sequence that morphs one into the other over a span of approximately 25 seconds. Moreover, the Society repositioned Greenberg's photograph from a horizontal presentation of the diver into a vertical presentation of that diver. Manifestly, this Sequence, an animated, transforming selection and arrangement of preexisting copyrighted photographs constitutes at once a compilation, collective work, and, with reference to the Greenberg photograph, a derivative work. *See Warren Publ'g*, 115 F.3d at 1515 n. 16.

The Society argues that its use of Greenberg's diver photograph was a fair use under § 107.<sup>15</sup> Guided by the

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<sup>14</sup> (...continued)

as a whole, represent an original work of authorship, is a "derivative work".

(Emphasis added). Note that in order to qualify as a derivative work, the resulting work (including "revisions") after transformation must qualify as an "original work of authorship." Thus, the mere electronic digital reproduction that represents the Replica may not qualify as a derivative work, and thus not violate Greenberg's exclusive right to prepare derivative works under § 106. *See supra* note 10. This derivative-works issue may be addressed by the Supreme Court in *Tasini v. New York Times Co.*, 972 F. Supp. 804 (S.D.N.Y.1997), *rev'd*, 206 F.3d 161 (2d Cir. 2000), *cert. granted*, 69 U.S.L.W. 3312, 3316 (U.S. Nov. 6, 2000) (No. 00-201). But here, as explained above, we have far more than a mere reproduction in another medium.

<sup>15</sup> Among the factors to be considered in determining whether a use of a copyrighted work is a "fair use" are:

(continued...)

principles explained in *Campbell v. Acuff-Rose Music, Inc.*, 510 U.S. 569, 114 S. Ct. 1164 (1994),<sup>16</sup> we find that the Society has neither a fair use defense or right. See *Bateman v. Mnemonics, Inc.*, 79 F.3d 1532, 1542 n. 22 (11th Cir. 1996); David Nimmer, "An Odyssey through Copyright's Vicarious Defenses," 73 N.Y.U. L. Rev. 162, 191 (1998). The use of the diver photograph far transcended a mere reprinting or borrowing of the work. As explained above, it became an integral part of a larger, new collective work. The use to which the diver photograph was put was clearly a transformative use. The Sequence reflects the transformation of the photograph as it is faded into and out of the preceding and following photographs (after having turned the horizontal diver onto a vertical axis). The Sequence also integrates the visual presentation with an audio presentation consisting of copyrightable music. The resultant moving and morphing visual creation transcends a use that is fair within the context of § 107. Moreover, while the CNG is a product that may serve educational purposes, it is marketed to the public at book stores, specialty stores, and over the Internet. The Society is a non-profit organization, but its subsidiary National Geographic Enterprises, which markets and distributes the CNG, is not; the sale of the CNG is clearly for profit. Finally, the inclusion of

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<sup>15</sup> (...continued)

- (1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
- (2) the nature of the copyrighted work;
- (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
- (4) the effect of the use upon the potential market for or value of the copyrighted work.

17 U.S.C. § 107.

<sup>16</sup> In *Campbell*, the Supreme Court indicated that the statutory factors in § 107 should not "be treated in isolation, one from another. All are to be explored, and the results weighed together, in light of the purposes of copyright." 510 U.S. at 578, 114 S. Ct. at 1170-71.

Greenberg's diver photograph in the Sequence has effectively diminished, if not extinguished, any opportunity Greenberg might have had to license the photograph to other potential users.<sup>17</sup>

Alternatively, the Society contends that its use of Greenberg's diver photograph, which appeared on the cover of the January 1962 issue of the Magazine, constitutes a *de minimis* use and thus is not actionable. We find no merit in that argument in the context of this derivative and collective work, the Sequence.

In assessing a *de minimis* defense, we must examine both the *quality* and *quantity* of the use.<sup>18</sup> Greenberg's photograph is one of ten selected and arranged by the Society and constitutes one-tenth of the entire Sequence; a pro-rata share. Thus, when comparing the entire work with the contribution at issue, it clearly represents a significant portion of the new work. This is particularly accentuated in a qualitative way when we consider that only ten covers from a universe of some 1200 covers of the Magazine, embracing 108 years of publication, were selected for this composition. Moreover, the instruction materials that accompany the CD-ROM discs inside the CNG product box refer to the Sequence as "The Complete National Geographic *icon*" (emphasis added). [R1-20-Ex. A]

Each and every time a user of the CNG views any of the 30 discs, the user views the Sequence—the projection of the Sequence is automatic without any prompting from the user.

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<sup>17</sup> The inclusion by the Society of Greenberg's photograph in a newly copyrighted work, the Sequence, clearly indicates that the Society claims certain copyright rights in the photograph, with which potential licensees or assignees of the photograph would have to be concerned.

<sup>18</sup> See *Horgan v. Macmillan, Inc.*, 789 F.2d 157, 162 (2d Cir. 1986) ("Even a small amount of the original, if it is qualitatively significant, may be sufficient to be an infringement."); *Metro-Goldwyn-Mayer, Inc. v. American Honda Motor Co.*, 900 F. Supp. 1287, 1300 (C.D. Cal. 1995) ("[T]he court must look to the quantitative and qualitative extent of the copying involved.").

Thus, the use of the Sequence in the context of the entire CNG is not a *de minimis* use that fails to reach the threshold of actionable copyright infringement. The two cases principally relied upon by the Society, *Ringgold v. Black Entm't Television, Inc.*, 126 F.3d 70 (2d Cir. 1997), and *Amsinck v. Columbia Pictures Indus., Inc.*, 862 F. Supp. 1044 (S.D.N.Y. 1994), are not to the contrary. The "iconic" display at the beginning of each disc in the CNG product argues against the suggestion that the use of the Sequence in the CNG or the use of the Greenberg diver photograph in the Sequence is inconsequential. Accordingly, because we find the unauthorized use of the subject photograph to be both qualitatively and quantitatively significant, we reject the *de minimis* defense advanced by the Society and its putative co-infringers.

### III. CONCLUSION

We conclude that the unauthorized use of the Greenberg photographs in the CNG compiled and authored by the Society constitutes copyright infringement that is not excused by the privilege afforded the Society under § 201(c). We also find that the unauthorized use of Greenberg's diver photograph in the derivative and collective work, the Sequence, compiled by the Society, constitutes copyright infringement, and that the proffered *de minimis* use defense is without merit. ~~Upon remand, the court below is directed to enter judgment on these copyright claims in favor of Greenberg. Counsel for the appellant should submit its documented claims for attorneys fees relative to this appeal to the district court for review and approval. We find the appellant to be the prevailing party on this appeal and, therefore, is entitled to an award of costs and attorneys fees. Upon remand, the district court should ascertain the amount of damages and attorneys fees that are due, if any, as well as any injunctive relief that may be appropriate. In assessing the appropriateness of injunctive relief, we urge the court to consider alternatives, such as mandatory license fees,~~

17a

in lieu of foreclosing the public's computer-aided access to this educational and entertaining work.

