

# INSPECTOR GENERAL'S REPORT

## INSPECTOR GENERAL'S REPORT ON FINANCIAL STATEMENTS

Mr. Bruce A. Lehman  
Assistant Secretary of Commerce and  
Commissioner of Patents and Trademarks  
Patent and Trademark Office  
Washington, D.C.

We have audited the Statements of Financial Position of the Patent and Trademark Office (PTO) as of September 30, 1994 and 1993, and the Statements of Operations and Changes in Net Position, Cash Flows, and Budgetary Resources and Actual Expenses for the year ended September 30, 1994. These statements are the responsibility of the PTO's management. Our responsibility is to express an opinion on these financial statements based on our audits. Our audit objective with respect to PTO's Fiscal Year 1993 financial statements was limited to reporting on the Statement of Financial Position as of September 30, 1993.

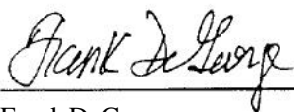
We conducted our audits in accordance with generally accepted auditing standards; *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget Bulletin No. 93-06, *Audits of Federal Financial Statements*. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatements. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

As required by Office of Management and Budget Bulletin No. 94-01, *Form and Content Of Agency Financial Statements*, Note 1 to the Principal Statements describes the accounting policies used by the PTO to prepare the financial statements, which is a comprehensive basis of accounting other than generally accepted accounting principles.

In our opinion, the Statements of Financial Position of PTO as of September 30, 1994 and 1993, and the Statements of Operations and Changes in Net Position, Cash Flows, and Budgetary Resources to Actual Expenses for the year ended September 30, 1994, present fairly, in all material respects, the financial position of PTO as of September 30, 1994 and 1993, and the results of its operations and changes in net position, its

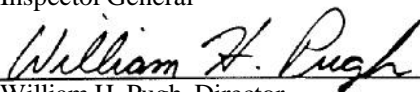
cash flows, and budget and actual expenses for the year ended September 30, 1994, in conformity with the accounting policies described in Note 1.

Our audits were made for the purpose of forming an opinion on the Principal Statements. The information in the other sections of *A Patent and Trademark Office Review* is not a required part of the Principal Statements but is supplementary information required by Office of Management and Budget bulletin No. 94-01, *Form and Content of Agency Financial Statements*. Such information has not been subjected to the auditing procedures applied in the audit of the Principal Statements and, accordingly, we express no opinion on it.



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Frank DeGeorge  
Inspector General



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William H. Pugh, Director  
Financial Statements Division

February 10, 1995

## INSPECTOR GENERAL'S REPORT ON INTERNAL CONTROL STRUCTURE

Mr. Bruce A. Lehman  
Assistant Secretary of Commerce and  
Commissioner of Patents and Trademarks  
Patent and Trademark Office  
Washington, DC

We have audited the Statement of Financial Position of the Patent and Trademark Office (PTO) as of September 30, 1994 and 1993, and the Statements of Operations and Changes in Net Position, Cash Flows, and Budgetary Resources and Actual Expenses for the year ended September 30, 1994, and have issued our report thereon dated February 10, 1995.

We conducted our audits in accordance with generally accepted auditing standards; *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget Bulletin No. 93-06, *Audits of Federal Financial Statements*. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatements.

In planning and performing our audit of the financial statements for the year ended September 30, 1994, we considered PTO's internal control structure in order to determine our auditing procedures for the purposes of expressing our opinion on the financial statements and to determine whether the internal control structure meets the objectives identified in the following paragraph. Our consideration included obtaining an understanding of the significant internal control structure policies and procedures and assessing the level of control risk relevant to all significant cycles, classes of transactions, or account balances; and for those significant internal control structure policies and procedures that have been properly designed and placed in operation, performing sufficient tests to assess more fully whether the controls are effective and working as designed.

The management of the PTO is responsible for establishing and maintaining an internal control structure. In fulfilling this responsibility, estimates and judgments by management are required to assess the expected benefits and related costs of internal control structure policies and procedures. The objectives of an internal control structure are to provide management with reasonable, but not absolute, assurance that transactions, including those related to obligations and costs, are executed in compliance with laws and regulations that the Office of Management and Budget, entity management, or the Inspector General have identified as being significant for which compliance can be objectively measured and

evaluated; funds, property, and other assets are safeguarded against loss from unauthorized use or disposition; transactions are properly recorded and accounted for to permit the preparation of reliable financial reports in accordance with applicable accounting policies and to maintain accountability over the assets; and data that support reported performance measures are properly recorded and accounted for to permit preparation of reliable and complete performance information. Our evaluation of the controls for performance information was limited to controls to ensure the existence and completeness of the information.

For the purpose of this report, we have classified the significant internal control structure policies and procedures in the following categories:

- o Purchases/Cash disbursements.
- o Revenues/Cash receipts.
- o Payroll.
- o Budget.
- o General ledger and reporting.

Our consideration of the internal control structure included all of the categories listed above.

We noted certain matters involving the internal control structure and its operation that we consider to be reportable conditions under standards established by the American Institute of Certified Public Accountants and OMB Bulletin No. 93-06. Reportable conditions involve matters coming to our attention relating to significant deficiencies in the design or operation of the internal control structure that, in our judgment, could adversely affect the entity's ability to ensure that the objectives of the internal control structure, as previously defined, are being achieved.

We have summarized our internal control findings below. A letter dated March 10, 1995, transmitting our audit report to PTO, includes an attachment to our Report on Internal Control Structure which discusses each of the control weaknesses in more detail and provides specific recommendations on actions PTO should consider taking.

**Controls Over Property Should Be improved**  
(Repeat Condition)

PTO has not completed its efforts to improve controls over property to ensure that it is properly recorded and safeguarded on an ongoing basis. The balance per the subsidiary ledger maintained by the Office of Administrative Services is not reconciled to the capital asset balance in the general ledger. The subsidiary ledger is inaccurate as acquisitions of property through purchase or lease and disposals of property are not consistently reported to

the Office of Administrative Services. In addition, physical count procedures currently in place do not ensure that accurate and reliable information is reported to property management in a timely manner.

During fiscal year 1993, PTO's Office of Finance hired a contractor to compile a subsidiary ledger and to propose the necessary adjustments to the general ledger. The Office of Finance, with the contractor's assistance, performed a manual review of certain fiscal year 1994 purchase documentation and proposed adjustments to ensure the accuracy of current year additions to this ledger. PTO is in the process of addressing the above issues and has created a project team to determine a uniform process for the management of all personal property. This team will also address the transmittal of pertinent documentation between PTO's offices. PTO expects to complete corrective actions by June 30, 1995.

**The Finance Department Should Review General Ledger Coding**  
(Repeat Condition)

PTO has not fully implemented the new procurement module that would require the Office of Finance to review the accuracy of all general ledger coding of purchase transactions. Our procedures identified several inconsistencies or errors in the coding of purchases of goods or services recorded in the general ledger. As a result, approximately \$10.6 million of capital assets that should have been capitalized in accordance with the DOC Handbook were expensed. In addition, approximately \$17 million in transactions were misclassified between expense accounts. In July 1994, the Office of Finance began reviewing the accuracy of general ledger coding for program offices using the new procurement module. Full implementation of this module is expected by September 30, 1995.

**Cash Receipts Should Be Deposited Timely**  
(Repeat Condition)

PTO continues to have delays in the deposits of its cash receipts. In July 1994, PTO implemented a reorganization that separated the processing of patent and trademark receipts. At September 30, 1994, the elapsed times from the receipt of funds with an application until their deposit with commercial banking institutions was approximately 13 days and 2 months for patents and trademarks, respectively. These were an increase over the 11 day lag time for both patents and trademarks at September 30, 1993. Unearned fees for checks not deposited amounted to approximately \$40 million and \$23 million as of September 30, 1994 and 1993, respectively.

A new revenue processing system, the Revenue Accounting Management System, is expected to be implemented by December 1995. This system is expected to solve the problem of untimely deposits.

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A material weakness is a reportable condition in which the design or operation of the specific internal control structure elements does not reduce to a relatively low level the risk that errors or irregularities in amounts that would be material in relation to the financial statements being audited or material to a performance measure or aggregation of related performance measures may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions.

Our consideration of the internal control structure would not necessarily disclose all matters in the internal control structure that might be reportable conditions and, accordingly, would not necessarily disclose all reportable conditions that are also considered to be material weaknesses as defined above. However, we believe none of the reportable conditions described above is a material weakness. We noted certain other matters, while not considered to be reportable conditions, that we felt warranted inclusion in this report due to their significance and sensitivity. We have summarized these matters below. A letter dated March 10, 1995, transmitting our audit report to PTO, includes an attachment to our Report on Internal Control Structure which discusses each of the control weaknesses in more detail and provides specific recommendations on actions PTO should consider taking.

#### **Physical Count Procedures for APS Assets Should Be Improved**

PTO's planning and controls over the physical count of APS assets were inadequate. The inventory listing used to perform the asset count was inaccurate and did not agree to the subsidiary ledger. PTO and contractor equipment were commingled and PTO personnel were unable to identify the equipment owned by PTO. In addition, count teams were not given adequate instructions. As a result inconsistent information was reported. Significant resources were required to compile and reconcile inventory information with the APS subsidiary ledger.

#### **Controls over Thrift Savings Plan Contributions Should Be Improved**

(Repeat Condition)

In our previous audit we found that PTO did not begin the required contribution of 1 percent of gross pay to the Thrift Savings Plan in the correct period and sometimes began it only after significant delays. PTO's Office of Human Resources has initiated a review of all employees

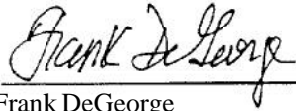
who are currently participating in the Thrift Savings Plan to identify and correct these errors. This review is expected to be completed by September 30, 1995. Subsequent to the issuance of our previous audit report, the Office of Human Resources developed and implemented procedures to prevent errors from occurring in the future. These procedures have not yet been documented in their standard operating procedures manual.

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We have reviewed our findings and recommendations with PTO's financial management and have incorporated their comments as appropriate. Management concurs with our findings and recommendations and will provide an audit action plan in accordance with applicable directives of the Department of Commerce.

We also noted other matters involving the internal control structure and its operation that we have reported to PTO's Associate Commissioner and Chief Financial Officer in a separate letter dated February 10, 1995.

This report is intended for the information of management of the PTO, the Department of Commerce management, and the Office of Management and Budget. This restriction is not intended to limit the distribution of this report, which is a matter of public record.



