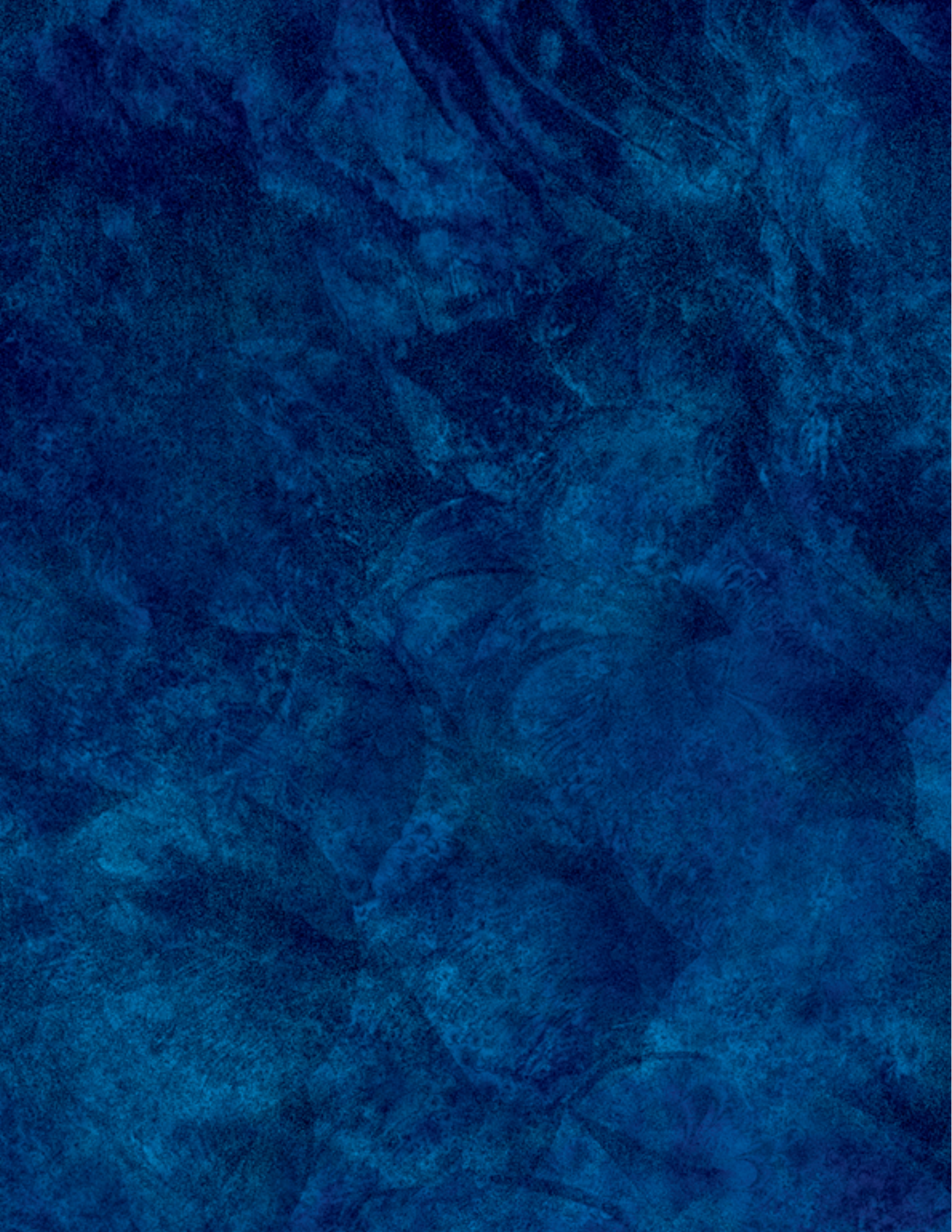


Management and Performance Challenges Identified by the Inspector General





MANAGEMENT AND PERFORMANCE CHALLENGES IDENTIFIED BY THE INSPECTOR GENERAL

INSPECTOR GENERAL'S STATEMENT SUMMARIZING THE MAJOR MANAGEMENT AND PERFORMANCE CHALLENGE FACING THE UNITED STATES PATENT AND TRADEMARK OFFICE

James E. Rogan

Under Secretary of Commerce for Intellectual Property

Director of the United States Patent and Trademark Office

Washington, D.C.

We herewith submit, for inclusion in the U.S. Patent and Trademark Office's (USPTO) Accountability Report, a summary of the issues that we have determined make up the USPTO's most crucial management and performance challenge.

The Office of Inspector General considers the issues noted to be significant impediments to USPTO's efforts to promote economy, efficiency, and effectiveness in its management and operations because they are vital to USPTO's mission, they are complex, they involve sizable expenditures, or they require significant management improvements. We believe that by addressing these issues USPTO can enhance program efficiency and effectiveness; prevent or eliminate serious operational problems; decrease fraud, waste, and abuse; and achieve substantial savings.

Successfully Operate as a Performance-Based Organization

The American Inventors Protection Act of 1999 established the U.S. Patent and Trademark Office as a performance-based organization, giving it greater flexibility and independence to operate more like a business. As such, USPTO has not only broader responsibility for managing its operations but also expanded control over its budget allocations and expenditures, personnel decisions and processes, and procurement operations.

Despite the act's potential benefits, USPTO's continuing transformation remains a formidable challenge as the agency strives to keep pace with increasingly complex technology and customer demands for higher quality products and services. In June 2002 the bureau responded to the concerns of its many stakeholders by issuing the *21st Century Strategic Plan*, which it believes will help guide the way to meeting the many challenges that have accompanied its transition to performance-based operations. The bureau must continue to develop the necessary personnel, procurement, and administrative policies, as well as performance-oriented processes and standards for evaluating cost-effectiveness, while meeting its performance goals under the Government Performance and Results Act (GPRA) and the timeliness standards of the American Inventors Protection Act.

The 5-year strategic plan, according to USPTO, is aggressive and far-reaching, and provides a road map for major changes in patent and trademark processes. It is intended to (1) reduce patent pendency from the current 25 months to 18 months by 2008, (2) move to a paperless environment and promote e-government, (3) enhance employee development, (4) explore competitive sourcing, and (5) improve and maintain quality control. USPTO's strategic plan also calls for the agency to work with worldwide intellectual property offices to create a global framework for enforcing intellectual property rights.



MANAGEMENT AND PERFORMANCE CHALLENGES IDENTIFIED BY THE INSPECTOR GENERAL

Agency management believes that failure to implement the new plan will delay USPTO's full implementation of e-government initiatives and increase pendency rates. It should be noted, however, that several of the initiatives envisioned in the plan-outsourcing preexamination reviews and changing fee structures, for example, require congressional approval.

During the next 2 years, we will review some of the operational changes the plan proposes. We view completion of this transition as critical to USPTO's operating success and its ability to address other challenges we identified in recent years, as described below.

Staffing to Handle Changes in Patent and Trademark Application Activity

The number of patent application filings skyrocketed in recent years. In FY 2001 USPTO received more than 326,081 applications for patents-an 8.9 percent increase over the number received in FY 2000. To address the expanding workload, USPTO hired 789 patent examiners, but lost 700 through attrition during fiscal years 2000 and 2001, virtually negating its efforts to increase staffing. Trademark filings, on the other hand, peaked in 2000 at 375,000 applications, but declined by 21 percent (to 296,000) in FY 2001. Because this downward trend is expected to continue, the bureau has started to downsize its trademark staff.

Our prior audits of USPTO reported on some of the challenges facing the bureau in recruiting and training examiners and in hiring additional administrative judges to hear appeals. As a performance-based organization, USPTO has greater flexibility to design incentives to attract and retain these highly skilled employees.

Construction of New Facility

USPTO and GSA are currently undertaking one of the federal government's largest real estate ventures -- construction of USPTO's 2.4 million square-foot office complex in Alexandria, Virginia. When completed in 2005, the 5-building complex will provide space for USPTO employees and operations currently scattered among 18 buildings in nearby Crystal City, Virginia. Now that construction has begun, USPTO must aggressively hold the line on project costs, monitor construction progress, and help ensure the project stays on schedule and within the legislatively mandated cap on the cost of completing the build-out of the facility's shell. We will be monitoring this major challenge and will follow up on issues we identified during the project's planning and design, such as space planning and allocation, relocation strategies, and actual versus target costs and completion schedules.

Emergency Preparedness, Safety, and Security of Facilities and Personnel

With the heightened threat of terrorism against U.S. interests, the need to strengthen security and emergency preparedness in both the public and private sectors has taken on new urgency. Homeland Security Presidential Directive-3 established a Homeland Security Advisory System for the nation and requires executive branch agencies to implement protective physical security measures to reduce vulnerability or increase response capability during periods of heightened alert. Like most federal agencies, USPTO must directly address this issue now and take the steps to address it in its new five-building complex in Alexandria, Virginia.

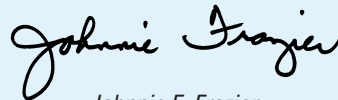
MANAGEMENT AND PERFORMANCE CHALLENGES IDENTIFIED BY THE INSPECTOR GENERAL

IT Capabilities

USPTO continues to face significant challenges in delivering essential information technology capabilities. The American Inventors Protection Act of 1999 requires greater operational efficiency from the bureau, further intensifying the demands placed on IT solutions and USPTO's ability to develop new and upgrade existing systems. Our March 2002 evaluation of USPTO's information security program found that in general, the bureau's documented policies and procedures are consistent with accepted security practices, but many important security requirements are not implemented, and fundamental responsibilities are frequently not carried out. USPTO concurred with our findings and has begun implementing our recommendations. While the results of our evaluation suggest that information security has yet to become an integral part of USPTO's business operations, the bureau's response to our recommendations indicates genuine concern about the security of its IT systems and a commitment to a stronger security program.

Acquisition Processes

As a performance-based organization, USPTO is responsible for completely managing its procurement operations and, as such, has greater flexibility in how it acquires its goods and services. But with this increased flexibility comes increased responsibility to ensure careful monitoring of its procurement and operations to ensure maximum efficiency.



Johnnie E. Frazier

Inspector General

December 20, 2002





Other Accompanying Information





THE NATURE OF THE TRAINING PROVIDED TO USPTO EXAMINERS

Achieving organizational excellence demands a high performing workforce that delivers high quality work products and provides customer service excellence. Training is a critical component in achieving consistently high quality products and services.

Patent examiners and Trademark examining attorneys received extensive legal, technical and automation training in FY 2002. The USPTO has a comprehensive training program for new patent examiners and trademark examining attorneys, which has a well-established curriculum including initial legal training and training in examination practice and procedure. Automation training is provided to all examiners on an as-needed just-in-time basis. Technology-specific legal and technical training was conducted throughout the examining operations. This specific training either focused on practices particular to the technology or was developed to address training needs identified through Trademark training.

The USPTO training staff works one-on-one with the Patent and Trademark business organizations to address specific training concerns and serve as consultants to design specific internal programs to fit the education needs of each business unit. Training is reviewed and evaluated on an ongoing basis to insure that it is up-to-date and that coursework reflects developments and changes that have taken place in the industry.

