# United States Patent and Trademark Office
# Fiscal Year 2027 Congressional Submission

## April 2026

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**DEPARTMENT OF COMMERCE**
**UNITED STATES PATENT AND TRADEMARK OFFICE**
**Budget Estimates, FY 2027**
**Congressional Submission**
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## Description/Scope of Responsibilities

The United States Patent and Trademark Office (USPTO) is an agency within the U.S. Department of Commerce (DOC). The Under Secretary of Commerce for Intellectual Property and Director of the USPTO leads the agency and consults the Patent Public Advisory Committee (PPAC) and the Trademark Public Advisory Committee (TPAC) on agency policies, goals, performance, budgets, and user fees. The Commissioner for Patents oversees the Patents organization, and the Commissioner for Trademarks oversees the Trademarks organization. The Commissioners, whom the Secretary of Commerce appoints, enter into annual performance agreements with the Secretary that detail their measurable organizational goals.

The USPTO's interim mission is to grant timely and durable patents, register timely and reliable trademarks, and promote innovation, investment, and economic growth. That interim mission is accomplished via two distinct programs—Patents and Trademarks—that administer patent and trademark laws to ensure robust, reliable, and expansive intellectual property (IP) protections. The USPTO is a demand-driven, fee-funded, performance-based agency committed to delivering balanced IP protections and information to all its stakeholders, including inventors, entrepreneurs, businesses, IP organizations, and international entities.

The USPTO estimates that it will employ 15,212 (14,752 full-time equivalent (FTE)) federal employees, including patent examiners, trademark examining attorneys, information technology (IT) specialists, attorneys, and other administrative staff, in Fiscal Year (FY) 2027. The USPTO's employees perform the inherently governmental functions of issuing patents and registering trademarks, as well as providing domestic and global IP leadership. Third-party contractors perform several mission support activities that are not inherently governmental.

The USPTO is headquartered in Alexandria, Virginia, and has five regional outreach offices: the Northeast Regional Outreach Office and Southeast Regional Outreach Office, both in Alexandria, Virginia; the Elijah J. McCoy Midwest Regional Outreach Office in Detroit, Michigan; the Southwest Regional Outreach Office in Dallas, Texas; and the Western Regional Outreach Office in San Jose, California. During FY 2025, the USPTO established the Northern New England Community Outreach Office in Strafford County, New Hampshire, and during FY 2026, announced Bozeman, Montana, and Salt Lake City, Utah, as the locations of two new community engagement offices to serve the Rocky Mountain region. Also, during FY 2026, the USPTO established a presence in the Department of Commerce National Artificial Intelligence Center in San Francisco, California. The agency continues to evaluate locations for at least one additional community engagement office, as directed by the Unleashing American Innovators Act of 2022 (UAIA) (Pub. L. 117-328).

Exhibits 32 and 33 contain the USPTO's legislative authorities.

## Disclaimer

Please be advised that due to rounding, the numbers presented in tables throughout this document may not add up precisely to the totals provided, and percentages may not precisely reflect absolute figures.

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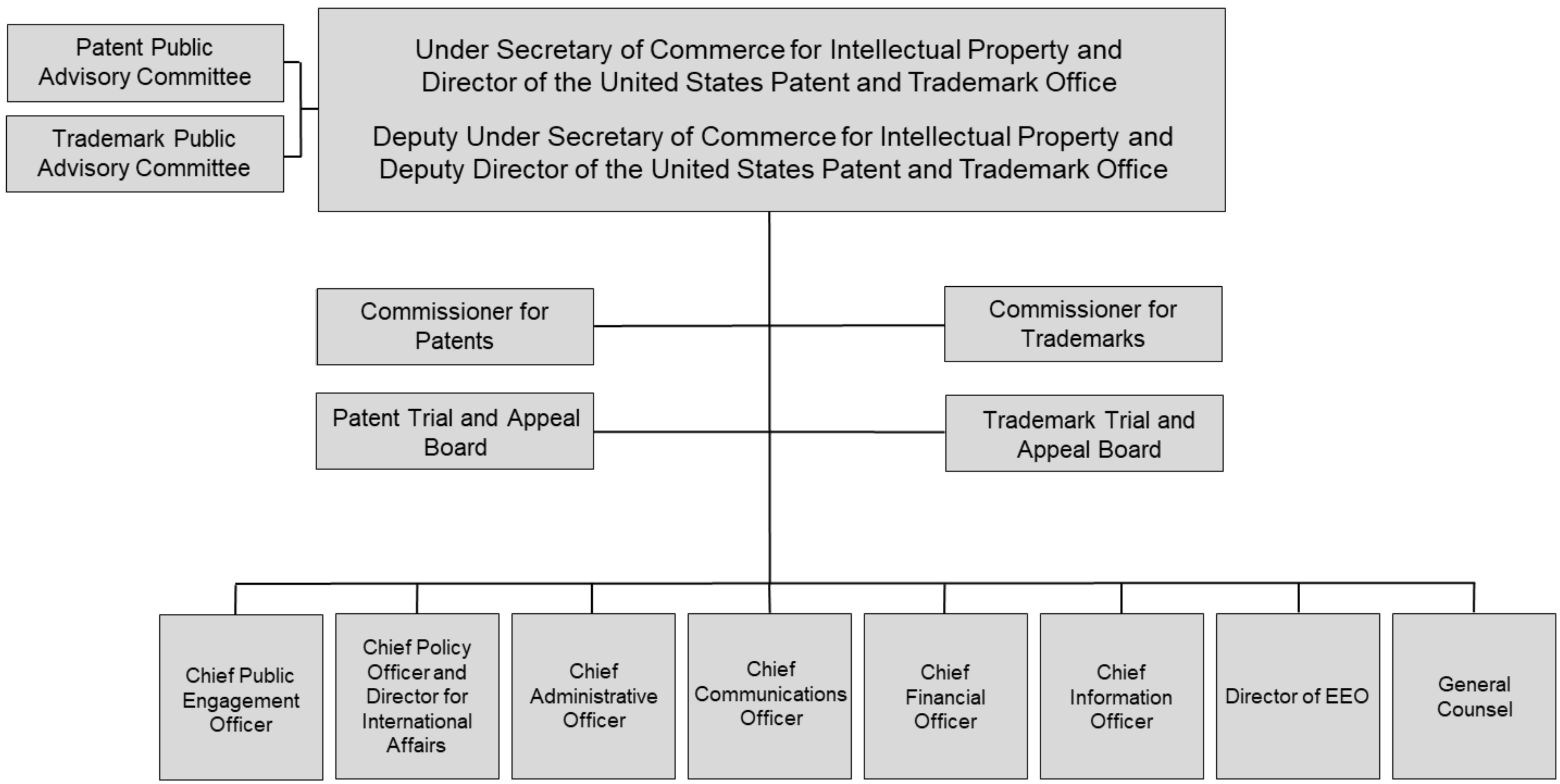
**Department of Commerce**
**United States Patent and Trademark Office**

# UNITED STATES PATENT AND TRADEMARK OFFICE



**Department of Commerce**
**United States Patent and Trademark Office**
**Budget Estimates, FY 2027**
**Executive Summary**

| USPTO Operating Levels for FY 2027 | | | |
|---|---|---|---|
| *Dollars in millions* | **Patents** | **Trademarks** | **Total** |
| **Estimated Fee Collections (Appropriation/Authority)** | **$4,473** | **$687** | **$5,160** |
| Other Income | $50 | $5 | $55 |
| Operating Reserve, Beginning of Year | $1,339 | $239 | $1,578 |
| **Total Estimated Funds Available** | **$5,862** | **$931** | **$6,793** |
| Estimated Spending | ($4,304) | ($663) | ($4,967) |
| Operating Reserve EOY Balance | $1,557 | $269 | $1,826 |
| Transfer (to)/from PTFRF | $0 | $0 | $0 |
| **Total Operating Reserve and PTFRF, End of Year** | **$1,557** | **$269** | **$1,826** |
| **Authorized Positions** | **13,469** | **1,743** | **15,212** |

*Due to rounding, the numbers presented above may not add up exactly to the totals provided.*

The USPTO's FY 2027 Budget (Budget) estimates agency fee collections of $5,160 million, consisting of $4,473 million in patent fees and $687 million in trademark fees. The USPTO also expects to collect $55 million in other income, such as reimbursements. Estimated spending is $4,967 million—consisting of $4,304 million for the Patent Program and $663 million for the Trademark Program—which supports 15,212 positions (14,752 FTE). During FY 2027, the USPTO will add $248 million to the combined operating reserves. The patent operating reserve will increase by $219 million, and the trademark operating reserve will increase by $29 million. The agency requests appropriation authority to spend the full fee collection estimate of $5,160 million to offset budgetary requirements (estimated spending and operating reserve deposits). Under this request, the USPTO's FY 2027 net appropriation is $0. **Further, absent congressional action, the agency's AIA fee setting authority will expire on September 15, 2026.**

The USPTO predicated the Budget on workload and fee collection estimates derived from agency production and workload models, as well as relevant indicators of economic and IP activity. In FY 2027, the USPTO estimates that serialized (original) patent applications will increase by 2.0% over projected FY 2026 application filing levels, and trademark applications will increase by 5.2%. These forecasts are inherently uncertain; the actual demand for patent and trademark services could be higher or lower based on changing economic conditions. The USPTO must spend fee collections to meet the actual demand for services.

As America's Central Bank of Innovation, the USPTO is focused on returning to its core mission of examination. The Budget funds expanded capacity for Patents and Trademarks to improve performance metrics and strategically balance examination capacity with unexamined inventory and application demand levels. This renewed focus on performance will reinforce the USPTO's role as America's innovation agency and the greatest IP office in the world. Additionally, the Budget will provide funding for the USPTO to (a) accelerate the use of artificial intelligence (AI)—the most transformative technology of our time—in patent and trademark examination processes; (b) implement other technological innovations to promote efficiencies via automation and innovation; (c) identify and prevent fraudulent and abusive practices, including those of sophisticated cyber adversaries; (d) cultivate evidence-based information in the knowledge economy; and (e) provide resources for Administration and other mission-critical agency priorities.

In accordance with presidential Executive Orders (EOs) related to AI, workforce optimization, cost efficiency, and streamlining operations, the Budget finances an aggressive, cost-effective strategy for reducing patent and trademark pendency and application inventory. Aggregate fee collections will meet budgetary requirements and support continued patent examination improvements to address the pendency emergency, which peaked at more than 830,000 unexamined patent applications. Improvement measures introduced during FY 2025 decreased this figure to 788,000 (a reduction of approximately 5%) at year end, and patent production output exceeded incoming application filings at the end of FY 2025. Through the use of AI-supported examination, including pilot programs designed to introduce greater efficiencies into examination processes, the USPTO expects to make additional year-over-year improvements, with the goal of virtually eliminating the unexamined patent application inventory. In addition, the Budget uses fee collections to fund additional examination capacity through a targeted expansion of the patent examiner corps and the use of production incentives to reach performance targets.

Fee collections will also allow the USPTO to continue to implement its trademark pendency reduction plan, increase trademark examination capacity, and maintain focus on achieving its trademark first action pendency goal of 4.0 months by FY 2028. The agency projects that unexamined trademark inventory will decrease annually through FY 2027, and that inventory-to-examiner ratios will reach targeted levels during FY 2027. Additionally, the Budget funds programs designed to improve patent quality and durability, trademark quality, and the agency’s ability to combat fraud, all while shortening the time to market for brands and inventions.

To mitigate the risk of uncertain demand, the USPTO maintains two operating reserves: a patent operating reserve and a trademark operating reserve. The operating reserves are a “best practice” tool for user fee-funded government agencies like the USPTO. The operating reserves enable the USPTO to align fees and costs over a longer horizon and to improve the agency’s preparation for, and adjustment to, fluctuations in actual fee collections, demand, and spending. Depositing a portion of annual fee collections into the operating reserves, such that the balances are available to finance USPTO operations in the long term or in the event of unexpected economic fluctuations, is a USPTO budgetary requirement.

The USPTO is committed to fiscal responsibility and makes prudent decisions to align spending priorities with projected fee collections while meeting workload requirements and maintaining sufficient operating reserve levels through the planning horizon. Fee setting authority, included in the 2011 Leahy-Smith America Invents Act (AIA) (Pub. L. 112-29) and extended in the Study of Underrepresented Classes Chasing Engineering and Science Success Act of 2018 (Pub. L. 115-273), enables the USPTO to set and adjust fees to align with costs. The AIA also created a successful framework to provide the USPTO full access to fee collections. This authority to adjust both patent and trademark user fees via the regulatory rulemaking process enables the USPTO to set fees at an appropriate level to recover the aggregate costs of its operations, including investments in strategic agency goals, and to respond to changing legislative requirements and market conditions.

Budget Highlights

The USPTO's FY 2027 estimated spending is $4,967 million, including the $2.45 million required for the DOC Office of Inspector General (OIG) transfer. This figure is a $146 million net increase over the agency's FY 2026 estimated spending of $4,821 million. The net increase includes an upward adjustment of $157 million for prescribed inflation and other adjustments to base and a $12.3 million downward adjustment in program spending, accounting for other realized efficiencies.

Performance

Current Government Performance and Results Act targets can be found in the Annual Performance Plan and Report (APPR) and the APPR backup, see Appendix VI.

Adjustments

*Inflationary adjustments*

The USPTO's FY 2027 base includes a total of $4,977 million and 14,646 positions (14,430 FTE). The agency calculated inflationary adjustments to current USPTO programs and activities from these levels. These adjustments include an estimated 0% civilian pay raise in FY 2027 and 2.1% inflationary increases for labor and non-labor activities, including benefits, service contracts, utilities, and lease payments.

# TOTAL BUDGET AND FINANCING

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**Department of Commerce**
**United States Patent and Trademark Office**
**FY 2027 PROGRAM INCREASES / DECREASES / TERMINATIONS**
(Dollar amounts in thousands; by appropriation, largest to smallest)

## Increases

| Page No. | Appropriations | Budget Program | Title of Increase | Positions | Budget Authority |
|---|---|---|---|---|---|
| USPTO-25 | Salaries and Expenses | Patent Program | Patent Examining | 542 | 19,142 |
| USPTO-43 | Salaries and Expenses | Trademark Program | Trademark Examining | 24 | 8,688 |
| USPTO-66 | Salaries and Expenses | Cross-Cutting Functions | Miscellaneous General Expense (MGE) | - | 2,863 |
| | Subtotal, Increases | | | 566 | 30,693 |

**Department of Commerce**
**United States Patent and Trademark Office**
**FY 2027 PROGRAM INCREASES / DECREASES / TERMINATIONS**
(Dollar amounts in thousands; by appropriation, largest to smallest)

**Decreases**

| Page No. | Appropriations | Budget Program | Title of Decrease | Positions | Budget Authority |
|---|---|---|---|---|---|
| USPTO-62 | Salaries and Expenses | Cross-Cutting Functions | Global Intellectual Property Academy (GIPA) | - | (38) |
| USPTO-27 | Salaries and Expenses | Patent Program | Patent Trial and Appeals | - | (48) |
| USPTO-64 | Salaries and Expenses | Cross-Cutting Functions | Legal Services | - | (90) |
| USPTO-43 | Salaries and Expenses | Trademark Program | Trademark Trial and Appeals | - | (130) |
| USPTO-62 | Salaries and Expenses | Cross-Cutting Functions | Policy, International Engagement, and Operational Support | - | (152) |
| USPTO-63 | Salaries and Expenses | Cross-Cutting Functions | Executive Direction and Communications | - | (291) |
| USPTO-63 | Salaries and Expenses | Cross-Cutting Functions | Financial Management Services | - | (562) |
| USPTO-44 | Salaries and Expenses | Trademark Program | Trademark Information Resources | - | (1,293) |
| USPTO-64 | Salaries and Expenses | Cross-Cutting Functions | Human Resource and Administrative Services | - | (2,823) |
| USPTO-28 | Salaries and Expenses | Patent Program | Patent Information Resources | - | (2,829) |
| USPTO-64 | Salaries and Expenses | Cross-Cutting Functions | Cross-Cutting Functions Information Resources | - | (4,511) |
| USPTO-65 | Salaries and Expenses | Cross-Cutting Functions | IT Infrastructure and IT Support Services | - | (8,590) |
| USPTO-62 | Salaries and Expenses | Cross-Cutting Functions | IPR Attaché Program* | - | (21,622) |
| | Subtotal, Decreases | | | - | (42,980) |

*The IP Attaché program is funded bi-annually for a 2-year period, causing a negative program change impact every other year. This does not reflect a decrease to program activities.

**Department of Commerce**
**United States Patent and Trademark Office**
**FY 2027 TRANSFER SUMMARY TABLE**
(Dollar amounts in thousands)

## Transfers

| **Page No.** | Budget Program | Appropriations | Title of Transfer | Positions | Budget Authority |
|---|---|---|---|---|---|
| USPTO–74 | Cross-Cutting Functions Program | Salaries and Expenses | Transfer to the DOC OIG | - | (2,450) |
| | **Subtotal, Transfers** | | | - | (2,450) |

# Department of Commerce
# United States Patent and Trademark Office
# Salaries and Expenses
# SUMMARY OF RESOURCE REQUIREMENTS
(Dollar amounts in thousands)

| | Positions | FTE | Budget Authority | Total Obligations |
|---|---|---|---|---|
| Available Appropriation, 2026 | 14,646 | 13,967 | - | 4,819,948 |
| 2027 Adjustments to Base | | | | |
| Plus: Restoration of recoveries/unobligated balances | | | | |
| Plus: Inflationary adjustments to base | (0) | 463 | - | 157,428 |
| 2027 Base | 14,646 | 14,430 | - | 4,977,376 |
| Plus: 2027 Program changes | 566 | 322 | - | (12,287) |
| 2027 Estimate | 15,212 | 14,752 | - | 4,965,089 |

| Comparison by activity / subactivity with totals by activity | | | 2025 Actual | | 2026 Enacted | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| USPTO - 16 | Patents | Pos/BA | 12,301 | 3,796,718 | 12,926 | 4,181,365 | 12,927 | 4,309,190 | 13,469 | 4,302,469 | 542 | (6,721) |
| | | FTE/Obl | 11,843 | - | 12,325 | - | 12,715 | - | 12,983 | - | 268 | - |
| USPTO - 33 | Trademarks | Pos/BA | 1,506 | 537,852 | 1,720 | 638,583 | 1,719 | 668,185 | 1,743 | 662,619 | 24 | (5,566) |
| | | FTE/Obl | 1,508 | - | 1,642 | - | 1,715 | - | 1,769 | - | 54 | - |
| | Total | Pos/BA | 13,807 | 4,334,570 | 14,646 | 4,819,948 | 14,646 | 4,977,376 | 15,212 | 4,965,089 | 566 | (12,287) |
| | | FTE/Obl | 13,351 | - | 13,967 | - | 14,430 | - | 14,752 | - | 322 | - |
| | Adjustments for: | | | | | | | | | | | |
| | Offsetting Fee Collections | | | (4,519,714) | - | (4,956,000) | - | (5,160,250) | - | (5,160,250) | - | - |
| | Current Fee Collections Estimate Adjustment* | | | - | - | 1,328 | - | - | - | - | - | - |
| | Other Income / Recoveries | | | (45,506) | - | (76,226) | - | (55,000) | - | (55,000) | - | - |
| | Unobligated Balance, start of | | | | | | | | | | | |
| | Operating Reserve Balance | | | (1,141,892) | - | (1,046,176) | - | (1,578,591) | - | (1,578,591) | - | - |
| | PTFRF Balance | | | | - | (323,915) | - | - | - | - | - | - |
| | Unobligated Balance, end of year: | | | | | | | | | | | |
| | Operating Reserve Balance | | | 1,046,176 | - | 1,578,591 | - | 1,814,016 | - | 1,826,303 | - | 12,287 |
| | PTFRF Balance | | | 323,915 | - | - | - | - | - | - | - | - |
| | Total Budget Authority | | | (2,450) | - | (2,450) | - | (2,450) | - | (2,450) | - | - |
| | Financing from Transfers | | | | | | | | | | | |
| | Transfer from other accounts(-) | | | | | | | | | | | |
| | Transfer to other accounts(+) | | | 2,450 | - | 2,450 | - | 2,450 | - | 2,450 | - | - |
| | Appropriation | | | 0 | | 0 | | 0 | | 0 | | - |

*Adjustment based on current fee estimates in accordance with FY2026 Commerce, Justice, Science; Energy and Water Development; and Interior and Environment Appropriations Act (P.L. 119-74), "Provided, That the sum herein appropriated from the general fund shall be reduced as offsetting collections of fees and surcharges assessed and collected by the USPTO under any law are received during fiscal year 2026, so as to result in a fiscal year 2026 appropriation from the general fund estimated at $0."

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**SUMMARY OF RESOURCE REQUIREMENTS**
(Dollar amounts in thousands)

| **Comparison by activity:** | | | 2027 Estimate | | 2028 Estimate | | 2029 Estimate | | 2030 Estimate | | 2031 Estimate | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| USPTO - 16 | Patents | Pos/BA | 13,469 | 4,302,469 | 13,637 | 4,536,661 | 13,817 | 4,665,717 | 13,823 | 4,863,496 | 13,826 | 4,993,652 |
| | | FTE/Obl | 12,983 | - | 13,341 | - | 13,512 | - | 13,608 | - | 13,613 | - |
| USPTO - 33 | Trademarks | Pos/BA | 1,743 | 662,619 | 1,762 | 704,396 | 1,780 | 715,584 | 1,824 | 760,277 | 1,867 | 780,451 |
| | | FTE/Obl | 1,769 | - | 1,790 | - | 1,810 | - | 1,840 | - | 1,885 | - |
| | Total | Pos/BA | 15,212 | 4,965,089 | 15,399 | 5,241,057 | 15,597 | 5,381,301 | 15,647 | 5,623,774 | 15,693 | 5,774,103 |
| | | FTE/Obl | 14,752 | - | 15,131 | - | 15,321 | - | 15,449 | - | 15,498 | - |
| | Adjustments for: | | | | | | | | | | | |
| | Offsetting Fee Collections | | | (5,160,250) | - | (5,197,574) | - | (5,193,049) | - | (5,300,147) | - | (5,551,399) |
| | Other Income / Recoveries | | | (55,000) | - | (55,000) | - | (55,000) | - | (55,000) | - | (55,000) |
| | Unobligated balance, start of year: | | | | | | | | | | | |
| | Operating Reserve Balance | | | (1,578,591) | - | (1,826,303) | - | (1,835,370) | - | (1,699,668) | - | (1,428,592) |
| | PTFRF Balance | | | - | | - | | - | | - | | - |
| | Unobligated balance, end of year: | | | | | | | | | | | |
| | Operating Reserve Balance | | | 1,826,303 | - | 1,835,370 | - | 1,699,668 | - | 1,428,592 | - | 1,258,438 |
| | PTFRF Balance | | | - | | - | | - | | - | | - |
| | Total Budget Authority | | | (2,450) | - | (2,450) | - | (2,450) | - | (2,450) | - | (2,450) |
| | Financing from Transfers | | | | | | | | | | | |
| | Transfer from Other Accounts(-) | | | | | | | | | | | |
| | Transfer to Other Accounts(+) | | | 2,450 | - | 2,450 | - | 2,450 | - | 2,450 | - | 2,450 |
| | Appropriation | | | 0 | | 0 | | 0 | | 0 | | 0 |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**SUMMARY OF FINANCING**
(Dollar amounts in thousands)

| | FY 2025 Actual | FY 2026 Enacted | FY 2027 Base | FY 2027 Estimate | Increase/ Decrease from 2027 Base |
|---|---|---|---|---|---|
| Total Obligations | 4,334,570 | 4,819,948 | 4,977,376 | 4,965,089 | (12,287) |
| Offsetting Collections From: | | | | | |
| Federal Funds | - | - | - | - | - |
| Trust Funds | - | - | - | - | - |
| Non-Federal Sources (User Fee Collections) | (4,519,714) | (4,956,000) | (5,160,250) | (5,160,250) | - |
| Current Fee Collections Estimate Adjustment* | - | 1,328 | - | - | - |
| Other Income | (2,303) | (6,600) | (6,600) | (6,600) | - |
| Recoveries | (43,202) | (69,626) | (48,400) | (48,400) | - |
| Unobligated balance, start of year | (1,141,892) | (1,370,091) | (1,578,591) | (1,578,591) | - |
| Unobligated balance, transferred | - | - | - | - | - |
| Unobligated balance, end of year | 1,370,091 | 1,578,591 | 1,814,016 | 1,826,303 | 12,287 |
| Unobligated balance, expiring | - | - | - | - | - |
| Budget Authority | (2,450) | (2,450) | (2,450) | (2,450) | - |
| Financing: | | | | | |
| Transfer from other accounts(-) | - | - | - | - | - |
| Transfer to other accounts(+) | 2,450 | 2,450 | 2,450 | 2,450 | - |
| Appropriation | 0 | 0 | 0 | 0 | 0 |

*Adjustment based on current fee estimates in accordance with FY2026 Commerce, Justice, Science; Energy and Water Development; and Interior and Environment Appropriations Act (P.L. 119-74), “Provided, That the sum herein appropriated from the general fund shall be reduced as offsetting collections of fees and surcharges assessed and collected by the USPTO under any law are received during fiscal year 2026, so as to result in a fiscal year 2026 appropriation from the general fund estimated at $0.”

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**ADJUSTMENTS TO BASE**
(Dollar amounts in thousands)

| | FTE | Amount |
|---|---|---|
| Transfers of Estimates | - | - |
| Adjustments | - | - |
| Financing | - | - |
| | - | - |
| Other Changes: | | |
| 2026 Pay Raise | | 7,307 |
| 2027 Pay Adjustment | | - |
| Full-year cost in 2027 of positions financed for part-year in 2026 | 463 | 59,902 |
| Other Compensation Adjustments | | 6,797 |
| Change in compensable days | | - |
| Civil Service Retirement System (CSRS) | | (139) |
| Federal Employees Retirement System (FERS) | | 6,432 |
| Thrift Savings Plan (TSP) | | 4,147 |
| Federal Insurance Contribution Act (FICA) - OASDI | | 1,908 |
| Health Insurance | | 19,246 |
| Employee Compensation Fund | | - |
| Post-Retirement Benefits to OPM | | 17,353 |
| Travel | | 170 |
| Rental payments to GSA | | 407 |
| GSA Furniture and IT Program (FIT) | | (1) |
| Postage (Included in GPL adjustment) | | 57 |
| Working Capital Fund, Departmental Management | | 4,271 |
| Cyber Security (Non-Add in WCF) | | 12,896 |
| National Archives and Records Administration (NARA) | | (20) |
| General Pricing Level Adjustment | | 29,040 |
| Telecommunications Services – Enterprise Infrastructure Services (EIS) | | - |
| Enterprise Services | | - |
| HCHB Utilities | | - |
| Commerce Business System (CBS) | | - |
| Federal Protective Service | | 550 |
| Printing and Reproduction | | - |
| Subtotal, Other Changes | 463 | 157,428 |
| Total, Adjustments to Base | 463 | 157,428 |

# PATENT PROGRAM

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS**
(Dollar amounts in thousands)

Activity: Patent Program

| Sub-Activity: | | 2025 Actual | | 2026 Enacted | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Patent Examining | Pos./BA | 10,834 | 2,766,039 | 11,200 | 2,982,731 | 11,200 | 3,063,432 | 11,742 | 3,082,575 | 542 | 19,142 |
| | FTE/Obl | 10,331 | - | 10,704 | - | 10,989 | - | 11,257 | - | 268 | - |
| Patent Trial and Appeals | Pos./BA | 309 | 86,790 | 348 | 83,248 | 348 | 89,404 | 348 | 89,356 | - | (48) |
| | FTE/Obl | 314 | - | 313 | - | 346 | - | 346 | - | - | - |
| Patent Information Resources | Pos./BA | 138 | 138,921 | 175 | 161,130 | 174 | 165,940 | 174 | 163,110 | - | (2,829) |
| | FTE/Obl | 136 | - | 162 | - | 171 | - | 171 | - | - | - |
| Subtotal Direct | Pos./BA | 11,281 | 2,991,750 | 11,723 | 3,227,110 | 11,722 | 3,318,776 | 12,264 | 3,335,040 | 542 | 16,265 |
| | FTE/Obl | 10,781 | - | 11,179 | - | 11,506 | - | 11,774 | - | 268 | - |
| Cross Cutting Functions-Allocated | Pos./BA | 1,020 | 804,968 | 1,203 | 954,255 | 1,205 | 990,415 | 1,205 | 967,429 | - | (22,986) |
| | FTE/Obl | 1,062 | - | 1,146 | - | 1,209 | - | 1,209 | - | - | - |
| Total | Pos./BA | 12,301 | 3,796,718 | 12,926 | 4,181,365 | 12,927 | 4,309,190 | 13,469 | 4,302,469 | 542 | (6,721) |
| | FTE/Obl | 11,843 | - | 12,325 | - | 12,715 | - | 12,983 | - | 268 | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**JUSTIFICATION OF PROGRAM AND PERFORMANCE**
(Dollar amounts in thousands)

Activity: Patent Program

## Goal Statement

The Patent Program carries out the USPTO's mission by optimizing patent quality and timeliness in accordance with laws, regulations, and practices.

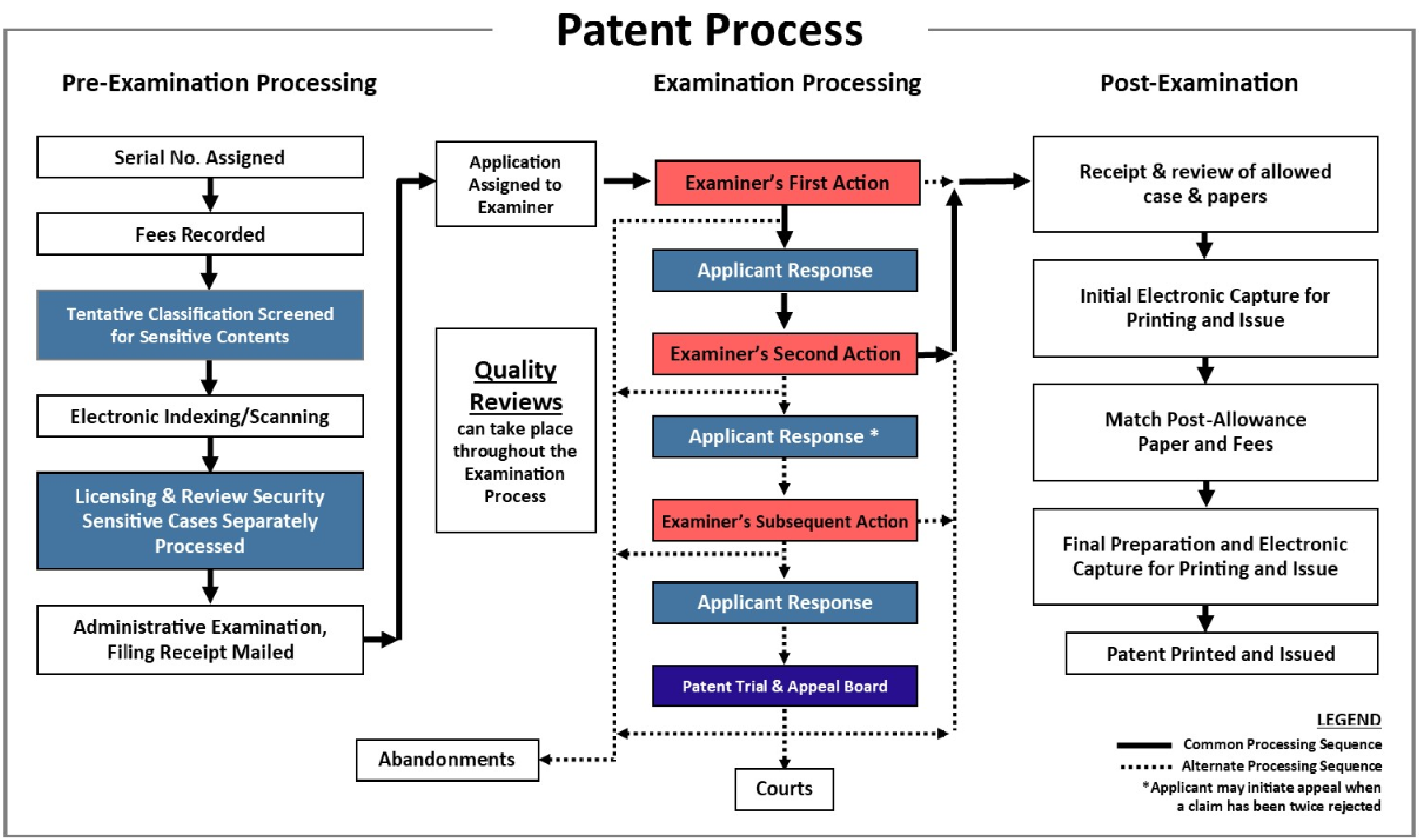
## Base Program

The Patent Program consists of the activities of the patent examining function and the Patent Trial and Appeal Board (PTAB), with support from the patent information resources function, which provides the IT tools and resources to carry out the Patent Program's mission-critical activities. The functions of the Patent Program are primarily demand driven. Thus, the USPTO derived most of the requirements for the FY 2027 base program from production-based workload modeling. The resources the agency needs to carry out its mission include training, production incentive programs, and investments in IT solutions. The patent examination process drives most Patent Program requirements. It consists of the activities shown in the following schematic as well as the major functions described below. The USPTO allocates the budget estimates for line items according to processing functions.