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Frank DeGeorge  
Inspector General

February 10, 1995



## INSPECTOR GENERAL'S REPORT ON COMPLIANCE WITH LAWS AND REGULATIONS

Mr. Bruce A. Lehman  
Assistant Secretary of Commerce and  
Commissioner of Patents and Trademarks  
Patent and Trademark Office  
Washington, D.C.

We have audited the Statements of Financial Position of the Patent and Trademark Office (PTO) as of September 30, 1994 and 1993, and the Statements of Operations and Changes in Net Position, Cash Flows, and Budgetary Resources and Actual Expenses for the year ended September 30, 1994, and have issued our report thereon dated February 10, 1995.


We conducted our audits in accordance with generally accepted auditing standards; *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget Bulletin No. 93-06, *Audits of Federal Financial Statements*. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatements.

Compliance with laws and regulations applicable to the PTO is the responsibility of the PTO's management. As part of obtaining reasonable assurance about whether the financial statements are free of material misstatements, we tested compliance with those laws and regulations directly affecting the financial statements and certain other laws and regulations designated by the Office of Management and Budget and the PTO. As part of our audit, we also obtained an understanding of management's process for evaluating and reporting on internal control and accounting systems as required by the Federal Managers' Financial Integrity Act (FMFIA) and compared the material weaknesses reported in the Department of Commerce's FMFIA report that relate to the financial statements under audit to the conditions found during the evaluation we conducted of PTO's internal control system. However, our objective was not to provide an opinion on overall compliance with such provisions.

The results of our tests indicate that with respect to the items tested, the PTO complied in all material respects with the provisions referred to in the preceding paragraph. With respect to

items not tested, nothing came to our attention that caused us to believe the PTO had not complied, in all material respects, with those provisions identified above.

This report is intended for the information of the management of the PTO, Department of Commerce management, and the Office of Management and Budget. This restriction is not intended to limit the distribution of this report, which is a matter of public record.



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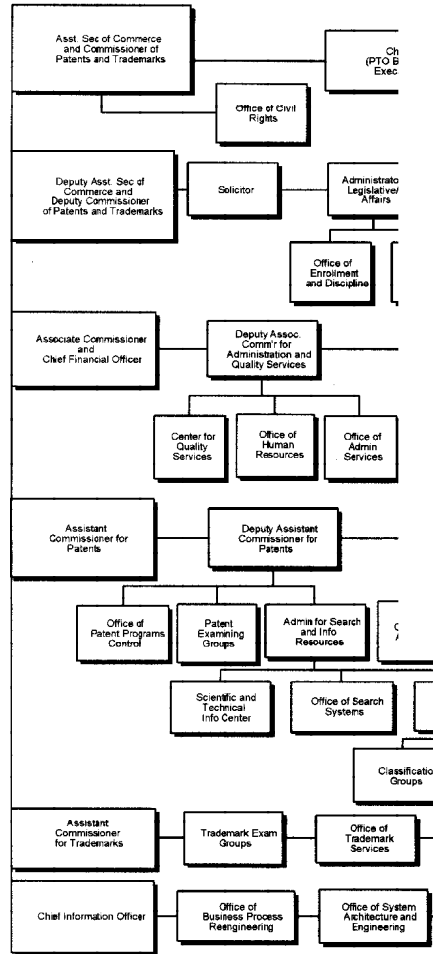
Frank DeGeorge  
Inspector General

February 10, 1995

# ADDITIONAL INFORMATION

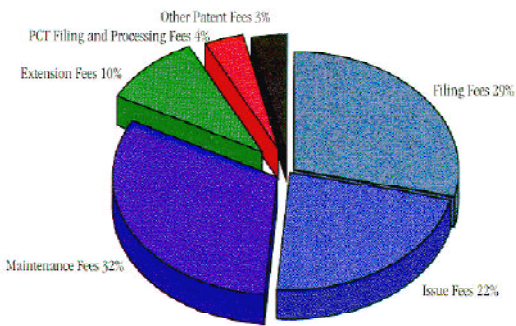


*U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE*

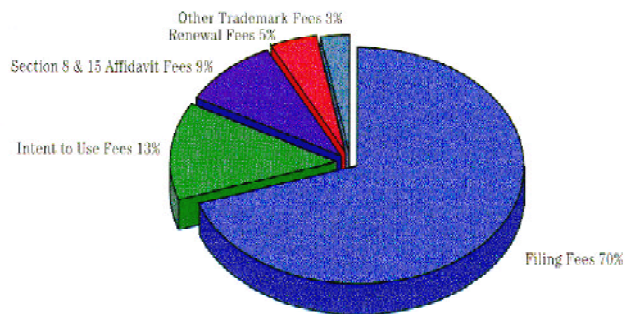


DEPARTMENT OF COMMERCE  
 PATENT AND TRADEMARK OFFICE  
 1994 FEE COLLECTIONS BY CATEGORY

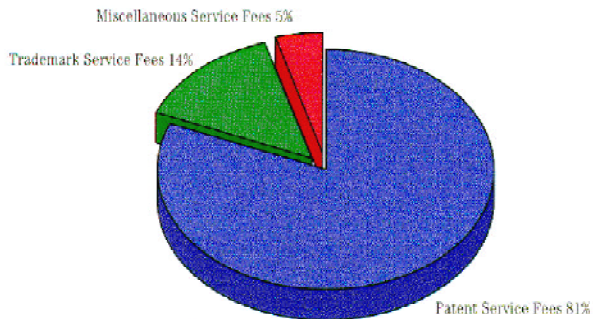
*Patent Fee Collections*



*Trademark Fee Collections*



*Other Fee Collections*



*DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
1994 STATEMENT OF OPERATIONS BY PROGRAM - Unaudited  
For the year ended September 30, 1994*

	<i>PATENTS</i>	<i>TRADEMARKS</i>	<i>OTHER</i>	<i>TOTAL</i>
<b>REVENUES AND FINANCING SOURCES</b>				
Revenues from Sales of Goods and Services				
To the Public	\$472,275,784	\$45,684,955	\$23,633,140	\$541,593,879
Intragovernmental	11,338			11,338
Appropriated Capital Used	2,116,362			2,116,362
<b>Total Revenues and Financing Sources</b>	<b>474,403,484</b>	<b>45,684,955</b>	<b>23,633,140</b>	<b>543,721,579</b>
<b>EXPENSES</b>				
Program or Operating Expenses	347,001,961	36,977,050	85,168,913	469,147,924
Depreciation and Amortization	13,779,441	607,710	2,502,181	16,889,332
Changes in Actuarial Liability	(417,369)	(42,342)	(145,171)	(604,882)
<b>Total Expenses</b>	<b>360,364,033</b>	<b>37,542,418</b>	<b>87,525,923</b>	<b>485,432,374</b>
Excess (Shortage) of Revenues and Financing Sources Over Total Expenses	\$114,039,451	\$ 8,142,537	(\$63,892,783)	\$ 58,289,205

“Other” represents revenue and expenses not directly associated with a patent filing or a trademark registration, but rather those revenues such as service fees or administrative fees and non-direct patent and trademark expenses.

*DEPARTMENT OF COMMERCE  
 PATENT AND TRADEMARK OFFICE  
 1994 PROGRAM/OPERATING EXPENSES BY PROGRAM - Unaudited  
 For the year ended September 30, 1994*

	<i>PATENTS</i>	<i>TRADEMARKS</i>	<i>OTHER</i>	<i>TOTAL</i>
<b>OPERATING EXPENSES BY OBJECT CLASSIFICATION</b>				
Personal Services and Benefits	\$225,427,558	\$25,978,907	\$39,980,421	\$291,386,886
Travel and Transportation	199,865	42,409	588,321	830,595
Rental, Communications and Utilities	30,262,986	4,417,985	11,389,923	46,070,894
Printing and Reproduction	28,267,147	1,288,343	771,140	30,326,630
Contractual Services	48,108,171	2,494,353	20,780,096	71,382,620
Supplies and Materials	4,216,555	481,585	2,766,462	7,464,602
Equipment not Capitalized	3,677,374	644,387	1,609,997	5,931,758
Insurance Claims and Indemnities	0	0	13,785	13,785
Other:				
(a) Other Services	2,534,697	930,220	2,891,214	6,356,131
(b) Training	2,124,753	291,331	1,395,447	3,811,531
(c) Maintenance and Repair	2,182,855	407,530	2,982,107	5,572,492
<b>Total Expenses by Object Class</b>	<b>\$347,001,961</b>	<b>\$36,977,050</b>	<b>\$85,168,913</b>	<b>\$469,147,924</b>

**Table 1**  
**SUMMARY OF PATENT EXAMINING ACTIVITIES**  
*(As of September 30 of each Fiscal Year)*

Patent Examining Activity	1990	1991	1992	1993	1994
<b>PATENT APPLICATIONS FILED</b>					
Utility <sup>1</sup>	162,708	166,765	171,623	173,619	185,087
Reissue	468	536	581	572	430
Plant	395	414	335	362	606
Design	11,140	10,368	12,907	13,546	15,431
Total Patent Applications Filed	174,711	178,083	185,446	188,099	201,554
<b>FIRST ACTIONS</b>					
Design	13,693	15,503	16,076	16,074	16,832
Utility, Plant, and Reissue	149,425	158,319	165,294	171,799	168,722
PCT/Chapter I	4,644	5,680	7,247	7,459	8,363
<b>PATENT APPLICATIONS ALLOWED</b>					
Design	9,679	10,394	11,013	11,800	12,388
Utility, Plant, and Reissue	96,672	102,014	103,093	104,351	107,221
Total Patent Applications Allowed	106,351	112,408	114,106	116,151	119,609
<b>PATENT APPLICATIONS ABANDONED</b>					
Design	3,991	4,427	4,843	4,681	4,977
Utility, Plant, and Reissue	45,750	53,703	59,199	60,763	64,932
Total Patent Applications Abandoned	49,741	58,130	64,042	65,444	69,909
<b>OTHER PATENT APPLICATIONS DISPOSED</b>					
Statutory Invention Registrations	177	142	278	146	128
TOTAL PATENT APPLICATION DISPOSALS	156,269	170,680	178,426	181,741	189,646
PCT/CHAPTER II EXAMINATIONS COMPLETED	2,168	4,014	5,010	5,851	6,918
<b>PATENTS ISSUED<sup>2</sup></b>					
Utility	101,270	88,974	91,822	99,405	96,676
Reissue	282	334	375	302	347
Plant	295	318	336	408	513
Design	7,176	9,386	9,612	9,946	11,138
Total Patents Issued	96,727	101,860	109,728	107,332	113,268
<b>ALLOWED APPLICATIONS, ISSUE FEE NOT PAID<sup>3</sup></b>					
	5,883	3,476	4,854	4,781	5,778
<b>PENDENCY TIME OF AVERAGE PATENT APPLICATION<sup>4</sup></b>					
	18.3	18.2	19.1	19.5	19.0
<b>REEXAMINATIONS REQUESTED</b>					
	297	307	392	359	379
<b>REEXAMINATION CERTIFICATES ISSUED</b>					
	224	200	243	293	309
<b>PCT SEARCH REPORTS PREPARED<sup>5</sup></b>					
	4,218	6,000	6,586	8,714	10,813
<b>PCT INTERNATIONAL APPLICATIONS RECEIVED</b>					
BY USPTO AS RECEIVING OFFICE	7,216	9,158	10,929	12,389	14,265
<b>NATIONAL REQUIREMENTS RECEIVED</b>					
BY USPTO AS RECEIVING OFFICE	5,143	6,247	6,835	7,441	8,778
<b>INTERNATIONAL PRELIMINARY EXAMINATION REPORTS</b>					
	2,298	3,774	4,678	5,955	8,005
<b>PATENTS RENEWED UNDER P.L. 102-204<sup>6</sup></b>					
	49,539	73,954	107,713	114,367	121,104
<b>PATENTS EXPIRED UNDER P.L. 102-204<sup>7</sup></b>					
	12,060	19,134	28,603	38,475	38,859

<sup>1</sup>Chemical, electrical and mechanical applications.

