



# Patent Trial and Appeal Board Statistics

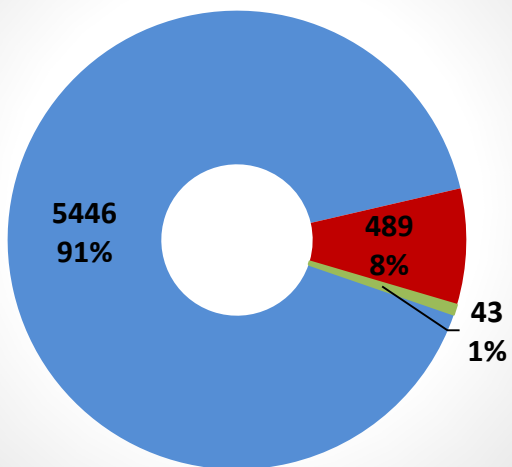
11/30/2016

UNITED STATES  
PATENT AND TRADEMARK OFFICE



## 5978 Total AIA Petitions\*

Cumulative from 09/16/2012



■ Total IPR Petitions ■ Total CBM Petitions  
■ Total PGR Petitions

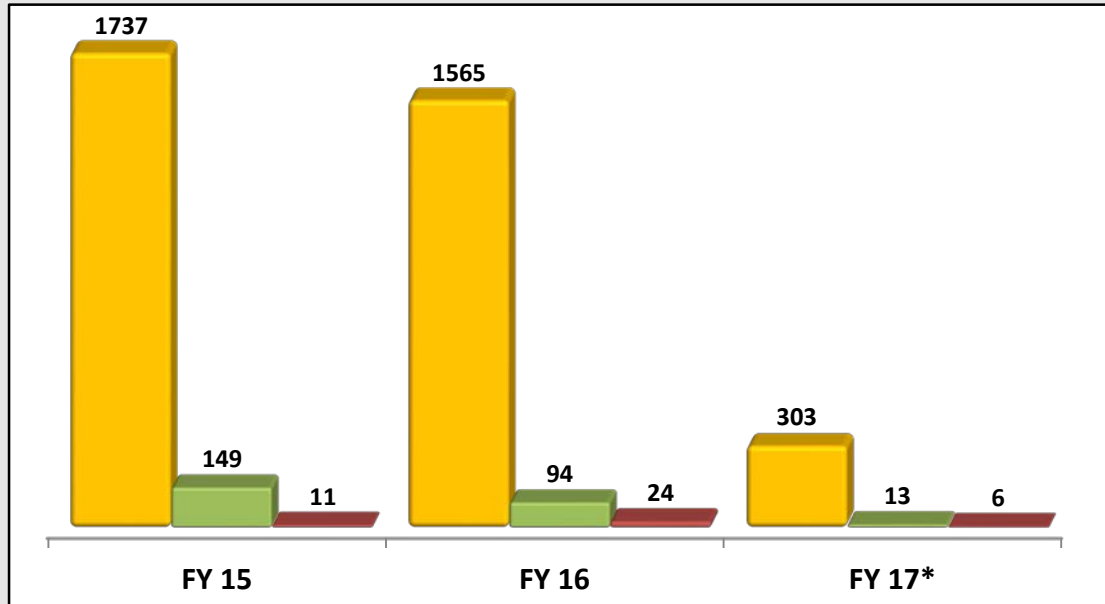
### **Narrative:**

This pie chart shows the total number of cumulative AIA petitions filed to date broken out by trial type (i.e., IPR, CBM, and PGR).

**\*Data current as of: 11/30/2016**

## Number of AIA Petitions Filed by Fiscal Year by Type

■ IPR   ■ CBM   ■ PGR

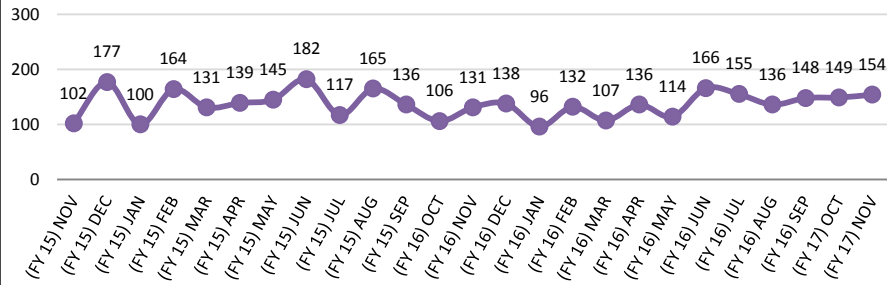


### Narrative:

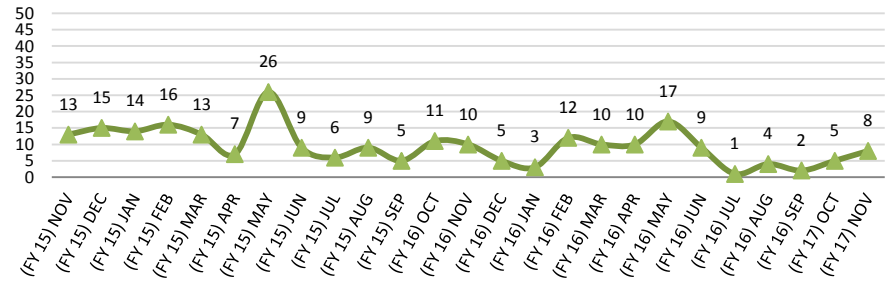
This bar graph depicts the number of AIA petitions filed each fiscal year, with each bar showing the filings for that fiscal year by trial type (i.e., IPR, CBM, and PGR).

