



FIZ PatMonCoffee Lecture

LEGAL MONITORING OF PATENT VALIDITY

Jim Brown, FIZ Karlsruhe

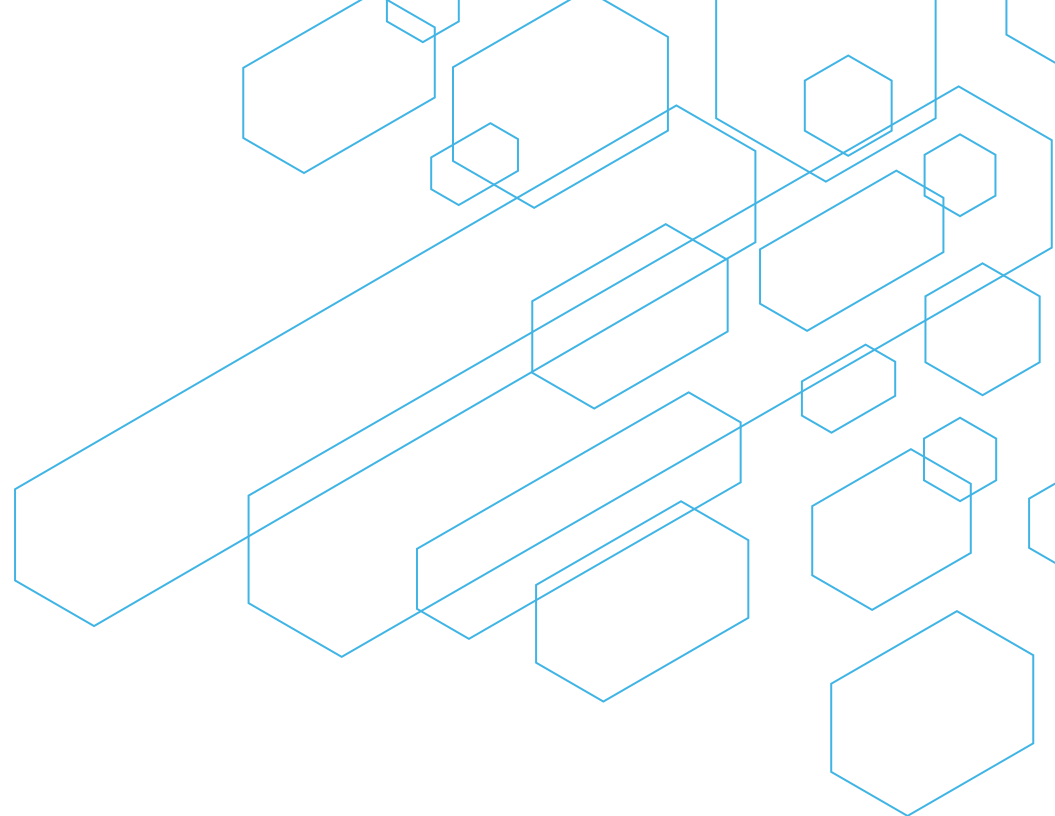
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 **FIZ Karlsruhe**
Leibniz Institute for Information Infrastructure

CAS 
A division of the
American Chemical Society

Agenda

- Overview of FIZ PatMon
- Focus on legal status actions with regards to validity
- Legal status codes
- Legal status categories
- Patent status indicators
- Search examples



FIZ PatMon

- Used to monitor patent family members of a FIZ-curated patent family
 - Application to grant
 - New family members
- Used to monitor any/all available legal status for patent members
- Easy to use interface

Validity

- Application to grant
- Post-issuance legal status actions
 - Pay/Failure to pay maintenance fees
 - Reexaminations
 - Oppositions
 - Withdrawn applications

Legal status codes

- EPO applies about 4000 legal status codes
- Each represents a specific legal status event from a particular patent office
- Some may be difficult to understand
- Searching by specific legal status codes allows for greater precision
- i.e., EP Application withdrawn, Fee payment in the US

FIZ Karlsruhe legal status categories

- FIZ Karlsruhe has introduced a set of 27 legal status categories to simplify legal status searches
- Editorial team reviewed complete list of legal status codes
- Searching by legal status categories allows for more comprehensive results
- i.e., Any patent document in the family that has certain actions applied to it
 - Certain actions – any and all actions covered by that category

Some legal status categories of interest

Legal status category	Complete name	Note
EXP	Expiry	Patents or utility models become invalid when they reach their maximum lifetime.
LAP	Lapse (Non-payment of fees)	Patents or utility models or their applications became invalid due to non-payment of the due fees.
LIM	Nullification of Parts of Rights, Limitation	The validity of the patents or utility models have been limited; e.g., exclusion of certain claims.
ORE	Opposition, Reexamination, Appeal	Events in the opposition phase include filing, rejection, reexamination, proceedings, appeal to patent courts, etc.

