

Understanding Examination and Refusal Procedures in the IP Office of Japan

Webinar of the Madrid System

Masatoshi Otsuka

Maiko Hagiya

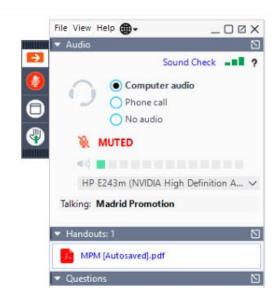
Associate Officer,
Madrid Information and
Promotion Division

Fellow, Madrid
Operations Division

Geneva April 29, 2020

How to use GoToWebinar







Structure of the Webinar

- Presentation: Understanding Examination and Refusal Procedures in Japan
- Interactive questions during the webinar
- Questions and answers session at the end
- Presentation slides available for download
- Recording will be uploaded on the Madrid Webinar page
- Short survey to provide feedback

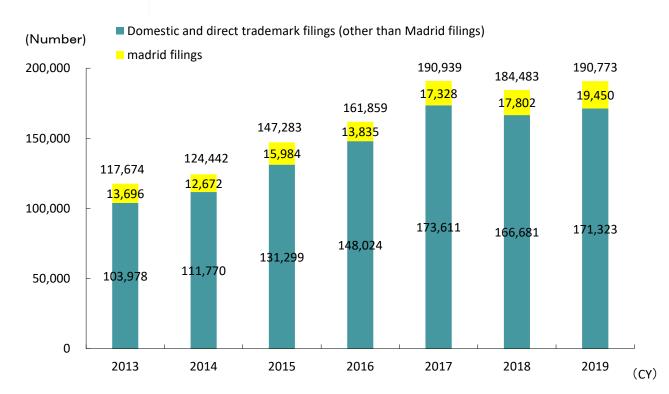


Understanding Examination and Refusal Procedures in Japan

- Overview
- How to avoid provisional refusals
- How to respond to provisional refusals
- After receiving grant of protection



Numbers of TM Filing in JP





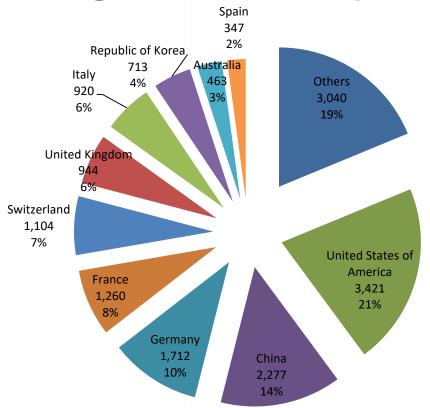
Source: Statistical data provided by JPO

Question 1

- Which country is the top filer through the Madrid protocol to Japan?
 - China
 - United States of America
 - Germany



Designations of Japan by Country of Holder

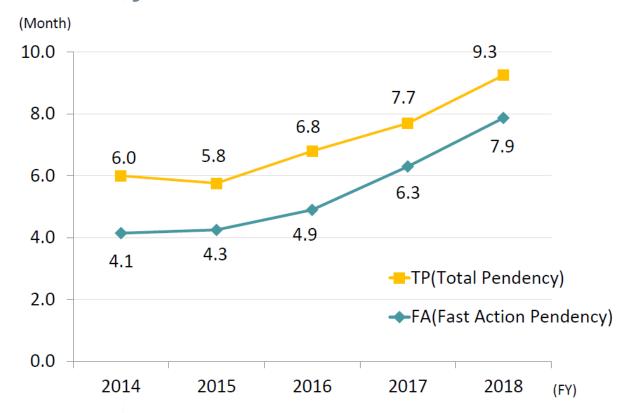


Designations of JP in international registrations & subsequent designations by Country of Holder (2019)



Source: WIPO IP Statistics Data Center

Pendency in TM Examination in JP





Source: Statistical data provided by JPO

Question 2

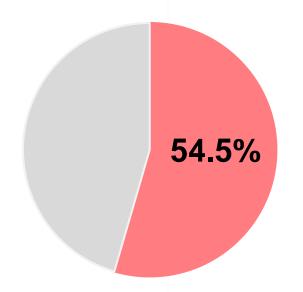
- What percentages of the provisional refusal issued by the JPO for Madrid filings?
 - Around 30 40 %
 - Around 40 50 %
 - Around 50 60 %