**\*Data current as of: 11/30/2016**

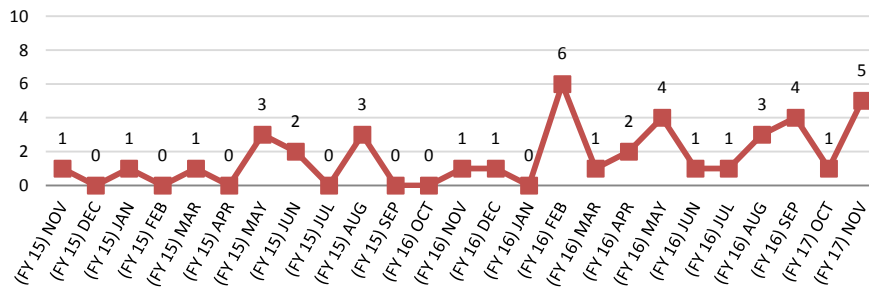
### Number of IPR Petitions Filed by Month\*



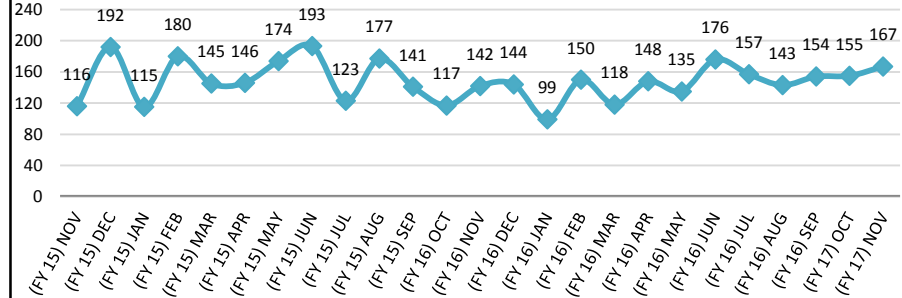
### Number of CBM Petitions Filed by Month\*



### Number of PGR Petitions Filed by Month\*



### Number of TOTAL Petitions Filed by Month\*



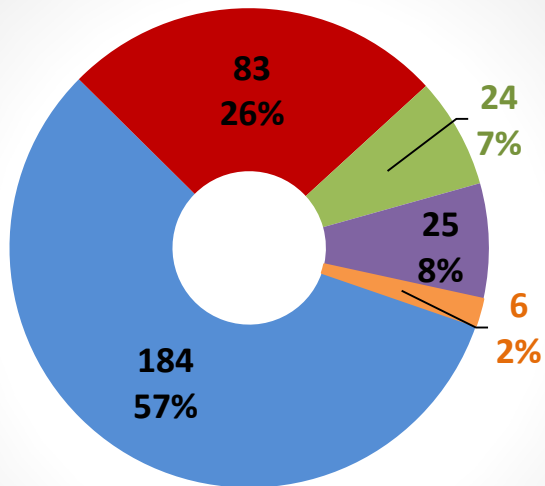
#### Narrative:

These line graphs display the number of IPR, CBM, and PGR petitions filed each month and the total number of all petitions filed each month from the effective date of the AIA trial provisions.

\*Data current as of: 11/30/2016

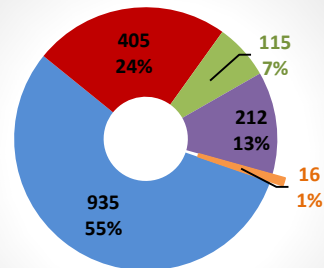


### 322 Total AIA Petitions in FY 17\* (Technology Breakdown)

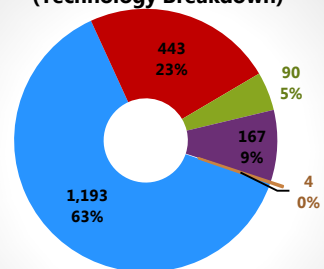


- Electrical/Computer - TCs 2100, 2400, 2600, 2800
- Mechanical/Business Method - TCs 3600, 3700
- Chemical - TC 1700
- Bio/Pharma - TC 1600
- Design - TC 2900

### 1683 Total AIA Petitions in FY 16\* (Technology Breakdown)



### 1897 Total AIA Petitions in FY 15\* (Technology Breakdown)



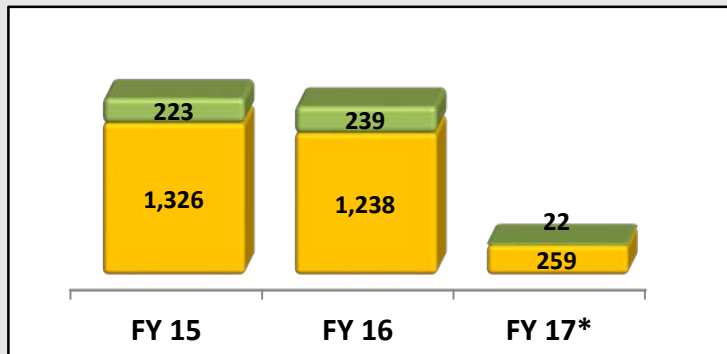
### Narrative:

This pie chart shows the total number of AIA petitions filed in the current fiscal year to date as well as the number and percentage of these petitions broken down by technology.