Some legal status categories of interest

Legal status category	Complete name	Note
EXT	Time Extension	Time extensions for special procedures during examination as well time extension for payment of fees or completion of specification.
FEE	Fee Payment	Fees that keep the patent or utility model valid have been paid. Confirmation that the patent or utility model was valid on a particular date.
REI	Reinstatement or Restoration	Patents or utility models previously invalidated have become valid again (e.g., late payment of annual fees, etc.)

Patent status indicators

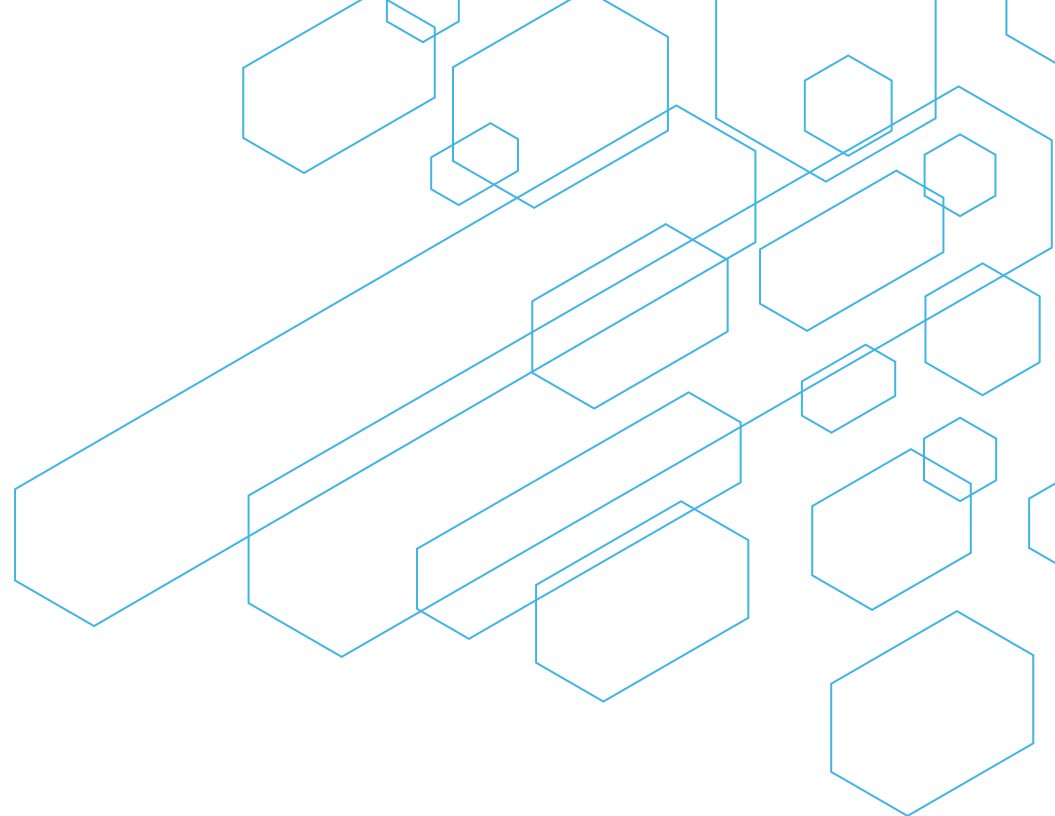
- Based on latest legal status actions
- Indicator for each member of the family
- Four indicators
 - Alive
 - Indeterminate
 - Transitional
 - Dead

FIZ Karlsruhe patent status indicators

Patent Family Table						
Publication			Application			Patent Status Indicator (Date)
Number	Kind	Date	Number	Kind	Date	
CN 106918977	A	20170704	CN 2016-10525135	A	20160705	☒ DEAD (20220811)
EP 3200000	A1	20170802	EP 2016-176441	A	20160627	☒ DEAD (20201201)
JP 2017120364	A	20170706	JP 2016-110556	A	20160602	☑ ALIVE (20201121)
KR 2017077761	A	20170706	KR 2016-70536	A	20160607	☑ ALIVE (20201121)
TW 2017023629	A	20170701	TW 2016-120376	A	20160628	☑ ALIVE (20201120)

