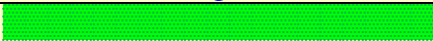
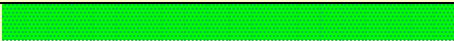



PATENT NET GRANT RATES at Three Major Patent Offices*

European Patent Off.	~ 49 %	
Japan Patent Off.	~ 53 %	
U.S. PTO	~ 92 % ^a	

* Christopher A. Cotropia, Cecil D. Quillen, Jr., & Ogden H. Webster, *Patent Applications and the Performance of the U.S. Patent and Trademark Office as of FY 2014*, Richmond School of Law, Intellectual Property Institute, Research Paper No. 2015-01 (January 13, 2015), Fig. 9 – Comparative Allowance Rates (Grant Rates)(1996-2013).

The complete study is attached.

^a corrected for all refiled continuing applications.



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Research Paper No. 2015-01

**PATENT APPLICATIONS AND THE PERFORMANCE
OF THE U.S. PATENT AND TRADEMARK OFFICE
AS OF FY 2014**

Christopher A. Cotropia, Cecil D. Quillen, Jr., and Ogden H. Webster

January 13, 2015

PATENT APPLICATIONS AND THE PERFORMANCE OF THE U.S. PATENT AND TRADEMARK OFFICE AS OF FY 2014

Christopher A. Cotropia,^{*} Cecil D. Quillen, Jr.,^{**}
and Ogden H. Webster^{***}

This is the sixth in a succession of studies of the impact of continuing patent applications on performance of the U.S. Patent and Trademark Office (USPTO). The earlier studies were published in The Federal Circuit Bar Journal in 2001, 2002, 2006, 2009, and 2013. This study updates and extends the earlier studies through the USPTO's 2014 Fiscal Year. It is based on the Workload Tables from the USPTO's Performance and Accountability Reports for 2014 and earlier years, the USPTO's December 4, 2014 Response to Freedom of Information Act (FOIA) Request No. F-15-00034, and data from the Five IP Offices Statistics Report for 2013.

USPTO INPUT - Applications Filed

The number of UPR Patent Applications Filed has steadily increased since 1996, the beginning year for the current study, with only a modest dip in 2009, reaching a record 582,114 in 2014 (582,278 in the FOIA data). See Figure 1 and Tables 1 and 2. However, Original (and Divisional) Application filings have been relatively stagnant since 2007, and the growth in UPR Application Filings since then has almost entirely been accounted for by Refiled Continuing Applications (continuations, CIPs, and RCEs), which grew from 135,810 in 2007 to 260,265 in 2014, an increase of 124,455 (92%). See Figure 2 and Tables 1, 2 and 3.

Refiled Continuing Applications accounted for 45% of the applications filed in 2014, up from 21% in 1996, and have grown by a factor of 6.6 since 1996. Original Applications, however, have grown only by a factor of 2.3 since 1996, with essentially no growth since 2007. See Figure 2 and Tables 2 and 3.

Refiled Continuing Applications claim the filing date of an earlier filed nonprovisional application that has already been examined by the USPTO and restart the examination process all over again to take another turn at examination by the USPTO. They are rework imposed on the USPTO by the applicants who file them. Refiled Continuing Applications enable applicants to avoid final decisions as to the patentability of their applications, and deprive the USPTO of the ability to obtain final decisions as to the patentability of applications it has examined. Because applicants can refile their applications time-after-time the only way the USPTO can rid itself of persistent applicants is to allow their applications.

The growth in Refiled Continuing Applications since 1996 has been almost entirely accounted for by the growth in continuations and RCEs since the number of CIPs has been relatively constant. See Figure 3 and Table 2.

USPTO OUTPUT – Application Disposals –Allowances plus Abandonments

Application Disposals consist of allowed applications plus abandoned applications. See Figure 4 and Tables 1, 2, and 3. The number of Nominal Application Disposals is simply the sum of allowed applications and abandoned applications as reported in the USPTO Performance and Accountability Reports without any adjustment for Refiled Continuing Applications. See Figure

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4 and Table 1. The number of Net Disposals is the sum of Applications Allowed and Applications Abandoned Without Refiling. See Figure 4 and Tables 1, 2, and 3.

The number of Applications Allowed, after declining slightly from 2003 to 2008, has grown sharply from 162,872 in 2008 to 322,214 in 2014, a 98% increase. See Figure 4 and Table 1. The number of Applications Abandoned Without Refiling has declined from 136,354 in 2009 to 95,127 in 2014, a 30% decline. See Figures 4 and 5 and Table 2.

The difference between the number of Nominal Disposals and the number of Net Disposals, 192,399, is the number of abandoned applications that were refiled to take another turn at examination by the USPTO. See Figure 4 and Tables 1 and 3.

Abandoned Applications

The number of applications reported as abandoned grew from 58,358 in 1996 to 287,526 in 2014, a 393 % increase, but has been essentially level since 2009. See Figure 5 and Table 1. The number of Net Abandonments, i.e., the number of Abandoned Applications That Were Not Refiled, however, grew by only 183%, from 33,606 in 1996 to 95,127 in 2014, and has been declining since 2009. See Figure 5 and Table 2.

The number of Abandoned Applications That Were Refiled grew from 24,752 in 1996 to 192,399 in 2014, a 677% increase. See Figure 5 and Table 2. In 2014 the number of Abandoned Applications That Were Refiled in 2014 exceeded those that were not by nearly 100,000. See Figure 5 and Table 2.

The number of Refiled Continuing Applications in 2014 (260,265) was 91% of the number of applications reported as abandoned in 2014 (287,526). See Tables 1 and 2.

Application Allowances and Patent Grants

The number of UPR Applications Allowed (and the number of patents issued) increased from 1996 until about 2001-2002, was relatively level thereafter until 2008, and then grew sharply to record levels in 2014 (322,214 Allowed Applications, 305,605 issued patents). See Figure 6 and Table 1.

The number of allowed applications nearly doubled between 2008 and 2014 (162,872 in 2008, 322,214 in 2014, a 98% increase). Patent grants grew from 156,540 in 2008 to 305,605 in 2014, a 95% increase. See Figure 6 and Table 1.

THE BACKLOG

The backlog of Pending Applications peaked at a record 1,208,076 in 2008, up from 303,720 in 1996, an increase of nearly 300%, and has remained at record levels since then with only a slight decline after 2009 to 1,127,701 in 2014. See Figure 7 and Table 1.

The arrest in the growth of the backlog since 2008 is largely the result of the sharp increase in the number the number of allowed applications from 162,872 in 2008 to 322,214 in 2014, an increase of 159,342 (98%). See Figure 6 and Table 1. The reported number of abandoned applications for 2014 was 287,526, up from 205,674 in 2008, an increase of only 81,852. See Figure 5 and Table 1. Since 2008 the increase in the number of allowances (159,342) is nearly twice the increase in reported abandonments (81,852).

The number of applications filed in 2014, 582,114, is up from 468,669 in 2008, a 25% increase. See Figure 1 and Table 1. The number of applications filed in 2014, however, includes 260,265 Refiled Continuing Applications, up from 161,584 in 2008, a 61% increase. See Figure 2 and Table 2. Original Applications (including Divisionals) were 322,013 in 2014, up only 5% from

the 307,085 in 2008. See Figure 2 and Table 2. Moreover, in 2014 the number of refiled continuing applications (260,625) was 45% of the number of applications filed (582,114), and 91% of the number of applications reported as abandoned (287,526). See Figure 4 and Tables 1, 2 and 3.

The reported number of applications awaiting examiner action has declined slightly since 2008, amounting to 642,949 in 2014. See Figure 7 and Table 1.