\*Data current as of: 11/30/2016

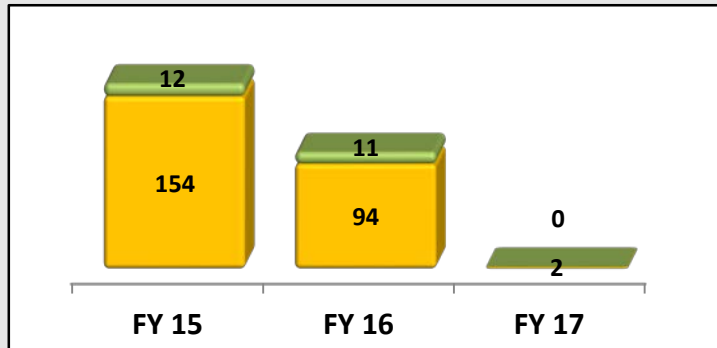


### IPR - Number of Patent Owner Preliminary Responses by Fiscal Year



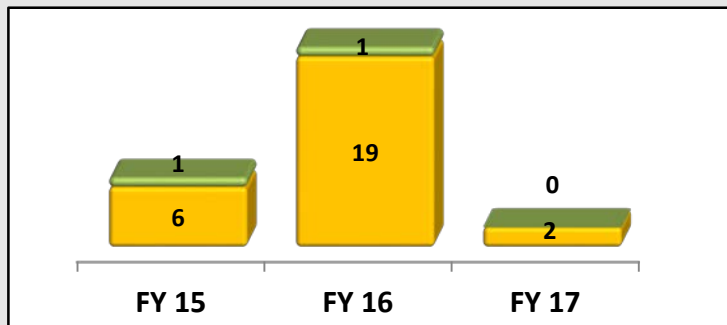
■ Filed ■ Waived/Not Filed

### CBM - Number of Patent Owner Preliminary Responses by Fiscal Year



■ Filed ■ Waived/Not Filed

### PGR - Number of Patent Owner Preliminary Responses by Fiscal Year



■ Filed ■ Waived/Not Filed

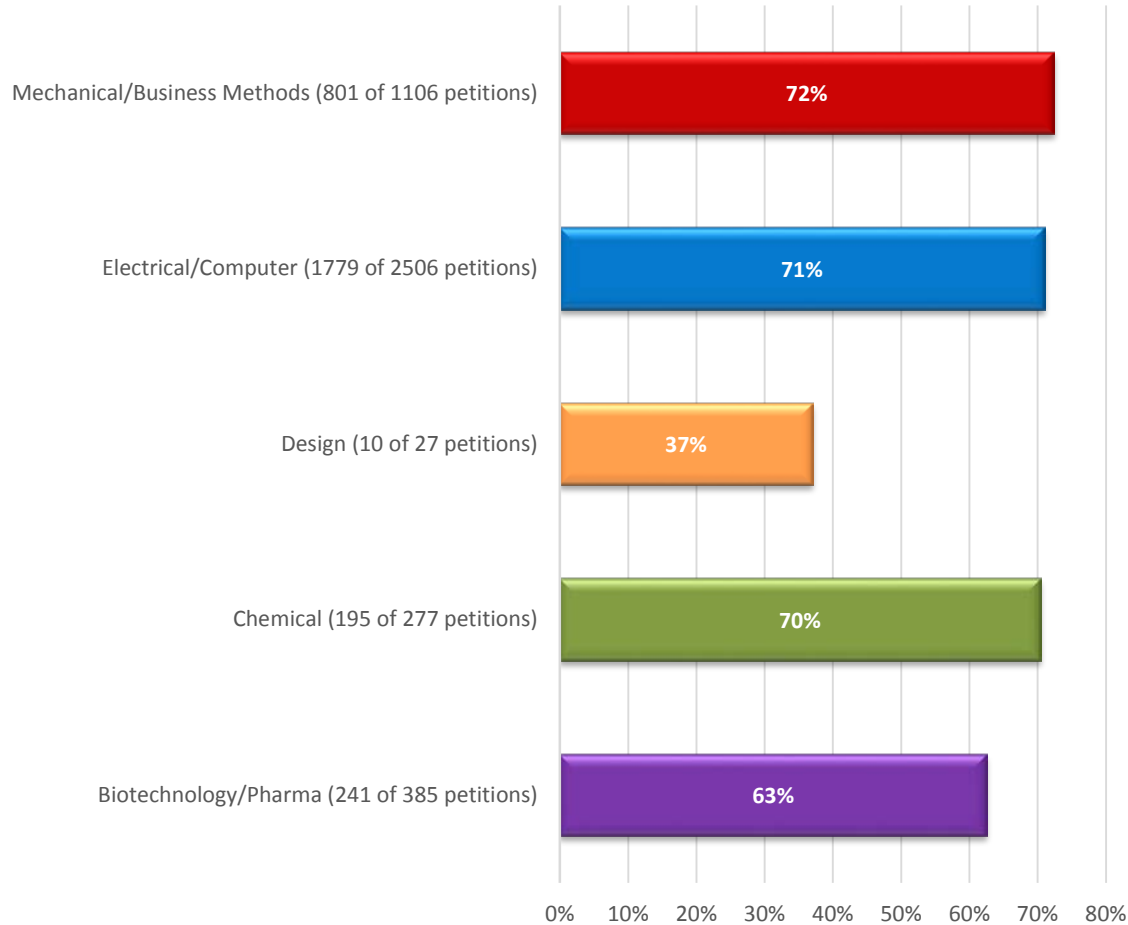
### Narrative:

These three sets of bar graphs show the number of patent owner preliminary responses filed and waived/not filed each fiscal year in IPR, CBM, and PGR proceedings.