Agenda

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- Search examples



FIZ PatMon monitoring profiles

- Monitoring profiles that focus on legal status codes, legal status categories, and patent status indicators are all created on the Monitoring Profiles page
- Click on plus sign icon in upper right hand corner to create a new monitoring profile

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe

CREATE CASE

Jim Brown
Case Owner

Monitoring Profiles

Profile Name	Profile Owner	Monitoring Object	Description	Last Modified	Related Cases	Shared
<input type="checkbox"/> EP focus	Jim Brown	INPADOC patent family		2023-07-11 2:56 PM	1 related Case	
<input type="checkbox"/> Global and all members	Thanh-Vy Hoang	INPADOC patent family	all	2023-06-20 10:55 AM	No related Cases	
<input type="checkbox"/> all	Jim Brown	INPADOC patent family		2023-06-16 5:37 PM	2 related Cases	
<input type="checkbox"/> EP events	Claudia Dauvermann-Gotsche	INPADOC patent family		2023-05-23 11:15 AM	No related Cases	
<input type="checkbox"/> TP20230509	Josef Korinek	INPADOC patent family	Profile Test Token	2023-05-09 2:12 PM	No related Cases	
<input type="checkbox"/> 20230427	Claudia Dauvermann-Gotsche	INPADOC patent family		2023-04-27 1:13 PM	No related Cases	
<input type="checkbox"/> Nutreco	Natalia Kiseleva	INPADOC patent family		2023-04-24 11:36 AM	No related Cases	
<input type="checkbox"/> test2	Claudia Dauvermann-Gotsche	INPADOC patent family		2023-04-24 10:36 AM	No related Cases	
<input type="checkbox"/> test	Claudia Dauvermann-Gotsche	INPADOC patent family		2023-04-20 1:26 PM	No related Cases	
<input type="checkbox"/> Bachem test	Thanh-Vy Hoang	INPADOC patent family	China Entrance	2023-04-04 1:32 PM	No related Cases	

Records per page: 10 1-10 of 21

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe

CREATE CASE

Jim Brown
Case Owner

Create Monitoring Profile

IMPORT

Profile Name * February 2024 coffee lecture 28 / 80

Description 0 / 100

Monitoring Object INPADOC patent family

Countries All

New Family Members All

Patent Status Indicator Any

Legal Status Events

- All
- Selected**
- All, except for selected
- None

CANCEL CREATE

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe

CREATE CASE

Jim Brown
Case Owner

Create Monitoring Profile

IMPORT

Profile Name * February 2024 coffee lecture 28 / 80

Description 0 / 100

Monitoring Object INPADOC patent family

Countries All

New Family Members All

Patent Status Indicator Any

Legal Status Events

- Selected 1
- Event Categories
- Legal Status Codes

CANCEL CREATE

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe

CREATE CASE + +

Jim Brown Case Owner

Create Monitoring Profile

IMPORT

Profile Name *

Description

Monitoring Object

Countries

New Family Members

Patent Status Indicator

Legal Status Events

- APP Patent application
- CHG Change of Owner, Inventor, Applicant
- CLA Change, Removal or Addition of Classifications
- COR Correction, Amendment, Modification in Specification
- DIV Divisional and Additional Applications
- ENP National Phase Entry
- ERR Erratum
- EXA Examination
- EXP Expiry
- EXT Time Extension
- FEE Fee Payment
- GRA Grant publication information
- LAP Lapse (Non-Payment of Fees)
- LIC Licensing
- LIM Nullification of Parts of Rights, Limitation
- MIS Miscellaneous or Ambiguous

Event Categories

Legal Status Codes

CANCEL CREATE

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe

CREATE CASE

Jim Brown
Case Owner

Create Monitoring Profile

IMPORT

Profile Name *

Description

Monitoring Object

Countries

New Family Members

Patent Status Indicator

Legal Status Events

- AEA patent application
- AEAT technical priority
- AEF design application
- AFA patent application
- ALA patent application
- AMA patent application
- AMA2 provisional patent of invention [from 19950606 until 20000630] or description of invention protected by provisional patent [from 20000701 until 20010331] or provisional patent of invention [from 20010401 until 20090131]
- AMU application for a utility model
- AMU utility model [from 19961101 onwards]
- AOA patent application
- APA patent
- APA patent application
- APA0 application filed, as announced in the gazette published by this office
- APAT technical priority
- APD0 patent application filed

