

Applicant Name Standardization

: Difficulties related applicant names and current practices in KIPO

September 2016

WIPO Standards Workshop

Background

- ❖ Applicant name is a key element for managing and searching patent information
 - Majority of IP information is statistically analyzed and published based on applicant names

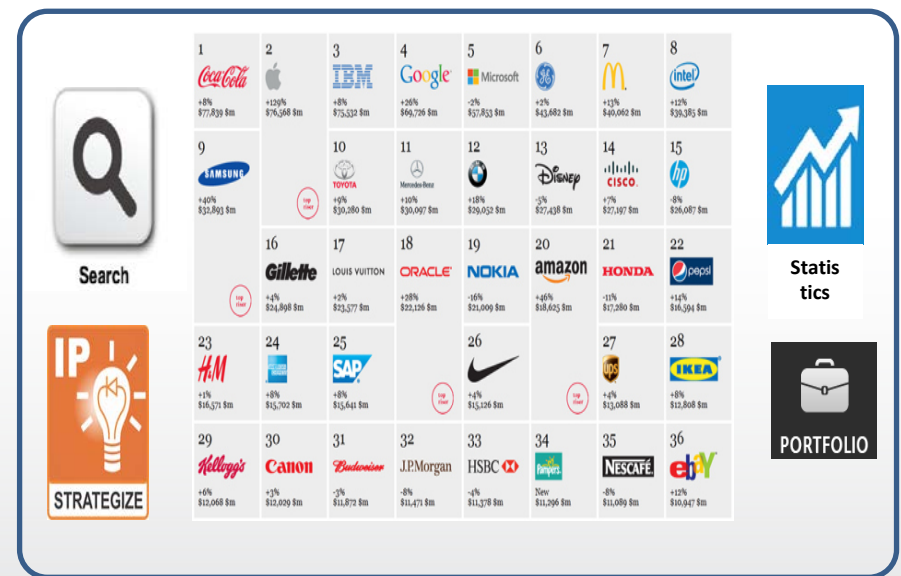
🕒 Statistics on top applicants by IP offices

Table A.3.3.1: Top 50 PCT applicants: businesses, 2014

Overall rank	Changed position from 2013	Applicants	Origin	Applications	Change from 2013
1	2	HUAWEI TECHNOLOGIES CO., LTD.	China	3,442	1,332
2	2	QUALCOMM INCORPORATED	United States of America	2,409	351
3	-1	ZTE CORPORATION	China	2,179	-130
4	-3	PANASONIC CORPORATION	Japan	1,682	-1,157
5	7	MITSUBISHI ELECTRIC CORPORATION	Japan	1,593	280
6	-1	INTEL CORPORATION	United States of America	1,539	-332
7	2	TELEFONAKTIEBOLAGET LM ERICSSON (PUBL)	Sweden	1,512	44
8	12	MICROSOFT CORPORATION	United States of America	1,460	652
9	2	SIEMENS AKTIENGESELLSCHAFT	Germany	1,399	51
10	0	KONINKLIJKE PHILIPS ELECTRONICS N.V.	Netherlands	1,391	-32
11	2	SAMSUNG ELECTRONICS CO., LTD.	Republic of Korea	1,381	183
12	-4	TOYOTA JIDOSHA KABUSHIKI KAISHA	Japan	1,378	-320
13	-6	ROBERT BOSCH CORPORATION	Germany	1,371	-438
14	-8	SHARP KABUSHIKI KAISHA	Japan	1,227	-612
15	-1	NEC CORPORATION	Japan	1,215	26
16	-1	LG ELECTRONICS INC.	Republic of Korea	1,138	-40
17	36	TENCENT TECHNOLOGY (SHENZHEN) COMPANY LIMITED	China	1,086	727
18	-2	FUJIFILM CORPORATION	Japan	1,072	69
19	31	UNITED TECHNOLOGIES CORPORATION	United States of America	1,013	643
20	-1	HITACHI, LTD.	Japan	996	141

Source - WIPO Statistics Database, April 2015

🕒 Analysis on competitors' research trends



Source - <https://ipcloseup.wordpress.com/2012/11/15/leading-brands-increasingly-have-the-most-valuable-patents>