\*Data current as of: 11/30/2016



## Percent of Petitions Instituted, by Technology

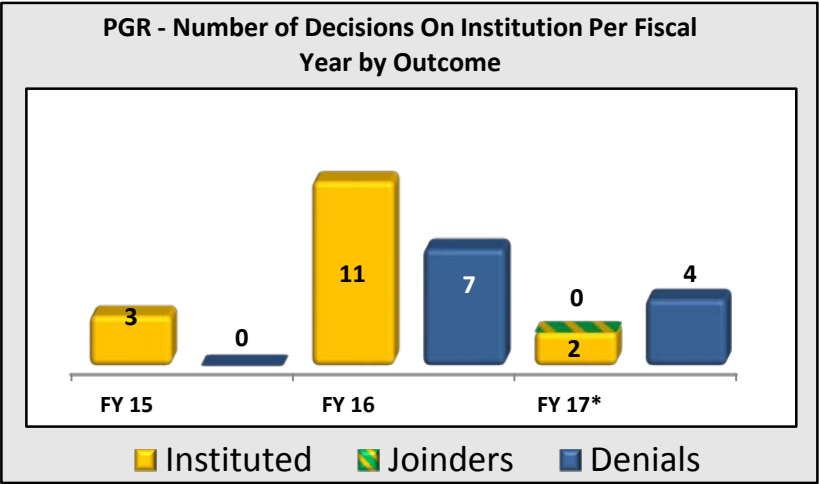
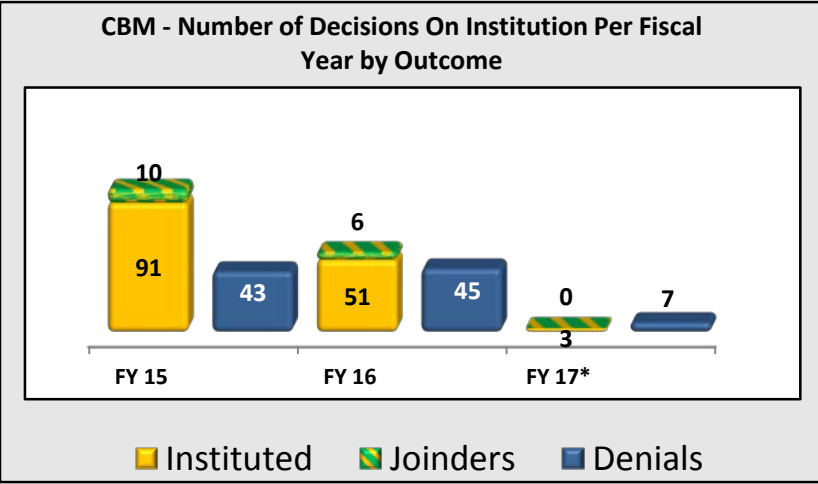
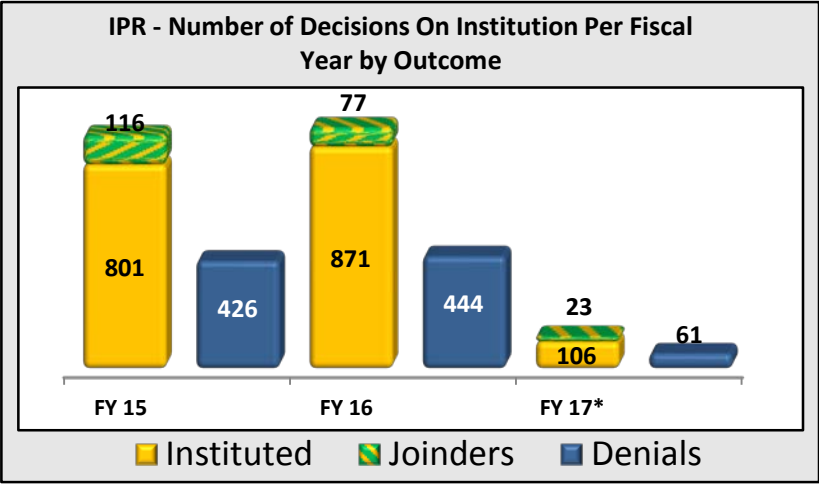


### Narrative:

This chart shows the percentage of petitions instituted of all decisions on petition, by technology area.

