

# USE OF IDENTIFIERS FOR APPLICANTS BY IPOs

Response ID:47; rkc Data

## 1. Country Code page

1. Please enter the two-letter country code corresponding to your Office or Organization.

KR

## 2. Question page

2. 1. What are the perceived advantages of using Applicant Identifiers in your Office? Please mark all that apply:  
***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

1a. advantages for the Office itself:

Effective management of applicant information

Easy to change applicant's information in all relevant records simultaneously

Other - Please specify:: Applicant Identifiers can help to confirm whether the applicant of the prior application and the applicant of the subsequent application are the same when claiming priority. This point is useful for the recent trend that is shortening the examination period.

3. 1b. Advantages for Applicants and Patent Information Users:

No need to repeatedly input the same information

Accurate statistics on patent applicants and owners

4. 2a. Does your Office publish (or intend to publish) the identifier(s) you use (or plan to use) assigned to the applicant?  
***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

Yes

Comments:

5. 2b. If yes, how:

Applicants can check their identifiers through KIPO's e-filing system.

6. 3. Does your Office include (or plan to include) the identifiers in the set of data for the exchange of patent information with other IP Offices?

***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

No

Comments: For the moment, we have no such plans.

7. 4. Which approach to assigning identifiers does your Office use (or plan to use)?

***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

Normative (code assigned by a national authority)

8. 5. How does your Office ensure that an applicant has only one identifier?

***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

In case of national applicants,: KIPO utilizes Resident Registration Number or Business License Number etc.

In case of foreign applicants,: KIPO utilizes Foreigner Registration Number or Business License Number etc.

**9. 6a. What information does your Office request in order to determine identifiers for national applicants?**

***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

Copy from the register of legal entities

E-mail address

Other. Please specify:: [Applicant Name] Korean Name and English Name (In the case of natural persons, the applicant name should be the same as that of the passport.); [Applicant Information] (Natural Person) Resident registration number, (Cooperation) Corporate Registration Number and Business License Number, (National Organization) Serial Number or Business License Number, (Association or Foundation that is not a juridical person) Business License Number; [Telephone Number] Telephone Number of Applicant; [Postal Code and Address] (Natural Person) Address based on Resident Registration, (Cooperation) Address of headquarters based on certificate of corporate registration; [E-mail address] (optional information) E-mail address of Applicant; [Mobile number] (optional information) Mobile number of Applicant; [Submitting person's seal (or signature)]; [Information of Patent Attorney or Agent] The name and address or place of business of a patent attorney or agent in case that a patent attorney or agent submits the application form on behalf of the applicant; [Accompanying Documents] (National Natural Person) a copy or abstract of the resident registration, (National Corporation) Certificate of Corporate Registration and Certificate of Business License, (National Organization) One of Certificate of Serial Number or Certificate of Business License, (Association or Foundation that is not a juridical person) Certificate of Business License