Background

❖ However, transliteration and the use of multiple names by a single applicant lead to large numbers of name differentiations

⊙ Inconsistent applicant names in an office

Application No	Applicant Name
10-2010-XXXXXX1	SAMSUNG ELECTRONICS
10-2010-XXXXXX2	SAMSUNG ELECTRONICS CO LIMITED
10-2010-XXXXXX3	SAMSUNG ELECTRONICS CO. LTD,
10-2010-XXXXXX4	SAMSUNG ELECTRONICS CO LTD
10-2010-XXXXXX5	SAMSUNG ELECTRONIC CO LTD

⊙ Inconsistent applicant names between offices

OFFICE A	OFFICE B
NORDSON CORP.	NORDSON CORPORATION
CYMER, LLC	CYMER, INC.
YANG, TAI HER	Tai-Her YANG
NIKE INNOVATE C.V.	NIKE, INC.
SHIN-ETSU QUARTZ PRODUCTS CO., LTD.	Heraeus Shin-Etsu America, Inc.

KIPO's Applicant Management Efforts

Introduction of Applicant Codes in KIPO

- KIPO had internally used 'Applicant Codes' for statistical purpose since 1987, and assigned them to existing applicants ex officio as KIPOnet (KIPO's IT automation system) was developed in 1999
- Since 1999, KIPO has been issuing 'Applicant Codes' for new applicant by registered social security number or corporate registration number

Applicant Codes System (12 digits)

○ ○○○○ ○○○○○○ ○

Distinguisher Year Serial No. Check digit

<Distinguisher>

Applicant Codes	Applicant
420070279401	민경욱
119981042713	삼성전자주식회사
519980961547	소니 가부시끼 가이샤

1	2	4	5	6	7	8
Domestic corporate	National institution	Domestic natural person	Foreign corporate	Foreign natural person	Non-corporate foundation	Patent attorney

KIPO's Applicant Management Efforts

Standardization of Applicant Codes in KIPO

- Existing applicants before 1999, however, could have **more than one codes**.
ex) Samsung Electronics had 23 different applicant codes at the time
- KIPO **cleaned up** some (not all) of multiple codes in 2007 and 2009 and applied the mapping table to **KIPO's search system**

Applicant Code	Applicant Name	Standardized Applicant Code	Standardized Applicant Name
119981042713	삼성전자주식회사	119981042713	삼성전자주식회사
119952712895	(주)삼성전자		
119952715079	삼성전자주식회사		
119952825346	삼성전자주식회사		
...	...		

- KIPO revised its regulation in 2009 to clearly state that applicants are only been allowed to use a **single applicant name and applicant code**

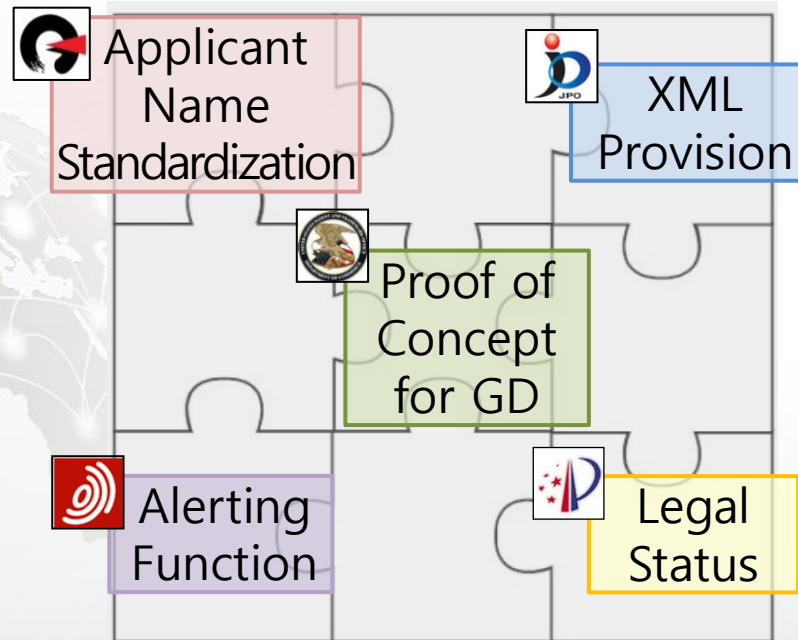
■ Benefit of Applicant Codes

- Applicant information is effectively managed
- Applicants avoid inconvenience to input their information repeatedly
- Applicants information in multiple applications can be changed at a time
- IP statistics based on applicant can be easily produced