**REVERSED and REMANDED.**

APPENDIX A

COPYRIGHT REGISTRATION FORM FOR THE COMPLETE NATIONAL GEOGRAPHIC

FORM VA  
Form Work of the Visual Arts  
UNITED STATES COPYRIGHT OFFICE

VA 931-768



EFFECTIVE DATE OF REGISTRATION

JUL 14 1998

Month Day Year

DO NOT WRITE ABOVE THIS LINE. IF YOU NEED MORE SPACE, USE A SEPARATE CONTINUATION SHEET.

**1**

TITLE OF THIS WORK: 108 YEARS OF NATIONAL GEOGRAPHIC MAGAZINE ON CD-ROM  
NATURE OF THIS WORK: CD-ROM

PREVIOUS OR ALTERNATIVE TITLES?

PUBLICATION AS A CONTRIBUTION: If this work was published in a periodical, serial, or collection, give information about the collective work in which the contribution appeared.

If published in a periodical or serial: Volume # \_\_\_\_\_ Number # \_\_\_\_\_ Issue # \_\_\_\_\_ or Page # \_\_\_\_\_

**2 a**

NAME OF AUTHOR: NATIONAL GEOGRAPHIC SOCIETY  
DATES OF BIRTH AND DEATH: You Born \_\_\_\_\_ Year Died \_\_\_\_\_

WEBS COPYRIGHT IN THE WORK: Yes  No  (a "work made for hire")

AUTHOR'S NATIONALITY OR DOMICILE: OR Citizenship? Yes  No  Resided in U.S.A.

WAS THIS AUTHOR'S CONTRIBUTION TO THE WORK: Anonymity? Yes  No  Pseudonym? Yes  No  (If the answer to any of these questions is "Yes," see detailed instructions.)

NATURE OF AUTHORSHIP: Check appropriate boxes. See instructions.

3-Dimensional sculpture  Map  Technical Drawing  
 2-Dimensional artwork  Photograph  Text  Introductory audiovisual montage  
 Reproduction of work of art  Jewelry design  Architectural work  
 Design on identifiable material

NOTE

Check the box "Yes" if you are the author of a "work made for hire" in accordance with the copyright law. For any part of your work that you claim "work made for hire" you must provide the evidence of your status as author or creator of the work. Evidence may include a contract or other agreement, or a "letter of the work" describing the nature of the work and the work.

**b**

NAME OF AUTHOR: \_\_\_\_\_ DATES OF BIRTH AND DEATH: You Born \_\_\_\_\_ Year Died \_\_\_\_\_

WEBS COPYRIGHT IN THE WORK: Yes  No  (a "work made for hire")

AUTHOR'S NATIONALITY OR DOMICILE: OR Citizenship? Yes  No  Resided in U.S.A.

WAS THIS AUTHOR'S CONTRIBUTION TO THE WORK: Anonymity? Yes  No  Pseudonym? Yes  No  (If the answer to any of these questions is "Yes," see detailed instructions.)

NATURE OF AUTHORSHIP: Check appropriate boxes. See instructions.

3-Dimensional sculpture  Map  Technical Drawing  
 2-Dimensional artwork  Photograph  Text  Introductory audiovisual montage  
 Reproduction of work of art  Jewelry design  Architectural work  
 Design on identifiable material

**3 a** YEAR IN WHICH CREATION OF THIS WORK WAS COMPLETED: 1997

**b** DATE AND PLACE OF FIRST PUBLICATION OF THIS PARTICULAR WORK: Month > JANUARY Day > 1 Year > 1997

USA

**4**

COPYRIGHT CLAIMANT(S): NATIONAL GEOGRAPHIC SOCIETY WASHINGTON, DC 20008

TRANSFER: If the claimant(s) named here in space 4 are different from the author(s) named in space 2, give a brief statement of how the claimant(s) obtained ownership of the copyright.

APPLICATION RECEIVED: JUL 14 1998

ONE DEPOSIT RECEIVED: JUL 14 1998

TWO DEPOSITS RECEIVED

REMITTANCE NUMBER AND DATE



\* Amended by CD per telephone conversation with Paul Kilaer, Esq., authorized agent of National Geographic Society, on February 1, 1999.

EXAMINED BY JPL FORM VA

REGISTERED

CORRESPONDENCE  
 Yes

FOR COPYRIGHT OFFICE ONLY

DO NOT WRITE ABOVE THIS LINE. IF YOU NEED MORE SPACE, USE A SEPARATE CONTINUATION SHEET.

PREVIOUS REGISTRATION Has registration for this work, or for an earlier version of this work, already been made in the Copyright Office?

- Yes  No If your answer is "Yes," why is another registration being sought? (Check appropriate  )
  - This is the first published edition of a work previously registered in unpublished form.
  - This is the first application submitted by this author as copyright claimant.
  - This is a changed version of the work, as shown by space 4 on this application.
- If your answer is "Yes," give: Previous Registration Number \_\_\_\_\_ Year of Registration \_\_\_\_\_

5

DERIVATIVE WORK OR DERIVATION Complete only space 6 and 7 for a derivative work; complete only 6 for a compilation.  
a. Paraphrasing Material Identify any preceding work or works that this work is based on or incorporates.

6

COMPILATION OF PRE-EXISTING MATERIAL PRIMARILY PICTORIAL

b. Material Added to This Work Give a brief, general statement of the material that has been added to the work, and in which copyright is claimed.

\* audiovisual montage

BRIEF INTRODUCTORY STATEMENT

REPORT ACCOUNT If the application is, in its entirety, a Deposit Account established in the Copyright Office, give brief title, number of sheets.

Account Number \_\_\_\_\_

NATIONAL GEOGRAPHIC SOCIETY

DA 044228

7

CORRESPONDENCE Give name and address to which correspondence about this application should be sent. (Name/Address/Zip/City/State)

SEE SPACE 9

Ann Code & Telephone Number (302) 857-7400

CERTIFICATION I, the undersigned, being duly sworn, depose and say that the

Check only one:

author

owner of exclusive rights

authorized agent of

NATIONAL GEOGRAPHIC SOCIETY

Name of owner or other exclusive owner, or owner of exclusive rights

of the work identified in this application and that the statements made by me in this application are correct to the best of my knowledge.

Typed or printed name and date of this application and date of publication in space 3, do not sign and submit it unless that date.

ARNOEL M. CRIMA

*Arnoel M. Crima*

Date: 7-30-00

Handwritten signature (S)

8

MAIL CERTIFICATE TO

Name of  
**SHEILA HOOKER**

Name and complete address of  
**NATIONAL GEOGRAPHIC SOCIETY  
1148 17TH STREET, NW - PM 500  
WASHINGTON, DC 20036**

Conditions will be printed in separate envelope

POSTAGE WILL BE PAID BY ADDRESSEE

NO POSTAGE  
NECESSARY  
IF MAILED  
IN THE  
UNITED STATES

POSTAGE WILL BE PAID BY ADDRESSEE

NO POSTAGE  
NECESSARY  
IF MAILED  
IN THE  
UNITED STATES

9

## APPENDIX B

EXCERPT FROM H.R. 94-1476 (1976) *reprinted in* 1976  
U.S.C.C.A.N. 5659

### Contributions to collective works

Subsection (c) of section 201 deals with the troublesome problem of ownership of copyright in contributions to collective works, and the relationship between copyright ownership in a contribution and in the collective work in which it appears. The first sentence establishes the basic principle that copyright in the individual contribution and copyright in the collective work as a whole are separate and distinct, and that the author of the contribution is, as in every other case, the first owner of copyright in it. Under the definitions in section 101, a "collective work" is a species of "compilation" and, by its nature, must involve the selection, assembly, and arrangement of "a number of contributions." Examples of "collective works" would ordinarily include periodical issues, anthologies, symposia, and collections of the discrete writings of the same authors, but not cases, such as a composition consisting of words and music, a work published with illustrations or front matter, or three one-act plays, where relatively few separate elements have been brought together. Unlike the contents of other types of "compilations," each of the contributions incorporated in a "collective work" must itself constitute a "separate and independent" work, therefore ruling out compilations of information or other uncopyrightable material and works published with editorial revisions or annotations. Moreover, as noted above, there is a basic distinction between a "joint work," where the separate elements merge into a unified whole, and a "collective work," where they remain unintegrated and disparate.