ALLOWANCE RATES/GRANT RATES

Allowance rates at the USPTO corrected for all Refiled Continuing Applications and those based on Net Disposals, after falling from 2000-2001, have risen sharply since 2009 to 92% and 77%, respectively, in 2014, suggesting declining selectivity at the USPTO after 2009. See Figure 8 and Table 4. The uncorrected allowance rate and the allowance rate corrected only for RCEs, have also risen sharply since 2009, but dropped slightly in 2014. See Figure 8 and Table 4. Allowance rates based on net disposals and those corrected for RCEs are essentially congruent after 2003. See Figure 8 and Table 4.

USPTO allowance rates corrected for all Refiled Continuing Applications were significantly higher in 2013 than grant rates reported on the Five IP Offices website for the European Patent Office (EPO) and the Japanese Patent Office (JPO) for 2013. See Figure 9 and Table 4. USPTO allowance rates based on net disposals for 2013 were higher than grant rates reported for the JPO and significantly higher than those reported for the EPO. See Figure 9 and Table 4.

CONCLUSION

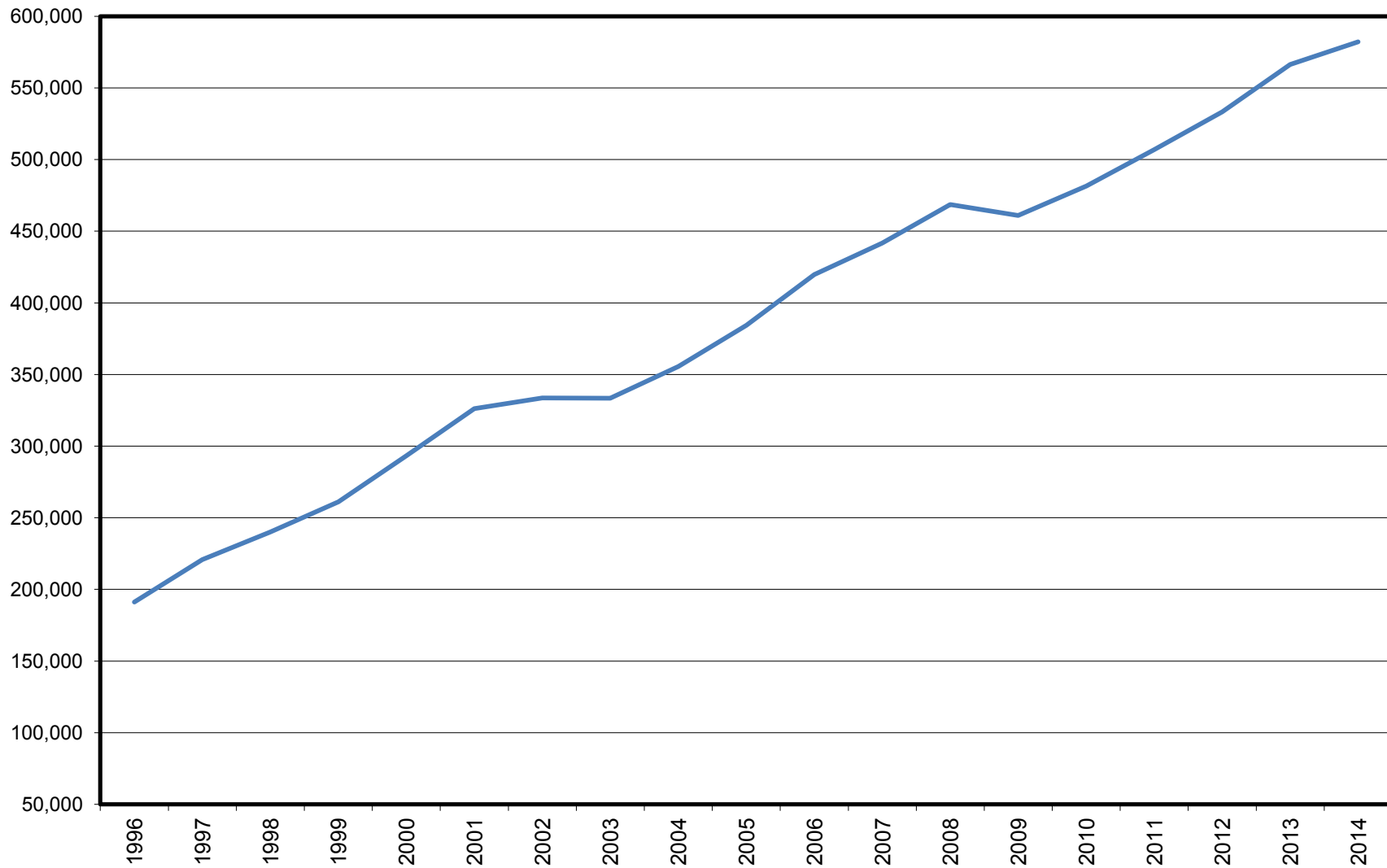
An increasing proportion of the workload of the USPTO is rework imposed on it by applicants who have avoided final decisions as to the patentability of their applications by refiling them to take another turn at examination by the USPTO. The number of Refiled Continuing Applications in 2014 was 260,265 (45% of the applications filed), up from 39,646 in 1996 (21% of those filed in 1996). The number of Original Applications has been essentially level since 2007, and the growth in application filings since then has been almost entirely Refiled Continuing Applications. Refiled Continuing Applications were 91% of the applications reported as abandoned in 2014.

The reported backlog peaked at a record 1,208,076 in 2008, and has remained at record levels since then, declining slightly to 1,127,701 in 2014. The arrest in the backlog growth, however, is a consequence of the near doubling of application allowances between 2008 and 2014 (up 159,342) since the number of reported application abandonments grew by only 81,852 between 2008 and 2014. Net Abandonments, i.e., abandoned applications not refiled, declined from 136,354 in 2009 to 95,127 in 2014, a 30% decline.