IP5 Initiative on Applicant Name Standardization

IP5 reached an agreement to undertake five priorities to fulfill the ultimate goal of **Global Dossier(GD)** (2nd GD TF meeting, Suzhou, China)

Global Dossier



IP5 Initiative on Applicant Name Standardization

Vision

- **Harmonize** applicant names across IP5 patent document collections

Objectives

- **Unifying** multiple versions of an applicant name into a single, standardized name to eliminate the confusion caused by inconsistency

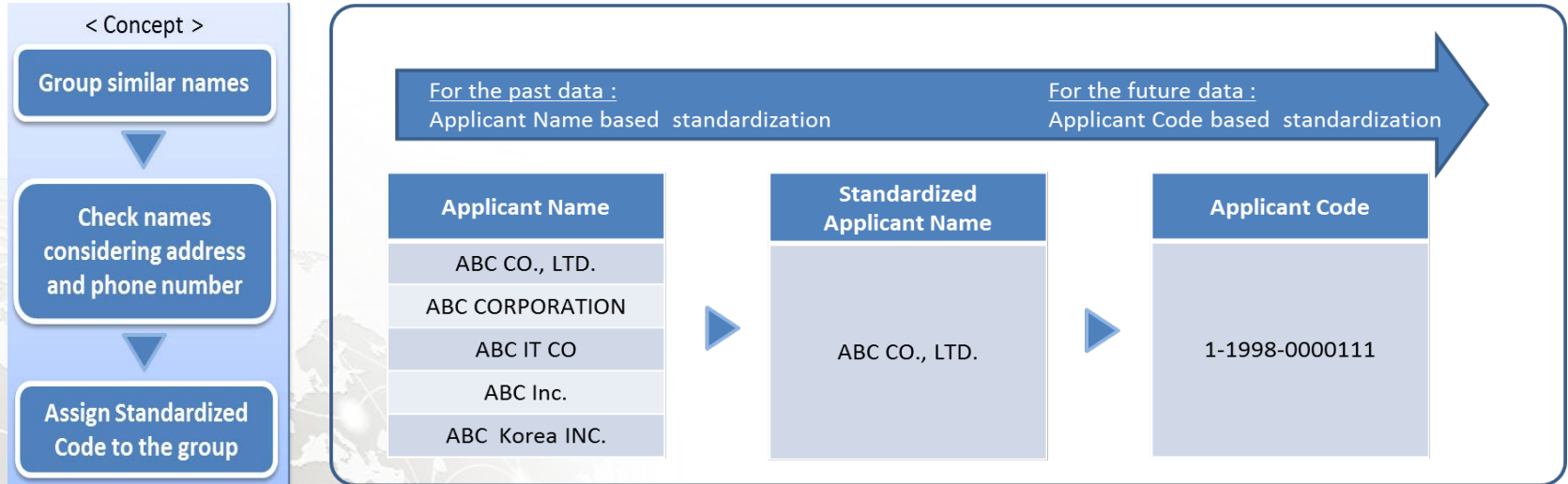


Out of Scope

- **Not actually changing** applicant names in each office, but **providing a mapping table** between original and standardized names

IP5 Initiative on Applicant Name Standardization

❖ Original activity scope



❖ Problems

- Single applicant may not have similar names which makes it difficult in grouping
- Too onerous to check and compare applicant's address and phone number
- Difficult to introduce applicant code system in other offices

