

STATUTORY INVENTION REGISTRATIONS
AND
DEFENSIVE PUBLICATIONS

JANUARY 1977 -- DECEMBER 2013



March 2014
U.S. PATENT AND TRADEMARK OFFICE
ELECTRONIC INFORMATION PRODUCTS DIVISION - PTMT
P.O. Box 1450
ALEXANDRIA, VA 22313-1450
tel (571) 272-5600 / FAX (571) 273-0110

A PATENT TECHNOLOGY MONITORING TEAM REPORT

Statutory Invention Registrations and Defensive Publications Report

1/1977 - 12/2013

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 2013**. 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 YYYY**" column correspond to the time period **prior to the year YYYY (e.g., 2000)**.

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 (HISTORICALLY ~ 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 **29** 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 YYYY**" column correspond to the time period **prior to the year YYYY**.

Parts of the Report

Parts A1 and A2 present patent activity by number and percent. Part A1 presents data by year of patent grant ("Patents Granted by Date of Patent Grant"). Part A2 redistributes these same 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 ownership category patents.

Note that 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 2013, patent grant data, as distributed by year of application are approximately 96% complete for utility patent applications filed in 2004, 92% complete for applications filed in 2005, 84% complete for applications filed in 2006, 74% complete for applications filed in 2007, 59% complete for applications filed in 2008, 50% complete for applications filed in 2009, 39% complete for applications filed in 2010, and 24% complete for applications filed in 2011; data are essentially complete for applications filed prior to 2004. About 90% of all patent documents granted by USPTO (i.e., including utility, design, plant, and reissue patents, etc.) are utility patent grants. 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, 2013) ----

	NUMBER OF PATENTS															
	Pre 2000	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	Total
Total	2314	104	76	49	36	20	23	32	29	20	6	17	15	8	14	2763
U.S. Origin	2059	96	72	49	35	19	23	28	26	20	5	15	14	7	14	2482
Foreign Origin	255	8	4		1	1		4	3		1	2	1	1		281
JAPAN	138	2														140
UNITED KINGDOM	56	3	1					1	1							62
CANADA	15	2										2	1			20
GERMANY	11		1													12
NETHERLANDS	9								1							10
FRANCE	7															7
SWITZERLAND	5															5
AUSTRALIA	2		1					1								4
INDIA	3													1		4
SOUTH AFRICA	1	1			1				1							4
ITALY	3															3
BELGIUM	3															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	573	65	44	27	25	7	10	8	14	9	2	9	3	2	4	802
U.S. Government	1000	25	24	19	7	12	11	18	10	10	3	5	10	4	7	1165
U.S. Individuals	516	10	4	3	2			2	2	1		1	1	1	1	544
Foreign Corporations	137	3	3		2		2	3	2				1		2	155
Foreign Government																0
Foreign Individuals	88	1	1			1		1	1		1	2		1		97

---- Patents Granted By Date Of Patent Grant (Granted: Jan 01, 1977 - Dec 31, 2013) ----																
----- PERCENT OF PATENTS -----																
	Pre 2000	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	Total
Total	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100
U.S. Origin	89	92	95	100	97	95	100	88	90	100	83	88	93	88	100	90
Foreign Origin	11	8	5		3	5		13	10		17	12	7	13		10
JAPAN	6	2														5
UNITED KINGDOM	2	3	1					3	3							2
CANADA	1	2										12	7			1
GERMANY			1													0
NETHERLANDS									3							0
FRANCE																0
SWITZERLAND																0
AUSTRALIA			1					3								0
INDIA														13		0
SOUTH AFRICA		1			3				3							0
ITALY																0
BELGIUM																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	25	63	58	55	69	35	43	25	48	45	33	53	20	25	29	29
U.S. Government	43	24	32	39	19	60	48	56	34	50	50	29	67	50	50	42
U.S. Individuals	22	10	5	6	6			6	7	5		6	7	13	7	20
Foreign Corporations	6	3	4		6		9	9	7				7		14	6
Foreign Government																0
Foreign Individuals	4	1	1			5		3	3		17	12		13		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, 2013) ----