## Statement of Operating Objectives

The objectives of the Patent Program align with the USPTO's efforts to reinforce its role as America's innovation agency and focus on providing strong, durable, and predictable IP rights. Patents and the PTAB meet the USPTO's strategic goals by achieving the following objectives and corresponding initiatives:

- Deploy state-of-the-art AI tools to modernize examination processes
- Improve pendency by reducing the size and age of the unexamined patent application inventory
- Issue durable patents
- Identify and address fraudulent and abusive practices
- Enhance the policies and procedures of the PTAB


Patent Process
Pre-Examination Processing
Examination Processing
Post-Examination
Serial No. Assigned
Fees Recorded
Tentative Classification Screened for Sensitive Contents
Electronic Indexing/Scanning
Licensing & Review Security Sensitive Cases Separately Processed
Administrative Examination, Filing Receipt Mailed
Application Assigned to Examiner
Quality Reviews can take place throughout the Examination Process
Examiner's First Action
Applicant Response
Examiner's Second Action
Applicant Response *
Examiner's Subsequent Action
Applicant Response
Patent Trial & Appeal Board
Abandonments
Courts
Receipt & review of allowed case & papers
Initial Electronic Capture for Printing and Issue
Match Post-Allowance Paper and Fees
Final Preparation and Electronic Capture for Printing and Issue
Patent Printed and Issued
LEGEND
Common Processing Sequence
Alternate Processing Sequence
*Applicant may initiate appeal when a claim has been twice rejected

Explanation and Justification

| Line Item | | 2025 Actual Personnel | 2025 Actual Amount | 2026 Enacted Personnel | 2026 Enacted Amount | 2027 Base Personnel | 2027 Base Amount |
|---|---|---|---|---|---|---|---|
| Patent Examining | Pos/BA | 10,834 | 2,766,039 | 11,200 | 2,982,731 | 11,200 | 3,063,432 |
| | FTE/Obl | 10,331 | - | 10,704 | - | 10,989 | - |
| Patent Trial and Appeals | Pos/BA | 309 | 86,790 | 348 | 83,248 | 348 | 89,404 |
| | FTE/Obl | 314 | - | 313 | - | 346 | - |
| Patent Information Resources | Pos/BA | 138 | 138,921 | 175 | 161,130 | 174 | 165,940 |
| | FTE/Obl | 136 | - | 162 | - | 171 | - |
| Cross-Cutting Functions Allocated | Pos/BA | 1,020 | 804,968 | 1,203 | 954,255 | 1,205 | 990,415 |
| | FTE/Obl | 1,062 | - | 1,146 | - | 1,209 | - |
| Total | Pos/BA | 12,301 | 3,796,718 | 12,926 | 4,181,365 | 12,927 | 4,309,190 |
| | FTE/Obl | 11,843 | - | 12,325 | - | 12,715 | - |

**Patent Program**
For FY 2027, the USPTO base totals $4,309 million and 12,927 positions (12,715 FTE) for the Patent Program.

**Patent Examining**
The USPTO prioritizes investment in patent examination to address the pendency emergency driven by the unexamined patent application inventory. The Budget funds compensation investments in patent examination to help the USPTO meet its hiring goals; retain the tenured examination workforce necessary to make measurable improvements and meet performance demands; and continue to attract and retain qualified candidates in the highly competitive science, technology, engineering, and mathematics (STEM) job market.

Through the use of AI-supported examination, including pilot programs designed to introduce greater efficiencies into examination processes, the USPTO expects to make additional year-over-year improvements, with the goal of virtually eliminating the unexamined patent application inventory. The agency's investments in patent examination also include funding for application readiness, continuation practice, prior art and searching, new examiner training, prosecution changes, and enhancements to improve patent durability. Support services for patent applicants include public search rooms located at the USPTO's facilities in Alexandria, Virginia; Patent and Trademark Resource Centers located across the country; and the Patent Public Search tool. Budgeted requirements for FY 2027 comprise necessary funding for the Patent Program's mission-critical priorities.

The patent application process begins when the USPTO receives the application. This step marks the onset of the pre-examination stage. Patents anticipates receiving 630,000 utility, plant, and reissue (UPR) applications in FY 2027, including 494,000 serialized applications. These estimates represent a 1.7% growth in UPR applications and a 2.0% growth in serialized applications over the previous year. Resources for the pre-examination function allow the agency to conduct an administrative review to determine whether applications comply with requirements related to form, content, adequacy, and the payment of appropriate fees for paper and electronic filings. Patent pre-examination resources also support the pre-grant publication process for applicable filings.

The examination stage is critical to the USPTO's achievement of many of its strategic and performance goals. Patents uses funding to support a highly educated and specialized workforce that produces the office actions the agency needs to process patent applications. The USPTO requires resources to support the 673,000 UPR production units it estimates for FY 2027. A large staff of patent examiners—supported by management and contractors, IT tools, legal and policy resources, and training and quality investments—generates UPR production units to maintain the USPTO's standards of excellence in patent examination.

Patents requires resources to continue the activities involved in post-examination processing, which takes place after examiners have allowed applications and issue fees have been paid. These resources will support the patent grants the USPTO will prepare for issuance, publication, and dissemination to the public via Patent Center based on the agency's current FY 2027 estimate. Post-issue activities include providing reissues, conducting re-examinations, issuing certificates of correction, processing application withdrawals, and making assignments.

**Patent Trials and Appeals**

The USPTO's PTAB manages dual jurisdictions: adjudicating ex parte appeals of examiners' final rejections and conducting AIA trial proceedings (i.e., inter partes reviews, post-grant reviews, and derivation proceedings). The PTAB is an administrative tribunal that consists of administrative patent judges (APJs) and four statutory members. The PTAB projects it will receive approximately 4,080 appeals in FY 2027. The Budget's FY 2027 resources fund legal staffing to support the PTAB in meeting statutory requirements and aligning capacity with projected workloads. These resources will enable the PTAB to reach and maintain pendency for three activities:

- Ex parte appeals
- Re-examination appeals, which, by statute, must be completed with "special dispatch"
- AIA trials, which, by statute, must reach a decision on whether to institute a trial within three months of the patent owner filing a preliminary response and which the PTAB must adjudicate within one year of instituting a trial

Although ex parte appeals do not have a timeliness requirement, the PTAB remains committed to maintaining strategic pendency and inventory levels, hiring APJs as needed to support workload projections, clearing the oldest cases, and reassigning judges according to the greatest need. The PTAB has brought down pendency significantly in the past 13 months by imposing ceilings on pendency, reducing total pendency from an average of 12 months to a ceiling of 10 months. The PTAB remains focused on enhancing decisional quality, policies, and procedures.

**Patent Information Resources**

This sub-activity includes funding for the patent information resources function, which supports the USPTO's enterprise technology objective of modernizing and efficiently operating secure and scalable technology. It also supports the agency's priorities related to balancing examination capacity with unexamined inventory and application demand levels; modernizing and streamlining examination processes (including through accelerating the use of AI); implementing technological innovations to promote efficiencies via automation and innovation; and identifying and preventing fraudulent and abusive practices, including those of sophisticated cyber adversaries. The USPTO is evaluating tools to assist all patent examiners and patent managers with specific, repeatable examination tasks which directly advances the Agency's aggressive patent pendency and patent quality goals.

**Cross-Cutting Functions—Allocated**

This sub-activity represents cross-cutting management and support activities that enable the Patent Program to accomplish its goals. These activities can be directly related to Patents, such as Office of Human Resources activities dedicated to recruiting patent examiners, or they can be cross-cutting functions dedicated to overall USPTO activities, such as IP policy activities or financial management. The Budget describes these activities in the Cross-Cutting Functions section. The USPTO allocates the costs of this sub-activity to the Patent Program based on the agency's activity-based information (ABI) analysis and results.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PATENT PROGRAM**
**PROGRAM CHANGES FOR 2027**
(Dollar amounts in thousands)

| | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Patent Examining | Pos/BA | 11,200 | 3,063,432 | 11,742 | 3,082,575 | 542 | 19,142 |
| | FTE/Obl | 10,989 | - | 11,257 | - | 268 | - |
| Patent Examiner New Hires | Pos/BA | 11,200 | 2,405,049 | 11,742 | 2,444,426 | 542 | 39,377 |
| | FTE/Obl | 10,989 | - | 11,257 | - | 268 | - |
| Overtime/Production Incentives | Pos/BA | - | 236,169 | - | 238,682 | - | 2,514 |
| | FTE/Obl | | | | | | |
| Workload Processing Contracts | Pos/BA | - | 422,215 | - | 399,467 | - | (22,748) |
| | FTE/Obl | | | | | | |
| Patent Trial and Appeals | Pos/BA | 348 | 89,404 | 348 | 89,356 | - | (48) |
| | FTE/Obl | 346 | - | 346 | - | - | - |
| Patent Information Resources | Pos/BA | 174 | 165,940 | 174 | 163,110 | - | (2,829) |
| | FTE/Obl | 171 | - | 171 | - | - | - |
| Subtotal Direct | Pos/BA | 11,722 | 3,318,776 | 12,264 | 3,335,040 | 542 | 16,265 |
| | FTE/Obl | 11,506 | - | 11,774 | - | 268 | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PATENT PROGRAM**
**PROGRAM CHANGES FOR 2027-2031**

| | | 2027 Increase/Decrease | | 2028 Increase/Decrease | | 2029 Increase/Decrease | | 2030 Increase/Decrease | | 2031 Increase/Decrease | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Patent Examining | Pos/BA | 542 | 19,142 | 710 | 85,830 | 890 | 121,720 | 896 | 165,903 | 899 | 192,957 |
| | FTE/Obl | 268 | - | 626 | - | 797 | - | 893 | - | 897 | - |
| Patent Examiner New Hires | Pos/BA | 542 | 39,377 | 710 | 99,029 | 890 | 140,437 | 896 | 179,417 | 899 | 208,889 |
| | FTE/Obl | 268 | - | 626 | - | 797 | - | 893 | - | 897 | - |
| Overtime/Production Incentives | Pos/BA | - | 2,514 | - | 6,391 | - | 9,050 | - | 11,507 | - | 13,323 |
| | FTE/Obl | | | | | | | | | | |
| Workload Processing Contracts | Pos/BA | - | (22,748) | - | (19,589) | - | (27,766) | - | (25,022) | - | (29,255) |
| | FTE/Obl | | | | | | | | | | |
| Patent Trial and Appeals | Pos/BA | - | (48) | - | (98) | - | (148) | - | (200) | - | (253) |
| | FTE/Obl | | | | | | | | | | |
| Patent Information Resources | Pos/BA | - | (2,829) | - | (7,204) | - | (7,350) | - | (7,498) | - | (7,656) |
| | FTE/Obl | | | | | | | | | | |
| Subtotal Direct | Pos/BA | 542 | 16,265 | 710 | 78,528 | 890 | 114,222 | 896 | 158,205 | 899 | 185,049 |
| | FTE/Obl | 268 | - | 626 | - | 797 | - | 893 | - | 897 | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PATENT PROGRAM**
(Dollar amounts in thousands)

**Sub-Activity: Patent Examining**
Patent examining (+$19.1 million and +542 positions (268 FTE)): In FY 2027, patent examining funding reflects an uptick in hiring to address the unexamined patent application inventory and directs resources to ensure high quality, timely examination of patent applications and support fraud mitigation, resulting in the USPTO issuing durable patents. The program's requirements will also enhance customer experience (CX) by ensuring the timeliness and quality of patent examination, thereby increasing the value of the patent to the inventor.

The USPTO remains committed to the prompt processing of patent applications and has established patent timeliness goals based on reducing patent first action and total pendency and addressing the unexamined patent application inventory. In an effort to simplify pendency performance measurement for communication with its stakeholders, the USPTO will return to measuring patent pendency as the average months between filing and the first office action (first action pendency) and the average number of months between filing and the ultimate disposal of the application (total pendency). This return to historical methods of pendency measurement will bring more clarity on performance expectations and the reliability of the agency's timeline estimates.

Patents plans to invest in state-of-the-art AI tools to virtually eliminate the unexamined patent application inventory and meet growing demand in new serialized applications, thereby meeting the USPTO's pendency goals.

| Performance Measures | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| First Action Pendency (Months) with increase | 18.1 | 16.0 | 14.8 | 13.7 | 12.7 |
| Total Pendency (Months) with increase | 25.5 | 23.5 | 21.5 | 20.6 | 19.6 |
| First Action Pendency (Months) without increase | 18.9 | 18.3 | 19.1 | 20.5 | 22.4 |
| Total Pendency (Months) without increase | 25.7 | 24.4 | 24.1 | 25.7 | 27.5 |
| Outyear Costs | | | | | |
| Direct Obligations | 19,142 | 85,830 | 121,720 | 165,903 | 192,957 |
| FTE | 268 | 626 | 797 | 893 | 897 |
| Positions | 542 | 710 | 890 | 896 | 899 |

Patent examiner new hires: In FY 2027, the USPTO will continue to address the pendency emergency by expanding the capacity of the patent examining corps and developing AI solutions. These measures aim to reduce both pendency and the unexamined patent application inventory, in alignment with desired performance outcomes and application filings projected through patent production modeling. The USPTO projects serialized patent application filings will increase by 2.0% in FY 2027 and expects these filings to maintain consistent annual growth through the budget horizon. The increased workforce is based on filing trends and planned investments in enhanced quality—particularly investments in the issuance of timely and durable patents—and an aggressive plan to reduce the patent unexamined application inventory. The patent examiner corps comprises a highly technical workforce, and Patent Program changes will also fund the USPTO's continued investment in competitive examiner compensation and recruitment incentives through the budget horizon. These continued investments will help the USPTO meet the need for expanded examination capacity while combating an increasingly competitive STEM job market. This funding will also allow the USPTO to continue to connect an elite STEM talent pool with fulfilling federal careers to meet the growing demand for patent services.

The patent production model considers both incoming work and revised examiner outputs. Carefully calibrating quality, workload, and hires will enable the USPTO to continue making progress on its patent term adjustment (PTA) targets while ensuring continued financial sustainability.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | 39,377 | 99,029 | 140,437 | 179,417 | 208,889 |
| Budget Authority | 39,377 | 99,029 | 140,437 | 179,417 | 208,889 |
| FTE | 268 | 626 | 797 | 893 | 897 |
| Positions | 542 | 710 | 890 | 896 | 899 |

Overtime/production incentives: The USPTO uses overtime and production incentives to align production with workload demand. Each overtime hour worked ties directly to production output, as do production incentives. As such, overtime has proven to be more efficient on a per-hour basis than equivalent regular-time hours, which must also incorporate the costs of training, employee leave, and other employee benefits. Funding the full amount of examiner overtime and other production incentives is essential to achieving pendency and inventory goals. The inherent flexibility of overtime allows Patents to easily expand its production capacity while maintaining optimal staffing levels.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | 2,514 | 6,391 | 9,050 | 11,507 | 13,323 |
| Budget Authority | 2,514 | 6,391 | 9,050 | 11,507 | 13,323 |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

Workload processing contracts: Patents uses contractor support to manage the application and issuance processes. Contract costs are based on the number of applications, volume of examiner production, and number of granted patents. Specifically, Patents uses these contracts for:

- Data capture and publication of applications subject to pre-grant publication at 18 months
- Initial classification services whereby a contractor classifies all incoming applications following the initial security review
- Patent publication, which includes capturing data on granted patents and generating both a text-searchable file and an image file for electronic dissemination

Additionally, Patents will use funding for information security system officers to support contract workloads, establish security and privacy policies, and protect information. Patents will also contract a solution for the conversion of complex work units (tables, chemical drawings, and mathematical equations) into a format that can interface with an in-house, pre-grant publication preparation tool.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (22,748) | (19,589) | (27,766) | (25,022) | (29,255) |
| Budget Authority | (22,748) | (19,589) | (27,766) | (25,022) | (29,255) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Patent Trials and Appeals**

PTAB production and AIA workload (-$0.05 million and +0 positions (0 FTE)): The patent trials and appeals change and resources will provide funding for conducting efficient trials regarding the patentability of issued patents, as well as hearing appeals of patent examiner decisions.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (48) | (98) | (148) | (200) | (253) |
| Budget Authority | (48) | (98) | (148) | (200) | (253) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Patent Information Resources**

Patent Product Line (-$2.8 million and +0 positions (0 FTE)): Patent Product Line funding is focused primarily on continuing to leverage emerging technology, including AI, and accelerating migration to the cloud. The USPTO will deploy new tools like Agentic AI to assist patent examiners in examination tasks as they see fit, including the following:

- Using AI-based technology for USPTO design patent examiners to search U.S. and foreign industrial design collections using image(s) as an input query. The tool provides centralized access and federated searching of design patents, registrations, trademarks, and industrial designs from over 80 global registers and returns search results based on, and sortable by, image similarity.
- Refining patent search AI that takes inputs from published or unpublished applications and provides recommendations on further prior art areas to search, giving users the ability to sort by similarity to concepts of their choosing.
- Generating an AI-Assisted Search Results Notice (ASRN) when conducting pre-examination prior art searches. This tool will first pilot an effort to provide applicants with an initial communication identifying a “top 10 list” of potential prior art issues in need of attention and afford applicants an early opportunity to assess their claims against prior art before substantive examination. Pilot results will be evaluated to determine the scalability of generating the ASRN and collect data to inform next steps and companion pilots.
- Using AI and ML to modernize examination, including initiatives for office action creation, office action review, application summaries, double patenting determination, and modernized office action forms and workflows.
- Expanding on the Retrieval Augmented Document Analysis Report 101 and 112 tool that analyzes patent specifications and claims, retrieves relevant guidance, and produces a report of recommendations for user review of 101 and 112 assessments for inclusion in office actions.

- Implementing an AI-powered virtual assistant to provide answers to basic patent-related questions from patent practitioners and the public at www.uspto.gov.
- Leveraging AI to streamline patent data processes and increase data quality through publication.
- Implementing a new bifurcated process for the PTAB and migrate AIA and appeals paneling.
- Implementing case management for fraud tracking and fraud detection capability.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (2,829) | (7,204) | (7,350) | (7,498) | (7,656) |
| | | | | | |
| Budget Authority | (2,829) | (7,204) | (7,350) | (7,498) | (7,656) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

*Additional information regarding schedules, milestones, and deliverables can be found in the USPTO's Exhibit 300 submissions located on the Federal IT Dashboard.*

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Patent Program

| Title: | Grade | Number | Annual Salary | Total Salaries |
|---|---|---|---|---|
| Patent Examiner | 7 | 557 | 88,887 | 49,510,073 |
| Patent Examiner | 9 | 440 | 96,219 | 42,336,352 |
| Patent Examiner | 11 | 110 | 100,077 | 11,008,451 |
| Patent Attritions | Various | (569) | (79,129) | (45,024,639) |
| Subtotal | | 538 | | 57,830,237 |
| Less Lapse | 50% | (270) | | (29,247,476) |
| Total FTE (FTE) | | 268 | | 28,582,761 |
| 2027 Pay Adjustment (0%) | | | | - |
| **Total** | | | | 28,582,761 |

| | | |
|---|---|---|
| **Personnel Data Summary** | | |
| FTE Employment | | |
| Full-Time Permanent | | 268 |
| Other than Full-Time Permanent | | - |
| **Total** | | 268 |
| | | |
| Authorized Positions: | | |
| Full-Time Permanent | | 542 |
| Other than Full-Time Permanent | | - |
| **Total** | | 542 |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM CHANGE DETAIL BY OBJECT CLASS**
(Direct obligations; amounts in thousands)

Activity: Patent Program

| | Object Class | **2025** Actual | **2026** Enacted | **2027** Base | **2027** Estimate | Increase/Decrease from 2027 Base |
|---|---|---|---|---|---|---|
| 11 | Personnel Compensation | | | | | |
| 11.1 | Personnel Compensation | 1,742,976 | 1,755,830 | 1,812,330 | 1,840,913 | 28,583 |
| 11.3 | Other than Tull-Time Permanent | - | - | - | - | - |
| 11.5 | Other Personnel Compensation | 160,935 | 235,295 | 240,176 | 242,689 | 2,514 |
| 11.8 | Special Personnel Services Payments | - | - | - | - | - |
| 11.9 | **Total Personnel Compensation** | 1,903,911 | 1,991,125 | 2,052,506 | 2,083,603 | 31,096 |
| 12 | Personnel Benefits | 657,856 | 672,114 | 690,556 | 701,351 | 10,794 |
| 13 | Benefits to Former Personnel | 3,111 | - | - | - | - |
| 21 | Travel | 755 | 1,434 | 1,465 | 1,468 | 3 |
| 22 | Transportation of Things | - | - | - | - | - |
| 23.1 | Rental Payments (GSA) | - | - | - | - | - |
| 23.2 | Rental Payments (Others) | 26 | - | - | - | - |
| 23.3 | Communications, Utilities, and Miscellaneous Charges | | | | | |
| 24 | Printing and Reproduction | 166,385 | 233,049 | 237,943 | 223,820 | (14,123) |
| 25.1 | Advisory and Assistance Services | 55,014 | 70,641 | 72,125 | 64,351 | (7,774) |
| 25.2 | Other Services | 54,785 | 85,372 | 87,165 | 86,191 | (973) |
| 25.3 | Purchases of Goods and Services from Gov Accounts | 257 | 107 | 109 | 107 | (2) |
| 25.4 | Operation and Maintenance Equipment | - | - | - | - | - |
| 25.5 | Research and Development Contracts | - | - | - | - | - |
| 25.7 | Operation and Maintenance of Equipment | 107,769 | 132,100 | 134,875 | 131,472 | (3,403) |
| 26 | Supplies and Materials | 38,571 | 36,733 | 37,505 | 38,003 | 498 |
| 31 | Property and Equipment | 776 | 1,660 | 1,695 | 1,843 | 148 |
| 32 | Land and Structures | - | - | - | - | - |
| 33 | Investments and Loans | - | - | - | - | - |
| 41 | Grants, Subsidies, Contributions | - | - | - | - | - |
| 42 | Insurance Claims and Indemnities | - | 50 | 52 | 61 | 10 |
| 43 | Interest and Dividends | - | - | - | - | - |
| 44 | Refunds | 2,535 | 2,725 | 2,782 | 2,772 | (10) |
| 99 | Total obligations | 2,991,750 | 3,227,110 | 3,318,776 | 3,335,040 | 16,265 |

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# TRADEMARK PROGRAM

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS**
(Dollar amounts in thousands)

Activity: Trademark Program

| | | 2025 Actual | | 2026 Enacted | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Trademark Examining | Pos/BA | 1,158 | 276,334 | 1,252 | 315,890 | 1,252 | 333,697 | 1,276 | 342,385 | 24 | 8,688 |
| | FTE/Obl | 1,145 | - | 1,205 | - | 1,249 | - | 1,303 | - | 54 | - |
| Trademark Appeals and Inter Partes | Pos/BA | 69 | 19,017 | 97 | 19,572 | 97 | 22,664 | 97 | 22,534 | - | (130) |
| | FTE/Obl | 73 | - | 81 | - | 97 | - | 97 | - | - | - |
| Trademark Information Resources | Pos/BA | 32 | 61,095 | 75 | 73,120 | 74 | 74,512 | 74 | 73,219 | - | (1,293) |
| | FTE/Obl | 32 | - | 73 | - | 73 | - | 73 | - | - | - |
| Subtotal Direct | Pos/BA | 1,259 | 356,446 | 1,424 | 408,583 | 1,423 | 430,873 | 1,447 | 438,138 | 24 | 7,264 |
| | FTE/Obl | 1,251 | - | 1,359 | - | 1,419 | - | 1,473 | - | 54 | - |
| Cross-Cutting Functions-Allocated | Pos/BA | 247 | 181,406 | 295 | 230,001 | 296 | 237,312 | 296 | 224,481 | - | (12,830) |
| | FTE/Obl | 257 | - | 283 | - | 296 | - | 296 | - | - | - |
| Total | Pos/BA | 1,506 | 537,852 | 1,720 | 638,583 | 1,719 | 668,185 | 1,743 | 662,619 | 24 | (5,566) |
| | FTE/Obl | 1,508 | - | 1,642 | - | 1,715 | - | 1,769 | - | 54 | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**JUSTIFICATION OF PROGRAM AND PERFORMANCE**
(Dollar amounts in thousands)

Activity: Trademark Program

Goal Statement

The USPTO's Trademark Program carries out the USPTO's mission by optimizing trademark quality and timeliness in accordance with laws, regulations, and practices.

Base Program

The Trademark Program performs a valuable function by identifying the sources of products and services and serving as a reliable indicator of quality to consumers. By registering trademarks, the USPTO plays a significant role in protecting consumers and provides important benefits to American businesses, allowing them to strengthen and safeguard their brands and related investments. Examining trademark applications consists of the activities shown in the following schematic and the major functions described below.

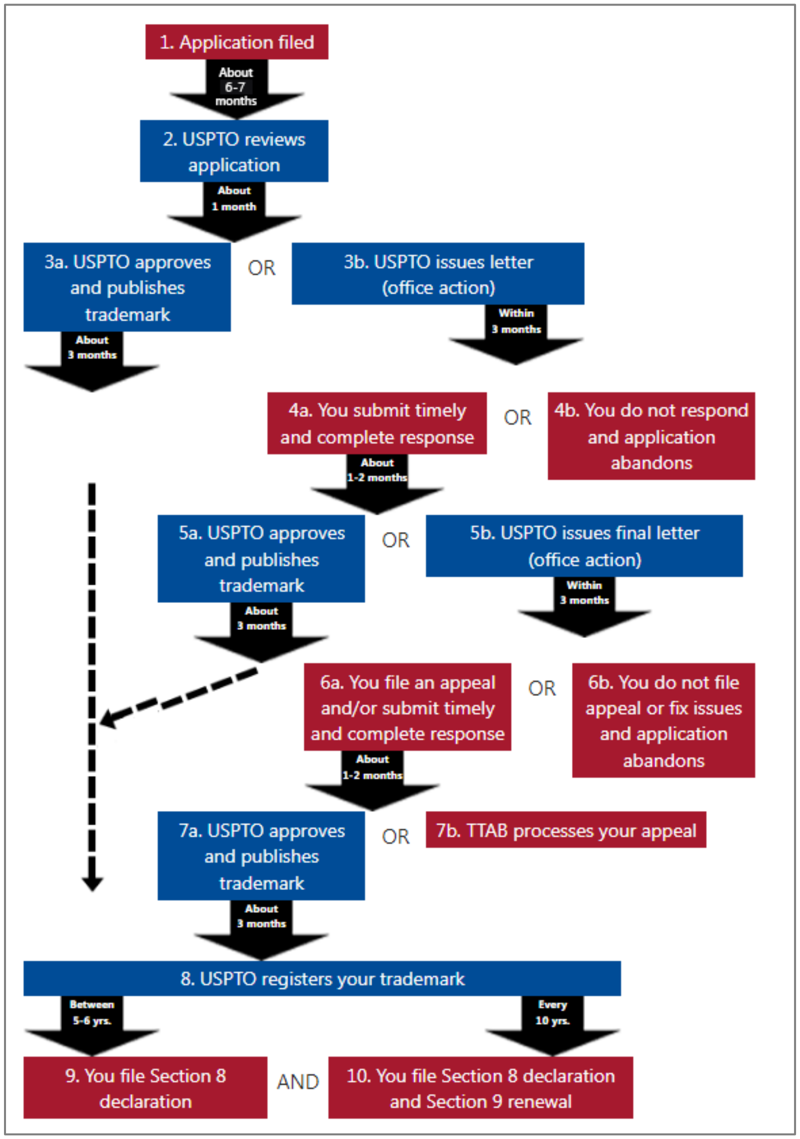
Statement of Operating Objectives

Some of the Trademark Program's major objectives are to:

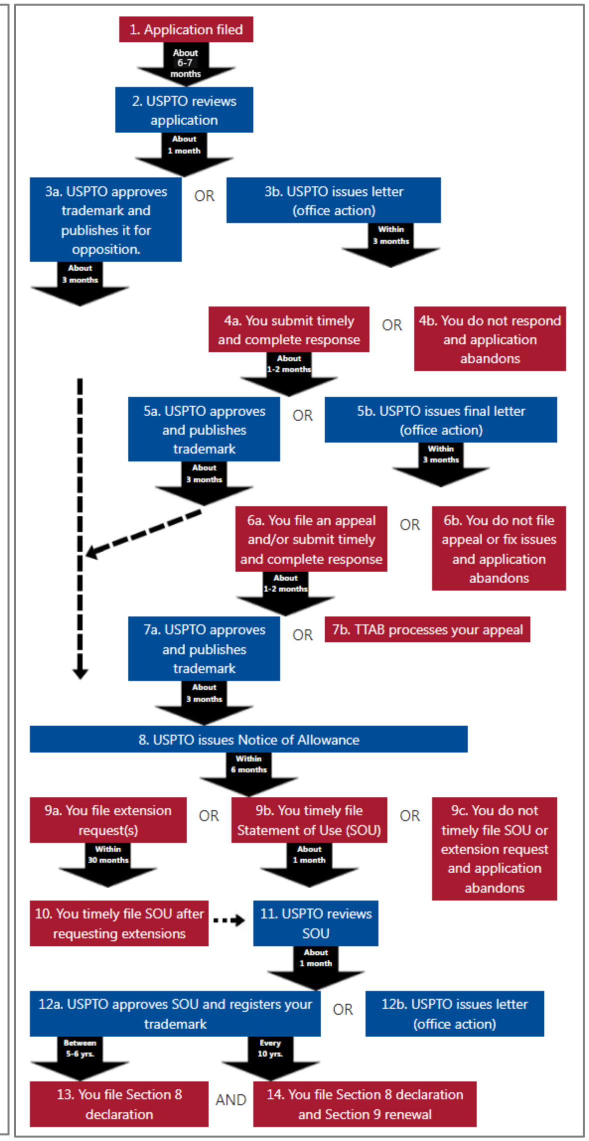
- Deploy state-of-the-art AI tools to modernize examination processes
- Improve pendency by reducing the size and age of the unexamined trademark application inventory
- Register reliable trademarks
- Identify and address fraudulent and abusive practices
- Enhance the policies and procedures of the Trademark Trial and Appeal Board (TTAB)

# Trademark Process

**Section 1a. Timeline:** Application Based on Use in Commerce




**Section 1b. Timeline:** Application Based on Intent to Use



Explanation and Justification

| **Line Item** | | 2025 Actual | | 2026 Enacted | | 2027 Base | |
|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Trademark Examining | Pos./BA | 1,158 | 276,334 | 1,252 | 315,890 | 1,252 | 333,697 |
| | FTE/Obl | 1,145 | - | 1,205 | - | 1,249 | - |
| Trademark Trial and Appeals | Pos./BA | 69 | 19,017 | 97 | 19,572 | 97 | 22,664 |
| | FTE/Obl | 73 | - | 81 | - | 97 | - |
| Trademark Information Resources | Pos./BA | 32 | 61,095 | 75 | 73,120 | 74 | 74,512 |
| | FTE/Obl | 32 | - | 73 | - | 73 | - |
| Cross-Cutting Functions-Allocated | Pos./BA | 247 | 181,406 | 295 | 230,001 | 296 | 237,312 |
| | FTE/Obl | 257 | - | 283 | - | 296 | - |
| Total | Pos./BA | 1,506 | 537,852 | 1,720 | 638,583 | 1,719 | 668,185 |
| | FTE/Obl | 1,508 | - | 1,642 | - | 1,715 | - |

**Trademark Program**
For FY 2027, the USPTO base totals $668 million and 1,719 positions (1,715 FTE) for the Trademark Program.

**Trademark Examining**
Through its online database of applied-for and registered marks, the USPTO provides the public with information about marks that may be available for others to adopt and use. This database, along with other USPTO electronic systems, the Trademark Assistance Center, and USPTO webpage resources, allows business owners who are preparing to file an application to evaluate the best path forward for protecting their IP.

The USPTO electronically receives and processes trademark applications to register a mark. When the USPTO receives an application, it subjects the proposed mark to a quality review process. During that process, Trademarks reviews the electronically tagged application data and adds the international classification and design search codes that facilitate searching and examination. Trademarks' electronic systems automatically transfer the tagged data in a trademark application to the appropriate data fields. Trademarks' automated systems are the source of the application and registration data the USPTO uses while processing, examining, and maintaining registered trademarks; the information the agency makes available to the public through www.uspto.gov; and the information in the Official Gazette. The USPTO publishes the Official Gazette, which provides notice of marks examining attorneys have approved, marks registered following the commencement of use, and registrations maintained by registrants. Input processing also encompasses the processing of international applications filed under the Madrid Protocol.

One of the USPTO's trademark examining attorneys determines whether the mark in each newly filed application is entitled to registration under the provisions of the Trademark Act of 1946, as amended. As part of this process, the examining attorney searches previously filed and registered marks to evaluate whether a conflict exists between the mark in the application and a previously filed application or registration. Examining attorneys evaluate many types of marks—such as trademarks, service marks, certification marks, and collective membership marks—against the criteria for registrability set out in the Trademark Act. The examining attorney searches a database of more than 3.5 million registered marks and 0.9 million pending marks to determine whether the mark in the subject application is confusingly similar to an existing mark. Based upon their evaluation, examining attorneys decide to approve or deny an application for registration.

Trademarks publishes approved applications prior to registration, notifying interested parties who may file an opposition to the registration. Trademarks registers marks if their use in commerce is unopposed or if they survive any filed opposition. Marks filed based on intent to use receive a notice of allowance following the opposition period if they are unopposed or if they survive any filed opposition. Registration occurs after the USPTO issues a notice of allowance and the applicant subsequently files, and the USPTO accepts, a statement of use.

Quality and training are important components of the examination process. In the total examination costs, Trademarks includes the resources required to conduct high-quality examinations and registrations of trademark applications. Under the quality assurance program, Trademarks reviews the results of an examining attorney's first and final office actions to determine the quality of the substantive basis of the decision-making, search strategy, evidence, and writing. Based on the data Trademarks collects from these reviews, the USPTO has targeted training initiatives, in both electronic and traditional formats, that address specific areas for improvement. As part of the USPTO's commitment to improving examination quality, the agency ensures all examining attorneys possess the knowledge, skills, and abilities necessary to perform their jobs. For example, examining attorneys may take a series of self-paced e-learning tutorials. Throughout the year, Trademarks also implements new e-learning modules based on topics the program identifies through quality reviews.