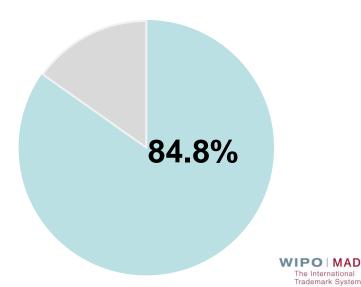


Provisional Refusal Rate and Final Registration Rate

Provisional Refusal Rate (2018FY)







Source: Statistical data provided by JPO

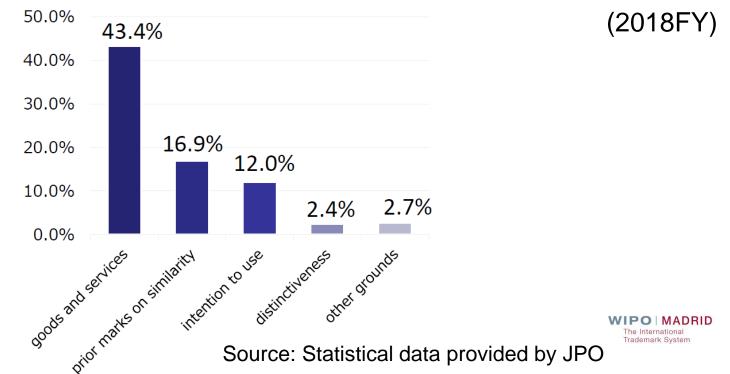
Question 3

- What ground for refusal is the most common in Japan?
 - Prior right on Similarity
 - Distinctiveness of Marks
 - Indication of G&S



Top Reason of Ground for Refusal

Ratio of ground for refusal out of First Actions issued by JPO



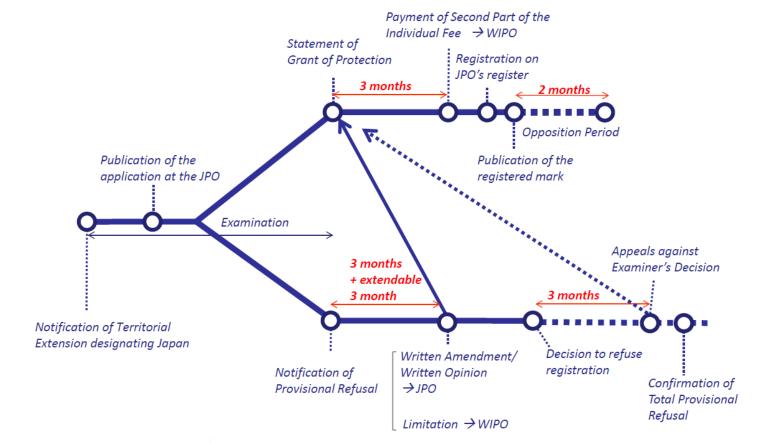
Trademark System

How the Madrid System Works

The International Trademark Registration Process



Flow of Madrid Procedure in JP





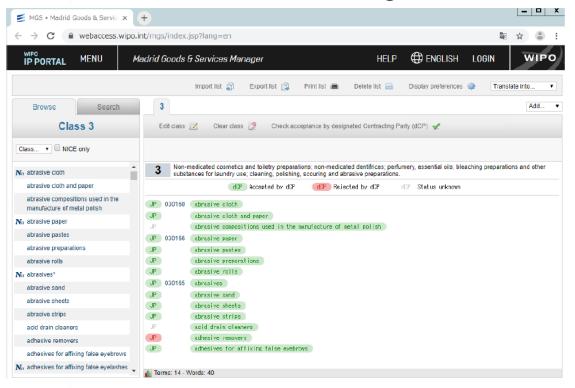
Search Acceptable Indications of Goods & Services