**Comments:** [The Article 28-2 of the Korean Patent Act] Article 28-2 (Entry of Identification Number) (1) A person specified by Ordinance of the Ministry of Trade, Industry and Energy, who initiate a patent-related procedure, shall apply for issuance of his/her identification number to the Commissioner of the Korean Intellectual Property Office or the President of the Korean Intellectual Property Trial and Appeal Board. (2) Upon receipt of an application under paragraph (1), the Commissioner of the Korean Intellectual Property Office or the President of the Korean Intellectual Property Trial and Appeal Board shall issue an identification number to the applicant and notify the applicant thereof. (3) The Commissioner of the Korean Intellectual Property Office or the President of the Korean Intellectual Property Trial and Appeal Board shall, ex officio, issue an identification number to a person who initiates a patent-related procedure, if the person fails to apply for his/her identification number under paragraph (1), and shall notify the person thereof. (4) A person issued his/her identification number under paragraph (2) or (3) shall state the identification number in the documents specified by Ordinance of the Ministry of Trade, Industry and Energy, when he/she takes a patent-related procedure. In such cases, he/she may elect not to state his/her domicile (if such person is a corporation, its place of business) in such documents, notwithstanding this Act or any order issued under this Act. (5) Paragraphs (1) through (4) shall apply mutatis mutandis to an agent of a person who takes a patent-related procedure. (6) Filing applications for issuance of an identification number, and issuance and notification of an identification number, and other matters necessary for identification numbers shall be prescribed by Ordinance of the Ministry of Trade, Industry and Energy. [The Article 9 of the Enforcement Rules of the Korean Patent Act] Article 9 (Granting Applicant Code, etc.) of Enforcement of the Patent Act (1) The "persons designated by the Decree of Ministry of Knowledge-based Economy" under Article 28-2 (1) of the Patent Act shall refer to any of the following persons: 1. applicant for registration; 2. successor of eligibility for patent right; 3. requestor for examination; 4. (deleted) < Sep. 29, 2006> 5. (deleted) < Sep. 29, 2006> 6. requestor for correction; 7. applicant for priority examination; 8. information tipper of patent application; 8-2. requestor for retrial; 9. requestor for trial, defendant of trial and joint parties to trial; 10. patentee; 11. exclusive licensee or non-exclusive licensee; or 12. pledge holder. (2) Any person having applicant code under Article 28-2 (1), of the Patent Act shall submit to the Commissioner of the Korean Intellectual Property Office or the President of the Korean Intellectual Property Trial and Appeal Board appended Form 4 - Application for Granting Applicant Code. (3) Where a person granted with an applicant code it is to change or correct name, address (for corporation, the company name and address of its business place), signature, registered seal, phone number, etc. he/she shall submit to the Commissioner of the Korean Intellectual Property

Office Form 5 - Report on Amendment to Applicant Code appended to the Enforcement Rules of the Patent Act. (4) To correct the applicant code which has been granted twice or granted with error, the said person shall submit to the Commissioner of the Korean Intellectual Property Office appended Form 5 - Report on Amendment to Applicant Code, attaching thereto the following documents: 1. one (1) copy of a document verifying the contents of the amendment; and 2. one (1) copy of a document verifying the right of agency in the event that an agent performs the procedures. (5) If an applicant code has been granted twice or granted with error, the Commissioner of the Korean Intellectual Property Office shall correct or cancel the code ex officio. In this case, the Commissioner shall notify the person granted with the applicant code of the fact of such correction or cancellation made ex officio.

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**10. 6b. What information does your Office request in order to determine identifiers for foreign applicants?**

***For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.***

Copy from the register of legal entities

E-mail address

Other. Please specify:: [Applicant Name] Korean Name and English Name (In the case of natural persons, the applicant name should be the same as that of the passport.); [Applicant Information] (Natural Person) Foreigner Registration Number, (Cooperation) Corporate Registration Number and Business License Number; [Telephone Number]; [Postal Code and Address] (Natural Person) Address based on Foreigner Registration and his/her Nationality, (Cooperation) Address of headquarters based on certificate of corporate registration (In the case of an overseas address, both transliteration of the overseas address by loanword orthography and the overseas address in English shall be provided.); [E-mail address] (optional information) E-mail address of applicant; [Mobile number] (optional information) Mobile number of applicant; [Submitting person's seal (or signature)] If there is no address (or place of business) in Korea, then it is not necessary to submit this information.; [Information of Patent Attorney or Agent] The name and address or place of business of a patent attorney or agent in case that a patent attorney or agent submits the application form on behalf of the applicant; [Accompanying Documents] (Foreign Natural Person) One of Certificate of nationality, Priority certificate and Certificate of foreigner registration, (Foreign Corporation) One of Certificate of Nationality of Corporation, Certificate of Corporate Registration and Priority Certificate

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**11. 7a. Does your Office consider that a Global Identifier (GID) would be a desirable solution for applicant name standardization?**

Yes

**Comments:**

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**12. 7b. If yes, could you suggest how the GID should be established and maintained?**

1. The international bureau (IB) issues global identifiers (GIDs) to applicants of international applications under PCT.
2. The IB can consider address (or place of business), telephone number, e-mail address, nationality, tax number, etc. to identify and manage the information of each applicant.
3. The IB recommends (or enforces) applicants use their global identifiers for their international applications under PCT.
4. The IB constructs and distributes the applicant name table by GIDs to the IP Offices and the IP Offices returns applicant names (for the national phase) corresponding to GIDs.
5. The IB updates its applicant name table based on both GIDs and the applicant information submitted by the IP Offices.
6. The IB disseminates the updated applicant name table.