<sup>2</sup>Allowed Patent Applications<sup>3</sup> are applications awaiting issuance (i.e., publication) as patents.

<sup>3</sup>Excludes withdrawn numbers.

<sup>4</sup>35 U.S.C. § 151. (includes design applications).

<sup>5</sup>Average time (months) between filing and issuance/abandonment of utility, plant, and reissue applications (excluding designs).

<sup>6</sup>Reexamination was instituted on July 1, 1981, in accordance with provisions of P.L. 96-517.

<sup>7</sup>PCT entered into force on January 24, 1978, and applications were accepted for filing beginning June 1, 1978.

<sup>8</sup>Renewal of patents under P.L. 96-517 and P.L. 97-247 now superseded by P.L. 102-204.



**Table 2**  
**PATENT APPLICATIONS FILED**  
**(FY 1974 - FY 1994)**

Year	Utility <sup>a</sup>	Design	Plant	Reissue	Total
1974	103,479	4,948	109	391	108,927
1975	101,283	5,751	163	465	107,662
1976 <sup>b</sup>	101,807	6,838	144	438	109,227
1977 <sup>c</sup>	101,821	7,186	202	564	109,773
1978	100,473	7,440	171	660	108,744
1979	99,516	7,070	166	657	107,409
1980	104,219	7,269	186	641	112,315
1981	106,828	7,197	147	538	114,710
1982	116,052	8,069	193	486	124,800
1983	96,847	8,256	231	370	105,704
1984	109,010	8,446	248	281	117,985
1985	115,893	9,504	244	290	125,931
1986	120,988	9,792	291	332	131,403
1987	125,677	10,766	364	366	137,173
1988	136,253	11,114	377	439	148,183
1989	150,418	11,975	418	495	163,306
1990	162,708	11,140	395	468	174,711
1991	166,765	10,368	414	536	178,083
1992	171,623	12,907	335	581	185,446
1993	173,619	13,546	362	572	188,099
1994	185,087	15,431	606	430	201,554

<sup>a</sup>Chemical, electrical, and mechanical applications.  
<sup>b</sup>The Transition Quarter, July 1, 1976, to September 30, 1976, has been omitted.

**Table 4**  
**PATENTS PENDING PRIOR TO ALLOWANCE**  
**(FY 1974 - FY 1994)**

Year	Awaiting Action by Examiner	Total Applications Pending <sup>a</sup>
1974	47,411	162,447
1975	41,916	146,464
1976 <sup>b</sup>	43,776	142,379
1977 <sup>c</sup>	60,706	144,542
1978	57,031	144,056
1979	50,085	151,702
1980	64,289	167,533
1981	71,033	181,727
1982	87,659	216,509
1983	102,532	223,101
1984	90,687	219,567
1985	90,648	215,512
1986	80,547	207,774
1987	65,010	209,911
1988	75,678	215,280
1989	92,377	222,755
1990	104,179	244,964
1991	104,086	254,507
1992	112,201	269,596
1993	99,904	244,646
1994	107,824	261,249

<sup>a</sup>Pending at end of period indicated including utility, reissue, plant, and design applications. Does not include allowed applications.  
<sup>b</sup>Applications under examination, including those in preexamination processing.  
<sup>c</sup>The Transition Quarter, July 1, 1976, to September 30, 1976, has been omitted.

**Table 3**  
**SUMMARY OF PENDING PATENT APPLICATIONS**  
**(as of September 30, 1994)**

Stage of Processing	Utility, Plant and Reissue Applications	Design Applications	Total Patent Applications
IN PREEXAMINATION PROCESSING	28,129	648	28,777
UNDER EXAMINATION			
Awaiting First Action by Examiner	73,043	11,331	84,374
Rejected, Awaiting Response by Applicant	107,155	4,738	111,893
Amended, Awaiting Action by Examiner	22,660	790	23,450
In Interference	1,548	17	1,565
On Appeal and Other <sup>1</sup>	10,937	253	11,190
Total Under Examination	215,343	17,129	232,472
IN POSTEXAMINATION PROCESSING			
Awaiting Issue Fee	27,895	3,193	31,088
Awaiting Printing <sup>2</sup>	24,303	2,753	27,056
D-10s (secret cases in condition for allowance)	3,624	0	3,624
Total in Postexamination Processing	55,822	5,946	61,768
TOTAL PENDING IN PATENT AND TRADEMARK OFFICE	99,294	23,723	323,017

<sup>1</sup> includes cases on appeal and undergoing petitions  
<sup>2</sup> includes withdrawn cases

**Table 5**  
**PATENTS ISSUED<sup>1</sup>**

(FY 1974 - FY 1994)

Year	Utility <sup>2</sup>	Design	Plant	Reissue	Total
1974	79,300	4,439	211	367	84,317
1975	70,179	3,632	155	398	74,364 <sup>3</sup>
1976 <sup>4</sup>	75,325	4,781	195	434	80,735 <sup>3</sup>
1977 <sup>4</sup>	67,972	4,261	164	435	72,832
1978	65,963	3,797	194	366	70,320
1979	51,686	3,269	151	312	55,418
1980	56,618	4,167	137	305	61,227
1981	66,617	3,882	168	343	71,010
1982	59,449	5,299	120	284	65,152
1983	54,744	4,401	219	351	59,715
1984	66,753	4,935	174	287	72,149
1985	69,667	5,058	277	300	75,302
1986	71,301	5,202	227	263	76,993
1987	82,141	6,158	240	254	88,793
1988	77,317	5,740	283	244	83,584
1989	95,831	5,844	728	309	102,712
1990	88,974	7,176	295	282	96,727
1991	91,822	9,386	318	334	101,860
1992	99,405	9,612	336	375	109,728
1993	96,676	9,946	408	302	107,332
1994	101,270	11,138	513	347	113,268

<sup>1</sup>Excludes withdrawn numbers beginning with FY 1978.

<sup>2</sup>Chemical, electrical, and mechanical applications.

<sup>3</sup>In 1975, under the trial voluntary protest program (now abolished), an additional 667 applications were published but not issued. In 1976, there were 1,303 published but not issued.

<sup>4</sup>The Transition Quarter, July 1, 1976, to September 30, 1976, has been omitted.

**Table 6**  
**STATUTORY INVENTION REGISTRATIONS (SIRs) PUBLISHED (FY 1990 - FY 1994)**

Assignee	1990	1991	1992	1993	1994
Agriculture	0	0	1	0	0
Air Force	11	14	9	7	6
Army	38	35	25	26	21
Energy	14	17	11	9	6
HHS		0	1	0	0
0 Navy		14	11	20	13
14 TVA		0	0	2	0
0 USA <sup>1</sup>		1	4	6	2
3 Other Than U.S. Government	62	63	66	67	74
Total	141	145	140	124	124

<sup>1</sup>United States of America-no agency indicated in data base.

**Table 7**  
**REEXAMINATION<sup>1</sup>**  
(FY 1990 - FY 1994)

	1990	1991	1992	1993	1994
REQUESTS FILED					
By patent owner	124	141	167	147	150
By third party	172	165	168	211	227
Commissioner ordered	1	1	57	1	2
Total	297	307	392	359	379
DETERMINATIONS ON REQUESTS					
Requests granted					
By examiner	243	267	316	311	334
By petition	4	5	5	10	6
Requests denied	36	23	25	29	30
Total	283	295	346	350	370
REQUESTS KNOWN TO HAVE RELATED LITIGATION	27	47	47	75	77
COURT ORDERED REEXAMINATIONS	0	0	0	0	0
AVERAGE AGE OF PATENTS (years)	4.60	5.20	5.00	5.00	<sup>3</sup>
AVERAGE RANGE OF PATENTS (years)	0.0-22.8	0.0-22.8	0.0-18.1	<sup>2</sup>	<sup>3</sup>
AVERAGE CLAIMS PER REQUEST	15.30	15.40	15.40	<sup>2</sup>	<sup>3</sup>
AVERAGE REFERENCES PER REQUEST	9.50	9.60	9.40	9.50	9.60
FILINGS BY DISCIPLINE					
Chemical	90	93	101	111	102
Electrical	113	115	186	138	146
Mechanical	94	99	105	110	131
Total	297	307	392	359	379

<sup>1</sup>Reexamination was instituted on July 1, 1981, in accordance with provisions of P.L. 96-517.

<sup>2</sup>Data for FY 1993 was not available.

<sup>3</sup>Data for FY 1994 was not available.