Trademarks is continuing its efforts to improve quality cost effectively. To raise the bar, Trademarks instituted an exceptional office action, which emphasizes comprehensive excellence in final office actions and expands upon the existing first and final action standards for correct decision-making. An exceptional office action reflects correct decision-making, includes excellent evidentiary support, and is exceptionally well written.

Policy and legal activities are critical components of the trademark examination process. Policy and legal processes consist of establishing trademark examination policy standards; serving as the authority on trademark laws, rules, and examining practices and procedures; implementing treaty obligations; implementing judicial and TTAB decisions; publishing rules for public comment and final rules; and maintaining the Trademark Manual of Examining Procedure. Trademarks includes the costs of performing these functions in its examination costs.

Owners can maintain trademark registrations indefinitely, as long as the registered mark is in use under the Trademark Act of 1946, as amended. Owners of registrations for marks on the Principal and Supplemental Registers must renew their registrations every 10 years. To maintain rights to a mark, between the fifth and sixth years from the date of registration, the owner must file an affidavit attesting to the use of the registered mark. To renew a trademark registration, the owner must again file an acceptable affidavit of use and an application for renewal within one year before the end of every 10-year registration period. Owners of marks on the Principal Register can also make a claim of incontestability to claim exclusive rights after the mark has been in continuous use in commerce for five consecutive years after the registration date. The owner can also file requests to correct or amend a trademark registration.

Trademarks examines filings for completeness and compliance with statutory requirements. To ensure the accuracy of registered marks and verify that goods and services continue to be used in commerce, the USPTO conducts random audits of marks submitted for maintenance or renewal. Failure to file the required affidavit and proof of use or to substantiate use when audited results in the USPTO canceling the registration. These requirements enable the agency to remove trademarks from the register when the marks are no longer in use, allowing others to clear and select marks.

**Trademark Trials and Appeals**

The TTAB is an administrative tribunal empowered to determine the right to register a trademark. The TTAB has jurisdiction over ex parte appeals and four types of inter partes proceedings: oppositions to the registration of trademarks, petitions to cancel trademark registrations, interferences, and concurrent use proceedings.

Administrative trademark judges (ATJs) on the TTAB review examining attorneys' adverse registrability determinations (i.e., refusals of registration) when applicants appeal those adverse determinations. The ATJs conduct and decide opposition trial proceedings when an interested party believes it will be harmed by, and as a result challenges, the registration of a published mark. Additionally, ATJs conduct and decide trial proceedings when cancellations involve registrations that a third party wishes to challenge the validity of or restrict. Attorneys work on contested and uncontested motions in opposition, cancellation, and concurrent use proceedings that concern issues related to legal procedures, as well as potentially dispositive motions under the direction of three-judge panels. Attorneys who are assigned to trial proceedings when they commence work with parties on conferencing, discovery, motions, and other issues as they arise.

**Trademark Information Resources**

The trademark information resources function supports the USPTO's enterprise technology objective of modernizing and efficiently operating secure and scalable technology. It also supports the agency's priorities related to balancing examination capacity with unexamined inventory and application demand levels; modernizing and streamlining examination processes (including through accelerating the use of AI); implementing technological innovations to promote efficiencies via automation and innovation; and identifying and preventing fraudulent and abusive practices, including those of sophisticated cyber adversaries.

**Cross-Cutting Functions—Allocated**
This sub-program represents cross-cutting management and support activities that enable the Trademark Program to accomplish its goals. These activities can be directly related to Trademarks (for example, Office of Human Resources activities that support the recruitment of trademark examining attorneys and ATJs), or they can be cross-cutting functions dedicated to overall USPTO activities (for example, IP policy activities or financial management). The Budget describes these activities in the Cross-Cutting Functions section. The USPTO allocates the costs of this sub-activity to the Trademark Program based on the agency's ABI analysis and results.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**Trademark Program**
**PROGRAM CHANGES FOR 2027**
(Dollar amounts in thousands)

| | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Trademark Examining | Pos/BA | 1,252 | 333,697 | 1,276 | 342,385 | 24 | 8,688 |
| | FTE/Obl. | 1,249 | - | 1,303 | - | 54 | - |
| Trademark Trial and Appeals | Pos/BA | 97 | 22,664 | 97 | 22,534 | - | (130) |
| | FTE/Obl. | 97 | - | 97 | - | - | - |
| Trademark Information Resources | Pos/BA | 74 | 74,512 | 74 | 73,219 | - | (1,293) |
| | FTE/Obl. | 73 | - | 73 | - | - | - |
| Direct Total, Trademark Program | Pos/BA | 1,423 | 430,873 | 1,447 | 438,138 | 24 | 7,264 |
| | FTE/Obl. | 1,419 | - | 1,473 | - | 54 | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**Trademark Program**
**PROGRAM CHANGES FOR 2027-2031**
(Dollar amounts in thousands)

| | | 2027 Increase/Decrease | | 2028 Increase/Decrease | | 2029 Increase/Decrease | | 2030 Increase/Decrease | | 2031 Increase/Decrease | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Trademark Examining | Pos/BA | 24 | 8,688 | 43 | 10,277 | 61 | 11,669 | 105 | 19,013 | 148 | 30,068 |
| | FTE/Obl | 54 | - | 75 | - | 95 | - | 126 | - | 171 | - |
| Trademark Trial and Appeals | Pos/BA | | (130) | - | (143) | - | (156) | - | (169) | - | (183) |
| | FTE/Obl | | | | | | | | | | |
| Trademark Information Resources | Pos/BA | | (1,293) | - | (1,390) | - | (1,490) | - | (1,591) | - | (1,695) |
| | FTE/Obl | | | | | | | | | | |
| Direct Total, Trademark Program | Pos/BA | 24 | 7,264 | 43 | 8,744 | 61 | 10,023 | 105 | 17,252 | 148 | 28,190 |
| | FTE/Obl | 54 | - | 75 | - | 95 | - | 126 | - | 171 | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**TRADEMARK PROGRAM**
(Dollar amounts in thousands)

**Sub-Activity: Trademark Examining**

Trademark examining (+$8.7 million and +24 positions (54 FTE)): In FY 2027, the trademark examining program change and resources will align the USPTO's capacity to examine trademark applications with estimated workloads and inventory and enhance the quality of trademark legal services. To handle expected workload increases, the USPTO is continuing to hire examining attorneys. The agency is also evaluating the increased use of trademark professionals to balance examining attorney workload. Simultaneously, the organization is exploring opportunities to optimize process workflows and increase automation to make the examination process more efficient. The USPTO will continue to assess spending requirements and their benefits, including incentives to boost productivity to identify additional resources and costs related to developing and executing new provisions (specifically in the IT and examination areas).

| Performance Measures (Months): | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| First Action Pendency with Increase | 4.5 | 4.0 | 4.0 | 4.0 | 4.0 |
| First Action Pendency without Increase | 7.3 | 7.3 | 8.2 | 9.4 | 10.8 |
| Outyear Costs: | | | | | |
| Direct Obligations | 8,688 | 10,277 | 11,669 | 19,013 | 30,068 |
| Budget Authority | 8,688 | 10,277 | 11,669 | 19,013 | 30,068 |
| FTE | 54 | 75 | 95 | 126 | 171 |
| Positions | 24 | 43 | 61 | 105 | 148 |

**Sub-Activity: Trademark Trials and Appeals**

TTAB Staffing (-$0.1 million and +0 positions (0 FTE)): The trademark trials and appeals resources will provide funding to handle appeals of trademark application refusals and adjudicate disputes over the registration of trademarks.

| Performance Measures (Months): | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Final Decision Pendency for Appeals with Increase | <15 | <15 | <15 | <15 | <15 |
| Final Decision Pendency for Appeals without Increase | 15-20 | 15-21 | 15-22 | 15-23 | 15-24 |
| | | | | | |
| Final Decision Pendency for Trials with Increase | <17 | <17 | <17 | <17 | <17 |
| Final Decision Pendency for Trials without Increase | 17-24 | 17-25 | 17-26 | 17-27 | 17-28 |
| | | | | | |
| Outyear Costs: | | | | | |
| Direct Obligations | (130) | (143) | (156) | (169) | (183) |
| | | | | | |
| Budget Authority | (130) | (143) | (156) | (169) | (183) |
| FTE | - | - | - | - | - |
| Positions | - | - | - | - | - |

**Sub-Activity: Trademark Information Resources**
Trademark Information Resources (-$1.2 million and +0 positions (0 FTE)): This funding reflects the costs of trademark information resources decreasing annually due to the modernization of legacy trademark IT systems. Early in the third quarter of FY 2026, the USPTO integrated a revolutionary new AI enhancement that added an image searching capability to the agency's already robust trademark search system. The tool allows applicants, practitioners, registrants, or individuals seeking information on potential IP to explore what currently exists in the federal trademark database. Additionally, Trademarks introduced an AI capability into the pre-examination workflow. This newly deployed agentic function, known as Class ACT (Classification Agentic Codification Tool), has reduced pendency for this particular pre-examination task from five months to five seconds.

The Trademark Product Line will continue the momentum built in FY 2026 with a focus on the following objectives:

- Introducing emerging technology like AI, ML, and thoughtful end-to-end automation to simplify processes, amplify quality, align pendency with expectations, and create an efficient, effective, resilient, and engaged workforce.
- Identifying and implementing AI-assisted tools and capabilities to enhance the examination process. Adding AI and emerging technology capabilities to the examination workflow is intended to minimize rote and repetitive work, allowing legal professionals to focus on substantive areas of the law.
- Enhancing the quality review process to introduce AI into the overall examination life cycle. Under the Policy Program Management Office, a quality review effort is supporting managers and staff assigned quality determination tasks.
- Integrating anti-fraud mechanisms by deploying role-based access controls, credential validation, impersonation mitigation, risk prediction, and other capabilities to fortify processes, protect the register, and provide a means for mitigating improper behavior by malicious actors.

- Accelerating migration to the cloud by transitioning to cloud-based and cloud-native operations to engender rapid improvements and faster delivery of advanced capabilities.
- Improving intake and pre-examination capabilities by enhancing customer-facing input processes to improve incoming applications, and integrating enhanced capabilities to significantly refine the process and strengthen the overall quality of applications.
- Integrating AI-enabled web projects into externally-facing systems to substantially improve customer experience and satisfaction.
- Modernizing TTAB IT by leveraging automation and emerging technologies to help achieve efficiencies in case management, improve end-to-end processing time frames, and maximize the role of data in decision-making.
- Strengthening international IP relationships by improving data sharing and consolidating and integrating companion processes to minimize redundancies and strengthen global IP enforcement standards.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs: | | | | | |
| Direct Obligations | (1,293) | (1,390) | (1,490) | (1,591) | (1,695) |
| Budget Authority | (1,293) | (1,390) | (1,490) | (1,591) | (1,695) |
| FTE | - | - | - | - | - |
| Positions | - | - | - | - | - |

*Visit the USPTO's Exhibit 300 submissions located on the Federal IT Dashboard for additional information regarding schedules, milestones, and deliverables.*

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM CHANGE PERSONNEL DETAIL**

Activity: Trademark Program
Program Change:
Full-Time Permanent

| Title | Grade | Number | Annual Salary | Total Salaries |
|---|---|---|---|---|
| Examining Attorney | 11 | 70 | 93,833 | 6,568,332 |
| Examining Attorney Supervisory | 15 | 3 | 168,997 | 506,990 |
| Group Director, TM Law Offices | 15 | 1 | 185,895 | 185,895 |
| Trademark Attritions | Various | (50) | (115,876) | (5,793,787) |
| Subtotal | | 24 | | 1,467,430 |
| Less Lapse | -125% | 30 | | 3,677,007 |
| Total Full-Time Permanent (FTE) | | 54 | | 5,144,438 |
| 2027 Pay Adjustment (0%) | | | | |
| **Total** | | | | 5,144,438 |

| | | | | |
|---|---|---|---|---|
| **Personnel Data Summary** | | | | |
| Full-Time Equivalent Employment | | | | |
| Full-Time Permanent | | 54 | | |
| Other than Full-Time Permanent | | 0 | | |
| **Total** | | 54 | | |
| | | | | |
| Authorized Positions: | | | | |
| Full-Time Permanent | | 24 | | |
| Other than Full-Time Permanent | | 0 | | |
| **Total** | | 24 | | |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM CHANGE DETAIL BY OBJECT CLASS**
(Direct obligations; amounts in thousands)

Activity: Trademark Program

| | Object Class | 2025 Actual | 2026 Enacted | 2027 Base | 2027 Estimate | Increase/Decrease from 2027 Base |
|---|---|---|---|---|---|---|
| 11 | Personnel Compensation | | | | | |
| 11.1 | Personnel Compensation | 195,319 | 210,183 | 223,615 | 228,760 | 5,144 |
| 11.3 | Other than Full-Time Permanent | | | | | |
| 11.5 | Other Personnel Compensation | 27,278 | 31,602 | 33,211 | 34,089 | 879 |
| 11.8 | Special Personnel Services Payments | | | | | |
| 11.9 | Total Personnel Compensation | 222,597 | 241,785 | 256,826 | 262,849 | 6,023 |
| 12 | Personnel Benefits | 72,683 | 89,009 | 94,627 | 96,837 | 2,210 |
| 13 | Benefits to Former Personnel | 901 | - | - | - | - |
| 21 | Travel | 97 | 368 | 375 | 373 | (2) |
| 22 | Transportation of Things | | 6 | 6 | 5 | (1) |
| 23.1 | Rental Payments (GSA) | | | | | |
| 23.2 | Rental Payments (others) | | | | | |
| 23.3 | Communications, Utilities, and Miscellaneous Charges | 2 | 9 | 9 | 9 | (0) |
| 24 | Printing and Reproduction | 7 | - | - | - | - |
| 25.1 | Advisory and Assistance Services | | 3,125 | 3,191 | 3,204 | 13 |
| 25.2 | Other Services | 3,756 | 8,305 | 8,480 | 8,709 | 230 |
| 25.3 | Purchases of Goods and Services from Gov Accounts | | 1,540 | 1,572 | 1,610 | 38 |
| 25.4 | Operation and Maintenance Equipment | | | | | |
| 25.5 | Research and Development Contracts | | | | | |
| 25.7 | Operation and Maintenance of Equipment | 52,879 | 58,937 | 60,173 | 58,986 | (1,188) |
| 26 | Supplies and Materials | 2,411 | 3,563 | 3,638 | 3,601 | (37) |
| 31 | Property and Equipment | 389 | 1,122 | 1,145 | 1,139 | (6) |
| 32 | Land and Structures | | | | | |
| 33 | Investments and Loans | | | | | |
| 41 | Grants, Subsidies, Contributions | | | | | |
| 42 | Insurance Claims and Indemnities | 12 | 14 | 14 | 15 | 1 |
| 43 | Interest and Dividends | | | | | |
| 44 | Refunds | 713 | 800 | 817 | 800 | (17) |
| 99 | Total Obligations | **356,446** | **408,583** | **430,873** | **438,138** | **7,264** |

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# CROSS-CUTTING FUNCTIONS

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM AND PERFORMANCE: DIRECT OBLIGATIONS**
(Dollar amounts in thousands)

Activity: Cross-Cutting Functions

| Sub-Activity | | 2025 Actual Personnel | 2025 Actual Amount | 2026 Enacted Personnel | 2026 Enacted Amount | 2027 Base Personnel | 2027 Base Amount | 2027 Estimate Personnel | 2027 Estimate Amount | Increase/Decrease from 2027 Base Personnel | Increase/Decrease from 2027 Base Amount |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Policy, International Engagement, and | Pos/BA | 89 | 28,509 | 109 | 32,277 | 109 | 34,626 | 109 | 34,474 | - | (152) |
| Operational Support | FTE/Obl | 91 | - | 99 | - | 109 | - | 109 | - | - | - |
| GIPA | Pos/BA | 14 | 4,328 | 18 | 4,923 | 18 | 5,487 | 18 | 5,449 | - | (38) |
| | FTE/Obl | 15 | - | 16 | - | 18 | - | 18 | - | - | - |
| IPR Attaché Program | Pos/BA | 1 | 16,257 | 6 | 28,459 | 6 | 29,529 | 6 | 7,906 | - | (21,622) |
| | FTE/Obl | 2 | - | 4 | - | 6 | - | 6 | - | - | - |
| Executive Direction and Communications | Pos/BA | 110 | 34,071 | 158 | 55,018 | 158 | 56,154 | 158 | 55,863 | - | (291) |
| | FTE/Obl | 125 | - | 163 | - | 158 | - | 158 | - | - | - |
| Financial Management Services | Pos/BA | 167 | 54,077 | 204 | 54,682 | 204 | 59,312 | 204 | 58,750 | - | (562) |
| | FTE/Obl | 167 | - | 185 | - | 204 | - | 204 | - | - | - |
| Human Resource Management and | Pos/BA | 307 | 77,497 | 360 | 86,102 | 360 | 92,152 | 360 | 89,329 | - | (2,823) |
| Administrative Services | FTE/Obl | 315 | - | 338 | - | 360 | - | 360 | - | - | - |
| Legal Services | Pos/BA | 116 | 34,775 | 139 | 37,552 | 139 | 39,637 | 139 | 39,547 | - | (90) |
| | FTE/Obl | 123 | - | 130 | - | 139 | - | 139 | - | - | - |
| Cross-Cutting Functions Information Resources | Pos/BA | 114 | 126,959 | 119 | 132,982 | 117 | 135,889 | 117 | 131,378 | - | (4,511) |
| | FTE/Obl | 118 | - | 117 | - | 119 | - | 119 | - | - | - |
| IT Infrastructure and IT Support Services | Pos/BA | 349 | 374,260 | 386 | 488,918 | 390 | 501,151 | 390 | 492,561 | - | (8,590) |
| | FTE/Obl | 362 | - | 377 | - | 392 | - | 392 | - | - | - |
| Miscellaneous General Expense | Pos/BA | - | 235,641 | - | 263,343 | - | 273,789 | - | 276,652 | - | 2,863 |
| | FTE/Obl | | | | | | | | | | |
| Total | Pos/BA | 1,267 | 986,374 | 1,499 | 1,184,255 | 1,501 | 1,227,727 | 1,501 | 1,191,910 | - | (35,816) |
| | FTE/Obl | 1,320 | - | 1,428 | - | 1,505 | - | 1,505 | - | - | - |

## Cross-Cutting Functions Allocation

| | | 2025 Actual | | 2026 Enacted | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Patent Program | Pos./BA | 1,020 | 804,968 | 1,203 | 954,255 | 1,205 | 990,415 | 1,205 | 967,429 | - | (22,986) |
| | FTE/Obl | 1,062 | - | 1,146 | - | 1,209 | - | 1,209 | - | - | - |
| Trademark Program | Pos./BA | 247 | 181,406 | 295 | 230,001 | 296 | 237,312 | 296 | 224,481 | - | (12,830) |
| | FTE/Obl | 257 | - | 283 | - | 296 | - | 296 | - | - | - |
| Total Cross-Cutting Functions Allocation | Pos./BA | 1,267 | 986,374 | 1,499 | 1,184,255 | 1,501 | 1,227,727 | 1,501 | 1,191,910 | - | (35,816) |
| | FTE/Obl | 1,320 | - | 1,428 | - | 1,505 | - | 1,505 | - | - | - |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**JUSTIFICATION OF PROGRAM AND PERFORMANCE**
(Dollar amounts in thousands)

Activity: Cross-Cutting Functions

## Goal Statement

The Cross-Cutting Functions Program's goal is to provide domestic and global leadership in intellectual property policy, protection, and enforcement, while maximizing efficiency to provide excellent mission delivery.

## Base Program

The Cross-Cutting Functions Program includes USPTO support functions that are necessary for enabling mission-critical operations, including IP protection and policy, executive direction, financial and legal services, human capital and facility management, and the management of the agency's IT infrastructure.

## Statement of Operating Objectives

Some of the major objectives of the Cross-Cutting Functions Program are to:

- Bring education and awareness to the critical role that IP plays in enhancing U.S. prosperity and security
- Promote respect for IP at home and abroad
- Combat IP theft
- Advance a performance-based culture, promote excellence, and foster employee engagement
- Effectively manage user fees by allocating resources to mission-critical services
- Modernize and efficiently operate secure and scalable technology
- Make data-driven decisions and leverage automation

# Explanation and Justification

| | | 2025 Actual | | 2026 Enacted | | 2027 Base | |
|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Policy, International Engagement, and Operational Support | Pos/BA | 89 | 28,509 | 109 | 32,277 | 109 | 34,626 |
| | FTE/Obl | 91 | - | 99 | - | 109 | - |
| GIPA | Pos/BA | 14 | 4,328 | 18 | 4,923 | 18 | 5,487 |
| | FTE/Obl | 15 | - | 16 | - | 18 | - |
| IPR Attaché Program | Pos/BA | 1 | 16,257 | 6 | 28,459 | 6 | 29,529 |
| | FTE/Obl | 2 | - | 4 | - | 6 | - |
| Executive Direction and Communications | Pos/BA | 110 | 34,071 | 158 | 55,018 | 158 | 56,154 |
| | FTE/Obl | 125 | - | 163 | - | 158 | - |
| Financial Management Services | Pos/BA | 167 | 54,077 | 204 | 54,682 | 204 | 59,312 |
| | FTE/Obl | 167 | - | 185 | - | 204 | - |
| Human Resource Management and Administrative Services | Pos/BA | 307 | 77,497 | 360 | 86,102 | 360 | 92,152 |
| | FTE/Obl | 315 | - | 338 | - | 360 | - |
| Legal Services | Pos/BA | 116 | 34,775 | 139 | 37,552 | 139 | 39,637 |
| | FTE/Obl | 123 | - | 130 | - | 139 | - |
| Cross-Cutting Functions Information Resources | Pos/BA | 114 | 126,959 | 119 | 132,982 | 117 | 135,889 |
| | FTE/Obl | 118 | - | 117 | - | 119 | - |
| IT Infrastructure and IT Support Services | Pos/BA | 349 | 374,260 | 386 | 488,918 | 390 | 501,151 |
| | FTE/Obl | 362 | - | 377 | - | 392 | - |
| MGE | Pos/BA | - | 235,641 | - | 263,343 | - | 273,789 |
| | FTE/Obl | | | | | | |
| Total | Pos/BA | 1,267 | 986,374 | 1,499 | 1,184,255 | 1,501 | 1,227,727 |
| | FTE/Obl | 1,320 | - | 1,428 | - | 1,505 | - |

**Cross-Cutting Functions**
For FY 2027, the USPTO base totals $1,228 million and 1,501 positions (1,505 FTE) for the Cross-Cutting Functions Program. The agency allocates the costs of this program's activities to the Patent and Trademark Programs using ABI results.

**Policy, International Engagement, and Operational Support**
The Chief Policy Officer and Director for International Affairs heads the Office of Policy and International Affairs (OPIA) and serves as the principal advisor to the USPTO Director on public policy matters related to IP protection, including proposed U.S. legislation and international activities. The OPIA includes attorneys in various subject matter fields (e.g., trade, enforcement, patents, trademarks, and copyright) who travel and perform policy and representation work. The OPIA also includes program analysts and several administrative support specialists who support the entire agency.

Intellectual Property Policy
The OPIA participates in the World Intellectual Property Organization (WIPO), a specialized agency of the United Nations devoted to IP matters; the World Trade Organization (WTO), an international forum for liberalizing trade; and other IP-related organizations. As a WTO member, the United States has worked to implement a substantial IP component known as the Agreement on Trade-Related Aspects of IP Rights. The OPIA provides technical expertise in IP dispute settlement cases before the WTO in support of and at the request of the Office of the United States Trade Representative. The OPIA has been the U.S. government's IP technical representative in several cases—most recently, in the U.S. government's successful copyright challenge to certain aspects of China's IP regime.

The USPTO's statutory obligation to provide the Administration with guidance and advice on international IP policy and protection includes bilateral, regional, and multilateral IP discussions and IP office cooperation—activities that have directly led to patent worksharing. Some of these initiatives include supporting free trade agreements and trilateral cooperative activities and working to simplify and harmonize the administrative and technical processing of patent and trademark applications.

The OPIA also coordinates patent cooperative activities with the world's five leading IP offices,[1] which leads to worksharing and Patent Prosecution Highway projects that will help improve operational efficiency and address the unexamined patent application inventory. Access the Data Visualization Center to view OPIA performance metrics.

[1] IP5—The USPTO, the European Patent Office, the Japan Patent Office, the Korean Intellectual Property Office, and the China National Intellectual Property Administration.

### Global Intellectual Property Academy

The GIPA organizes international technical assistance activities in both web-based and in-person formats. These activities are designed to foster respect for IP and encourage the development of strong IP frameworks around the world. The GIPA's trainings cover all areas of IP law and policy and primarily focus on enforcement, patents, trademarks, and copyrights. The GIPA trains foreign government officials from other IP offices and foreign government officials responsible for IP enforcement policy and law enforcement. The GIPA also offers specialized programs to U.S. stakeholders interested in protecting and enforcing their IP in the United States and abroad. Visit the GIPA webpage for more information.

### Intellectual Property Attaché Program

The USPTO formally instituted the IP Attaché Program in 2006 to promote strong international IP protection and enforcement for the benefit of U.S. foreign, economic, and political interests. In FY 2027, the IP Attaché Program will have 14 IP attaché positions at the following posts: Rio de Janeiro, Brazil; New Delhi, India; Beijing, Shanghai, and Guangzhou, China; Bangkok, Thailand; Lima, Peru; Brussels, Belgium; Mexico City, Mexico; Kyiv, Ukraine; Abu Dhabi, United Arab Emirates; Johannesburg, South Africa; and Geneva, Switzerland. In addition, to expand coverage and resources in South America, the agency has placed an IP specialist in Buenos Aires, Argentina, reporting to the attaché based in Rio de Janeiro. In response to calls from U.S. industry and Congress to expand the IP attaché network, the USPTO is actively exploring opportunities to add four IP attachés to its network, located in South Korea, Türkiye, Germany, and Thailand. The IP Attaché Program is exploring opportunities to open a post in East Asia and to transfer the attaché for Eastern and Central Europe from Kyiv, Ukraine, to Ankara, Türkiye. The IP Attaché Program is closely aligned with and supports the achievement of the USPTO mission and objectives identified in the Interim USPTO Strategic Framework. The IP attachés bring unique technical expertise and experience to their posts and have helped influence laws, regulations, and IP rights practices in their host countries. Visit the IP Attaché Program webpage for more information.

### Executive Direction, Communications, and Outreach

The executive direction, communications, and outreach function entails determining the policies and directing the programs of the USPTO. The PPAC and TPAC advise the USPTO Director on policies, goals, performance, budget, and user fees.

As the world's leading IP agency, the USPTO relies on consistent and effective communications and outreach to achieve its policy goals. In FY 2027, the USPTO will continue to manage agency policies to ensure it meets its mission and vision while leading initiatives that focus on advancing competition in the U.S. economy.

The USPTO seeks to promote and protect innovation through its outreach efforts. By maintaining partnerships with the National Science & Technology Medals Foundation and the National Inventors Hall of Fame, the USPTO participates in and supports educational programs that bolster innovation through invention, entrepreneurship, and creativity.

<u>Office of Governmental Affairs</u>
The Office of Governmental Affairs (OGA) formulates legislative and policy proposals and prepares supporting documentation for USPTO proposals. The OGA's mission is to inform Congress about and provide technical assistance for the USPTO's initiatives and proposed IP legislation, generate goodwill, provide education and outreach, prepare for hearings and legislation, manage responses to congressional inquiries, and liaise with the DOC and other agencies.

<u>Office of Public Engagement</u>
The Office of Public Engagement (OPE) promotes innovation throughout the United States by strategically educating the American people on the purpose and value of IP; illuminating and explaining the USPTO, its purpose, and its initiatives to the public; providing stakeholder feedback, suggestions, and concerns to the appropriate agency business units; and highlighting the resources available to support the USPTO's priorities.

**Financial Management Services**
The financial management services function helps the agency to manage its organizational resources effectively through activities that include budget formulation, budget execution, fee estimation, acquisitions, cost accounting, and vendor payments. As of FY 2025, the USPTO had earned an unmodified audit opinion on its annual financial statements for 33 consecutive years. The Association of Government Accountants awarded the USPTO its 23rd consecutive Certificate of Excellence in Accountability Reporting for its FY 2024 Agency Financial Report (AFR).

**Human Resource Management and Administrative Services**
In FY 2027, the Office of the Chief Administrative Officer (OCAO) will be responsible for effectively managing human resources and providing administrative services, including:

- Analyzing organizational capacity through workforce assessments to align workload demand with direct capacity in human resources
- Supporting the recruitment, development, and retention of a high-performing and highly skilled workforce necessary for mission success
- Promoting an engaged and evolving workforce through succession planning, fostering the next generation of USPTO leaders, and implementing other employee engagement and recognition programs
- Overseeing a broad range of administrative and employee service programs (e.g., occupational, safety, and health services; printing and graphics services; mail center operations; office move services; transportation services; conference services; cafeteria and food services; personnel property management services; the Insider Threat Program; and records management services) that are responsive to the needs of the USPTO workforce
- Providing real property services (e.g., lease and facilities management, space planning and design, and the coordination of building renovations), as well as energy conservation and environmental management services
- Protecting personnel, facilities, and property and coordinating the USPTO's Occupant Emergency, Emergency Preparedness, and Continuity of Operations programs' planning efforts

The OCAO is committed to enhancing recruitment and hiring practices at the USPTO in alignment with the Office of Personnel Management (OPM) hiring plan. This commitment is reflected in a comprehensive approach to reforming recruitment processes, focusing on skills-based hiring, and improving candidates' overall experiences. The OCAO's plan emphasizes the importance of recruiting a workforce that is dedicated to enhancing the efficiency of the federal government, with an approach guided by the following principles:

- Commitment to merit-based hiring
- Collaboration with the OPM to attract veterans and qualified candidates in STEM fields and in the early stages of their careers
- Use of technical and alternative assessments
- Efficiency in hiring
- Transparent communication
- Integration of technology
- Involvement of leadership

Office of Equal Employment Opportunity

The Office of Equal Employment Opportunity (OEEO) partners with each USPTO business unit to ensure legal compliance with federal statutes and regulatory reporting requirements. The OEEO promotes equal employment opportunity (EEO) by:

- Ensuring EEO for USPTO employees and applicants by providing legally required training and ad hoc advice on federal statutes to managers and employees, providing EEO counseling services to aggrieved persons, and overseeing investigations of EEO complaints.
- Improving accessibility for users of facilities, programs, and services the USPTO operates or funds. The OEEO supports the USPTO's commitment to providing reasonable accommodations for employees and job applicants with disabilities, including sign language interpretation and Communication Access Real-time Translation services.
- Compiling and assessing data required by the agency's regulatory reporting obligations (i.e., Management Directive 715, the 462 Report, and the Notification and Federal Employee Antidiscrimination and Retaliation Act Report).
- Training employees and supervisors on the Senior Executive Service's executive core qualifications to address knowledge gaps and, when applicable, enhance supervisory skills or prepare employees for employment opportunities.
- Managing EEO complaint processing, including through alternative dispute resolution.

Ombudsman Program

The Ombudsman Program helps USPTO employees and managers explore options for preventing, addressing, and resolving workplace issues.

**Legal Services**

Offices under the Office of the General Counsel provide the following legal services:

- The Office of the Solicitor (SO) serves as legal counsel to the USPTO on IP law matters. The SO also collaborates with the DOC on interagency IP law matters; defends PTAB and TTAB decisions before the United States Court of Appeals for the Federal

Circuit and federal district courts; represents the USPTO Director in district court actions filed against the agency, pursuant to the Administrative Procedure Act; provides legal advice on IP law, policy, and regulation; prosecutes alleged ethical violations by attorneys and agents who practice before the agency; and defends USPTO employees at deposition.

- The Office of General Law (OGL) represents the USPTO in matters that do not involve IP issues. The OGL provides advice and written legal opinions on matters concerning the administration and management of the USPTO. The OGL also represents the USPTO in various administrative proceedings.
- The Office of Enrollment and Discipline (OED) investigates attorney and registered patent agent misconduct, determines appropriate disciplinary proceedings, and suspends or excludes from practice before the USPTO any person, attorney, or registered patent agent shown to be incompetent or disreputable or found culpable of unethical, unprofessional, or gross misconduct, including in cases in which patent and trademark fraud are perpetrated. In addition, the OED maintains a roster of individuals who are registered to practice before the USPTO in patent matters, entailing review of the legal, technical, and moral character qualifications of individuals seeking recognition to practice before the USPTO.

**Cross-Cutting Functions Information Resources**

Cross-cutting functions information resources support the USPTO’s key IT objective of modernizing and efficiently operating secure and scalable technology, along with the following Enterprise Business Product Line (EBPL) key objectives:

- Increase employee engagement and improve CX with streamlined tools
- Collect, store, and distribute authoritative data
- Leverage technology to gain business efficiencies

**Information Technology Infrastructure and Information Technology Support Services**

The mission of the Enterprise Infrastructure Product Line (EIPL), or IT infrastructure and IT support services, is to provide USPTO staff and customers with progressively better, faster, and more cost-effective technologies and services. The EIPL’s key objectives are security, resiliency, and the use of emerging technology. This includes maintaining the USPTO’s AI governance to support the acceleration of agency AI capabilities, such as managing strategic alignment, risk management, and trustworthy use of AI technologies, guiding responsible AI deployment, and promoting transparency, accountability, and sharing AI solutions across the agency. To date, the USPTO has completed the following activities:

- Stood up an AI lab to safely explore emerging AI technologies from the nation’s frontier labs.
- Deployed a secure, multi-cloud, generative AI platform and built a general productivity web application (internally called SCOUT LLM) on it. The SCOUT LLM app is currently being beta tested by over 2,200 USPTO employees and contractors across all business units.
- Deployed developer AI tools to over 600 software developers to increase the efficiency and quality of software code generation.
- Established an AI academy to upskill employees and increase AI adoption within guardrails set by the USPTO.
- Deployed AI tools in internal and public-facing call centers to serve internal employees and the public more effectively.