In FY 2002, the Trademark organization searched the options for development of training using the medium of the Internet for web-based training. The Trademark organization found a vendor that offers a website base and a Learning Management Resource (LMR) package on which to build courses and administer the training. Trademarks purchased a pilot-program to test the website system. The pilot course "Varietal and Cultivar Names Refusals" was published to 100 volunteer Trademark attorneys and received excellent reviews. On the basis of the successful pilot, Trademarks leased the website system for one-year. Additional courses will be designed and published on-line in FY 2003.



OTHER ACCOMPANYING INFORMATION

PATENT EXAMINER TRAINING

<p>Procedural Training – Mandatory for all first year examiners</p>	<p>Patent Examiner Initial Training (PEIT) and Introduction to Practice and Procedures (IPP)</p> <p>Standardized training is being provided to new patent examiners to teach them the basic skills and knowledge of the patent process, practices and procedures such that they will be able to successfully examine a patent application. The examiner will also be able to provide an initial report to their supervisor on what is the claimed, as well as, the disclosed invention contained in the application so as to permit him/her to perform a prior art search. The number of courses offered each year is based on the projected number of new examiners entering the patent business unit.</p>
<p>Legal Training – Mandatory for all first year examiners</p>	<p>Practice and Procedures Lectures covering the following topics:</p> <ul style="list-style-type: none"> ■ Types of application and application requirements ■ "Novelty" requirements ■ "Non-Obviousness" requirements ■ "Utility" requirements ■ Restriction practice ■ Unity of invention ■ Double patenting ■ Allowance and issue ■ Appeals
<p>Legal Training – Technology Center Focused</p>	<ul style="list-style-type: none"> ■ "Novelty" requirements ■ Docket Management ■ Part of Application ■ USPTO Forms ■ After Final Practice ■ "Non-Obviousness" requirements ■ "Utility" requirements ■ Prior Art (special topics) ■ Restriction Practice ■ Response to Arguments ■ Double Patenting ■ Reexam/Reissue
<p>Legal Training – Legal Lectures</p>	<p>Various topics offered each year</p>
<p>Legal Training – Legal Courses</p>	<ul style="list-style-type: none"> ■ Patent Law ■ Evidence

OTHER ACCOMPANYING INFORMATION

PATENT EXAMINER TRAINING *Continued*

Examiner Technical Training –
Technology Center Focused

- Biotechnology
- Chemical Engineering
- Mechanical Engineering
- Computer Software and Hardware
- Optics, Semiconductor, Electrical Engineering
- Communication Technology

Examiner Technical Training – In-house
Technical Lectures

- Examples:
- TCP/IP
 - 3G Wireless Mobile Communication
 - RF/Wireless Engineering
 - DVD Technology
 - Disk Drive operations
 - Memory Technologies
 - Communications Basics
 - 3rd Generation Cellular
 - Display System
 - Flat Panel Display Lecture
 - Optical Technology
 - Computer Architecture

Automation Training

- Examples:
- Introduction to Computer Skills
 - Keyboarding Skills
 - Windows™ NT Overview
 - Windows™ NT Hands On
 - Computer Housekeeping
 - Microsoft® Outlook
 - Microsoft® Excel
 - Microsoft® Word I, II, III, IV
 - Office Action Correspondence Subsystem
 - US Classes, International Patent Classification Codes and the Concordance Online
 - Search Strategy Development Overview
 - Automated Searching for Design Examiners
 - Automated Searching for Shoe Searcher
 - Chemical Searching for Non-Chemists
 - Introduction to Sequence Searching
 - Examiner's Automated Search Tool (EAST) - Search Strategy for Chemical, Mechanical, Electrical, and Biotechnology Arts
 - Web-Based Examiner Search Tool (WEST) - Search Strategy for Chemical, Mechanical, Electrical, and Biotechnology Arts
 - Search Strategy for the Biotechnology Arts
 - WEST for EAST Searchers/ EAST for WEST Searchers
 - Understanding and Locating Foreign Patents
 - Commercial Databases and Web Resources



OTHER ACCOMPANYING INFORMATION

TRADEMARK EXAMINING ATTORNEY TRAINING

Trademark Organization Training and Learning (TOTAL)

Legal Training – Mandatory for all first year trademark examining attorneys.

This course provides new Trademark attorneys with basic knowledge of the Federal Trademark Act, examination procedures and automated search tools. Practice and Procedures Lectures and Activities cover the following topics:

- Trademark Law Overview
- Refusals under Section 2(d) of Trademark Act (Likelihood of Confusion)
- Refusals under Section 2(e)(1) of Trademark Act (Mere Descriptiveness/Deceptively Misdescriptive)
- Trademark Manual of Examining Procedure
- Refusals under Section 2(e)(2) of Trademark Act (Geographically Descriptive)
- Refusals under Section 2(e)(3) of Trademark Act (Geographically Deceptively Misdescriptive)
- Refusals under Section 2(e)(4) of Trademark Act (Primarily Merely Surname)
- Intent to Use Procedural Requirements
- Identification and Classification of Goods and Services Practice
- Legal Letter Writing
- Drawings, Specimens and Use-Based Refusals
- Basis Requirements
- Options Practice – Section 2(f) of Trademark Act and Supplemental Register
- Disclaimer Requirements
- Evidence Practice
- Refusals under Sections 2(a), (b) and (c) of Trademark Act

Automation Training

- PTOnet System and Applications
- X-Search Automated Trademark Search System



FISCAL YEAR 2002 USPTO WORKLOAD TABLES

Index of Tables		Page
Table 1	Summary of Patent Examining Activities	106
Table 2	Patent Applications Filed	107
Table 3	Patents Pending Prior to Allowance	108
Table 4	Patent Pendency Statistics	109
Table 5	Summary of Pending Patent Applications	110
Table 6	Patents Issued	111
Table 7	Patent Applications Filed by Residents of the United States	112
Table 8	Patents Issued to Residents of the United States	113
Table 9	United States Patent Applications Filed by Residents of Foreign Countries	114
Table 10	Patents Issued by the United States to Residents of Foreign Countries	116
Table 11	Statutory Invention Registrations (SIRs) Published	117
Table 12	United States Government Agency Patents	118
Table 13a	Ex Parte Reexamination	119
Table 13b	Inter Partes Reexamination	119
Table 14	Summary of Contested Patent Cases	120
Table 15	Summary of Trademark Examining Activities	121
Table 16	Trademark Applications Filed for Registration and Renewal and Trademark Affidavits Filed	122
Table 17	Summary of Pending Trademark Applications	123
Table 18	Trademarks Registered, Renewed, and Published Under Section 12(C)	124
Table 19	Trademark Applications Filed by Residents of the United States	125
Table 20	Trademarks Registered to Residents of the United States	126
Table 21	Trademark Applications Filed by Residents of Foreign Countries	127
Table 22	Trademarks Registered to Residents of Foreign Countries	129
Table 23	Summary of Contested Trademark Cases	131
Table 24	Actions on Petitions to the Director of the USPTO	132
Table 25	Cases in Litigation	133
Table 26	Patent Classification Activity	134
Table 27	Scientific and Technical Information Center Activity	135



OTHER ACCOMPANYING INFORMATION

TABLE 1

SUMMARY OF PATENT EXAMINING ACTIVITIES

(As of September 30 of each fiscal year)

PATENT EXAMINING ACTIVITY	1998	1999	2000	2001	2002
Applications filed, total	256,666	278,268	311,807	344,717	353,394
Utility /1, /2	238,850	259,618	291,653	324,211	331,580
Reissue /2	582	664	805	956	974
Plant /2	658	759	786	914	1,134
Design	16,576	17,227	18,563	18,636	19,706
Provisional Applications Filed /3	41,622	54,727	78,963	86,123	89,537
First actions					
Design	16,836	18,050	17,856	17,748	19,029
Utility, Plant, and Reissue	192,849	226,642	237,421	241,770	275,055
PCT/Chapter 1	13,430	14,316	16,331	17,972	19,460
Patent application disposals, total	220,333	238,292	252,871	257,467	279,297
Allowed patent applications, total /3	158,259	171,685	182,888	183,394	189,191
Design	15,214	16,305	16,688	16,526	17,377
Utility, Plant, and Reissue	143,045	155,380	166,200	166,868	171,814
Abandoned, total	61,994	66,493	69,895	74,014	90,092
Design	1,892	2,431	1,839	1,448	1,675
Utility, Plant, and Reissue	60,102	64,062	68,056	72,566	88,417
Statutory invention registration disposals, total	80	114	88	59	14
PCT/Chapter II examinations completed	12,223	12,886	15,471	18,859	16,456
Patents issued /4	154,579	159,166	182,223	187,822	177,317
Utility	139,298	142,856	164,490	169,576	160,843
Reissue	284	437	561	504	466
Plant	577	393	453	563	912
Design	14,420	15,480	16,719	17,179	15,096
Allowed applications, issue fee not paid /5	6,853	4,000	7,633	6,985	6,928
Pendency time of average patent application /6	23.8	25.0	25.0	24.7	24.0
Reexamination requests	350	385	318	296	272
Reexamination certificates issued	317	243	276	287	200
PCT search reports prepared	12,859	14,116	15,896	16,692	19,646
PCT international applications received by					
USPTO as receiving office	27,138	30,305	36,671	43,322	42,889
National requirements received by USPTO as designated/elected office	17,305	19,941	23,628	26,821	29,846
International preliminary examination reports	12,003	14,615	15,044	17,740	17,949
Patents renewed under P.L. 102-204 /7	135,462	156,414	206,255	205,117	194,143
Patents expired under P.L. 102-204 /7	41,063	52,289	47,958	49,077	53,724

1/ Utility patents include chemical, electrical and mechanical applications.

2/ Utility, Plant, and Reissue applications revised from 1996 - 2000 to reflect the latest actual counts in PALM.

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

4/ Excludes withdrawn numbers.

5/ 35 U.S.C. § 151 (includes design applications).

6/ Average time (in months) between filing and issuance or abandonment of utility, plant, and reissue applications. This average does not include design patents.

7/ The provisions of P.L. 102-204 regarding the renewal of patents superceded P.L. 96-517 and P.L. 97-247. FY 1999 column revised from FY 1999 report.

OTHER ACCOMPANYING INFORMATION

TABLE 2

**PATENT APPLICATIONS FILED
(FY 1982 - FY 2002)**

Year	Utility /1, /2	Design	Plant /2	Reissue /2	Total
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	430	606	201,554
1995	220,141	15,375	516	647	236,679
1996	189,922	15,160	557	637	206,276
1997	219,486	16,272	680	607	237,045
1998	238,850	16,576	658	582	256,666
1999	259,618	17,227	759	664	278,268
2000	291,653	18,563	786	805	311,807
2001	324,211	18,636	914	956	344,717
2002	331,580	19,706	1,134	974	353,394

1/ Chemical, electrical, and mechanical applications.

2/ Utility, Plant, and Reissue applications revised from 1996 - 2000 to reflect the latest actual counts in PALM.



OTHER ACCOMPANYING INFORMATION

TABLE 3

PATENTS PENDING PRIOR TO ALLOWANCE /1
(FY 1982 - FY 2002)

Year	Awaiting action by examiner	Total applications pending /2
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
1995	124,275	298,522
1996	139,943	303,720
1997	112,430	275,295
1998	224,446	379,484
1999	243,207	414,837
2000	308,056	485,129
2001	355,779	542,007
2002	433,691	636,530

1/ Includes patents pending at end of period indicated, and includes utility, reissue, plant, and design applications.