	NUMBER OF PATENTED APPLICATIONS															
	Pre 2000	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	Total
Total	2565	34	23	34	25	16	9	14	12	7	7	8	8	1		2763
U.S. Origin	2297	33	22	33	23	13	9	12	10	7	6	8	8	1		2482
Foreign Origin	268	1	1	1	2	3		2	2		1					281
JAPAN	140															140
UNITED KINGDOM	60	1				1										62
CANADA	17					1		2								20
GERMANY	12															12
NETHERLANDS	9								1							10
FRANCE	7															7
SWITZERLAND	5															5
AUSTRALIA	4															4
INDIA	3										1					4
SOUTH AFRICA	2		1			1										4
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	721	19	9	16	7	6	4	6	5	2	2	4	1			802
U.S. Government	1075	14	11	14	15	6	4	4	5	5	4	2	5	1		1165
U.S. Individuals	534		2	1	1	1	1	2					2			544
Foreign Corporations	144	1	1	2	2	2		1				2				155
Foreign Government																0
Foreign Individuals	91			1		1		1	2		1					97

---- Patents Granted By Date Of Patent Application (Granted: Jan 01, 1977 - Dec 31, 2013) ----

	PERCENT OF PATENTED APPLICATIONS															
	Pre 2000	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	Total
Total	100	100	100	100	100	100	100	100	100	100	100	100	100	100		100
U.S. Origin	90	97	96	97	92	81	100	86	83	100	86	100	100	100		90
Foreign Origin	10	3	4	3	8	19		14	17		14					10
JAPAN	5															5
UNITED KINGDOM	2	3				6										2
CANADA	1					6		14								1
GERMANY																0
NETHERLANDS									8							0
FRANCE																0
SWITZERLAND																0
AUSTRALIA																0
INDIA											14					0
SOUTH AFRICA			4			6										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	28	56	39	47	28	38	44	43	42	29	29	50	13			29
U.S. Government	42	41	48	41	60	38	44	29	42	71	57	25	63	100		42
U.S. Individuals	21		9	3	4	6	11	14					25			20
Foreign Corporations	6	3	4	6	8	13		7				25				6
Foreign Government																0
Foreign Individuals	4			3		6		7	17		14					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

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(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

---- Organizational Patenting (Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

	Pre 2000	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	TOTAL
FUJI HUNT PHOTOGRAPHIC CHEMICALS INC.																
Patents By Year of Grant:	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
H. C. STARCK, INC.																
Patents By Year of Grant:	0	0	0	0	2	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
HALOCARBON PRODUCTS CORPORATION																
Patents By Year of Grant:	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	2
Patents By Year of Application:	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	2
HAY & FORAGE INDUSTRIES																
Patents By Year of Grant:	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
HOECHST CELANESE CORPORATION																
Patents By Year of Grant:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
KEARNEY + TRECKER CORPORATION																
Patents By Year of Grant:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
LUBRIZOL CORPORATION																
Patents By Year of Grant:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
MALLINCKRODT, INC.																
Patents By Year of Grant:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
MCNEIL-PPC, INC.																
Patents By Year of Grant:	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	2
MITSUBISHI RAYON CO., LTD.																
Patents By Year of Grant:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
Patents By Year of Application:	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
MONSANTO TECHNOLOGY, LLC																
Patents By Year of Grant:	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	2
Patents By Year of Application:	0	0	0	0	1	0	0	1	0	0	0	0	0	0	0	2

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

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(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

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(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

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[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

[illegible]

[illegible]

(Granted: Jan 01, 1977 - Dec 31, 2013) ---- Ranked List of Organizations with 1 or More Patents ----

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Pre															
2000	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	TOTAL

[illegible]