✓ Madrid Goods & Services Managers

√ J-Plat Pat (Database for G&S provided by JPO)

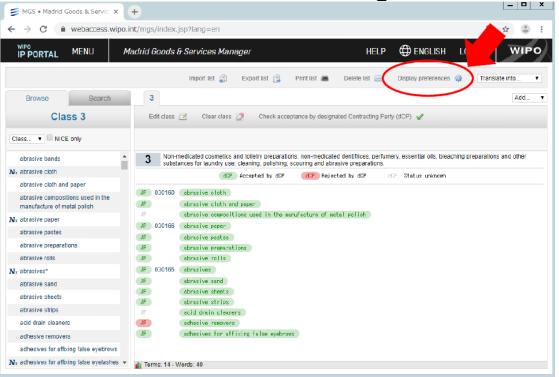


Madrid Goods & Services Managers



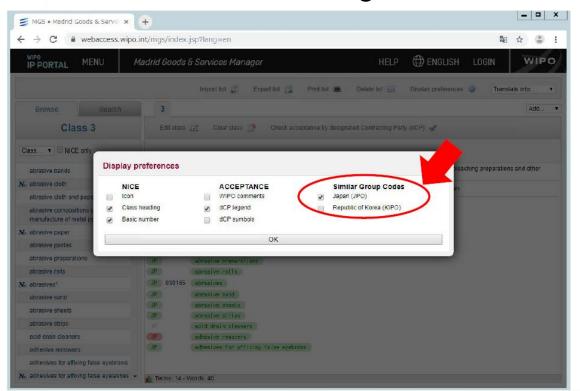


Madrid Goods & Services Managers



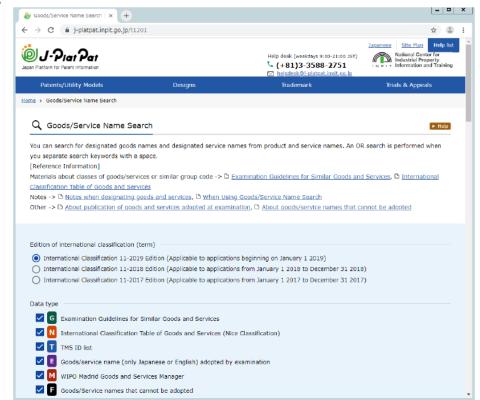


Madrid Goods & Services Managers



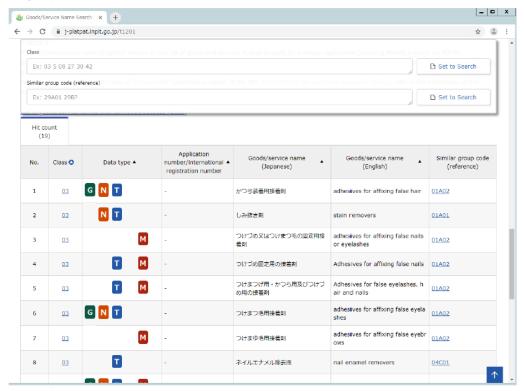


J Plat-Pat





J Plat-Pat





- Key factors to be considered in examination
- > Clear indication?
 - ✓ Too vague, linguistically incorrect, or incomprehensible, etc.
- Proper class?
 - ✓ Classification is done by the IB
 - ✓ The IB applies the Nice Classification edition at the time of IR.
- > Proper similar group codes?
 - ✓ These codes presume similarity of G&S
 - ✓ Used as keys for searching trademarks



Similar Group Codes

- ➤ Similar Group Codes are search keys for trademarks registered/applied in relevant field of G/Ss.
- ➤ G/Ss which have the same group code will be presumed to be similar in the Examination.
- ➤ They ensure consistency in determining similarity of G/S in examination and predictability for applicants.



