

WIPO workshop on applicant name standardization

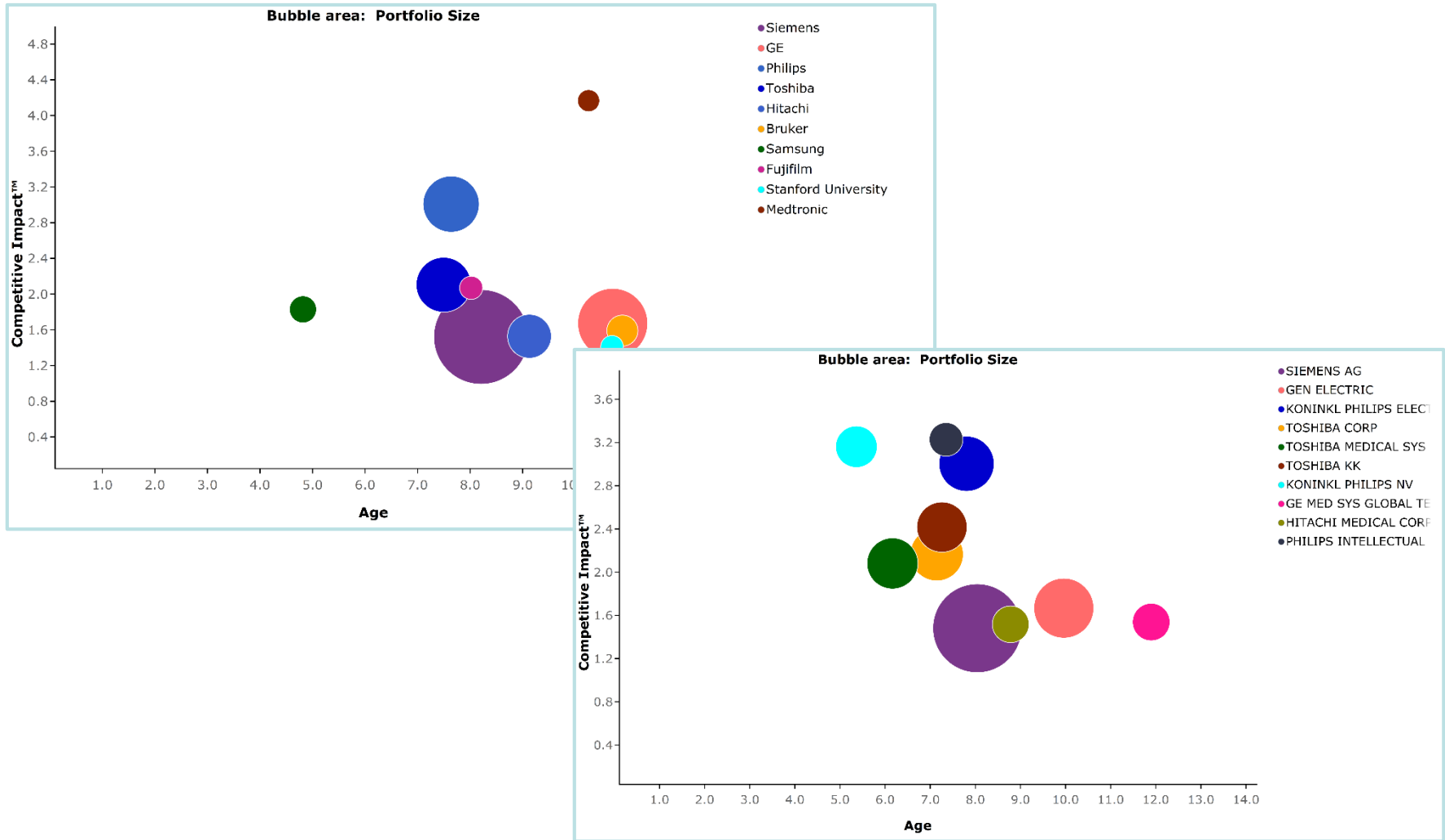
A users' perspective

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Agenda

- Processes and information solutions in the IP department
- Information solution examples
- Use case examples
- Summarized

Use case: portfolio benchmarking



Introduction

- A patent application is filed by the **applicant**
- The patent can be assigned to a new **assignee**
- The applicant/assignee is owned by a **company**
- The company can be part of a **holding**
- The holding is the ultimate **owner**
- The primary interest of the user is this **owner** of the patent

- Why is the owner important?
- What are the issues to come from applicant to owner?
- How can we improve this?