While supporting the agency's key IT objective of modernizing and efficiently operating secure and scalable technology, the EIPL also conducts exceptional research, design, testing, procurement, implementation, integration, operations, maintenance, and support for the USPTO's internal and external products. Additionally, the EIPL continually improves customer service and user experience by measuring, anticipating, and addressing enterprise needs and leading rapid change to support dynamic business requirements, statutory obligations, and USPTO priorities. In addition to prioritizing business units' needs, the EIPL prioritizes including the continuous, sustainable replacement and improvement of desktop equipment, network hardware, and server and storage services.

**Cross-Cutting Management Services: Miscellaneous General Expense**
The MGE sub-program includes cross-cutting services that affect all USPTO employees and operations, such as space rentals, utilities, lease management, security, transportation, postage, and the agency's participation in the DOC Working Capital Fund. This sub-program also includes funding for post-retirement benefits, whereby the USPTO funds the Federal Employees Health Benefits (FEHB) Program, Federal Employees' Group Life Insurance (FEGLI) Program, and pension liabilities under the CSRS and FERS. The USPTO pays these funds to the OPM. Base funds also include $50,000 to purchase uniforms that USPTO personnel wear at recruitment, on-boarding, and outreach activities, consistent with common recruitment practices.

**Department of Commerce**
**United States Patent and Trademark Office**
**CROSS-CUTTING FUNCTIONS PROGRAM**
**PROGRAM CHANGES FOR FY 2027**
(Dollars amounts in thousands)

| | | 2027 Base | | 2027 Estimate | | Increase/Decrease from 2027 Base | |
|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Policy, International Engagement, and Operational Support | Pos/BA | 109 | 34,626 | 109 | 34,474 | - | (152) |
| | FTE/Obl | 109 | | 109 | | - | |
| GIPA | Pos/BA | 18 | 5,487 | 18 | 5,449 | - | (38) |
| | FTE/Obl | 18 | | 18 | | - | |
| IPR Attaché Program | Pos/BA | 6 | 29,529 | 6 | 7,906 | - | (21,622) |
| | FTE/Obl | 6 | | 6 | | - | |
| Executive Direction and Communications | Pos/BA | 158 | 56,154 | 158 | 55,863 | - | (291) |
| | FTE/Obl | 158 | | 158 | | - | |
| Financial Management Services | Pos/BA | 204 | 59,312 | 204 | 58,750 | - | (562) |
| | FTE/Obl | 204 | | 204 | | - | |
| Human Resource Management and Administrative Services | Pos/BA | 360 | 92,152 | 360 | 89,329 | - | (2,823) |
| | FTE/Obl | 360 | | 360 | | - | |
| Legal Services | Pos/BA | 139 | 39,637 | 139 | 39,547 | - | (90) |
| | FTE/Obl | 139 | | 139 | | - | |
| Cross-Cutting Functions Information Resources | Pos/BA | 117 | 135,889 | 117 | 131,378 | - | (4,511) |
| | FTE/Obl | 119 | | 119 | | - | |
| IT Infrastructure and IT Support Services | Pos/BA | 390 | 501,151 | 390 | 492,561 | - | (8,590) |
| | FTE/Obl | 392 | | 392 | | - | |
| MGE | Pos/BA | - | 273,789 | - | 276,652 | - | 2,863 |
| | FTE/Obl | - | | - | | - | |
| Direct Total Cross-Cutting Functions | Pos/BA | 1,501 | 1,227,727 | 1,501 | 1,191,910 | - | (35,816) |
| | FTE/Obl | 1,505 | | 1,505 | | - | |

**Department of Commerce**
**United States Patent and Trademark Office**
**CROSS-CUTTING FUNCTIONS PROGRAM**
**PROGRAM CHANGES FOR 2027-2031**
**(**Dollar amounts in thousands)

| | | 2027 Increase/Decrease | | 2028 Increase/Decrease | | 2029 Increase/Decrease | | 2030 Increase/Decrease | | 2031 Increase/Decrease | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Policy, International Engagement, and Operational Support | Pos/BA | | (152) | - | (308) | - | (467) | - | (1,029) | - | (1,446) |
| | FTE/Obl | | | | | | | | | | |
| GIPA | Pos/BA | | (38) | - | (77) | - | (117) | - | (157) | - | (199) |
| | FTE/Obl | | | | | | | | | | |
| IPR Attaché Program | Pos/BA | | (21,622) | - | 8,397 | - | (21,809) | - | 9,991 | - | (21,908) |
| | FTE/Obl | | | | | | | | | | |
| Executive Direction and Communications | Pos/BA | | (291) | - | (528) | - | (832) | - | (1,141) | - | (1,458) |
| | FTE/Obl | | | | | | | | | | |
| Financial Management Services | Pos/BA | | (562) | - | (773) | - | (990) | - | (1,212) | - | (1,514) |
| | FTE/Obl | | | | | | | | | | |
| Human Resource Management and Administrative Services | Pos/BA | | (2,823) | - | (1,255) | - | (1,896) | - | (2,146) | - | (2,606) |
| | FTE/Obl | | | | | | | | | | |
| Legal Services | Pos/BA | | (90) | - | (148) | - | (242) | - | (347) | - | (1,128) |
| | FTE/Obl | | | | | | | | | | |
| Cross Cutting Functions Information Resources | Pos/BA | | (4,511) | - | (4,606) | - | (4,702) | - | (4,801) | - | (4,902) |
| | FTE/Obl | | | | | | | | | | |
| IT Infrastructure and IT Support Services | Pos/BA | | (8,590) | - | (13,966) | - | (14,275) | - | (14,591) | - | (14,913) |
| | FTE/Obl | | | | | | | | | | |
| MGE | Pos/BA | | 2,863 | - | 59,723 | - | 60,756 | - | 61,857 | - | 59,659 |
| | FTE/Obl | | | | | | | | | | |
| Direct Total Cross Cutting Functions | Pos/BA | | (35,816) | - | 46,460 | - | 15,427 | - | 46,423 | - | 9,585 |
| | FTE/Obl | | | | | | | | | | |

**Sub-Activity: Policy, International Engagement, and Operational Support**
IP policy activities (-$0.2 million and +0 positions (0 FTE)): This funding will support the continued development of IP policy by allowing the USPTO to improve the international legal framework for IP protection, provide expert advice on domestic IP legislation, conduct research to guide agency initiatives and policy recommendations on the functioning of the IP system, and expand research on domestic and international IP issues and developments to inform policy formulation.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (152) | (308) | (467) | (1,029) | (1,446) |
| Budget Authority | (152) | (308) | (467) | (1,029) | (1,446) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Global Intellectual Property Academy**
IP policy activities (-$0.04 million and +0 positions (0 FTE)): The funding for GIPA programs benefits U.S. stakeholders by educating both foreign and U.S. government officials on the protection, use, and enforcement of IP to improve IP protection systems worldwide.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (38) | (77) | (117) | (157) | (199) |
| Budget Authority | (38) | (77) | (117) | (157) | (199) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: IP Attaché Program**
IP policy activities (-$21.6 million and +0 positions (0 FTE)): This funding will continue to support operations for IP Attaché Program posts abroad in FY 2027 and reflects the two-year funding cycle implemented in the last budget year. Additionally, outyear funding will support four new attaché posts that the USPTO is actively exploring in South Korea, Türkiye, Germany, and Thailand. The agency will also strengthen the worldwide network of IP attachés who conduct outreach to foreign governments to improve IP laws and policies and support U.S. stakeholders.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (21,622) | 8,397 | (21,809) | 9,991 | (21,908) |
| Budget Authority | (21,622) | 8,397 | (21,809) | 9,991 | (21,908) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Executive Direction, Communications, and Outreach**
Office of the Under Secretary and USPTO Director, Office of the Chief Communications Officer (OCCO), and OPE (-$0.3 million and +0 positions (0 FTE)): This funding supports the agency's leadership, policy development, and public engagement efforts to ensure the USPTO operates effectively and maintains strong relationships with the public and the global IP community. It encompasses activities under the Office of the Under Secretary and Director, the OCCO, and the OPE.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (291) | (528) | (832) | (1,141) | (1,458) |
| Budget Authority | (291) | (528) | (832) | (1,141) | (1,458) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Financial Management Services**
Office of the Chief Financial Officer (-$0.6 million and +0 positions (0 FTE)): This funding supports the USPTO's financial planning, budgeting, accounting, and fee collection operations, which allow the agency to manage its resources effectively and comply with federal financial standards.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (562) | (773) | (990) | (1,212) | (1,514) |
| Budget Authority | (562) | (773) | (990) | (1,212) | (1,514) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Human Resource Management and Administrative Services**
Human resource management and administrative services (-$2.8 million and +0 positions (0 FTE)): This program change reflects ongoing implementation of contract reductions and reprioritization of nonessential training and travel funds in human resource management and administrative services. Additionally, this funding will enable the USPTO to augment its capacity and improve the delivery of the agency's human capital management program, which includes mission-critical positions the agency must fill to meet DOC requirements and OPM regulatory changes.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (2,823) | (1,255) | (1,896) | (2,146) | (2,606) |
| Budget Authority | (2,823) | (1,255) | (1,896) | (2,146) | (2,606) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Legal Services**
Legal services (-$0.09 million and + 0 positions (0 FTE)): This funding supports the USPTO's internal legal counsel and regulatory functions, ensuring the agency operates within the bounds of the law and sound legal policy.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (90) | (148) | (242) | (347) | (1,128) |
| Budget Authority | (90) | (148) | (242) | (347) | (1,128) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Cross-Cutting Functions Information Resources**
Cross-cutting functions information resources (-$4.5 million and +0 positions (0 FTE)): This program change is due to leveraging technology to gain business efficiencies. Specifically, this request will fund the following EBPL objectives:

- Increase employee engagement and improve CX with streamlined tools: Modernizing and streamlining the EBPL's existing tools and public-facing components will increase employee engagement and customer satisfaction.
- Collect, store, and distribute authoritative data: Ingesting, warehousing, and distributing data will lead to greater data maturity and the use of data as an enterprise asset.
- Leverage technology to gain business efficiencies: Reducing repetitive manual processes through automation and centralized tools will save time and costs and increase productivity.

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (4,511) | (4,606) | (4,702) | (4,801) | (4,902) |
| Budget Authority | (4,511) | (4,606) | (4,702) | (4,801) | (4,902) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

*Visit the USPTO's Exhibit 300 submissions located on the Federal IT Dashboard for additional information regarding schedules, milestones, and deliverables.*

**Sub-Activity: Information Technology Infrastructure and Information Technology Support Services**
IT infrastructure and tools (-$8.6 million and +0 positions (0 FTE)): This request will fund the EIPL's key objectives and provide the infrastructure and IT support all USPTO business units need to meet their missions:

- Security: Protecting USPTO systems and data against ever-increasing levels of digital attack, helping to ensure the agency's continuity of operations and facilitating trust in the integrity of the IP data the agency is entrusted with protecting
- Resiliency: Providing continuous mission support services to customers and USPTO employees by maintaining highly available and resilient systems that enable the agency to be agile and adaptable in delivering business value
- Emerging technology: Exploring and delivering new capabilities, including cloud, AI, and other solutions, to keep pace with customer and USPTO workforce needs, as paramount in advancing timely decision-making and action to prevent threats from negatively impacting the USPTO mission

Additionally, the USPTO has planned and budgeted emerging technology resources to address new work stemming from advances in AI and other emerging capabilities. This funding provides the USPTO with the flexibility to make timely, targeted investments in new services or offerings that support agency priorities. Examples of where the agency plans to increase its AI footprint in a thoughtful and responsible manner include:

- Combating fraud in patent applications and trademark registrations using supervised learning (for known patterns), unsupervised learning (for novel schemes), and graph neural networks (for mapping connections between seemingly unrelated transactions)
- Modernizing the search function on the external website (www.uspto.gov) to improve public satisfaction when doing business with the USPTO
- Enabling employees to learn more quickly and effectively

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | (8,590) | (13,966) | (14,275) | (14,591) | (14,913) |
| Budget Authority | (8,590) | (13,966) | (14,275) | (14,591) | (14,913) |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Sub-Activity: Cross-Cutting Services/Miscellaneous General Expense**
Improvements to cross-cutting services/MGE (+$2.9 million and +0 positions (0 FTE)): This request will support an increase to the working capital fund program to sustain department-wide investment in zero trust architecture and the USPTO's efforts to invest in cost-effective improvements to corporate support services that impact all employees and operations. Additionally, this sub-activity funds:

- Closing the Rocky Mountain Regional Outreach Office in Denver, Colorado, and opening two new community engagement offices in Bozeman, Montana, and Salt Lake City, Utah, to serve the Rocky Mountain region
- Opening at least one additional community engagement office by December 2027, per UAIA mandates

| | 2027 | 2028 | 2029 | 2030 | 2031 |
|---|---|---|---|---|---|
| Outyear Costs | | | | | |
| Direct Obligations | 2,863 | 59,723 | 60,756 | 61,857 | 59,659 |
| Budget Authority | 2,863 | 59,723 | 60,756 | 61,857 | 59,659 |
| FTE | 0 | 0 | 0 | 0 | 0 |
| Positions | 0 | 0 | 0 | 0 | 0 |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PROGRAM CHANGE DETAIL BY OBJECT CLASS**
(Direct obligations; amounts in thousands)

Activity: Cross-Cutting Functions

| | Object Class | **2025** Actual | **2026** Enacted | **2027** Base | **2027** Estimate | Increase/Decrease from 2027 base |
|---|---|---|---|---|---|---|
| 11 | Personnel Compensation | | | | | |
| 11.1 | Personnel Compensation | 232,423 | 239,799 | 244,160 | 244,160 | - |
| 11.3 | Other than Full-Time Permanent | - | - | - | - | - |
| 11.5 | Other Personnel Compensation | 14,332 | 13,938 | 14,867 | 14,867 | - |
| 11.8 | Special Personnel Services Payments | - | - | - | - | - |
| 11.9 | Total Personnel Compensation | 246,755 | 253,736 | 259,027 | 259,027 | - |
| 12 | Personnel Benefits | 199,161 | 189,301 | 210,916 | 210,916 | - |
| 13 | Benefits to Former Personnel | 4,571 | - | 1,000 | 1,000 | - |
| 21 | Travel | 3,282 | 6,305 | 6,438 | 6,320 | (117) |
| 22 | Transportation of Things | 2,213 | 1,247 | 1,273 | 1,247 | (26) |
| 23.1 | Rental Payments (GSA) | 70,585 | 72,010 | 73,522 | 72,417 | (1,105) |
| 23.2 | Rental Payments (Others) | 6,813 | 7,779 | 7,942 | 10,048 | 2,106 |
| 23.3 | Communications, Utilities, and Miscellaneous Charges | 7,470 | 10,739 | 10,964 | 10,733 | (231) |
| 24 | Printing and Reproduction | 411 | 595 | 608 | 482 | (126) |
| 25.1 | Advisory and Assistance Services | 7,495 | 2,385 | 2,435 | 2,362 | (74) |
| 25.2 | Other Services | 47,805 | 69,624 | 71,087 | 68,684 | (2,403) |
| 25.3 | Purchases of Goods and Services from Gov Accounts | 65,519 | 60,557 | 61,829 | 62,286 | 457 |
| 25.4 | Operation and Maintenance Equipment | 15,981 | 24,293 | 24,803 | 17,158 | (7,645) |
| 25.5 | Research and Development Contracts | - | - | - | - | - |
| 25.7 | Operation and Maintenance of Equipment | 249,291 | 393,849 | 402,120 | 378,813 | (23,307) |
| 26 | Supplies and Materials | 2,759 | 3,762 | 3,841 | 3,668 | (173) |
| 31 | Property and Equipment | 55,864 | 87,963 | 89,810 | 86,641 | (3,169) |
| 32 | Land and Structures | - | - | - | - | - |
| 33 | Investments and Loans | - | - | - | - | - |
| 41 | Grants, Subsidies, Contributions | - | - | - | - | - |
| 42 | Insurance Claims and Indemnities | (117) | 85 | 87 | 85 | (2) |
| 43 | Interest and Dividends | 516 | 24 | 25 | 24 | (1) |
| 44 | Refunds | - | - | - | - | - |
| 99 | Total obligations | **986,374** | **1,184,255** | **1,227,727** | **1,191,910** | **(35,816)** |

# EXHIBITS: 16–42

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# Department of Commerce
# United States Patent and Trademark Office
# Salaries and Expenses
## SUMMARY OF REQUIREMENTS BY OBJECT CLASS
(Dollar amounts in thousands)

| | Object Class | 2025 Actual | 2026 Enacted | 2027 Base | 2027 Estimate | Increase/Decrease from 2027 base |
|---|---|---|---|---|---|---|
| 11.1 | Personnel Compensation | 2,151,882 | 2,205,812 | 2,280,105 | 2,313,832 | 33,727 |
| 11.5 | Other Personnel Compensation | 201,640 | 280,834 | 288,254 | 291,646 | 3,392 |
| **11.9** | **Total Personnel Compensation** | 2,353,522 | 2,486,646 | 2,568,359 | 2,605,478 | 37,119 |
| 12 | Personnel Benefits | 923,082 | 950,425 | 996,099 | 1,009,104 | 13,004 |
| 13 | Benefits to Former Personnel | 7,671 | - | 1,000 | 1,000 | - |
| 21 | Travel | 2,426 | 8,107 | 8,278 | 8,161 | (117) |
| 22 | Transportation of Things | 2,212 | 1,252 | 1,279 | 1,252 | (27) |
| 23.1 | Rental Payments (GSA) | 70,585 | 72,010 | 73,522 | 72,417 | (1,105) |
| 23.2 | Rental Payments (Others) | 6,819 | 7,779 | 7,942 | 10,048 | 2,106 |
| 23.3 | Communications, Utilities, and Miscellaneous Charges | 7,472 | 10,748 | 10,974 | 10,742 | (231) |
| 24 | Printing and Reproduction | 166,794 | 233,644 | 238,550 | 224,302 | (14,249) |
| 25.1 | Advisory and Assistance Services | 61,412 | 76,152 | 77,751 | 69,917 | (7,834) |
| 25.2 | Other Services | 102,952 | 163,302 | 166,731 | 163,585 | (3,146) |
| 25.3 | Purchases of Goods and Services from Gov Accounts | 49,347 | 62,204 | 63,510 | 64,003 | 493 |
| 25.4 | Operation and Maintenance Equipment | 15,981 | 24,293 | 24,803 | 17,158 | (7,645) |
| 25.7 | Operation and Maintenance of Equipment | 461,564 | 584,886 | 597,168 | 569,270 | (27,898) |
| 26 | Supplies and Materials | 43,195 | 44,059 | 44,984 | 45,272 | 288 |
| 31 | Property and Equipment | 55,877 | 90,744 | 92,650 | 89,624 | (3,027) |
| 42 | Insurance Claims and Indemnities | 86 | 99 | 101 | 100 | (1) |
| 43 | Interest and Dividends | 516 | 24 | 25 | 24 | (1) |
| 44 | Refunds | 3,057 | 3,575 | 3,650 | 3,633 | (17) |
| 99.9 | **Total Obligations** | 4,334,570 | 4,819,948 | 4,977,376 | 4,965,089 | (12,287) |
| | Fee Collections | (4,519,714) | (4,956,000) | (5,160,250) | (5,160,250) | - |
| | Current Fee Collections Estimate Adjustment* | - | 1,328 | - | - | - |
| | Less Prior Year Other Income/Recoveries | (45,506) | (76,226) | (55,000) | (55,000) | - |
| | Less Prior Year Unobligated Balance | (1,141,892) | (1,370,091) | (1,578,591) | (1,578,591) | - |
| | Less End Year Unobligated Balance | 1,370,091 | 1,578,591 | 1,814,016 | 1,826,303 | 12,287 |
| | Total Budget Authority | (2,450) | (2,450) | (2,450) | (2,450) | - |
| | Personnel Data | | | | | |
| | FTE Employment | 13,351 | 13,967 | 14,430 | 14,752 | 322 |
| | Positions | 13,807 | 14,646 | 14,646 | 15,212 | 566 |

*Adjustment based on current fee estimates in accordance with FY2026 Commerce, Justice, Science; Energy and Water Development; and Interior and Environment Appropriations Act (P.L. 119-74), “Provided, That the sum herein from the general fund shall be reduced as offsetting collections of fees and surcharges assessed and collected by the USPTO under any law are received during fiscal year 2026, so as to result in a fiscal year 2026 appropriation from the general fund estimated at $0.”

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**SUMMARY OF PATENT PROGRAM BY OBJECT CLASS**
(Dollar amounts in thousands)

| | Object Class | 2025 Actual | 2026 Enacted | 2027 Base | 2027 Estimate | Increase/Decrease from 2027 base |
|---|---|---|---|---|---|---|
| 11.1 | Personnel Compensation | 1,913,666 | 1,947,133 | 2,006,868 | 2,035,451 | 28,583 |
| 11.5 | Other Personnel Compensation | 171,712 | 246,394 | 252,034 | 254,548 | 2,514 |
| 11.9 | **Total Personnel Compensation** | 2,085,378 | 2,193,526 | 2,258,902 | 2,289,998 | 31,096 |
| 12 | Personnel Benefits | 822,306 | 832,833 | 870,178 | 880,972 | 10,794 |
| 13 | Benefits to Former Personnel | 6,122 | - | 850 | 850 | - |
| 21 | Travel | 1,919 | 6,136 | 6,265 | 6,182 | (83) |
| 22 | Transportation of Things | 1,857 | 1,062 | 1,085 | 1,062 | (22) |
| 23.1 | Rental Payments (GSA) | 60,016 | 61,228 | 62,514 | 61,574 | (940) |
| 23.2 | Rental Payments (Others) | 5,741 | 6,597 | 6,735 | 8,526 | 1,791 |
| 23.3 | Communications, Utilities and Miscellaneous Charges | 6,223 | 8,903 | 9,090 | 8,903 | (187) |
| 24 | Printing and Reproduction | 166,728 | 233,553 | 238,458 | 224,228 | (14,229) |
| 25.1 | Advisory and Assistance Services | 60,454 | 72,684 | 74,210 | 66,374 | (7,836) |
| 25.2 | Other Services | 92,190 | 144,138 | 147,165 | 144,240 | (2,925) |
| 25.3 | Purchases of Goods and Services from Gov Accounts | 37,673 | 44,225 | 45,153 | 50,358 | 5,204 |
| 25.4 | Operation and Maintenance Equipment | 13,610 | 20,690 | 21,124 | 14,613 | (6,512) |
| 25.7 | Operation and Maintenance of Equipment | 347,628 | 440,417 | 449,665 | 428,022 | (21,644) |
| 26 | Supplies and Materials | 40,344 | 39,818 | 40,654 | 41,007 | 353 |
| 31 | Property and Equipment | 45,650 | 72,684 | 74,210 | 72,630 | (1,579) |
| 32 | Land and Structures | - | - | - | - | - |
| 41 | Grants, Subsidies, Contributions | - | - | - | - | - |
| 42 | Insurance Claims Indemnities | 95 | 76 | 78 | 76 | (2) |
| 43 | Interest and Dividends | 438 | 20 | 21 | 20 | (0) |
| 44 | Refunds | 2,344 | 2,775 | 2,833 | 2,833 | 0 |
| 99.9 | **Total Obligations** | 3,796,718 | 4,181,365 | 4,309,190 | 4,302,469 | (6,721) |
| | Fee Collections | (3,927,147) | (4,308,252) | (4,473,416) | (4,473,416) | - |
| | Current Fee Collections Estimate Adjustment* | - | 1,328 | - | - | - |
| | Less Prior Year Other Income/Recoveries | (37,735) | (69,432) | (49,960) | (49,960) | - |
| | Less Prior Year Unobligated Balance | (980,417) | (1,146,447) | (1,339,258) | (1,339,258) | - |
| | Less end year unobligated balance | 1,146,447 | 1,339,258 | 1,551,263 | 1,557,984 | 6,721 |
| | Total Budget Authority | (2,134) | (2,180) | (2,180) | (2,180) | - |
| | Personnel Data | - | - | - | - | |
| | Full-Time equivalent Employment | 11,843 | 12,325 | 12,715 | 12,983 | 268 |
| | Positions | 12,301 | 12,926 | 12,927 | 13,469 | 542 |

*Adjustment based on current fee estimates in accordance with FY2026 Commerce, Justice, Science; Energy and Water Development; and Interior and Environment Appropriations Act (P.L. 119-74), “Provided, That the sum herein appropriated from the general fund shall be reduced as offsetting collections of fees and surcharges assessed and collected by the USPTO under any law are received during fiscal year 2026, so as to result in a fiscal year 2026 appropriation from the general fund estimated at $0."

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**SUMMARY OF TRADEMARK PROGRAM BY OBJECT CLASS**
(Dollar amounts in thousands)

| | Object Class | 2025 Actual | 2026 Enacted | 2027 Base | 2027 Estimate | Increase/Decrease from 2027 base |
|---|---|---|---|---|---|---|
| 11.1 | Personnel Compensation | 238,216 | 258,680 | 273,237 | 278,382 | 5,144 |
| 11.5 | Other Personnel Compensation | 29,928 | 34,441 | 36,220 | 37,099 | 879 |
| 11.9 | **Total Personnel Compensation** | 268,144 | 293,120 | 309,457 | 315,480 | 6,023 |
| 12 | Personnel Benefits | 100,775 | 117,592 | 125,922 | 128,132 | 2,210 |
| 13 | Benefits to Former Personnel | 1,549 | - | 150 | 150 | - |
| 21 | Travel | 507 | 1,971 | 2,012 | 1,979 | (33) |
| 22 | Transportation of Things | 355 | 190 | 194 | 189 | (4) |
| 23.1 | Rental Payments (GSA) | 10,568 | 10,782 | 11,008 | 10,843 | (165) |
| 23.2 | Rental Payments (Others) | 1,078 | 1,182 | 1,207 | 1,522 | 315 |
| 23.3 | Communications, Utilities, and Miscellaneous Charges | 1,249 | 1,845 | 1,883 | 1,840 | (44) |
| 24 | Printing and Reproduction | 67 | 91 | 93 | 73 | (19) |
| 25.1 | Advisory and Assistance Services | 957 | 3,468 | 3,541 | 3,543 | 2 |
| 25.2 | Other Services | 10,762 | 19,164 | 19,566 | 19,345 | (221) |
| 25.3 | Purchases of Goods and Services from Gov Accounts | 11,674 | 17,979 | 18,357 | 13,645 | (4,712) |
| 25.4 | Operation and Maintenance Equipment | 2,370 | 3,603 | 3,679 | 2,545 | (1,134) |
| 25.7 | Operation and Maintenance of Equipment | 113,935 | 144,469 | 147,503 | 141,248 | (6,255) |
| 26 | Supplies and Materials | 2,851 | 4,241 | 4,330 | 4,265 | (65) |
| 31 | Property and Equipment | 10,227 | 18,061 | 18,440 | 16,993 | (1,447) |
| 32 | Land and Structures | - | - | - | - | - |
| 41 | Grants, Subsidies, Contributions | - | - | - | - | - |
| 42 | Insurance Claims Indemnities | (9) | 23 | 23 | 23 | 0 |
| 43 | Interest and Dividends | 77 | 4 | 4 | 4 | (0) |
| 44 | Refunds | 713 | 800 | 817 | 800 | (17) |
| 99.9 | **Total Obligations** | 537,852 | 638,583 | 668,185 | 662,619 | (5,566) |
| | Fee Collections | (592,567) | (647,748) | (686,834) | (686,834) | - |
| | Current Fee Collections Estimate Adjustment* | - | - | - | - | - |
| | Less Prior Year Other Income/Recoveries | (7,771) | (6,794) | (5,040) | (5,040) | - |
| | Less Prior Year Unobligated Balance | (161,474) | (223,645) | (239,334) | (239,334) | - |
| | Less End Year Unobligated Balance | 223,645 | 239,334 | 262,753 | 268,319 | 5,566 |
| | Total Budget Authority | (316) | (270) | (270) | (270) | - |
| | Personnel Data | - | - | - | - | |
| | FTE Employment | 1,508 | 1,642 | 1,715 | 1,769 | 54 |
| | Positions | 1,506 | 1,720 | 1,719 | 1,743 | 24 |

*Adjustment based on current fee estimates in accordance with FY2026 Commerce, Justice, Science; Energy and Water Development; and Interior and Environment Appropriations Act (P.L. 119-74), “Provided, That the sum herein appropriated from the general fund shall be reduced as offsetting collections of fees and surcharges assessed and collected by the USPTO under any law are received during fiscal year 2026, so as to result in a fiscal year 2026 appropriation from the general fund estimated at $0."

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**JUSTIFICATION OF PROPOSED LANGUAGE CHANGES**

1. [$4,996,100,000] <u>$5,160,250,000</u>
   …[2026] <u>2027</u>
   <u>…</u>[2027] <u>2028</u>

2. *Provided further*, that from amounts provided herein, not to exceed ~~$13,500~~ $200,000 shall be made available in FY~~2026~~ *2027* for official reception and representation expenses: [$13,500] <u>$200,000</u>
   *Increased amount available to the Director for the Representation fund.*

The USPTO seeks to increase the amount of official reception and representation funds available in order to provide sufficient funds for IP attachés and the Office of the Undersecretary as the agency continues to expand domestic engagement, as well as engagement with international counterparts to improve foreign IP systems and assist U.S. stakeholders abroad. Importantly, Congress directed the USPTO to expand the IP Attaché Program in the CJS Senate Report, and the increased amount takes this directive into account, as well as Congress' intent to further the goals of the IP Attaché Program and provide more assistance to U.S. stakeholders.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**APPROPRIATIONS LANGUAGE AND CODE CITATION**

FY 2027
Salaries and Expenses
For necessary expenses of the USPTO provided for by law, including defense of suits instituted against the Under Secretary of Commerce for Intellectual Property and Director of the USPTO, *~~$4,996,100,000~~ $5,160,250,000*, to remain available until expended: *Provided*, that the sum herein appropriated from the general fund shall be reduced as offsetting collections of fees and surcharges assessed and collected by the USPTO under any law are received during FY~~2026~~ *2027*, so as to result in a FY~~2026~~ *2027* appropriation from the general fund estimated at $0: *Provided further*, that during FY~~2026~~ *2027*, should the total amount of such offsetting collections be less than *~~$4,996,100,000~~ $5,160,250,000*, this amount shall be reduced accordingly: *Provided further*, that any amount received in excess of *~~$4,996,100,000~~ $5,160,250,000*, in FY~~2026~~ *2027* and deposited in the Patent and Trademark Fee Reserve Fund shall remain available until expended: *Provided further*, that the Director of the USPTO shall submit a *spend plan* to the Committees on Appropriations of the House of Representatives and the Senate for any amounts made available by the preceding proviso and such *spend plan* shall be treated as a reprogramming under section 504 of this Act and shall not be available for obligation or expenditure except in compliance with the procedures set forth in that section: *Provided further*, that any amounts reprogrammed in accordance with the preceding proviso shall be transferred to the USPTO ''Salaries and Expenses'' account: *Provided further*, that the budget of the president submitted for FY~~2027~~ *2028* under section 1105 of title 31, United States Code, shall include within amounts provided under this heading for necessary expenses of the USPTO any increases that are expected to result from an increase promulgated through rule or regulation in offsetting collections of fees and surcharges assessed and collected by the USPTO under any law: *Provided further*, that from amounts provided herein, not to exceed ~~$13,500~~ $200,000 shall be made available in FY~~2026~~ *2027* for official reception and representation expenses: Provided further, that in FY 2027 from the amounts made available for ''Salaries and Expenses'' for the USPTO, the amounts necessary to pay 1. the difference between the percentage of basic pay contributed by the USPTO and employees under section 8334(a) of title 5, United States Code, and the normal cost percentage (as defined by section 8331(17) of that title) as provided by OPM for the USPTO's specific use, of basic pay, of employees subject to subchapter III of chapter 83 of that title, and 2. the present value of the otherwise unfunded accruing costs, as determined by OPM for the USPTO's specific use of post-retirement life insurance and post-retirement health benefits coverage for all USPTO employees who are enrolled in FEHB and FEGLI, shall be transferred to the Civil Service Retirement and Disability Fund, the FEGLI Fund, and the Employees FEHB Fund, as appropriate, and shall be available for the authorized purposes of those accounts: Provided further, that any differences between the present value factors published in OPM's yearly 300 series benefit letters and the factors that OPM provides for the USPTO's specific use shall be recognized as an imputed cost on the USPTO's financial statements, where applicable *Provided further*, that, notwithstanding any other provision of law, all fees and surcharges assessed and collected by the USPTO are available for the USPTO only pursuant to section 42(c) of title 35, United States Code, as amended by section 22 of the AIA (Public Law 112–29). Provided further, that within the amounts

appropriated, $2,450,000 shall be transferred to the OIG account for activities associated with carrying out investigations and audits related to the USPTO.