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**13. 7c. In case a GID is established, will your Office use both the GID and a national identifier at the same time, or will your Office use the GID instead of a national identifier?**

GID can be used as additional information of KIPO's domestic identifier.

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**14. PART B - NO IDENTIFIER**

**8a.** If your Office does not use or does not intend to use identifiers for applicants, please explain why:

*For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.*

15. 8b. Please describe any alternative approach to the use of identifiers that your office is using or contemplates using, including how that approach deals with issues of name ambiguity (misspellings, multiple spellings, different character sets, etc):

*For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.*

16. 9. Please explain any drawbacks or legal complications your Office may have related to using identifiers:

*For purposes of this survey, applicant identifiers refers to standardized names or numeric codes which belong to a single legal entity. See question 6a for examples.*

17. 10. Which of the following options would you consider for investigation in your Office?

*[Note \* Normalization – correction of “trivial” errors (which leave the possibility of multiple name variants for one applicant)*

*\*\* Standardization – using one name variant for an applicant (which might not be the ultimate owner, as IP rights can be registered in the name of a subsidiary when the beneficiary is the parent company)]*

Please mark each option that you choose with (L: Low), (M: Medium) or (H: High) depending on the priority attributed by your office.

	L: Low	M: Medium	H: High
Use of identifiers			X
Normalized* names			
Use of “dictionaries” of patentee names by patent information			
Use of standardized** names designated by applicants			X

**Other. Please specify:**

18. 11. What is your Office’s desired outcome from the Name Standardization Task Force (set of recommendations, public database, etc.)? Please explain:

We think that the TF cannot force the IP Offices to modify their legal system in order to adopt applicant identifiers. In this regard, we hope that the TF would investigate and share various computer algorithms for the normalization or standardization of applicant names and issuance policies of applicant identifiers as many as possible. Investigating computer algorithms will give us lots of hints to standardize applicant names of historical data. For the future applications, it is expected that the TF would elaborate the concept of GID and establish an operation plan of GID. We eventually expect that the TF would construct public databases based on GIDs.

19. 12. Where should the standardization effort be focused? For example, on internal systems in IPOs or for externally-held IP databases?

Applicant name standardization can be categorized in at least 4 ways, which are applicant name standardization by

considering domestic applications only, applicant name standardization by considering cross filed applications, applicant name standardization for historical data and applicant name standardization for future data. We hope that the TF would investigate the member states' various interests and prioritize the various interests including those 4 categories. Then, it would be easy to determine what the TF should focus on.

From our point of view, it is good to focus on sharing various computer algorithms for the normalization or standardization of applicant names and discussing issuance policies of applicant identifiers to elaborate the concept of GID. It is because there is a limit to unifying or harmonizing every approach to managing applicant names.

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**20. 12a. Does your Office use (or plan to use) a computer algorithm for the normalization or standardization of applicant names?**

Yes

**Comments:**

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**21. 12b. If yes, please briefly describe the algorithm.**

***A detailed description is not necessary. If the algorithm has a commonly recognized name, that may be sufficient. If not, a few words or sentences describing the general approach of the algorithm are enough. If multiple algorithms are used in combination, please briefly explain each one.***

***Example: "The algorithm removes non-latin characters and repeated whitespace, then uses a dictionary to replace known abbreviations with a standard format, such as "L.L.C." and "LLC." being replaced with "LLC".***

We unify applicant names which refer to the same entity according to generally-accepted idea in the society. In addition, we unify applicant names which are recognized as the same entity by telephone number, address, etc. At the final step, we contact the applicant to get the applicant's confirmation.

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**22. 13. If Offices use different approaches to managing applicant names, should the standardization effort harmonize the different approaches for the purpose of the international exchange of patent information?**

We think there is a limit to unifying or harmonizing every approach to managing applicant names. We also guess that IP data consumers are not interested in the harmonized approach itself but are interested in the standardized results. Hence, instead of focusing on harmonizing all the different approaches, it would be better to encourage the IP Offices to share their standardized results and draw up measures to make connections among the standardized results.