Processes in the IP department

Patent drafting and filing
Portfolio maintenance
Patent filing strategy
Licensing in
Product risk assessment
Research risk assessment
Patent scouting
Licensing out
M&A
Company strategy

Patent information solutions

Prior art search	FTO search	Portfolio benchmarking	Technology landscape	Technology analysis	Company analysis
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IP Processes – IP information solutions

	Prior art search	FTO search	Portfolio benchmarking	Technology landscape	Technology analysis	Company analysis
Patent drafting and filing	Yellow					
Portfolio maintenance			Yellow		Yellow	
Patent filing strategy			Yellow	Yellow		
Licensing in	Yellow			Yellow		Yellow
Product risk assessment		Yellow			Yellow	
Research risk assessment				Yellow	Yellow	
Patent scouting					Yellow	Yellow
Licensing out				Yellow		Yellow
M&A					Yellow	Yellow
Company strategy					Yellow	Yellow

Prior art search

- Purpose
 - Patentability of an invention disclosure
 - Validity of a (granted) claim
- Report contains patents and NPL
- Number of references is low (< 10)
- Applicant name (ownership) is not relevant

#	Reference	Relevant Portions	Comments
R1	WO2008112902A2	Abstract; Fig 1; page 2, para [0005]; page 3, para [0006], [0007]; page 14, claim 1; page 15, claims 8&9;	Creation of geometrical anatomical map; User selection of location from pre-operative anatomical image for device navigation; used for ablation treatment
R2	US2009198094A1	Abstract; Figs 1,2,3A&3B; page 2, para [0015]-[0021]; page 9, claims 1,3&4;	Therapy distribution in target volume using 3D volume data
R3	US20150119628A1*	Abstract; Fig 3; page 1, para [0005],[0011],[0014],[0015],[0017]; page 3, para [0029][0030]; page 9, claims 1&6; page 10, claim 10;	Planning unit for determining the placing positions of radiation source

FTO Search

- Purpose: find 3th party blocking claims for a new product
- Report contains (granted) patents
- Number of references is moderate (< 100)
- Ownership is relevant:

What is my relation with the owner of the blocking patent?

- Do I have a (cross) license?
- Can they create backfire?
- What is the licensing/litigation behavior?

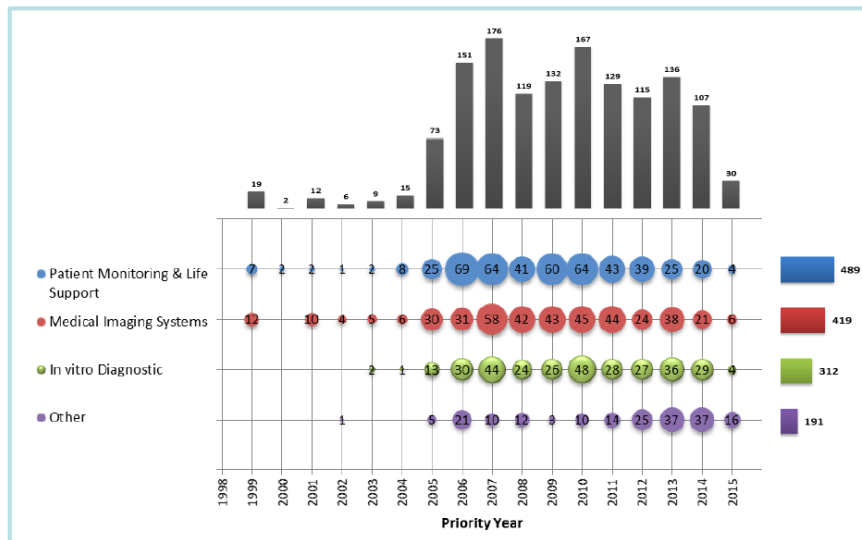
	Assignee - DWPI	INPADOC Legal Status	Probable owner	Probable status	Relev
nozzle	MATSUSHITA DENKI SANGYO KK MATSUSHITA ELECTRIC WORKS LTD	2012-09-07 R150 CERTIFICATE OF PATENT (=GRANT) OR REGISTRATION OF UTILITY MODEL + JAPANESE INTERMEDIATE CODE: R150 2012-09-07 FPAY RENEWAL FEE PAYMENT (PRS DATE IS RENEWAL DATE OF DATABASE) + PAYMENT UNTIL: 20150907 2012-09-	Panasonic	Granted	cl1,cl
e mist	MATSUSHITA ELECTRIC WORKS LTD MATSUSHITA ELECTRIC WORKS LTD	2011-09-05 FPAY RENEWAL FEE PAYMENT (PRS DATE IS RENEWAL DATE OF DATABASE) + PAYMENT UNTIL: 20140902 2011-08-29 A61 FIRST PAYMENT OF ANNUAL FEES (DURING GRANT PROCEDURE) + JAPANESE INTERMEDIATE CODE: A61 2011-08-08 2011-07-28 A01	Panasonic	Granted	cl1, cl
in the	PANASONIC ELECTRIC WORKS CO LTD PANASONIC ELECTRIC WORKS CO LTD	2015-06-02 R250 RECEIPT OF ANNUAL FEES + JAPANESE INTERMEDIATE CODE: R250 2014-06-03 R250 RECEIPT OF ANNUAL FEES + JAPANESE INTERMEDIATE CODE: R250 2011-06-03 R150 CERTIFICATE OF PATENT (=GRANT) OR REGISTRATION OF UTILITY MODEL +	Yamana	Granted	cl1
ists,	PANASONIC CO LTD PANASONIC IP MANAGEMENT CO LTD	2016-01-06 C10 ENTRY INTO SUBSTANTIVE EXAMINATION 2015-12-09 C06 PUBLICATION +	Panasonic	Pending	cl1,cl
velop	CHINA MEDICAL HIJIAKE TIANJIN	2015-03-25 C10 ENTRY INTO SUBSTANTIVE	1. Institute of	Pending	cl1, cl