The bill does nothing to change the rights of the owner of copyright in a collective work under the present law. These exclusive rights extend to the elements of compilation and editing that went into the collective work as a whole, as well as the contributions that were written for hire by employees of the

owner of the collective work, and those copyrighted contributions that have been transferred in writing to the owner by their authors. However, one of the most significant aims of the bill is to clarify and improve the present confused and frequently unfair legal situation with respect to rights in contributions.

The second sentence of section 201(c), in conjunction with the provisions of section 404 dealing with copyright notice, will preserve the author's copyright in a contribution even if the contribution does not bear a separate notice in the author's name, and without requiring any unqualified transfer of rights to the owner of the collective work. This is coupled with a presumption that, unless there has been an express transfer of more, the owner of the collective work acquires "only the privilege of reproducing and distributing the contribution as part of that particular collective work, any revision of that collective work, and any later collective work in the same series."

The basic presumption of section 201(c) is fully consistent with present law and practice, and represents a fair balancing of equities. At the same time, the last clause of the subsection, under which the privilege of republishing the contribution under certain limited circumstances would be presumed, is an essential counterpart of the basic presumption. Under the language of this clause a publishing company could reprint a contribution from one issue in a later issue of its magazine, and could reprint an article from a 1980 edition of an encyclopedia in a 1990 revision of it; the publisher could not revise the contribution publisher could not revise the contribution itself or include it in a new anthology or an entirely different itself or include it in a new anthology or an entirely different magazine or other collective work.

**APPENDIX B**

**June 8, 2001**

**IN THE UNITED STATES COURT OF APPEALS  
FOR THE ELEVENTH CIRCUIT**

**JERRY GREENBERG,  
IDAZ GREENBERG,**  
Plaintiffs-Appellants,

v.

**NATIONAL GEOGRAPHIC SOCIETY,  
a District of Columbia corporation,  
NATIONAL GEOGRAPHIC ENTERPRISES, INC.,  
a corporation, et. al.,**  
Defendants-Appellees.

Docket No. 00-10510-CC

On Appeal from the United States District Court for  
the Southern District of Florida

ON PETITION(S) FOR REHEARING AND  
PETITION(S) FOR REHEARING EN BANC  
(Opinion \_\_\_\_\_, 11th Cir., 19\_\_\_\_, \_\_\_\_ F.2d \_\_\_\_).

Before: ANDERSON, Chief Judge, TJOFLAT and BIRCH,  
Circuit Judges.

Per Curiam

The Petition(s) for Rehearing are DENIED and no member  
of this panel nor other Judge in regular active service on the

Court having requested that the Court be polled on rehearing en banc (Rule 35, Federal Rules of Appellate Procedure; Eleventh Circuit Rule 35-5), the Petition(s) for Rehearing En Banc are DENIED.

ENTERED FOR THE COURT

/s/ Stanley F. Birch, Jr.  
UNITED STATES CIRCUIT JUDGE

APPENDIX C

April 20, 2001

IN THE UNITED STATES COURT OF APPEALS  
FOR THE ELEVENTH CIRCUIT

JERRY GREENBERG,  
IDAZ GREENBERG,  
Plaintiffs-Appellants,

v.

NATIONAL GEOGRAPHIC SOCIETY,  
a District of Columbia corporation,  
NATIONAL GEOGRAPHIC ENTERPRISES, INC.,  
a corporation, *et. al.*,  
Defendants-Appellees.

Docket No. 00-10510-CC

On Appeal from the United States District Court for  
the Southern District of Florida

ORDER

The motion by amici curiae Magazine Publishers of  
America, *et. al.*, for leave to file a petition for rehearing en  
banc is DENIED.

/s/ Stanley F. Birch, Jr.  
UNITED STATES CIRCUIT JUDGE

**APPENDIX D**

**KIRKLAND & ELLIS**

PARTNERSHIPS INCLUDING PROFESSIONAL CORPORATIONS

655 Fifteenth Street N.W.  
Washington, D.C. 20005

(202) 879-5000

Facsimile:  
202 879-5200

Kenneth W. Starr  
To Call Writer Directly:  
(202) 879-5130  
kenneth\_starr@dc.kirkland.com

May 2, 2001

**VIA MESSENGER**

Mr. Thomas K. Kahn  
Clerk of Court  
United States Court of Appeals  
for the Eleventh Circuit  
56 Forsyth Street, N.W.  
Atlanta, GA 30303

**Re: *Greenberg v. National Geographic Society, et al.*,  
Docket No. 00-10510  
Amendment to Petition for Rehearing *En Banc***

Dear Mr. Kahn:

We received on Monday, April 30, the "corrected opinion" in the above-captioned case. Because this corrected opinion addresses one of the questions raised in our petition for rehearing (Question Number 3 concerning the award of attorneys' fees) and the error concerning entry of judgment for the plaintiffs pointed out at page 14, footnote 3, of the petition, we wish to notify the entire *en banc* court that we respectfully withdraw Question Number 3 (pp. 13-14) and that portion of

the brief concerning entry of judgment for the plaintiffs (p. 14, note 3).

In addition to the merits of our petition relating to Section 201(c) of the Copyright Act (addressed in Question 1 of our petition), the corrected opinion fails to correct the accusation of "fraud" on the Copyright Office by National Geographic at footnote 13 of the opinion, which is addressed in Question 2 of our petition. We have today received a letter from the General Counsel of the Copyright Office of the United States, David Carson, bearing directly on the appropriateness of the registration filed by the National Geographic Society in the application process with the Copyright Office.

We respectfully request that you provide this letter to all of the active judges considering the petition and the attached letter from the Copyright Office of the United States.

Respectfully submitted,

/s/

Kenneth W. Starr

cc: Norman Davis, Esq.



LIBRARY OF CONGRESS  
COPYRIGHT OFFICE  
101 Independence Avenue, S.E.  
Washington, D.C. 20559-6000

May 2, 2001

Terrence B. Adamson  
Executive Vice President  
The National Geographic Society  
1145 17th Street, NW  
Washington, DC 20036-4688

Re: Greenberg v. National Geographic Society

Dear Mr. Adamson:

We are writing in response to your letter of April 5, 2001, relating to the decision of the United States Court of Appeals for the Eleventh Circuit in *Greenberg v. National Geographic Society*, No. 00-10510.