Does not include allowed applications.

2/ Applications under examination, including those in preexamination processing.

OTHER ACCOMPANYING INFORMATION

TABLE 4

**PATENT PENDENCY STATISTICS
(FY 2002)**

UTILITY, PLANT & REISSUE (UPR) APPLICATIONS	NUMBER OF APPLICATIONS	AVERAGE PENDENCY (in months)
Total	250,641	24.0
Issued	162,224	25.9
Abandoned	88,417	23.0
Applications In Process	680,649	N/A

UPR PENDENCY STATISTICS BY TECHNOLOGY CENTER (in months)		
	To Issue	Abandoned
Total UPR Pendency	25.9	23.0
Tech Center 1600 - Biotechnology & Organic Chemistry	27.3	22.4
Tech Center 1700 - Chemical & Materials Engineering	25.9	24.4
Tech Center 2100 - Computer Architecture, Software, & Information Security	37.7	32.1
Tech Center 2600 - Communications	36.1	31.6
Tech Center 2800 - Semiconductor, Electrical, Optical Systems, & Components	23.5	21.3
Tech Center 3600 - Transportation, Construction, Agriculture, & Electronic Commerce	22.7	20.5
Tech Center 3700 - Mechanical Engineering, Manufacturing, Products & Design	22.8	18.6

TOTAL UPR PENDENCY BY TECHNOLOGY CENTER (in months)	
	Average Pendency in Months
Total UPR Pendency	24.0
Tech Center 1600 - Biotechnology & Organic Chemistry	25.5
Tech Center 1700 - Chemical & Materials Engineering	25.5
Tech Center 2100 - Computer Architecture, Software, & Information Security	36.3
Tech Center 2600 - Communications	34.9
Tech Center 2800 - Semiconductor, Electrical, Optical Systems, & Components	23.2
Tech Center 3600 - Transportation, Construction, & Agriculture	22.1
Tech Center 3700 - Mechanical Engineering, Manufacturing, Products & Design	21.8

Pendency is calculated based on the most recent filing date.



OTHER ACCOMPANYING INFORMATION

TABLE 5

SUMMARY OF PENDING PATENT APPLICATIONS
(As of September 30, 2002)

Stage of processing	Utility, plant and reissue applications	Design applications	Total patent applications
Pending patent applications, total	690,717	23,088	713,805
In preexamination processing, total	81,154	3,406	84,560
Under examination, total	540,067	11,903	551,970
Undocketed	64,897	1,282	66,179
Awaiting first action by examiner	275,194	7,758	282,952
Rejected, awaiting response by applicant	142,430	2,350	144,780
Amended, awaiting action by examiner	44,634	425	45,059
In interference	553	-	553
On appeal, and other /1	12,359	88	12,447
In postexamination processing, total	69,496	7,779	77,275
Awaiting issue fee	40,623	3,585	44,208
Awaiting printing /2	25,750	4,194	29,944
D-10s (secret cases in condition for allowance)	3,123	-	3,123

- Represents zero

1/ Includes cases on appeal and undergoing petitions.

2/ Includes withdrawn cases.

OTHER ACCOMPANYING INFORMATION

TABLE 6

PATENTS ISSUED
(FY 1982 - FY 2002)

Year	Utility /1	Design	Plant	Reissue	Total
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
1995	101,895	11,662	390	294	114,241
1996	104,900	11,346	338	291	116,875
1997	111,979	10,331	400	267	122,977
1998	139,298	14,420	577	284	154,579
1999	142,856	15,480	437	393	159,166
2000	164,490	16,719	453	561	182,223
2001	169,576	17,179	563	504	187,822
2002	160,843	15,096	912	466	177,317

1/ Includes chemical, electrical, and mechanical applications.



OTHER ACCOMPANYING INFORMATION

TABLE 7

**PATENT APPLICATIONS FILED BY RESIDENTS OF THE UNITED STATES /1
(FY 2002)**

DATA IS PRELIMINARY

State/Territory	No. for 2002	State/Territory	No. for 2002	State/Territory	No. for 2002
Total	196,570	Kentucky	749	Oklahoma	911
Alabama	832	Louisiana	710	Oregon	3,445
Alaska	82	Maine	286	Pennsylvania	6,196
Arizona	3,071	Maryland	4,456	Rhode Island	564
Arkansas	317	Massachusetts	8,283	South Carolina	1,031
California	43,568	Michigan	6,616	South Dakota	151
Colorado	4,289	Minnesota	5,507	Tennessee	1,664
Connecticut	3,558	Mississippi	257	Texas	11,306
Delaware	623	Missouri	1,619	Utah	1,434
District of Columbia	171	Montana	224	Vermont	625
Florida	5,653	Nebraska	415	Virginia	2,457
Georgia	3,465	Nevada	1,059	Washington	5,361
Hawaii	144	New Hampshire	1,180	West Virginia	249
Idaho	3,269	New Jersey	7,116	Wisconsin	3,462
Illinois	7,030	New Mexico	667	Wyoming	118
Indiana	2,841	New York	11,422	Puerto Rico	72
Iowa	1,127	North Carolina	3,978	Virgin Islands	5
Kansas	985	North Dakota	139	U.S. Pacific Islands /2	1
		Ohio	5,890	United States /3	15,920

1/ Data include utility, plant, design, and reissue applications.

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

3/ No State indicated in database.

OTHER ACCOMPANYING INFORMATION

TABLE 8

**PATENTS ISSUED TO RESIDENTS OF THE UNITED STATES /1
(FY 2002)**

State/Territory	No. for 2002	State/Territory	No. for 2002	State/Territory	No. for 2002
Total	93,347	Kentucky	480	Oklahoma	503
		Louisiana	488	Oregon	1,602
Alabama	420	Maine	162	Pennsylvania	3,546
Alaska	50	Maryland	1,544	Rhode Island	312
Arizona	1,630	Massachusetts	3,687	South Carolina	650
Arkansas	197	Michigan	3,994	South Dakota	86
California	20,068	Minnesota	2,803	Tennessee	899
Colorado	2,008	Mississippi	206	Texas	6,157
Connecticut	1,953	Missouri	946	Utah	740
Delaware	376	Montana	157	Vermont	485
District of Columbia	64	Nebraska	231	Virginia	1,311
Florida	2,761	Nevada	357	Washington	2,166
Georgia	1,471	New Hampshire	639	West Virginia	174
Hawaii	98	New Jersey	4,090	Wisconsin	2,002
Idaho	1,870	New Mexico	374	Wyoming	56
Illinois	3,831	New York	6,908	Puerto Rico	16
Indiana	1,631	North Carolina	2,129	U.S. Pacific Islands /2	2
Iowa	692	North Dakota	87	United States /3	-
Kansas	452	Ohio	3,784	Virgin Islands	2

1/ Data include utility, plant, design, and reissue patents.

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

3/ No State indicated in database.



OTHER ACCOMPANYING INFORMATION

TABLE 9

UNITED STATES PATENT APPLICATIONS FILED BY RESIDENTS OF FOREIGN COUNTRIES /1
(FY 1998 - FY 2002)

FY 2002 DATA IS PRELIMINARY

Residence	1998	1999	FN	2000	2001	2002	Residence	1998	1999	FN	2000	2001	2002
Total	110,461	125,423		136,102	154,205	156,824	Fiji	1	2		-	2	1
Albania	1	-		-	-	-	Finland	910	1,309		1,475	1,799	1,765
Algeria	-	-		1	2	-	French Polynesia	-	-		2	-	-
Andorra	2	1		-	3	3	France	5,414	6,398		6,859	7,154	6,414
Angola	-	-		-	-	1	French Guiana	-	-		-	-	-
Anguilla	-	1		-	-	1	Gabon	-	-		-	-	-
Antigua & Barbuda	1	-		-	-	-	Georgia	6	2		1	5	3
Argentina	121	102		138	146	104	Germany	13,799	17,446		17,858	19,776	18,424
Armenia	1	1	/3	1	4	1	Ghana	-	1		-	-	1
Aruba	-	-		-	1	1	Gibraltar	-	-		-	-	1
Australia	1,450	1,507		1,887	2,088	1,829	Greece	47	47		45	48	45
Austria	665	871		887	945	996	Guadeloupe	-	-		-	-	-
Azerbaijan	2	1		1	2	-	Guatemala	3	2		1	12	3
Bahamas	21	14		17	14	22	Guyana	-	-		-	1	-
Bahrain	1	2		1	-	-	Guinea	1	-		-	-	-
Bangladesh	-	-		-	1	1	Haiti	-	-		2	-	1
Barbados	1	3		7	4	3	Honduras	5	6		1	1	-
Belarus	3	6		11	4	6	Hungary	69	115		116	91	119
Belgium	1,034	1,207		1,338	1,341	1,230	Iceland	28	30		39	39	32
Belize	1	-		-	-	-	India	182	263		389	636	726
Benelux Convention	-	-		-	-	-	Indonesia	7	26		15	10	23
Bermuda	5	7		15	4	12	Iran	16	2		1	4	3
Bolivia	2	2		-	1	1	Iraq	-	-		-	1	1
Bosnia & Herzegovina	1	1		1	-	-	Ireland	197	264		339	401	392
Botswana	1	-		-	-	-	Israel	1,499	1,938		2,477	2,781	2,449
Brazil	167	206		240	247	234	Italy	2,449	2,835		3,031	3,185	2,952
British Virgin Islands	2	2		3	2	13	Jamaica	4	4		2	1	2
Brunei	-	-		-	2	2	Japan	46,569	47,413		54,365	62,676	57,214
Bulgaria	15	2		23	10	9	Jordan	5	5		-	4	3
Canada	5,975	7,006		7,146	7,802	7,379	Kazakhstan	1	10		2	2	1
Cayman Islands	2	7		4	8	9	Kenya	1	8		1	13	12
Chile	18	14		28	29	40	Korea, Dem. Republic of	63	-		-	-	-
China (Hong Kong)	457	757		837	1,008	1,055	Korea, Republic of	5,625	5,634		5,882	6,792	7,210
China (People's Republic)	289	271		437	694	857	Kuwait	13	12		10	6	10
Columbia	14	21		24	28	26	Kyrgyzstan	-	1		-	-	-
Congo, Dem. Republic of	-	-		-	-	-	Laos	-	-		-	-	-
Cook Islands	-	-		-	-	-	Latvia	5	2		2	5	-
Costa Rica	20	8		29	8	17	Lebanon	3	5		4	9	12
Cote D'Ivoire	-	1		-	-	1	Lesotho	-	-		-	-	-
Croatia	18	15		18	22	16	Liechtenstein	15	26		26	33	30
Cuba	4	5		14	6	10	Lithuania	2	3		4	8	2
Cyprus	-	4		2	7	2	Luxembourg	49	51		65	77	73
Czech Republic	39	37		58	83	49	Macau	-	2		-	4	7
Czechoslovakia	22	15		-	-	-	Madagascar	-	1		-	2	-
Denmark	776	938		941	1,130	1,075	Macedonia	-	-		3	2	-
Djibouti	-	-		-	-	-	Malaysia	58	74		94	144	127
Dominica	-	1		2	-	-	Maldives	-	-		-	-	-
Dominican Republic	3	-		4	1	3	Mali	1	-		-	-	-
Ecuador	2	5		6	8	8	Malta	2	-		1	6	3
Egypt	8	19		21	16	14	Marshall Islands	-	-		-	1	-
El Salvador	1	1		2	3	1	Mauritius	1	-		-	1	-
EPO	-	-		-	-	-	Mexico	152	172		180	220	155
Estonia	1	7		7	7	8	Moldova	1	-		1	2	2
Ethiopia	-	-		-	-	-	Monaco	13	14		26	29	19
Falkland Islands	-	-		-	-	-	Mongolia	-	-		-	-	-
							Montserrat	-	-		-	-	-