FTO Search

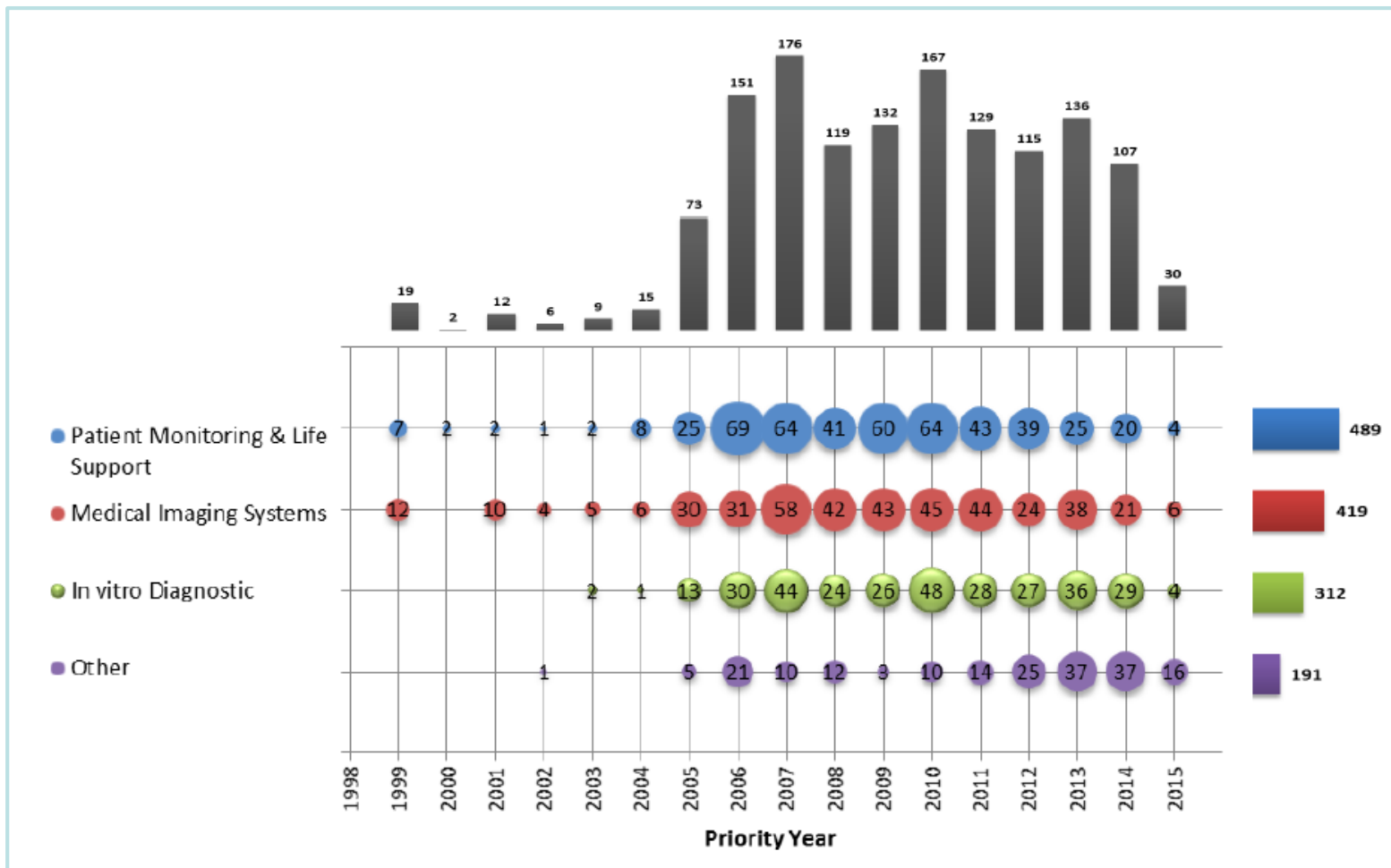
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ched face of cold part	YAMANA CO LTD	2015-06-02 R250 RECEIPT OF ANNUAL FEES + JAPANESE INTERMEDIATE CODE: R250 2014-06-03 R250 RECEIPT OF ANNUAL FEES + JAPANESE INTERMEDIATE CODE: R250 2011-06-03 R150 CERTIFICATE OF PATENT (=GRANT) OR REGISTRATION OF UTILITY MODEL +	Yamana	Granted	cl1
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onal	CHINA MEDICAL HUAKE TIANJIN	2015-03-25 C10 ENTRY INTO SUBSTANTIVE	1. Institute of	Pending	cl1, cl

