

DWPI Patent Assignee Codes

What is a patent assignee code (PACO)? In DWPI we assign each company with a 4 letter code. This code is usually based on the name of the patentee. We currently have 4 types of code which signify different types of assignee.

Standard codes are given to companies that have reached a minimum threshold of records within DWPI. Standard codes appear in DWPI as 4 letters, either alone or followed by -C (depending on the platform used) e.g. for Siemens the code is **SIEI** or **SIEI-C**.

Non-standard codes are applied to companies which have not yet reached the minimum threshold. Non-standard codes are created from the first four letters of the first significant word in the company's name (this omits prepositions). As an example, if the company was called 'The Silversmith Group' we will not use 'The' and create the code from Silversmith to give e.g. **SILV-N** or **SILV-** (depending on the platform used).

Individual - If the assignee is a person rather than a company, we will then use the surname of the individual to create the code in a similar way to the non-standard code. This will appear in DWPI as 4 letters followed by -I or / (depending on the platform used). For example, John Smith would be given the code **SMIT-I** or **SMIT/**.

Soviet - From 197517 we identified Soviet companies with their own indicator (-R or =). The same creation rules are applied to these names as with the non-standard codes.

The table below summarises the formats available via the various DWPI host platforms:

PACO Type	DWPI on Derwent Innovation; STN	DWPI on Dialog	DWPI on Questel; DWPI Abstract Products
Standard	ABCD; ABCD-C	ABCD	ABCD
Non-Standard	ABCD-N	ABCD-N	ABCD-
Individual	ABCD-I	ABCD-I	ABCD/
Russian/Soviet	ABCD-R	ABCD-R	ABCD=

Before we can assign a PACO, we must first understand what is meant by certain legal terms for companies. To do this we use the following definitions:

Subsidiary - a corporation or company owned by another corporation that controls at least a majority of the shares.

Merger - an agreement that unites two existing companies into one new company.

Acquisition - is when one company purchases most or all of another company's shares to gain control of that company.

Divestiture - the partial or full disposal of a business unit.

Why Use PACO?

As corporate entities are brought together under the one standard PACO, the codes can be used to improve online retrieval of a company's portfolio.

Assignment of Standard Patent Assignee Codes (PACO) in DWPI

If a company which is in DWPI with a non-standard code reaches the minimum threshold of 500 records, we will then research it to identify the ownership. The research is undertaken by using information available on the company website and annual report along with other sources of public domain information.

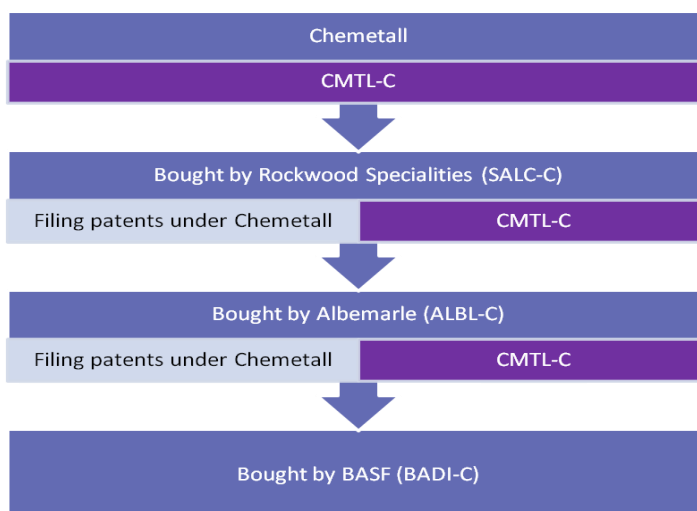
If this company (A) is a subsidiary of another and the parent (B) already has a standard code, then the parental standard code will be applied to all instances for company A. We will also identify other subsidiaries of company B that are not already under that PACO.

If neither A nor B already have a standard PACO or company A is a standalone company, a new standard PACO will be created and assigned to all the relevant records.

Companies with Standard PACO

When a company (C) with a standard PACO is bought or merges with another (D) also with a standard PACO then one of the following will happen:

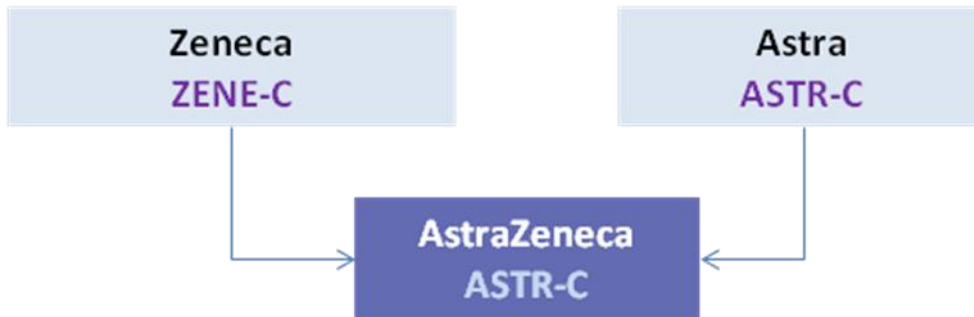
1. If company C continues to file under its original name, then the original PACO will continue to be applied. An example here is Chemetall. They were assigned a standard PACO CMTL-C in 1995. In 2004, they were bought by Rockwood Specialities but continued to file as Chemetall. In 2015, Chemetall were then acquired by Albemarle Corp but continued to file under their original name. In 2016 BASF acquired Chemetall. Even though all 3 parent companies had their own standard code, Chemetall filed under that name and continued to have the CMTL-C code applied.



