



UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application Forecasting Program

Part 1: Eligibility and Contact Verification

- 1. Is your company considered to be a subsidiary of another company with headquarters in the U.S.? Yes (CONTINUE WITH QUESTION 2) No (SKIP TO QUESTION 3)

- 2. If your parent company completes this survey, will it consolidate your patent filing activity information into its statistics? Yes (CONTINUE WITH A) No (SKIP TO QUESTION 3)

A. If applicable, please provide us with the contact information for your Parent Company:

Contact Name: _____

Organization Name: _____

Organization Address: _____

Phone Number: _____

PLEASE STOP HERE AND MAIL THIS QUESTIONNAIRE TO XXX IN THE PRE-ADDRESSED, POSTAGE PAID RETURN ENVELOPE. THANK YOU FOR YOUR PARTICPATION!

- 3. Are you able to report aggregate patent application statistics for your entire company, including its subsidiaries? Yes (SKIP TO QUESTION 4) No (CONTINUE WITH B)

B. Please list up to three of the largest-filing subsidiaries of your company for which you have not included filing data:

| | Contact Name | Organization Name | Phone Number |
|----|--------------|-------------------|--------------|
| 1. | _____ | | |
| 2. | _____ | | |
| 3. | _____ | | |

C. Please refer to the contact and address information on the cover of this booklet. Should any information be inaccurate, please provide corrected information below.

Name: _____

Job Title: _____

Phone Number: _____

Company Name: _____

Part 2: Patent Application Activity

To serve you in a timely fashion and at high levels of quality, the USPTO relies on reliable forecasts of future patent filings to allocate its resources efficiently and effectively. *Your answers to the following questions are very important!*

Domestic Filings

4. Please report the number of provisional patent application filings submitted or expected to be submitted in the years indicated below.

| | Application Filings | | | |
|---|----------------------------|-------------|-------------|-------------|
| | 20XX | 20XX | 20XX | 20XX |
| National provisional applications ¹ | | | | |

¹ A provisional application for a patent is a type of application filed in the USPTO. It allows filing without a formal patent claim, oath or declaration, or any information disclosure (prior art) statement. It provides the means to establish an early effective filing date in a non-provisional patent application and automatically becomes abandoned after one year. It also allows the term “Patent Pending” to be applied.

5. Please report the number of national non-provisional utility patent application filings submitted or expected to be submitted in the years indicated below.

| | Application Filings | | | |
|---|----------------------------|-------------|-------------|-------------|
| | 20XX | 20XX | 20XX | 20XX |
| National non-provisional applications ² | | | | |

² These are the most common applications filed at the USPTO. National non-provisional utility patent applications are filed for inventions or discoveries of any new, useful, and non-obvious process, machine, article of manufacture, or composition of matter, or any new and useful improvement thereof. A national filing is one submitted under the laws of a country and/or the Paris Convention for the Protection of Industrial Property. Please include all non-provisional utility application filings subject to a filing fee including a Request for Continued Examination (RCE) filing to reopen prosecution and continue examination of an application in which prosecution is closed (e.g., the application is under final rejection or a notice of allowance).

6. Please report the number of PCT international application filings submitted or expected to be submitted to the USPTO Receiving Office for the indicated years.

| | Application Filings | | | |
|--|---------------------|------|------|------|
| | 20XX | 20XX | 20XX | 20XX |
| International applications ³ | | | | |

³ International applications are those filed under Chapter One of the Patent Cooperation Treaty (PCT).

Filings Abroad

7. Please indicate the number of patent filings submitted or expected to be submitted to patent offices other than the USPTO in *20XX through 20XX*.

| | Application Filings | | | |
|--|---------------------|------|------|------|
| | 20XX | 20XX | 20XX | 20XX |
| National applications filed abroad | | | | |
| a. European patent office (EPO) | | | | |
| b. EPO member countries' offices (Please see country list below) | | | | |
| c. Japan patent office | | | | |
| d. All other offices | | | | |

| EPO Member Countries | | | | |
|----------------------|-------------------|---------------|-------------|------------|
| Austria | Denmark | Hungary | Malta | San Marino |
| Belgium | Ellas | Ireland | Macedonia | Sweden |
| Bulgaria | Estonia | Iceland | Monaco | Slovenia |
| Croatia | Spain | Italy | Netherlands | Slovakia |
| Switzerland | Finland | Liechtenstein | Norway | Turkey |
| Cyprus | France | Lithuania | Poland | |
| Czech Republic | United Kingdom | Luxembourg | Portugal | |
| Germany | Hellenic Republic | Latvia | Romania | |

8. Please report the number of PCT international application filings submitted or expected to be submitted directly to the International Bureau of the *World Intellectual Property Organization (WIPO)* in *20XX through 20XX*.

| | Application Filings | | | |
|--|---------------------|------|------|------|
| | 20XX | 20XX | 20XX | 20XX |
| International applications filed with International Bureau (WIPO) | | | | |

Part 3: Patent Valuation

9. To help gauge the value created by patents granted, the USPTO is interested in estimating the fair market value of a U.S. patent. Please select the range that best represents the fair market value of your patent or the average fair market value of all your patents. For the purpose of this survey, fair market value is the price at which the patent would change hands at the present time between a willing buyer and a willing seller, with both having reasonable knowledge of relevant facts.

| | |
|----------------------|--------------------------|
| Less than \$500K | \$3M - \$3,499,999 |
| \$500K - \$999,999 | \$3.5M - \$3,999,999 |
| \$1M – \$1,499,999 | \$4M - \$4,499,999 |
| \$1.5M – \$1,999,999 | \$4.5M - \$4,999,999 |
| \$2M - \$2,499,999 | Greater than \$4,999,999 |
| \$2.5M - \$2,999,999 | |

Part 4: General Feedback

10. In the space below, please briefly describe any industry trends that may affect your patent application submissions in the future and/or impacted your ability to accurately report application activity on this survey.

11. Finally, we are interested in learning about any difficulties you had completing this survey. In the space below, please comment further on general issues that arose during the course of completing this questionnaire.

**THANK YOU FOR YOUR PARTICIPATION!
PLEASE RETURN THIS QUESTIONNAIRE TO SYNOVATE IN THE PRE-ADDRESSED,
POSTAGE-PAID RETURN ENVELOPE**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. This collection of information is requested as part of the USPTO's efforts to gauge and improve efficiency, quality of output, and customer satisfaction. The data collected from this survey will be used by the USPTO to improve customer service by allocating resources more effectively. The responses will be aggregated. The information collected during the survey will be treated confidentially to the extent allowed under the Freedom of Information Act. This collection of information is voluntary in accordance with E.O. 12862, Setting Customer Service Standards. This mail survey is estimated to take approximately 30 minutes to complete, including the time to gather the information necessary to complete the survey and to provide responses by mail, online, or through a follow-up phone call. The time may vary depending upon the circumstances of the individual respondent. Any comments on the amount of time required to complete this survey and other aspects of this collection or suggestions for reducing the burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

OMB No. 0651-0052 Approval Expires XX/XX/XXXX.

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