Legislative Authorities

USPTO programs are conducted under the following main legislative authorities:

- 15 U.S.C. 1051-1141n contains provisions of the Trademark Act that govern the administration of the USPTO's trademark registration system, provide for administrative proceedings before the USPTO, and set forth procedures related to the international registration of trademarks pursuant to the Madrid Protocol.
- 15 U.S.C. 1511 states the USPTO is under the jurisdiction and subject to the control of the DOC.
- 35 U.S.C. 1-13, 21-26, 32-33, 100-105, 111-122, 131-135, 141-146, 151-157, 161-164, 171-173, 251-256, 261, 262, 267, 301-307, and 311-318 contain basic authorities for the administration of patent laws, derived from the Act of July 19, 1952, and subsequent enactments.
- 35 U.S.C. 41 provides for the collection of specific fees for identified services and the establishment of fees at an estimated average cost for processing, services, or materials not specified.
- 35 U.S.C. 41(i)(2) provides for the deployment of USPTO automated search systems to the public.
- 35 U.S.C. 42(d) provides that the Under Secretary may refund any fee paid by mistake or in excess of that required.
- 35 U.S.C. 181-188 provides authorities for actions related to the secrecy of certain inventions and the filing of applications in foreign countries.
- 35 U.S.C. 361-368 and 371-375 contain authorities related to Patent Cooperation Treaty (PCT) applications, national stage entry, and related procedures.
- 35 U.S.C. 376 authorizes the USPTO to charge fees for activities related to the PCT and states the Under Secretary may set fee amounts, except for international and handling fees.
- The AIA (Pub. L. No. 112-29) provides specific authority for the USPTO to set and collect fees related to patent services, including a prioritized examination fee.
- The SUCCESS Act of 2018 (Pub. L. No. 115-273) extends the USPTO fee setting authority granted in the AIA by eight years.
- The UAIA (Pub. L. 117-328) provides fee reductions for small and micro entity discounts, the establishment of satellite and community engagement offices, updates to the Patent Pro Bono Program, and the establishment of the pre-prosecution assessment pilot program.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**ADVISORY AND ASSISTANCE SERVICES**

| | 2025 Actual | 2026 Enacted | 2027 Estimate |
|---|---|---|---|
| PCT Outsourcing | 36,214 | 46,523 | 39,496 |
| Patent Classification Services | 16,113 | 16,608 | 16,940 |
| IT Consulting Services | 2,688 | 7,516 | 7,921 |
| Other | 4,228 | 5,485 | 5,560 |
| Total | 59,243 | 76,132 | 69,917 |

The USPTO continues to contract for international search reports and written opinions for PCT chapter I cases. Investments in contracting enable the USPTO to meet its obligations as an international searching authority under PCT chapter I. For example, the USPTO can meet PCT time frames for issuing the required reports while focusing its examiner resources on reducing the unexamined inventory of pending national applications.

Patent classification services cover United States Patent Classification routing and Cooperative Patent Classification for incoming original, or serialized, utility applications.

IT and other consulting services are services that relate to agency administration, management, and problem management. Persons or organizations the USPTO generally considers to have knowledge and special abilities that are not usually available within the agency normally provide these services. These services deal with the management of data collection, policy review or development, program development, review or evaluation, systems engineering, and other support services.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**PERIODICALS, PAMPHLETS, AND AUDIOVISUAL PRODUCTS**

| | 2025 Actual | 2026 Enacted | 2027 Estimate |
|---|---|---|---|
| Periodicals | 41,803 | 30,476 | 31,028 |
| Pamphlets | - | - | - |
| Audiovisuals | - | - | - |
| Total | 41,803 | 30,476 | 31,028 |

Technical literature documents in the form of periodicals are essential to patent and trademark examination processes. These resources include reference materials such as books, periodicals, Lexis-Nexis, and other research databases. The materials consist of more than 70,000 electronic journals, 385,000 electronic books, and 85,000 print titles, as well as research databases. The table above reflects the cost of these materials.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**AVERAGE GRADES AND SALARIES**

| | 2025 Actual | 2026 Enacted | 2027 Estimate |
|---|---|---|---|
| Average ES Grade | N/A | N/A | N/A |
| Average GS Grade | 13 | 13 | 13 |
| Average GS Salary with Benefits | 161,176 | 157,935 | 156,849 |

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**IMPLEMENTATION STATUS OF GOVERNMENT ACCOUNTABILITY OFFICE AND OFFICE OF INSPECTOR GENERAL RECOMMENDATIONS**

31 U.S.C. 720, as amended January 3, 2019, requires the head of a federal agency to submit a written statement of the actions taken or planned based on Government Accountability Office (GAO) recommendations to the House and Senate Committees on Appropriations, with the agency making its first request for appropriations more than 180 calendar days after the date of the report.

The Good Accounting Obligation in Government Act (GAO-IG Act), passed on January 3, 2019 (P.L. 115-414), requires each agency to include in its annual budget justification a report that identifies each public recommendation issued by the GAO and the agency's OIG that has remained unimplemented for one year or more from the annual budget justification submission date. In addition, the act requires a reconciliation between the agency's records and the Inspector General's Semiannual Report to Congress (SAR).

**Section 1. Recommendations for which action plans were finalized since the last appropriations request.**

| | |
|---|---|
| Report Number | OIG-25-018-A |
| Report Title | USPTO Should Improve Governance to Promote Effective Oversight of Its Artificial Intelligence Tools |
| Issue Date | 4/22/25 |
| Recommendation Number | 1 |
| Recommendation | Revise policies and practices to ensure that future AI systems develop measurable objectives and system success criteria during project planning and ensure that such objectives trace to system specifications. |
| Action(s) Planned | 1-a) The USPTO will update its capital planning and investment control guide to further enhance governance within its Agile development, security, and operations (DevSecOps) processes.<br>1-b) The USPTO will update its epic guidance to ensure that all epics establish measurable objectives and system success criteria that meet mission needs. The USPTO will provide additional guidance to all product teams during IT planning office hours and supplement with email correspondence to the IT community that uses the agency's Agile life cycle management tool. |
| Action Status (Planned, In-Progress, or Complete) | 1-a) Complete<br>1-b) Complete |
| Target Completion Date | 1-a) 11/6/24<br>1-b) 11/30/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-018-A |
| Report Title | USPTO Should Improve Governance to Promote Effective Oversight of Its Artificial Intelligence Tools |
| Issue Date | 4/22/25 |
| Recommendation Number | 2 |
| Recommendation | Develop clear, specific, and measurable objectives and system success criteria for the two AI tools we reviewed. |
| Action(s) Planned | 2-a) The USPTO will establish precise and measurable objectives and system success criteria for an existing patent search AI tool.<br>2-b) The USPTO will establish precise and measurable objectives and system success criteria for the Auto Classification Tool. |
| Action Status (Planned, In-Progress, or Complete) | 2-a) Complete<br>2-b) Complete |
| Target Completion Date | 2-a) 12/31/25<br>2-b) 12/31/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-018-A |
| Report Title | USPTO Should Improve Governance to Promote Effective Oversight of Its Artificial Intelligence Tools |
| Issue Date | 4/22/25 |
| Recommendation Number | 3 |
| Recommendation | Revise project management policies and practices to encourage increased engagement, as appropriate, with end users and others affected by the system, such as the public, earlier in the project life cycle. |
| Action(s) Planned | 3-a) The USPTO will revise its project management processes and practices in alignment with the USPTO’s Agile process to address increasing engagement and involvement for all end users earlier in the life cycle of patent products. |
| Action Status (Planned, In-Progress, or Complete) | 3-a) Complete |
| Target Completion Date | 3-a) 12/31/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-018-A |
| Report Title | USPTO Should Improve Governance to Promote Effective Oversight of Its Artificial Intelligence Tools |
| Issue Date | 4/22/25 |
| Recommendation Number | 4 |
| Recommendation | Create an AI-specific risk management plan (or revise existing policies and procedures to reflect the same) that requires a system-specific risk management approach, including identifying, documenting, analyzing, and managing risks. |
| Action(s) Planned | 4-a) The USPTO Enterprise Risk Management (ERM) team will develop a USPTO ERM governance and operating model, including supplemental ERM standard operating procedures, using the Federal ERM Playbook as a guide. This artifact will be approved by the USPTO Risk Management Council (RMC) and be leveraged throughout USPTO to manage risk. The risk-related role and responsibilities of the USPTO Artificial Intelligence Governance Council (AIGC) will be captured in these artifacts.<br>4-b) The USPTO will capture AI-related risk statements in the USPTO Risk Register.<br>4-c) The USPTO ERM team will provide risk-related training to the RMC, AIGC, and IT Advisory Board. This training will include an explanation of how various enterprise risks should be addressed in each AI investment.<br>4-d) The USPTO will assign risk owners to AI-related risk statements in the USPTO Risk Register. The USPTO ERM team will work with these risk owners to develop an overall AI risk response plan. |
| Action Status (Planned, In-Progress, or Complete) | 4-a) Complete<br>4-b) Complete<br>4-c) Complete<br>4-a) Complete |
| Target Completion Date | 4-a) 12/31/25<br>4-b) 12/31/25<br>4-c) 12/31/25<br>4-a) 12/31/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-018-A |
| Report Title | USPTO Should Improve Governance to Promote Effective Oversight of Its Artificial Intelligence Tools |
| Issue Date | 4/22/25 |
| Recommendation Number | 5 |
| Recommendation | Implement AI-specific risk management practices for the two tools in our review. |
| Action(s) Planned | 5-a) The USPTO will implement minimum risk management practices for product teams considering a significant investment in AI technology tailored for their specific implementation. |
| Action Status (Planned, In-Progress, or Complete) | 5-a) Complete |
| Target Completion Date | 5-a) 12/31/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-002-A |
| Report Title | USPTO Should Address Risks to Its Pendency Reduction Efforts for Trademark Applications |
| Issue Date | 10/24/2024 |
| Recommendation Number | 1 |
| Recommendation | Develop controls to ensure that pendency targets and revisions to the targets are clearly documented and included in any public materials. |
| Action(s) Planned | 1-a) The USPTO will enhance documentation of Trademarks' budget and reporting policies, to include: (1) a review of pendency-related publications by the newly created Strategic Management Division within the Trademark Office of Performance, Planning, and Financial Management; and (2) the OCFO Office of Planning and Budget will outline any modifications to pendency targets in budget and/or performance technical and policy guidance memorandums during each cycle to ensure that agency-wide performance targets and subsequent revisions are clearly documented and maintained in the budget and other public documents, which will include Trademarks.<br>1-b) The USPTO will adjust the Trademarks public dashboard to display annual pendency targets for prior years, in addition to the current year. |
| Action Status (Planned, In-Progress, or Complete) | 1-a) Complete<br>1-b) Complete |
| Target Completion Date | 1-a) 9/30/25<br>1-b) 12/31/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-002-A |
| Report Title | USPTO Should Address Risks to Its Pendency Reduction Efforts for Trademark Applications |
| Issue Date | 10/24/2024 |
| Recommendation Number | 2 |
| Recommendation | Adopt a long-term pendency goal that accounts for stakeholder needs to allow for timely business decisions, particularly for international trademark applications subject to the Madrid Protocol. |
| Action(s) Planned | 2-a) The USPTO will finalize a long-term trademark application pendency goal. As of FY 2025, Trademarks began communicating this goal to its stakeholders as part of its FY 2025 five major priorities. In the first TPAC meeting in Q1 FY 2025, Trademarks communicated its long-term goal of 4.5 months for first action pendency and 10 months for disposal pendency by FY 2027. During FY 2025, these long-term application pendency goals were included in all relevant performance and budget documents and regularly communicated to stakeholders. |
| Action Status (Planned, In-Progress, or Complete) | 2-a) Complete |
| Target Completion Date | 2-a) 9/30/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-25-002-A |
| Report Title | USPTO Should Address Risks to Its Pendency Reduction Efforts for Trademark Applications |
| Issue Date | 10/24/2024 |
| Recommendation Number | 3 |
| Recommendation | Set targets for the trademark pendency-related KPIs in the 2022-2026 Strategic Plan. |
| Action(s) Planned | 3-a) Per OMB circular A-11, section 240.1, the USPTO will include pendency-related key performance indicator targets in the AFR, the USPTO's Annual Performance Plan, Annual Performance Report (APPR), and the DOC's APPR, consistent with the objectives and measures that appear in the 2022-2026 Strategic Plan. |
| Action Status (Planned, In-Progress, or Complete) | 3-a) In-Progress |
| Target Completion Date | 3-a) 3/31/26 |
| Recommendation Status (Planned, In-Progress, or Complete) | In-Progress |

| | |
|---|---|
| Report Number | OIG-25-002-A |
| Report Title | USPTO Should Address Risks to Its Pendency Reduction Efforts for Trademark Applications |
| Issue Date | 10/24/2024 |
| Recommendation Number | 4 |
| Recommendation | Update the trademark production model to include supportable, data-driven estimates of overtime usage. |
| Action(s) Planned | 4-a) The USPTO will update the trademark production model to include supportable, data-driven estimates of overtime usage. |
| Action Status (Planned, In-Progress, or Complete) | 4-a) Complete |
| Target Completion Date | 4-a) 6/30/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

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|---|---|
| Report Number | OIG-25-002-A |
| Report Title | USPTO Should Address Risks to Its Pendency Reduction Efforts for Trademark Applications |
| Issue Date | 10/24/2024 |
| Recommendation Number | 5 |
| Recommendation | Formalize a methodology for estimating and validating efficiency gains in the trademark production model. |
| Action(s) Planned | 5-a) Trademarks initiated an aggressive pendency reduction plan in early FY 2024, which led to significant gains in production and lower pendency. The FY 2025 updated Trademark production model outputs do not include estimated efficiency gains; efficiency assumptions are unchanged. The USPTO will continue to monitor pendency and production and assess whether efficiency gains should be included for future models. Prior to modeling any new efficiency gains, the USPTO will formalize a methodology for estimation and validation. |
| Action Status (Planned, In-Progress, or Complete) | 5-a) In-Progress |
| Target Completion Date | 5-a) 9/30/26 |

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| Recommendation Status (Planned, In-Progress, or Complete) | In-Progress |

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|---|---|
| Report Number | OIG-25-002-A |
| Report Title | USPTO Should Address Risks to Its Pendency Reduction Efforts for Trademark Applications |
| Issue Date | 10/24/2024 |
| Recommendation Number | 6 |
| Recommendation | Develop and implement a Trademarks workforce action plan that includes strategies to address challenges in recruitment and retention, milestones, roles of key organization components, measures of success, and a process to continuously assess and revise the plan. |
| Action(s) Planned | 6-a) Conduct an in-depth analysis of the current workforce's skills.<br>6-b) Develop a Trademarks workforce action plan that includes strategies to address challenges in recruitment and retention, milestones, roles of key organization components, measures of success, and a process to continuously assess and revise the plan. The plan will build on the recruitment and hiring enhancements made over the past year, which successfully expanded the pool of examination attorney candidates and included updated training initiatives aimed at improving retention.<br>6-c) Implement the Trademarks workforce action plan. |
| Action Status (Planned, In-Progress, or Complete) | 6-a) In-Progress<br>6-b) In-Progress<br>6-c) In-Progress |
| Target Completion Date | 6-a) 6/30/26<br>6-b) 3/31/27<br>6-c) 3/31/27 |
| Recommendation Status (Planned, In-Progress, or Complete) | In-Progress |

| | |
|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 1 |
| Recommendation | Align USPTO policy with departmental requirements to have all USPTO employees report all IT security incidents, including PII exposure, immediately (within 1 hour) once an incident is suspected or confirmed. |
| Action(s) Planned | 1-a) The USPTO updated the Office of the Chief Information Officer’s Breach Notification Policy to require all USPTO employees and contractors to immediately report all suspected or realized IT security incidents to the USPTO Security Operations Center (SOC). In turn, the SOC will report the suspected or realized IT security incident to DOC’s Enterprise Operations Center within 1 hour of its discovery. |
| Action Status (Planned, In-Progress, or Complete) | 1-a) Complete |
| Target Completion Date | 1-a) 5/16/24 |

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|---|---|
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 2 |
| Recommendation | Establish an internal control process and provide training to ensure all USPTO employees report IT security incidents immediately (within 1 hour) once an incident is suspected or confirmed. |
| Action(s) Planned | 2-a) The USPTO will establish a “2 click” ability to report IT security incidents from the myuspto.gov homepage that is prominently displayed on the IT Service Desk main page and routes all reported incidents directly to the SOC.<br>2-b) The USPTO will update the FY 2025 mandatory IT Security Awareness Training to include clear instructions for all employees and contractors to report any suspected or actual IT security incident immediately to the SOC.<br>2-c) The USPTO will update its “Rules of the Road” policy to include clear instructions for all employees and contractors to report any suspected or actual IT security incident immediately to the SOC. |
| Action Status (Planned, In-Progress, or Complete) | 2-a) Complete<br>2-b) Complete<br>2-c) Complete |
| Target Completion Date | 2-a) 7/30/24<br>2-b) 5/31/25<br>2-c) 2/28/25 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 3 |
| Recommendation | Hold USPTO leadership accountable for reporting and notification of IT security incidents in accordance with federal and departmental requirements. |
| Action(s) Planned | 3-a) Per existing annual mandatory agency training requirements, all USPTO employees take IT Security Awareness Training each year that speaks to reporting requirements. In addition, the Chief Information Security Officer will give a small-group reminder briefing to executive leadership each year on the requirements for the reporting and notification of IT security incidents.<br>3-b) The USPTO created and implemented an Incident Reporting Template that designates tasks, a responsible person(s), statuses, outcomes, and a completion date(s) for the reporting and notification of IT security incidents. |
| Action Status (Planned, In-Progress, or Complete) | 3-a) Complete<br>3-b) Complete |

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|---|---|
| Target Completion Date | 3-a) 12/31/24<br>3-b) 6/30/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

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|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 4 |
| Recommendation | Hold USPTO leadership accountable to comply with USPTO risk acceptance policies and procedures. |
| Action(s) Planned | 4-a) The Chief Information Security Officer will give a small-group briefing to executive leadership each year on USPTO risk acceptance policies and procedures.<br>4-b) The Chief Information Security Officer updated the SOC Notification Playbook with defined roles and actions to hold USPTO leadership accountable. |
| Action Status (Planned, In-Progress, or Complete) | 4-a) Complete<br>4-b) Complete |
| Target Completion Date | 4-a) 12/31/24<br>4-b) 6/30/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 5 |
| Recommendation | Establish a requirement within USPTO risk acceptance policies and procedures to consider violations of the Privacy Act during IT security incidents. |
| Action(s) Planned | 5-a) Establish a requirement within USPTO risk acceptance policies and procedures to consider violations of the Privacy Act during IT security incidents. |
| Action Status (Planned, In-Progress, or Complete) | 5-a) Complete |
| Target Completion Date | 5-a) 5/16/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

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|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 6 |
| Recommendation | Reassess the non-mission-critical designation of TSDR and other systems supporting the trademark process. |
| Action(s) Planned | 6-a) The USPTO recently evaluated all of its IT systems in coordination with the DOC to determine which systems constituted high value assets (HVAs). The USPTO re-evaluated the Trademark Status and Document Retrieval (TSDR) system against the DOC HVA checklist and confirmed that the TSDR does not meet the criteria established under OMB M-19-03, “Strengthening the Cybersecurity of Federal Agencies by Enhancing the High Value Asset Program.” |
| Action Status (Planned, In-Progress, or Complete) | 6-a) Complete |
| Target Completion Date | 6-a) 4/18/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

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|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 7 |
| Recommendation | Update USPTO policy to meet the federal minimum standard of 2 years and 6 months of log retention. |
| Action(s) Planned | 7-a) The USPTO updated the Office of the Chief Information Officer’s Audit, Logging, and Monitoring Policy to comply with log retention requirements established under OMB M-21-31. |
| Action Status (Planned, In-Progress, or Complete) | 7-a) Complete |
| Target Completion Date | 7-a) 5/16/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 8 |
| Recommendation | Fully implement log retention controls for USPTO systems according to departmental requirements. |
| Action(s) Planned | 8-a) The USPTO will fully implement DOC’s condition, identified in the Cybersecurity Standards document “Incident Response Management Standard v1.1,” of collecting the minimum event logging requirements outlined in OMB M-21-31. |
| Action Status (Planned, In-Progress, or Complete) | 8-a) In-Progress |
| Target Completion Date | 8-a) 9/30/26 |

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|---|---|
| Recommendation Status (Planned, In-Progress, or Complete) | In-Progress |

| | |
|---|---|
| Report Number | OIG-24-029-I, A |
| Report Title | A 3-Year Exposure of Privacy Act-Protected Data Revealed USPTO Mismanagement in Safeguarding the Sensitive PII of Trademark Filers |
| Issue Date | 6/24/2024 |
| Recommendation Number | 9 |
| Recommendation | Direct the Commissioner for Trademarks to update the applicable System of Records Notice, the Trademark Manual of Examination Procedure, and/or its public commitments so that they are all consistent regarding what data will not be publicly viewable. |
| Action(s) Planned | 9-a) As an interim measure, the USPTO amended the Trademark Manual of Examining Procedure to clarify that the owner email address and attorney bar information fields are currently masked as a courtesy to make the data harder to scrape for solicitation or other purposes and not because the data is private, and that there should be no expectation of privacy in those data elements.<br>9-b) The USPTO will issue a Federal Register Notice indicating its intent to change the courtesy masking policy and to unmask owner email addresses and attorney bar information.<br>9-c) The USPTO will unmask the owner email address and attorney bar information data fields in all data systems.<br>9-d) The USPTO will amend the Trademark Manual of Examining Procedure to delete references to the masking of owner email addresses and attorney bar information. |
| Action Status (Planned, In-Progress, or Complete) | 9-a) Complete<br>9-b) In-Progress<br>9-c) In-Progress<br>9-d) In-Progress |
| Target Completion Date | 9-a) 5/31/24<br>9-b) 3/31/27<br>9-c) 6/30/27<br>9-d) 6/30/27 |
| Recommendation Status (Planned, In-Progress, or Complete) | In-Progress |

## Section 2. Implementation of GAO public recommendations issued no less than one year ago that GAO designates as "Open" or "Closed-Unimplemented."

| | |
|---|---|
| Report Number | GAO-24-106533 |
| Report Title | Intellectual Property: Stronger Fraud Risk Management Could Improve the Integrity of the Trademark System |
| Issue Date | 3/1/2024 |
| Recommendation Number | 1 |
| Recommendation | Plan and conduct regular fraud risk assessments of the trademark register to determine a fraud risk profile that aligns with leading practices in the Fraud Risk Framework. Specifically, this process should include: (1) identifying inherent fraud risks to the trademark register; (2) assessing the likelihood and impact of inherent fraud risks; (3) determining fraud risk tolerance; (4) examining the suitability of existing fraud controls; and (5) documenting the fraud risk profile. |

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| Action(s) Planned | 1) Update Trademarks' fraud risk framework and conduct annual assessments. |
| Action Status (Planned, In-Progress, or Complete) | 1-a) Complete |
| Target Completion Date | 1-a) 9/30/24 |
| Recommendation Status (Planned, In-Progress, or Complete) | Complete |

| | |
|---|---|
| Report Number | GAO-24-106533 |
| Report Title | Intellectual Property: Stronger Fraud Risk Management Could Improve the Integrity of the Trademark System |
| Issue Date | 3/1/2024 |
| Recommendation Number | 2 |
| Recommendation | Identify and implement improvements to current data systems to strengthen trademark data analytics for stronger fraud risk management. |
| Action(s) Planned | 2-a) Enhance Trademarks' analytics platform to support operations and data driven management.<br>2-b) Ingest and catalog trademark transactional data; determine standards to ensure integrated, high-quality data.<br>2-c) Curate transactional data into models that facilitate predictive modeling, accessibility, and consistent analysis by all users.<br>2-d) Leverage analytics within the Register Protection Office to identify and mitigate suspicious activities. |
| Action Status (Planned, In-Progress, or Complete) | 2-a) Complete<br>2-b) In-Progress<br>2-c) In-Progress<br>2-d) In-Progress |
| Target Completion Date | 2-a) 3/31/25<br>2-b) 12/31/26<br>2-c) 12/31/26<br>2-d) 9/30/26 |
| Recommendation Status (Planned, In-Progress, or Complete) | In-Progress |

<u>Open recommendation(s) the department has decided not to implement.</u>
Nothing to report.
<u>Open recommendation(s) the department plans to implement.</u>
Nothing to report.
<u>Recommendations GAO has designated as "Closed-Unimplemented" for the past five years (2015–2019). Future reports will cover a one-year period.</u>
Nothing to report.

**Section 3. Implementation of OIG public recommendations issued no less than one year ago for which final action has not been taken or action not recommended has been taken.**

| | |
|---|---|
| Report Number | OIG-19-014-A |
| Report Title | Inadequate Management of Active Directory Puts USPTO's Mission at Significant Cyber Risk |
| Issue Date | 6/13/2019 |
| Recommendation Number | 4 |
| Recommendation | Ensure PIV card technology compatibility with ongoing and future system development for USPTO next-generation applications, and switch PIV enforcement to a per-user basis, when technically feasible. |
| Target Implementation Date | 3/31/26 |
| Reason No Final Action Taken or Action Not Recommended Taken | All systems listed below are integrated using Kerberos and Active Directory; some older products must be moved to modern Okta authentication by the end of FY 2025 (retirement of Okta Access Gateway). The ICAM-IDAAS and ICAM-EDS teams will develop Rally stories for the items not currently in the integration backlog. These are the integrations that are holding back full HSPD-12 configuration compliance: COOP-WB, DAV, DOSS, DOSS-SCTA, ENS, ESP-CFME, ESP-Foreman, ESP-HYPER, ESP-IDM, ESP-RHVM, ESP-Satellite, ESP-UCSCentral, ESP-Vcenter, FAST2, ICAM-SecretsService, IQS, OC, PACS, PALM-EXPO, PALM-FOS, PALM-INFRA, PALM-PCT-OPS, PALM-PreExam, PASS, P-CEDS, PFS-FLUSHOT, PFS-ROOMREZ, RFID, SCORE, SOLC, S-OPSG, STOR-SIMS, STOR-SIS, TCIM, TICRS, TM-DS, TM-TSDR, TRAM, WS-ConfigMgmt, ETBS, PS, DAT NOSPS, EAI-HUB, Madrid, PALM-PRS, DCFMS, STOR-DIAMOND, STOR-LSM, PSIPS, AV-INFRA, DBaaS, ERA-VPN, MSSQLDS, ODS, vDesk, WS-Backup, WS-Encrypt, XS, XS-BI, TRADEUPS. Target date change to 9/30/25 requested from the OIG on 10/2/23; the OIG acknowledged target date change 4/2/24. An additional due date extension will be requested due to subject matter expert availability. The corrective action owner for this recommendation is no longer with the agency. Additional time will be needed to allocate the staff with the expertise to implement this recommendation. |
| Closure Request Pending (Yes/No) | No |

**Section 4. Discrepancies between this report and the SARs submitted by the DOC OIG or reports submitted by GAO.**
Nothing to report. See the September 2020 DOC Semiannual Report to Congress.

**Department of Commerce**
**United States Patent and Trademark Office**
**Salaries and Expenses**
**Description of Tribal Consultations**
(Dollar amounts in thousands)

| | | 2026 Enacted | | 2027 Estimate | | Increase/(Decrease) from 2027 Actual | |
|---|---|---|---|---|---|---|---|
| | | Personnel | Amount | Personnel | Amount | Personnel | Amount |
| Patent Program | Pos./Obl. | - | - | - | - | - | - |
| | FTE | | | | | | |
| Trademark Program | Pos./Obl. | - | - | - | - | - | - |
| | FTE | | | | | | |
| IP Policy, Enforcement & Protection Program | Pos./Obl. | - | - | - | - | - | - |
| | FTE | | | | | | |
| Cross-Cutting Functions Program | Pos./Obl. | - | - | - | - | - | - |
| | FTE | | | | | | |

Summary description of tribal consultations: The USPTO does not have any tribal consultations to report.

Summary description of tribal input: None applicable.

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# APPENDICES

## Appendix I: Patent and Trademark Programs Five-Year Outlook

The USPTO's Budget funds two distinct programs: the Patent Program and the Trademark Program. The agency receives fee collections for incoming patent and trademark work to finance patent and trademark operations. As a fully fee-funded agency, the USPTO relies on a comprehensive, multiyear budgetary outlook to facilitate effective resource planning and inform fee setting over the five-year budget horizon. The five-year forecast summary reflects the USPTO's point-in-time planning assumptions and budget priorities. The five-year estimates contain inherent uncertainty, because future economic conditions upon which the USPTO bases fee collections and spending requirements are unknown. The USPTO routinely updates its fee collection forecasts, tracks operational and financial performance, and monitors changes in the economy to mitigate this risk of uncertainty. Appendix III provides a detailed description of how the USPTO develops workload and fee collection estimates for the two programs.

The USPTO maintains two operating reserves, the patent operating reserve and the trademark operating reserve, the balances of which the agency uses to mitigate financial and operational risks (see description in Appendix III). The operating reserves contain unspent prior-year fee collections that, once apportioned by the OMB, are immediately available for use. The USPTO uses all available funding sources (e.g., appropriated fee collections and operating reserves) to finance continuous agency operations. The operating reserves supplement annual collections when annual spending requirements exceed revenue, help the USPTO manage cash flow when normal seasonal variability causes spending to exceed fee collections, and provide funding for unplanned requirements for the agency's continued operations.

The operating reserves are not distinct accounts or segregated fund balances. The USPTO manages the operating reserves within a range of acceptable balances (between minimum and optimal targets) and assesses its options when balances fall either below or above that range. Annually, the USPTO evaluates operating reserve forecasts, including forecasts for cash flow and the use of operating reserve funds, as part of the budget formulation process and in accordance with the USPTO's operating reserve policy. Based on the current risk environment, including various risk factors such as economic and funding uncertainty and the high percentage of fixed costs, the USPTO established a minimum target of 8% of total spending (or one month of operating expenses) and an optimal, long-range target of 22% of total spending (or about three months of operating expenses) for the Patent Program. The USPTO also established a minimum target of 23% of total spending (or about three months of operating expenses) and an optimal, long-range target of 50% of total spending (or six months of operating expenses) for the Trademark Program.

Annual operating reserve balances do not include USPTO deposits into the Patent and Trademark Fee Reserve Fund (PTFRF), which is a separate account. When actual fee collections exceed the amounts authorized in annual appropriations in any given year, the USPTO deposits the excess into the PTFRF. The USPTO cannot use PTFRF deposits immediately; thus, PTFRF balances do not mitigate short-term operational financing risks. The agency must notify Congress, using the congressional reprogramming process, before it may use PTFRF deposits to finance USPTO operations.

Patents Five-Year Outlook

Via the transformative power of AI, the USPTO is focused on streamlining patent search and examination while improving timeliness to bring inventions to market sooner. Ensuring robust, reliable, and expansive IP protections will increase global recognition and respect for American ingenuity in all its incarnations, but requires the USPTO to invest time, training, and other resources in its personnel. Through implementation of breakthrough technologies and targeted expansion of its patent workforce, this Budget supports the USPTO's role as America's Central Bank of Innovation and establishes it as a destination workplace of the future.

In its ongoing efforts to improve quality and timeliness, the USPTO developed an aggressive plan to use AI to modernize patent examination while calibrating examination capacity to effectively eliminate the unexamined inventory, significantly reduce pendency, and optimize the issuance of durable patents. The USPTO expects average first action pendency, which measures the time from when an application is filed until it receives an initial determination of patentability by the patent examiner, to improve through FY 2027 as the agency implements AI-supported examination and hires, onboards, and trains the necessary examiners to achieve pendency goals. Following FY 2027, as new examiners become fully integrated into operations and AI-supported examination matures, first action pendency will rapidly improve from over 18 months on average in FY 2027 to around 12 months on average by the end of the budget horizon. Average total pendency, which measures the time from filing until an application is either issued as a patent or abandoned, follows a similar trend in the outyears. Projected results will shift in accordance with changes to planned hiring levels and other assumptions.

The USPTO projects a steady demand for patent services, reflected by a 2.0% year-over-year annual growth in serialized (original) filings—the largest component of the overall application growth rate—through the budget horizon. The agency calculates all patent spending and fee estimates based on these assumptions. The total UPR annual growth rate—projected at 1.7% in FY 2027—differs from the serialized growth rate in that it also includes request for continued examination (RCE) filings, which comprise approximately 22% to 24% of filings annually. The USPTO continues to engage in various initiatives to reduce RCE filings, and any decrease would ultimately reduce the total UPR filing growth rate.

The FY 2027 Budget funds the agency's priority of measurably improving pendency and reducing the unexamined patent application inventory, while also improving patent quality and durability. The inventory-to-examiner ratio shown in figure 1(a) displays a collective view of the unexamined UPR inventory compared to the average number of unexamined UPR cases per patent examiner. To substantively improve inventory ratio levels, the Budget funds strategic efforts aimed at hiring and other pendency improvement initiatives, including the use of AI-supported examination. The agency projects that pendency results will improve year over year, and the inventory-to-examiner ratio will be near target by the end of the budget horizon (figure 1(b)).

**Figure 1(b): Patent Performance Outlook**

| Utility, plant, and reissue | FY 2025 | FY 2026 | FY 2027 | FY 2028 | FY 2029 | FY 2030 | FY 2031 |
|---|---|---|---|---|---|---|---|
| UPR applications | 607,897 | 620,000 | 630,000 | 640,000 | 652,000 | 665,000 | 676,000 |
| Growth rate | 1.3% | 2.0% | 1.7% | 1.5% | 1.9% | 1.9% | 1.7% |
| Serialized applications | 475,202 | 485,000 | 494,000 | 504,000 | 514,000 | 525,000 | 535,000 |
| Serialized growth rate | 2.0% | 2.0% | 2.0% | 2.0% | 2.0% | 2.0% | 2.0% |
| Production units | 588,928 | 646,000 | 673,000 | 692,000 | 662,000 | 671,000 | 676,000 |
| **Performance measures** | | | | | | | |
| First action pendency (months) | 22.6 | 20.2 | 18.1 | 16.0 | 14.8 | 13.7 | 12.7 |
| Total pendency (months) | 26.3 | 28.1 | 25.5 | 23.5 | 21.5 | 20.6 | 19.6 |

To achieve the performance commitments shown above, the USPTO developed estimates of patent spending and fee collections, as shown in figure 1(c).