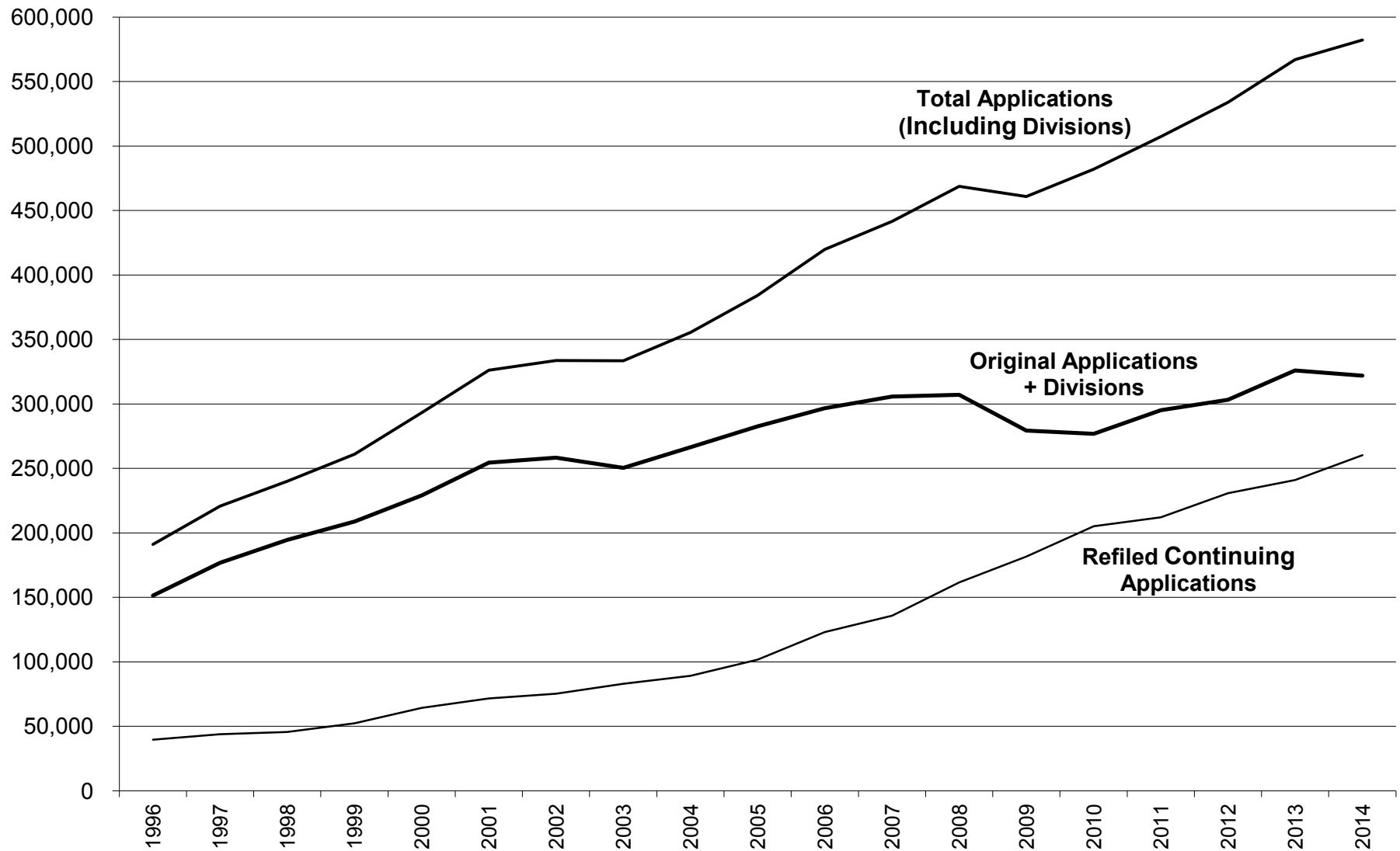
The increase in application allowances was accompanied by, and perhaps caused by, a sharp increase in application allowance rates since 2009, suggesting declining selectivity at the USPTO since 2009. Allowance rates for all Refiled Continuing Applications increased from 68% in 2009 to 92% in 2014. Allowance rates based on Net Disposals grew from 58% to 77%.

The data herein is provided to enable the readers to reach their own conclusions as to the current state of USPTO performance as it affects the U.S. patent system. Our modest hope is that this information will bring awareness of the current state of play at the USPTO and in the U.S. patent system in general and help answer, empirically, questions surrounding the health of the U.S. patent system and the performance of the USPTO.

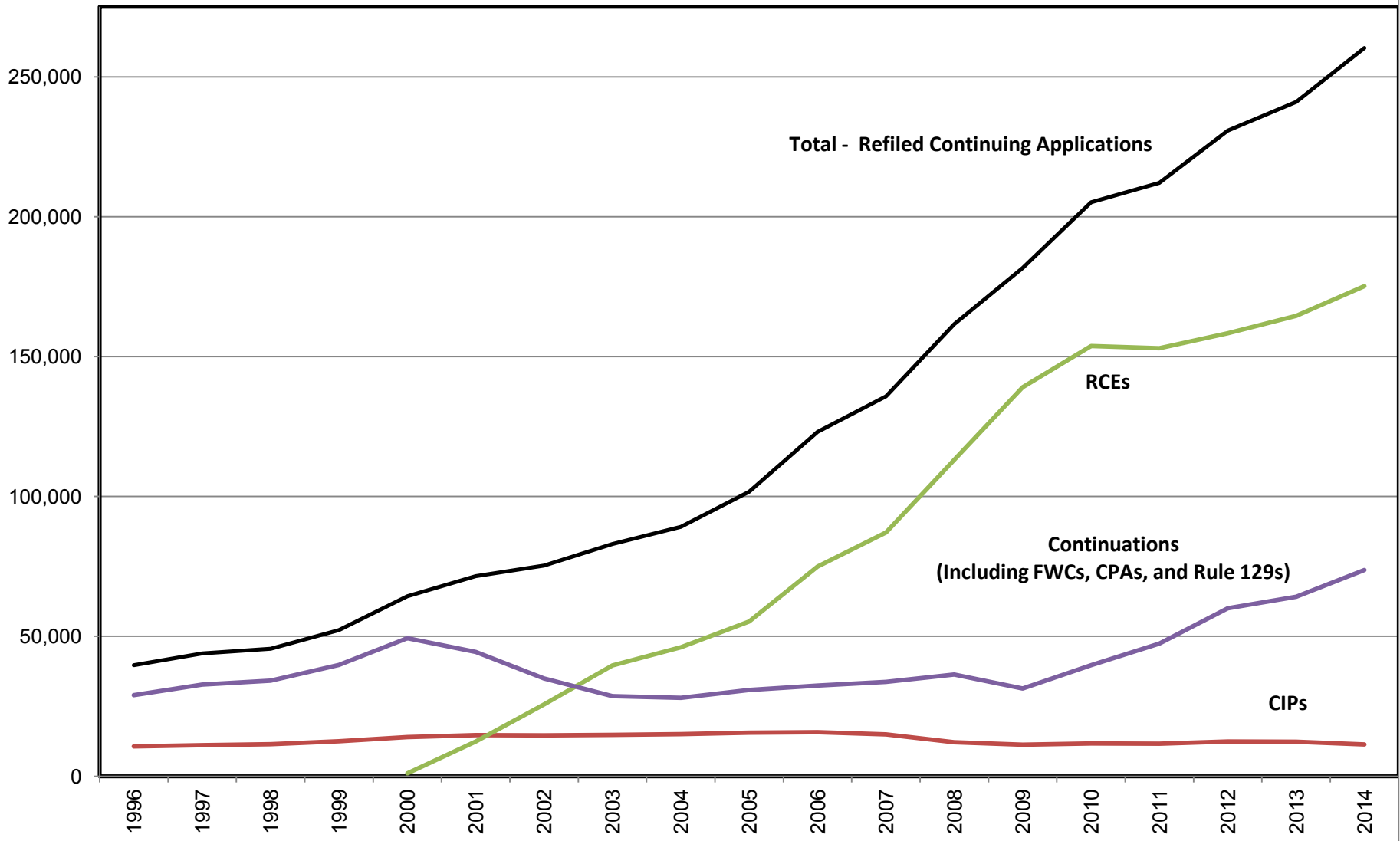
**Fig. 1 - UPR Patent Applications Filed
(1996 - 2014)**