**Table 8**  
**SUMMARY OF CONTESTED PATENT CASES**  
*(Within the Patent and Trademark Office)*

Patent and Trademark Office Tribunal		Disposals During FY 94	249
Board for Patent Appeals and Interferences	Totals	Cases Pending as of 9/30/94	25
<b>EX PARTE CASES</b>		<b>INTER PARTES CASES</b>	
Appeals <sup>1</sup>		Cases Pending as of 9/30/93	395
Cases Pending as of 9/30/93	2,273	Cases Declared or Reinstated During	
Cases Filed During FY 94	4,481	FY 94 (under New Rules <sup>2</sup> )	240
Total		6,754 Cases Declared or Reinstated During	
Disposals During FY 94:		FY 94 (under Old Rules <sup>2</sup> )	0
Decided		Total Cases Declared or Reinstated	240
Affirmed	1,446	Total	635
Affirmed-in-Part	362		
Reversed	1,036	Disposals During FY 94:	
Total Decided	2,844	Cases Terminated (under New Rules <sup>2</sup> )	250
Other Disposals		Cases Terminated (under Old Rules <sup>2</sup> )	0
Dismissed	35	Total Terminated	250
Withdrawn	121		
Suspended	0	Cases Awaiting Final Board Disposition as of 9/30/94:	
Total Other Disposals	156	Awaiting the Setting of a Final Hearing	21
Total Disposals	3,000	Set for Final Hearing	21
		Awaiting a Final Decision	47
Cases Pending as of 9/30/94	3,754	Total Cases Awaiting Final Board	
Reconsiderations		Disposition	89
Cases Pending as of 9/30/93	62	Cases Pending as of 9/30/94:	
Cases Filed During FY 94	212	Under New Rules <sup>2</sup>	385
Total	274	Under Old Rules <sup>2</sup>	0
		Total Cases Pending as of 9/30/94	385

<sup>1</sup>Jurisdiction of an appeal passes to the Board of Patent Appeals and Interferences after the examiner has written his answer and after the time for filing a reply brief to the answer has passed.

<sup>2</sup>New Rules effective 2/8/85: 37 CFR 1.601 to 1.688 Old Rules: 37 CFR 1.201 to 1.288

**Table 9**  
**U.S. GOVERNMENT AGENCY PATENTS<sup>1</sup>**  
*(FY 1985 - FY 1994)*

Agency	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	Total
Agriculture	43	27	36	37	36	41	50	48	57	38	413
Air Force	144	178	192	134	131	101	115	138	126	129	1,388
Army	206	202	176	116	146	129	113	171	147	193	1,599
Commerce	5	7	11	13	6	6	15	18	21	28	130
Energy	301	260	239	230	216	190	197	217	193	201	2,244
Transportation	4	3	1	0	0	0	2	0	2	1	13
NSA	1	2	1	4	5	2	3	3	5	6	32
EPA	5	2	1	1	3	4	5	4	7	5	37
HHS	30	30	32	32	31	34	41	67	88	97	482
Interior	11	16	10	11	9	7	13	23	9	10	119
NASA	137	109	117	100	125	116	109	166	155	147	1,281
Navy	271	207	206	104	117	170	346	314	333	360	2,428
Postal Service	1	0	1	0	0	0	1	0	0	0	3
TVA	6	9	8	7	4	5	5	2	1	0	47
Treasury	0	0	0	0	0	0	0	0	0	0	0
VA	0	1	1	0	0	0	0	0	0	2	4
USA <sup>2</sup>	1	0	1	1	8	5	10	10	9	3	48
FCC	0	0	0	0	0	0	0	0	0	0	0
Total	1,166	1,053	1,033	790	837	810	1,025	1,181	1,153	1,220	10,268

<sup>1</sup>Data in this table represent utility patents assigned to agencies at the time of patent issue.

<sup>2</sup>United States of America—no agency indicated in data base.

*Table 10*  
**PATENTS ISSUED TO RESIDENTS OF THE UNITED STATES**  
*(FY 1991- FY 1994)<sup>1</sup>*

<i>State/Territory</i>	<i>1991</i>	<i>1992</i>	<i>1993</i>	<i>1994</i>
Alabama	357	324	311	339
Alaska	43	54	52	61
Arizona	855	921	903	1,027
Arkansas	152	170	162	155
California	8,423	9,284	9,216	10,472
Colorado	851	954	995	1,140
Connecticut	1,503	1,642	1,701	1,842
Delaware	491	553	491	513
District of Columbia	67	67	62	44
Florida	1,888	2,114	2,086	2,241
Georgia	720	793	879	925
Hawaii	78	85	88	116
Idaho	221	261	320	350
Illinois	3,040	3,355	3,275	3,266
Indiana	1,108	1,123	1,070	1,137
Iowa	390	417	442	463
Kansas	321	329	319	319
Kentucky	333	329	310	343
Louisiana	491	537	484	475
Maine	104	130	120	149
Maryland	937	1,070	1,058	1,137
Massachusetts	2,105	2,445	2,428	2,669
Michigan	2,830	3,153	2,981	3,295
Minnesota	1,447	1,631	1,702	1,914
Mississippi	111	144	136	166
Missouri	770	832	759	730
Montana	86	109	114	94
Nebraska	149	162	191	173
Nevada	185	172	152	221
New Hampshire	333	361	403	452
New Jersey	3,218	3,189	3,145	3,328
New Mexico	232	261	237	270
New York	4,815	5,047	5,083	5,522
North Carolina	942	933	1,049	1,181
North Dakota	63	63	65	69
Ohio	2,714	3,073	2,929	3,078
Oklahoma	612	672	653	624
Oregon	670	686	819	772
Pennsylvania	2,799	3,027	2,893	3,085
Puerto Rico	13	28	17	33
Rhode Island	222	237	270	275
South Carolina	428	476	517	529
South Dakota	39	35	47	47
Tennessee	568	594	601	684
Texas	3,302	3,704	3,695	4,089
Utah	402	448	448	473
Vermont	132	122	149	173
Virgin Islands	2	2	3	2
Virginia	870	1,013	983	959
Washington	1,016	1,077	1,036	1,117
West Virginia	179	174	202	147
Wisconsin	1,207	1,342	1,314	1,381
Wyoming	47	36	39	51
U.S. Pacific Islands <sup>2</sup>	1	0	1	0
United States <sup>3</sup>	0	0	0	2
TOTAL	54,882	59,760	59,405	64,119

<sup>1</sup>Data includes utility, design, plant, and reissue patents.

<sup>2</sup>Represents residents of American Samoa, Guam, and miscellaneous U.S. Pacific Islands.

<sup>3</sup>No state indicated in data base.

**Table 11**  
**UNITED STATES PATENT APPLICATIONS FILED BY RESIDENTS OF FOREIGN COUNTRIES**  
**(FY 1990-FY 1994)**

Residence	1990	1991	1992	1993	1994	Residence	1990	1991	1992	1993	1994
Albania	1	1	1	0	0	Mauritius	0	1	0	1	1
Algeria <sup>2</sup>	0	1	0	0	0	Mexico	71	114	104	92	117
Andorra	0	0	0	0	1	Moldova Republic	0	0	0	0	1
Antigua & Barbuda	0	0	4	1	2	Monaco	5	5	5	6	3
Argentina	57	51	59	65	77	Mongolia	0	0	0	0	1
Armenia	0	0	1	0	0	Montserrat	0	0	0	0	1
Australia	990	844	905	853	1,078	Morocco	0	0	4	2	3
Austria	575	528	563	507	637	Namibia	0	0	0	0	1
Azerbaijan <sup>3</sup>	0	0	0	1	2	Nauru	0	1	0	0	0
Bahamas	7	1	5	8	8	Netherlands	1,740	1,580	1,579	1,548	1,549
Barbados	1	0	0	0	1	Netherlands Antilles	0	0	0	2	2
Belarus	0	0	2	6	5	Neutral Zone	0	1	0	0	0
Belgium	630	619	676	666	841	New Caledonia	0	0	0	1	0
Belize	0	0	0	0	0	New Zealand	142	105	116	103	148
Bermuda	3	4	2	1	3	Nicaragua	0	1	0	1	0
Bolivia	0	0	0	0	1	Nigeria	3	2	1	6	2
Brazil	113	103	115	106	161	Norway	170	169	198	198	196
British Virgin Islands	0	0	2	1	1	Oman	0	1	1	0	0
Brunei	0	0	0	0	0	Pakistan	1	0	5	0	1
Bulgaria <sup>4</sup>	36	7	9	5	3	Panama	3	3	1	0	6
Burma	1	0	0	0	0	Peru	2	5	3	5	8
Canada	3,965	3,905	3,975	4,196	4,638	Philippines	8	12	10	6	6
Cayman Islands	3	2	2	1	1	Poland	17	14	17	24	26
Chile	10	13	9	13	8	Portugal	13	3	9	12	8
China (mainland)	122	109	133	124	114	Romania <sup>7</sup>	1	1	2	4	5
Cocos (Keeling) Islands	0	0	0	0	0	Russian Federation	0	0	12	115	200
Colombia	10	9	13	4	16	Saudi Arabia	5	11	14	17	21
Comoros	0	1	0	0	0	Senegal	0	1	0	0	0
Cook Islands	0	0	0	0	1	Singapore	45	68	76	100	134
Costa Rica	8	3	6	5	24	Slovakia <sup>8</sup>	0	0	0	1	5
Croatia	0	0	0	3	11	Slovenia	0	0	5	24	15
Cuba	0	4	6	0	3	Solomon Islands	0	0	0	0	0
Cyprus	1	1	2	2	2	South Africa	208	185	203	228	238
Czechoslovakia	49	30	34	28	30	Soviet Union	375	186	165	70	22
Denmark	408	455	397	496	537	Spain	321	314	316	285	367
Dominican Republic	1	1	1	1	2	Sri Lanka	3	2	0	1	1
Ecuador	4	1	1	5	1	St. Christ/Nevis	0	0	0	0	1
Egypt	5	4	9	6	3	St. Vincent/Grenadines	0	0	0	1	0
Estonia	0	0	0	0	2	Swaziland	1	0	1	0	0
Finland	582	616	531	576	705	Sweden	1,192	1,200	1,066	1,162	1,492
France	4,838	4,948	4,757	4,554	4,790	Switzerland	2,055	1,953	1,839	1,937	1,922
Georgia	0	0	0	0	2	Syria	1	0	0	1	0
Germany, Fed. Republic of <sup>5</sup>	11,736	10,952	10,851	10,550	11,539	Taiwan	2,221	2,541	2,957	3,370	3,847
Ghana	0	0	0	1	0	Tanzania	0	1	0	0	0
Greece	30	21	26	23	25	Thailand	13	9	24	13	24
Guatemala	2	1	3	1	2	Trinidad & Tobago	0	2	2	3	3
Guinea	0	0	1	0	0	Tunisia	1	0	3	0	1
Guyana	1	1	0	0	0	Turkey	6	3	1	4	4
Haiti	0	2	0	1	1	Uganda <sup>9</sup>	0	0	1	4	0
Honduras	0	1	0	0	2	Ukraine	0	0	0	18	17
Hong Kong	265	253	315	303	385	United Arab Emirates	4	1	2	0	4
Hungary	131	107	86	61	73	United Kingdom	5,326	4,739	4,537	4,503	5,104
Iceland	4	5	16	4	6	Uruguay	3	2	3	9	3
India	64	52	56	54	64	Uzbekistan	0	0	1	1	1
Indonesia	3	9	15	11	5	Vatican City	0	0	0	0	1
Iran	5	7	1	9	4	Venezuela	44	46	58	30	51
Iraq	3	0	0	0	0	Vietnam	0	0	0	0	1
Ireland	122	128	118	102	152	Yemen <sup>10</sup>	0	0	0	1	0
Israel	632	663	747	833	998	Yugoslavia	41	35	38	11	10
Italy	2,265	2,209	2,345	2,159	2,160	Zaire	1	0	0	0	0
Jamaica	1	4	1	1	3	Zimbabwe	2	2	3	1	1
Japan	34,309	36,489	38,135	36,148	36,912	Other <sup>11</sup>	0	2	3	8	12
Jordan	2	5	0	0	1	Total	76,902	77,729	79,875	78,029	83,920
Kazakhstan <sup>6</sup>	0	0	0	1	1						
Kenya	3	1	3	2	2						
Korea, Dem. Republic of	22	11	6	0	2						
Korea, Republic of	768	1,132	1,444	1,512	2,177						
Kuwait	4	1	2	1	1						
Lebanon	0	2	0	2	1						
Liechtenstein	9	18	14	14	19						
Lithuania	0	0	0	1	0						
Luxembourg	41	48	58	49	41						
Macau	0	0	0	1	1						
Malaysia	14	25	24	18	44						
Mali	1	0	0	0	0						
Malta	1	0	3	3	1						
Marshall Islands	0	0	0	1	0						

