

STATUTORY INVENTION REGISTRATIONS  
AND  
DEFENSIVE PUBLICATIONS

JANUARY 1977 -- DECEMBER 2011



March 2012  
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*A PATENT TECHNOLOGY MONITORING TEAM REPORT*

# Statutory Invention Registrations and Defensive Publications Report

## 1/1977 - 12/2011

### Explanation of Data

This Patent Technology Monitoring Team (PTMT) Report profiles patent activity for statutory invention registrations and defensive publications (hereafter referred to as patents) granted between **1977** and **December 2011**. The source of the data used for this report is the TAF database maintained by the U.S. Patent and Trademark Office.

#### Data Distribution By Date of Grant and By Date of Application

##### **Parts A1 and A2**

Part A1 distributes patent GRANT data by year of patent grant ("Patents Granted By Date of Patent Grant"). Part A2 distributes grant data by the year in which the patented application was filed ("Patents Granted By Date of Patent Application"). Parts A1 and A2 each provide patent counts (pages A1-1 and A2-1) and percent distributions (pages A1-2 and A2-2). Patent data in the "**Pre 1998**" column correspond to the period **prior to 1998**.

##### **Part B**

Part B of this report distributes patent GRANT data for organizations that have received U.S. patents since **1977**. Data are presented by the year in which the patent was granted ("Patents By Year of Grant") and the year in which the patent (or patented application) was filed ("Patents by Year of Application").

DATA FOR THOSE APPLICATIONS WHICH WERE FILED BUT NEVER ISSUED (ROUGHLY 35% OF TOTAL FILINGS) ARE NOT INCLUDED IN THIS REPORT.

Since the average time period between filing for a patent and the issuing of the patent (i.e., a patent's "pendency") is now about **34** months, the patented application data for the most recent years are incomplete.\* This is because the patents included in this report are limited to those **granted** during the specified time period. However, a significant number of the applications filed during the most recent years of this time period were still pending at the end of the period. While many of these applications eventually will be patented, they will not be patented until sometime following the end of the period displayed in this report.

Patented application data are of significant value since the date an application was filed more accurately reflects when the technology was developed. Additionally, fluctuations in data based on application date are much more likely to reflect changes in technological activity since, for the most part, such fluctuations would be immune from changes in U.S. Patent and Trademark Office (PTO) processing such as occurred in years such as in 1986 and 2005 when the PTO issued fewer patents than would have normally been expected because of administrative reasons. Note that a patent's "pendency" can be quite variable from one patent to another thereby affecting the date of patent grant. Such variation in pendency is determined by many factors, including PTO workload (which varies between technologies), budget and manpower levels, patent printing schedules, etc.

Patent data in the "**Pre 1998**" column correspond to the period **prior to 1998**.

#### Parts of the Report

**Parts A1 and A2** present tables which show, by number and percent, the patent activity. Part A1 presents data by year of patent grant ("Patents Granted by Date of Patent Grant"). Part A2 redistributes grant data by year of patent application ("Patents Granted by Date of Patent Application"). The location of **patent origin is determined by the residence of the first-named inventor at the time of grant**.

**Patent ownership** reflects ownership at the time of patent grant and does not include subsequent changes in ownership. If more than one assignee was declared at the time of grant, the patent is attributed to the first-named assignee. The U.S. and Foreign Corporation ownership categories count predominantly corporate patents; however, patents assigned to other organizations such as small businesses, nonprofit organizations, universities, etc. are also included in these categories. While U.S. Government patent ownership includes only patents granted to the Federal Government, no similar distinction is made for Foreign Government patents.

Note that for a patent, the country of origin may differ from the country of ownership. Therefore, **the sum of U.S. origin patents does not equal the sum of U.S. ownership category patents**.

**Part B** is a ranked listing of national and international organizations (i.e., corporations, universities, government agencies) which have received one or more U.S. statutory invention registrations and/or defensive publications since **1977**. Data line 1 for each listed organization distributes counts of patent grants by year of grant. Data line 2 for each organization redistributes those same patent grants by year in which the patented application was filed. Information on patent ownership reflects ownership at the time of patent grant. Although a substantial effort has been made to combine name variations into a single organizational name, many organizations continue to have patents listed under more than one organizational name.