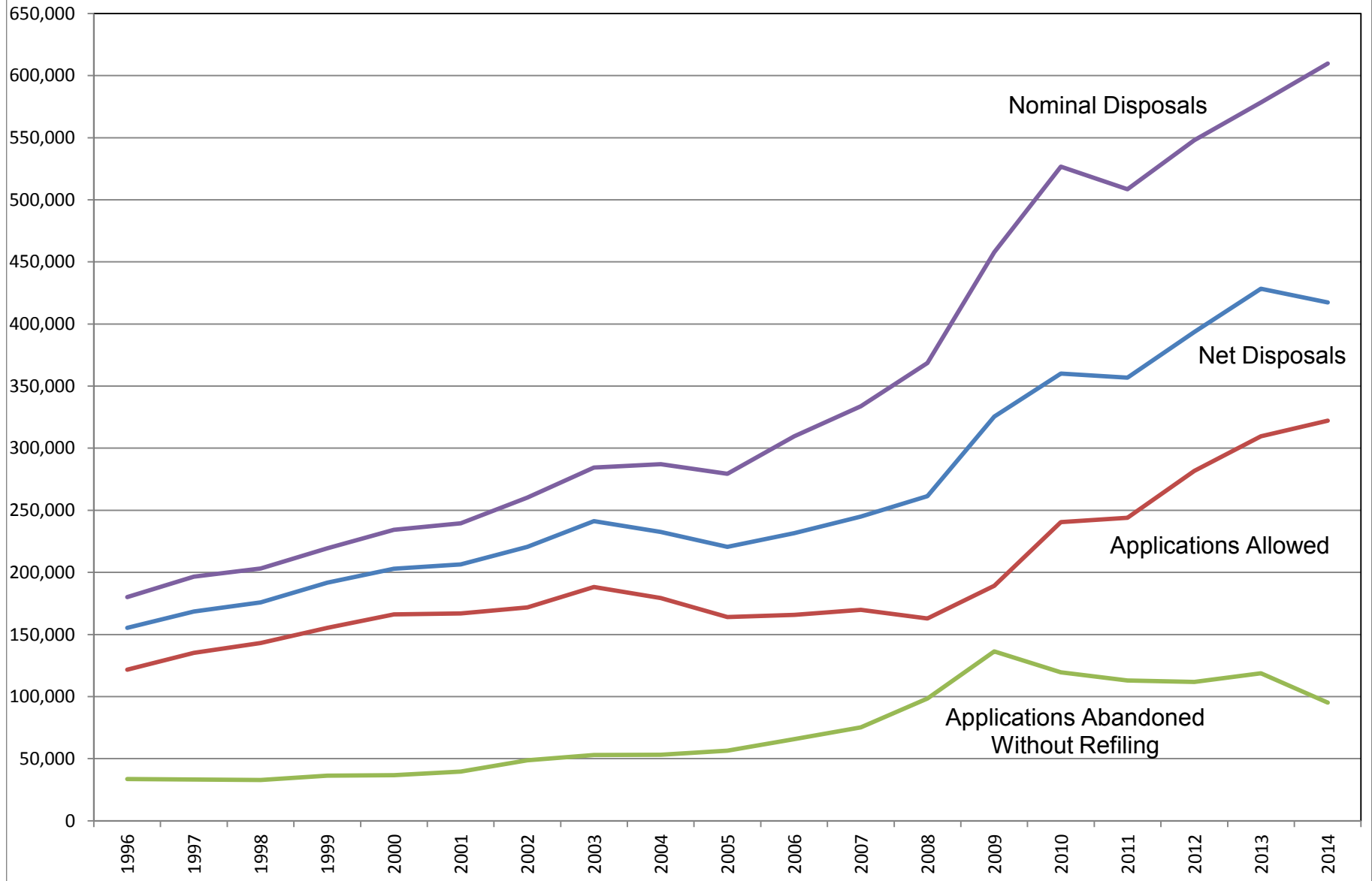
**Fig. 2 - UPR Patent Applications
(1996 - 2014)**



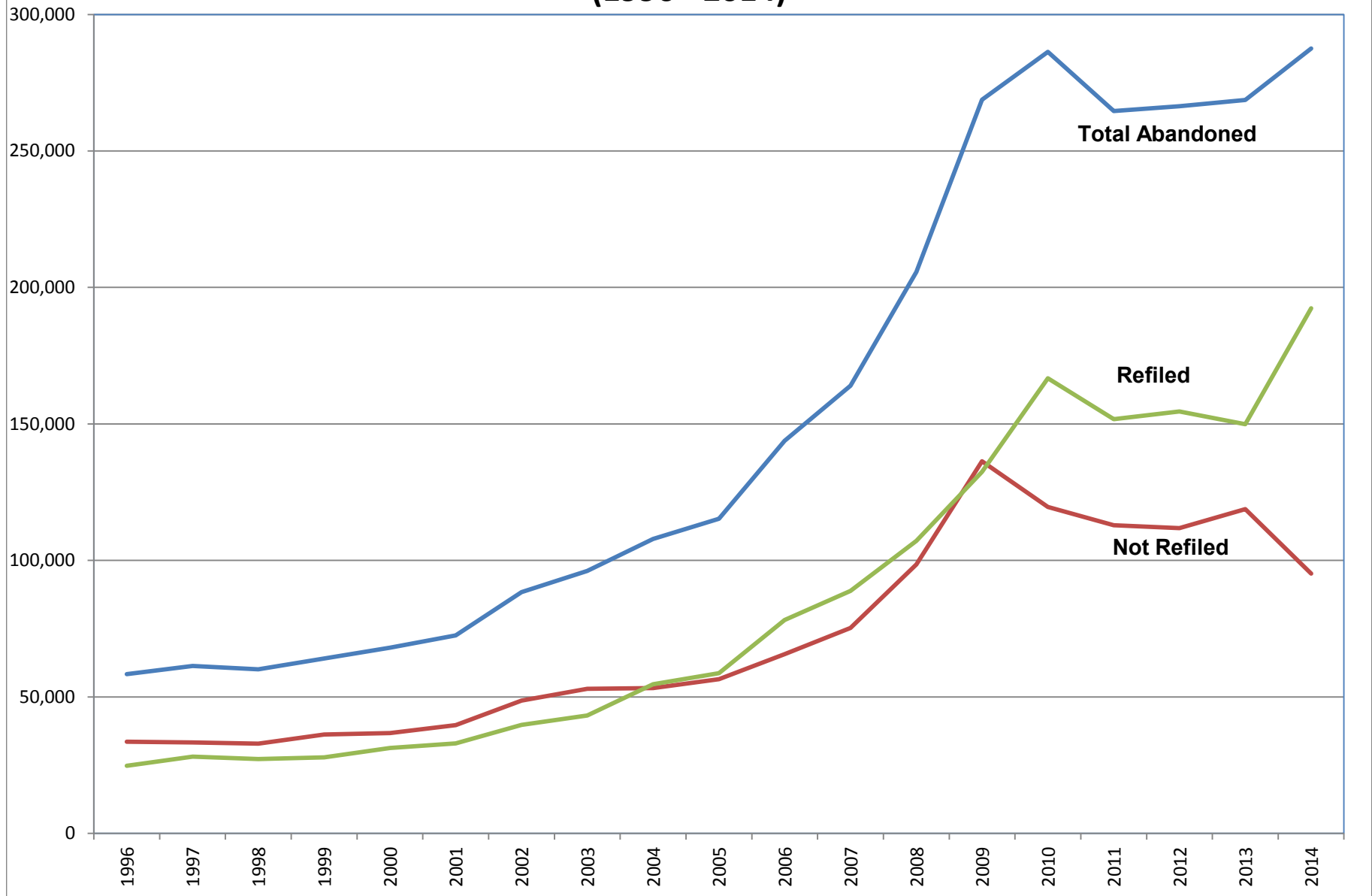
**Fig. 3 - Refiled Continuing Applications
(Continuations, RCEs, CIPs)
(1996 - 2014)**