Although the Copyright Office does not often comment on the merits of private civil litigation, the court's remarks about the National Geographic Society's possible fraud on the Copyright Office appear to reveal a misunderstanding of Copyright Office registration practices. In the rare cases in which appellate courts discuss our registration practices in a way that is likely to confuse the public, we will speak out in the interests of justice, public education and the orderly administration of the copyright laws. See the Office's Statement of Policy, 65 Fed. Reg. 41,508 (July 5, 2000), and *Raquel v. Education Management Corp.*, 121 S. Ct. 376 (2000) (granting writ of certiorari, vacating the decision of the court of appeals, and remanding "for further consideration in light of

the position asserted by the Solicitor General in his brief for the United States, as *amicus curiae*, filed September 20, 2000, and the Copyright Office's July 5, 2000, Statement of Policy, 65 Fed. Reg. 41,508").

In this case, we are pleased to set the record straight and confirm that having reviewed certificate of registration no. VA 931-760 as well as the registered work, "108 Years of National Geographic Magazine CD-ROM," we find that the National Geographic Society's application complied with the Office's requirements for registration, and that there is no reason to conclude that the application misled the Office in any way. To the extent that your letter invites the Office to express its views on the merits in general of the Eleventh Circuit's opinion in *Greenberg*, we must decline the invitation. Although the Office has misgivings about the *Greenberg* opinion in a number of respects, we do not believe that this is the appropriate occasion to express our views, apart from explaining how the court misunderstood the Office's registration practices.

The statement in *Greenberg* that has caused concern in the Office appears in a footnote:

As noted earlier, the Society failed to indicate the third, and critical, element of the new work, the Program. While the storage and retrieval system may be "transparent" to the unsophisticated computer user, it nevertheless is present and integral to the operation and presentation of the data and images viewed and accessed by the user. *Giving the Society the benefit of the doubt, it may not have intentionally perpetrated a fraud on the Copyright Office.*

Slip opinion at 14, n. 13 (emphasis added). This statement casts doubt on the National Geographic Society's conduct in

connection with its application to register "108 Years of National Geographic Magazine CD-ROM," and on a standard practice in registration of copyrights in works on media such as CD-ROMs.

The court of appeals appears to have erroneously concluded that certificate of registration No. VA 931-760 purports to be a registration of the entire contents of the CD-ROM series constituting "108 Years of National Geographic Magazine CD-ROM."<sup>\*</sup> Our review leads us to a very different conclusion: the certificate purports to register the copyright only in what is described on the face of the certificate as "brief introductory audiovisual montage." It is apparent that this is a reference to what the *Greenberg* opinion refers to as the "moving covers sequence," or simply the "Sequence." See slip op. at 4.

To understand what copyrighted material is being registered, one must carefully examine the application for registration. Although space 1 of the application states that the title of the work is "108 Years of National Geographic Magazine on CD-ROM," space 2 describes the "nature of authorship" as "introductory audiovisual montage." As the *Compendium of Copyright Office Practices, Compendium II* states, "In general, the nature of authorship defines the scope of the registration; therefore, it represents an important copyright fact." *Compendium II*, §619 (1988); see also Statement of Policy, 65 Fed. Reg. 41,508 (July 5, 2000). Thus, the entry in space 2 clarifies that what is being registered is that introductory sequence, rather than the entire contents of the CD-ROMs on which the sequence appears.

Moreover, the entries in space 6 further clarify that the only subject matter being registered is the introductory sequence. Space 6 of an application for copyright registration seeks

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<sup>\*</sup> The application for registration is reproduced in its entirety as part of the certificate of registration.

information about compilations and derivative works. Space 6 of certificate of registration No. VA 931-760 clearly identifies the work being registered as a derivative work, stating in space 6a that the preexisting material includes a “compilation of pre-existing material primarily pictorial,” and stating in space 6b that the “material that has been added to this work and in which copyright is claimed” consists of a “brief introductory audiovisual montage.”\*\* The court’s conclusion that the certificate of registration reveals that “the registered work, the CNG, was a compilation,” slip op. at 14, is thus based on a misinterpretation of the certificate. While the certificate states that the preexisting material was a compilation, it does not state that the additional material, the “audiovisual montage,” was a compilation. Of course, it is possible to view that audiovisual montage as a compilation—but that compilation would simply be a compilation of covers from past issues of the National Geographic magazine, not a compilation of, in the words of the court, “the Sequence, the Replica, and the Program.” See slip op. at 13.

Hence, the National Geographic Society’s application for copyright registration clearly sought registration only of the copyright in the introductory sequence. The Office clearly understood this and issued the certificate of registration based on that understanding.\*\*\*

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\*\* See Copyright Office Circular 55, *Copyright Registration for Multimedia Works*, at 4 (“**New Material Added (6b)**. Briefly describe all the new copyrightable authorship that is the basis of the present registration. An example is: ‘some new text, new photography.’ (The statement used in 6b may be used in space 2 to describe the author’s contribution.)”).

\*\*\* The certificate indicates that the information in spaces 2 and 6a was amended by a Copyright Office examiner as a result of a telephone conversation with an attorney representing the National Geographic Society. This is a common practice when the examiner believes that clarification of  
(continued...)

Accordingly, there can be no question of any attempt to perpetrate a fraud on the Copyright Office, and the court's speculation in footnote 13 of the opinion is inconsistent with the Copyright Office registration record for this particular work.

There is another reason why the court's reference to possible fraud on the Copyright Office is inconsistent with the Office's actual examination and registration practices. A trained examiner understands that a straight, chronological replication of 108 years' worth of National Geographic Magazine does not rise to the level of copyrightable compilation authorship because of the lack of the statutorily required selection, coordination or arrangement. However, assuming that the National Geographic Society had attempted to register a copyright in the entire compilation of 108 years of issues of the National Geographic magazine on CD-ROM, the court appears to have implied that the Society may have attempted to conceal from the Office the presence of the software that is included on the CD-ROM to enable users to gain access to the contents of the magazine issues, and that this possible concealment may have been intended to avoid the consequences that would have ensued if the Office had been

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\*\*\* (...continued)

the copyright claim is needed. The original application included a claim in "photograph" and "text," but following the telephone conversation, those claims were deleted, apparently because the examiner explained to the attorney that the photographs and text in question were part of a straight, chronological replication of 108 years' worth of issues of National Geographic Magazine, which a trained examiner would understand as not rising to the level of copyrightable compilation authorship because of the lack of the statutorily required selection, organization or arrangement. The attorney authorized the examiner to delete the references to "photograph" and "text," and to insert the references to "introductory audiovisual montage." Thus, the application in its final form claimed copyright only in a very limited portion of the content on the CD-ROM, and the Office was aware of this.

aware of the presence of the software on the CD-ROM. We infer this because of the court's reference to "fraud on the Copyright Office." The doctrine of fraud on the Copyright Office provides that the knowing submission of a misleading application for copyright registration may invalidate the resulting registration if awareness of the true facts might have caused the Copyright Office to deny registration. See *Whimsicality, Inc. v. Rubie's Costume Co.*, 891 F.2d 452, 456 (2d Cir. 1989); *S.O.S., Inc. v Payday, Inc.*, 886 F.2d 1081, 1086 (9th Cir. 1989); 2 M. & D. Nimmer, *Nimmer on Copyright* § 7.20[B], at 7-209 (2000).