OTHER ACCOMPANYING INFORMATION

TABLE 9
CONT.UNITED STATES PATENT APPLICATIONS FILED BY RESIDENTS OF FOREIGN COUNTRIES /1
(FY 1998 - FY 2002)

FY 2002 DATA IS PRELIMINARY

Residence	1998	1999	FN	2000	2001	2002	Residence	1998	1999	FN	2000	2001	2002
Morocco	3	1		5	1	1	Slovenia	26	20		27	21	25
Myanmar	1	-		-	-	-	Solomon Islands	-	-		-	-	-
Namibia	-	1		-	-	-	South Africa	215	243		199	259	201
Nauru	1	-		-	-	-	Soviet Union	1	-		-	-	-
Nepal	-	-		-	-	-	Spain	442	481		595	611	587
Netherlands	1,914	2,158		2,446	2,822	2,637	Sri Lanka	3	13		8	8	18
Netherlands Antilles	3	1		-	1	1	St. Lucia	-	-		-	1	1
New Caledonia	2	-		-	-	3	Suriname	2	-		1	-	-
New Zealand	204	249		296	355	339	Swaziland	17	-		-	-	-
Nicaragua	-	-		-	1	-	Sweden	2,390	2,770		2,840	3,001	2,231
Niger	1	-		-	-	-	Switzerland	1,897	2,245		2,318	2,494	2,253
Nigeria	3	1		5	7	3	Syria Arab Rep	-	5		3	-	3
Norfolk Island	-	-		-	-	1	Taiwan	7,627	11,392		10,380	12,403	12,806
Norway	341	399		465	452	448	Tanzania	-	-		1	1	1
Oman	-	-		-	-	1	Thailand	34	61		91	106	83
Pakistan	3	2		6	2	7	Trinidad & Tobago	2	1		8	1	1
Palau	-	1		-	-	1	Tunisia	-	1		-	1	2
Panama	4	8		4	10	4	Turkey	26	35		27	31	35
Paraguay	1	-		2	-	-	Turks and Caicos Islands	-	-		2	5	7
Peru	3	8		6	8	7	Uganda	1	4		-	-	-
Philippines	21	28		32	47	69	Ukraine	31	20		23	39	42
Poland	16	27		35	43	47	United Arab Emirates	6	7		6	2	9
Portugal	17	29		22	27	25	United Kingdom	6,072	7,128		7,613	8,464	7,678
Qatar	-	-		-	-	1	Uruguay	5	4		2	7	8
Romania	9	5		10	13	5	Uzbekistan	3	4		3	-	2
Russian Federation	271	360		384	417	344	Vatican City	-	-		-	-	-
Saint Kitts & Nevis	-	2		2	2	1	Venezuela	43	44		42	65	38
San Marino	-	-		-	1	-	Vietnam	1	1		1	5	1
Saudi Arabia	24	17		24	32	30	Yemen	1	-		-	-	-
Senegal	1	-		-	-	-	Yugoslavia	6	6	/3	7	4	7
Seychelles	2	-		-	1	-	Zimbabwe	3	1		1	1	2
Sierra Leone	-	-		-	-	-	Other /2	75	-		-	-	12,812
Singapore	315	444		680	766	710							
Slovakia	10	5		10	3	10							

- Represents zero.

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

2/ Country of origin information not available.

3/ Revised from FY 1999 Report

OTHER ACCOMPANYING INFORMATION

TABLE 10

PATENTS ISSUED BY THE UNITED STATES TO RESIDENTS OF FOREIGN COUNTRIES /1
(FY 1998 - FY 2002)

Residence	1998	1999	FN	2000	2001	2002	Residence	1998	1999	FN	2000	2001	2002
Total	68,796	70,047		81,675	86,203	83,970	Greece	17	21		22	23	21
Albania	-	-		1	-	-	Guadeloupe	-	-		-	-	-
Algeria	-	1	/2	-	1	-	Guatemala	2	2		2	-	5
Andorra	2	1		-	-	1	Guinea	-	-		1	-	-
Anguilla	1	-		-	-	-	Haiti	-	1		-	-	-
Antigua & Barbuda	-	-		1	-	-	Honduras	1	5		1	-	2
Argentina	41	45		65	58	54	Hungary	46	38		41	57	49
Armenia	-	-		1	1	1	Iceland	6	10		15	23	17
Aruba	-	-		2	-	1	India	80	109		123	159	254
Australia	754	795		885	1,041	955	Indonesia	9	4		15	9	14
Austria	413	443		544	653	535	Iran	1	1		-	1	1
Azerbaijan	-	1		1	-	-	Ireland	74	104		128	174	136
Bahamas	13	12		13	12	14	Israel	760	748		856	1,023	1,042
Bahrain /2	-	-		3	-	-	Italy	1,754	1,595		1,915	2,052	1,945
Barbados	-	1		-	2	6	Jamaica	1	1		2	1	2
Belarus	7	5		4	5	3	Japan	30,490	30,425		34,563	34,875	34,954
Belgium	713	667		807	805	772	Jordan	2	2		-	3	1
Bermuda	1	2		-	5	4	Kazakhstan	2	1		4	3	2
Bolivia	1	-		3	-	-	Kenya	1	2		1	4	3
Bosnia and Herzegovina	-	-		-	1	1	Korea, Dem. Republic of	-	-		-	-	-
Brazil	79	87		122	127	113	Korea, Republic of	3,052	3,477		3,699	3,783	3,755
British Virgin Islands	3	2		1	1	-	Kuwait	4	12		11	4	11
Brunei	-	-		-	-	1	Kyrgyzstan	-	-		-	2	-
Bulgaria	2	5		2	5	1	Latvia	1	2		2	-	1
Canada	3,302	3,498		4,060	4,157	3,809	Lebanon	1	3		3	4	2
Cayman Islands	6	4		6	6	6	Liechtenstein	16	15		19	22	15
Chile	16	12		15	15	13	Lithuania	1	4		2	4	2
China (Hong Kong)	361	395	/2	540	603	546	Luxembourg	47	46		48	46	52
China (Mainland)	87	86	/2	143	239	347	Macau	-	-		-	-	-
Colombia	7	4		6	13	14	Madagascar	-	-		1	1	1
Congo, Dem. Republic of	-	-		-	-	-	Malaysia	38	27		51	51	57
Cook Islands	-	-		-	-	-	Malta	2	-		2	2	-
Costa Rica	2	10		12	8	10	Marshall Islands	-	1		-	-	1
Croatia	10	17		11	8	10	Mauritius	-	-		1	-	-
Cuba	4	4		1	4	8	Mexico	83	79	/2	107	95	93
Cyprus	-	-		1	1	-	Moldova, Republic	-	3		-	-	1
Czech Republic	15	18		42	32	24	Monaco	9	12		14	21	16
Czechoslovakia	8	7		8	7	4	Morocco	2	1		2	2	-
Denmark	533	551		536	532	569	Myanmar	-	1		-	-	-
Dominica	-	-		1	2	-	Namibia	-	-		1	-	-
Dominican Republic	-	3		2	3	-	Netherlands	1,282	1,322		1,484	1,465	1,604
Ecuador	7	4		-	3	1	Netherlands Antilles	1	1		2	-	2
Egypt	1	1		6	10	4	New Caledonia	1	-		-	-	-
El Salvador /2	1	-		-	3	-	New Zealand	135	140		149	147	162
Estonia	-	1		2	4	5	Nicaragua	-	1		-	-	-
Faroe Islands	-	-		-	-	-	Nigeria	1	1		2	-	3
Fiji	-	-		-	-	1	Norfolk Island	-	1		-	-	-
Finland	576	665		679	778	805	Norway	217	224		266	292	262
France	3,823	3,802		4,392	4,576	4,289	Pakistan	1	1		4	2	2
French Guiana	-	-		-	-	-	Panama	-	-		3	1	1
French Polynesia	-	-		-	1	1	Paraguay	-	1		-	-	-
Georgia	-	-		1	2	1	Peru	1	5		4	6	1
Germany	9,304	9,113		10,978	12,128	11,529	Philippines	25	16		17	14	20
Ghana	-	1		-	-	-	Poland	16	21		9	20	14
Gibraltar	-	-		1	-	-	Portugal	9	11		10	16	12
							Palau	-	-		1	-	-

OTHER ACCOMPANYING INFORMATION

TABLE 10
CONT.PATENTS ISSUED BY THE UNITED STATES TO RESIDENTS OF FOREIGN COUNTRIES /1
(FY 1998 - FY 2002)

Residence	1998	1999	FN	2000	2001	2002	Residence	1998	1999	FN	2000	2001	2002
Qatar	-	-	-	-	-	-	Tanzania	-	-	-	-	1	-
Romania	-	5	-	4	10	5	Thailand	14	23	-	36	46	49
Russian Federation	175	174	-	192	242	198	Trinidad & Tobago	3	1	-	-	2	2
Saint Kitts & Nevis	2	-	-	1	2	1	Tunisia	1	-	-	-	-	1
Saint Vincent/The Grenadines	-	-	-	-	-	-	Turkey	3	2	-	5	14	16
San Marino	-	1	-	-	-	-	Turks and Caicos Islands	1	-	-	1	1	1
Saudi Arabia	12	12	-	21	13	8	Uganda	-	-	-	-	1	1
Singapore	122	134	-	220	299	392	Ukraine	15	16	-	13	28	28
Slovakia	2	6	-	3	3	8	United Arab Emirates	1	-	-	3	7	6
Slovenia	15	13	-	18	22	16	United Kingdom	3,548	3,686	-	4,241	4,425	4,076
South Africa	126	115	-	145	144	107	Uruguay	3	4	-	-	1	3
Soviet Union	6	2	-	3	-	1	Uzbekistan	1	-	-	3	2	1
Spain	285	262	-	321	350	350	Venezuela	30	40	-	31	33	27
Sri Lanka	2	1	-	2	5	5	Vietnam	-	1	-	1	-	5
Suriname	-	1	-	1	1	-	Yemen	-	-	-	-	-	1
Sweden	1,258	1,368	-	1,805	1,946	1,824	Yugoslavia	5	3	-	4	4	5
Switzerland	1,339	1,310	-	1,516	1,574	1,489	Zimbabwe	-	1	-	1	1	1
Syrian Arab Rep	-	1	-	4	1	1							
Taiwan	3,543	4,105	-	5,578	6,766	6,346							

- Represents zero.

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

2/ Revised from FY 1999 Report

TABLE 11

STATUTORY INVENTION REGISTRATIONS (SIRs) PUBLISHED
(FY 1998 - FY 2002)

Assignee	1998	1999	2000	2001	2002
Air Force	4	1	-	11	8
Army	-	4	2	4	1
Energy	1	1	1	2	1
Navy	6	8	5	20	10
USA /1	1	2	-	1	1
Other Than U.S. Government	56	37	50	93	32
Total	68	53	58	131	53

- Represents zero

1/ Agency not indicated in database.