\* For example, in a report profiling utility patents granted through December 2011, patent grant data, as distributed by year of application are approximately 90% complete for utility patent applications filed in 2003, 82% complete for applications filed in 2004, 72% complete for applications filed in 2005, 61% complete for applications filed in 2006, 49% complete for applications filed in 2007, 34% complete for applications filed in 2008, and 17% complete for applications filed in 2009; data are essentially complete for applications filed prior to 2003. Currently, completion percentages restricted to statutory invention registrations and defensive publications are not available.

## Part A1

Patent Grants As Distributed By Year of Patent Grant

----- Patents Granted By Date Of Patent Grant (Granted: Jan 01, 1977 - Dec 31, 2011) -----

	NUMBER OF PATENTS															
	Pre 1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	Total
Total	2192	62	60	104	76	49	36	20	23	32	29	20	6	17	15	2741
U.S. Origin	1947	56	56	96	72	49	35	19	23	28	26	20	5	15	14	2461
Foreign Origin	245	6	4	8	4		1	1		4	3		1	2	1	280
JAPAN	133	3	2	2												140
UNITED KINGDOM	56			3	1					1	1					62
CANADA	14	1		2										2	1	20
GERMANY	11				1											12
NETHERLANDS	9										1					10
FRANCE	6	1														7
SWITZERLAND	5															5
AUSTRALIA	2				1					1						4
SOUTH AFRICA			1	1			1				1					4
INDIA	3															3
ITALY	2	1														3
BELGIUM	2		1													3
INDONESIA	1															1
SWEDEN	1															1
TAIWAN					1											1
ISRAEL								1								1
AUSTRIA										1						1
CZECH REPUBLIC										1						1
MALAYSIA													1			1
Ownership:																
U.S. Corporations	519	26	28	65	44	27	25	7	10	8	14	9	2	9	3	796
U.S. Government	976	10	14	25	24	19	7	12	11	18	10	10	3	5	10	1154
U.S. Individuals	484	19	13	10	4	3	2			2	2	1		1	1	542
Foreign Corporations	128	6	3	3	3		2		2	3	2				1	153
Foreign Government																0
Foreign Individuals	85	1	2	1	1			1		1	1		1	2		96

----- Patents Granted By Date Of Patent Grant (Granted: Jan 01, 1977 - Dec 31, 2011) -----

	PERCENT OF PATENTS															
	Pre 1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	Total
Total	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100
U.S. Origin	89	90	93	92	95	100	97	95	100	88	90	100	83	88	93	90
Foreign Origin	11	10	7	8	5		3	5		13	10		17	12	7	10
JAPAN	6	5	3	2												5
UNITED KINGDOM	3			3	1					3	3					2
CANADA	1	2		2										12	7	1
GERMANY	1				1											0
NETHERLANDS											3					0
FRANCE		2														0
SWITZERLAND																0
AUSTRALIA					1					3						0
SOUTH AFRICA			2	1			3				3					0
INDIA																0
ITALY		2														0
BELGIUM			2													0
INDONESIA																0
SWEDEN																0
TAIWAN					1											0
ISRAEL								5								0
AUSTRIA										3						0
CZECH REPUBLIC										3						0
MALAYSIA													17			0
Ownership:																
U.S. Corporations	24	42	47	63	58	55	69	35	43	25	48	45	33	53	20	29
U.S. Government	45	16	23	24	32	39	19	60	48	56	34	50	50	29	67	42
U.S. Individuals	22	31	22	10	5	6	6			6	7	5		6	7	20
Foreign Corporations	6	10	5	3	4		6		9	9	7				7	6
Foreign Government																0
Foreign Individuals	4	2	3	1	1			5		3	3		17	12		4

## Part A2

### Patent Grants As Distributed By Year of Patent Application

----- Patents Granted By Date Of Patent Application (Granted: Jan 01, 1977 - Dec 31, 2011) -----