If this is what the court was thinking, the court misunderstood another aspect of copyright registration practice. The Copyright Office recognizes that when works of authorship embodied in CD-ROM format are submitted for registration, computer programs may be included on the same CD-ROM, and that use of those computer programs may be necessary in order for a user to gain access to the work of authorship in which copyright is claimed. However, it is not necessary in such cases that the application for copyright registration include a claim of copyright in the software.

The Copyright Office Examining Division examines works of authorship embodied in CD-ROM format also according to its "Interim CD-ROM Practices, Literary Section, Rev. 2/95."\*\*\*\* The Practices acknowledge that a single CD-ROM disc may contain "many different types of material, including text, still images: photographs and illustrations, artwork, maps, sounds . . . , motion pictures . . . , computer software code . . ." and that "computer program text is only one of the elements that can be stored on a CD-ROM disc." CD-ROM Practices at 1. The Practices further state that "the author of the material on

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\*\*\*\* Although the Practices are titled "Literary Section," they apply to registration claims received in all classes of authorship and are used by all examiner staff within the Division.

the CD-ROM can also be the author of the retrieval software. Sometimes, however, a company will put together the material on the CD-ROM but use preexisting operating software which may or may not belong to that same company.” CD-ROM Practices at 2.

Under these practices, an examiner will accept an application for registration in which no claim is specifically made for the retrieval software embodied in the CD-ROM as long as there is no information elsewhere on the application or on the deposit copy of the CD-ROM itself which indicates that the software may be owned by the same party claiming copyright in the substantive content of the CD-ROM. This is consistent with the Division’s CD-ROM Practices noted above, which explicitly recognize that the copyright owner of some or all of the substantive content fixed in the CD-ROM may not be the same party that owns the copyright in the retrieval software present on the CD-ROM. Further, an examiner will also accept an application for registration in which no claim is specifically made for the software even if it is factually the case that the same party does own both the substantive content *and* the retrieval software embodied in the CD-ROM. The reason for the latter is that as long as the claim is facially acceptable, *i.e.*, all registration requirements for the authorship explicitly claimed have been met, the examiner will not investigate further and will not communicate with the applicant, according to the general examining principles in *Compendium II*, to determine whether the applicant wishes to extend the scope of the claim. In other words, if the applicant is entitled to claim copyright in the software but elects not to assert that claim, the Examining Division will not require the applicant to make the claim. The Examining Division assumes that the applicant has accurately described the extent of the authorship for which registration is sought. Moreover, if the applicant subsequently finds that the description of the extent of the authorship is incorrect and that additional authorship should have been

claimed, a supplementary registration may be made under 37 C.F.R. 201.5.

Thus, after review of the registration in question by appropriate supervisory examiner staff, the Office considers the registration no. VA 931-760 for the "introductory audiovisual montage" in the work "108 Years of National Geographic Magazine on Cd-ROM" to be valid because the registration was made within required examining guidelines. The National Geographic Society had no obligation to disclose or assert a copyright claim in the software.

The Copyright Office provides information to the public about its examining and registration practices in a series of circulars, including Circular 55, *Copyright Registration for Multimedia Works*. Circular 55 explains that although "All copyrightable elements of a multimedia kit may generally be registered with a single application, deposit and fee . . . [s]eparate registrations for individual elements may be made by submitting a separate application and filing fee each." Circular 55, at 2. Of particular significance with respect to registration no. VA 931-760, the Circular also states:

"A separate registration is required, however, for any element of a multimedia kit that is published separately or claimed by someone other than the copyright claimant for the other elements."

Circular 55, at 2. According to the opinion in *Greenberg*, the software that was included on the CD-ROM was created not by the National Geographic Society, but by Mindscape, Inc. Slip op. at 5. Moreover, the court appears to have concluded that Mindscape owns the copyright in the software. Slip op. at 6 n.3. If that is the case, the National Geographic Society could not have claimed copyright in the software, whether as part of the application for registration of "108 Years of National Geographic Magazine CD-ROM" or separately.



We understand that the court of appeals viewed the entire CD-ROM as a compilation, and that the elements of that compilation included (1) the "Sequence," (2) the digitally reproduced issues of the magazine themselves, and (3) the software that enables users to gain access to the contents of the magazine issues. However, although this letter will not express a view on the merits of that analysis and its implications with respect to what a publisher may do pursuant to 17 U.S.C. § 201(c), we can clarify that the Office's examining practices do not require the owner of the copyright in content that is included on a CD-ROM, and which can be accessed only by using software that is also included on the CD-ROM, to claim compilation authorship with respect to all of the contents (including the software) on the CD-ROM.

In conclusion, based on the facts as we understand them, we believe that the suggestion by the court of appeals that the National Geographic Society may have "perpetrated a fraud on the Copyright Office" when it submitted its application for registration no. VA 931-760 is based on a misunderstanding of copyright registration practices.

We hope that this letter assists in clarifying that the National Geographic Society's application as amended was consistent with Copyright Office policies and practices.

Sincerely,

/s/

David O. Carson  
General Counsel

cc: Norman Davis, Esq.

**APPENDIX E**

**May 16, 2001**

**IN THE UNITED STATES COURT OF APPEALS  
FOR THE ELEVENTH CIRCUIT**

**JERRY GREENBERG,  
IDAZ GREENBERG,**  
Plaintiffs-Appellants,

v.

**NATIONAL GEOGRAPHIC SOCIETY,**  
a District of Columbia corporation,  
**NATIONAL GEOGRAPHIC ENTERPRISES, INC.,**  
a corporation, *et. al.*,  
Defendants-Appellees.

Docket No. 00-10510-CC

On Appeal from the United States District Court for  
the Southern District of Florida

**ORDER**

Appellant's motion to strike the "Amendment to Petition for Rehearing" filed on May 3, 2001, by Appellee National Geographic Society, is GRANTED.

Appellant's motion for permission to respond to Appellees' rehearing petition, as amended, is DENIED, as moot.

/s/ Stanley F. Birch, Jr.  
UNITED STATES CIRCUIT JUDGE

**APPENDIX F**

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF FLORIDA**

**CASE NO. 97-3924-CIV-LENARD**

**JERRY GREENBERG, individually  
IDAZ GREENBERG, individually,**

**Plaintiffs,**

**vs.**

**NATIONAL GEOGRAPHIC SOCIETY, a District of  
Columbia corporation, NATIONAL GEOGRAPHIC  
ENTERPRISES, INC., a corporation, and MINDSCAPE, INC.,  
a California corporation,**

**Defendants.**

**ORDER GRANTING IN PART AND  
DENYING IN PART DEFENDANT'S  
MOTION FOR PARTIAL SUMMARY  
JUDGMENT**

**FILED MAY 14, 1998**

**THIS CAUSE comes before this Court upon Defendants' motion to dismiss and/or for summary judgment (D.E. 18), Plaintiff's cross-motion for summary judgment (D.E. 26), Plaintiff's motion for voluntary dismissal (D.E. 24), and Defendants' motion for oral argument (D.E. 28).**

**In 1990, Jerry Greenberg (Greenberg) provided National Geographic Society (Society) with a photograph he had taken**

of a sea fan, for publication in the July 1990 issue of Society's magazine. Without Greenberg's permission, in 1996 Society reprinted the photograph in a promotional brochure. In 1995 and 1996, also without Greenberg's authorization, Society supplied other photographs taken by Greenberg, including those of a redband parrotfish, a spotlight parrotfish, and a green moray, to Educational Insights, Inc. (Insights), which used them in one of its products.