IP5 Initiative on Applicant Name Standardization

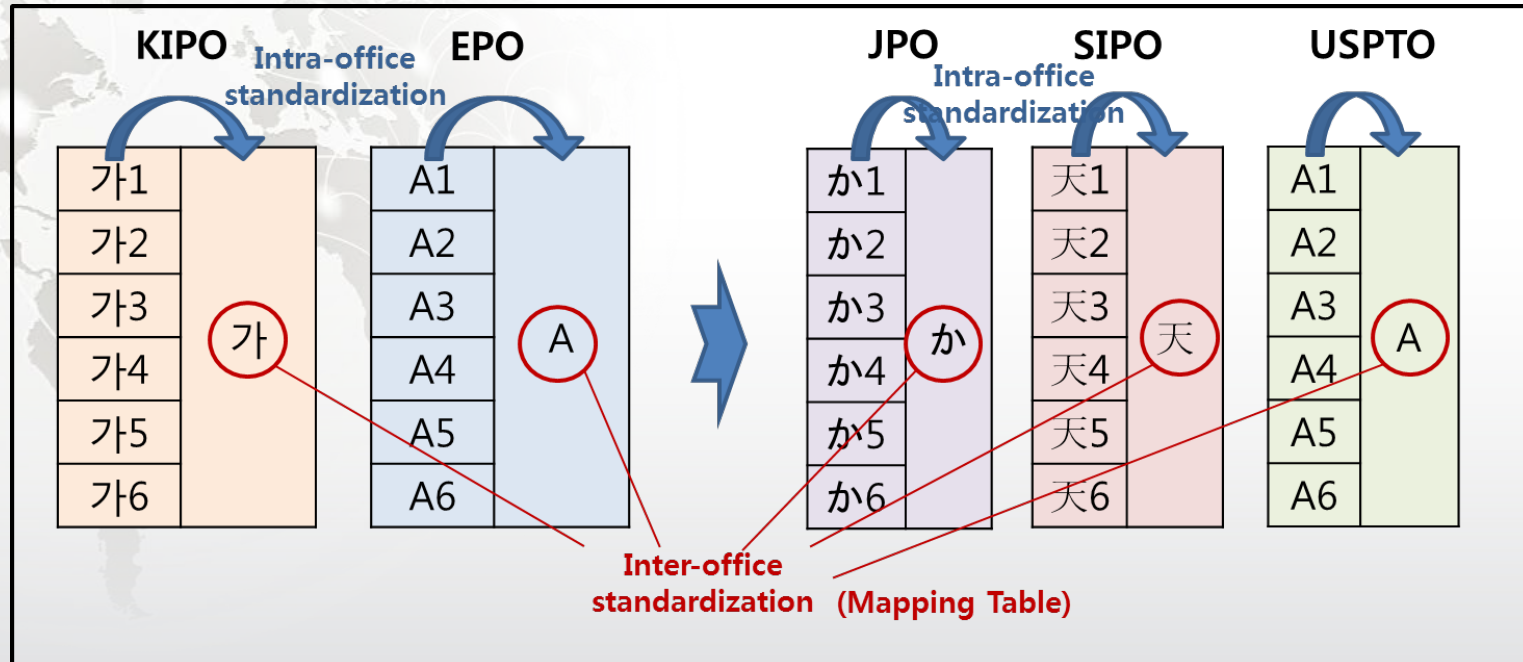
❖ Enhanced activity scope

Step 1. Intra-office standardization

- Standardized applicant names in KIPO and EPO can be extended to the JPO, SIPO and the USPTO based on **family information**
 - Premise: Applicants are same among family patents