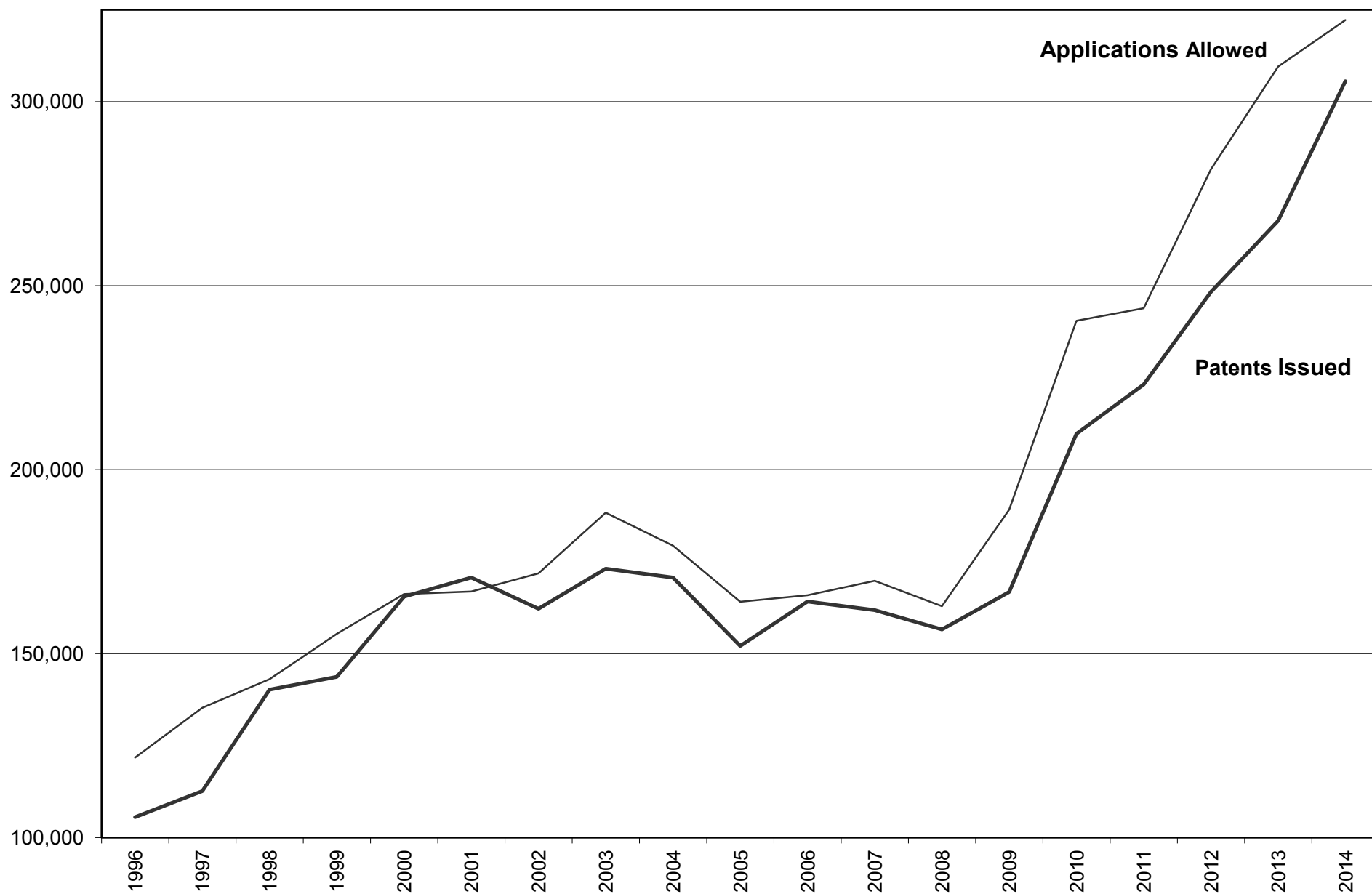
**Fig. 4 - Application Disposals
(1996 - 2014)**



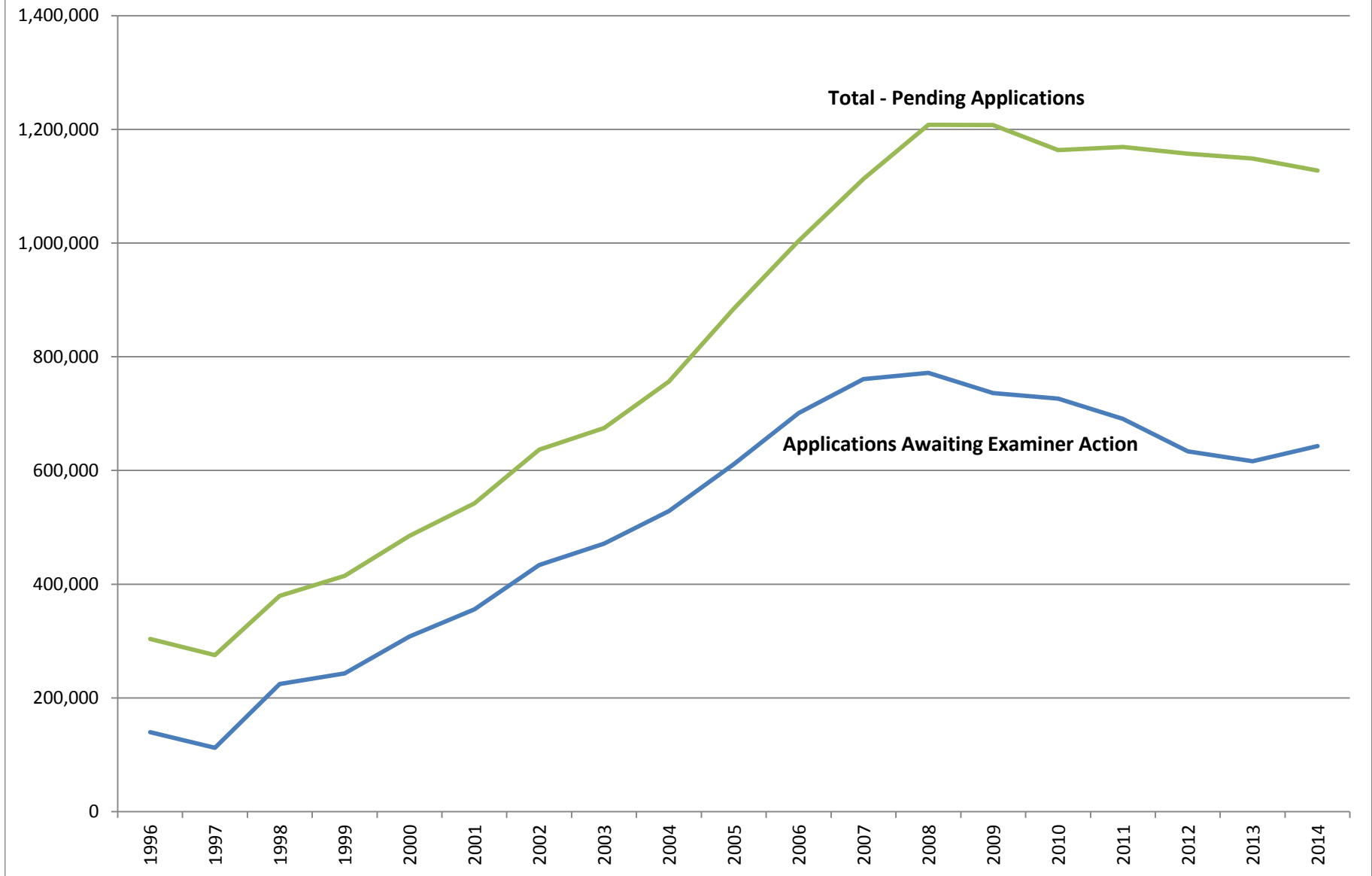
**Fig. 5 - Abandoned Applications
(1996 - 2014)**