OTHER ACCOMPANYING INFORMATION

TABLE 12

**UNITED STATES GOVERNMENT AGENCY PATENTS /1
(FY 1992 - FY 2002)**

AGENCY	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	TOTAL
Agriculture	48	57	38	44	48	39	68	79	57	65	46	589
Air Force	138	126	130	104	101	78	81	83	79	103	66	1,089
Army	172	147	194	163	138	169	160	146	151	151	149	1,740
Commerce	17	21	28	35	22	21	16	20	19	21	20	240
Energy	218	193	201	146	60	70	69	48	51	68	52	1,176
EPA	4	7	5	4	7	9	2	4	6	11	8	67
FCC	-	-	-	-	-	-	-	1	-	-	1	2
HEW/HHS	67	88	99	96	110	144	148	153	119	98	91	1,213
Interior	23	9	10	13	20	6	3	6	5	7	7	109
Library of Congress	-	-	-	1	1	-	-	-	-	-	-	2
NASA	166	155	148	157	102	92	104	87	98	92	81	1,282
Navy	314	333	360	352	299	279	347	306	369	326	362	3,647
NSA	3	5	6	4	3	1	3	7	16	11	11	70
Postal Service	-	-	-	1	1	1	-	-	-	2	-	5
State Department	-	-	-	1	-	-	-	-	-	1	-	2
Transportation	-	2	1	-	-	-	3	1	3	-	1	11
Treasury	-	-	-	-	-	1	-	-	-	-	-	1
TVA	5	1	2	5	4	4	2	6	2	3	-	34
USA /2	10	9	3	9	5	9	7	8	1	1	-	62
VA	-	-	-	-	-	-	-	-	-	1	2	3
Total	1,185	1,153	1,225	1,135	921	923	1,013	955	976	961	897	11,344

- Represents zero

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

2/ United States of America - no agency indicated in database.

OTHER ACCOMPANYING INFORMATION

TABLE 13 A

**EX PARTE REEXAMINATION
(FY 1998 - FY 2002)**

ACTIVITY	1998	1999	2000	2001	2002
Requests filed, total	350	385	318	296	272
By patent owner	168	173	137	144	121
By third party	178	181	172	150	140
Commissioner ordered	4	31	9	2	11
Determinations on requests, total	348	367	338	342	272
Requests granted:					
By examiner	315	327	320	263	262
By petition	2	1	2	2	1
Requests denied	31	39	16	77	9
Requests known to have related litigation	66	62	80	80	52
Filings by discipline, total	350	385	318	296	272
Chemical	120	138	96	90	87
Electrical	94	107	103	89	78
Mechanical	136	140	119	117	107

TABLE 13 B

**INTER PARTES REEXAMINATION
(FY 2000 - FY 2002)**

ACTIVITY	2000	2001	2002
Requests filed, total	-	1	4
Determinations on requests, total	-	-	5
Requests granted:			
By examiner	-	-	-
By petition	-	-	-
Requests denied	-	-	-
Requests known to have related litigation	-	-	-
Filings by discipline, total	-	1	4
Chemical	-	1	2
Electrical	-	-	-
Mechanical	-	-	2



OTHER ACCOMPANYING INFORMATION

TABLE 14

SUMMARY OF CONTESTED PATENT CASES
(Within the Patent and Trademark Office, as of September 30, 2002)

ITEM	TOTAL
Ex parte cases	
Appeals /1	
Cases Pending as of 9/30/01	5,050
Cases Filed During FY 02	3,125
Disposals During FY 02, total	
Decided, total	5,085
Affirmed	1,522
Affirmed-in-Part	471
Reversed	1,901
Dismissed / Withdrawn	92
Remanded	1,099
Cases Pending as of 9/30/02	
3,090	
Rehearings	
Cases Pending as of 9/30/02	20
Inter partes cases	
Cases pending as of 9/30/01	219
Cases declared or reinstated during FY 02	109
Inter partes cases, FY 02 total	
328	
Cases terminated during FY 02	157
Cases pending as of 9/30/02	
171	

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

OTHER ACCOMPANYING INFORMATION

TABLE 15

SUMMARY OF TRADEMARK EXAMINING ACTIVITIES

(FY 1998 - FY 2002)

ITEM	1998	1999	2000	2001	2002
Applications for Registration:					
Applications including Additional Classes	232,384	295,165	375,428	296,388	258,873
Applications Filed /1	193,034	240,308	296,490	232,939	207,287
Disposal of Trademark Applications:					
Registrations including Additional Classes	106,279	104,324	127,794	124,502	164,457
Abandonments including Additional Classes	71,838	77,184	101,099	142,973	120,102
Trademark First Actions including Additional Classes	238,191	338,937	352,325	464,618	253,187
Applications Approved for Publication including Additional Classes	145,209	181,366	203,251	235,419	217,487
Certificates of Registration Issued: /2					
1946 Act Principal Register	56,730	57,046	73,888	61,152	81,096
Principal Register					
ITU-Statements of Use Registered	29,287	26,810	27,170	36,188	45,064
1946 Act Supplemental Register	3,617	3,918	5,325	4,974	7,065
Total Certificates of Registration	89,634	87,774	106,383	102,314	133,225
Renewal of Registration:*					
Section 9 Applications Filed	7,413	7,944	24,435	24,174	34,325
Section 8 Applications Filed**	N/A	N/A	24,099	24,167	34,271
Registrations Renewed	6,504	6,280	8,821	31,477	29,957
Affidavits, Sec. 8/15:					
Affidavits Filed	33,231	33,104	28,920	33,547	39,484
Affidavits Disposed	26,199	29,119	28,894	37,092	35,375
Affidavits for Benefits:					
Under Sec. 12(c)					
Published Under Sec. 12(c)	11	8	3	15	26
Amendments to Allege Use Filed	6,955	3,554	8,971	8,582	8,261
Statements of Use Filed	37,060	34,367	36,119	47,811	53,974
Notice of Allowance Issued	78,072	82,940	120,177	120,166	158,868
Total Active Certificates of Registration	901,805	931,273	1,020,126	1,063,164	1,116,200
Pendency - Average Months:					
Between Filing and Examiner's First Action	7.2	4.6	5.7	2.7	4.3
Between Filing, Registration (Use Applications)					
Abandonments, and NOA's	17.8	18.9	17.3	17.8	19.9
Between Filing and Issuing a NOA (Intent to Use Applications)	17.8	18.9	16.0	16.4	18.3

- Represents zero.

1/ "Applications filed" refers simply to the number of individual trademark applications received by the PTO. There are, however, 47 different classes of items in which a trademark may be registered. An application must request registration in at least one class, but may request registration in multiple classes. Each class application must be individually researched for registerability. "Applications filed, including additional classes" reflects this fact, and therefore more accurately reflects the Trademark business workload. 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.

2/ 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.

*Renewal of registration is required beginning 10 years following registration concurrent with 20 year renewals coming due.

**Section 8 Affidavit is required for filing a renewal beginning October 30, 1999 (FY 2000) with the implementation of the Trademark Law Treaty.

Workload Sources:

Applications Filed are taken from the TRAMPY10AR01 Report.

Registration and Post Registration data is taken from the TRAM Megaspac TMIMC38-PO1 and TMIFY15-PO1 Report.

Abandonments are taken from the TRAM TMIMR08 - PO1 Report.

First Actions and Approvals for Publication are taken from the TRAM Progress Summary Report.

Pendency is taken from the TRAM Examination Pendency Plus Suspended/Inter Partes Cases TMIIPE05-PO3.

Statements of Use are taken from the TRAM TMIFY20-PO1 Report.

Notices of Allowance Issued are taken from the TMAM TMIFY25-PO1 Report.

Total Active TM registrations are taken from the TMIIXS40-01TRAM Data Base Statistics report.

OTHER ACCOMPANYING INFORMATION

TABLE 16

**TRADEMARK APPLICATIONS FILED FOR REGISTRATION
AND RENEWAL AND TRADEMARK AFFIDAVITS FILED
(FY 1982 - FY 2002)**

YEAR	FOR REGISTRATION	FOR RENEWAL	SECTION 8 AFFIDAVIT	SEC. 12(C) AFFIDAVIT
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
1995	175,307	7,346	23,497	-
1996	200,640	7,543	22,169	6
1997	224,355	6,720	20,781	2
1998	232,384	7,413	33,231	-
1999	295,165	7,944	33,104	-
2000	375,428	24,435*	28,920	-
2001	296,388	24,174	33,547	4
2002	258,873	34,325	39,484	-

- Represents zero

* Concurrent 10 and 20 year renewal of registration.

Registration and Post Registration data is taken from the TRAM Megaspac TMIIMC38-PO1 and TMIIFY15-PO1 Report.

OTHER ACCOMPANYING INFORMATION

TABLE 17

SUMMARY OF PENDING TRADEMARK APPLICATIONS

(As of September 30, 2002)

STAGE OF PROCESSING	APPLICATION FILES	CLASSES
Pending applications, total	479,628	654,533
In preexamination processing	63,289	75,947
Under examination, total	309,528	432,240
Applications under initial examination	101,304	139,799
Amended, awaiting action by Examiner	95,128	132,499
Awaiting first action by Examiner	6,176	7,300
ITU applications pending Use	146,610	198,041
Applications under second examination	8,255	10,665
Administrative processing of Statements of Use	1,367	1,756
Undergoing second examination	923	1,129
Amended, awaiting action by Examiner	5,965	7,780
Other pending applications /1	53,359	83,735
In postexamination processing	106,811	146,346
(Includes all applications in all phases of publication and issue and registration)		

1/ Includes applications pending before the Trademark Trial and Appeal Board, and suspended cases.



OTHER ACCOMPANYING INFORMATION

TABLE 18 TRADEMARKS REGISTERED, RENEWED, AND PUBLISHED UNDER SECTION 12(C) /1
(FY 1982 - FY 2002)

YEAR	CERTIFICATES OF REGIS. ISSUED	RENEWED	PUBLISHED UNDER 12(C)	REGISTRATIONS <i>(Incl Classes)</i>
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	86,122
1994	59,797	6,136	11	68,853
1995	65,662	6,785	4	75,372
1996	78,674	7,346	11	91,339
1997	97,294	7,389	11	112,509
1998	89,634	6,504	8	106,279
1999	87,774	6,280	3	104,324
2000	106,383	8,821	15	127,794
2001	102,314	31,477	11	124,502
2002	133,225	29,957	26	164,457

- Represents zero
1/ Includes withdrawn numbers.