**\*Data current as of: 11/30/2016**





**Narrative:**

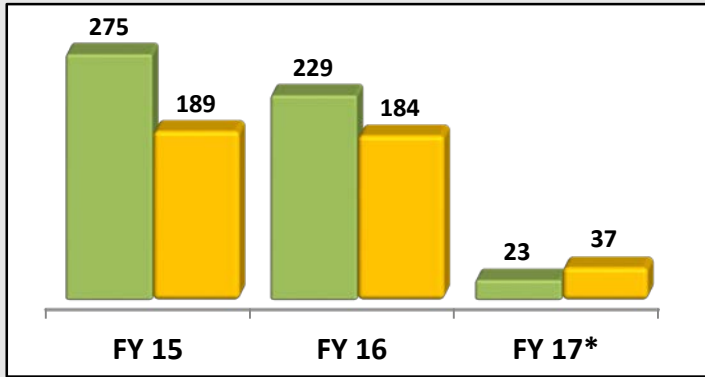
These three sets of bar graphs show the number of decisions on institution by fiscal year broken out by trials instituted (including joinders) and trials denied in IPR, CBM, and PGR proceedings. A trial that is instituted in part is counted as an institution in these bar graphs.

**\*Data current as of: 11/30/2016**



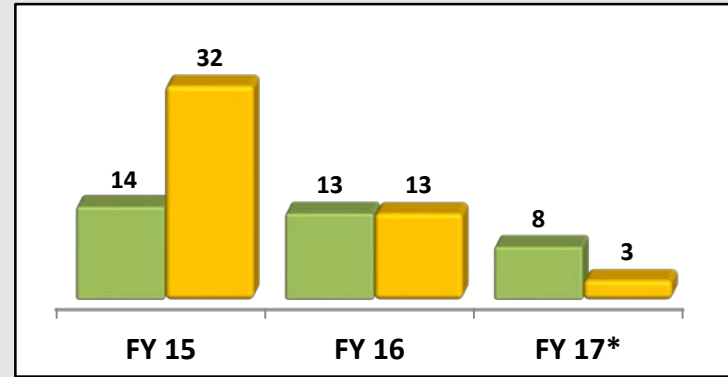


### IPR - Settlements



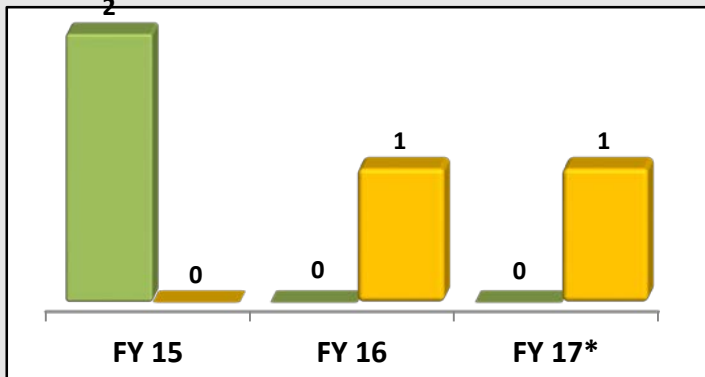
■ Settled Before Institution ■ Settled After Institution

### CBM - Settlements



■ Settled Before Institution ■ Settled After Institution

### PGR - Settlements



■ Settled Before Institution ■ Settled After Institution

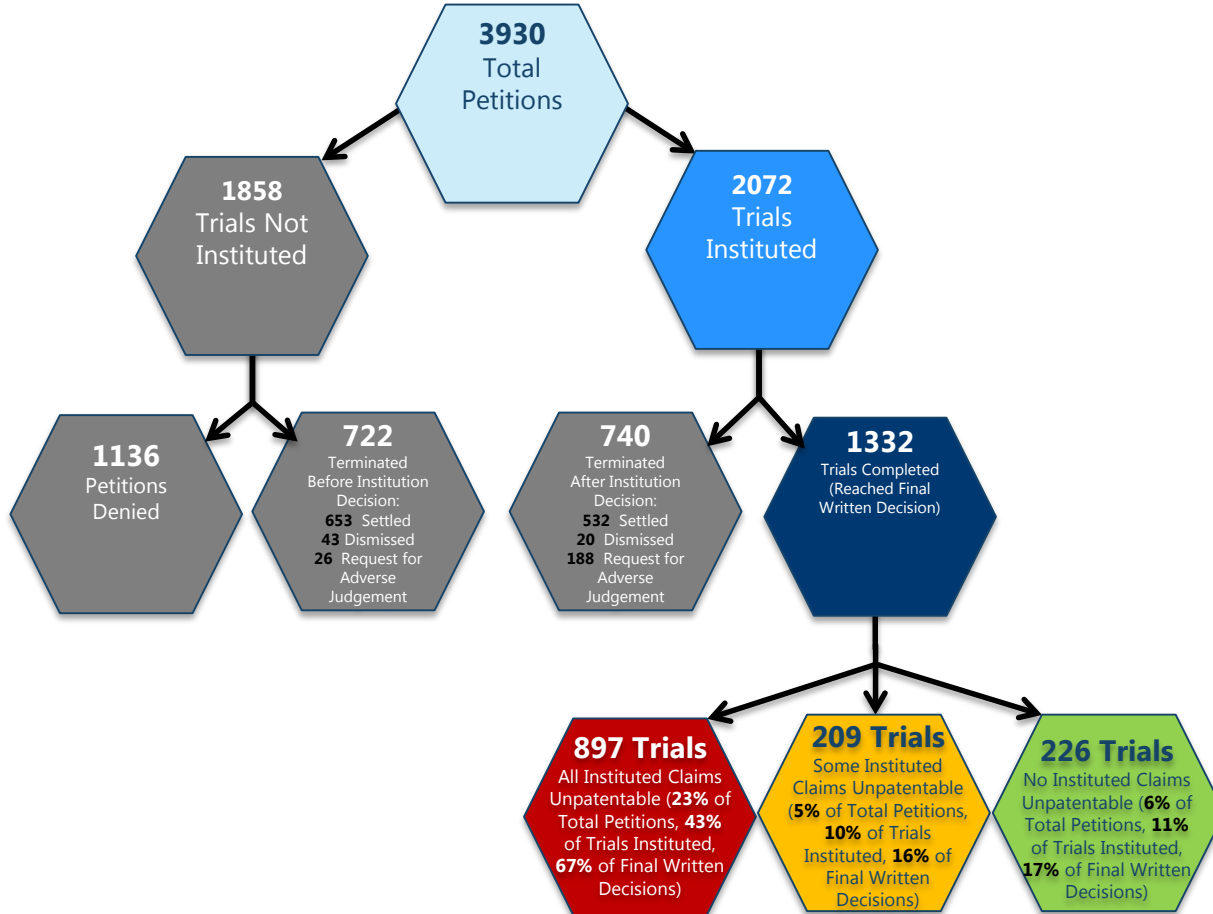
#### Narrative:

These three sets of bar graphs show settlements in AIA trials broken down by settlements that occurred prior to institution and settlements that occurred after institution in IPR, CBM, and PGR proceedings.

\*Data current as of: 11/30/2016



# Disposition of IPR Petitions Completed to Date\*



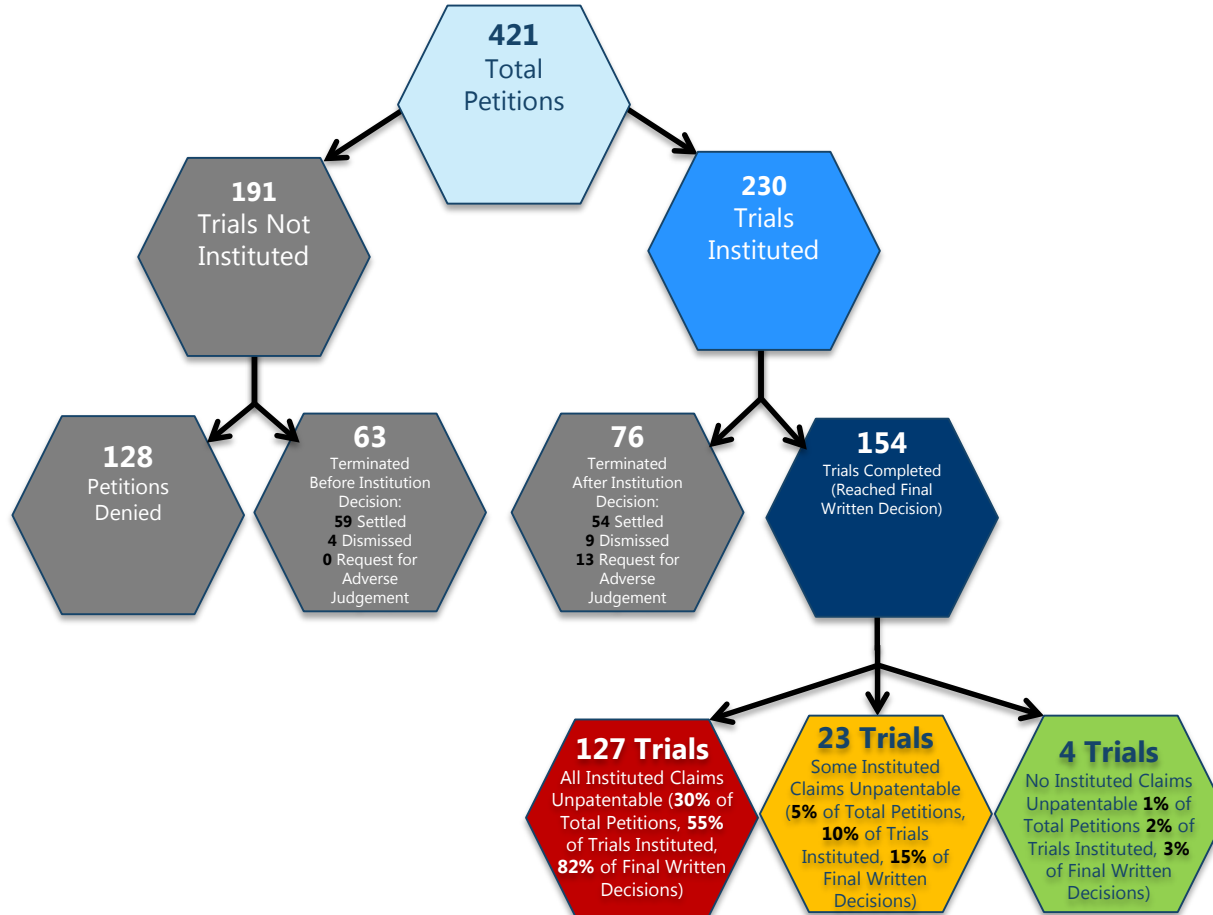
## Narrative:

This graph shows a stepping stone visual depicting the outcomes for all IPR petitions filed to-date that have reached a final disposition.