Company analysis

- Purpose: analyze the patent portfolio of a company
- Report contains patent publications
- Amount of patent families from a few to > 1000
- Detailed categorization on topics
- Applicant (ownership) is relevant for recall (be complete!)

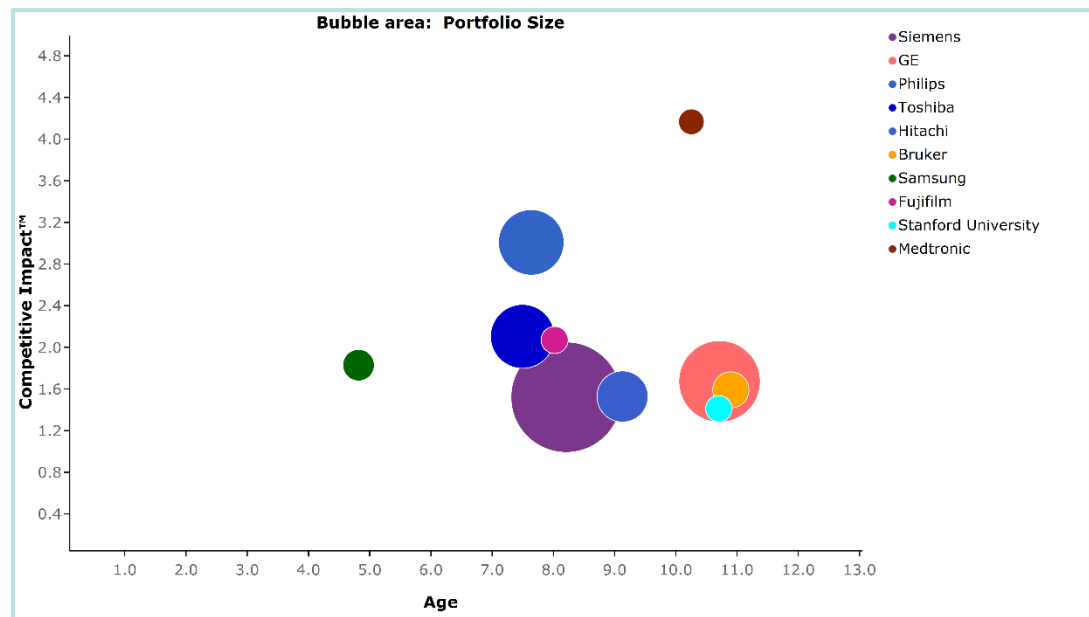


Company analysis

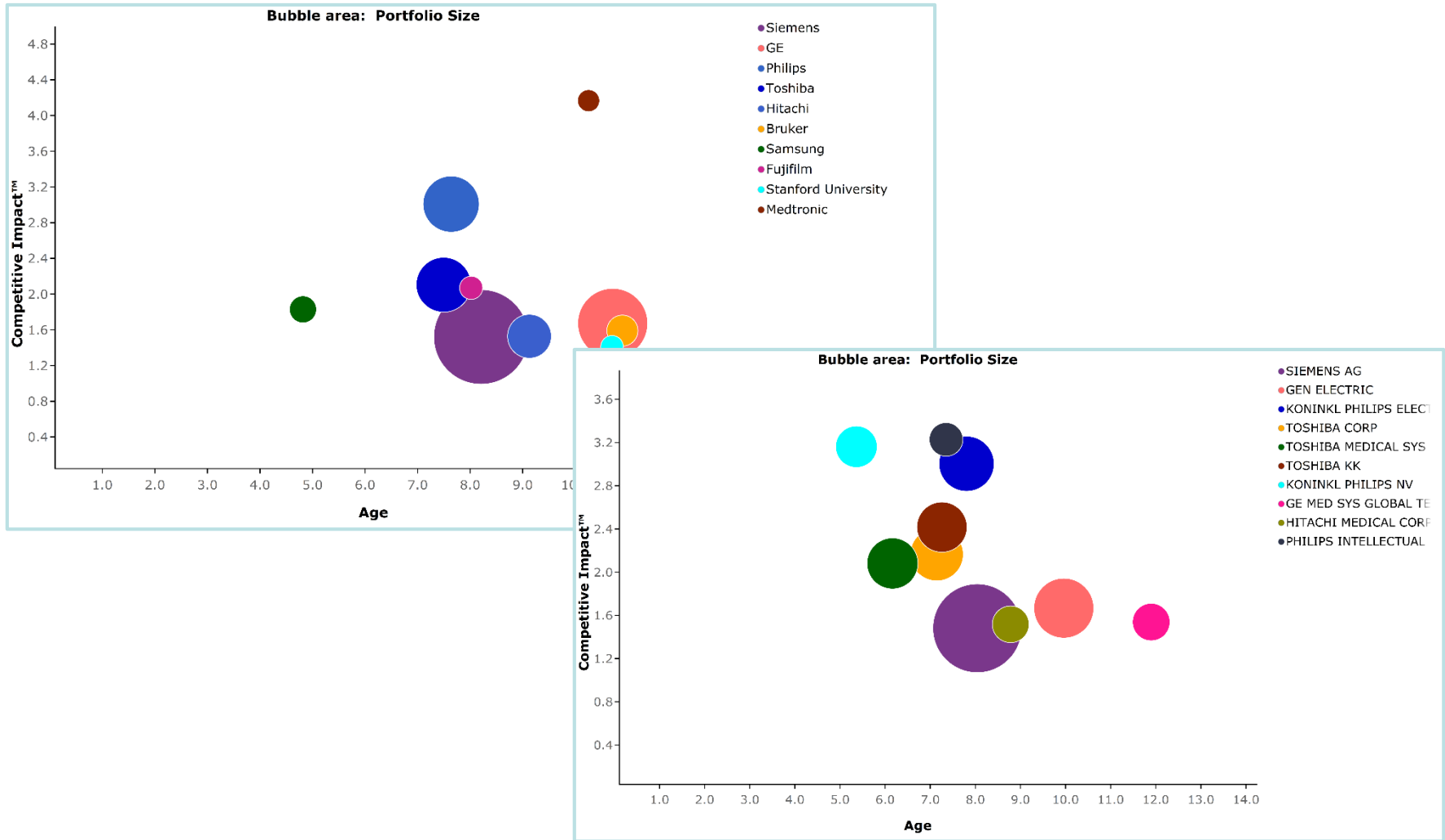


Portfolio benchmarking

- Purpose: benchmark (part of) patent portfolio with competitors
- Report is built on patent families
- Data size is high (> 10000 families)
- Ownership is paramount