<sup>1</sup>Data include utility, design, plant, and reissue applications. Country listings include possessions and territories of that country unless separately listed in the table.

<sup>2</sup>FY 1993 data for Algeria corrected to indicate no applications filed.

<sup>3</sup>FY 1993 data for Azerbaijan corrected to indicate one application filed.

<sup>4</sup>FY 1993 data for Bulgaria corrected to indicate five applications filed.

<sup>5</sup>Germany now includes applications filed by residents of the territory which prior to October 3, 1990 was the Democratic Republic of Germany.

<sup>6</sup>FY 1993 data for Kazakhstan corrected to indicate one application filed.

<sup>7</sup>FY 1993 data for Romania corrected to indicate four applications filed.

<sup>8</sup>FY 1993 data for Slovakia corrected to indicate one application filed.

<sup>9</sup>FY 1993 data for Uganda corrected to indicate four applications filed.

<sup>10</sup>FY 1993 data for Yemen corrected to indicate one application filed.

<sup>11</sup>Country of origin information not available.

**Table 12**  
**PATENTS ISSUED BY THE UNITED STATES TO RESIDENTS OF FOREIGN COUNTRIES**  
**(FY 1991 - FY 1994)<sup>1</sup>**

Residence	1991	1992	1993	1994	48 Residence 1994	1991	1992	1993	
Andorra	0	0	1	0	Malaysia	10	8	22	16
Antigua	1	0	0	1	Malta	0	0	2	1
Argentina	17	21	30	27	Mauritius	0	1	1	1
Australia	550	550	433	533	Mexico	44	44	44	56
Austria	367	424	320	337	Monaco	6	6	6	6
Bahamas	7	2	4	0	Morocco	0	1	1	0
Barbados	0	1	0	0	Netherlands	1,043	1,019	961	944
Belgium	356	382	351	410	Netherlands Antilles	1	1	0	0
Belize	1	0	0	0	New Zealand	49	58	50	54
Bermuda	0	0	0	2	Nicaragua	0	0	1	0
Brazil	61	55	58	57	Nigeria	1	2	0	0
British Virgin Islands	1	1	1	2	Norfolk Island	0	0	0	0
Bulgaria	17	4	5	2	Norway	111	120	120	128
Canada	2,184	2,311	2,198	2,275	Oman	0	0	1	0
Cayman Islands	1	4	0	2	Pakistan	0	1	0	1
Chile	5	6	11	6	Panama	1	1	1	0
China (Mainland)	48	50	58	41	Paraguay	1	0	0	0
Colombia	2	5	8	7	Peru	2	4	2	2
Costa Rica	1	5	3	7	Philippines	9	10	6	1
Croatia	0	0	0	3	Poland	10	8	7	6
Cuba	0	0	1	5	Portugal	9	9	2	6
Cyprus	1	0	1	2	Romania	1	0	2	1
Czechoslovakia	33	18	17	20	Russian Federation	0	0	2	22
Denmark	280	263	288	260	San Marino	0	0	0	1
Dominican Republic	2	1	0	1	Saudi Arabia	7	7	4	9
Ecuador	3	0	1	3	Senegal	0	1	0	0
Egypt	1	3	1	4	Singapore	24	23	46	58
Faroe Islands <sup>0</sup>	0	0	1		Slovenia	0	0	1	10
Finland	332	368	328	337	South Africa	114	113	89	99
France	3,094	3,332	3,165	3,051	Soviet Union		194	89	68
French Polynesia	1	0	0	0	63 Spain		159	177	160
Germany <sup>2</sup>	7,548	7,960	7,172	7,024	181 Sri Lanka		0	2	3
Greece	11	10	7	16	0SE Vincent/The Grenadines	0	0	0	1
Guadeloupe	0	0	0	1	Sweden	843	747	743	754
Guatemala	2	3	1	2	Switzerland	1,384	1,369	1,193	1,225
Guyana	1	1	0	0	Syria <sup>3</sup>	0	2	0	0
Haiti	0	0	0	0	Taiwan	1,000	1,195	1,453	1,709
Honduras	0	0	1	0	Tanzania	0	0	1	0
Hong Kong	209	169	174	200	Thailand	3	1	12	13
Hungary	87	84	78	50	Trinidad & Tobago	1	3	0	2
Iceland	0	5	4	6	Tunisia	0	1	0	1
India	28	23	21	33	Turkey	2	4	0	1
Indonesia	1	6	7	9	Uganda	0	0	0	3
Iran	2	1	1	1	Ukraine	0	0	0	5
Ireland	49	61	63	53	United Arab Emirates	2	1	1	1
Israel	304	377	358	354	United Kingdom	2,974	2,851	2,462	2,424
Italy	1,379	1,455	1,452	1,376	Uruguay	0	2	0	0
Jamaica	2	1	0	0	Uzbekistan	0	0	0	1
Japan	21,464	23,481	22,942	23,764	Venezuela	21	28	28	31
Jordan	0	1	0	0	Yemen	0	0	0	1
Korea, Dem. Republic of	1	1	3	0	Yugoslavia	27	20	20	19
Korea, Republic of	413	543	789	941	Zimbabwe	0	1	1	4
Kuwait	0	2	2	1	TOTALS	46,978	49,968	47,927	49,149
Lebanon	1	1	1	1					
Liechtenstein	13	11	14	11					
Luxembourg		42	36	37					

<sup>1</sup>Data include utility, design, plant, and reissue patents. Country listings include possessions and territories of that country unless separately listed in the table.

<sup>2</sup>Germany now includes patents granted to residents of the territory which prior to October 3, 1990 was the Democratic Republic of Germany.

<sup>3</sup>FY 1992 was corrected to indicate the issuance of two patents to Syria.

*Table 13*  
**PATENT CLASSIFICATION ACTIVITY**  
*(1991-1994)*

<i>Classification Activity</i>	<i>1991</i>	<i>1992</i>	<i>1993</i>	<i>1994</i>
Original Patents Professionally				
Reclassified - Completed Projects	103,722	118,339	127,702	138,467
Subclasses Established	2,426	4,001	6,358	5,056
Reclassified Patents Clerically Processed:				
Original U.S. Patents	58,151	121,184	124,758	131,062
Cross-Reference U.S. Patents	86,762	193,820	262,400	232,143
Foreign Patents <sup>1</sup>	139,000	194,000	283,230	139,042
Total Patents Reclassified <sup>2</sup>	283,913	509,004	670,388	502,247

<sup>1</sup>FY 93 actual count based on new automated system introduced in FY93.

<sup>2</sup>FY 91 total corrected from prior number of 283,943.

*Table 14*  
**SCIENTIFIC AND TECHNICAL INFORMATION CENTER ACTIVITY**

<i>Scientific and Technical Information Center Activity</i>	<i>FY 1994</i>
Literature Collections and Services	
Additions to the Literature Collections:	
Books Purchased	2,654
Journal Subscriptions Purchased	1,751
Journal Issues Received	25,057
Literature Services Provided:	
Documents Circulated	3,467
Interlibrary Loans Processed	29,629
On-Line Commercial Data Base Searches	10,792
Sequence Searches Completed	2,501
Number of Sequences Searched	20,524
Reference Questions Completed	11,088
Foreign Document Collections and Services	
Additions to the Foreign Patent Document Collections:	
Microfilm Reels	4,351
Microfiche	86,602
CD-ROM	1,373
Documents in Paper Form (Unique)	974,496
Journals	3,979
Foreign Document Services Provided:	
Words of Foreign Material Translated (written)	14,421,089
Documents Orally Translated	3,366
Copies of Foreign Patents Provided	10,580
Microfilm Reels Furnished for Copying	103,546
On-line and Manual Searches Completed	9,643
Reference Questions Completed	11,974