\*Data current as of: 11/30/2016



# Disposition of CBM Petitions Completed to Date\*



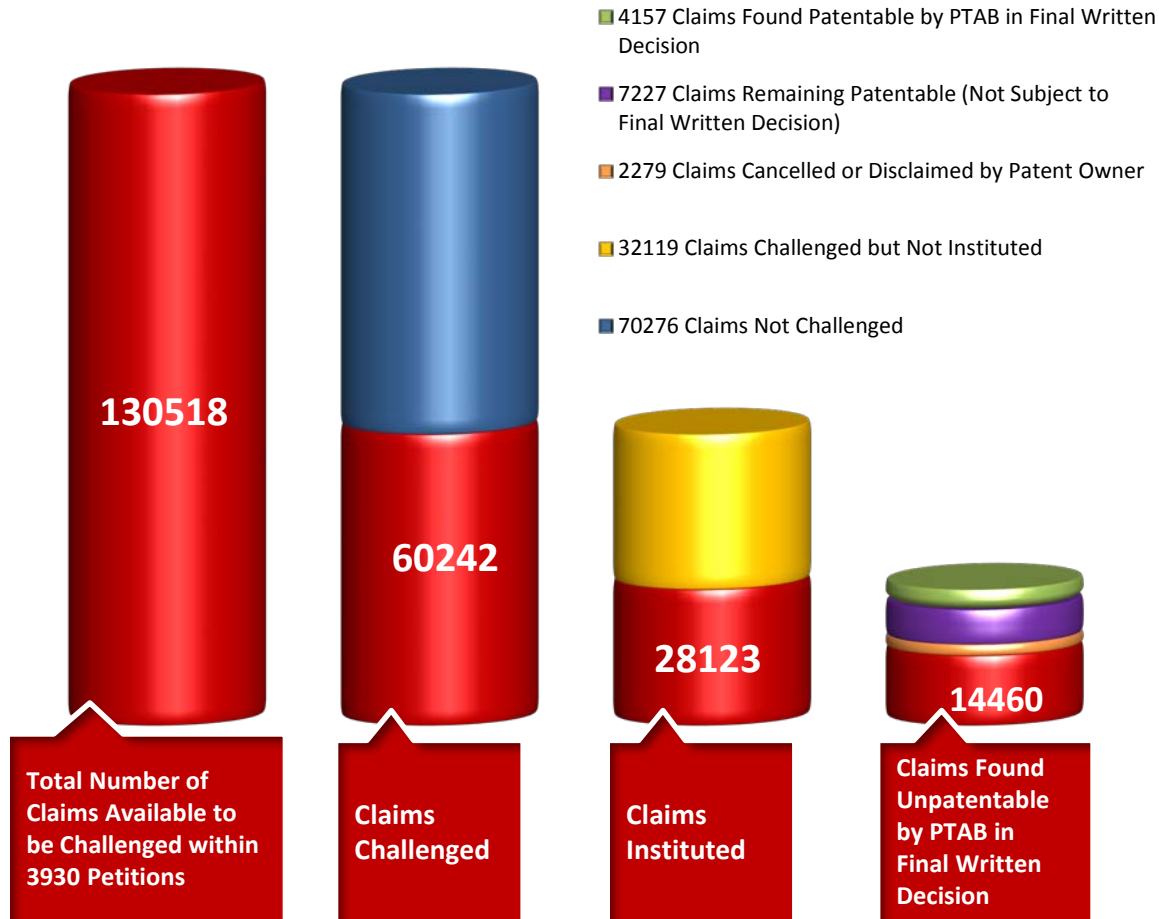
## Narrative:

This graph shows a stepping stone visual depicting the outcomes for all CBM petitions filed to-date that have reached a final disposition.