Legal Status Codes

CANCEL CREATE

FIZ PatMon monitoring profiles

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CREATE CASE

Jim Brown
Case Owner

Create Monitoring Profile

IMPORT

Profile Name *

Description

Monitoring Object

Countries

New Family Members

Patent Status Indicator

Legal Status Events

AEA
patent application

AEAT
technical priority

AEF
design application

AFA
patent application

ALA
patent application

AMA
patent application

AMA2
provisional patent of invention [from 19950606 until 20000630] or description of invention protected by provisional patent [from 20000701 until 20010331] or provisional patent of invention [from 20010401 until 20090131]

AMU
application for a utility model

AMU
utility model [from 19961101 onwards]

AOA
patent application

APA
patent

APA
patent application

APA0
application filed, as announced in the gazette published by this office

APAT
technical priority

APD0
patent application filed

Legal Status Codes

CANCEL CREATE

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe CREATE CASE Jim Brown Case Owner

Create Monitoring Profile

IMPORT

Profile Name * 28 / 80

Description 0 / 100

Monitoring Object

Countries

New Family Members

Patent Status Indicator

Legal Status Events

Legal Status Codes

CANCEL CREATE

FIZ PatMon monitoring profiles

FIZ PatMon FIZ Karlsruhe

CREATE CASE + +

Jim Brown
Case Owner

Create Monitoring Profile

IMPORT

Profile Name * February 2024 coffee lecture 28 / 80

Description 0 / 100

Monitoring Object INPADOC patent family

Countries All

New Family Members All

Patent Status Indicator Selected

Legal Status Events

Alive

Indeterminate

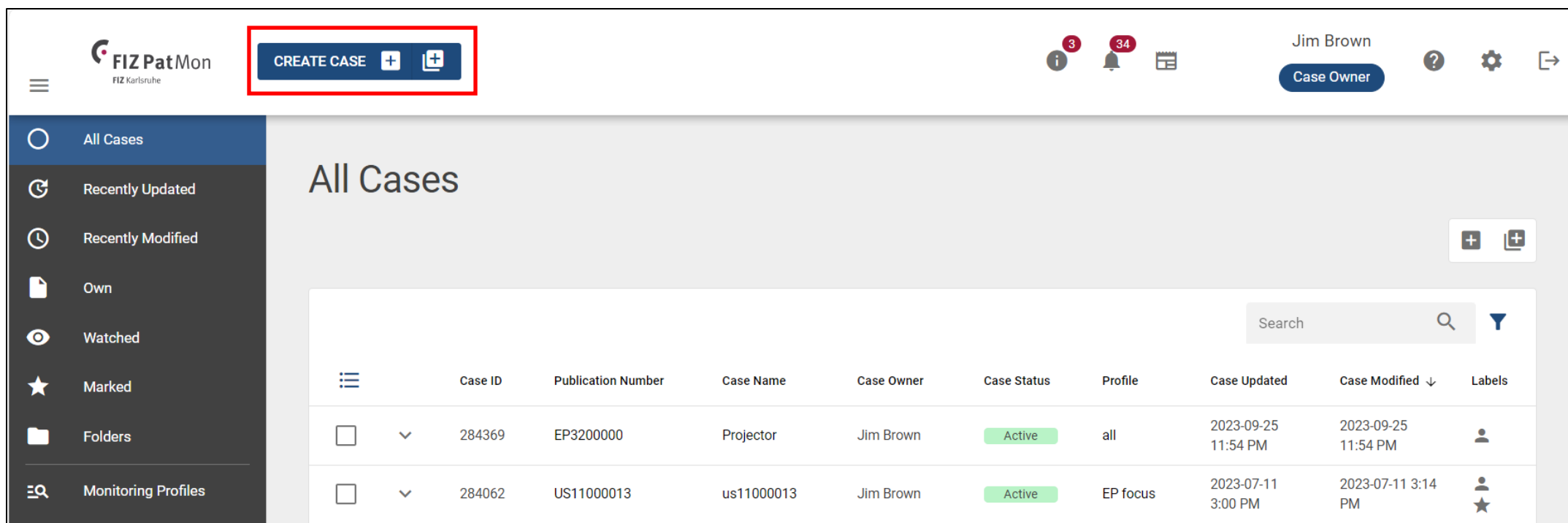
Transitional

Dead

CANCEL CREATE

Search example

- Set up an alert for if/when a BR granted patent associated with published application BR112023020077 publishes



The screenshot displays the FIZ PatMon web application interface. At the top left, the logo for FIZ PatMon (FIZ Karlsruhe) is visible. A red box highlights a 'CREATE CASE' button with two plus icons. The top right shows the user's name 'Jim Brown' and 'Case Owner' with various notification icons. A sidebar on the left lists navigation options: All Cases, Recently Updated, Recently Modified, Own, Watched, Marked, Folders, and Monitoring Profiles. The main content area is titled 'All Cases' and features a search bar and a table of cases.