In 1997, Society, through National Geographic Enterprises, Inc. (Enterprises) and Mindscape, Inc. (Mindscape), produced and began to sell a 30 disc CD-ROM set, entitled The Complete National Geographic, which contains every issue ever published of Society's magazine. A number of the magazines published by Society over the years apparently contain photographs taken by Greenberg. At the beginning of each of the 30 discs in the CD-ROM set is an introduction to The National Geographic which consists of a sequence of ten of the magazine's covers. On one of those covers, from the magazine's January 1962 issue, is a photograph, taken by Greenberg, of a woman scuba diving around a coral reef.

On December 5, 1997, Plaintiff Greenberg filed an action in this Court for copyright infringement against Society, Enterprises and Mindscape. Greenberg alleges that Society infringed his copyright by providing his photographs of a redband parrotfish, a spotlight parrotfish and a green moray to Insights for use in its products (count I), and by reprinting his photograph of a sea fan in a 1996 promotional brochure (count II). Greenberg also alleges that Society, Enterprises and Mindscape infringed his copyright by reproducing a number of his photographs in The Complete National Geographic. On January 30, 1998, Defendants filed a motion to dismiss counts II through V of Greenberg's complaint and, in the alternative, a motion for summary judgment on counts III through V. As Greenberg and Defendants have supplemented their pleadings

with evidence, the Court will treat both of these motions as requests for summary judgment.

A motion for summary judgment may be granted only if no genuine dispute exists as to any material fact. Fed. R. Civ. P. 56(c). In deciding whether there is a genuine issue of material fact, the Court must view the pleadings, affidavits and other evidence in the record "in the light most favorable to the non-moving party." *Retina Associates, P.A. v. Southern Baptist Hosp. of Florida, Inc.*, 105 F.3d 1376, 1380 (11<sup>th</sup> Cir. 1997).

Defendants first contend that counts II through V of Greenberg's complaint must be dismissed, pursuant to 17 U.S.C. § 411(a), because there is no evidence that he registered his copyright in the photograph of the sea fan which Society printed in its 1996 promotional brochure, or in any of the photographs published in Society's magazines, including that of a woman scuba diving around a coral reef. Indeed, "copyright registration is a pre-requisite to the institution of a copyright infringement lawsuit." *Arthur Rutenberg Homes, Inc. v. Drew Homes, Inc.*, 29 F.3d 1529, 1532 (11<sup>th</sup> Cir. 1994). Greenberg has provided the Court with evidence, however, that on December 18, 1995 Society assigned to him the copyrights in these photographs, and that he subsequently renewed those copyrights prior to the time of their expiration. Exhibit B, 1-3, Plaintiff's Memorandum in Opposition to Defendants' Motion to Dismiss or for Summary Judgment.

Defendants next argue, pursuant to 17 U.S.C. § 201(c), that counts III through V of Greenberg's complaint must be dismissed because Defendants are permitted to reproduce and distribute, in *The Complete National Geographic*, photographs taken by Greenberg, including his photograph of a woman scuba diving around a coral reef, which were previously published in Society's magazines.

Under 17 U.S.C. § 201(c):

Copyright in each separate contribution to a collective work is distinct from copyright in the collective work as a whole, and vests initially in the author of the contribution. In the absence of an express transfer of the copyright or of any rights under it, the owner of copyright in the collective work is presumed to have acquired only the privilege of reproducing and distributing the contribution as a part of that particular collective work, any revision of that collective work, and any later collective work in the same series.

17 U.S.C. § 201(c). Defendants concede that the previous issues of Society's magazines in which Greenberg's photographs were published are collective works in which Defendants were permitted to reproduce Greenberg's photographs. They submit, however, that The Complete National Geographic constitutes a 'revision' of that collective work within the meaning of 17 U.S.C. § 201(c). Greenberg disagrees.

The Court has only been able to locate one published opinion, *Tasini v. New York Times Co.*, 972 F. Supp. 804 (S.D.N.Y. 1997), in which a court has addressed the issue whether a collective work is a revision within the meaning of this statute. In that case, a number of freelance writers whose articles were published in several widely read periodicals sued those periodicals and two companies to which the periodicals sold the writers' articles, one of which provided its subscribers with the texts of the articles electronically and the other of which distributed the texts on CD-ROM, for copyright infringement. The defendants argued that the electronic databases and the CD-ROM's promulgating the writers' articles were 'revisions' of the periodicals, collective works, within the meaning of 17 U.S.C. § 201(c).

The court observed that:

If defendants change the original selection and arrangement of their newspapers or magazines, however, they are at risk of creating new works, works no longer recognizable as versions of the periodicals that are the source of their rights. Thus, in whatever ways they change their collective works, defendants must preserve some significant original aspect of those works—whether an original selection or an original arrangement—if they expect to satisfy the requirements of Section 201(c). Indeed, it is only if such a distinguishing original characteristic remains that the resulting creation can fairly be termed a revision of “that collective work” which preceded it.

*Tasini*, 972 F. Supp. at 821. In order to determine whether the electronic databases and CD-ROMs constituted a ‘revision’ of the periodicals, the court explained that a two-pronged inquiry is necessary. First, a court must identify any original selection or arrangement of materials in the collective work. Second, if the court concludes that the collective work possesses any such original selection or arrangement of materials, it must determine whether these characteristics are preserved electronically. *Tasini*, 972 F. Supp. at 821. The *Tasini* court then concluded that:

If the disputed periodicals manifest an original selection or arrangement of materials, and if that originality is preserved electronically, then the electronic reproductions can be deemed permissible revisions of the publisher defendants’ collective works. If, on the other hand, the electronic defendants do not preserve the originality of the disputed publications, but merely exploit the component parts of those

works, then plaintiffs' rights in those component parts have been infringed.

*Tasini*, 972 F. Supp. at 822. This Court finds the *Tasini* Court's reasoning sound and therefore adopts the legal framework developed by that court to analyze the legal question currently before this Court.

Society indisputably selected and arranged the articles and photographs in each issue of its magazines. The question therefore arises whether this original selection and arrangement is preserved in The Complete National Geographic. In order to answer this question in the affirmative, the *Tasini* court noted that the electronic work "cannot differ in selection by more than a trivial degree from the work that preceded it." *Tasini*, 972 F. Supp. at 823.

As evidence that The Complete National Geographic does not differ by more than a trivial degree from Society's magazines, Defendants have supplied the Court with the declarations of Thomas Stanton, Society's Director of CD-ROM Product Management, who states that: (1) The Complete National Geographic contains an "exact image of each page as it appeared in the Magazine;" (2) The Complete National Geographic draws from the northeastern edition of Society's magazine; (3) the 30 to 40 regional editions of the magazine which Society publishes are identical except for the advertisements; and (4) at the beginning of each CD-ROM in The Complete National Geographic, there is a short display of images from ten different magazine covers, including the January 1962 cover showing the picture taken by Greenberg of a woman scuba diving around a coral reef. Declaration of Thomas Stanton, P 5-7; Reply Declaration of Thomas Stanton, P 4. Greenberg has not adduced any evidence to contradict Stanton's statements.