\*Data current as of: 11/30/2016



## IPR Petitions Terminated to Date\*



### Narrative:

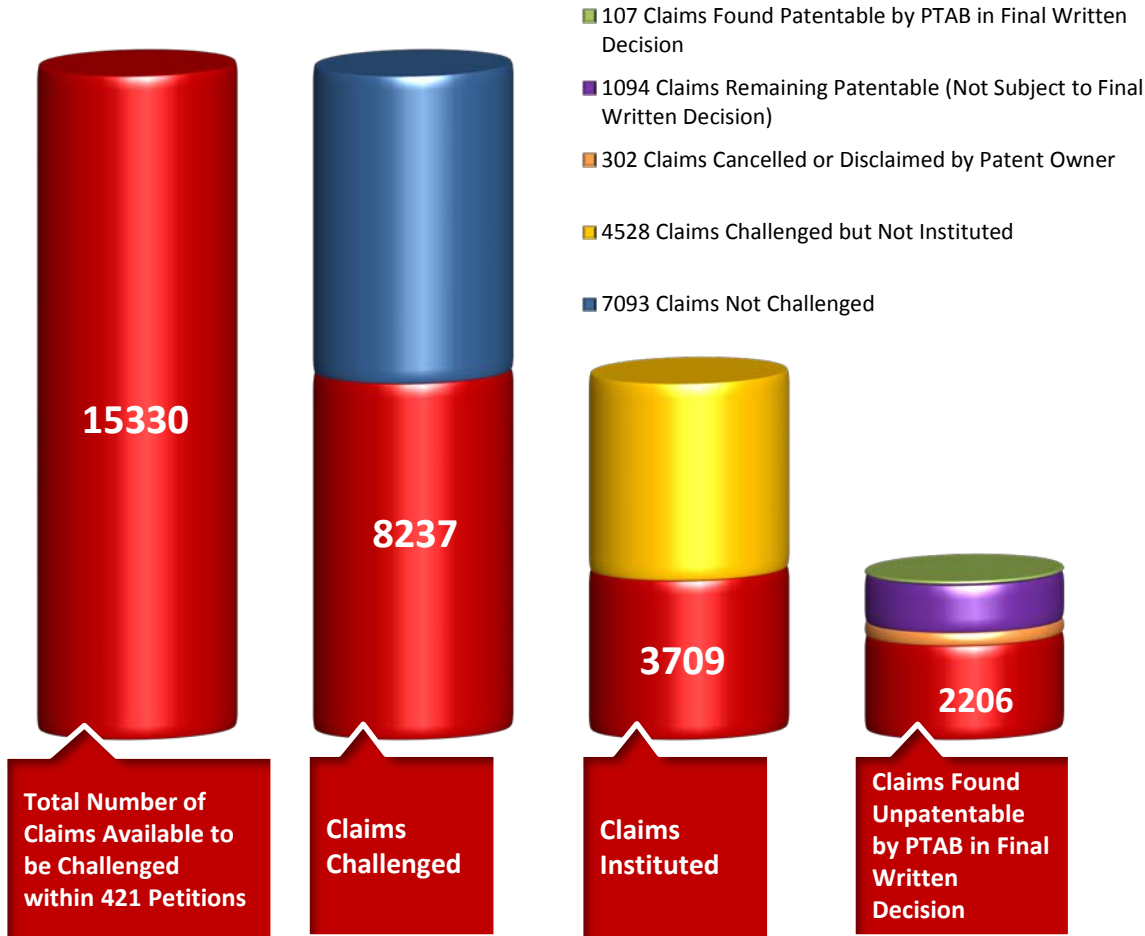
This visual contains four cylinders. The first cylinder shows the total number of claims available to be challenged in the IPR petitions filed. The second cylinder shows the number of claims actually challenged and not challenged. The third cylinder shows the number of claims on which trial was instituted and not instituted. The fourth cylinder shows the total number claims found unpatentable in a final written decision, the number of claims canceled or disclaimed by patent owner after institution, the number of claims remaining patentable (not subject to a final written decision), and the number of claims found patentable by the PTAB.

**Note:** "Completed" petitions include terminations (before or after a decision on institution) due to settlement, request for adverse judgment, or dismissal; final written decisions; and decisions denying institution.

\*Data current as of: 11/30/2016



# CBM Petitions Terminated to Date\*



## Narrative:

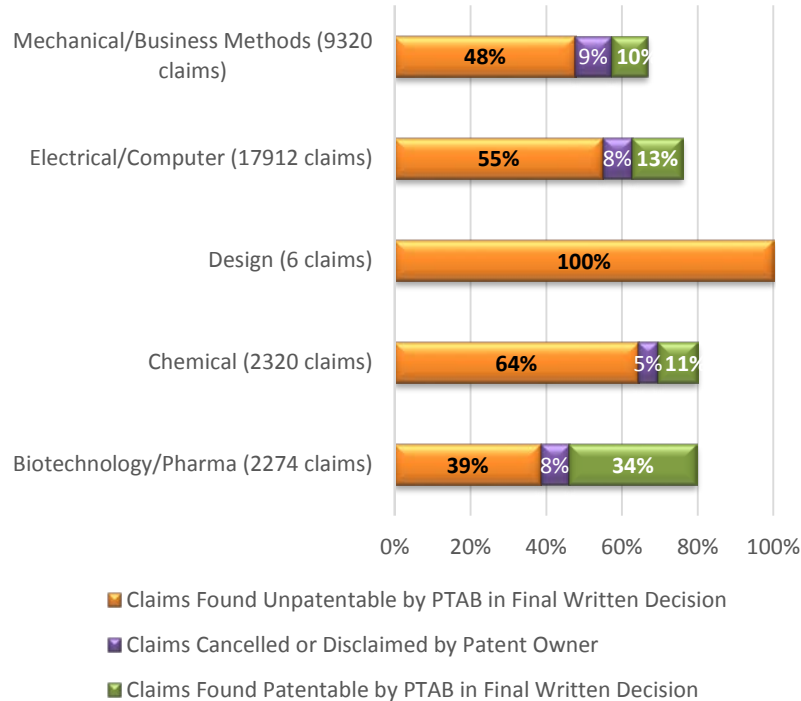
This visual contains four cylinders. The first cylinder shows the total number of claims available to be challenged in the CBM petitions filed. The second cylinder shows the number of claims actually challenged and not challenged. The third cylinder shows the number of claims on which trial was instituted and not instituted. The fourth cylinder shows the total number claims found unpatentable in a final written decision, the number of claims canceled or disclaimed by patent owner after institution, the number of claims remaining patentable (not subject to a final written decision), and the number of claims found patentable by the PTAB.

**Note:** "Completed" petitions include terminations (before or after a decision on institution) due to settlement, request for adverse judgment, or dismissal; final written decisions; and decisions denying institution.

\*Data current as of: 11/30/2016



## Trial Outcomes for Instituted Claims, by Technology



\* Includes IPR and CBM trial outcomes

### Narrative:

This chart shows claim outcomes for instituted trials, by technology area.

**Note:** Claims involved in instituted trials that settle or are dismissed are not depicted. Accordingly, a bar may not add up to 100%.

**\*Data current as of: 11/30/2016**