	NUMBER OF PATENTED APPLICATIONS															
	Pre 1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	Total
Total	2406	113	46	34	23	34	25	16	9	14	12	6	3			2741
U.S. Origin	2143	110	44	33	22	33	23	13	9	12	10	6	3			2461
Foreign Origin	263	3	2	1	1	1	2	3		2	2					280
JAPAN	140															140
UNITED KINGDOM	58	2		1				1								62
CANADA	17							1		2						20
GERMANY	12															12
NETHERLANDS	9										1					10
FRANCE	7															7
SWITZERLAND	5															5
AUSTRALIA	2		2													4
SOUTH AFRICA	1	1			1			1								4
INDIA	3															3
ITALY	3															3
BELGIUM	3															3
INDONESIA	1															1
TAIWAN	1															1
SWEDEN	1															1
ISRAEL						1										1
AUSTRIA							1									1
CZECH REPUBLIC							1									1
MALAYSIA											1					1
Ownership:																
U.S. Corporations	619	76	26	19	9	16	7	6	4	6	5	2	1			796
U.S. Government	1038	23	14	14	11	14	15	6	4	4	5	4	2			1154
U.S. Individuals	521	10	3		2	1	1	1	1	2						542
Foreign Corporations	139	4	1	1	1	2	2	2		1						153
Foreign Government																0
Foreign Individuals	89		2			1		1		1	2					96

---- Patents Granted By Date Of Patent Application (Granted: Jan 01, 1977 - Dec 31, 2011) ----

	PERCENT OF PATENTED APPLICATIONS															
	Pre 1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	Total
Total	100	100	100	100	100	100	100	100	100	100	100	100	100			100
U.S. Origin	89	97	96	97	96	97	92	81	100	86	83	100	100			90
Foreign Origin	11	3	4	3	4	3	8	19		14	17					10
JAPAN	6															5
UNITED KINGDOM	2	2		3				6								2
CANADA	1							6		14						1
GERMANY																0
NETHERLANDS											8					0
FRANCE																0
SWITZERLAND																0
AUSTRALIA			4													0
SOUTH AFRICA		1			4			6								0
INDIA																0
ITALY																0
BELGIUM																0
INDONESIA																0
TAIWAN																0
SWEDEN																0
ISRAEL						3										0
AUSTRIA							4									0
CZECH REPUBLIC							4									0
MALAYSIA											8					0
Ownership:																
U.S. Corporations	26	67	57	56	39	47	28	38	44	43	42	33	33			29
U.S. Government	43	20	30	41	48	41	60	38	44	29	42	67	67			42
U.S. Individuals	22	9	7		9	3	4	6	11	14						20
Foreign Corporations	6	4	2	3	4	6	8	13		7						6
Foreign Government																0
Foreign Individuals	4		4			3		6		7	17					4



Part B

Ranked Listing of Organizations with Patent Grants

As Distributed By Year of Patent Grant

and As Distributed By Year of Patent Application

(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

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---- Organizational Patenting (Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