He submits, however, that the image display and Society logo at the beginning of each disc, the credit display at the end



of each disc, and Society's selection of one edition of the many editions of the magazine, render The Complete National Geographic more than trivially different from Society's magazines. This Court disagrees, and concludes that the evidence produced by Defendants indicates that the Complete National Geographic "retain[s] enough of Defendants' periodicals to be recognizable as versions of those periodicals." *Tasini*, 972 F. Supp. at 824. Consequently, The Complete National Geographic constitutes a 'revision' of Society's magazines within the meaning of 17 U.S.C. § 201(c). Defendants therefore did not improperly reproduce or distribute, in The Complete National Geographic, Greenberg's photographs.

Accordingly, it is hereby ORDERED AND ADJUDGED that:

(1) Defendants' motion to dismiss and/or for summary judgment as to count II, be DENIED;

(2) Defendants' motion for summary judgment as to counts III, IV and V, be GRANTED. Counts III, IV and V are therefore DISMISSED with prejudice.\*

(3) Plaintiff Greenberg's cross-motion for summary judgment as to count III, be DENIED;

(4) Plaintiff Greenberg's motion to voluntarily dismiss count IV, be DENIED as MOOT; and

(5) Defendants' request for oral argument, be DENIED.

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\* Defendants also contend that counts III through V should be dismissed because their use in the image display at the beginning of each disc of The Complete National Geographic of Greenberg's 1962 cover photograph of a woman scuba diving around a coral reef is: (1) de minimis; and (2) fair use within the meaning of 17 U.S.C. § 107. In light of its conclusion that Defendants are permitted to use the cover photograph at issue pursuant to 17 U.S.C. § 201(c), the Court need not entertain these arguments.

44a

DONE AND ORDERED in Chambers, at Miami, Florida on  
this 14 day of May, 1998.

/s/

Joan A. Lenard  
United States District Judge

## Take A Look

Take a look at two new desktop electronic publishing products being offered. These do-it-yourself systems make publishing an out-of-the-box reality for everyone.

**Microboards Technology** (Chanhassen, MN 612-470-1848) puts a CD-R publishing system on your desk for \$5,700. Their Desktop CD-R Publisher system includes one 4X CD-Recorder, Cedar Technology's Autoloader, two CD holders, Cedar CD Face label editing software, Prassi CD-Rep premastering software for Windows 95 or NT and Prassi Robo Rep duplication software. For \$300 more the system includes the Fargo Signature CD Color Printer. Print full-color, high resolution images on printable surface CD-R media. For more demanding applications get the system configured with two CD-Recorders.

**Enigma** (Waltham, MA 617-290-0080) makes *Insight into Information 4.0* (\$7,500) desktop electronic publishing software. Publish professional-quality, full text retrieval applications for distribution on CD-ROM, the Internet, an intranet or network simultaneously. The software uses wizards to guide you through the step-by-step process.

Publish 250 to one million pages of documents, with full text and hypertext navigation. Use it to publish periodical documents and distribute your info on multiple forms of media. The software automatically creates a table of contents. Integrate multiple-source formats including SGML, XML, HTML, RTF and Microsoft Word.

The application has a familiar Windows 95/98 look for ease of use to the end-user. You need a Windows 3.1, 95 or NT compatible with at least 8 MB of RAM. End users can run applications created with *Insight* on various platforms including Windows and Mac. Web and intranet applications are installed on Windows NT Web servers. These can be accessed using any standard Web browser.

out the shipping cost of heavy paper packages.

The publishing can be done easily in house with a robust scanner, a CD-Recorder, or the right size Web server for Internet publishing. The conversion work can also be sent to service bureaus and electronic publishing houses. Many service bureaus offer Adobe PDF file conversion and electronic publishing services. PDF plays a big part in the electronic publishing arena. The PDF format makes documents viewable on any platform while keeping all of the original document elements including layout, fonts, imbedded video and audio.

Another purpose to electronic publishing, besides distribution, is being able to preserve old and fragile paper documents safely. This gives access to the public without worrying about the wear and tear to irreplaceable documents.

## National Geographic Publishes 108 Years On CD-ROM

National Geographic completed a project last fall to publish the magazine's first 108 years on CD-ROM entitled, *The National Geographic Society's First 108 Years*. The 30-CD collection spans over 10 decades. It includes the magazine's first issue in October of 1888 and continues up to the December issue of 1996. National Geographic published their issues to CD-ROM with the goal of preserving the information and making it available to the public.

Every page from some 1,235 issues was scanned — more than 190,000 printed pages in total. This included text, graphics, photography and advertisements. National Geographic started the testing for the project and coming up with requirements in February 1996. The work began in September and the CDs began shipping in August 1997.

"The approach was to scan the page and treat it as electronic microfiche. We looked to preserve the actual page image and all the photos," says Tom Stanton, director of CD-ROMs for National Geographic Interactive.

National Geographic created the CD collection for consumers. The CDs had to be able to run on a 486 66 PC with 8 MB, running Windows 3.1. "We created the product without high requirements realizing that not all users can afford to upgrade to Windows 95 or the latest thing," says Stanton.

"We went out locally to find a scanning service bureau in DC. Most companies were doing work for government applications, primarily a black and white science. We wanted to scan 24-bit color at a minimum with high photo quality. Creating a consumer product,

we saw no need to use a very high resolution because of the limits of display." National Geographic came across Ledge Multimedia, a division of **Dataware Technologies** (Cambridge, MA 617-621-0820).

Ledge Multimedia also worked with **Document Automation Development** (Overland Park, KS 913-663-4323), a provider of document automation services including electronic publishing and scanning. Document Automation Development (DAD) had the monumental task of scanning all 1,235 original issues. From there the scanned images would go to Ledge Multimedia for merging the scanned material and multiple indexes. Each image is a two page spread from the magazine.

The two companies developed a unified standard for use throughout the project. Test pages were scanned at various settings until they found the right settings to optimize the magazine's pages including photographs and images.

DAD used a collection of five software applications created in-house, collectively called DocuTrak. DocuTrak has a proprietary process for workflow management that allowed DAD to accurately index and track some 300 total GB of images and information. Three complete sets of the magazine were delivered on three forklifts direct from National Geographic. The first set was the master set. The second was a safety set, in case any pages in the master set were unusable with folds or stains. The third set was a back-up in case of a total catastrophe in the process.

"We used DocuTrak to index every page of every issue from front cover to back cover, including foldouts," says Vince Pingel, president of DAD. "An operator turned the pages of each issue and entered the information into the index format by hand. Once every page was indexed, the information went into a database."

The binding was cut off the master set and DAD began scanning the issues. DocuTrak gives on-screen prompts to the scanner operator that tell the person exactly what pages they should be scanning. DAD reviewed every scanned image as part of their control on the scanning process.

DAD's use of DocuTrak in their work with National Geographic let them eliminate a lot of the manual work and minimize the risk of human error. One of DocuTrak's five components is an indexing module that drives the scanner and assigns the images file names. Another is the workflow component that drives the entire process. A third is a quality control piece that does a page by page check of every image burned to CD-R against

the original index. A report generator itemizes the entire product and database in a spreadsheet fashion. This gets passed on to Dataware for them to build on.