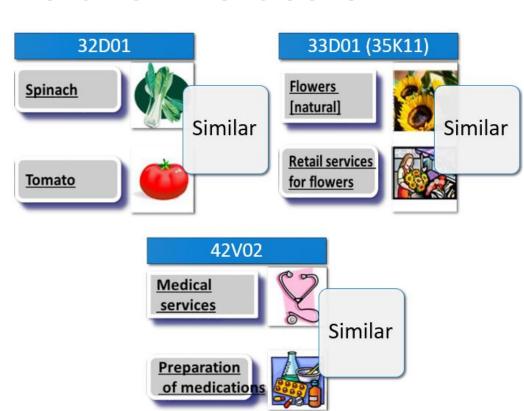
Trademark System

How to avoid Provisional Refusals

How are Similar G/Ss Grouped?

Similar goods are grouped based on...

- Manufacturing / sales division
- raw materials
- quality
- intended use
- scope of consumers
- relevance between the finished product and spare parts, etc.



- Similar Group Codes among several classes
- G&S can be similar among several classes.
- Similar Group Codes enable examiners to cross-search trademarks registered in other classes.
- Similar Group Codes among several classes



Question 4

- Will the JPO accept all of the indication of Class heading in Nice classification?
 - Yes
 - No



■ Unacceptable Indications — Nice Class Heading NCL (11-2019)

| Class | Unacceptable class headings | Examples for alternative indications |
|-------|---|--|
| 7 | Machines, machine tools, power-operated tools; | Metalworking machines and tools; construction machines and apparatus; textile machines and apparatus; food or beverage processing machines and apparatus; printing or bookbinding machines and apparatus; agricultural machines and implements; packaging or wrapping machines and apparatus; |
| 9 | photographic, cinematographic, audiovisual, optical, weighing, measuring, signalling, detecting, testing, inspecting, life-saving and | Apparatus and instruments for scientific research in laboratories; nautical, surveying, photographic, cinematographic, optical, and weighing apparatus and instruments; measuring apparatus; luminous or mechanical signals; electric monitoring apparatus; life-saving apparatus and equipment; teaching apparatus; |
| 12 | ivenicies: | Aircraft; automobiles; bicycles; motorcycles; rolling stock for railways; ships; |
| 12 | 1 | Aircraft; automobiles; bicycles; motorcycles; rolling stock for railways; ships; |
| 17 | Packing, stopping and insulating materials; | Packing [cushioning, stuffing] materials of rubber or plastics; cotton wool for packing [caulking]; joint packings for pipes; stops of rubber; rubber stoppers; insulators; asbestos packing; |
| 31 | ladilacilitiiral horticilitiiral and forestry | Barley; grains (cereals); seeds; natural flowers; plants; seedlings; trees; fresh vegetables; fresh fruits; edible aquatic animals, live; |
| 33 | Alcoholic preparations for making beverages | Alcoholic essences |



■ Unacceptable Indications – Nice Class Heading NCL (11-2019)

| Class | Unacceptable class headings | Examples for alternative indications |
|-------|---|--|
| 36 | Financial affairs; | Financial consultancy; financial evaluation [insurance, banking, real estate]; financial management; |
| 36 | Monetary affairs; | Capital investment; exchange money; fund investment; securities brokerage; stocks and bonds brokerage; |
| 37 | Installation and repair services; | Elevator installation and repair; telephone installation and repair; fire alarm installation and repair; burglar alarm installation and repair; heating equipment installation and repair; electric appliance installation and repair; lnstallation and repair of computer hardware; |
| 40 | Treatment of materials; | Cloth treating; leather staining; metal treating; water treating; |
| 41 | Sporting and cultural activities; | Sporting activities; organization of exhibitions for cultural or educational purposes; |
| 42 | Scientific and technological services and research and design relating thereto; | Scientific and technological research and development; computer software design; industrial design; |
| 42 | Quality control and authentication services; | Quality control; authentication of diamonds; providing user authentication services using single sign-on technology for online software applications; |
| 45 | Personal and social services rendered by others to meet the needs of individuals; | Clothing rental; crematorium services; detective agencies; marriage agencies; |



- Unacceptable Indications
- ✓ Indications relating to Retail/Wholesale Services (Class 35)