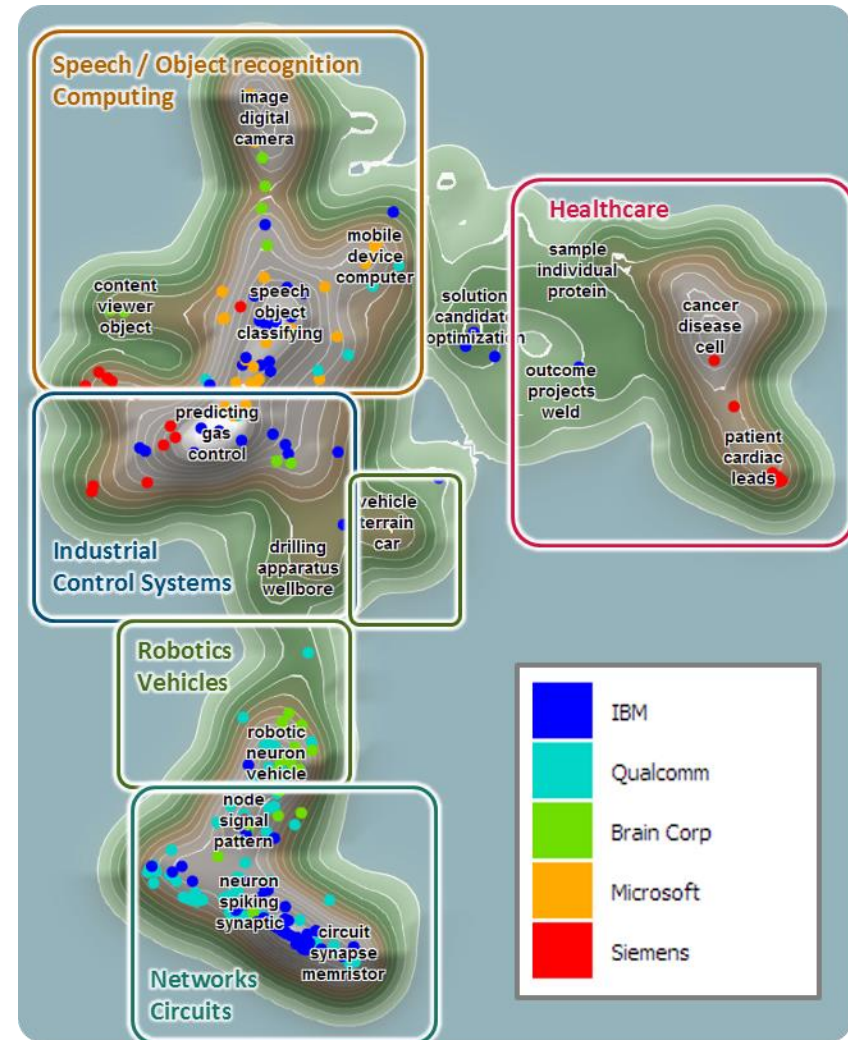


Portfolio benchmarking



Technology landscape

- Purpose: how does the patenting activity look like and **who** is active
- Report contains patent publications
- Contains high amount of patent families (> 1000)
- Applicant (ownership) is relevant for the **“who question”**



Technology analysis

- Purpose: find white spots, scouting opportunities, acquisition targets, etc.
- Report contains patent publications
- Contains high amount of patent families (> 1000)
- Detailed categorization on sub-topics
- Applicant (ownership) is relevant for the “**who question**”

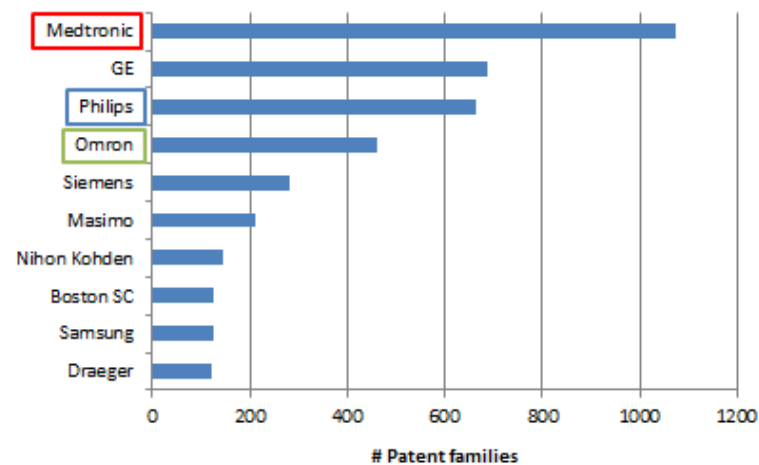
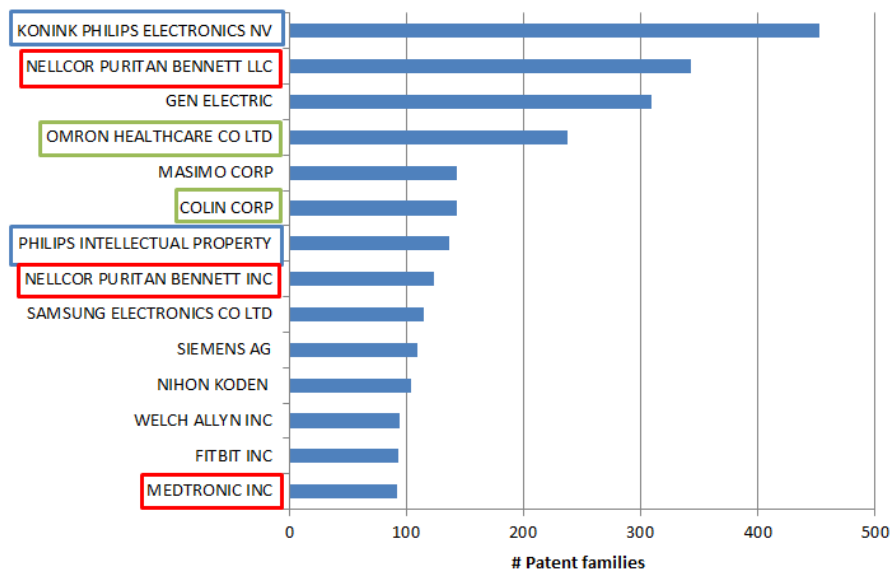
	Dentistry	Orthopedics / Bone Implants	Generic / Other	Ear / Hearing	Tissue engineering	Drug Delivery / Preparation	Implants / Biomaterials	Catheters / Surgical Guides	Medical 3D Images / Anatomical models	Microdevice	Sensor	X-ray / RT components	MRI Coil	Eye / Vision
Bego	18													
3D Systems	3	2	6				2		1					
Siemens			1	9					2			1	1	
Univ Texas System		1	4		3		2			2	1			
Danaher	12		1											
Univ Cent South CN		10	1		2									
MIT		2	1		2	7								
Integra LifeSc		5	3		1	2	1							
Ivoclar Vivadent	12													
Materialise	1	4					2	2	2					
Arkema		1	8					2						
Stratysys	5		2	1		2								1
J & J	2	7					1	1						
Align Technology	8			1										
Shanghai Univ	2	3	2		2									