**Figure 1(c): Patent Financial Outlook**

| | FY 2025 | FY 2026 | FY 2027 | FY 2028 | FY 2029 | FY 2030 | FY 2031 |
|---|---|---|---|---|---|---|---|
| Estimated fee collections (appropriation/authority) | 3,927 | 4,307 | 4,473 | 4,466 | 4,441 | 4,528 | 4,727 |
| Other income | 38 | 69 | 50 | 50 | 50 | 50 | 50 |
| Operating reserve BOY balance | 980 | 868 | 1,339 | 1,558 | 1,536 | 1,359 | 1,072 |
| **Total estimated funds available** | **4,945** | **5,244** | **5,862** | **6,074** | **6,027** | **5,937** | **5,848** |
| **Total estimated spending** | **(3,799)** | **(4,183)** | **(4,304)** | **(4,539)** | **(4,668)** | **(4,866)** | **(4,996)** |
| **Available at EOY** | **1,146** | **1,061** | **1,557** | **1,536** | **1,359** | **1,072** | **853** |
| Transfer (to)/from PTFRF | (279) | 279 | - | - | - | - | - |
| **Operating reserve EOY balance** | **867** | **1,340** | **1,557** | **1,536** | **1,359** | **1,072** | **853** |
| **PTFRF** | | | | | | | |
| PTFRF BOY balance | | 279 | - | - | - | - | |
| Transfer to/(from) PTFRF | 279 | (279) | - | - | - | - | |
| **PTFRF EOY balance** | **279** | **-** | **-** | **-** | **-** | **-** | |
| **EOY operating reserve and PTFRF balances** | **1,146** | **1,340** | **1,557** | **1,536** | **1,359** | **1,072** | **853** |

<u>Projected Fee Collections</u>

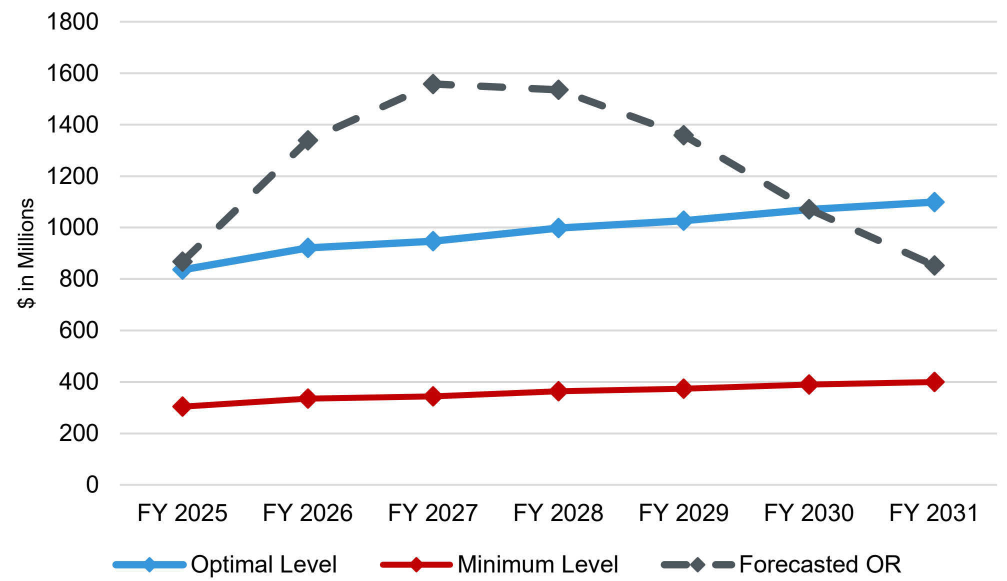
The USPTO conducts biennial fee reviews to ensure aggregate revenues recover aggregate costs. Patent fee collections are projected to rise through FY 2027, decline through FY 2029, and then resume year-over-year growth over the remainder of the budget horizon. The USPTO is committed to continuously improving the fee schedule design to provide sufficient financial resources for the agency to effectively and efficiently administer the U.S. IP system while maintaining a rigorous and transparent review process.

<u>Estimated Spending</u>
The Budget increases workload capacity by hiring additional patent examiners and strengthening AI-supported examination to meet demand and increase output to achieve pendency goals in the outyears. Additionally, spending reflects inflationary increases, and the USPTO projects that the Patent Program will increase at a 4.7% compound annual growth rate (CAGR) over the budget horizon, relative to the FY 2025 baseline level.

<u>Patent Operating Reserve</u>
For FY 2027, the USPTO set minimum Patents planning levels at 8% of total spending (about one month of operating expenses), or $344 million, and set optimal planning levels at 22% of total spending (about three months of operating expenses), or $947 million (figure 1(d)).

The USPTO projects that revenue will exceed patent spending requirements, and the agency will add forecasted excess fee collections to the patent operating reserve in FY 2026 and FY 2027. Over the remainder of the budget horizon, as projected fee collection growth slows but projected patent spending requirements continue to increase, the USPTO expects to use the patent operating reserve to fund the operating expenses required to achieve the agency's aggressive pendency goals. Uncertainties around adjustments to examination capacity, time allotted to examiners to perform their work, issuing new contracts as existing contracts expire, changes in workload, inflationary increases, and decreases in revenue, among other issues, could impact the USPTO's ability to achieve projected operating reserve levels.

**Figure 1(d)**
**Patent Operating Reserve Balance**




<u>Trademarks Five-Year Outlook</u>
The USPTO is committed to maintaining high-quality examination of trademark applications while continuing to focus on timeliness. The agency aims to reduce first-action trademark pendency to 4 months and disposal pendency to 9 months by FY 2028 through continued initiatives such as rewarding high-performing examining attorneys, expanding recruitment, prioritizing register protection, and modernizing IT. To combat fraud, the USPTO will deploy improved tools to detect trademark scams and increase customer outreach. The agency will improve efficiency by automating the Register Protection Office docket and by prioritizing IT upgrades that add AI capabilities, enhance system resilience, and support data-driven examination quality. These efforts will be supported by continued cloud-based IT deployment and modern security practices.

For FY 2027, the USPTO projects that trademark filings will grow by 5.2%, followed by growth rates ranging from 4.2% to 4.6% annually from FY 2028 over the budget horizon. The USPTO anticipates that trademark inventory will decrease through FY 2027, and then slowly increase as the agency aligns capacity with incoming workloads and hires examining attorneys while keeping the inventory-to-examiner ratio near a targeted ~400 classes per examiner, as demonstrated in figure 2(a). Figure 2(b) highlights Trademarks' performance outlook through the budget horizon.

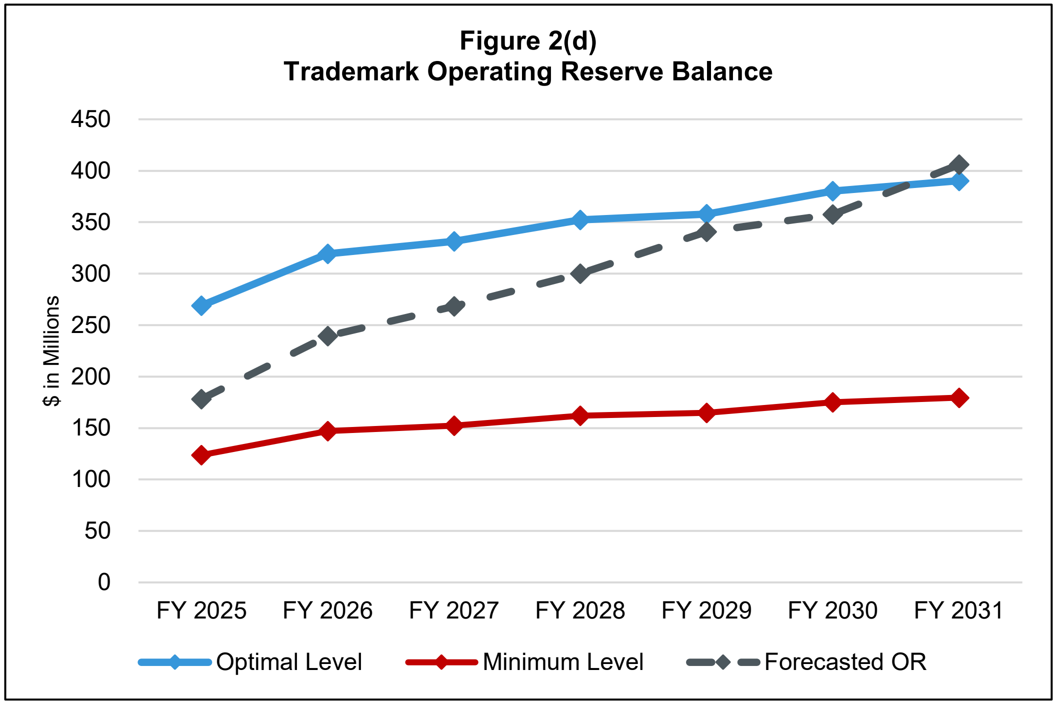
**Figure 2(b): Trademark performance outlook**

| | FY 2025 | FY 2026 | FY 2027 | FY 2028 | FY 2029 | FY 2030 | FY 2031 |
|---|---|---|---|---|---|---|---|
| Applications | 824,192 | 860,000 | 905,000 | 945,000 | 985,000 | 1,030,000 | 1,075,000 |
| Growth rate | 7.4% | 4.3% | 5.2% | 4.4% | 4.2% | 4.6% | 4.4% |
| Balanced disposals | 1,855,828 | 1,810,000 | 1,840,000 | 1,870,000 | 1,950,000 | 2,040,000 | 2,130,000 |
| | | | | | | | |
| Average first action pendency (months) | 5.6 | 5.0 | 4.5 | 4.0 | 4.0 | 4.0 | 4.0 |
| Average total pendency (months) | 11.7 | 11 | 10.0 | 9.0 | 9.0 | 9.0 | 9.0 |

To achieve the performance commitments shown above, the USPTO developed estimates of trademark spending and fee collections, as shown in figure 2(c).

**Figure 2(c): Trademark financial outlook**

| | FY 2025 | FY 2026 | FY 2027 | FY 2028 | FY 2029 | FY 2030 | FY 2031 |
|---|---|---|---|---|---|---|---|
| Estimated fee collections (appropriation/authority) | 593 | 648 | 687 | 731 | 752 | 772 | 824 |
| Other income | 8 | 7 | 5 | 5 | 5 | 5 | 5 |
| Operating reserve BOY balance | 161 | 178 | 239 | 268 | 300 | 341 | 358 |
| **Total estimated funds available** | **762** | **833** | **931** | **1,004** | **1,057** | **1,118** | **1,187** |
| **Total estimated spending** | **(538)** | **(639)** | **(663)** | **(705)** | **(716)** | **(761)** | **(780)** |
| **Available at EOY** | **223** | **194** | **269** | **300** | **341** | **358** | **406** |
| Transfer (to)/from PTFRF | (45) | 45 | - | - | - | - | - |
| **Operating reserve EOY balance** | **178** | **239** | **269** | **300** | **341** | **358** | **406** |
| **PTFRF** | | | | | | | |
| PTFRF BOY balance | - | 45 | - | - | - | - | - |
| Transfer to/(from) PTFRF | 45 | (45) | - | - | - | - | - |
| **PTFRF EOY balance** | **45** | **-** | **-** | **-** | **-** | **-** | **-** |
| **EOY operating reserve and PTFRF balances** | **223** | **239** | **269** | **300** | **341** | **358** | **406** |




Projected Fee Collections

The USPTO conducts biennial fee reviews to ensure aggregate revenues recover aggregate costs. Trademark fee collections are projected to rise year-over-year throughout the budget horizon, driven by an expected increase in serial filings. The USPTO also aims to protect the integrity of the trademark register and promote efficiency of the examination, appeal, and trial processes while maintaining a rigorous and open review process.

Estimated Spending

The USPTO anticipates that trademark filings will increase by approximately 250,000 applications (classes) over the budget horizon relative to FY 2025, representing a 4.5% CAGR. Trademarks will increase its number of examining attorneys and personnel to support increasing workloads and business development and to implement new and improved IT tools (including AI) to manage workload more effectively. Total annual trademark spending requirements will increase at a 6.4% CAGR through the budget horizon relative to the FY 2025 baseline level. These increases in spending requirements include inflationary increases, capacity increases, and continued investments to improve Trademarks' business effectiveness.

Trademark Operating Reserve

For FY 2027, the USPTO set minimum trademark operating reserve planning levels at 23% of total spending (about three months of operating expenses), or $152 million, and optimal planning levels at 50% of total spending (six months of operating expenses), or $331 million (see figure 2(d)).

The USPTO estimates that the trademark operating reserve will remain below optimal levels through most of the budget horizon and exceed optimal levels after FY 2030 due to fee collections exceeding spending requirements. Uncertainties around adjustments to examination capacity, time allotted to examining attorneys to perform their work, issuing new contracts as existing contracts expire, changes in workload, inflationary increases, and decreases in revenue, among other issues, could impact the USPTO's ability to achieve projected operating reserve levels.

## Appendix II: Allocation of Budgetary Requirements to the Patent and Trademark Programs

### PATENT/TRADEMARK SPLIT PER TWO WAY BUSINESS LINE
### PROGRAM AND PERFORMANCE: TOTAL OBLIGATIONS
(Direct obligations amounts in thousands)

| | 2025 | | | 2026 | | | 2027 | | |
|---|---|---|---|---|---|---|---|---|---|
| Sub-Activity | Total | Patent | Trademark | Total | Patent | Trademark | Total | Patent | Trademark |
| Patent Examining | 2,766,039 | 2,766,039 | | 2,982,731 | 2,982,731 | | 3,082,575 | 3,082,575 | |
| Patent Trial and Appeals | 86,790 | 86,790 | | 83,248 | 83,248 | | 89,356 | 89,356 | |
| Patent Information Resources | 138,921 | 138,921 | | 161,130 | 161,130 | | 163,110 | 163,110 | |
| Trademark Examining | 276,334 | | 276,334 | 315,890 | | 315,890 | 342,385 | | 342,385 |
| Trademark Trial and Appeals | 19,017 | | 19,017 | 19,572 | | 19,572 | 22,534 | | 22,534 |
| Trademark Information Resources | 61,095 | | 61,095 | 73,120 | | 73,120 | 73,219 | | 73,219 |
| Policy, International Engagement, and Operational Support | 28,509 | 19,264 | 9,245 | 32,277 | 21,858 | 10,419 | 34,474 | 23,345 | 11,129 |
| GIPA | 4,328 | 2,874 | 1,454 | 4,923 | 3,269 | 1,653 | 5,449 | 3,619 | 1,830 |
| IPR Attaché Program | 16,257 | 9,775 | 6,482 | 28,459 | 17,112 | 11,347 | 7,906 | 4,754 | 3,152 |
| Executive Direction and Communications | 34,071 | 27,419 | 6,652 | 55,018 | 42,233 | 12,785 | 55,863 | 43,269 | 12,594 |
| Financial Management Services | 54,077 | 44,596 | 9,481 | 54,682 | 45,099 | 9,583 | 58,750 | 48,395 | 10,355 |
| Human Resource Management and Administrative Services | 77,497 | 68,257 | 9,240 | 86,102 | 76,051 | 10,051 | 89,329 | 78,854 | 10,475 |
| Legal Services | 34,775 | 27,392 | 7,383 | 37,552 | 29,693 | 7,859 | 39,547 | 31,270 | 8,277 |
| Cross Cutting Functions Information Resources | 126,959 | 103,968 | 22,991 | 132,982 | 109,187 | 23,795 | 131,378 | 107,789 | 23,589 |
| IT Infrastructure and IT Support Services | 374,260 | 294,669 | 79,591 | 488,918 | 379,689 | 109,229 | 492,561 | 384,050 | 108,511 |
| MGE | 235,641 | 206,754 | 28,887 | 263,343 | 230,064 | 33,279 | 276,652 | 242,083 | 34,569 |
| Total | 4,334,570 | 3,796,718 | 537,852 | 4,819,948 | 4,181,365 | 638,583 | 4,965,089 | 4,302,469 | 662,619 |

**Department of Commerce**
**United States Patent and Trademark Office**
**PROGRAM AND PERFORMANCE: TOTAL OBLIGATIONS**
(Direct obligations amounts in thousands)

| Sub-Activity | 2028 | | | 2029 | | | 2030 | | | 2031 | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Total | Patent | Trademark | Total | Patent | Trademark | Total | Patent | Trademark | Total | Patent | Trademark |
| Patent Examining | 3,222,461 | 3,222,461 | | 3,337,224 | 3,337,224 | | 3,482,730 | 3,482,730 | | 3,602,591 | 3,602,591 | |
| Patent Trial and Appeals | 91,358 | 91,358 | | 92,219 | 92,219 | | 93,806 | 93,806 | | 95,131 | 95,131 | |
| Patent Information Resources | 162,679 | 162,679 | | 166,679 | 166,679 | | 171,049 | 171,049 | | 175,377 | 175,377 | |
| Trademark Examining | 358,883 | | 358,883 | 373,877 | | 373,877 | 397,033 | | 397,033 | 421,882 | | 421,882 |
| Trademark Trial and Appeals | 23,146 | | 23,146 | 23,656 | | 23,656 | 24,410 | | 24,410 | 25,065 | | 25,065 |
| Trademark Information Resources | 74,800 | | 74,800 | 76,526 | | 76,526 | 78,429 | | 78,429 | 80,268 | | 80,268 |
| Policy, International Engagement, and Operational Support | 35,197 | 23,833 | 11,363 | 35,953 | 24,344 | 11,609 | 36,577 | 24,766 | 11,812 | 37,229 | 25,157 | 12,071 |
| GIPA | 5,567 | 3,697 | 1,870 | 5,705 | 3,789 | 1,916 | 5,877 | 3,903 | 1,974 | 6,029 | 4,004 | 2,025 |
| IPR Attaché Program | 38,559 | 23,185 | 15,374 | 9,009 | 5,417 | 3,592 | 41,486 | 24,945 | 16,541 | 10,275 | 6,178 | 4,097 |
| Executive Direction and Communications | 57,685 | 44,643 | 13,042 | 58,906 | 45,589 | 13,316 | 60,483 | 46,811 | 13,672 | 61,841 | 47,875 | 13,966 |
| Financial Management Services | 60,283 | 49,642 | 10,641 | 61,972 | 51,017 | 10,955 | 64,043 | 52,704 | 11,339 | 65,933 | 54,246 | 11,687 |
| Human Resource Management and Administrative Services | 94,064 | 83,052 | 11,012 | 96,594 | 85,285 | 11,309 | 100,232 | 88,497 | 11,735 | 103,358 | 91,255 | 12,103 |
| Legal Services | 40,469 | 31,991 | 8,477 | 41,398 | 32,724 | 8,674 | 42,638 | 33,701 | 8,937 | 43,075 | 34,022 | 9,053 |
| Cross Cutting Functions Information Resources | 134,351 | 110,228 | 24,123 | 137,479 | 112,792 | 24,687 | 140,889 | 115,591 | 25,299 | 144,311 | 118,396 | 25,914 |
| IT Infrastructure and IT Support Services | 498,469 | 389,827 | 108,642 | 510,160 | 398,992 | 111,168 | 522,654 | 408,766 | 113,888 | 534,930 | 418,365 | 116,564 |
| MGE | 343,086 | 300,063 | 43,024 | 353,944 | 309,645 | 44,299 | 361,437 | 316,227 | 45,209 | 366,808 | 321,053 | 45,755 |
| Total | 5,241,057 | 4,536,661 | 704,396 | 5,381,301 | 4,665,717 | 715,584 | 5,623,774 | 4,863,496 | 760,277 | 5,774,103 | 4,993,652 | 780,451 |

## Appendix III: Multiyear Planning by Program

The USPTO's operating structure is like a business in that the agency receives requests for services (e.g., applications for patents and trademark registrations) and charges fees that are projected to cover the costs of performing the services over a multiyear product life cycle. Like a business, multiyear planning and budgeting require an in-depth understanding of the USPTO's financial position, including cost drivers and revenue, unfunded liabilities, and external realities as demonstrated by the patent production model, PTAB production model, trademark production model, and fee projection model. These plans and models provide a five-year forecast. Specifically, demand for patent and trademark services and products and USPTO employees' production work generate both current and future revenue that is essential for the agency to operate effectively and meet the needs of the American people. External influences that affect demand and USPTO workforce productivity significantly impact the USPTO's efforts and resourcing to accomplish its mission.

The USPTO uses plans and models to forecast five-year requirements and fee collection (revenue) estimates in annual budget documents. The USPTO has established and maintains ORs to mitigate risks and execute multiyear plans. Using fee setting authority and other tools, the USPTO continuously refines and balances the aggregate revenue and aggregate costs forecasted in its multiyear plan. Fee setting authority allows the USPTO to engage the stakeholder community on fee adjustments, fully recover the aggregate costs of the agency's planned operations, develop and maintain sufficient ORs, invest in strategic Administration and USPTO initiatives, and respond to changing levels of market demand.

Unlike most businesses, some USPTO fees (e.g., initial application filings) do not cover the full costs of the services the agency performs. The agency sets certain fees below unit costs to increase access to the patent and trademark systems, while it sets others above the individual unit cost to ensure the USPTO recovers costs in the aggregate. Therefore, the USPTO must take a long-term view that considers both forecasted demand and associated fee collections, as well as the projected outyear workload and associated processing costs, in projecting the agency's budgetary requirements. The FY 2027 Budget and multiyear planning framework enable the USPTO to respond to the demands of both the domestic and international economies, provide robust and timely IP products and services, and build on its current level of organizational effectiveness and efficiency.

As part of the USPTO's requirements under the Chief Financial Officers Act of 1990 and OMB Circular No. A-25 Revised, the USPTO biennially reviews the existing patent and trademark fee schedules and researches, analyzes, and develops recommendations for potential revisions and additions to the schedules. The USPTO also researches the optimal fee schedule to enhance the operating environment and facilitate the agency's effective administration of the U.S. IP system, while ensuring the fee schedules continuously meet the needs of the IP environment of the future. Fee reviews are distinct from but closely related to the rulemaking process for fee setting.

<u>Operating Reserves</u>
The GAO recognizes ORs as a best practice for programs 100% funded by user fees, as they enable programs to align fees and costs over a longer horizon and prepare for and adjust to fluctuations in collections and costs. To continue promoting confidence in the U.S. IP system,

the USPTO maintains both patent and trademark ORs to absorb and respond to temporary shocks in the economy and to mitigate risks in the USPTO's multiyear operating and financial environments. The ORs enable the USPTO to finance agency operations consistently when:

- Fee collections are partially or wholly unavailable (e.g., during continuing resolutions or lapses in appropriations)
- Fee collections are lower than expected (e.g., during unexpected economic downturns or legislative changes)
- Seasonal spending requirements exceed seasonal fee collections (e.g., as a result of normal cash flow variability)
- Demand for patent or trademark services unexpectedly increases (e.g., during unexpected economic upturns with increased work volumes or legislative changes)
- Other unanticipated spending requirements exceed planned estimates that are necessary to maintain USPTO operations

For instance, the USPTO has remained open using operating reserve funds on multiple occasions when certain federal government departments and agencies, including the DOC, have shut down because of lapses in appropriations. The ORs allow the agency to continue operating and prevent a significant degradation in service levels, including pendency time frames. Sufficient ORs for the Patent and Trademark Programs also allow the USPTO to maintain an adequate operating tempo during temporary periods of significant revenue and funding disruption. For example, the ORs enable the USPTO to avoid making short-term, crisis-based spending decisions that could prevent the agency from delivering on its strategic and performance commitments.

The USPTO recognizes that the ORs' mitigative uses could change over time due to economic volatility, variability in filings and revenue collections, external and internal enterprise risks, or operational reasons. Therefore, the USPTO annually assesses risk, including cash flow and any planned use of operating reserve funds, as part of the budget process and in accordance with the agency's operating reserve policy.

The USPTO uses risk assessments to determine the appropriate range for both operating reserve levels. The agency manages the operating reserves within a range of acceptable balances and assesses its options when projected balances fall either below or above that range. The USPTO sets minimum targets to address immediate, unplanned changes in the economic or operating environments as the reserves build to optimal levels. The agency reviews the minimum and optimal targets every three years to ensure the reserve operating range (between minimum and optimal targets) mitigates the severity of an array of financial risks. Based on the risk environment during the last assessment, including various risk factors such as economic and funding uncertainty and the high percentage of fixed costs, the USPTO established a minimum target of 8% of total spending (or one month of operating expenses) and an optimal, long-range target of 22% of total spending (or three months of operating expenses) for the Patent Program. The USPTO also established a minimum target of 23% of total spending (or three months of operating expenses) and an optimal, long-range target of 50% of total spending (or six months of operating expenses) for the Trademark Program.

<u>USPTO Fee Collection Estimates</u>

As a fee-funded agency, the USPTO relies on user fee collections, which fluctuate based on various external and internal factors, to fund operations. The USPTO prepares an aggregate fee collection estimate to guide its internal management and planning. Estimates of future-year fee collections are inherently variable, especially in uncertain economic environments. In addition to presenting the most likely fee collection estimates in the Budget, the USPTO examines potential impacts on fee collections if some major workload assumptions (e.g., requests for services and products) were to change. This risk-based approach allows the USPTO to have in-depth discussions regarding estimates and underlying assumptions, which enables the agency to develop thoughtful spending plans.

### Economic and Market Outlook

Requests for USPTO services and products depend upon many factors, including U.S. and global economic activity. The USPTO considers several economic factors and relevant indicators when forecasting its demand (i.e., requests for services and products). Major factors include the overall condition of the U.S. and global economies, spending on technological innovation activities, and investments leading to the commercialization of new products and services. The most relevant indicator the USPTO uses is real gross domestic product (RGDP), which correlates to USPTO patent and trademark application filings—the key drivers of patent and trademark workloads. The USPTO considers RGDP estimates from the Congressional Budget Office and other sources when projecting workloads. These factors provide insight into market conditions that influence stakeholders' decisions about managing their IP portfolios, impacting process requests as well as post-issuance decisions to maintain patent and trademark protection.

### Developing Workload and Fee Collection Estimates

The USPTO considers economic activity when developing workload forecasts, primarily patent and trademark application filings. In addition to economic factors, the USPTO considers overseas activity, court decisions, policies and legislation, process efficiencies, and anticipated applicant behavior when preparing estimates. The USPTO develops independent estimates of incoming patent and trademark workloads after researching and modeling these elements, as economic and other variables influence patent and trademark activities differently. Estimates of incoming patent and trademark application filings can change in response to global economic fluctuations and shocks.

The USPTO develops estimates of workload production, examination, and process requests by incorporating the efficiencies, tools, and policies necessary to increase examination capacity and improve efficiency. In developing estimates, the USPTO also factors in resources available to complete the work. Certain process actions are mandatory while others are discretionary, such as when applicants purchase an extended time frame within which to respond to USPTO actions.

The USPTO develops forecasts of post-allowance activities, maintenance of patents in force, and trademark registration renewal using the same assumptions about the economic environment as incoming work. Owners carefully manage their IP portfolios, incorporating current economic and market conditions, to decide whether to continue the exclusivity of post-allowance rights. The USPTO consistently compares all workload estimates to past and current workloads and regularly adjusts projection models based on additional data, knowledge, and experience. The agency then transforms workload estimates into individual estimates for each fee code on the USPTO fee schedule. Individual workload estimates, multiplied by accompanying fee amounts, become the fee collection estimate. Estimates include assumptions about payment behavior based on the current patent and trademark fee schedules.

### Patent Fee Collections

Patent fees cover patent-related services and products the USPTO provides at different intervals within the patent application examination process and over the life of the pending patent application and granted patent. The USPTO's estimate of FY 2027 patent fee collections includes collections for applications filed in FY 2027; work the agency will process in FY 2027 (e.g., issues); examination and process requests for the year; and patent holders' post-issuance decisions to maintain patent protection. More than half of all patent fee collections are from issue and maintenance fees. Changes in application filing levels immediately impact current-year fee collections because fewer patent application filings mean the USPTO will collect fewer fees in the current year. A decrease in patent application filings also has outyear impacts because it decreases the total amount of possible production outputs, which, assuming no change in allowance or renewal rates, would lead the USPTO to collect fewer issue and maintenance fee payments in future years.

The USPTO estimates patent fee collections at $4,473 million for FY 2027, excluding $50 million in other income. These projections are based on assumptions that serialized (new) patent filings will have a growth rate of 2.0% and RCEs will grow by 0.4%. Patent issuances will reflect the USPTO's continued commitment to strengthening examination reliability, capacity, and efficiencies, with an estimated 395,000 patents printed in FY 2027. Patent maintenance fee payments vary from year to year, largely based on historical patterns of patent issuance and the number of patents coming due for renewal. The USPTO expects that patent renewal rates will continue long-term trends, with FY 2027 renewal rates being similar to rates the agency has observed in recent years.

<u>Trademark Fee Collections</u>

Applicants pay trademark fees in advance of USPTO actions. In its estimates of trademark fee collections, the USPTO includes estimated payment amounts for applications filed each year, as well as for affidavit and renewal fees. Trademark application filings are correlated with the strength of the economy and individual businesses and tend to be more volatile than patent application filings. Because over half of all fees the USPTO collects for trademark-related services and products are from trademark applications and related filings, trademark fee collections also tend to be more volatile than patent fee collections.

The USPTO estimates trademark fee collections at $687 million in FY 2027, excluding $5 million in other income, based on the economic outlook and the agency's expectation that trademark application filings will grow. These projections are based on assumptions that the trademark filing growth rate will be 5.2%. As with patent filings, variance in trademark filing growth rates immediately impacts current-year fee collections but can also impact future years as the USPTO processes work and registered trademarks come due for renewal.

<u>Fee Rate Assumptions and Continued Assessment of Estimates</u>

Estimates include assumptions about payment behavior based on the current patent fee schedule that took effect on January 19, 2025, and the current trademark fee schedule that took effect on January 18, 2025.

The USPTO continues to conduct biennial fee reviews to ensure both the patent and trademark fee structures allow the agency to make continuous strategic improvements to address stakeholder needs and maintain a sustainable funding model to avoid disruptions that fluctuations in available financial resources may cause. The USPTO is committed to improving its fee schedule design to provide sufficient financial resources to effectively administer the U.S. IP system. Should anticipated operating costs change, the agency will consider impacts on the financial outlook in future fee reviews. The USPTO is committed to its responsibility to its stakeholders and will maintain a rigorous and open review process.

The USPTO monitors the economic environment carefully by following economic indicators and trends in international IP offices, communicating with domestic filers of patent and trademark applications, and conferring with the PPAC and the TPAC. The USPTO continually analyzes workloads and fee collections to assess current- and future-year estimates, as well as to identify trends and behaviors.