*Table 15*  
**SUMMARY OF TRADEMARK EXAMINING ACTIVITIES**  
*(FY 1988 - FY 1994)*

<i>Item</i>	<i>1988</i>	<i>1989</i>	<i>1990</i>	<i>1991</i>	<i>1992</i>	<i>1993</i>	<i>1994</i>
Applications for Registration Filed	76,813	83,169	127,294	120,365	125,237	139,735	155,376
Disposal of Trademark Applications:							
Applications Maturing to Registration	52,461	58,599	63,924	49,810 <sup>1</sup>	69,691	86,122	68,853
Applications Abandoned	13,647	15,097	17,210	20,721	26,435	40,752	42,467
Trademark First Actions	79,425	79,382	92,612	134,988	136,047	131,191	147,343
Applications Approved for Publication	61,656	65,178	76,355	95,757	110,940	94,161	97,347
Certificates of Registration Issued <sup>2</sup> :							
1946 Act Principal Register	45,090	49,744	54,178	39,398	49,404	54,937	38,238
Principal Register							
ITU-Statements of Use Registered	n/a	n/a	0	2,397	10,345	17,174	19,563
1946 Act Supplemental Register	1,614	2,058	2,337	1,357	2,318	2,238	1,996
Total	46,704	51,802	56,515	43,152	62,067	74,349	59,797
Renewal of Registration:							
Applications Filed	6,763	6,127	6,602	5,634	6,355	7,173	7,004
Applications Abandoned	23	86	68	86	90	122	86
Registrations Renewed	5,884	9,209	7,122	6,416	5,733	6,182	6,136
Affidavits, Sec. 8/15:							
Affidavits Filed	18,316	17,986	20,636	25,763	20,982	21,999	20,850
Affidavits Disposed	18,699	17,290	19,630	20,869	23,186	19,279	17,846
Affidavits for Benefits Under Sec. 12(c)							
Affidavits Filed	23	104	5	1	25	5	4
Affidavits Abandoned	0	0	0	0	0	0	0
Published Under Sec. 12(c)	29	84	19	19	13	21	11
Amendments to Allege Use Filed	n/a	n/a	747	3,259	3,255	3,138	4,033
Statements of Use Filed	n/a	n/a	113	6,773	14,275	25,837	22,057
Notice of Allowance Issued	n/a	n/a	2,380	23,602	42,432	53,053	40,741
Pendency Time of Average Trademark Application <sup>3</sup> :							
Between Filing and Examiner's First Action — All Applications	2.5	2.8	4.8	4.3	3.1	4.0	5.2
Between Filing, Registration (Use Applications Only) and Abandonments	13.3	13.8	15.3	16.7	15.1	14.4	16.3
Between Filing and Issuing a Notice of Allowance (intent to use applications only)	n/a	n/a	n/a	13.3	13.8	13.0	15.9
Total Active Certificates of Registration	n/a	n/a	675,913	690,745	834,858	712,000	727,983

<sup>1</sup>Adjusted to include Intent To Use registrations.

<sup>2</sup>With the exception of Certificates of Registration, Renewal of Registration, Affidavits filed under Section 8/15 and 12(c), the workload count includes extra classes.

<sup>3</sup>Average pendency time in months.



**Table 16**  
**TRADEMARK APPLICATIONS FILED FOR REGISTRATION**  
**AND RENEWAL AND TRADEMARK AFFIDAVITS FILED**  
**(FY 1975 - FY 1994)**

Year	For Registration	For Renewal	Section 8 Affidavit	Sec. 12(c) Affidavit
1975	33,898	5,687	14,644	29
1976 <sup>†</sup>	37,074	6,833	15,665	24
1977 <sup>†</sup>	44,539	5,854	13,463	30
1978	50,106	5,567	13,351	77
1979	50,672	5,623	13,864	10
1980	52,149	5,892	13,633	85
1981	55,152	5,693	17,071	40
1982	73,621	5,760	15,068	55
1983	51,014	5,438	12,544	46
1984	61,480	5,926	13,519	5
1985	64,677	5,275	8,823	29
1986	69,253	5,660	8,519	19
1987	70,002	5,871	16,644	34
1988	76,813	6,763	18,316	23
1989	83,169	6,127	17,986	104
1990	127,294	6,602	20,636	5
1991	120,365	5,634	25,763	1
1992	125,237	6,355	20,982	25
1993	139,735	7,173	21,999	5
1994	155,376	7,004	20,850	4

<sup>†</sup>The transition Quarter, July 1, 1976, to September 30, 1976, has been omitted.

**Table 17**  
**SUMMARY OF PENDING TRADEMARK APPLICATIONS**  
**(As of September 30, 1994)**

Stage of Processing	Applications For Regis.
IN PREEXAMINATION PROCESSING	34,663
UNDER EXAMINATION:	
Amended, awaiting action by Examiner	10,563
Awaiting first action by Examiner	6,706
Awaiting subsequent action (by applicant, on appeal, in adversary proceeding, in clerical processing)	67,205
Total Under Examination	84,474
Total	119,137
IN POSTEXAMINATION PROCESSING:	
(Includes all application in all phases of publication and issue)	63,012
TOTAL IN PATENT AND TRADEMARK OFFICE	182,149

<sup>†</sup>Excludes ITU applications that have received a Notice of Allowance and are awaiting a Statement of Use

**Table 18**  
**SUMMARY OF CONTESTED TRADEMARK CASES**  
*(Within the Patent and Trademark Office)*

<i>Trademark Trial and Appeal Board</i>	<i>Ex Parte</i>	<i>Cancel</i>	<i>Conc. Use</i>	<i>Interference</i>	<i>Oppos</i>	<i>Total</i>
Cases Pending as of 9/30/93	1,701	2,124	201	0	6,811	10,837
Cases Filed During FY 1994	1,004	1,055	32	0	3,048	5,139
Disposals During FY 1994:						
Before Hearing	461	583	11	0	2,010	3,065
After Hearing	282	13	0	0	48	343
Total	743	596	11	0	2,058	3,408
Cases Pending as of 9/30/94:						
Awaiting Decision	93	11	1	0	35	140
In Process Before Hearing <sup>1</sup>	1,869	2,572	221	0	7,766	12,428
Total	1,962	2,583	222	0	7,801	12,568
Requests for Extension of Time to Oppose						19,231

<sup>1</sup>Includes suspended cases

**Table 19**  
**TRADEMARKS REGISTERED, RENEWED, AND PUBLISHED UNDER SECTION 12(c)**  
*(FY 1974- FY 1994)*

<i>Year</i>	<i>Certificates of Regis. Issued</i>	<i>Renewed</i>	<i>Published Under 12(c)</i>
1974	24,838	5,984	54
1975	27,324	5,474	25
1976 <sup>2</sup>	28,102	6,914	56
1977 <sup>2</sup>	25,026	6,251	21
1978	28,921	5,254	84
1979	22,210	5,404	34
1980	14,614	5,862	54
1981	31,306	5,884	77
1982	39,025	6,070	71
1983	41,179	5,695	74
1984	45,475	5,678	22
1985	63,122	5,177	27
1986	48,971	5,550	29
1987	47,522	4,415	24
1988	46,704	5,884	29
1989	51,802	9,209	84
1990	56,515	7,122	19
1991	43,152	6,416	19
1992	62,067	5,733	13
1993	74,349	6,182	21
1994	59,797	6,136	11

<sup>1</sup>Includes withdrawn numbers.

<sup>2</sup>The Transition Quarter, July 1, 1976, to September 30, 1976, has been omitted.

Table 20

UNITED STATES TRADEMARK APPLICATIONS FILED BY RESIDENTS OF FOREIGN COUNTRIES  
(FY 1991-FY 1994)

Residence	1991	1992	1993	1994	Residence	1991	1992	1993	1994
Afghanistan	0	0	0	0	Kuwait	0	0	0	2
Albania	0	1	0	0	Lebanon	3	3	0	1
Antigua & Barbuda	0	3	1	3	Liberia	0	1	0	4
Algeria	0	0	1	0	Libya	0	2	0	0
Anguilla <sup>1</sup>	0	0	1	2	Liechtenstein	40	36	79	36
Argentina	41	69	43	57	Luxembourg	36	64	15	60
Aruba	0	0	1	1	Macao	0	0	1	1
Australia	419	457	424	470	Malaysia	28	23	26	36
Austria	148	202	131	178	Mali	0	0	0	0
Bahamas	19	20	19	41	Malta	1	0	1	1
Bahrain	1	0	0	0	Martinique	0	0	0	1
Barbados	38	19	11	64	Mauritius	0	0	0	2
Belgium	180	143	121	177	Mexico	242	284	351	435
Belize	0	0	4	3	Micronesia	0	0	1	0
Benelux Convention	2	0	4	2	Monaco	17	17	11	13
Bermuda	32	31	51	21	Morocco <sup>2</sup>	2	0	2	1
Bolivia	1	0	0	1	N. Mariana Island	0	1	2	0
Botswana	0	0	0	1	Namibia	2	1	0	0
Brazil	147	117	137	108	Netherlands	623	515	478	632
British Virgin Islands	25	83	77	93	Netherlands Antilles	52	37	35	20
Bulgaria	1	1	3	2	New Zealand	83	71	143	96
Cambodia	3	0	0	0	Nicaragua	1	1	0	0
Canada	3,491	3,294	3,595	4,330	Nigeria	0	0	3	1
Cayman Islands	13	26	16	24	Norfolk Island	0	0	1	0
Channel Islands	25	36	33	31	Norway	97	59	112	82
Chile	26	27	46	29	Oman	0	0	0	0
China (mainland)	101	49	67	97	Pakistan	0	6	11	6
Colombia	49	25	43	52	Panama	46	35	26	23
Cook Island	0	0	15	0	Papua New Guinea <sup>4</sup>	0	0	2	0
Costa Rica	17	10	15	19	Paraguay <sup>5,6</sup>	0	1	0	0
Croatia	0	0	0	4	Peru	15	19	4	8
Cuba	0	0	0	11	Philippines	6	12	11	13
Cyprus	3	2	4	3	Poland	6	11	1	10
Czechoslovakia	21	15	51	34	Portugal	10	37	52	23
Denmark	132	121	142	142	Romania	0	3	0	4
Dominica	1	0	0	1	Saint Lucia	0	0	0	1
Dominican Republic	4	7	8	5	Samoa	0	0	1	0
Ecuador	11	5	10	15	San Marino	1	1	0	0
Egypt	3	5	1	0	Saudi Arabia	5	4	7	6
El Salvador	2	6	7	7	Scotland	0	27	0	33
Faroe Islands	0	0	0	1	Singapore	58	66	97	172
Fiji	4	0	0	2	Slovenia	0	0	8	12
Finland	110	112	129	106	Somalia	0	0	1	0
France	2,013	1,817	1,484	1,712	South Africa	52	97	54	99
French Guiana	2	0	0	0	Soviet Union	43	25	19	40
French Polynesia	1	0	1	4	Spain	308	394	343	312
Germany, Fed. Republic of <sup>7</sup>	1,566	1,982	1,947	1,912	Sri Lanka	0	11	4	3
Ghana	0	0	0	0	Swaziland	0	4	5	1
Gibraltar	2	0	5	2	Sweden	333	389	456	398
Greece	17	14	19	21	Switzerland	777	547	727	908
Grenada	0	0	1	0	Syria	0	0	1	0
Guadeloupe	0	0	1	0	Taiwan	466	470	460	504
Guatemala	15	5	2	5	Thailand	62	34	51	31
Guinea	0	0	0	1	Trinidad & Tobago	4	7	5	22
Guyana	2	1	1	1	Turkey	1	7	11	11
Haiti	2	3	1	2	Turks and Caicos Islands	0	1	0	6
Honduras	2	0	17	4	Uganda	0	2	1	1
Hong Kong	360	484	319	396	Ukraine	0	1	0	6
Hungary	18	21	6	23	United Arab Emirates	2	3	8	4
Iceland	8	9	11	12	United Kingdom	1,861	1,705	1,999	2,129
India	18	18	23	33	Uruguay	3	10	5	8
Indonesia	24	18	23	15	Vanuatu	0	4	4	0
Iran	5	1	19	16	Venezuela	171	78	51	25
Ireland	71	57	64	71	Vietnam	0	0	0	1
Isle of Man	0	19	11	9	Wales	0	10	0	0
Israel	80	154	173	242	Yugoslavia	20	21	8	1
Italy	1,351	964	1,027	952	Zimbabwe	2	1	0	7
Jamaica	7	19	14	15	Total	18,229	17,521	18,062	19,868
Japan	1,901	1,691	1,780	1,642					
Jordan	0	0	0	1					
Kazakhstan	0	0	0	2					
Kenya	7	0	0	5					
Korea, Dem. Republic of	1	0	8	5					
Korea, Republic of	207	200	200	376					