Unacceptable indications

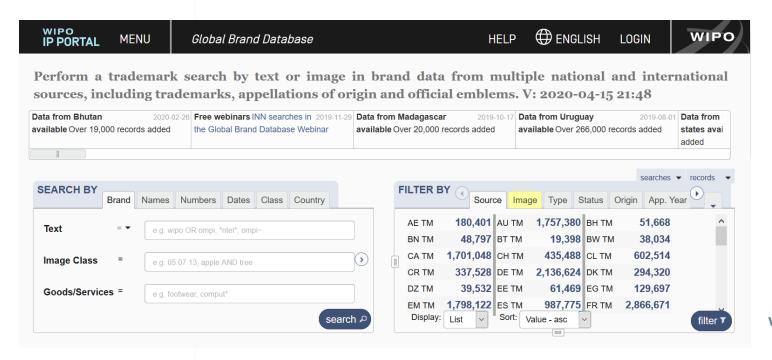
Retail or wholesale services; Retail store services; Retail services or wholesale services for all goods;

Alternative indication

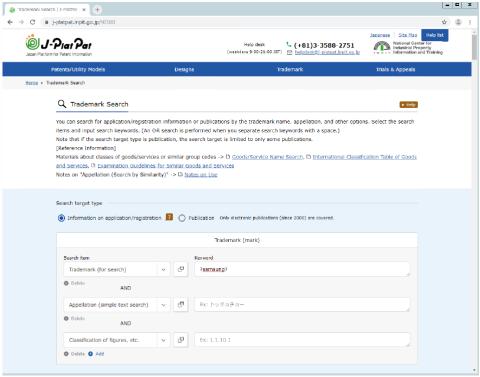
Retail or wholesale services for [specified goods];

Ex)

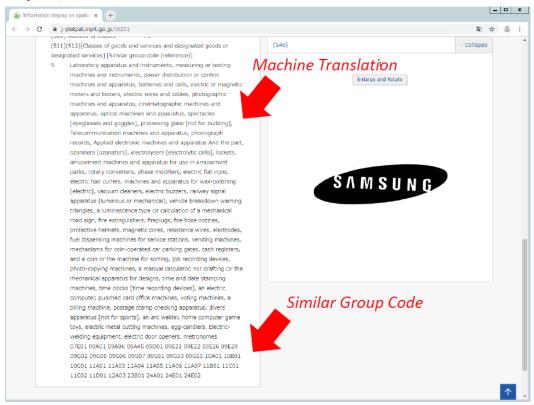
Retail or wholesale services for <u>clothing</u>; Retail or wholesale services for <u>foods and beverages</u>; Retail or wholesale services for <u>cosmetics</u>, <u>toiletries</u>, <u>dentifrices</u>, <u>soaps and detergents</u>;



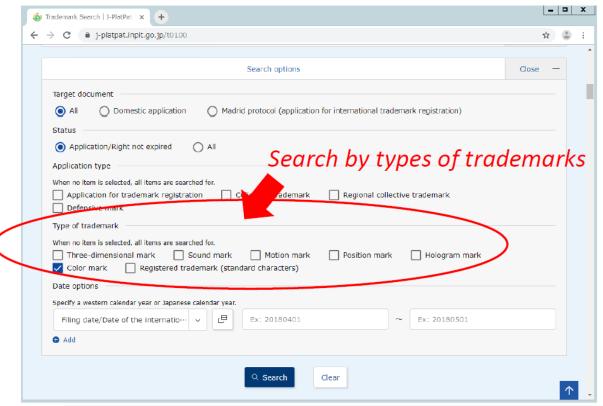














- Prior trademarks: Consistency of names/addresses
- ✓ When determining conflict with prior marks, the JPO handle the identity of the holder of the applied mark and that of the prior marks in a strict manner.
- ✓ There are some cases, notifications of provisional refusal are issued, because <u>names or addresses</u> of the holder of applied mark and that prior marks are <u>not consistent</u> even though they are actually the same holder.
- ✓ When there is a change in name or address of the holder, it is recommended for holders <u>submit a request for changes of</u> <u>name/address</u> as soon as possible.