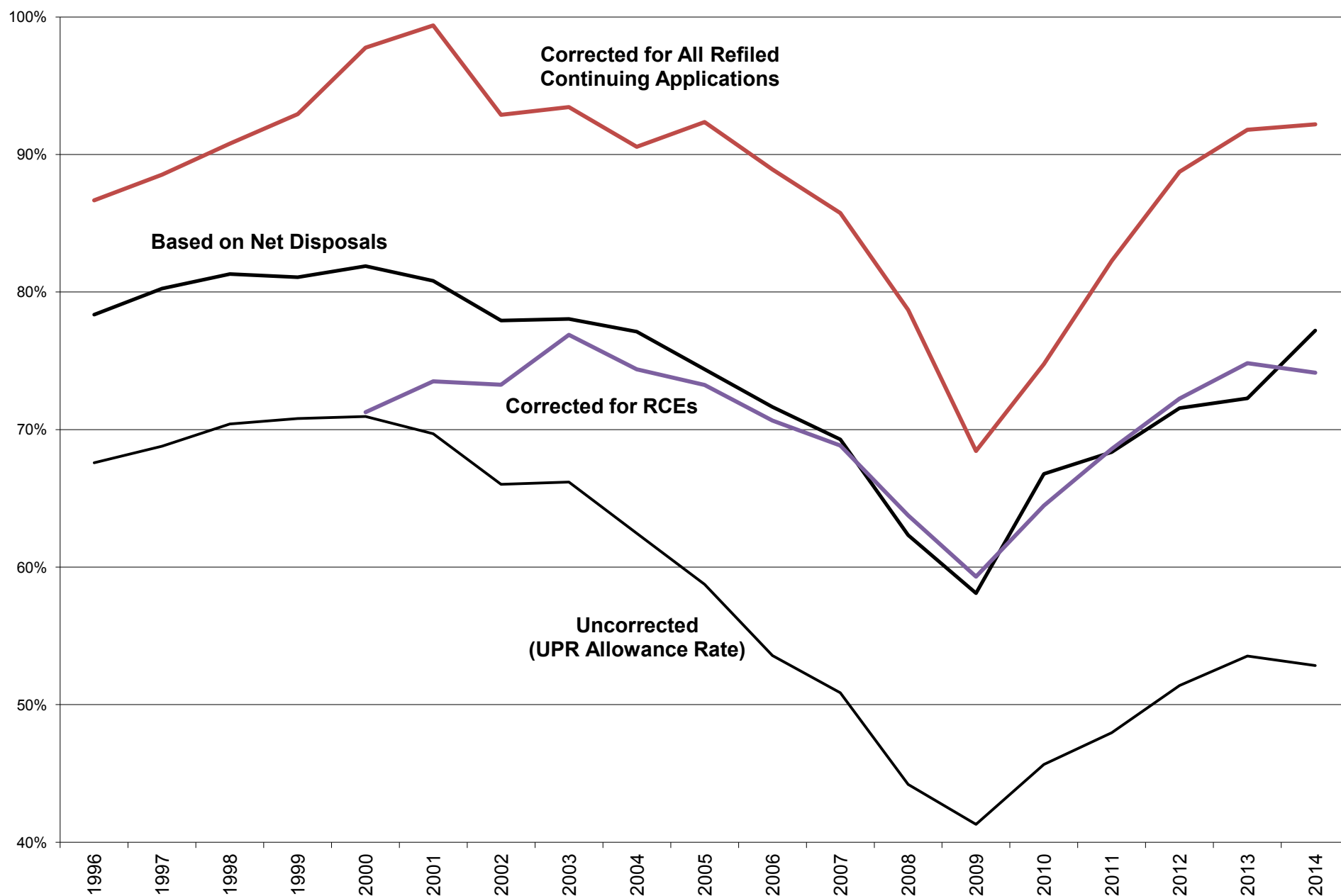
**Fig. 6 - UPR Applications Allowed - Patents Issued
(1996 - 2014)**