OTHER ACCOMPANYING INFORMATION

T A B L E 1 9

**TRADEMARK APPLICATIONS FILED BY RESIDENTS OF THE UNITED STATES
(FY 2002)**

State/Territory	No. for 2002	State/Territory	No. for 2002	State/Territory	No. for 2002
Total	208,821	Kentucky	1,272	Oklahoma	1,074
Alabama	1,245	Louisiana	968	Oregon	2,040
Alaska	110	Maine	485	Pennsylvania	6,573
Arizona	3,666	Maryland	4,020	Rhode Island	1,046
Arkansas	634	Massachusetts	6,766	South Carolina	1,255
California	43,105	Michigan	4,878	South Dakota	236
Colorado	4,314	Minnesota	4,750	Tennessee	2,590
Connecticut	3,656	Mississippi	497	Texas	10,872
Delaware	3,280	Missouri	3,459	Utah	2,033
District of Columbia	1,864	Montana	301	Vermont	436
Florida	11,830	Nebraska	802	Virginia	4,783
Georgia	4,962	Nevada	2,543	Washington	4,389
Hawaii	457	New Hampshire	821	West Virginia	270
Idaho	585	New Jersey	8,768	Wisconsin	3,182
Illinois	10,403	New Mexico	515	Wyoming	285
Indiana	2,256	New York	21,202	Puerto Rico	258
Iowa	1,115	North Carolina	3,983	Virgin Islands	17
Kansas	1,145	North Dakota	271	U.S. Pacific Islands /1	20
		Ohio	6,463	United States /2	71

- Represents zero

1/ Represents residents of American Samoa, Guam, and miscellaneous U.S. Pacific Islands.

2/ No State indicated in data base, includes APO filings.



OTHER ACCOMPANYING INFORMATION

TABLE 20 TRADEMARKS REGISTERED TO RESIDENTS OF THE UNITED STATES / 1 (FY 2002)

State/Territory	No. for 2002	State/Territory	No. for 2002	State/Territory	No. for 2002
Total	114,173	Kentucky	563	Oklahoma	434
Alabama	428	Louisiana	460	Oregon	950
Alaska	71	Maine	251	Pennsylvania	2,797
Arizona	1,236	Maryland	1,426	Rhode Island	340
Arkansas	203	Massachusetts	2,295	South Carolina	535
California	12,480	Michigan	2,067	South Dakota	109
Colorado	1,360	Minnesota	2,206	Tennessee	878
Connecticut	985	Mississippi	158	Texas	4,021
Delaware	26,760	Missouri	1,499	Utah	953
District of Columbia	765	Montana	152	Vermont	219
Florida	4,136	Nebraska	429	Virginia	1,490
Georgia	1,951	Nevada	1,760	Washington	1,937
Hawaii	210	New Hampshire	360	West Virginia	82
Idaho	192	New Jersey	2,514	Wisconsin	1,663
Illinois	3,782	New Mexico	193	Wyoming	138
Indiana	1,308	New York	6,964	Puerto Rico	79
Iowa	639	North Carolina	1,454	Virgin Islands	7
Kansas	512	North Dakota	85	U.S. Pacific Islands /2	6
		Ohio	2,873	United States /3	12,808

- Represents zero

1/ When a trademark is registered, the trademark database is corrected to indicate the home state of the entity registering the trademark.

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

3/ No State indicated in data base, includes APO filings.

OTHER ACCOMPANYING INFORMATION

TABLE 21

TRADEMARK APPLICATIONS FILED BY RESIDENTS OF FOREIGN COUNTRIES
(FY 1998 - FY 2002)

Residence	1998	1999	2000	2001	2002	Residence	1998	1999	2000	2001	2002
Total	36,249	44,549	67,035	65,589	50,052	Estonia	-	7	5	13	10
Algeria	-	-	1	-	-	Ethiopia	-	-	1	-	-
Andorra	5	7	3	1	5	Faroe Islands	-	-	-	-	-
Angola	-	1	3	1	1	Fiji	3	3	1	-	10
Anguilla	5	4	14	18	11	Finland	219	340	473	656	442
Antigua & Barbuda	-	6	15	43	30	France	3,095	3,695	4,860	4,636	3,546
Argentina	126	142	326	246	189	French Guiana	-	-	-	-	1
Armenia	-	3	9	8	1	French Polynesia	3	2	8	1	1
Aruba	4	7	5	13	9	French South/Antarctic	1	-	-	-	-
Australia	1,018	1,423	2,321	1,731	1,478	Gabon	-	-	-	-	-
Austria	343	500	632	604	743	Georgia	11	7	7	12	1
Bahamas	95	101	148	153	220	Germany	4,519	6,307	10,218	9,474	7,195
Bahrain	-	4	-	3	3	Ghana	2	5	-	-	-
Bangladesh	-	-	-	7	-	Gibraltar	6	48	31	12	11
Barbados	14	88	89	92	120	Greece	22	30	92	22	46
Belarus	3	-	5	-	2	Greenland	-	-	3	-	-
Belgium	321	409	619	548	454	Grenada	2	1	3	3	1
Belize	4	8	9	15	23	Guadeloupe	4	-	-	-	1
Benelux Convention	-	-	8	-	2	Guatemala	7	18	14	30	19
Bermuda	97	148	321	258	322	Guinea	-	1	-	-	-
Bolivia	1	1	6	2	4	Guyana	-	2	2	2	4
Botswana	-	-	-	-	-	Hague	-	-	-	-	-
Brazil	209	211	357	443	472	Haiti	5	3	-	8	6
British Virgin Islands	235	232	696	363	259	Honduras	15	3	3	4	1
Brunei	15	-	-	1	-	Hong Kong	478	625	1,097	898	860
Bulgaria	4	13	5	6	2	Hungary	11	21	31	48	35
Burundi	2	-	2	-	-	Iceland	24	26	50	64	15
Cambodia	7	7	6	1	1	India	78	123	252	214	267
Cameroon	3	-	-	-	3	Indonesia	29	23	31	50	37
Canada	6,499	7,889	9,844	8,086	6,765	Iran	-	-	-	3	-
Cayman Islands	64	50	265	190	117	Ireland	223	386	560	469	331
Central African Republic	-	-	-	-	1	Isle of Man	41	28	38	34	55
Channel Islands	42	-	110	65	72	Israel	431	621	1,033	835	448
Chile	58	101	132	207	141	Italy	1,562	1,868	2,548	2,380	1,919
China (mainland)	331	301	438	448	472	Jamaica	40	33	51	56	33
Christmas Island	-	-	4	-	2	Japan	2,883	3,028	4,273	9,008	4,450
Colombia	57	79	183	170	135	Jordan	2	28	7	13	14
Comoros	1	-	3	1	-	Kazakhstan	-	-	-	-	-
Congo, Dem. Republic of	-	-	-	-	-	Kenya	2	-	5	42	13
Cook Islands	3	-	1	10	9	Korea, Dem. Republic of	1	5	4	-	1
Costa Rica	21	11	25	12	23	Korea, Republic of	436	498	943	913	887
Cote d'Ivoire	-	-	-	-	1	Kuwait	2	8	7	7	3
Croatia	11	2	9	7	10	Latvia	2	3	3	4	-
Cuba	2	-	1	1	2	Laos	-	-	-	-	-
Cyprus	28	31	71	34	21	Lebanon	2	14	4	13	10
Czechoslovakia	26	30	50	39	58	Liberia	2	2	3	-	-
Denmark	348	382	604	716	568	Liechtenstein	100	110	149	89	61
Djibouti	3	-	-	-	-	Lithuania	-	-	2	3	3
Dominica	5	-	2	2	-	Luxembourg	113	137	198	135	186
Dominican Republic	59	65	62	43	40	Macau	7	2	-	1	3
Ecuador	28	19	22	40	10	Macedonia	-	1	-	1	-
Egypt	5	2	10	24	3	Madagascar	-	-	-	-	1
El Salvador	12	9	25	59	33	Malawi, Republic of	-	-	-	-	-
EPO	1	1	-	-	-	Malaysia	46	42	94	66	60
						Mali	-	-	-	-	-

OTHER ACCOMPANYING INFORMATION

TABLE 21
CONT.

TRADEMARK APPLICATIONS FILED BY RESIDENTS OF FOREIGN COUNTRIES
(FY 1998 - FY 2002)

Residence	1998	1999	2000	2001	2002	Residence	1998	1999	2000	2001	2002
Malta	3	1	26	6	3	Saudi Arabia	21	10	29	22	18
Marshall Islands	1	-	-	2	-	Scotland	82	105	51	95	82
Martinique	-	-	1	1	1	Senegal, Republic of	-	-	-	1	-
Mauritania	1	-	2	-	-	Seychelles	1	11	1	5	5
Mauritius	1	18	61	30	38	Sierra Leone	-	-	-	-	-
Mayotte	-	1	-	-	-	Singapore	161	186	419	339	283
Mexico	677	852	809	982	1,026	Slovakia	8	-	-	3	3
Micronesia	1	-	1	-	1	Slovenia	9	10	18	8	36
Moldova	-	-	1	2	-	Solomon Islands	-	-	-	4	-
Monaco	87	104	70	136	72	Somalia	-	-	-	-	-
Mongolia	-	-	3	-	-	South Africa	142	169	263	206	170
Morocco	2	7	2	-	1	Russian Federation	46	110	135	111	145
Myanmar	-	-	-	-	-	Spain	690	694	1,149	1,035	852
N. Mariana Island	-	2	-	-	3	Sri Lanka	8	3	28	7	6
Namibia	-	-	-	3	1	Sudan	-	-	-	-	1
Nauru	-	-	-	-	-	Suriname	-	1	-	1	-
Navassa Island	-	-	-	-	-	Swaziland	33	5	7	57	-
Nepal	1	-	-	5	9	Sweden	961	1,213	1,722	1,490	836
Netherlands	1,207	1,472	2,220	2,063	1,596	Switzerland	1,674	2,032	3,385	3,023	2,754
Netherlands Antilles	39	97	92	64	55	Taiwan	774	961	1,283	1,060	1,143
New Caledonia	-	4	-	1	-	Tajikistan	1	-	-	-	-
New Hebrides	2	-	-	1	-	Tanzania	2	-	-	-	-
New Zealand	218	314	324	359	292	Thailand	38	88	82	78	103
Newfoundland	-	2	1	2	5	Tokelau	-	-	-	1	-
Nicaragua	4	2	3	5	5	Tonga	1	-	-	-	-
Nigeria	-	-	9	-	15	Trinidad & Tobago	9	8	8	11	9
Norway	240	226	317	319	206	Tunisia	-	1	4	1	-
Oman	-	-	4	2	2	Turkey	61	46	61	131	85
Pakistan	2	10	6	5	4	Turks and Caicos Islands	2	6	12	2	5
Panama	28	46	20	36	47	Uganda	-	-	-	-	1
Papua New Guinea	-	-	-	-	-	Ukraine	2	1	6	17	2
Paraguay	1	4	4	4	2	United Arab Emirates	6	19	19	61	31
Peru	7	10	20	27	37	United Kingdom	4,265	5,056	9,367	7,860	5,597
Philippines	17	19	15	42	31	Uruguay	16	22	34	17	19
Poland	24	26	41	64	59	Uzbekistan	-	-	-	-	-
Portugal	57	95	110	134	106	Vanuatu	-	3	21	9	2
Qatar	-	1	1	6	6	Venezuela	53	50	116	115	75
Reunion	-	-	2	-	-	Vietnam	7	5	14	5	55
Romania	3	9	2	14	14	Yemen	-	-	-	-	-
St. Kitts & Nevis	1	-	-	-	-	Yugoslavia	1	-	-	-	4
Saint Christ-Nevis	-	-	-	-	6	Yukon Territory	-	1	-	-	-
Saint Lucia	-	-	-	-	2	Zambia	-	1	-	-	-
Saint Vincent/Grenadines	-	12	1	14	1	Zimbabwe	-	3	1	2	2
Samoa	-	2	1	-	1	Other /1	3	2	66	547	257
San Marino	4	-	-	6	-						

- Represents zero.