	Pre															
	1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	TOTAL
IMPERIAL CHEMICAL INDUSTRIES PLC																
Patents By Year of Grant:	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0	26
Patents By Year of Application:	26	0	0	0	0	0	0	0	0	0	0	0	0	0	0	26
KONICA CORPORATION																
Patents By Year of Grant:	25	0	0	0	0	0	0	0	0	0	0	0	0	0	0	25
Patents By Year of Application:	25	0	0	0	0	0	0	0	0	0	0	0	0	0	0	25
A. E. STALEY MANUFACTURING COMPANY																
Patents By Year of Grant:	24	0	0	0	0	0	0	0	0	0	0	0	0	0	0	24
Patents By Year of Application:	24	0	0	0	0	0	0	0	0	0	0	0	0	0	0	24
DSC/CELCORE, INC.																
Patents By Year of Grant:	0	0	2	16	3	0	0	0	0	0	0	0	0	0	0	21
Patents By Year of Application:	0	21	0	0	0	0	0	0	0	0	0	0	0	0	0	21
PROCTER + GAMBLE COMPANY																
Patents By Year of Grant:	12	2	0	2	1	3	0	0	0	0	0	0	0	0	0	20
Patents By Year of Application:	19	1	0	0	0	0	0	0	0	0	0	0	0	0	0	20
EXXON PRODUCTION RESEARCH COMPANY																
Patents By Year of Grant:	17	1	1	0	0	0	0	0	0	0	0	0	0	0	0	19
Patents By Year of Application:	19	0	0	0	0	0	0	0	0	0	0	0	0	0	0	19
FMC CORPORATION																
Patents By Year of Grant:	9	2	1	2	3	1	0	1	0	0	0	0	0	0	0	19
Patents By Year of Application:	13	6	0	0	0	0	0	0	0	0	0	0	0	0	0	19
W. R. GRACE & CO.-CONN.																
Patents By Year of Grant:	15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	15
Patents By Year of Application:	15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	15
XEROX CORPORATION																
Patents By Year of Grant:	6	0	3	4	0	0	0	0	1	0	0	0	0	0	0	14
Patents By Year of Application:	11	1	2	0	0	0	0	0	0	0	0	0	0	0	0	14
DOW CHEMICAL COMPANY																
Patents By Year of Grant:	10	0	1	1	1	0	0	0	0	0	0	0	0	0	0	13
Patents By Year of Application:	13	0	0	0	0	0	0	0	0	0	0	0	0	0	0	13
BRISTOL-MYERS SQUIBB COMPANY																
Patents By Year of Grant:	3	2	1	1	0	0	0	0	0	0	4	1	0	0	0	12
Patents By Year of Application:	7	0	0	0	0	0	0	2	2	1	0	0	0	0	0	12

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(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

---- Organizational Patenting

(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

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---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

**BASF AKTIENGESELLSCHAFT**

[illegible]

---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

[illegible]

ICI AMERICAS INC.



---- Ranked List of Organizations with 1 or More Patents ----

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---- Organizational Patenting

(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

	Pre																
	1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	TOTAL	
QUANTUM CHEMICAL CORPORATION																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
R. J. REYNOLDS TOBACCO COMPANY																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
REVLON CONSUMER PRODUCTS CORPORATION																	
Patents By Year of Grant:	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
REYNOLDS METALS COMPANY																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
RHONE-POULENC CHEMICALS LTD.																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
RHONE-POULENC RORER PHARMACEUTICALS INC.																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
RHONE-POULENC SECTEUR AGROCHIMIE																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
RICHARD WOLF GMBH																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
RICHARDSON CHEMICAL COMPANY																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
ROGERS CORPORATION																	
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
RRI Holdings, Inc.																	
Patents By Year of Grant:	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	
Patents By Year of Application:	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	

Ranked List of Organizations with 1 or More Patents ----

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---- Organizational Patenting (Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

	Pre 1998	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	TOTAL
SIEMENS VDO AUTOMOTIVE CORPORATION																
Patents By Year of Grant:	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1
Patents By Year of Application:	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1
SIMPSON STRONG-TIE COMPANY, INC.																
Patents By Year of Grant:	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
SINCLAIR OIL CORPORATION																
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
SMITHKLINE BEECHAM CORPORATION																
Patents By Year of Grant:	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1
Patents By Year of Application:	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1
SOLUTIA INC.																
Patents By Year of Grant:	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
SONY ELECTRONICS INC.																
Patents By Year of Grant:	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
SOUTHWEST RESEARCH INSTITUTE																
Patents By Year of Grant:	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1
Patents By Year of Application:	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1
STANDARD OIL COMPANY																
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
STERLING CHEMICALS, INC.																
Patents By Year of Grant:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
TANDEM COMPUTERS INCORPORATED																
Patents By Year of Grant:	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1
Patents By Year of Application:	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
TARGUS GROUP INTERNATIONAL																
Patents By Year of Grant:	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1
Patents By Year of Application:	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1



---- Ranked List of Organizations with 1 or More Patents ----

(Granted: Jan 01, 1977 - Dec 31, 2011) ---- Ranked List of Organizations with 1 or More Patents ----

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