Technology analysis

	Dentistry	Orthopedics / Bone Implants	Generic / Other	Ear / Hearing	Tissue engineering	Drug Delivery / Preparation	Implants / Biomaterials	Catheters / Surgical Guides	Medical 3D images / Anatomical models	Microdevice	Sensor	X-ray / RT components	MRI Coil	Eye / Vision
Bego	18													
3D Systems	3	2	6				2		1					
Siemens			1	9					2			1	1	
Univ Texas System		1	4		3		2			2	1			
Danaher	12		1											
Univ Cent South CN		10	1		2									
MIT		2	1		2	7								
Integra LifeSc		5	3		1	2	1							
Ivoclar Vivadent	12													
Materialise	1	4					2	2	2					
Arkema		1	8					2						
Stratasys	5		2	1		2								1
J & J	2	7					1	1						
Align Technology	8			1										
Shanghai Univ	2	3	2		2									

Use case, example

Top 10 original and standardized



Use case, example

Impact of subsidiaries

top assignee (DWPI standardized assignee/applicant)		# patent families	
1	KONINK PHILIPS ELECTRONICS NV	452	
2	NELLCOR PURITAN BENNETT LLC	343	Covidien = Medtronic
3	GENERAL ELECTRIC CO	309	
4	OMRON HEALTHCARE CO LTD	237	
5	MASIMO CORP	143	
6	COLIN CORP	143	Omron
7	PHILIPS INTELLECTUAL PROPERTY	136	
8	NELLCOR PURITAN BENNETT INC	123	Covidien = Medtronic
9	SAMSUNG ELECTRONICS CO LTD	115	
10	SIEMENS AG	109	
11	NIPPON KODEN CORP	104	
12	WELCH ALLYN INC	94	
13	FITBIT INC	93	
14	MEDTRONIC INC	92	

Companies count higher numbers of patent families if subsidiaries are included

Use case, example

Impact of understandardized names of different families

top assignee (DWPI standardized assignee/applicant)	# patent families
1 KONINK PHILIPS ELECTRONICS NV	452
2 NELLCOR PURITAN BENNETT LLC	343
3 GEN ELECTRIC	309
4 OMRON HEALTHCARE CO LTD	237
5 MASIMO CORP	143
6 COLIN CORP	143
7 PHILIPS INTELLECTUAL PROPERTY	136
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10 SIEMENS AG	109
11 NIHON KODEN CORP	104
12 WELCH ALLYN INC	94
13 FITBIT INC	93
14 MEDTRONIC INC	92

NELLCOR PURITAN BENNETT LLC (343)
NELLCOR PURITAN BENNETT INC (123) 466 patent families