Intention to Use the Mark

- When it is reasonably questionable to whether the holder currently uses or will use the trademark for the designated G&S, the JPO will issue a provisional refusal to confirm the holder's use of or intent to use the mark.
- ✓ The number of Similar Group Codes assigned G&S in one class is 23 or more;
- ✓ Two or more Dissimilar "Retail/Wholesales Services" are designated in Class 35;

 WIRDIN
- ✓ General retails/wholesales services by an individual person.

Intention to Use the Mark

If you received a provisional refusal on the ground of intention to use the mark:

Measures to be taken

- ✓ Provide documents providing that the applicant is conducting business in connection with the designated G&S
- ✓ Provide documents confirming that the applicant has plans to conduct business related to the designated G&S
- ✓ Limit the list of designated G&S

How to respond to Provisional Refusals

Total Refusal

The JPO only issues a total refusal even where the grounds for refusal concern only some of G&S

JPO Reference number: 2018-362085

Japan Patent Office (IPO) 4-3, Kasumigaseki 3-chome Chivoda-ku Tokyo 100-8915 TAPAN



日本国特許庁 **T**100-8915 東京都千代田区霞が関3-4-3

NOTIFICATION OF PROVISIONAL REFUSAL

This notification is issued by the Japan Patent Office (JPO) in accordance with Rule 17(1) and (2) of the Common Regulations under the Madrid Agreement concerning the International Registration of Marks and the Protocol relating to that Agreement and Section 15-2 and 15-3 of the Japanese Trademark Law.

- I. International registration number: 1423364 we (with figurative Mark: Date of international registration: 2018/03/27 Holder of the international registration: WeWork Companies Inc.
- II. This trademark application * shall be totally refused protection. The grounds for refusal are indicated under Item V. A sayy of the corresponding provisions of the Japanese Trademark Law is attached to this notification.
- III. This refusal is issued on September/19/2019 by

Kukita Shun (Mr.) Examiner

Madrid Protocol Division Facsimile: +81-3-3593-2398 Telephone: +81-3-3501-2392

How to overcome refusals

✓ "Limitation" with WIPO

✓ "Written amendment/Opinion" with JPO



"Limitation" with WIPO

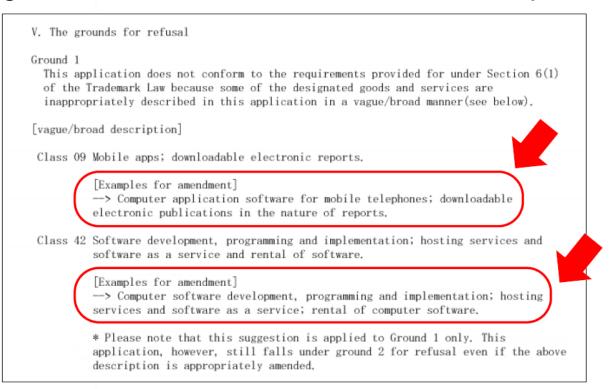
- ✓ Filing requests to limit the indications of designated G&S (MM6)
- ✓ Limitations can be requested by holders or their representatives for IRs with the prescribed fee to WIPO
- ✓ Limitation can be requested at anytime while the case is pending before the JPO in order to overcome grounds for refusals

"Written amendment/Opinion" with JPO

- ✓ Written amendments/Opinions must be submitted only through representatives domiciled in Japan using the JPO's official form
- ✓ The JPO does not require a payment of fees to submit a written amendments/Opinion
- ✓ Written amendments/Opinions can be submitted via a local attorney while the case is pending at the JPO after the notification of provisional refusal issued

 WIPO MADRIE TREDEMIC TREDE

Suggestions for amendment/limitation in the provisional refusal





Suggestions for amendment/limitation in the provisional refusal

Ground 2 The trademark of this application falls under Section 4(1)(xi) of the Trademark Law because this trademark is identical with or similar to the following trademark(s) and is to be used for the goods and/or services identical with or similar to the designated goods and/or services covered by this(these) trademark registration(s).