**Fig. 7 - UPR Application Backlog
(1996 - 2014)**



**Fig. 8 - USPTO UPR Allowance Rates (Grant Rates)
(1996 -2014)**



**Fig. 9 - Comparative Allowance Rates (Grant Rates)
(1996-2013)**

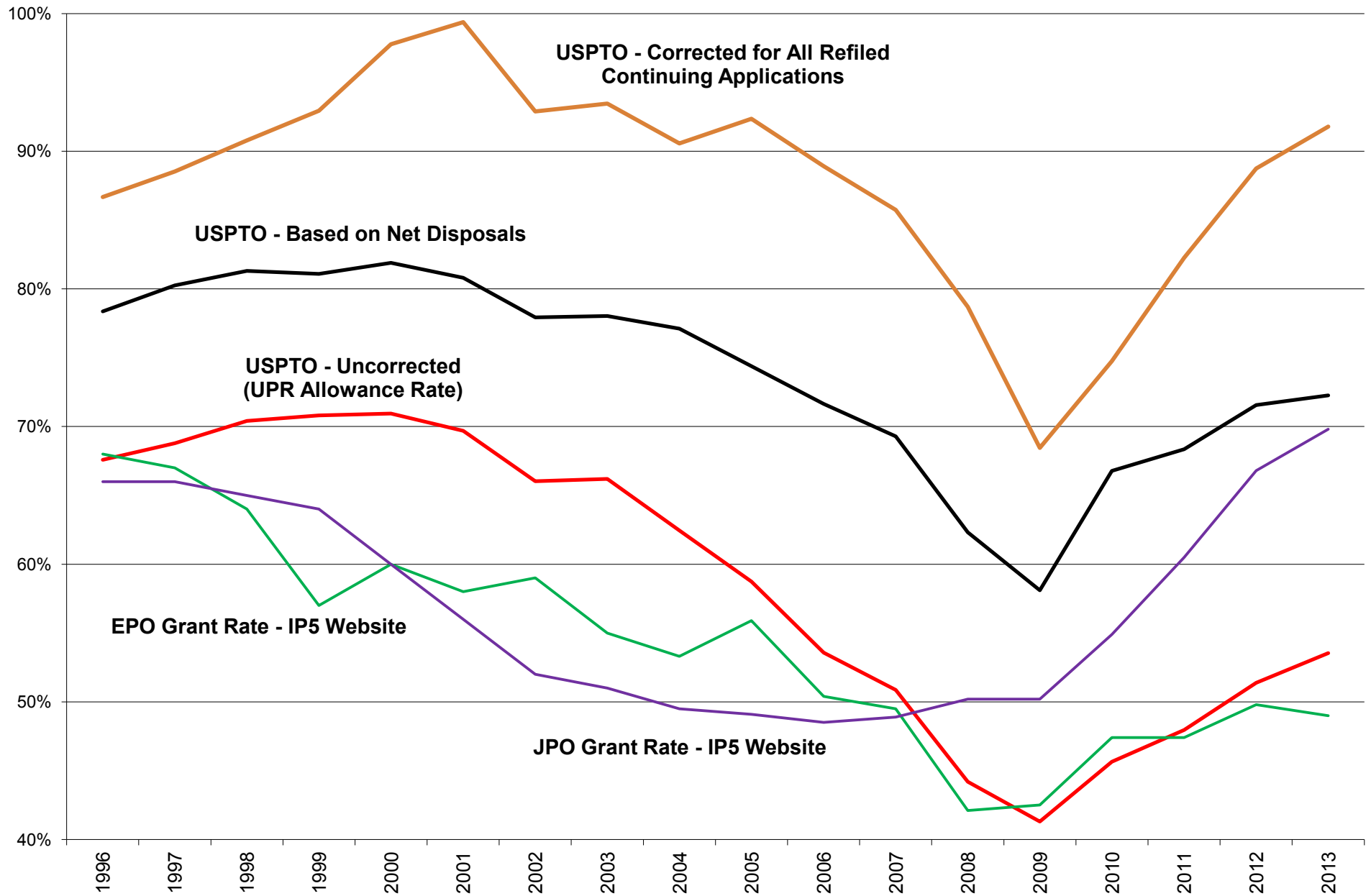


TABLE 1 - USPTO ANNUAL REPORT DATA

	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	1996-2014
UPR Applications Filed	191,116	220,773	240,090	261,041	293,244	326,081	333,688	333,452	355,527	384,228	419,760	441,637	468,669	460,924	481,483	506,924	533,308	566,399	582,114	7,400,458
UPR Applications Allowed	121,694	135,240	143,045	155,380	166,200	166,868	171,814	188,283	179,349	164,093	165,872	169,783	162,872	189,120	240,438	243,897	281,609	309,593	322,214	3,677,364
UPR Applications Abandoned	58,358	61,367	60,102	64,062	68,056	72,566	88,417	96,176	107,824	115,232	143,787	164,029	205,674	268,767	286,318	264,652	266,442	268,719	287,526	2,948,074
Nominal UPR Application Disposals (Allowed + Abandoned) (Calculated)	180,052	196,607	203,147	219,442	234,256	239,434	260,231	284,459	287,173	279,325	309,659	333,812	368,546	457,887	526,756	508,549	548,051	578,312	609,740	6,625,438
UPR Patents Issued	105,529	112,644	140,158	143,681	165,500	170,638	162,216	173,065	170,636	152,088	164,115	161,833	156,540	166,707	209,754	223,135	248,305	267,630	305,605	3,399,779
Applications Published						25,359	169,729	243,007	248,561	291,221	291,259	302,678	309,194	325,988	338,452	321,115	328,620	339,775	382,056	Applications Published-2001-2014 3,917,014
Total Applications Pending Prior to Allowance (Backlog - UPR + Design))	303,720	275,295	379,484	414,837	485,129	542,007	636,530	674,691	756,604	885,002	1,003,884	1,112,517	1,208,076	1,207,794	1,163,751	1,168,928	1,157,147	1,148,823	1,127,701	Backlog Growth 1996-2014
Backlog Growth (Calculated)	5,198	-28,425	104,189	35,353	70,292	56,878	94,523	38,161	81,913	128,398	118,882	108,633	95,559	-282	-44,043	5,177	-11,781	-8,324	-21,122	829,179
Applicationas Awaiting Action By Examiner	139,943	112,430	224,446	243,207	308,056	355,779	433,691	471,382	528,685	611,114	701,147	760,924	771,529	735,961	726,331	690,967	633,812	616,409	642,949	1996-2014 Averaged Pendency
Pendency Time of Average Patent Application (Annual Report - Months)	20.8	22.2	23.8	25.0	25.0	24.7	24.0	26.7	27.6	29.1	31.1	31.9	32.2	34.6	35.3	33.7	32.4	29.1	27.4	28.2
Net Average Backlog (Calculated-Months) (Apps Pending/Net Disposals)	23.5	19.6	25.9	26.0	28.7	31.5	34.6	33.6	39.0	48.1	52.0	54.5	55.5	44.5	38.8	39.3	35.3	32.2	32.4	36.6

Table 2 - USPTO FOIA DATA

	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	1996-2014
UPR APPLICATIONS FILED	191,016	220,773	240,090	261,041	293,244	326,081	333,688	333,452	355,527	384,228	419,760	441,637	468,669	460,924	481,995	507,304	533,869	566,947	582,278	7,402,523
Continuation Applications																				
Continuations	23,997	29,019	14,311	13,588	17,957	21,785	25,864	26,222	27,961	30,775	32,395	33,692	36,312	31,335	39,641	47,433	59,976	64,148	73,709	650,120
Continued Prosecution Applications (CPAs)																				107,334
Rule 129 Continuations	5,016	3,737	2,356	949	444	206	118	88	42	10	25	8	10	0	1	2	12	28	11	13,063
Total Continuation Applications (Excluding RCEs)	29,013	32,756	34,129	39,795	49,289	44,398	34,964	28,645	28,004	30,785	32,420	33,701	36,322	31,335	39,642	47,435	59,988	64,176	73,720	770,517
Requests for Continued Examination (RCEs)					1,035	12,443	25,686	39,594	46,080	55,279	74,920	87,155	113,115	139,045	153,772	153,006	158,347	164,566	175,144	1,399,187
Subtotal - Continuations + RCEs	29,013	32,756	34,129	39,795	50,324	56,841	60,650	68,239	74,084	86,064	107,340	120,856	149,437	170,380	193,414	200,441	218,335	228,742	248,864	2,169,704
Continuation-in-Part Applications (CIPs)	10,633	11,093	11,458	12,465	13,956	14,701	14,619	14,756	15,059	15,609	15,771	14,954	12,147	11,230	11,735	11,648	12,384	12,299	11,401	247,918
Total Refiled Continung Applications (Calculated - Continuations + RCEs + CIPs)	39,646	43,849	45,587	52,260	64,280	71,542	75,269	82,995	89,143	101,673	123,111	135,810	161,584	181,610	205,149	212,089	230,719	241,041	260,265	2,417,622
Divisional Applications																				
Divisionals	19,701	19,375	19,064	20,451	21,219	20,104	16,832	21,038	21,949	22,250	14,477	21,224	20,102	16,830	21,035	21,955	22,236	20,513	21,736	382,091
Divisional CPAs	0	0	396	314	260	140	171	36	0	0	0	0	0	1	0	0	0	0	0	1,318
Total Divisional Applications (Calculated)	19,701	19,375	19,460	20,765	21,479	20,244	17,003	21,074	21,949	22,250	14,477	21,224	20,102	16,831	21,035	21,955	22,236	20,513	21,736	383,409
Total Continuing Applications (Calculated)	59,347	63,224	65,047	73,025	85,759	91,786	92,272	104,069	111,092	123,923	137,588	157,034	181,686	198,441	226,184	234,044	252,955	261,554	282,001	2,801,031
Applications Abandoned Without Refiling	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014*	1996-2014
Original Applications Abandoned Without Refiling	27,959	27,912	27,647	30,399	31,852	34,042	42,358	45,870	45,727	47,883	54,201	60,439	79,389	105,874	92,960	89,651	88,922	91,818	65,889	1,090,792
Continuing Applications Abandoned Without Refiling	5,647	5,360	5,236	5,845	4,906	5,569	6,314	7,108	7,479	8,630	11,431	14,799	19,095	30,480	26,639	23,245	22,945	26,964	29,238	266,930
Total - Applications Abandoned Without Refiling	33,606	33,272	32,883	36,244	36,758	39,611	48,672	52,978	53,206	56,513	65,632	75,238	98,484	136,354	119,599	112,896	111,867	118,782	95,127	1,357,722
Abandoned Applications That Were Refiled (Calculated)	24,752	28,095	27,219	27,818	31,298	32,955	39,745	43,198	54,618	58,719	78,155	88,791	107,190	132,413	166,719	151,756	154,575	149,937	192,399	1,590,352
Abandoned Applications That Were Refiled as % of Abandoned Applications	42%	46%	45%	43%	46%	45%	45%	45%	51%	51%	54%	54%	52%	49%	58%	57%	58%	56%	67%	54%
Requests for Continued Examination (RCEs) as % of Total Abandoned (Calculated)					2%	17%	29%	41%	43%	48%	52%	53%	55%	52%	54%	58%	59%	61%	61%	47%
Refiled Continuing Applications as % of Total Abandoned (Calculated)	68%	71%	76%	82%	94%	99%	85%	86%	83%	88%	86%	83%	79%	68%	72%	80%	87%	90%	91%	82%
Patents	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	1996-2014
UPR Patent Count (Total Issued)	105,529	112,641	140,156	143,682	165,498	170,637	162,216	173,065	170,637	152,087	164,115	161,833	156,540	166,707	209,754	223,135	248,304	267,630	305,605	3,399,771
Patents Wherein Parent Patent Was Granted	15,592	18,685	20,457	21,184	24,954	26,997	27,653	29,272	27,990	26,334	30,912	30,870	30,684	32,480	39,928	48,767	52,694	57,358	64,400	627,211
"Original" UPR Patents	89,937	93,956	119,699	122,498	140,544	143,640	134,563	143,793	142,647	125,753	133,203	130,963	125,856	134,227	169,826	174,368	195,610	210,272	241,205	2,772,560
Percent Where Parent Was Patented (Calculated)	15%	17%	15%	15%	15%	16%	17%	17%	16%	17%	19%	19%	20%	19%	19%	22%	21%	21%	21%	