## Appendix IV: USPTO Estimates and Actual Fees and Assumptions

| | FY 2024 | FY 2025 | |
|---|---|---|---|
| *(Dollars in Millions)*<br>**Date of Projection** | **Actual<br>September 2024** | **President's Budget<br>March 2024** | **Actual<br>September 2025** |
| **Total USPTO Fee Collections** | **$4,126** | **$4,555** | **$4,521** |
| **Total Patent Fee Collections** | $3,655 | $3,972 | $3,929 |
| **Total Trademark Fee Collections** | $472 | $583 | $593 |
| **Major Patent Fee Collections:** | | | |
| Filing (with Excess Claims) | $864 | $1,047 | $1,002 |
| Post Allowance | $343 | $361 | $369 |
| Maintenance | $1,996 | $2,014 | $2,062 |
| PCT | $215 | $252 | $227 |
| Extensions of Time | $97 | $108 | $95 |
| Other | $140 | $190 | $174 |
| **Major Trademark Fee Collections:** | | | |
| Application Filings | $251 | $311 | $321 |
| Post Registration Fees | $127 | $164 | $157 |
| Other | $94 | $108 | $114 |
| **Assumptions Used to Develop Fee Collection Estimates** | | | |
| **Filing Growth Rates:** | Patent serialized filings growth rate 0.8% (466,070 filings) Patent RCE filings growth rate2.3% (134,151 filings) Trademark filings growth rate 4.1% (767,138 filings) Patent serialized filings growth rate 1.5% (476,969 filings) Patent RCE filings growth rate 4.4% (132,448 filings) Trademark filings growth rate 4.6% (774,000 filings) | Patent serialized filings growth rate 0.8% (466,070 filings) Patent RCE filings growth rate2.3% (134,151 filings) Trademark filings growth rate 4.1% (767,138 filings) Patent serialized filings growth rate 1.5% (476,969 filings) Patent RCE filings growth rate 4.4% (132,448 filings) Trademark filings growth rate 4.6% (774,000 filings) | Patent serialized filings growth rate 2.0% (475,202 filings) Patent RCE filings growth rate -1.1% (132,695 filings) Trademark filings growth rate 7.4% (824,192 filings |
| **Patents Issued:** | 327,405 patents printed | 312,412 patents printed | 325,381 patents printed |
| **Patent Fee Adjustments:** | N/A | Fee adjustments took effect on January 19, 2025 | Fee adjustments took effect on January 19, 2025 |
| **Trademark Fee Adjustments:** | N/A | Fee adjustments took effect on January 18, 2025 | Fee adjustments took effect on January 18, 2025 |

| (Dollars in Millions) Date of Projection | FY 2025 Actual September 2025 | FY 2026 Revised Working Estimate April 2026 | `FY 2027 President's Budget Working Estimate April 2026 |
|---|---|---|---|
| **Total USPTO Fee Collections** | **$4,521** | **$4,955** | **$5,160** |
| **Total Patent Fee Collections** | $3,929 | $4,307 | $4,473 |
| **Total Trademark Fee Collections** | $593 | $648 | $687 |
| **Major Patent Fee Collections:** | | | |
| Filing (with Excess Claims) | $1,002 | $1,114 | $1,138 |
| Post Allowance | $369 | $432 | $470 |
| Maintenance | $2,062 | $2,254 | $2,355 |
| PCT | $227 | $241 | $241 |
| Extensions of Time | $95 | $97 | $99 |
| Other | $174 | $169 | $171 |
| **Major Trademark Fee Collections:** | | | |
| Application Filings | $321 | $358 | $376 |
| Post Registration Fees | $157 | $173 | $189 |
| Other | $114 | $117 | $122 |
| **Filing Growth Rates:** | Patent serialized filings growth rate 2.0% (475,202 filings)<br>Patent RCE filings growth rate -1.1% (132,695 filings)<br>Trademark filings growth rate 7.4% (824,192 filings) | Patent serialized filings growth rate 2.0% (484,706 filings)<br>Patent RCE filings growth rate 2.1% (135,484 filings)<br>Trademark filings growth rate 4.3% (860,000 filings) | Patent serialized filings growth rate 2.0% (494,400 filings)<br>Patent RCE filings growth rate 0.4% (136,048 RCEs)<br>Trademark filings growth rate 5.2% (905,000 filings) |
| **Patents Issued:** | 325,381 patents printed | 365,256 patents printed | 394,697 patents printed |
| **Patent Fee Adjustments:** | Fee adjustments took effect on January 19, 2025 | N/A | N/A |
| **Trademark Fee Adjustments:** | Fee adjustments took effect on January 18, 2025 | N/A | N/A |

# Appendix V: FY 2025 Fee Report

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| **Patents Fee Summary:** | | | | |
| | Patent Application Filing Fees | | $1,047,143,772 | $1,002,023,867 |
| | Patent Post Allowance Fees | | $361,135,957 | $368,834,788 |
| | Patent Maintenance Fees | | $2,014,107,608 | $2,061,478,502 |
| | Patent Extension of Time Fees | | $107,795,149 | $95,248,553 |
| | Patent Trial and Appeals Fees | | $68,799,024 | $77,185,059 |
| | Post Issuance Fees | | $39,561,132 | $16,339,749 |
| | Patent Cooperation Treaty (PCT) Fees | | $251,528,331 | $227,152,022 |
| | Hague International Design Application Fees | | $5,373,940 | $4,870,431 |
| | Patent Petition Fees | | $17,712,271 | $15,280,879 |
| | Patent Service Fees | | $2,022,520 | $1,898,099 |
| | Miscellaneous Patent Fees | | $55,490,485 | $56,696,522 |
| | Patent Enrollment Fees | | $1,166,188 | $1,432,530 |
| | Finance Service Fees | | $46,805 | $50,053 |
| | **Total Patents Fees** | | **$3,971,883,181** | **$3,928,491,054** |
| **Trademarks Fee Summary:** | | | | |
| | Application Filings | | $311,039,394 | $320,816,825 |
| | Post Registration Fees | | $164,235,686 | $157,348,025 |
| | Intent to Use/Use Fees | | $60,761,652 | $65,769,100 |
| | Madrid Protocol Fees | | $8,816,431 | $9,734,325 |
| | Trademark Trial and Appeal Board | | $15,971,127 | $13,680,850 |
| | Other Trademark Fees | | $14,018,658 | $16,978,431 |
| | Trademark Processing Fees | | $8,208,067 | $8,176,350 |
| | Finance Service Fees | | $5,700 | $7,549 |
| | **Total Trademarks Fees** | | **$583,056,715** | **$592,511,455** |
| | **Total United States Patent and Trademark Office** | | **$4,554,939,896** | **$4,521,002,509** |

**Patents**

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| **Patent Filing Fees (Large Entity):** | | | | |
| 1005 | Provisional application filing fee | $325 | $19,602,928 | $19,521,890 |
| 1011 | Basic filing fee - utility (paper filing also requires non-electronic filing fee under 1.16(t)) | $350 | $84,377,921 | $84,934,604 |
| 1012 | Basic filing fee - design | $300 | $4,827,832 | $4,908,500 |
| 1013 | Basic filing fee - plant | $240 | $98,418 | $94,120 |
| 1014 | Basic filing fee - reissue | $350 | $151,160 | $121,250 |
| 1017 | Basic filing fee - design CPA | $300 | $205,813 | $190,480 |
| 1019 | Basic filing fee - reissue (design CPA) | $350 | $676 | $350 |
| 1051 | Surcharge - late filing fee, search fee, examination fee, inventor's oath or declaration, or application filed without at least one claim or by reference | $170 | $12,583,801 | $12,036,170 |
| 1052 | Surcharge - late provisional filing fee or cover sheet | $65 | $98,561 | $64,365 |
| 1053 | Non-english translation | $150 | $247,696 | $201,850 |
| 1054 | Non-DOCX filing surcharge fee | $430 | $10,354,767 | $5,428,710 |
| 1055 | Filing an application or presentation of benefit claim more than six years after earliest benefit date | $2,700 | $24,585,000 | $17,045,100 |
| 1056 | Filing an application or presentation of benefit claim more than nine years after earliest benefit date | $4,000 | $28,410,375 | $18,575,187 |
| 1081 | Utility application size fee - for each additional 50 sheets that exceeds 100 sheets | $450 | $9,098,193 | $8,845,170 |
| 1082 | Design application size fee - for each additional 50 sheets that exceeds 100 sheets | $450 | $79,734 | $74,010 |
| 1084 | Reissue application size fee - for each additional 50 sheets that exceeds 100 sheets | $450 | $13,218 | $17,880 |
| 1085 | Provisional application size fee - for each additional 50 sheets that exceeds 100 sheets | $450 | $5,026,221 | $3,623,520 |
| 1091 | Submission of sequence listings of 300MB to 800MB | $1,140 | $9,697 | $30,880 |
| 1092 | Submission of sequence listings of more than 800MB | $11,290 | $10,667 | $21,790 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1111 | Utility search fee | $770 | $183,903,385 | $185,251,240 |
| 1112 | Design search fee or design CPA search fee | $300 | $4,319,038 | $4,737,140 |
| 1113 | Plant search fee | $485 | $198,095 | $189,440 |
| 1114 | Reissue search fee or reissue (design CPA) search fee | $770 | $331,825 | $266,980 |
| 1201 | Each independent claim in excess of three | $600 | $16,780,351 | $14,610,240 |
| 1202 | Each claim in excess of 20 | $200 | $34,807,222 | $28,111,700 |
| 1203 | Multiple dependent claim | $925 | $506,375 | $383,470 |
| 1204 | Each reissue independent claim in excess of three | $600 | $200,438 | $162,360 |
| 1205 | Each reissue claim in excess of 20 | $200 | $469,369 | $390,900 |
| 1311 | Utility examination fee | $880 | $210,938,231 | $212,262,840 |
| 1312 | Design examination fee or design CPA examination fee | $700 | $12,614,963 | $12,615,020 |
| 1313 | Plant examination fee | $725 | $296,514 | $283,560 |
| 1314 | Reissue examination fee or reissue (design CPA) examination fee | $2,550 | $1,104,150 | $881,850 |
| 1801 | Request for continued examination (RCE) - 1st request (see 37 CFR 1.114) | $1,500 | $102,521,695 | $113,523,100 |
| 1817 | Request for prioritized examination | $4,515 | $27,814,246 | $22,353,345 |
| 1820 | Request for continued examination (RCE) - 2nd and subsequent request (see 37 CFR 1.114) | $2,860 | $50,597,652 | $68,077,680 |
| 182S | Request for continued examination (RCE) - 3rd and subsequent request (see 37 CFR 1.114) | | $27,260,922 | $0 |
| 18AF | Consideration of AFCP 2.0 request | | $13,155,489 | $0 |
| | **Total Patent Filing Fees (Large Entity)** | | **$887,602,638** | **$839,836,691** |

**Patents**

Patent Filing Fees (Micro Entity):

| | | | | |
|---|---|---|---|---|
| 38AF | Consideration of AFCP 2.0 request | | $50,659 | $0 |
| 3005 | Provisional application filing fee | $65 | $1,405,566 | $2,691,725 |
| 3011 | Basic filing fee - utility (paper filing also requires non-electronic filing fee under 1.16(t)) | $70 | $982,035 | $1,071,894 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3012 | Basic filing fee - design | $60 | $857,820 | $973,272 |
| 3013 | Basic filing fee - plant | $48 | $325 | $456 |
| 3014 | Basic filing fee - reissue | $70 | $676 | $1,218 |
| 3017 | Basic filing fee - design CPA | $60 | $3,457 | $1,852 |
| 3051 | Surcharge - late filing fee, search fee, examination fee, inventor's oath or declaration, or application filed without at least one claim or by reference | $34 | $112,285 | $114,688 |
| 3052 | Surcharge - late provisional filing fee or cover sheet | $13 | $28,562 | $46,156 |
| 3053 | Non-english translation | $30 | $948 | $922 |
| 3054 | Non-DOCX filing surcharge fee | $86 | $120,514 | $90,776 |
| 3055 | Filing an application or presentation of benefit claim more than six years after earliest benefit date | $540 | $76,560 | $35,100 |
| 3056 | Filing an application or presentation of benefit claim more than nine years after earliest benefit date | $800 | $43,050 | $23,200 |
| 3081 | Utility application size fee - for each additional 50 sheets that exceeds 100 sheets | $90 | $9,722 | $14,394 |
| 3082 | Design application size fee - for each additional 50 sheets that exceeds 100 sheets | $90 | -$256 | $1,182 |
| 3083 | Plant application size fee - for each additional 50 sheets that exceeds 100 sheets | $90 | $0 | $0 |
| 3085 | Provisional application size fee - for each additional 50 sheets that exceeds 100 sheets | $90 | $9,977 | $31,518 |
| 3091 | Submission of sequence listings of 300MB to 800MB | $228 | $0 | $12,052 |
| 3092 | Submission of sequence listings of more than 800MB | $2,258 | $0 | $9,032 |
| 3111 | Utility search fee | $154 | $2,109,806 | $2,220,830 |
| 3112 | Design search fee or design CPA search fee | $60 | $746,682 | $890,924 |
| 3113 | Plant search fee | $97 | $654 | $916 |
| 3114 | Reissue search fee or reissue (design CPA) search fee | $154 | $1,782 | $2,968 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3201 | Each independent claim in excess of three | $120 | $148,554 | $180,384 |
| 3202 | Each claim in excess of 20 | $40 | $203,784 | $307,760 |
| 3203 | Multiple dependent claim | $185 | $19,826 | $37,599 |
| 3204 | Each reissue independent claim in excess of three | $120 | $700 | $1,128 |
| 3205 | Each reissue claim in excess of 20 | $40 | $615 | $2,060 |
| 3311 | Utility examination fee | $176 | $2,416,293 | $2,549,002 |
| 3312 | Design examination fee or design CPA examination fee | $140 | $2,176,440 | $2,421,760 |
| 3313 | Plant examination fee | $145 | $979 | $1,372 |
| 3314 | Reissue examination fee or reissue (design CPA) examination fee | $510 | $5,902 | $9,832 |
| 3801 | Request for continued examination (RCE) - 1st request (see 37 CFR 1.114) | $300 | $605,027 | $575,903 |
| 3817 | Request for prioritized examination | $903 | $882,149 | $1,551,039 |
| 3820 | Request for continued examination (RCE) - 2nd and subsequent request (see 37 CFR 1.114) | $572 | $251,989 | $277,004 |
| 382S | Request for continued examination (RCE) - 3rd and subsequent request (see 37 CFR 1.114) | | $103,400 | $0 |
| | **Total Patent Filing Fees (Micro Entity)** | | **$13,376,484** | **$16,149,918** |

**Patents**

Patent Filing Fees (Small Entity):

| | | | | |
|---|---|---|---|---|
| 28AF | Consideration of AFCP 2.0 request | | $968,852 | $0 |
| 2005 | Provisional application filing fee | $130 | $8,515,636 | $9,718,245 |
| 2011 | Basic filing fee - utility (paper filing also requires non-electronic filing fee under 1.16(t)) | $140 | $32,169 | $18,538 |
| 2012 | Basic filing fee - design | $120 | $2,289,046 | $2,524,652 |
| 2013 | Basic filing fee - plant | $96 | $39,924 | $35,952 |
| 2014 | Basic filing fee - reissue | $140 | $27,459 | $18,844 |
| 2017 | Basic filing fee - design CPA | $120 | $57,330 | $32,608 |
| 2019 | Basic filing fee - reissue (design CPA) | $140 | $135 | $0 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2051 | Surcharge - late filing fee, search fee, examination fee, inventor's oath or declaration, or application filed without at least one claim or by reference | $68 | $2,268,461 | $2,057,784 |
| 2052 | Surcharge - late provisional filing fee or cover sheet | $26 | $62,880 | $53,894 |
| 2053 | Non-english translation | $60 | $49,597 | $46,112 |
| 2054 | Non-DOCX filing surcharge fee | $172 | $1,497,973 | $1,836,440 |
| 2055 | Filing an application or presentation of benefit claim more than six years after earliest benefit date | $1,080 | $4,411,440 | $3,367,440 |
| 2056 | Filing an application or presentation of benefit claim more than nine years after earliest benefit date | $1,600 | $4,715,550 | $3,462,999 |
| 2081 | Utility application size fee - for each additional 50 sheets that exceeds 100 sheets | $180 | $2,205,261 | $1,901,564 |
| 2082 | Design application size fee - for each additional 50 sheets that exceeds 100 sheets | $180 | $16,544 | $16,548 |
| 2084 | Reissue application size fee - for each additional 50 sheets that exceeds 100 sheets | $180 | $3,923 | $2,460 |
| 2085 | Provisional application size fee - for each additional 50 sheets that exceeds 100 sheets | $180 | $2,078,880 | $1,605,588 |
| 2091 | Submission of sequence listings of 300MB to 800MB | $456 | $0 | $19,776 |
| 2092 | Submission of sequence listings of more than 800MB | $4,516 | $0 | $9,032 |
| 2111 | Utility search fee | $308 | $25,826,211 | $25,554,998 |
| 2112 | Design search fee or design CPA search fee | $120 | $2,023,468 | $2,355,284 |
| 2113 | Plant search fee | $194 | $80,359 | $72,422 |
| 2114 | Reissue search fee or reissue (design CPA) search fee | $308 | $58,199 | $41,412 |
| 2201 | Each independent claim in excess of three | $240 | $2,669,581 | $2,607,984 |
| 2202 | Each claim in excess of 20 | $80 | $8,006,489 | $7,922,004 |
| 2203 | Multiple dependent claim | $370 | $163,969 | $179,260 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2204 | Each reissue independent claim in excess of three | $240 | $24,193 | $17,136 |
| 2205 | Each reissue claim in excess of 20 | $80 | $79,625 | $68,560 |
| 2311 | Utility examination fee | $352 | $29,586,538 | $29,286,944 |
| 2312 | Design examination fee or design CPA examination fee | $280 | $5,904,117 | $6,371,862 |
| 2313 | Plant examination fee | $290 | $120,284 | $108,374 |
| 2314 | Reissue examination fee or reissue (design CPA) examination fee | $1,020 | $193,780 | $136,144 |
| 2801 | Request for continued examination (RCE) - 1st request (see 37 CFR 1.114) | $600 | $12,650,617 | $13,346,442 |
| 2817 | Request for prioritized examination | $1,806 | $13,236,586 | $16,257,192 |
| 2820 | Request for continued examination (RCE) - 2nd and subsequent request (see 37 CFR 1.114) | $1,144 | $7,265,928 | $9,079,984 |
| 282S | Request for continued examination (RCE) - 3rd and subsequent request (see 37 CFR 1.114) | | $3,091,223 | $0 |
| 4011 | Basic filing fee - utility (electronic filing for small entities) | $70 | $5,942,425 | $5,902,780 |
| | **Total Patent Filing Fees (Small Entity)** | | **$146,164,650** | **$146,037,258** |

**Patents**

Patent Post Allowance Fees (Large Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1501 | Utility issue fee | $1,290 | $294,058,736 | $301,440,676 |
| 1502 | Design issue fee | $1,300 | $17,407,643 | $18,503,844 |
| 1503 | Plant issue fee | $905 | $348,205 | $366,140 |
| 1505 | Publication fee for republication | $344 | $34,496 | $42,080 |
| 1506 | Suspense account for partial issue payments | var | $5,000 | $3,634 |
| 1508 | Issue fee - owed over current fee | var | $0 | $7,586 |
| 1509 | Hague design issue fee | $1,300 | $878,060 | $592,558 |
| 1511 | Reissue issue fee | $1,290 | $481,625 | $434,220 |
| | **Total Patent Post Allowance Fees (Large Entity)** | | **$313,213,766** | **$321,390,738** |

**Patents**

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| Patent Post Allowance Fees (Small Entity): | | | | |
| 2501 | Utility issue fee | $516 | $36,511,092 | $35,070,517 |
| 2502 | Design issue fee | $520 | $6,611,333 | $7,670,816 |
| 2503 | Plant issue fee | $362 | $147,517 | $137,176 |
| 2509 | Hague design issue fee | $520 | $163,360 | $111,206 |
| 2511 | Reissue issue fee | $516 | $45,068 | $49,488 |
| | **Total Patent Post Allowance Fees (Small Entity)** | | **$43,478,371** | **$43,039,203** |

**Patents**

Patent Post Allowance Fees (Micro Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3501 | Utility issue fee | $258 | $1,979,841 | $1,755,450 |
| 3502 | Design issue fee | $260 | $2,450,787 | $2,641,020 |
| 3503 | Plant issue fee | $181 | $1,233 | $711 |
| 3509 | Hague design issue fee | $260 | $10,210 | $7,168 |
| 3511 | Reissue issue fee | $258 | $1,749 | $498 |
| | **Total Patent Post Allowance Fees (Micro Entity)** | | **$4,443,820** | **$4,404,847** |

**Patents**

Patent Maintenance Fees (Large Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1551 | For maintaining an original or any reissue patent, due at 3.5 years | $2,150 | $442,197,138 | $452,885,020 |
| 1552 | For maintaining an original or any reissue patent, due at 7.5 years | $4,040 | $646,934,987 | $662,621,840 |
| 1553 | For maintaining an original or any reissue patent, due at 11.5 years | $8,280 | $757,084,214 | $774,657,860 |
| 1554 | Surcharge - 3.5 year - late payment within six months | $540 | $1,484,154 | $1,459,880 |
| 1555 | Surcharge - 7.5 year - late payment within six months | $540 | $1,453,688 | $1,114,220 |
| 1556 | Surcharge - 11.5 year - late payment within six months | $540 | $890,138 | $861,340 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1558 | Petition for the delayed payment of the fee for maintaining a patent in force, delay less than or equal to two years | $2,260 | $1,153,008 | $1,261,700 |
| 1559 | Patent unassigned maintenance fees | var | $1,700,000 | $2,387,503 |
| 1560 | Petition for the delayed payment of the fee for maintaining a patent in force, delay greater than two years | $3,000 | $56,250 | $111,000 |
| | **Total Patent Maintenance Fees (Large Entity)** | | **$1,852,953,578** | **$1,897,360,363** |

**Patents**

Patent Maintenance Fees (Small Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2551 | For maintaining an original or any reissue patent, due at 3.5 years | $860 | $47,636,914 | $44,978,120 |
| 2552 | For maintaining an original or any reissue patent, due at 7.5 years | $1,616 | $51,517,418 | $53,584,448 |
| 2553 | For maintaining an original or any reissue patent, due at 11.5 years | $3,312 | $51,350,763 | $54,045,696 |
| 2554 | Surcharge - 3.5 year - late payment within six months | $216 | $1,325,957 | $1,309,600 |
| 2555 | Surcharge - 7.5 year - late payment within six months | $216 | $888,668 | $880,448 |
| 2556 | Surcharge - 11.5 year - late payment within six months | $216 | $434,500 | $463,856 |
| 2558 | Petition for the delayed payment of the fee for maintaining a patent in force, delay less than or equal to two years | $904 | $1,315,745 | $1,667,184 |
| 2560 | Petition for the delayed payment of the fee for maintaining a patent in force, delay greater than two years | $1,200 | $69,300 | $111,600 |
| | **Total Patent Maintenance Fees (Small Entity)** | | **$154,539,265** | **$157,040,952** |

**Patents**

Patent Maintenance Fees (Micro Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3551 | For maintaining an original or any reissue patent, due at 3.5 years | $430 | $2,517,865 | $2,258,220 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3552 | For maintaining an original or any reissue patent, due at 7.5 years | $808 | $2,219,493 | $2,504,632 |
| 3553 | For maintaining an original or any reissue patent, due at 11.5 years | $1,656 | $1,413,377 | $1,833,760 |
| 3554 | Surcharge - 3.5 year - late payment within six months | $108 | $149,982 | $136,324 |
| 3555 | Surcharge - 7.5 year - late payment within six months | $108 | $83,686 | $86,325 |
| 3556 | Surcharge - 11.5 year - late payment within six months | $108 | $29,282 | $29,964 |
| 3558 | Petition for the delayed payment of the fee for maintaining a patent in force, delay less than or equal to two years | $452 | $193,431 | $213,562 |
| 3560 | Petition for the delayed payment of the fee for maintaining a patent in force, delay greater than two years | $600 | $7,650 | $14,400 |
| | **Total Patent Maintenance Fees (Micro Entity)** | | **$6,614,765** | **$7,077,187** |

**Patents**

Patent Extension of Time Fees (Large Entity):

| | | | | |
|---|---|---|---|---|
| 1251 | Extension for response within first month, except provisional applications | $235 | $14,561,205 | $13,393,900 |
| 1252 | Extension for response within second month, except provisional applications | $690 | $16,244,597 | $13,706,307 |
| 1253 | Extension for response within third month, except provisional applications | $1,590 | $33,433,952 | $26,793,002 |
| 1254 | Extension for response within fourth month, except provisional applications | $2,495 | $4,119,780 | $4,133,161 |
| 1255 | Extension for response within fifth month, except provisional applications | $3,395 | $7,192,187 | $8,052,567 |
| 1261 | Extension for response within first month, provisional application | $50 | $2,009 | $3,450 |
| 1262 | Extension for response within second month, provisional application | $100 | $1,804 | $4,000 |
| 1263 | Extension for response within third month, provisional application | $200 | $4,100 | $6,197 |
| 1264 | Extension for response within fourth month, provisional application | $400 | $656 | $7,600 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1265 | Extension for response within fifth month, provisional application | $800 | $1,312 | $31,400 |
| | **Total Patent Extension of Time Fees (Large Entity)** | | **$75,561,601** | **$66,131,584** |

**Patents**

Patent Extension of Time Fees (Small Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2251 | Extension for response within first month, except provisional applications | $94 | $2,916,997 | $2,582,418 |
| 2252 | Extension for response within second month, except provisional applications | $276 | $4,621,777 | $3,993,912 |
| 2253 | Extension for response within third month, except provisional applications | $636 | $17,188,579 | $14,637,659 |
| 2254 | Extension for response within fourth month, except provisional applications | $998 | $2,393,380 | $2,414,747 |
| 2255 | Extension for response within fifth month, except provisional applications | $1,358 | $3,490,530 | $4,084,478 |
| 2261 | Extension for response within first month, provisional application | $20 | $771 | $2,640 |
| 2262 | Extension for response within second month, provisional application | $40 | $693 | $2,300 |
| 2263 | Extension for response within third month, provisional application | $80 | $1,574 | $4,080 |
| 2264 | Extension for response within fourth month, provisional application | $160 | $252 | $7,531 |
| 2265 | Extension for response within fifth month, provisional application | $320 | $504 | $13,400 |
| | **Total Patent Extension of Time Fees (Small Entity)** | | **$30,615,059** | **$27,743,165** |

**Patents**

Patent Extension of Time Fees (Micro Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3251 | Extension for response within first month, except provisional applications | $47 | $160,262 | $137,477 |
| 3252 | Extension for response within second month, except provisional applications | $138 | $267,911 | $220,777 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3253 | Extension for response within third month, except provisional applications | $318 | $939,876 | $733,148 |
| 3254 | Extension for response within fourth month, except provisional applications | $499 | $127,411 | $126,662 |
| 3255 | Extension for response within fifth month, except provisional applications | $679 | $120,576 | $135,129 |
| 3261 | Extension for response within first month, provisional application | $10 | $499 | $2,510 |
| 3262 | Extension for response within second month, provisional application | $20 | $448 | $3,040 |
| 3263 | Extension for response within third month, provisional application | $40 | $1,018 | $4,314 |
| 3264 | Extension for response within fourth month, provisional application | $80 | $163 | $3,990 |
| 3265 | Extension for response within fifth month, provisional application | $160 | $326 | $6,757 |
| | **Total Patent Extension of Time Fees (Micro Entity)** | | **$1,618,488** | **$1,373,804** |

**Patents**

Patent Trial and Appeals Fees (Large Entity):

| | | | | |
|---|---|---|---|---|
| 1401 | Notice of appeal | $905 | $8,270,270 | $6,691,420 |
| 1403 | Request for oral hearing | $1,460 | $426,268 | $316,420 |
| 1404 | Filing a brief in support of an appeal in an inter partes reexamination proceeding | $2,260 | $9,183 | $33,100 |
| 1405 | Petitions to the Chief Administrative Patent Judge under 37 CFR 41.3 | $452 | $51,729 | $31,064 |
| 1406 | Inter partes review request fee - up to 20 claims | $23,750 | $26,936,662 | $30,333,500 |
| 1407 | Inter partes review request of each claim in excess of 20 | $470 | $1,178,873 | $1,543,915 |
| 1408 | Post-grant or covered business method review request fee - up to 20 claims | $25,000 | $1,297,792 | $1,680,000 |
| 1409 | Post-grant or covered business method review request of each claim in excess of 20 | $595 | $104,316 | $255,635 |
| 1412 | Petition for a derivation proceeding | $452 | $2,174 | $1,808 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1413 | Forwarding an appeal in an application or ex parte reexamination proceeding to the Board | $2,535 | $8,327,261 | $7,300,820 |
| 1414 | Inter partes review post-institution fee - up to 20 claims | $28,125 | $17,192,339 | $22,638,750 |
| 1415 | Inter partes post-institution request of each claim in excess of 20 | $940 | $1,199,168 | $1,676,870 |
| 1416 | Post-grant or covered business method review post-institution fee - up to 20 claims | $34,375 | $872,981 | $1,973,125 |
| 1417 | Post-grant or covered business method review post-institution request of each claim in excess of 20 | $1,315 | $281,953 | $464,565 |
| 1418 | Pro hac vice admission fee | $269 | $234,379 | $132,432 |
| 1419 | Request for Director review of an institution decision | $452 | $26,400 | $143,284 |
| | **Total Patent Trial and Appeal Fees (Large Entity)** | | **$66,411,749** | **$75,216,708** |

**Patents**

Patent Trial and Appeals Fees (Small Entity):

| | | | | |
|---|---|---|---|---|
| 2401 | Notice of appeal | $362 | $1,216,885 | $966,844 |
| 2403 | Request for oral hearing | $584 | $69,156 | $52,408 |
| 2404 | Filing a brief in support of an appeal in an inter partes reexamination proceeding | $904 | $456 | $6,392 |
| 2413 | Forwarding an appeal in an application or ex parte reexamination proceeding to the Board | $1,014 | $985,964 | $836,112 |
| | **Total Patent Trial and Appeals Fees (Small Entity)** | | **$2,272,461** | **$1,861,756** |

**Patents**

Patent Trial and Appeals Fees (Micro Entity):

| | | | | |
|---|---|---|---|---|
| 3401 | Notice of appeal | $181 | $53,251 | $45,529 |
| 3403 | Request for oral hearing | $292 | $4,497 | $2,860 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3404 | Filing a brief in support of an appeal in an inter partes reexamination proceeding | $452 | $182 | $1,808 |
| 3413 | Forwarding an appeal in an application or ex parte reexamination proceeding to the Board | $507 | $56,883 | $56,398 |
| | **Total Patent Trial and Appeals Fees (Micro Entity)** | | **$114,813** | **$106,595** |

## Patents

Post Issuance Fees (Large Entity):

| | | | | |
|---|---|---|---|---|
| 1811 | Certificate of correction | $172 | $1,449,795 | $1,329,604 |
| 1812 | Ex parte reexamination (section 1.510(a)) non-streamlined | $13,545 | $2,547,302 | $3,542,175 |
| 1814 | Statutory disclaimer, including terminal disclaimer | $183 | $3,226,092 | $10,144,466 |
| 1816 | Processing fee for correcting inventorship in a patent | $172 | $74,480 | $82,224 |
| 1821 | Each reexamination independent claim in excess of three and also in excess of the number of such claims in the patent under reexamination | $600 | $63,639 | $11,400 |
| 1822 | Each reexamination claim in excess of 20 and also in excess of the number of claims in the patent under reexamination | $200 | $282,121 | $42,900 |
| 1825 | Refused reexamination requests | $3,780 | $15,120 | $0 |
| 1826 | Request for supplemental examination | $4,965 | $81,414 | $63,165 |
| 1827 | Reexamination ordered as a result of supplemental examination | $13,655 | $131,668 | $121,940 |
| 1828 | Supplemental examination document size fee - for nonpatent document having between 21 and 50 sheets | $195 | $3,560 | $960 |
| 1829 | Supplemental examination document size fee - for each additional 50 sheets or a fraction thereof in a nonpatent document | $325 | $311 | $925 |
| 1831 | Ex parte reexamination (section 1.510(a)) streamlined | $6,775 | $150,226 | $261,500 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 18T1 | Terminal disclaimer, filed prior to the first action on the merits | | $484,913 | $0 |
| 18T2 | Terminal disclaimer, filed prior to a final action or allowance | | $13,193,688 | $0 |
| 18T3 | Terminal disclaimer, filed after final or allowance | | $8,954,736 | $0 |
| 18T4 | Terminal disclaimer, filed on or after a notice of appeal | | $355,603 | $0 |
| 18T5 | Terminal disclaimer, filed in a patented case or in an application for reissue | | $56,573 | $0 |
| | **Total Post Issuance Fees (Large Entity)** | | **$31,071,241** | **$15,601,259** |

**Patents**

Post Issuance Fees (Small Entity):

| | | | | |
|---|---|---|---|---|
| 2812 | Ex parte reexamination (section 1.510(a)) non-streamlined | $5,418 | $235,136 | $202,104 |
| 2821 | Each reexamination independent claim in excess of three and also in excess of the number of such claims in the patent under reexamination | $240 | $11,137 | $18,624 |
| 2822 | Each reexamination claim in excess of 20 and also in excess of the number of claims in the patent under reexamination | $80 | $20,682 | $59,280 |
| 2826 | Request for supplemental examination | $1,986 | $22,988 | $15,198 |
| 2827 | Reexamination ordered as a result of supplemental examination | $5,462 | $0 | $32,008 |
| 2828 | Supplemental examination document size fee - for nonpatent document having between 21 and 50 sheets | $78 | $899 | $546 |
| 2829 | Supplemental examination document size fee - for each additional 50 sheets or a fraction thereof in a nonpatent document | $130 | $373 | $910 |
| 2831 | Ex parte reexamination (section 1.510(a)) streamlined | $2,710 | $175,045 | $407,980 |
| 28T1 | Terminal disclaimer, filed prior to the first action on the merits | | $161,040 | $0 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 28T2 | Terminal disclaimer, filed prior to a final action or allowance | | $4,381,617 | $0 |
| 28T3 | Terminal disclaimer, filed after final or allowance | | $2,973,863 | $0 |
| 28T4 | Terminal disclaimer, filed on or after a notice of appeal | | $118,096 | $0 |
| 28T5 | Terminal disclaimer, filed in a patented case or in an application for reissue | | $18,788 | $0 |
| | **Total Post Issuance Fees (Small Entity)** | | **$8,119,662** | **$736,650** |

**Patents**

Post Issuance Fees (Micro Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3821 | Each reexamination independent claim in excess of three and also in excess of the number of such claims in the patent under reexamination | $120 | $0 | $600 |
| 3822 | Each reexamination claim in excess of 20 and also in excess of the number of claims in the patent under reexamination | $40 | $0 | $1,240 |
| 3826 | Request for supplemental examination | $993 | $958 | $0 |
| 3827 | Reexamination ordered as a result of supplemental examination | $2,731 | $2,633 | $0 |
| 3828 | Supplemental examination document size fee - for nonpatent document having between 21 and 50 sheets | $39 | $0 | $0 |
| 3829 | Supplemental examination document size fee - for each additional 50 sheets or a fraction thereof in a nonpatent document | $65 | $0 | $0 |
| 3831 | Ex parte reexamination (section 1.510(a)) streamlined | $1,355 | $2,613 | $0 |
| 38T1 | Terminal disclaimer, filed prior to the first action on the merits | | $7,660 | $0 |
| 38T2 | Terminal disclaimer, filed prior to a final action or allowance | | $208,407 | $0 |
| 38T3 | Terminal disclaimer, filed after final or allowance | | $141,448 | $0 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 38T4 | Terminal disclaimer, filed on or after a notice of appeal | | $5,617 | $0 |
| 38T5 | Terminal disclaimer, filed in a patented case or in an application for reissue | | $894 | $0 |
| | **Total Post Issuance Fees (Micro Entity)** | | **$370,229** | **$1,840** |

**Patents**

PCT Fees - National Stage (Large Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1614 | Each independent claim in excess of three | $600 | $5,672,259 | $5,801,580 |
| 1615 | Each claim in excess of 20 | $200 | $12,454,070 | $8,375,900 |
| 1616 | Multiple dependent claim | $925 | $558,174 | $426,170 |
| 1617 | Search fee, examination fee or oath or declaration after the date of commencement of the national stage | $170 | $4,258,459 | $3,195,100 |
| 1618 | English translation after thirty months from priority date | $150 | $249,444 | $378,960 |
| 1631 | Basic national stage fee | $350 | $28,508,855 | $27,239,390 |
| 1632 | National stage search fee - all other situations | $770 | $1,373,649 | $742,000 |
| 1633 | National stage examination fee - all other situations | $880 | $71,298,485 | $68,000,920 |
| 1641 | National stage search fee - U.S. was the ISA | $150 | $392,206 | $383,870 |
| 1642 | National stage search fee - search report prepared and provided to USPTO | $580 | $44,025,584 | $42,872,820 |
| 1681 | National stage application size fee - for each additional 50 sheets that exceeds 100 sheets | $450 | $4,645,459 | $4,407,450 |
| | **Total PCT Fees - National Stage (Large Entity)** | | **$173,436,645** | **$161,824,160** |