<sup>1</sup>Anguilla filings for FY 1993 corrected to reflect 1 application.<sup>2</sup>Germany now includes applications filed by residents of the territory which prior to October 3, 1990 was the Democratic Republic of Germany.<sup>3</sup>Morocco filing for FY 1992 corrected to reflect no applications.<sup>4</sup>Papua New Guinea filings for FY 1993 corrected to reflect 2 applications.<sup>5</sup>Paraguay filings for FY 1991 corrected to reflect no applications.<sup>6</sup>Paraguay filings for FY 1992 corrected to reflect 1 application.

Table 21

TRADEMARKS REGISTERED BY THE UNITED STATES TO RESIDENTS OF FOREIGN COUNTRIES  
(FY 1991 - FY 1994)

Residence	1991	1992	1993	1994	Residence	1991	1992	1993	1994
Afghanistan	2	0	0	0	Kuwait	0	0	0	0
Antigua & Barbuda	10	3	1	0	Lebanon	0	2	7	4
Argentina	14	24	26	21	Liberia	2	8	5	3
Australia	225	201	288	196	Libya	0	1	0	1
Austria	67	62	116	82	Lichtenstein	23	15	29	15
Bahamas	9	3	14	10	Luxembourg	17	6	21	18
Bahrain	1	1	2	0	Macau	0	0	2	0
Bangladesh	0	0	0	1	Malaysia	2	1	4	9
Barbados	1	6	5	4	Malta	1	2	2	0
Belgium	106	76	110	64	Mauritius	2	2	0	0
Belize	1	1	0	1	Mexico	68	101	152	137
Benelux Convention	2	6	0	0	Monaco	6	4	7	5
Bermuda	2	3	11	16	Morocco	5	0	0	0
Bolivia	0	0	0	0	Namibia	0	0	1	0
British Virgin Islands	7	9	32	24	Netherlands	191	213	350	248
Brazil	45	54	67	73	Netherlands Antilles	9	8	14	7
Canada	1,062	1,218	1,680	1,343	New Zealand	21	31	58	44
Cayman Islands	20	12	10	12	Nicaragua	0	0	1	0
Channel Islands <sup>1</sup>	0	3	0	0	Nigeria	0	0	2	2
Chile	17	14	19	13	Norway	30	39	46	41
China (mainland)	42	31	67	38	Oman	0	0	0	0
Cook Islands	0	0	1	3	Pakistan	0	1	3	2
Colombia	7	19	33	25	Panama	20	24	31	23
Costa Rica	6	4	6	10	Papua New Guinea	0	0	0	0
Cuba	3	1	0	4	Paraguay	0	0	1	0
Cyprus	0	0	2	3	Peru	3	5	11	8
Czechoslovakia	7	6	6	13	Philippines	4	3	11	2
Denmark	113	72	79	70	Poland	0	6	7	6
Dominican Republic	3	4	2	3	Portugal	6	5	25	17
Ecuador	3	1	4	3	Romania	0	0	1	0
Egypt	0	0	2	2	Saint Lucia	0	0	0	1
El Salvador	2	5	4	4	San Marino	1	0	0	0
Fiji	0	1	1	0	Saudi Arabia	0	0	1	2
Finland	42	37	85	57	Scotland	0	1	0	0
France	776	828	1,334	797	Singapore	10	17	28	23
French Polynesia	1	0	2	0	South Africa	10	9	34	24
Germany, Federal Republic of	692	702	1,224	847	Soviet Union	16	10	13	4
Ghana	1	2	0	1	Spain	135	147	301	197
Greece	4	1	8	12	Spraty Islands	0	0	1	2
Grenada	1	0	0	0	Sri Lanka	0	0	1	2
Guadeloupe	0	0	1	0	Sweden	98	128	224	192
Guatemala	10	8	10	0	Switzerland	293	304	486	258
Guyana	0	0	2	0	Syria	0	2	2	3
Haiti	2	5	0	1	Taiwan	117	223	357	290
Honduras	0	0	0	1	Thailand	3	16	29	16
Hong Kong	83	130	175	160	Trinidad & Tobago	2	2	7	8
Hungary	8	8	9	10	Turkey	1	6	4	2
Iceland	5	1	9	2	Turks and Caicos Islands	0	0	0	1
India	4	21	16	26	United Kingdom	738	799	1,113	826
Indonesia	2	5	7	11	Uruguay	5	1	0	3
Iran	3	7	4	4	Venezuela	27	24	46	25
Ireland	28	20	28	35	Vietnam	1	1	2	3
Isle of Man	0	1	1	0	Yugoslavia	6	2	7	6
Israel	24	41	82	70	Zimbabwe	2	1	1	0
Italy	595	571	789	469	Other <sup>2</sup>	0	0	0	2
Jamaica	2	6	10	5	Total	6,647	7,281	11,054	8,066
Japan	644	793	1,108	932					
Jordan	0	0	0	1					
Kenya	0	1	0	1					
Kiribati	0	0	5	1					
Korea, Republic of	68	83	129	103					

<sup>1</sup>FY 1993 data for the Channel Islands was corrected to reflect no applications filed.

<sup>2</sup>Germany now includes applications filed by residents of the territory which prior to October 3, 1990 was the Democratic Republic of Germany.

<sup>3</sup>Country of origin information not available.

Table 22

TRADEMARK SERVICES WORKLOAD  
(FY 1994)

	1994
Search Room:	
Copies of New Registrations Filed in Registered File	173,960
Copies of New Drawings Filed in Pending File	341,244
Official Register: Total Updates Stamped on Marks	51,795
Assignments:	
Abstracts of Title	199
Documents Recorded/Processed	81,255
Copies Supplied:	
Public, Other Government Agencies and USPTO	25,641
Certified Documents <sup>1</sup>	35,532
Status Copies <sup>2</sup>	218
Total Files Processed <sup>3</sup>	267,371

<sup>1</sup>Includes documents certified by the Trademark organization through 7/5/94. Due to the PTO reorganization in FY 94, Trademarks no longer provides certified documents.

<sup>2</sup>Status copies provided by Trademarks through 7/5/94. Due to the PTO reorganization in FY 94, Trademarks no longer no longer provides status copies.

<sup>3</sup>The number of trademark files provided from the PTO File Repository to the public and the PTO, new issues filed, and abandonments filed.

Table 23

PATENT SERVICES WORKLOAD  
(FY 1994)

Search Room:	
New Patents and Cross References Filed	351,201
Reclassified Patents Filed	493,825
Assignments:	
Abstracts of Title	507
Documents Recorded/Processed	185,840
Copies Supplied:	
Foreign Exchange Programs <sup>1</sup>	16,935,557
Patent and Trademark Depository Libraries	14,836,758
Public, Other Government Agencies and USPTO	955,195
Advance Orders	703,549
Certified Documents	108,978
Total Files Processed <sup>2</sup>	572,075

<sup>1</sup>Includes copies of patents disseminated on paper, microfilm, and CD-ROM.

<sup>2</sup>The number of patent files provided from the PTO File Repository and the Federal Record Center to the public and the PTO, new issues filed, and new abandonments filed.

*Table 24*  
**ACTIONSONPETITIONSTOTHECOMMISSIONEROFPATENTSANDTRADEMARKS**  
**(FY 1993-FY 1994)**

<i>Nature of Petition</i>	<i>1993</i>	<i>1994</i>
<b>PATENT MATTERS</b>		
Acceptance of:		
Amendments Filed After Payment of Issue Fee	76	52
Late Assignments	54	52
Late Issue Fees	893	1,068
Late Priority Papers	57	75
Access	63	82
Certificates of Correction	21,040	26,268
Deferment of Issue	32	45
Filing Date	1,105	3,195
Interference	1	1
Make Special:		
Infringement/Manufacture	210	151
Other	1,073	1,026
Miscellaneous	2,653 <sup>1</sup>	3,323
Maintenance Fees	752	942
Public Use	3	4
Reexamination Proceedings	74	90
Restriction	61	73
Revivals	3,322	4,173
Rule 47 (37 CFR 1.47)	279	590
Supervisory Authority	879	567
Suspend Rules	194	780
Withdrawal of Attorney	567	635
Withdrawal from Issue	662	603
Change of Inventorship	520	849
Withdrawals of Holding of Aband./Pat. Lapse	1,785	1,812
<b>Total Actions of Patent Petitions</b>	<b>36,355<sup>2</sup></b>	<b>46,456</b>
<b>TRADEMARK MATTERS</b>		
Affidavits of Use and Extensions	71	140
Decision by Examiner	0	14
Grant Application Filing Date	51	63
Interferences <sup>2</sup>	1	
Make Special	30	52
Miscellaneous	16	0
Oppositions and Extensions	18	13
Record Documents Affecting Title	5	0
Restore Jurisdiction to Examiner	5	11
Review Board Decisions	9	13
Revoke	562	709
Sections 7 Correction/Amendment	10	20
Section 9 Renewal	7	9
Section 8 or 15	52	37
Waive Fees/Refunds	41	25
<b>Total Actions on Trademark Petitions</b>	<b>879</b>	<b>1,107</b>
<b>PETITIONS AWAITING ACTION AS OF 9/30/93</b>		
Patent Matters	15,671 <sup>3</sup>	404
Trademark Petitions Awaiting Response	202	60
Trademark Petitions Awaiting Action	183	104

<sup>1</sup>FY 1993 data includes petitions under Rule 28 (37 CFR 1.28)

<sup>2</sup>FY 1993 Total Actions on Patent Petitions corrected.