Cited registered trademark(s)

No. 1

- National registration No.: 5777229 Registration date: 2015/07/10
- National application No.: 2014-037561 Application date: 2014/05/13
- Name and address of the holder: United Spes, Inc.
 - 3-12-4, Nihombashikayabacho, Chuo-ku, Tokyo, JAPAN

Mark:

BARO

Conflicting goods and/or services and their class(es), corresponding to class 09 covered in this application:

International class 16:

ギフト用カタログ



Suggestions for amendment/limitation in the provisional refusal

VI. The trademark of this application will be protected if the goods and services are amended/limited as follows: (Examples are underlined. The underlined goods/services

are the examples of amendment/limitation of the goods/services shown in V. Sometimes there are no underlined goods/services.)

Class 38 remains unchanged.

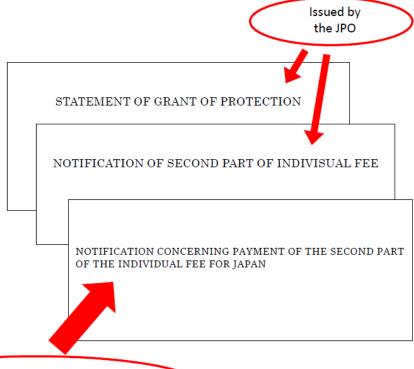
- 9 Computers and computer hardware; computer software; intranet servers; servers for web hosting; computer application software for mobile telephones.
- 42 <u>Computer software development, programming and implementation:</u> homepage and webpage design; hosting services and software as a service; rental of computer software; intranet design, development and maintenance; advisory, consultation and information services relating to the foregoing.



After Receiving Grant of Protection

✓ Following a statement of grant of protection, "Notification concerning Payment of the Second Part of the Individual Fee For Japan" is sent by WIPO.

✓ The second part of the individual fee must be paid to WIPO.



Issued by WIPO with specific amount of fee and time limit



After Receiving Grant of Protection

■ Certificate of Trademark Registration

Certificate will be issued and sent directly to the holder or a representative domiciled in Japan (if any)

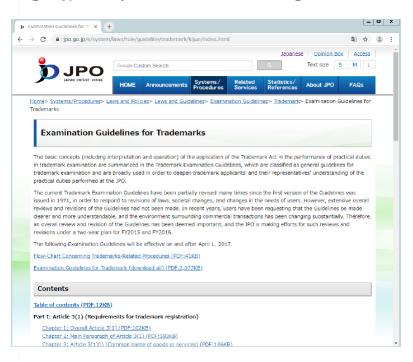




More information

Examination Guidelines

https://www.jpo.go.jp/e/system/laws/rule/guideline/trademark/kijun/index.html

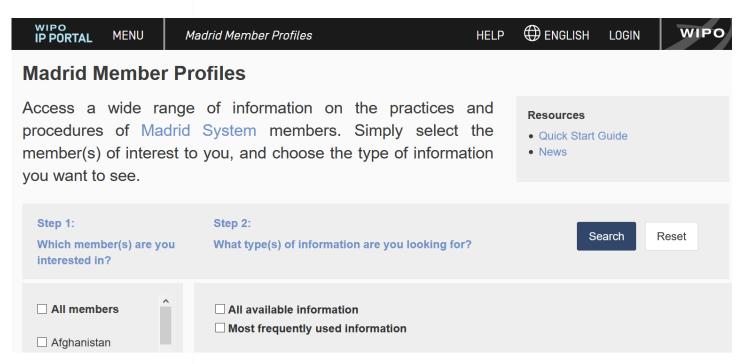




More information

Madrid Member Profiles

https://www.wipo.int/madrid/memberprofiles/#/







Q&A Session about the Webinar

Masatoshi Otsuka

Associate Officer,
Madrid Information and
Promotion Division

Maiko Hagiya

Fellow, Madrid
Operations Division

Keep Updated on the Madrid System

- Visit the Madrid Website
- Access <u>Madrid Webinars</u> records and stay tuned for new topics
- Play our <u>Madrid "How-to"</u> videos
- Subscribe to <u>Madrid Notices</u>
- Contact us: Contact Madrid





Trademark System