1/ Country of Origin information not available or not indicated in database, includes ARIPO filings.

OTHER ACCOMPANYING INFORMATION

TABLE 22

TRADEMARKS REGISTERED TO RESIDENTS OF FOREIGN COUNTRIES
(FY 1998- FY 2002)

Residence	1998	1999	2000	2001	2002	Residence	1998	1999	2000	2001	2002
Total	11,655	11,419	15,376	21,269	19,052	France	942	943	1,402	2,063	1,560
Afghanistan	-	-	-	1	-	French Polynesia	-	2	-	-	1
Algeria	-	1	1	-	-	Gabon	-	-	-	-	1
Andorra	-	1	1	1	-	Georgia	1	1	7	7	8
Angola, Republic of	-	-	-	3	2	Germany	1,325	1,393	2,255	3,691	2,561
Anguilla	4	2	2	2	1	Ghana	-	-	-	-	2
Antigua & Barbuda	6	2	5	12	15	Gibraltar	2	1	7	15	11
Argentina	57	36	43	47	68	Greece	15	6	13	10	16
Armenia	-	-	-	2	5	Greenland	-	-	-	-	-
Aruba	-	-	-	-	1	Grenada	-	-	-	-	-
Australia	343	312	368	629	663	Guatemala	7	7	5	7	9
Austria	75	101	170	217	171	Guyana	-	1	2	-	1
Azerbaijan	1	-	-	-	-	Hague	-	-	-	-	-
Bahamas	32	21	36	31	41	Haiti	2	1	1	1	-
Bahrain	-	1	1	1	1	Honduras	2	1	2	3	2
Bangladesh	-	-	-	-	-	Hong Kong	169	146	194	267	288
Barbados	6	11	9	22	26	Hungary	8	5	6	8	10
Belarus	1	-	1	-	1	Iceland	4	6	7	8	10
Belgium	97	120	135	211	205	India	49	54	48	96	73
Belize	-	1	-	4	3	Indonesia	15	16	12	18	16
Benelux Convention	-	2	2	-	1	Iraq	-	-	-	-	1
Bermuda	38	43	35	82	94	Iran	2	8	8	5	8
Bolivia	-	1	3	1	-	Ireland	83	69	76	135	107
Bosnia & Herzegovina	1	-	-	-	-	Isle of Man	6	13	7	12	7
Brazil	59	66	59	55	110	Israel	170	129	167	226	262
British Virgin Islands	42	64	-	-	133	Italy	638	644	900	1,079	979
Brunei Darussalam	-	-	-	-	1	Jamaica	14	16	23	12	19
Bulgaria	-	2	2	2	5	Japan	937	1,034	1,173	1,585	1,510
Cambodia	-	-	2	-	1	Jordan	2	2	-	6	9
Canada	2,161	2,052	2,460	3,062	2,911	Kenya	2	2	2	1	1
Cayman Islands	30	37	29	47	43	Kiribati	-	-	-	-	-
Central African Rep.	-	1	-	-	-	Korea, Dem. Republic of	1	-	1	-	2
Channel Islands	8	14	10	7	50	Korea, Republic of	132	159	222	251	283
Chile	33	39	24	35	45	Kuwait	3	3	1	2	2
China (mainland)	101	132	182	197	174	Latvia	6	4	-	1	1
Colombia	27	32	21	44	58	Lebanon	5	2	4	6	2
Comoros	-	1	-	-	-	Liberia	5	3	17	12	13
Cook Islands	2	1	-	2	7	Libya	-	-	-	-	-
Costa Rica	7	11	16	8	4	Liechtenstein	23	21	-	38	30
Croatia	1	1	-	-	5	Lithuania	-	2	-	-	1
Cuba	10	7	3	4	4	Luxembourg	34	20	86	47	59
Cyprus	4	4	7	8	6	Macau	1	1	-	3	2
Czechoslovakia	12	5	13	18	22	Macedonia	-	-	-	-	2
Denmark	138	105	178	187	177	Malaysia	19	10	18	17	24
Dominica	-	-	-	-	-	Malta	-	1	1	-	1
Dominican Republic	14	18	19	18	24	Marshall Islands	1	-	-	-	-
Ecuador	4	12	16	13	9	Mauritius	-	3	-	1	3
Egypt	2	2	1	3	3	Mexico	276	257	316	308	342
El Salvador	4	3	5	4	9	Micronesia	-	-	-	-	1
Estonia	-	-	-	-	2	Moldova	1	-	-	-	1
Ethiopia	-	-	-	2	1	Monaco	19	9	18	30	10
Faroe Islands	1	-	2	-	-	Morocco	-	1	4	2	1
Fiji	1	1	1	4	1	Myanmar	-	1	-	-	-
Finland	71	62	111	135	159	Namibia	-	-	-	-	1
						N. Mariana Island	-	1	-	-	-

OTHER ACCOMPANYING INFORMATION

TABLE 22
CONT.

TRADEMARKS REGISTERED TO RESIDENTS OF FOREIGN COUNTRIES
(FY 1998- FY 2002)

Residence	1998	1999	2000	2001	2002	Residence	1998	1999	2000	2001	2002
Netherlands	300	342	489	701	628	Russian Federation	8	14	37	35	23
Netherlands Antilles	15	6	25	48	27	Spain	279	280	263	391	474
New Zealand	44	68	88	113	97	Sprately Islands	-	-	-	-	-
Nicaragua	1	2	1	1	6	Sri Lanka	3	4	5	5	9
Nigeria	2	2	11	17	7	Swaziland	-	1	-	2	-
Norway	41	53	112	86	100	Sweden	238	208	263	476	406
Oman	-	-	-	-	-	Switzerland	492	445	838	1,028	820
Pakistan	1	1	2	6	10	Syria	-	-	-	-	1
Panama	24	24	34	28	41	Taiwan	367	299	450	569	656
Papua New Guinea	-	-	-	-	-	Thailand	20	15	24	42	43
Paraguay	-	2	2	1	2	Trinidad & Tobago	7	6	7	5	4
Peru	12	7	-	6	9	Tunisia	1	1	-	-	-
Philippines	10	13	10	12	12	Turkey	12	13	7	35	35
Poland	9	7	14	7	20	Turks and Caicos Islands	2	11	6	12	9
Portugal	25	27	37	39	40	Ukraine	-	-	-	3	4
Romania	1	1	-	8	3	United Arab Emirates	6	4	5	3	9
St. Kitts & Nevis	-	-	3	1	-	United Kingdom	1,264	1,108	1,531	2,260	1,803
Saint Lucia	-	-	-	-	-	Uruguay	2	1	1	2	12
San Marino	-	-	3	-	-	Vanuatu	1	-	-	-	3
Saudi Arabia	2	8	-	4	2	Vatican City	-	1	-	-	-
Scotland	1	1	5	23	10	Venezuela	19	24	16	21	29
Senegal	1	-	-	-	-	Vietnam	2	4	6	-	5
Seychelles	-	-	-	7	1	Western Samoa	-	-	-	-	1
Sierra Leone	-	-	-	1	-	Yemen	2	-	-	-	-
Singapore	49	34	44	76	82	Yugoslavia	1	3	-	1	-
Slovakia	1	3	2	1	-	Zimbabwe	-	-	-	1	-
Slovenia	8	3	4	15	5	Other /1	14	7	10	26	27
South Africa	54	41	43	57	62						

- Represents zero.

1/ Country of origin information not available.

OTHER ACCOMPANYING INFORMATION

TABLE 23

SUMMARY OF CONTESTED TRADEMARK CASES
(Within the U.S. Patent and Trademark Office, as of September 30, 2002)

ACTIVITY	EX PARTE	CANCELLATIONS	USE	INTERFERENCE	OPPOSITION	TOTAL
Cases pending as of 9/30/02, total	2,228	2,292	85	-	6,413	11,018
Cases filed during FY 2002	2,992	1,852	25	-	5,272	10,141
Disposals during FY 2002, total	3,186	1,668	20	-	4,763	9,637
Before hearing	2,662	1,639	20	-	4,683	9,004
After hearing	524	29	-	-	80	633
Cases pending as of 9/30/02, total	2,034	2,476	-	-	6,922	11,522
Awaiting decision	41	1	-	-	9	51
In process before hearing /1	1,993	2,475	90	-	6,913	11,471
Requests for extension of time to oppose						33,097

- Represents zero
 1/ Includes suspended cases.



OTHER ACCOMPANYING INFORMATION

TABLE 24

ACTIONS ON PETITIONS TO THE DIRECTOR OF THE USPTO
(FY 1998 - FY 2002)

NATURE OF PETITION	1998	1999	FN	2000	2001	2002
Patent matters						
Actions on patent petitions, total	34,169	31,155	/1	33,386	43,062	54,066
Acceptance of:						
Amendments filed after payment of issue fee	35	19		15	22	15
Late assignments	691	69		106	85	30
Late issue fees	-	-		-	1,332	1,676
Late priority papers	62	46		77	72	330
Access	16	9		24	4	6
Certificates of correction	16,044	17,583		14,111	22,157	31,776
Deferment of issue	22	52		68	25	21
Entity Status Change	816	569		888	986	836
Filing date	926	529		744	1,375	2,158
Interference	-	3		-	-	-
Make special:						
Infringement/manufacture	4	-		-	-	3
Other	1,328	1,502		1,574	1,498	1,573
Miscellaneous	2,690	920		2,323	1,854	1,411
Maintenance fees	976	1,474		1,698	1,614	1,614
Public use	-	-		5	-	3
Reexamination proceedings	39	17		-	-	6
Restriction	73	75		73	42	102
Revivals	3,466	4,158		5,084	4,231	3,395
Rule 47 (37 CFR 1.47)	419	407		849	1,531	1,698
Supervisory authority	2,491	66		75	44	112
Suspend rules	724	861		942	875	1,052
Withdrawal of attorney	870	-		1,401	2,002	2,530
Withdrawal from issue	385	862		1,212	991	1,178
Change of inventorship	127	80		147	121	186
Withdrawals of holding of aband./pat. lapse	1,965	1,854		1,970	2,201	2,355
Trademark matters						
Actions on trademark petitions, total	4,479	5,863		6,858	10,374	24,699
Affidavits of Use and extensions	192	168		31	-	1
Decision by examiner	7	3		6	23	14
Filing date restorations /2	634	1,402		1,311	1,785	846
Grant application filing date	55	656		66	25	29
Inadvertently issued registrations	197	253		233	325	654
Interferences	1	-		2	1	2
Make special	124	160		157	199	133
Miscellaneous	170	76		40	23	40
Oppositions and extensions	9	30		-	6	3
Record documents affecting title	2	2		-	2	1
Reinstatements /3	1,307	1,501		2,130	2,043	6,304
Restore jurisdiction to examiner	3	10		3	2	2
Review board decisions	3	40		6	13	10
Revive	1,552	1,262		2,673	5,633	16,222
Section 7 correction/amendment	5	14		-	10	17
Section 9 renewal	4	6		3	13	14
Section 8 or 15	32	17		61	60	75
Section 44(e) Amendment *	-	131		102	183	317
Review Letter of Protest Decision *	-	5		3	8	4
Waive fees/refunds	182	127		31	20	11
Petitions awaiting action as of 9/30						
Patent matters	2,589	2,389		1,458	699	1,844
Trademark petitions awaiting response	74	22		158	503	2,197
Trademark petitions awaiting action	69	651		3,199	6,060	582
Trademark pending filing date issues *	-	-		189	24	12

- Represents zero.