Deviations in the level of standardization might lead to incorrect conclusions

Use case, example

Impact of different assignee names within the family

Publication Number	Assignee/Applicant	Priority Date	DWPI Accession Number
EP2540217B1	NIHON KOHDEN CORP	2011-06-30	2013-A22028
Title: Biological information monitoring system			
JP2013012132A	NIPPON KODEN KOGYO KK	2011-06-30	2013-A22028
Title: BIOLOGICAL INFORMATION MONITORING SYSTEM			
CN102857550A	NIHON KOHDEN CORP	2011-06-30	2013-A22028
Title: Biological information monitoring system			
JP05608135B2	NIPPON KODEN CORP	2011-06-30	2013-A22028
Title: Biometric information monitoring system			
EP2540217A1	NIHON KOHDEN CORP	2011-06-30	2013-A22028
Title: Biological information monitoring system			
US20130002431A1	NIHON KOHDEN CORP	2011-06-30	2013-A22028
Title: BIOLOGICAL INFORMATION MONITORING SYSTEM			
US8710992B2	NIHON KOHDEN CORP	2011-06-30	2013-A22028
Title: Biological information monitoring system			

Different assignee names within the patent family may result in inconsistent outcome

Use case, example

Impact of multiple assignee names on one patent

top assignee (DWPI standardized assignee/applicant)	# patent families
1 KONINK PHILIPS ELECTRONICS NV	452
2 NELLCOR PURITAN BENNETT LLC	343
3 GEN ELECTRIC	309
4 OMRON HEALTHCARE CO LTD	237
5 MASIMO CORP	143
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14 MEDTRONIC INC	92

(71) Applicant (for DE only): **PHILIPS INTELLECTUAL PROPERTY & STANDARDS GMBH** [DE/DE]; Lübeckertordamm 5, 20099 Hamburg (DE).

(71) Applicant (for all designated States except DE, US): **KONINKLIJKE PHILIPS ELECTRONICS N.V.** [NL/NL]; Groenewoudseweg 1, NL-5621 BA Eindhoven (NL).

KONINK PHILIPS ELECTRONICS NV (452) 456 (588) 132 patents (WO) with two assignee names
 PHILIPS INTELLECTUAL PROPERTY (136)

Multiple assignee names on a patent may result in inconsistent findings

Use case, example

Impact of assignee name misspellings

EKONINK PHILIPS ELECTRONICS NV
HONEYWELL PHILIPS
HONEYWELL & PHILIPS
HOSIDEN & PHILIPS DISPLAY CORP
KOINKLIJKE PHILIPS 5
KONINKLIJKE PHILIPS ELECTRONICS NV
KONINKLIJKE PHILIPS INT NV
KONINKLIJKE PHILIPS NV
KONINKLINJKE PHILIPS ELECTRONICS NV
KONINKLOJKE PHILIPS ELECTRONICS NV
KONINKL PHILIPS ELECTRONICS NV
NV PHILIPS GLOEILAMPENFA
N V PHILIPS GLOEILAMPENFA
N V PHILIPS GLOIELAMPENFA
NV PHILIPS GOEILAMPENFABR
PHILIPS
PHILIPS AB
PHILIPS AG

Assignee name misspellings might lead to incorrect conclusions

Use case, example

Impact of inventor names appearing as assignee name

top assignee (DWPI standardized assignee/applicant)	# patent families
1 KONINK PHILIPS ELECTRONICS NV	452
2 NELLCOR PURITAN BENNETT LLC	343
3 GEN ELECTRIC	309
4 OMRON HEALTHCARE CO LTD	237
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6 COLIN CORP	143
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9 SAMSUNG ELECTRONICS CO LTD	115
10 SIEMENS AG	109
11 NIHON KODEN CORP	104
12 WELCH ALLYN INC	94
13 FITBIT INC	93
14 MEDTRONIC INC	92

31 ADDISON PAUL STANLEY	40

Assignee/Applicant ?

Standardized: DRIPPS JIMMY MCGONIGLE SCOTT OCHS JAMES
 ADDISON PAUL STANLEY WATSON JAMES

Original: Dripps Jimmy, West Linton, GB McGonigle Scott, East Lothian, GB
 Ochs James, Seattle, WA, US Addison Paul Stanley, Edinburgh, GB Watson
 James, Dunfermline, GB

Assignee/Applicant ?

Standardized: NELLCOR PURITAN BENNETT IE ADDISON PAUL STANLEY

Original: NELLCOR PURITAN BENNETT IRELAND, Mervue, IE

Incorrect assignee analysis if inventor names appear as assignee name

Summarized

- Patent ownership is relevant in most use cases
- Determining ownership comes with many challenges
- An ambiguous applicant name is one of these challenges
 - Spelling errors
 - Unstandardized names
 - Multiple names
 - Etc.
- A single, standardized, correctly written applicant name would be an enormous benefit to the users

Thank you!