	Case ID	Publication Number	Case Name	Case Owner	Case Status	Profile	Case Updated	Case Modified ↓	Labels
<input type="checkbox"/>	284369	EP3200000	Projector	Jim Brown	Active	all	2023-09-25 11:54 PM	2023-09-25 11:54 PM	
<input type="checkbox"/>	284062	US11000013	us11000013	Jim Brown	Active	EP focus	2023-07-11 3:00 PM	2023-07-11 3:14 PM	

Search example

FIZ PatMon
FIZ Karlsruhe

CREATE CASE + +

Jim Brown
Case Owner

Create Case

Patent Number * BR112023020077
Type at least two letters for auto suggestion.

Title
PYRIDINYL SUBSTITUTED OXOISOINDOLINE COMPOUNDS

Patent Assignee
BRISTOL MYERS SQUIBB CO, United States (US)

Case Name * BR112023020077 14 / 80

Monitoring Frequency Weekly Monthly

Monitoring Reason Brazilian grant watch 21 / 250

Monitoring Profile +


Case Watchers

Case Recipients

Case Expires

CANCEL CREATE

Search example

CREATE CASE ++?324?Jim BrownCase Owner

- All Cases
- Recently Updated
- Recently Modified
- Own
- Watched
- Marked
- Folders
- Monitoring Profiles

Create Monitoring Profile

IMPORT

Profile Name *	<input type="text" value="brazilian grant"/>	×	15 / 80
Description	<input type="text" value="brazilian grant"/>	×	15 / 100
Monitoring Object	<input type="text" value="INPADOC patent family"/>	▼	
Countries	<input type="text" value="Selected"/>	▼	
	<input type="text" value="Brazil (BR)"/>	×	
New Family Members	<input type="text" value="Grants"/>	▼	
Patent Status Indicator	<input type="text" value="Any"/>	▼	
Legal Status Events	<input type="text" value="All"/>	▼	

CANCEL CREATE

Search example

- Set up an alert for if/when any US fees for US9985424 have or have not been paid

The screenshot shows the FIZ PatMon web application interface. The top navigation bar includes the FIZ PatMon logo, a 'CREATE CASE' button (highlighted with a red box), and user information for Jim Brown. The main content area is titled 'All Cases' and features a table of cases. The table has columns for Case ID, Publication Number, Case Name, Case Owner, Case Status, Profile, Case Updated, Case Modified, and Labels. Two cases are listed:

Case ID	Publication Number	Case Name	Case Owner	Case Status	Profile	Case Updated	Case Modified	Labels
284369	EP3200000	Projector	Jim Brown	Active	all	2023-09-25 11:54 PM	2023-09-25 11:54 PM	
284062	US11000013	us11000013	Jim Brown	Active	EP focus	2023-07-11 3:00 PM	2023-07-11 3:14 PM	

Search example

FIZ PatMon FIZ Karlsruhe

CREATE CASE

Jim Brown
Case Owner

Create Case

Patent Number * US9985424
Type at least two letters for auto suggestion.

Title
COMMUNICATION CABLING DUCT HAVING CONTROLLED ELONGATION

Patent Assignee
3M INNOVATIVE PROPERTIES CO, United States (US)

Case Name * us9985424 9 / 80

Monitoring Frequency Weekly Monthly

Monitoring Reason Fee paid or not paid 21 / 250

Monitoring Profile +

Case Watchers

Case Recipients

Case Expires

CANCEL CREATE

Search example

The screenshot shows the 'Create Monitoring Profile' interface in the FIZ Pat Mon application. The left sidebar contains navigation options: All Cases, Recently Updated, Recently Modified, Own, Watched, Marked, Folders, and Monitoring Profiles. The main content area features an 'IMPORT' button and a form with the following fields:

- Profile Name: Fees paid or not paid (21 / 80 characters)
- Description: (0 / 100 characters)
- Monitoring Object: INPADOC patent family
- Countries: Selected
 - United States (US)
- New Family Members: All
- Patent Status Indicator: Any
- Legal Status Events: Selected
 - Event Categories: FEE Fee Payment, LAP Lapse (Non-Payment of Fees)
 - Legal Status Codes

Buttons for 'CANCEL' and 'CREATE' are located at the bottom right of the form.

Summary

- FIZ PatMon is an essential tool for monitor the status of patent families
- The FIZ PatMon system can focus a monitoring case to be as broad or specific as needed
- FIZ curated legal status categories can greatly simplify these types of searches