/1 Correction to FY 1999 Report

/2 Trademark Applications entitled to a particular filing date; based on clear evidence of Office error.

/3 Trademark Applications restored to pendency; inadvertently abandoned by the Office.

* Not reported in previous years.

OTHER ACCOMPANYING INFORMATION

TABLE 25

CASES IN LITIGATION

(Selected Courts of the United States, as of September 30, 2002)

	PATENTS	TRADEMARKS	TOTAL
United States District Courts			
Civil actions pending as of 9/30/01, total	7	3	10
Filed during FY 02	15	4	19
Disposals, total	12	3	15
Affirmed	2	1	3
Reversed	1	-	1
Remanded	1	-	1
Dismissed	5	1	6
Amicus/intervene	1	-	1
Transfer	2	1	3
Civil actions pending as of 9/30/02, total	10	4	14
United States Courts of Appeals /1			
Ex parte cases			
Cases pending as of 9/30/01	28	5	33
Cases filed during FY 02	33	19	52
Disposals, total	42	9	51
Affirmed	18	5	23
Reversed	1	0	1
Remanded	13	0	13
Dismissed	10	4	14
Transfer	-	-	-
Writs of mandamus:			
Granted	-	-	-
Granted-in-part	-	-	-
Denied	-	-	-
Dismissed	-	-	-
Total ex parte cases pending as of 9/30/02	19	15	34
Inter partes cases			
Cases pending as of 9/30/01	57	125	182
Cases filed during FY 02	18	13	31
Disposals, total	15	10	25
Affirmed	4	4	8
Reversed	0	3	3
Remanded	3	-	3
Dismissed	6	3	9
Amicus/intervene	2	-	2
Total inter partes cases pending as of 9/30/02	60	128	188
Total United States Courts of Appeals cases pending as of 9/30/02	79	143	222
Supreme Court			
Ex parte cases			
Cases pending as of 9/30/01	-	-	-
Cases filed during FY 02	5	-	5
Disposals, total	4	-	4
Cases pending as of 9/30/02, total	1	-	1
Notices of Suit filed in FY 2002	4,334	8,162	12,496

- Represents zero

/1/ Includes Federal Circuit and others.



OTHER ACCOMPANYING INFORMATION

TABLE 26

**PATENT CLASSIFICATION ACTIVITY
(FY 1998 - FY 2002)**

ACTIVITY	1998	1999	2000	2001	2002
Original patents professionally reclassified - completed projects	100,474	82,944	53,437	39,209	19,621
Subclasses established	3,569	2,433	1,869	1,878	780
Reclassified patents clerically processed, total	393,985	193,309	128,362	145,090	61,433
Original U.S. patents	119,425	62,584	49,231	51,266	13,155
Cross-reference U.S. patents	189,957	97,615	70,302	84,611	38,868
Foreign patents	84,603	33,110	8,829	9,213	9,410



OTHER ACCOMPANYING INFORMATION

TABLE 27

SCIENTIFIC AND TECHNICAL INFORMATION CENTER ACTIVITY
(FY 2002)

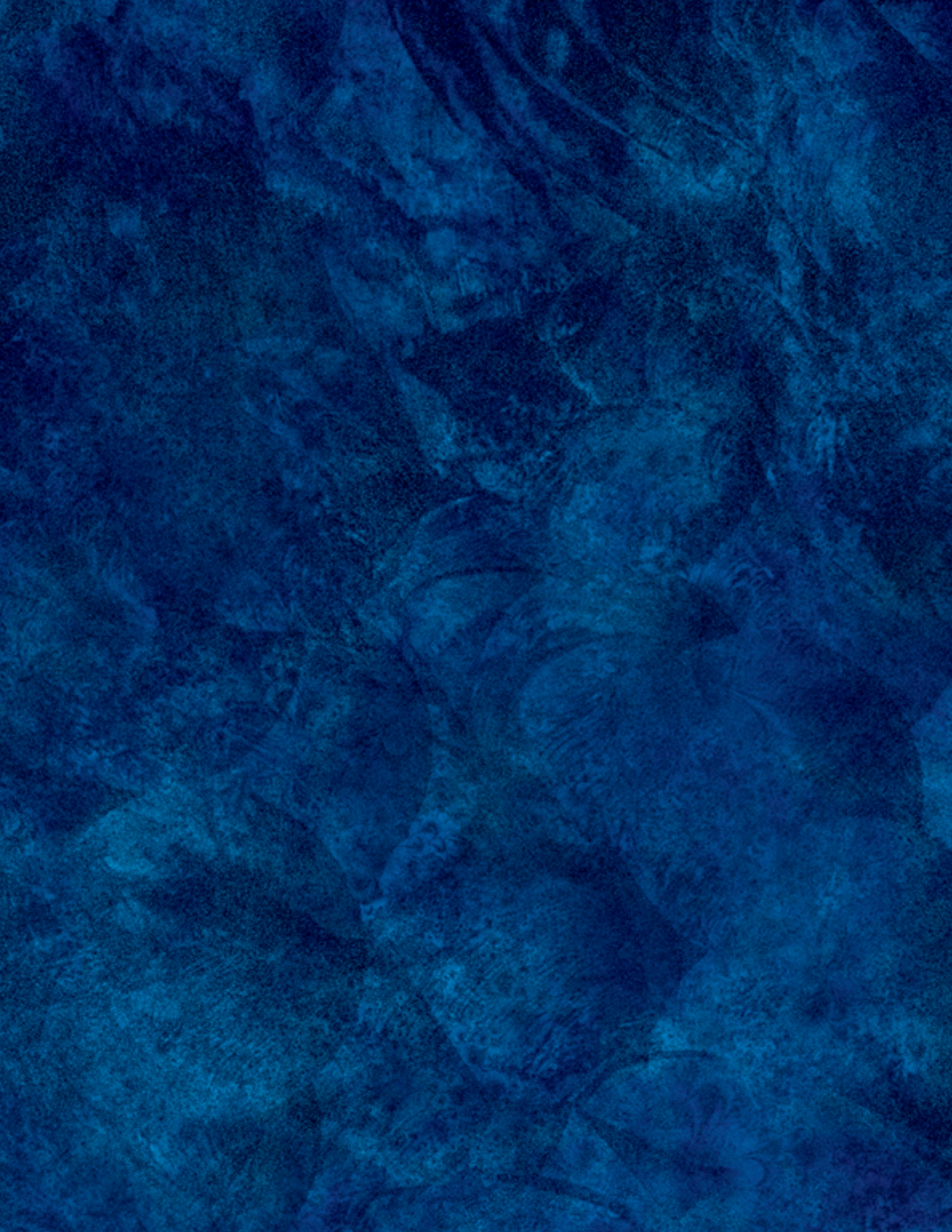
ACTIVITY	QUANTITY
Prior Art Search Services Provided:	
Automated Prior Art Searches Completed	11,177
On-line and Manual Foreign Patent Searches Completed	2,476
Genetic Sequence Searches Completed	10,837
Number of Genetic Sequences Searched	41,568
CRF Submissions Processed	21,271
PLUS Searches Completed	11,417
Document Delivery Services Provided:	
Document Delivery/Interlibrary Loan Requests Processed	48,069
Documents Provided Using Electronic Tools	8,044
Copies of Foreign Patents Provided:	
Copies Purchased by the Public	960
Copies Provided to USPTO Staff	1,236
Foreign Patents Provided Using Electronic Tools	1,287
Information Assistance and Automation Services:	
One-on-One Examiner Assistance	16,891
Foreign Patents Assistance for Examiners and Public	4,652
Examiner Briefings	2,420
Web Pages Created	793
Translation Services Provided for Examiners:	
Written Translations of Documents	5,868
Number of Words Translated (Written)	12,513,212
Documents Orally Translated	7,549
Collection Usage and Growth:	
Print/Electronic NPL Collection Usage	206,258
Print Books/Subscriptions Purchased	4,467
Print/Microform Foreign Patents Added to Collections	7,896
Full Text Electronic Journal Titles Available	6,614
Full Text Electronic Book Titles Available	4,640
NPL Databases Available for Searching (est.)	1,231
Foreign Patent Databases/Web Sites Accessed	125





Glossary of Acronyms and Abbreviation List





GLOSSARY OF ACRONYMS AND ABBREVIATION LIST

AICPA – American Institute of Certified Public Accountants	GAAP – Generally Accepted Accounting Principles
AIPA – American Inventors Protection Act of 1999	GSA – General Services Administration
ABC – Activity Based Cost Accounting	IG – Inspector General
APEC – Asia Pacific Economic Corporation	IP – Intellectual Property
CSRS – Civil Service Retirement System	IPEG – Intellectual Property Experts Group
C&A – Certification and Accreditation	IIPi – International Intellectual Property Institute
DOC – U.S. Department of Commerce	INTA – International Trademark Association
DOL – U.S. Department of Labor	IT – Information Technology
EAST – Examiner’s Automated Search Tool	ITAC – International Telework Association and Council
EFT – Electronic Funds Transfer	KSA – Knowledge, Skills, and Abilities
E-Gov – Electronic Government	OBRA – Omnibus Budget and Reconciliation Act
EPO – European Patent Office	OIG – Office of the Inspector General
FAIR – Federal Activities Inventory Reform	OMB – Office of Management and Budget
FASAB – Federal Accounting Standards Advisory Board	PALM – Patent Application Location and Monitoring system
FECA – Federal Employees Compensation Act	PBO – Performance Based Organization
FERS – Federal Employees Retirement System	PCT – Patent Cooperation Treaty
FICA – Federal Insurance Contributions Act	PDF – Portable Document Format
FMFIA – Federal Managers’ Financial Integrity Act	SCCRR – Standing Committee on Copyright and Related Rights
FMS – Financial Management Service	SFFAC – Statements of Federal Financial Accounting Concepts
FY – Fiscal Year	SFFAS – Statements of Federal Financial Accounting Standards



G L O S S A R Y O F A C R O N Y M S A N D A B B R E V I A T I O N L I S T

SIRA – Search and Information Resources Administration

S&T – Science and Technology

TARR – Trademark Application Registration Retrieval system

TEAS – Trademark Electronic Application System

TESS – Trademark Electronic Search System

TICRS – Trademark Information Capture and Retrieval

TLT – Trademark Law Treaty

TMEP – Trademark Manual of Examining Procedure

TRAM – Trademark Reporting and Monitoring system

Treasury – U.S. Department of the Treasury

TRIPS – Trade Related Aspects of Intellectual Property

TTAB – Trademark Trial and Appeal Board

UPR – Utility, Plant and Reissue

U.S. – United States

U.S.C. – United States Code

USPTO – The United States Patent and Trademark Office

USTR – U.S. Trade Representative

WEST – Web-based Examiner Search Tool

WIPO – World Intellectual Property Organization

WTO – World Trade Organization