**Patents**

PCT Fees - National Stage (Small Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2614 | Each independent claim in excess of three | $240 | $971,902 | $932,208 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2615 | Each claim in excess of 20 | $80 | $3,705,726 | $2,760,340 |
| 2616 | Multiple dependent claim | $370 | $217,911 | $155,622 |
| 2617 | Search fee, examination fee or oath or declaration after the date of commencement of the national stage | $68 | $973,605 | $729,912 |
| 2618 | English translation after thirty months from priority date | $60 | $68,788 | $72,294 |
| 2631 | Basic national stage fee | $140 | $4,448,297 | $3,683,986 |
| 2632 | National stage search fee - all other situations | $308 | $648,873 | $167,664 |
| 2633 | National stage examination fee - all other situations | $352 | $10,958,842 | $9,090,664 |
| 2641 | National stage search fee - U.S. was the ISA | $60 | $392,957 | $412,674 |
| 2642 | National stage search fee - search report prepared and provided to USPTO | $232 | $5,240,579 | $4,321,464 |
| 2681 | National stage application size fee - for each additional 50 sheets that exceeds 100 sheets | $180 | $1,248,283 | $1,304,606 |
| | **Total PCT Fees - National Stage (Small Entity)** | | **$28,875,761** | **$23,631,434** |

**Patents**

PCT Fees - National Stage (Micro Entity):

| | | | | |
|---|---|---|---|---|
| 3614 | Each independent claim in excess of three | $120 | $19,694 | $17,136 |
| 3615 | Each claim in excess of 20 | $40 | $59,062 | $47,865 |
| 3616 | Multiple dependent claim | $185 | $9,467 | $8,302 |
| 3617 | Search fee, examination fee or oath or declaration after the date of commencement of the national stage | $34 | $9,947 | $7,908 |
| 3618 | English translation after thirty months from priority date | $30 | $2,353 | $2,754 |
| 3631 | Basic national stage fee | $70 | $117,183 | $93,330 |
| 3632 | National stage search fee - all other situations | $154 | $40,633 | $9,299 |
| 3633 | National stage examination fee - all other situations | $176 | $285,442 | $228,800 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3641 | National stage search fee - U.S. was the ISA | $30 | $6,263 | $6,165 |
| 3642 | National stage search fee - search report prepared and provided to USPTO | $116 | $144,716 | $122,391 |
| 3681 | National stage application size fee - for each additional 50 sheets that exceeds 100 sheets | $90 | $4,179 | $5,880 |
| | **Total PCT Fees - National Stage (Micro Entity)** | | **$698,938** | **$549,830** |

**Patents**

PCT Fees - International Stage (Large Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1601 | Transmittal fee | $285 | $9,052,469 | $8,626,350 |
| 1602 | Search fee - regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) | $2,400 | $18,516,904 | $14,660,360 |
| 1604 | Supplemental search fee when required, per additional invention | $2,400 | $644,072 | $795,100 |
| 1605 | Preliminary examination fee - U.S. was the ISA | $705 | $133,825 | $100,210 |
| 1606 | Preliminary examination fee - U.S. was not the ISA | $880 | $102,229 | $73,360 |
| 1607 | Supplemental examination fee per additional invention | $705 | $3,852 | $3,395 |
| 1619 | Late payment fee | var | $40,350 | $77,918 |
| 1621 | Transmitting application to Intl. Bureau to act as receiving office | $285 | $80,846 | $62,725 |
| 1624 | Suspense account for PCT payments | | $0 | $123,006 |
| 1627 | Late furnishing fee for providing a sequence listing in response to an invitation under PCT rule 13ter | $345 | $76,136 | $58,160 |
| 1628 | Petition for the extension of the twelve-month (six-month for designs) period for filing a subsequent application | $2,260 | $0 | $247,000 |
| | **Total PCT Fees - International Stage (Large Entity)** | | **$28,650,682** | **$24,827,583** |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| **Patents** | | | | |
| PCT Fees - International Stage (Small Entity): | | | | |
| 2601 | Transmittal fee | $114 | $2,252,915 | $1,976,520 |
| 2602 | Search fee - regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) | $960 | $16,138,400 | $12,827,596 |
| 2604 | Supplemental search fee when required, per additional invention | $960 | $629,279 | $671,616 |
| 2605 | Preliminary examination fee - U.S. was the ISA | $282 | $122,850 | $107,654 |
| 2606 | Preliminary examination fee - U.S. was not the ISA | $352 | $16,084 | $12,896 |
| 2607 | Supplemental examination fee per additional invention | $282 | $3,466 | $4,100 |
| 2621 | Transmitting application to Intl. Bureau to act as receiving office | $114 | $33,573 | $21,554 |
| 2627 | Late furnishing fee for providing a sequence listing in response to an invitation under PCT rule 13ter | $138 | $85,438 | $54,916 |
| 2628 | Petition for the extension of the twelve-month (six-month for designs) period for filing a subsequent application | $904 | $0 | $130,768 |
| | **Total PCT Fees - International Stage (Small Entity)** | | **$19,282,004** | **$15,807,620** |
| **Patents** | | | | |
| PCT Fees - International Stage (Micro Entity): | | | | |
| 3601 | Transmittal fee | $57 | $48,804 | $44,439 |
| 3602 | Search fee - regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) | $480 | $488,161 | $383,252 |
| 3604 | Supplemental search fee when required, per additional invention | $480 | $35,660 | $36,336 |
| 3605 | Preliminary examination fee - U.S. was the ISA | $141 | $7,824 | $6,701 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3606 | Preliminary examination fee - U.S. was not the ISA | $176 | $1,227 | $688 |
| 3607 | Supplemental examination fee per additional invention | $141 | $0 | $128 |
| 3621 | Transmitting application to Intl. Bureau to act as receiving office | $57 | $2,343 | $1,469 |
| 3627 | Late furnishing fee for providing a sequence listing in response to an invitation under PCT rule 13ter | $69 | $281 | $606 |
| 3628 | Petition for the extension of the twelve-month (six-month for designs) period for filing a subsequent application | $452 | $0 | $37,776 |
| | **Total PCT Fees - International Stage (Micro Entity)** | | **$584,300** | **$511,395** |

**Patents**

Hague International Design Application Fees (Large Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1781 | Hague international design application - transmittal fee | $130 | $6,926 | $7,310 |
| 1791 | International design application first part U.S. designation fee | $1,300 | $3,143,880 | $2,879,220 |
| 1792 | (Part II designation fee) Issue fee paid through the International Bureau in an international design application | $1,300 | $923,610 | $655,980 |
| 9981 | Exchange rate gains/losses for Hague transactions | var | $0 | $302,574 |
| 9989 | Suspense account for Hague transactions | var | $0 | $468 |
| | **Total Hague International Design Application Fees (Large Entity)** | | **$4,074,416** | **$3,845,552** |

**Patents**

Hague International Design Application Fees (Small Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2781 | Hague international design application - transmittal fee | $52 | $4,650 | $3,044 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2791 | International design application first part U.S. designation fee | $520 | $911,676 | $750,446 |
| 2792 | (Part II designation fee) Issue fee paid through the International Bureau in an international design application | $520 | $259,809 | $197,748 |
| | **Total Hague International Design Application Fees (Small Entity)** | | **$1,176,135** | **$951,238** |

**Patents**

Hague International Design Application Fees (Micro Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3781 | Hague international design application - transmittal fee | $26 | $470 | $328 |
| 3791 | International design application first part U.S. designation fee | $260 | $96,432 | $58,476 |
| 3792 | (Part II designation fee) Issue fee paid through the International Bureau in an international design application | $260 | $26,488 | $14,837 |
| | **Total Hague International Design Application Fees (Micro Entity)** | | **$123,390** | **$73,641** |

**Patents**

Patent Petition Fees (Large Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1453 | Petition for revival of an abandoned application for a patent, for the delayed payment of the fee for issuing each patent, or for the delayed response by the patent owner in any reexamination proceeding, delay less than or equal to two years | $2,260 | $4,515,680 | $4,150,640 |
| 1454 | Petition for the delayed submission of a priority or benefit claim, delay less than or equal to two years | $2,260 | $1,711,563 | $1,505,760 |
| 1455 | Filing an application for patent term adjustment | $226 | $120,404 | $100,598 |
| 1456 | Request for reinstatement of term reduced | $452 | $2,608 | $64 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1457 | Application for extension of term of patent | $2,500 | $1,204,632 | $330,380 |
| 1458 | Initial application for interim extension (see 37 CFR 1.790) | $1,320 | $15,216 | $5,280 |
| 1459 | Subsequent application for interim extension (see 37 CFR 1.790) | $680 | $5,608 | $7,720 |
| 1462 | Petitions requiring the petition fee set forth in 37 CFR 1.17(f) (Group I) | $450 | $552,940 | $376,090 |
| 1463 | Petitions requiring the petition fee set forth in 37 CFR 1.17(g) (Group II), except suspension of action | $235 | $1,583,153 | $2,004,370 |
| 1464 | Petitions requiring the petition fee set forth in 37 CFR 1.17(h) (Group III) | $150 | $1,322,962 | $1,039,800 |
| 1465 | Supplemental redetermination after notice of final determination | $1,440 | $5,400 | $8,640 |
| 1466 | First request for suspension of action | $300 | $407,821 | $66,000 |
| 1467 | Subsequent request for suspension of action | $450 | $152,933 | $59,850 |
| 1468 | Petition for revival of an abandoned application for a patent, for the delayed payment of the fee for issuing each patent, or for the delayed response by the patent owner in any reexamination proceeding, delay greater than two years | $3,000 | $98,732 | $144,000 |
| 1469 | Petition for the delayed submission of a priority or benefit claim, delay greater than two years | $3,000 | $628,297 | $420,000 |
| 1784 | Petition to excuse applicant's failure to act within prescribed time limits in an international design application, delay less than or equal to two years | $2,260 | $0 | $2,260 |
| 1785 | Petition to excuse applicant's failure to act within prescribed time limits in an international design application, delay greater than two years | $3,000 | $0 | $3,000 |
| 1824 | Petitions in a reexamination proceeding, except for those specifically enumerated in 37 CFR 1.550(i) and 1.937(d) | $2,195 | $164,853 | $137,690 |
| | **Total Patent Petition Fees (Large Entity)** | | **$12,492,803** | **$10,362,142** |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|

## Patents

Patent Petition Fees (Small Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2453 | Petition for revival of an abandoned application for a patent, for the delayed payment of the fee for issuing each patent, or for the delayed response by the patent owner in any reexamination proceeding, delay less than or equal to two years | $904 | $2,901,425 | $2,737,336 |
| 2454 | Petition for the delayed submission of a priority or benefit claim, delay less than or equal to two years | $904 | $751,559 | $735,592 |
| 2462 | Petitions requiring the petition fee set forth in 37 CFR 1.17(f) (Group I) | $180 | $153,189 | $125,272 |
| 2463 | Petitions requiring the petition fee set forth in 37 CFR 1.17(g) (Group II), except suspension of action | $94 | $64,891 | $64,008 |
| 2464 | Petitions requiring the petition fee set forth in 37 CFR 1.17(h) (Group III) | $60 | $228,846 | $202,344 |
| 2465 | Supplemental redetermination after notice of final determination | $1,440 | $0 | $0 |
| 2466 | First request for suspension of action | $120 | $14,908 | $3,480 |
| 2467 | Subsequent request for suspension of action | $180 | $5,590 | $1,620 |
| 2468 | Petition for revival of an abandoned application for a patent, for the delayed payment of the fee for issuing each patent, or for the delayed response by the patent owner in any reexamination proceeding, delay greater than two years | $1,200 | $97,835 | $148,800 |
| 2469 | Petition for the delayed submission of a priority or benefit claim, delay greater than two years | $1,200 | $202,850 | $148,800 |
| 2784 | Petition to excuse applicant's failure to act within prescribed time limits in an international design application, delay less than or equal to two years | $904 | $869 | $904 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2785 | Petition to excuse applicant's failure to act within prescribed time limits in an international design application, delay greater than two years | $1,200 | $0 | $0 |
| 2824 | Petitions in a reexamination proceeding, except for those specifically enumerated in 37 CFR 1.550(i) and 1.937(d) | $878 | $20,290 | $29,862 |
| | **Total Patent Petition Fees (Small Entity)** | | **$4,442,252** | **$4,198,018** |

**Patents**

Patent Petition Fees (Micro Entity):

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3453 | Petition for revival of an abandoned application for a patent, for the delayed payment of the fee for issuing each patent, or for the delayed response by the patent owner in any reexamination proceeding, delay less than or equal to two years | $452 | $595,242 | $568,744 |
| 3454 | Petition for the delayed submission of a priority or benefit claim, delay less than or equal to two years | $452 | $102,191 | $79,428 |
| 3462 | Petitions requiring the petition fee set forth in 37 CFR 1.17(f) (Group I) | $90 | $14,693 | $11,493 |
| 3463 | Petitions requiring the petition fee set forth in 37 CFR 1.17(g) (Group II), except suspension of action | $47 | $1,988 | $2,399 |
| 3464 | Petitions requiring the petition fee set forth in 37 CFR 1.17(h) (Group III) | $30 | $5,632 | $6,010 |
| 3465 | Supplemental redetermination after notice of final determination | $1,440 | $0 | $0 |
| 3466 | First request for suspension of action | $60 | $739 | $300 |
| 3467 | Subsequent request for suspension of action | $90 | $277 | $90 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3468 | Petition for revival of an abandoned application for a patent, for the delayed payment of the fee for issuing each patent, or for the delayed response by the patent owner in any reexamination proceeding, delay greater than two years | $600 | $34,108 | $42,000 |
| 3469 | Petition for the delayed submission of a priority or benefit claim, delay greater than two years | $600 | $20,644 | $9,000 |
| 3784 | Petition to excuse applicant's failure to act within prescribed time limits in an international design application, delay less than or equal to two years | $452 | $435 | $0 |
| 3785 | Petition to excuse applicant's failure to act within prescribed time limits in an international design application, delay greater than two years | $600 | $0 | $0 |
| 3824 | Petitions in a reexamination proceeding, except for those specifically enumerated in 37 CFR 1.550(i) and 1.937(d) | $439 | $1,268 | $1,255 |
| | **Total Patent Petition Fees (Micro Entity)** | | **$777,216** | **$720,719** |

**Patents**

Patent Service Fees:

| | | | | |
|---|---|---|---|---|
| 8001 | Printed copy of patent w/o color, delivery by USPS, USPTO Box, or electronic means | $3 | $0 | $282 |
| 8003 | Printed copy of plant patent in color | $16 | $283 | $0 |
| 8005 | Patent Application Publication (PAP) | $3 | $24 | $0 |
| 8007 | Copy of patent application as filed | $38 | $886,443 | $962,876 |
| 8010 | Individual application documents, other than application as filed, per document | $27 | $3,629 | $4,461 |
| 8013 | Copy of office records, except copies of applications as filed | $27 | $166,326 | $185,338 |
| 8014 | For assignment records, abstract of title and certification, per patent | $38 | $724,260 | $483,658 |
| 8020 | International type search report | $43 | $0 | $0 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 8021 | Recording each patent assignment, agreement or other paper, per property - if not submitted electronically | $54 | $1,879 | $2,400 |
| 8022 | Publication in Official Gazette | $27 | $2,085 | $2,089 |
| 8026 | Handling fee for incomplete or improper application | $151 | $39,915 | $33,279 |
| 8051 | Copy patent file wrapper, paper medium, any number of sheets | $312 | $21,072 | $43,538 |
| 8052 | Copy patent file wrapper, electronic medium, any size or provided electronically | $65 | $154,642 | $150,290 |
| 8053 | Additional fee for overnight delivery | $43 | $4,520 | $5,469 |
| 8054 | Additional fee for expedited service | $183 | $15,542 | $24,419 |
| 8904 | Library service | $50 | $1,900 | $0 |
| | **Total Patent Service Fees** | | **$2,022,520** | **$1,898,099** |

**Patents**

Miscellaneous Patent Fees (Large Entity):

| | | | | |
|---|---|---|---|---|
| 1802 | Request for expedited examination of a design application | | $873,931 | $583,400 |
| 1803 | Request for voluntary publication or republication | $151 | $31,206 | $32,593 |
| 1806 | Submission of an Information Disclosure Statement under 37 CFR 1.97(c) or (d) | $280 | $22,935,838 | $22,272,980 |
| 1807 | Processing fee for provisional applications | $54 | $528,160 | $536,074 |
| 1808 | Other publication processing fee | $151 | $68,363 | $35,686 |
| 1809 | Filing a submission after final rejection (see 37 CFR 1.129(a)) | $945 | $15,522 | $28,905 |
| 1810 | For each additional invention to be examined (see 37 CFR 1.129(b)) | $945 | $2,739 | $0 |
| 1815 | Suspense account for patent processing fees | $830 | $0 | $4,980 |
| 1818 | Document fee for third-party submissions (see 37 CFR 1.290(f)) | $195 | $62,950 | $55,710 |
| 1819 | Correction of inventorship after first action on merits | $690 | $516,400 | $511,620 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 1830 | Processing fee, except in provisional applications | $150 | $2,461,302 | $2,526,430 |
| 1832 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 50 but not exceed 100 | $200 | $4,886,700 | $4,412,800 |
| 1833 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 100 but not exceed 200 | $500 | $4,357,575 | $5,988,672 |
| 1834 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 200 | $800 | $4,357,575 | $9,416,713 |
| 1999 | Patent unassigned fees | var | $2,425,180 | $3,183,072 |
| | **Total Miscellaneous Patent Fees (Large Entity)** | | **$43,523,441** | **$49,589,635** |

**Patents**

Miscellaneous Patent Fees (Small Entity):

| | | | | |
|---|---|---|---|---|
| 2802 | Request for expedited examination of a design application | | $1,426,650 | $1,603,424 |
| 2806 | Submission of an Information Disclosure Statement under 37 CFR 1.97(c) or (d) | $112 | $2,687,059 | $2,578,384 |
| 2809 | Filing a submission after final rejection (see 37 CFR 1.129(a)) | $378 | $9,131 | $23,502 |
| 2810 | For each additional invention to be examined (see 37 CFR 1.129(b)) | $378 | -$730 | $1,108 |
| 2818 | Document fee for third-party submissions (see 37 CFR 1.290(f)) | $78 | $9,892 | $14,016 |
| 2819 | Correction of inventorship after first action on merits | $276 | $156,244 | $166,084 |
| 2830 | Processing fee, except in provisional applications | $60 | $771,249 | $873,850 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 2832 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 50 but not exceed 100 | $200 | $1,729,950 | $0 |
| 2833 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 100 but not exceed 200 | $500 | $1,525,500 | $0 |
| 2834 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 200 | $800 | $1,525,500 | $0 |
| | **Total Miscellaneous Patent Fees (Small Entity)** | | **$9,840,445** | **$5,260,368** |

**Patents**

Miscellaneous Patent Fees (Micro Entity):

| | | | | |
|---|---|---|---|---|
| 3802 | Request for expedited examination of a design application | | $1,964,860 | $1,737,608 |
| 3806 | Submission of an Information Disclosure Statement under 37 CFR 1.97(c) or (d) | $56 | $32,252 | $30,448 |
| 3809 | Filing a submission after final rejection (see 37 CFR 1.129(a)) | $189 | $1,644 | $2,229 |
| 3810 | For each additional invention to be examined (see 37 CFR 1.129(b)) | $189 | $0 | $756 |
| 3819 | Correction of inventorship after first action on merits | $138 | $9,401 | $8,524 |
| 3830 | Processing fee, except in provisional applications | $30 | $47,643 | $66,954 |
| 3832 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 50 but not exceed 100 | $200 | $31,200 | $0 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 3833 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 100 but not exceed 200 | $500 | $19,800 | $0 |
| 3834 | Filing an Information Disclosure Statement that causes the cumulative number of applicant-provided or patent owner-provided items of information to exceed 200 | $800 | $19,800 | $0 |
| | **Total Miscellaneous Patent Fees (Micro Entity)** | | **$2,126,599** | **$1,846,519** |

**Patents**

Patent Enrollment Fees:

| | | | | |
|---|---|---|---|---|
| 9001 | Application fee (non-refundable) | $118 | $297,124 | $369,448 |
| 9003 | On registration to practice under section 11.6 | $226 | $222,665 | $240,458 |
| 9004 | Administrative reinstatement fee | $226 | $3,926 | $11,916 |
| 9005 | Certificate of good standing as an attorney or agent, standard | $43 | $11,363 | $10,424 |
| 9006 | Certificate of good standing as an attorney or agent, suitable for framing | $54 | $2,193 | $1,538 |
| 9010 | For test administration by commercial entity | $226 | $521,661 | $649,232 |
| 9012 | Review of decision by the Director of Enrollment and Discipline under section 11.2(c) | $452 | $2,608 | $2,260 |
| 9013 | Review of decision of the Director of Enrollment and Discipline under section 11.2(d) | $452 | $0 | $452 |
| 9014 | On petition for reinstatement by a person excluded or suspended on ethical grounds, or excluded on consent from practice before the Office | $1,806 | $19,159 | $25,032 |
| 9020 | Delinquency fee | $54 | $104 | $0 |
| 9024 | Unspecified other services, excluding labor | var | $5,409 | $14,492 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 9026 | On grant of limited recognition under section 11.9(b) | $226 | $7,415 | $6,458 |
| 9028 | For USPTO-assisted change of address within the Office of Enrollment and Discipline information system | $75 | $15,245 | $10,880 |
| 9029 | For USPTO-administered review of registration examination | $505 | $0 | $505 |
| 9030 | Request for extension of time in which to schedule examination for registration to practice (non-refundable) | $124 | $57,317 | $89,435 |
| | **Total Patent Enrollment Fees** | | **$1,166,188** | **$1,432,530** |

**Patents**

Finance Service Fees:

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 9101 | Processing each payment refused or charged back | $50 | $6,950 | $15,858 |
| 9209 | Partial service charge for closing a deposit account | var | $39,855 | $34,195 |
| | **Total Finance Service Fees** | | **$46,805** | **$50,053** |

**Trademarks**

Application Filings:

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 6001 | Base application (paper), per class | $850 | $0 | $0 |
| 6006 | Request to divide an application, per new application created | $200 | $0 | $0 |
| 6008 | Additional fee for application that doesn't meet TEAS Plus or TEAS RF filing requirements, per class | $100 | $0 | $0 |
| 6020 | Each additional group of 1,000 characters free-form text beyond the first 1,000 (Sections 1 and 44), per affected class | $200 | $0 | $0 |
| 7006 | Request to divide an application, per new application created | $100 | $438,000 | $464,400 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 7007 | Application for registration, per international class (electronic filing, TEAS Plus application) | $250 | $184,908,265 | $40,429,500 |
| 7008 | Additional fee for application that doesn't meet TEAS Plus filing requirements, per class | $100 | $71,908 | $163,700 |
| 7009 | Application for registration, per international class (electronic filing, TEAS Standard application) | $350 | $56,021,443 | $30,268,700 |
| 7016 | Extension of time for filing a response to a pre-registration office action | $125 | $2,569,625 | $7,150,375 |
| 7017 | Base application, per class | $350 | $126,375 | $186,147,150 |
| 7018 | Insufficient information (sections 1 and 44), per class | $100 | $7,151,104 | $581,500 |
| 7019 | Using the free-form text box instead of the Trademark ID Manual within Trademark Center to identify goods and services (section 1 and 44), per affected class | $200 | $18,388,552 | $17,972,400 |
| 7020 | Each additional group of 1,000 characters free-form text beyond the first 1,000 (sections 1 and 44), per affected class | $200 | $612,952 | $2,814,600 |
| 7931 | Application fee filed with WIPO (section 66(a)), per class | $600 | $21,976,169 | $32,391,100 |
| 7933 | Subsequent designation fee filed with WIPO (section 66(a)), per class | $600 | $1,910,971 | $2,433,400 |
| 79CH | For each additional group of 1,000 characters in excess of the first 1,000 (section 66(a)), per class? | | $249,222 | $0 |
| 79ID | Fee for using the free-form text box to enter the identification of goods and services (section 66(a)), per class? | | $11,076,539 | $0 |
| 79IN | Fee for insufficient information (section 66(a)), per class | | $5,538,270 | $0 |
| | **Total Application Filings** | | **$311,039,394** | **$320,816,825** |

**Trademarks**

Post Registration Fees:

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 6201 | Section 9 registration renewal application, per class | $525 | $0 | $0 |
| 6203 | Section 9 registration renewal application grace period fee, per class | $200 | $0 | $0 |
| 6204 | Section 9 registration renewal application deficiency fee | $200 | $0 | $0 |
| 6205 | Section 8 declaration, per class | $425 | $0 | $5,525 |
| 6206 | Section 8 declaration grace period fee, per class | $200 | $0 | $2,400 |
| 6207 | Section 8 declaration deficiency fee | $200 | $0 | $0 |
| 6208 | Section 15 declaration, per class | $350 | $0 | $700 |
| 6210 | Section 12(c) affidavit, per class | $200 | $0 | $0 |
| 6211 | New registration certificate | $200 | $0 | $0 |
| 6212 | Corrected registration certificate, registrant's error | $200 | $0 | $0 |
| 6213 | Adding a disclaimer to a registration | $200 | $0 | $0 |
| 6214 | Amending registration for other than adding a disclaimer | $200 | $0 | $0 |
| 7012 | Deleting goods/services/classes from registration, after filing section 8 declaration and before acceptance, per class | $250 | $3,013,250 | $707,000 |
| 7201 | Section 9 registration renewal application, per class | $325 | $52,516,271 | $39,881,275 |
| 7203 | Section 9 registration renewal application grace period fee, per class | $100 | $1,533,954 | $1,377,800 |
| 7204 | Section 9 registration renewal application deficiency fee | $100 | $153,400 | $42,900 |
| 7205 | Section 8 declaration, per class | $325 | $69,552,528 | $83,754,575 |
| 7206 | Section 8 declaration grace period fee, per class | $100 | $2,410,500 | $3,373,400 |
| 7207 | Section 8 declaration deficiency fee | $100 | $241,100 | $328,300 |
| 7208 | Section 15 declaration, per class | $250 | $33,934,822 | $27,221,950 |
| 7210 | Section 12(c) affidavit, per class | $100 | $0 | $800 |
| 7211 | New registration certificate | $100 | $13,200 | $900 |
| 7212 | Corrected registration certificate, registrant's error | $100 | $837,661 | $640,600 |
| 7213 | Adding a disclaimer to a registration | $100 | $0 | $100 |
| 7214 | Amending registration for other than adding a disclaimer | $100 | $29,000 | $9,800 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| | **Total Post Registration Fees** | | **$164,235,686** | **$157,348,025** |

## Trademarks

Intent to Use/Use Fees:

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 6002 | Amendment to allege use (AAU), per class | $250 | $0 | $0 |
| 6003 | Statement of use (SOU), per class | $250 | $0 | $250 |
| 6004 | Request for a six-month extension for filing an SOU, per class | $225 | $0 | $0 |
| 7002 | Amendment to allege use (AAU), per class | $150 | $426,167 | $1,453,700 |
| 7003 | Statement of use (SOU), per class | $150 | $18,881,354 | $21,183,450 |
| 7004 | Request for a six-month extension for filing an SOU, per class | $125 | $41,454,131 | $43,131,700 |
| | **Total Intent to Use/Use Fees** | | **$60,761,652** | **$65,769,100** |

## Trademarks

Madrid Protocol Fees:

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 6901 | Certifying an international application based on single application or registration, per class | $200 | $0 | $0 |
| 6902 | Certifying an international application based on more than one basic application or registration, per class | $250 | $0 | $0 |
| 6903 | Transmittal fee for request to record an assignment or restriction to the international registration | $200 | $0 | $0 |
| 6904 | Notice of replacement, per class | $200 | $0 | $0 |
| 6905 | Section 71 declaration, per class | $425 | $0 | $0 |
| 6906 | Section 71 declaration grace period fee, per class | $200 | $0 | $0 |
| 6907 | Transmittal fee for subsequent designation | $200 | $0 | $0 |
| 6908 | Section 71 declaration deficiency fee | $200 | $0 | $0 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 7013 | Deleting goods/services/classes from registration, after filing section 71 declaration and before acceptance, per class | $250 | $89,791 | $287,250 |
| 7901 | Certifying an international application based on single application or registration, per class | $100 | $1,648,455 | $1,774,700 |
| 7902 | Certifying an international application based on more than one basic application or registration, per class | $150 | $414,752 | $316,350 |
| 7903 | Transmittal fee for request to record an assignment or restriction to the international registration | $100 | $2,100 | $800 |
| 7904 | Notice of replacement, per class | $100 | $1,000 | $400 |
| 7905 | Section 71 declaration, per class | $325 | $6,233,245 | $6,667,925 |
| 7906 | Section 71 declaration grace period fee, per class | $100 | $215,499 | $461,800 |
| 7907 | Transmittal fee for subsequent designation | $100 | $209,494 | $149,800 |
| 7908 | Section 71 declaration deficiency fee | $100 | $2,095 | $75,300 |
| | **Total Madrid Protocol Fees** | | **$8,816,431** | **$9,734,325** |

**Trademarks**

Trademark Trial and Appeal Board:

| | | | | |
|---|---|---|---|---|
| 6401 | TTAB petition for cancellation, per class | $700 | $0 | $0 |
| 6402 | TTAB notice of opposition, per class | $700 | $0 | $4,900 |
| 6403 | TTAB ex parte appeal, per class | $325 | $0 | $2,275 |
| 6404 | TTAB first 90-day or second 60-day request for extension of time to file a notice of opposition | $400 | $0 | $0 |
| 6405 | TTAB final 60-day request for extension of time to file a notice of opposition | $500 | $0 | $0 |
| 7401 | TTAB petition for cancellation, per class | $600 | $3,039,337 | $2,402,900 |
| 7402 | TTAB notice of opposition, per class | $600 | $8,442,603 | $6,890,200 |
| 7403 | TTAB ex parte appeal, per class | $225 | $1,582,988 | $1,276,975 |
| 7404 | TTAB first 90-day or second 60-day request for extension of time to file a notice of opposition | $200 | $1,662,800 | $1,841,700 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 7405 | TTAB final 60-day request for extension of time to file a notice of opposition | $400 | $1,027,200 | $1,048,000 |
| 7406 | TTAB ex parte appeal brief, per class | $200 | $113,200 | $138,600 |
| 7407 | TTAB ex parte appeal brief extension, second or subsequent | $100 | $48,500 | $52,300 |
| 7408 | TTAB request for an oral hearing | $500 | $54,500 | $23,000 |
| | **Total Trademark Trial and Appeal Board** | | **$15,971,127** | **$13,680,850** |

**Trademarks**

Other Trademark Fees:

| | | | | |
|---|---|---|---|---|
| 6991 | Recordal application fee | $20 | $580 | $280 |
| 6992 | Renewal application fee | $20 | $660 | $480 |
| 6993 | Late fee for renewal application | $20 | $100 | $80 |
| 6994 | Application fee for reactivation of insignia, per request | $20 | $60 | $20 |
| 6999 | Trademark unassigned fees | var | $0 | $874 |
| 7932 | Renewal fee filed with WIPO (section 66(a)), per class | $325 | $4,204,158 | $4,624,675 |
| 8501 | Printed copy of registration, delivery by USPS, USPTO box, or electronic means | $3 | $0 | $0 |
| 8503 | Certified copy of registration, with title and/or status, regular service | $15 | $27,930 | $59,700 |
| 8504 | Certified copy of registration, with title and/or status, expedited local service | $30 | $6,690 | $26,820 |
| 8507 | Certified copy of domestic application as filed | $15 | $171,000 | $140,130 |
| 8508 | Certified or uncertified copy of application/registration file | $50 | $48,400 | $20,800 |
| 8513 | Certified or uncertified copy of trademark document, unless otherwise provided | $25 | $34,725 | $155,475 |
| 8514 | For assignment records, abstracts of title and certification per registration | $25 | $9,975 | $7,500 |
| 8521 | Recording trademark assignment, agreement or other ownership document, first mark per document | $40 | $3,044,000 | $3,099,280 |

| Fee Code | Fee Title | Fee Rate | FY25PB Planned Fee Collections | Actual Fee Collections |
|---|---|---|---|---|
| 8522 | Recording trademark assignment, agreement or other ownership document, second and subsequent marks in the same document | $25 | $6,459,750 | $6,353,125 |
| 8533 | Additional fee for overnight delivery | $40 | $600 | $720 |
| 8534 | Additional fee for expedited service | $160 | $7,680 | $3,200 |
| 8904 | Library service | $50 | $2,350 | $0 |
| 9990 | International bureau unassigned fees | var | $0 | $2,485,272 |
| | **Total Other Trademark Fees** | | **$14,018,658** | **$16,978,431** |

**Trademarks**

Trademark Processing Fees:

| | | | | |
|---|---|---|---|---|
| 6005 | Petition to the Director | $500 | $0 | $3,000 |
| 6010 | Petition to revive an application | $350 | $0 | $0 |
| 7005 | Petition to the Director | $400 | $955,645 | $1,117,850 |
| 7010 | Petition to revive an application | $250 | $6,584,727 | $6,521,100 |
| 7011 | Letter of protest | $150 | $557,441 | $471,400 |
| 7014 | Petition for expungement and reexamination, per class | $400 | $108,378 | $60,000 |
| 7015 | Extension of time for filing a response to an office action in an expungement or reexamination proceeding | $125 | $1,875 | $3,000 |
| | **Total Trademark Processing Fees** | | **$8,208,067** | **$8,176,350** |

**Trademarks**

Finance Service Fees:

| | | | | |
|---|---|---|---|---|
| 9101 | Processing each payment refused or charged back | $50 | $850 | $2,392 |
| 9209 | Partial service charge for closing a deposit account | var | $4,850 | $5,157 |
| | **Total Finance Service Fees** | | **$5,700** | **$7,549** |