<sup>3</sup>FY 1993 data includes pending Certificates of Correction

*Table 25*  
**CASES IN LITIGATION**  
*(Selected Courts of the United States)*

<i>Courts of the United States</i>	<i>Pat</i>	<i>TM</i>	<i>Total</i>	
<b>SUPREME COURT</b>				
Ex Parte Cases				
Cases Pending as of 9/30/93	0	0	0	
Cases Filed During FY 94	1	0	1	
Total Pending Filed	1	0	1	
Disposals:				
Certiorari Denied	0	0	0	
Certiorari Dismissed	0	0	0	
Certiorari Granted-Affirmed	0	0	0	
Certiorari Granted-Reversed	0	0	0	
Total Disposals	0	0	0	
Total Cases Pending as of 9/30/94	1	0	1	
<b>UNITED STATES DISTRICT COURTS</b>				
Civil Actions Pending as of 9/30/93	22	4	26	
Filed During FY 94		10	1	11
Total Pending and Filed	32	5	37	
Disposals:				
Affirmed	2	0	2	
Modified	0	0	0	
Reversed	0	0	0	
Remanded	2	0	2	
Dismissed	14	4	18	
Amicus/Intervene	0	0	0	
Examiner Testimony	0	0	0	
Transfer	0	0	0	
Total Disposals	18	4	22	
Total Civil Actions Pending as of 9/30/94	14	1	15	

<sup>1</sup>Civil actions in which the Commissioner participated as a party or amicus.

*Table 26*  
**CASES IN LITIGATION**  
*(Selected Courts of the United States)*

	<i>Pat</i>	<i>Ex Parte</i>	<i>TM</i>	<i>Pat</i>	<i>Inter Partes</i>	<i>TM</i>	<i>Total</i>
<b>UNITED STATES COURT OF APPEALS</b>							
Cases Pending as of 9/30/93	48		5	29		44	126
Cases Filed During FY 94	49		5	7		7	68
Total Pending and Filed	97		10	36		51	194
Disposals:							
Affirmed	29		2	3		1	35
Modified	2		0	1		0	3
Reversed	10		0	3		3	16
Remanded	0		1	0		0	1
Dismissed	17		3	3		2	25
Amicus/Intervene	2		0	2		0	4
Examiner Testimony	0		0	0		0	0
Transfer	1		0	0		0	1
Writs of Mandamus:							
Granted	0		0	0		0	0
Granted-in-Part	0		0	0		0	0
Denied	1		0	0		0	1
Dismissed	0		0	0		0	0
Total Disposals	62		6	12		6	86
Total Cases Pending as of 9/30/94	35		4	24		45	108

<sup>1</sup>Includes Federal Circuit and Others

*Table 27*  
**CASES IN LITIGATION<sup>1</sup>**  
*(Other Jurisdictions-Reported Cases)*

<i>Month</i>	<i>Patent Suits</i>	<i>Trademark Suits</i>
October (1993)	101	91
November	97	103
December	101	81
January (1994)	82	83
February	82	94
March	122	125
April	59	63
May	85	86
June	100	141
July	85	115
August	86	91
September (1994)	66	79
<b>Total for FY 1994</b>	<b>1,066</b>	<b>1,152</b>

<sup>1</sup>Notices received pursuant to 35 U.S.C. 290 and 15 U.S.C. 1116 for both suits filed and decisions.



## GLOSSARY OF OFFICE SPECIFIC TERMS

**ALLOWANCE:** examiners determine whether a patent can be allowed by searching prior art, which includes previously issued U.S. and foreign patents and non-patent literature to help determine whether the claimed invention complies with the patent statutes and court decisions.

**FTE:** Full Time Equivalent - equal to one year of one full time staff person.

**PATENT APPLICATION:** a request from a user for a patent to be granted by the United States Patent and Trademark Office.

**PATENT APPLICATION, EXAMINED:** to determine the qualifications of patent applications requesting the granting of patents. To determine whether the invention is new, useful and non-obvious to someone knowledgeable in the subject matter.

**PATENT APPLICATION, DISPOSED (DISPOSAL):** patent examiner completes action on the application.

**PATENT APPLICATION, ISSUED (ISSUANCE):** patent application issued or granted as a patent.

**PATENT APPLICATION, WITHDRAWAL (ABANDONED):** to surrender one's claim or right to a request for a patent to be granted.

**PATENT PENDENCY:** average time in months from filing to either issuance or abandonment.

**TRADEMARK:** a word, phrase, symbol, design, or combination thereof, that identifies and distinguishes the source of goods or services of one party from those of another.

**TRADEMARK APPLICATION:** application for federal registration of a mark filed at the United States Patent and Trademark Office.

**TRADEMARK APPLICATION, EXAMINED:** review of application for compliance with the Trademark Act.

**TRADEMARK APPLICATION, DISPOSED:** an application that is registered or abandoned.

**TRADEMARK APPLICATION, ABANDONED:** termination of examination for failure to respond to an examination letter, because of a judicial decision, or by request of applicant.

**TRADEMARK APPLICATION, REGISTRATION:** issuance of a certificate of registration by the United States Patent and Trademark Office.

**TRADEMARK PENDENCY:** average time in months from filing an application to mailing the first examination letter, and average time in months from filing to registration, issuing a notice of allowance or abandonment.

### *Budget and Accounting Terms and Definitions*

**ACCOUNT:** Something for which appropriations are made in an appropriation act. For spending that is not provided in an appropriations act, an account is an item for which there is a designated budget account identification number in the President's Budget.

**ACCOUNTS PAYABLE:** Amounts owed to an account other than your own for goods and services purchased. Such amounts include disbursements owed to others.

**ACCOUNTS RECEIVABLE:** Amounts owed to an account for goods furnished and services rendered. Such amounts include reimbursements earned and refunds receivable.

**APPROPRIATION:** An act of Congress that allows federal agencies to incur obligations and make payments from the Treasury for specified purposes. An appropriation is the most common means of providing budget authority and usually follows the passage of an authorized bill.

**AUTHORIZATION (Authorizing Legislation):** An act of Congress that establishes or continues a federal program or agency either for a specified period of time or indefinitely; specifies its general goals and conduct; and usually sets a ceiling on the amount of budget authority that can be provided in an annual appropriation. An authorization for an agency or program usually is required before an appropriation for that same agency or program can be passed.

**BUDGET AUTHORITY:** The authority granted to a federal agency in an appropriations bill to enter into commitments that result in immediate or future spending. Budget authority is not necessarily the amount of money an agency or department actually will spend during a fiscal year, but merely the upper limit on the amount of new spending commitments it can make. The three basic types of budget authority are appropriations, borrowing authority and contract authority.

**BUDGET RECEIPTS:** Amounts received by the federal government from the public that arise from:

The exercise of governmental or sovereign power (consisting primarily of tax revenues, but also including receipts from premiums of compulsory social insurance programs, court fines, certain license fees, and the like).

Premiums from voluntary participants in federal social insurance programs (such as deposits by States for unemployment insurance and for social security for their employees) that are closely related to compulsory social insurance programs.

Gifts and contributions.

Excluded from budget receipts are offsetting receipts, which are counted as deductions for budget authority and outlays rather than as budget receipts.

**CARRYOVER:** The unobligated amounts at the end of a fiscal year for unexpired accounts.

**CASH BASIS OF ACCOUNTING:** A method of accounting in which revenue is recognized at the time the payment is received and costs are considered incurred at the time the payment is made.

**COLLECTIONS:** Any moneys received by the government. Depending upon the nature of the transaction, collections may be treated as budget receipts, offsetting receipts refunds, or credits to a deposit fund.

**DEOBLIGATION:** A downward adjustment of previously recorded obligations. This may be attributed to cancellation of a project or contract, price revision, or corrections of amounts previously recorded as obligations.

**DEPOSIT FUNDS:** Accounts established to facilitate the accounting for collections that are either (a) held in suspense temporarily and later refunded or paid into some other fund of the Government upon administrative or legal determination as to the proper disposition thereof or (b) held by the Government as banker or agent for others and paid out at the discretion of the depositor.

**EXPENDED APPROPRIATION:** The amount of expenditures (outlays) during the current fiscal year net of refunds to the appropriation made from general funds, special funds, and trust funds.

**EXPENDITURE:** Actual spending, generally interchangeable with outlays.

**FISCAL YEAR (FY):** Any yearly accounting period. The fiscal year for the federal government begins October 1 and ends on September 30.

**LIABILITY:** Accounts owed for items received, services rendered, expenses incurred, assets acquired, construction performed, and amounts received but not as yet earned.

**INTRAGOVERNMENTAL REVOLVING FUND ACCOUNTS:** Funds authorized by law to carry out a cycle of intragovernmental business-type operations. These funds are credited with offsetting collections from other agencies and accounts.

**OBLIGATIONS:** Spending commitments by the federal government that will require outlays either immediately or in the future.

**OBLIGATED BALANCE:** The amount of obligations already incurred for which payment has not yet been made. This balance can be carried forward indefinitely until the obligations are paid.

**OFFSETTING COLLECTIONS:** Money received by the government as a result of business-type transactions with the public (sale of goods and services) or as a result of a payment from one government account to another.

**OFFSETTING RECEIPTS:** Money collected by the federal government that is deducted from budget authority and outlays because it comes from market-oriented government activities or intragovernmental transactions.

**RECEIPT ACCOUNTS:** Accounts established for recording collections deposited into the Treasury for appropriation by the Congress. These accounts may be classified by the Congress.

**REIMBURSEMENTS:** Sums received by the government for commodities sold or services furnished either to the public or to other government accounts that are authorized by law to be credited directly to specific appropriation and fund accounts. These amounts are deducted from the total obligations incurred (and outlays) in determining net obligations (and outlays) for such accounts.

**UNEXPENDED BALANCE:** The amount of budget authority unspent and still available for conversion into outlays in the future; the sum of the obligated and unobligated balances.

**UNOBLIGATED BALANCE:** The portion of budget authority that has not yet been obligated. In one-year accounts the unobligated balance expires (ceases to be available for obligation) at the end of the fiscal year. In multiple-year accounts, the unobligated balance may be carried forward and remain available for obligation for the period specified. In no-year accounts the unobligated balance is carried forward indefinitely until specifically rescinded by law or until the purposes for which it was provided have been accomplished.

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# NOTES

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# NOTES

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