Step 2. Inter-office standardization

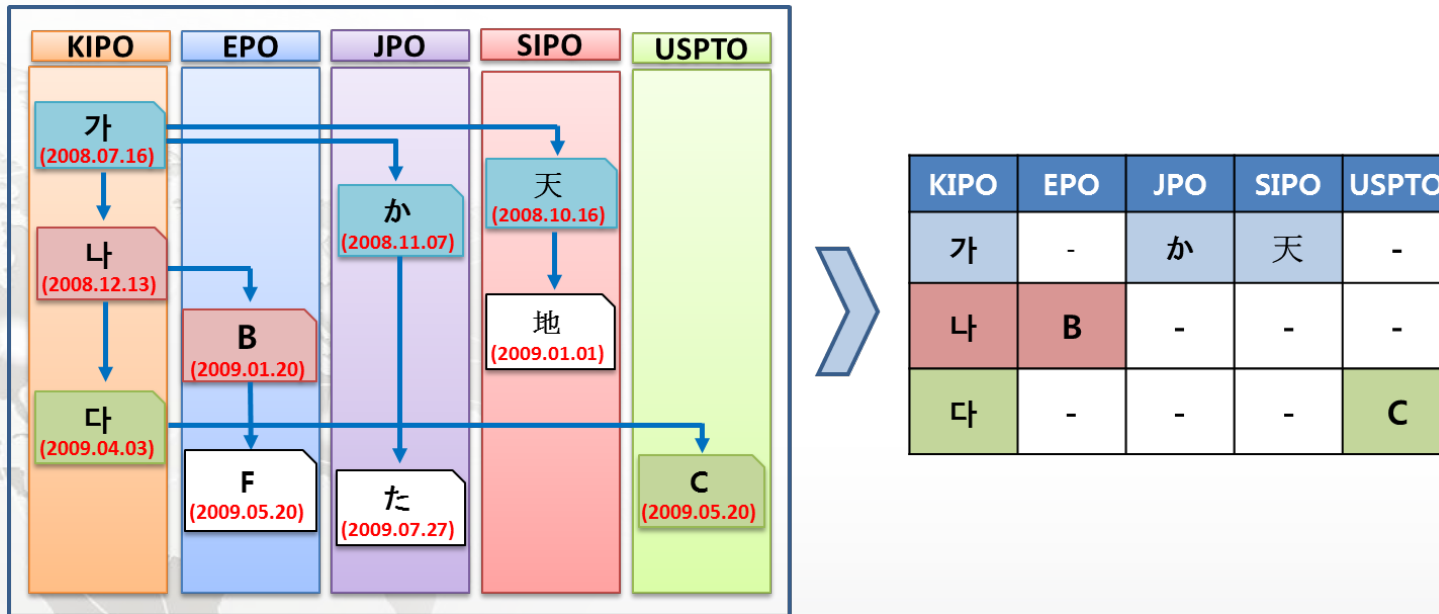
- Standardized applicant names in IP5 Offices are grouped in the mapping table



IP5 Initiative on Applicant Name Standardization

❖ Constraints & Assumptions

Applicant name can be **changed independently** among family patents, which may cause **discordance of applicant names** in family

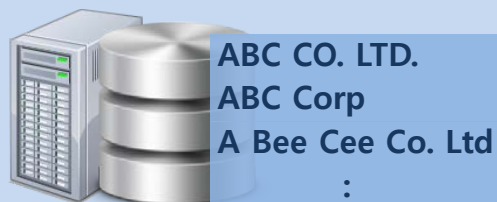


☞ Applicant name is standardized based on **family information** as well as **time information**

- Premise: Applicant of succeeding application (e.g. priority, division) should be same with that of preceding application **at the time of filing**

Benefits

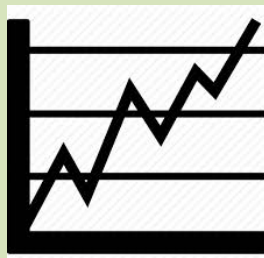
- High quality search by examiners and the public



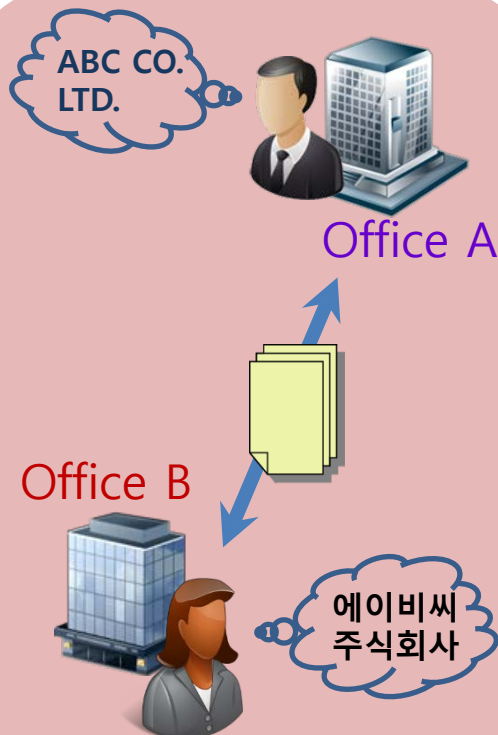
- Efficient and reliable statistical analysis



STATISTICS



- Identification of applicants for cross filing



Thank you