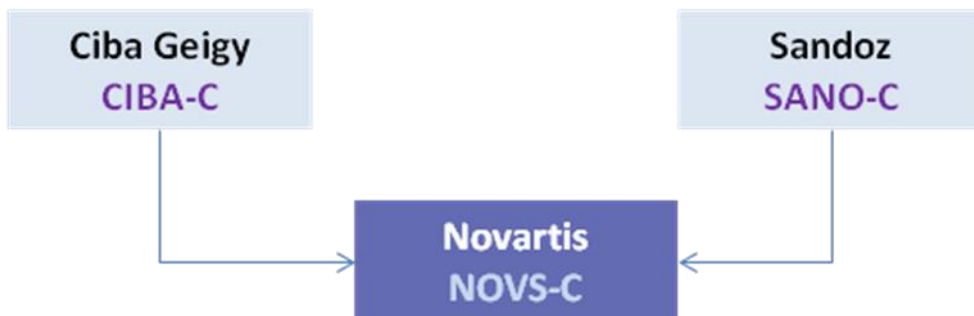
2. If company C reverts to the name of its new parent, then the PACO of company D will be applied, leaving those filed under the previous name with the old PACO.

3. If the new company formed through the acquisition/merger creates a new name, then depending on the name, one of the existing PACO may continue to be used or a new PACO may be created for the new company.

An example of this is when Astra and Zeneca merged to form AstraZeneca. For this new company we stopped using the ZENE-C code and continued with the ASTR-C code (originally assigned to Astra) for the new company. All backfile records remained with the code originally assigned to them when they entered our database.

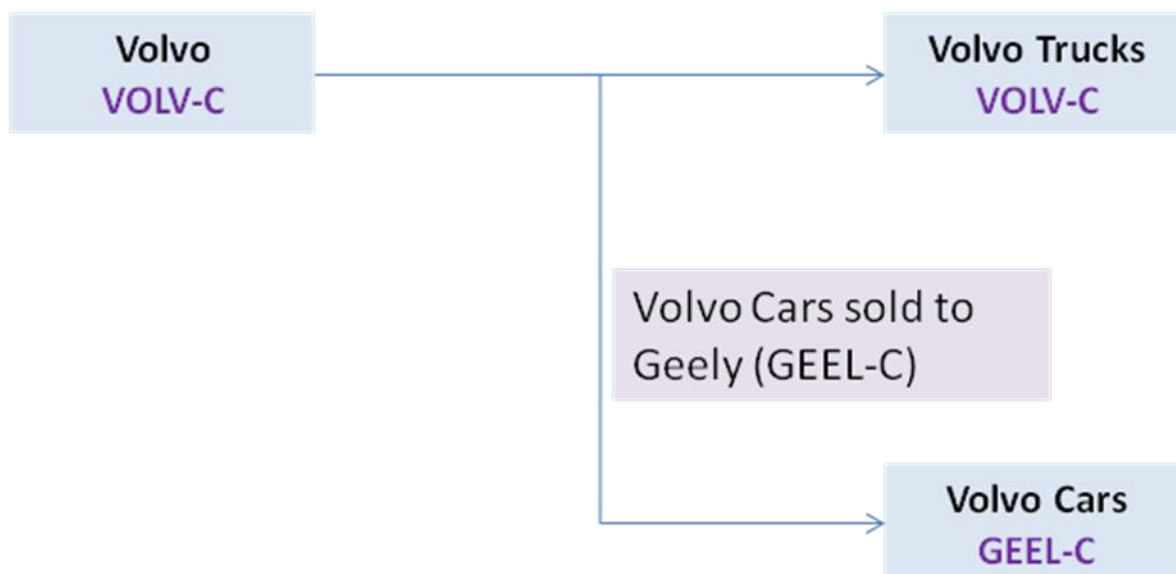


An example of where we applied a new code is when Ciba Geigy (CIBA-C) and Sandoz (SANO-C) merged to form Novartis. The new code of NOVS-C was created to reflect the new name and applied to all records with Novartis as the assignee.



The exception to the above rules is when a company continues to file under its old name but the new parent has a standard PACO. In these instances, we will then apply the standard PACO of the new parent, if it has one, to show that this company is no longer a part of its original.

An example of this is where Volvo cars were sold from Volvo to Geely. Volvo Trucks continued to keep its VOLV-C code but Volvo cars had to be assigned to the Geely code (GEEL-C) even though it still files as Volvo Cars.



When do we apply the new code?

As DWPI does not track ownership of patents, we only take the data which is published on the front page of the patent document.

For cases where M&A activity has taken place, we will only assign a changed standard PACO to the company for records which have been applied for on or after the date of the official change of ownership.

For the case of Osram being demerged from Siemens, we will take 8th July 2013 as the date for which Osram records will have the OSRA-C code applied. All Osram records filed prior to this date will have the SIEI-C code applied. For this reason, when looking at the family level data in DWPI there can be both codes applied to Osram records depending on the data of filing.