To automate the process of giving the images file names, DAD had to create a structural index, assigning page numbers to all the pages that were numbered and unnum-

bered, including foldouts and ads. "We took a page-by-page account from all the issues to figure out how to fit this into a file naming scheme," says Pingel. "This is where DocuTrak came in. We created our structural index of the magazine and put that into DocuTrak. DocuTrak drove the scanning process and guided the operator."

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DocuTrak gave prompts to the scanner operator, automatically named the file

according to the structural index and placed the file in the proper directory. DAD automated the entire scanning process down to one person. They used one operator running two scanners at a time. The operator was freed up to do this because DocuTrak automatically set all the scan settings.

File compression, image rotation, moving the files across to the network to the burner and staging of the CD-R was all done automatically by DocuTrak.

DAD created about three GB of scanned images a day. These were compressed using Pegasus Software and staged for CD mastering. Two complete sets were created, one for Ledge Multimedia and one for DAD's backup. There were 644 CDs per set — 1,288 CDs in total were authored in house. One CD

holds two issues in uncompressed BMP format and JPEG compressed format. To record the issues onto CDs, DAD used a Panasonic CD-recorder, an HP CD-recorder, Sony CD-R media and Adaptec CD creation software.

After mastering, each CD was checked again for errors by physically comparing each scanned image with the original page from the safety set of magazines. "We did everything we could to make sure every page was accounted for and the scanned pages were error free," says Pingel.

The complete set of images on CD was sent to Ledge Multimedia to be merged with the vast index created by the Library Science Group at National Geographic and Ledge's index search database and image navigation database format.

"We worked closely with National Geographic on the design of the project," says Lisa Kryger, executive producer from Ledge Multimedia. "We helped them come to terms with what they could and could not do. They wanted all the documents kept in the same format they originally appeared in with the same index used in the magazine."

P. 2 cert

## Another purpose to electronic publishing, besides distribution, is being able to preserve old and fragile paper documents safely.

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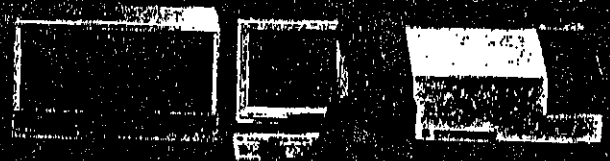
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4. Publish yourself. Everyone can become a published writer. You don't need anyone else to produce your work. Get your ideas across the globe while sitting at your desk.

the text. The text is not very sharp in black and white with some halo around it. This is especially true in the older documents, scanned from yellowed paper. We did as much as we could to correct this. The purpose was to create a consumer product which forced us to make compromises in quality."

National Geographic decided against full-text search. "We thought it was overkill for the average user," says Stanton. "We had an index in the library where they looked at every page and assigned five key terms to every page. They did this by hand. Blessed with this in-house index, we thought it would more than suffice.

"We considered OCRing all the text but we needed 100% accuracy. Having 99% wouldn't be up to National Geographic stan-

Ledge used Dataware's proprietary ADL database. The database is invisible on CD format. Their index search database was used to create a data retrieval library which sits on every CD.

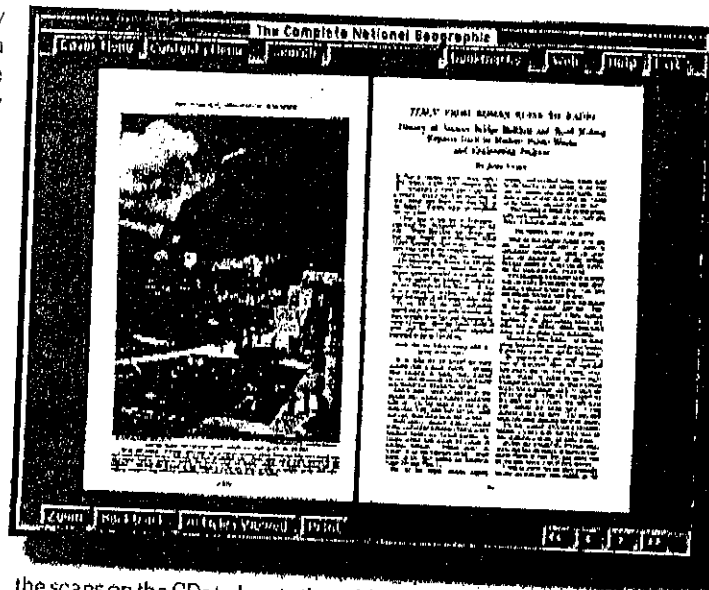
Each CD also contains its own navigation database of all the images, giving related pages and articles. They are all in directory structures based on month and year. Each image is identified by type and by page number. The database tells the user what CD to insert in a search.

The images that were sent on CD from DAD were scanned for millions-of-colors display. Because this is a consumer product National Geographic wanted the images to also be made viewable for a 256 color display. To do this a second version of the images had to be made with a specific color palette for each set of images (each two page spread). This second palette is invisible to the user. If their monitor has a 256 color display the user doesn't know the difference. This display feature was written specifically by Ledge for National Geographic.

Ledge wrote multiple versions of the project for approval by National Geographic. They recorded the CDs using Adaptec Toast Software and a variety of internal CD-R drives.

"The biggest challenge was dealing with the magnitude of data, says Kryger. "Once everything was indexed we had to look through every page to verify the indexing and navigation was correct."

Their second major task was to index the advertisements that appeared in the magazines. This was done chronologically. After 1970 National Geographic included regional advertisements. This made it difficult to index. Ledge wrote a Visual Basic application for the indexing. They had to go through



National Geographic published the magazine's first 108 years on a CD-ROM entitled, *The National Geographic Society's First 108 Years*. Every page from some 1,235 issues was scanned. They used Ledge Multimedia, a division of Dataware Technologies (Cambridge, MA 617-621-0820).

the scans on the CDs to locate the odd regional ads and replace them.

Users can search across the CD-ROMs through every issue by criteria such as title, subject, keyword, place, name, contributor and date. Ads can also be searched for separately by subject and date.

"We were very fortunate to find Ledge," says Stanton. "They were able to integrate the scanning with the index table from the magazines. They also integrated our own index material consisting of tens-of-millions of individual words or phrases derived from our Library Sciences Group who carefully indexed all of these pages for years. It was a major boost to the project that this in-depth index for the text already existed. We were also able to have a hyper index for related subject or contributor."

"The project was reasonably cost effective," says Stanton. "Our biggest trade off was the compression which had to be light. We used JPEG which worked the best on images and not

dards. National Geographic wanted to preserve the look, feel and style of the magazine. Having the page image did the best job."

National Geographic also considered publishing on the Web. They looked at what it would take to download an entire article which would typically be about 20 pages long. That would be half to three-quarters of a megabyte to look at one article. "We thought CD would be a perfect medium," says Stanton. "The only downside is the 30 CDs. We're looking into DVD to reduce this.

"We are very pleased with Ledge. They will do other projects for us in the future. We were relieved to find a team of solid engineers with a great approach. They are a sophisticated group which had experience with commercial CD-ROM publication. They really cared about the work they were doing and they fell they in love with the project without any seduction from us." ■