*2014 Data Subject to Revision

TABLE 3 - CALCULATIONS

USPTO UPR APPLICATIONS	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	1996-2014
Original Applications (FOIA UPR Applications less FOIA Total Continuing Applications)	131,669	157,549	175,043	188,016	207,485	234,295	241,416	229,383	244,435	260,305	282,172	284,603	286,983	262,483	255,811	273,260	280,914	305,393	300,277	4,601,492
Original Applications + Divisionals	151,370	176,924	194,503	208,781	228,964	254,539	258,419	250,457	266,384	282,555	296,649	305,827	307,085	279,314	276,846	295,215	303,150	325,906	322,013	4,984,901
Requests for Continued Examination (RCEs)					1,035	12,443	25,686	39,594	46,080	55,279	74,920	87,155	113,115	139,045	153,772	153,006	158,347	164,566	175,144	1,399,187
Refiled Continuing Applications (Continuations + RCEs + CIPs)	39,646	43,849	45,587	52,260	64,280	71,542	75,269	82,995	89,143	101,673	123,111	135,810	161,584	181,610	205,149	212,089	230,719	241,041	260,265	2,417,622
Original Applications as % of Total Applications	69%	71%	73%	72%	71%	72%	72%	69%	69%	68%	67%	64%	61%	57%	53%	54%	53%	54%	52%	62%
Original Applications + Divisionals as % of Total Applications	79%	80%	81%	80%	78%	78%	77%	75%	75%	74%	71%	69%	66%	61%	57%	58%	57%	57%	55%	67%
Requests for Continued Examination (RCEs) as % of Total Applications					0%	4%	8%	12%	13%	14%	18%	20%	24%	30%	32%	30%	30%	29%	30%	19%
Refiled Continuing Applications as % of Total Applications	21%	20%	19%	20%	22%	22%	23%	25%	25%	26%	29%	31%	34%	39%	43%	42%	43%	43%	45%	33%
Divisional Applications as % of Total Applications	10%	9%	8%	8%	7%	6%	5%	6%	6%	6%	3%	5%	4%	4%	4%	4%	4%	4%	4%	5%
Total Continuing Applications as % of Total Applications	31%	29%	27%	28%	29%	28%	28%	31%	31%	32%	33%	36%	39%	43%	47%	46%	47%	46%	48%	38%
Indexed Application Growth 1996-2013 (Calculated: 1996 = Base Year)	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	
Total Applications	1.0	1.2	1.3	1.4	1.5	1.7	1.7	1.7	1.9	2.0	2.2	2.3	2.5	2.4	2.5	2.7	2.8	3.0	3.0	
Original Applications	1.0	1.2	1.3	1.4	1.6	1.8	1.8	1.7	1.9	2.0	2.1	2.2	2.2	2.0	1.9	2.1	2.1	2.3	2.3	
Original Applications + Divisions	1.0	1.2	1.3	1.4	1.5	1.7	1.7	1.7	1.8	1.9	2.0	2.0	2.0	1.8	1.8	2.0	2.0	2.2	2.1	
Refiled Continuing Applications (Continuations, RCEs & CIPs)	1.0	1.1	1.1	1.3	1.6	1.8	1.9	2.1	2.2	2.6	3.1	3.4	4.1	4.6	5.2	5.3	5.8	6.1	6.6	
UPR Application Disposals (Calculated)	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	1996-2014
Nominal UPR Application Disposals (Apps Allowed + Apps Abandoned)	180,052	196,607	203,147	219,442	234,256	239,434	260,231	284,459	287,173	279,325	309,659	333,812	368,546	457,887	526,756	508,549	548,051	578,312	609,740	6,625,438
Net UPR Application Disposals (Apps Allowed + Apps Abandoned Without Refiling)	155,300	168,512	175,928	191,624	202,958	206,479	220,486	241,261	232,555	220,606	231,504	245,021	261,356	325,474	360,037	356,793	393,476	428,375	417,341	5,035,086
Disposals Corrected for RCEs	180,052	196,607	203,147	219,442	233,221	226,991	234,545	244,865	241,093	224,046	234,739	246,657	255,431	318,842	372,984	355,543	389,704	413,746	434,596	5,226,251
Disposals Corrected for RCEs + Continuations	151,039	163,851	169,018	179,647	183,932	182,593	199,581	216,220	213,089	193,261	202,319	212,956	219,109	287,507	333,342	308,108	329,716	349,570	360,876	4,455,734
Disposals Corrected for All Refiled Continuing Applications (Continuations, RCEs, CIPs)	140,406	152,758	157,560	167,182	169,976	167,892	184,962	201,464	198,030	177,652	186,548	198,002	206,962	276,277	321,607	296,460	317,332	337,271	349,475	4,207,816
Disposals Corrected for All Continuing Applications	120,705	133,383	138,100	146,417	148,497	147,648	167,959	180,390	176,081	155,402	172,071	176,778	186,860	259,446	300,572	274,505	295,096	316,758	327,739	3,824,407

Table 4 - PATENT ALLOWANCE RATES (GRANT RATES)

USPTO UPR APPLICATION ALLOWANCE RATES (GRANT RATES)																1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	1996-2014	
Uncorrected UPR Application Allowance Rate (Grant Rate)																68%	69%	70%	71%	71%	70%	66%	66%	62%	59%	54%	51%	44%	41%	41%	46%	48%	51%	54%	53%	56%
UPR Application Allowance Rate (Grant Rate) based on Net Disposals																78%	80%	81%	81%	82%	81%	78%	78%	77%	74%	72%	69%	62%	58%	67%	68%	72%	72%	77%	73%	
UPR Application Allowance Rate (Grant Rate) - Corrected For RCEs																0%	0%	0%	0%	71%	74%	73%	77%	74%	73%	71%	69%	64%	59%	64%	69%	72%	75%	74%	70%	
UPR Application Allowance Rate (Grant Rate) - Corrected For RCEs and Continuations																81%	83%	85%	86%	90%	91%	86%	87%	84%	85%	82%	80%	74%	66%	72%	79%	85%	89%	89%	83%	
UPR Application Allowance Rate (Grant Rate) - Corrected For All Refiled Continuing Applications (Continuations, RCEs, and CIP)																87%	89%	91%	93%	98%	99%	93%	93%	91%	92%	89%	86%	79%	68%	75%	82%	89%	92%	92%	87%	
UPR Application Allowance Rate (Grant Rate) - Corrected for All Continuing Applications																101%	101%	104%	106%	112%	113%	102%	104%	102%	106%	96%	96%	87%	73%	80%	89%	95%	98%	98%	96%	
UPR Application Allowance Rates (Grant Rates) Reported on USPTO Patents Dashboard																																		2009-2014		
UPR Application Allowance Rate, including RCEs (corresponds to Uncorrected Allowance Rate)																																		Averaged		
UPR Application Allowance Rate, without RCEs (Corresponds to Allowance Rate Corrected for RCEs)																																				
																													</							

Table 5 - COMPARATIVE PATENT ALLOWANCE RATES/GRANT RATES

PATENT ALLOWANCE RATES (GRANT RATES)	
	1996-2013
USPTO Patent Allowance Rates (Grant Rates)	
Uncorrected	56%
Lower Bound Based on Net Disposals	73%
Corrected for Continuation Applications and RCEs	83%
Corrected for Refiled Continuing Applications (Continuations, CIPs, RCEs)	87%
EPO Grant Rate (1996-2013 Averaged)	54%
% of 1996 - 2012 USPTO Lower Bound Based on Net Disposals	73%
JPO Grant Rate (1996-2013 Averaged)	56%
% of 1996 - 2012 USPTO Lower Bound Based on Net Disposals	78%