



More connections.

More possibilities.

Date  
23 August 2004Your account and bill number  
LC 2223 5930 Q035 5SYour phone number  
01282 867811

## Summary and detail

## Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
15 Jun	10:05	Local Rate	0845 0796889	Lo-call	00:05:48	0.148
15 Jun	10:13	Local Rate	0845 0796889	Lo-call	00:17:07	0.436
15 Jun	10:30	Local Rate	0845 0010032	Lo-call	00:14:24	0.367
15 Jun	10:46	Malvern	01684 894194	Daytime	00:05:01	0.128
15 Jun	10:52	London	020 7217 4600	Daytime	00:01:05	0.042
15 Jun	10:53	London	020 7317 4600	Daytime	00:01:24	0.042
15 Jun	10:59	Local Rate	0845 6012288	Lo-call	00:04:11	0.106
15 Jun	11:05	Cambridge	01223 305493	Daytime	00:49:09	1.253
15 Jun	11:55	Blackburn	01254 340231	Daytime	00:00:18	0.042
15 Jun	11:56	Local Rate	0845 6012288	Lo-call	00:04:25	0.112
15 Jun	12:02	Leeds	0113 243 3824	Daytime	00:17:48	0.454
15 Jun	12:24	Malvern	01684 894194	Daytime	00:00:11	0.042
15 Jun	12:43	Manchester	0161 830 1627	Daytime	00:36:48	0.938
15 Jun	13:28	Malvern	01684 894194	Daytime	00:32:41	0.833
16 Jun	02:38	Local Rate	0845 0796889	Lo-call	00:01:16	0.042
16 Jun	02:41	Local Rate	0845 0796889	Lo-call	00:02:36	0.042
16 Jun	03:10	Local Rate	0845 0796889	Lo-call	00:00:50	0.042
16 Jun	09:26	Manchester	0161 827 9400	Daytime	00:12:50	0.327
16 Jun	09:43	Manchester	0161 833 1212	Daytime	00:00:57	0.042
16 Jun	09:44	Manchester	0161 998 8111	Daytime	00:02:20	0.059
16 Jun	09:48	Manchester	0161 830 1627	Daytime	00:00:06	0.042
16 Jun	09:49	Cambridge	01223 305493	Daytime	00:52:00	1.326
16 Jun	10:45	Manchester	0161 830 1627	Daytime	00:06:39	0.169
16 Jun	10:56	London	020 7840 5506	Daytime	00:00:40	0.042
16 Jun	11:07	Local Rate	0845 0796889	Lo-call	00:06:17	0.160
16 Jun	11:14	Manchester	0161 817 3700	Daytime	00:00:41	0.042
16 Jun	11:16	Manchester	0161 817 3700	Daytime	00:08:18	0.212
16 Jun	11:55	Manchester	0161 830 1627	Daytime	00:02:32	0.064
16 Jun	14:39	Local Rate	0845 0796889	Lo-call	00:01:36	0.042
16 Jun	16:52	Mobile Phone	07970 728210	Mobile	00:00:55	0.129
16 Jun	16:55	Mobile Phone	07970 728210	Mobile	00:00:25	0.058
17 Jun	09:41	Malvern	01684 894194	Daytime	00:00:41	0.042
17 Jun	16:17	Mobile Phone	07970 728210	Mobile	00:00:23	0.054
18 Jun	01:40	Local Rate	0845 0796889	Lo-call	00:00:45	0.042
18 Jun	08:08	Local Rate	0845 6012288	Lo-call	00:09:27	0.241
18 Jun	08:17	Leeds	0113 240 0492	Daytime	00:11:49	0.301
18 Jun	09:28	Malvern	01684 894194	Daytime	00:48:15	1.230
18 Jun	10:27	Blackburn	01254 340231	Daytime	00:13:14	0.337
18 Jun	10:51	Newport Gwnt	01633 814000	Daytime	00:11:53	0.303
18 Jun	11:04	Malvern	01684 894194	Daytime	00:00:12	0.042
18 Jun	11:05	Burnley	01282 412366	Daytime	00:02:29	0.063
18 Jun	11:07	Blackburn	01254 340231	Daytime	00:13:59	0.356
18 Jun	11:22	Malvern	01684 894194	Daytime	00:27:22	0.698
18 Jun	11:49	Newport Gwnt	01633 814000	Daytime	00:15:43	0.401
18 Jun	12:06	Manchester	0161 830 1627	Daytime	00:29:45	0.758
18 Jun	12:47	Leeds	0113 240 0492	Daytime	00:04:52	0.124
19 Jun	12:46	Burnley	01282 424923	Eve/Weekend	00:09:18	0.051
19 Jun	12:58	Burnley	01282 424923	Eve/Weekend	00:03:28	0.051
19 Jun	16:55	Leeds	0113 240 0492	Eve/Weekend	00:00:34	0.051
19 Jun	17:32	Gisburn	01200 445355	Eve/Weekend	00:02:37	0.051
19 Jun	17:35	Gisburn	01200 445355	Eve/Weekend	00:09:43	0.051
19 Jun	18:45	Local Rate	0845 0796889	Lo-call	00:08:59	0.076
19 Jun	20:21	Local Rate	0845 0796889	Lo-call	00:00:08	0.042
19 Jun	20:23	Local Rate	0845 0796889	Lo-call	00:01:19	0.042
20 Jun	01:09	Local Rate	0845 0796889	Lo-call	00:01:07	0.042
20 Jun	01:11	Local Rate	0845 0796889	Lo-call	00:00:49	0.042
21 Jun	00:03	Local Rate	0845 0796889	Lo-call	00:00:46	0.042
21 Jun	00:06	Local Rate	0845 0796889	Lo-call	00:11:06	0.094
21 Jun	10:59	Alton	01420 88333	Daytime	00:00:20	0.042
21 Jun	11:04	Alton	01420 88333	Daytime	00:00:52	0.042
21 Jun	18:03	Colne	01282 862630	Eve/Weekend	00:01:04	0.051
22 Jun	09:33	Local Rate	0845 0796889	Lo-call	00:00:22	0.042

table continues on next page

Date  
23 August 2004

Your account and bill number  
LC 2223 5930 Q035 55

Your phone number  
01282 867811

## Summary and detail

### Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
22 Jun	09:34	Local Rate	0845 0796889	Lo-call	00:01:38	0.042
22 Jun	22:51	Local Rate	0845 0796889	Lo-call	00:00:38	0.042
23 Jun	09:34	Local Rate	0845 6007000	Lo-call	00:00:07	0.042
23 Jun	09:49	Local Rate	0845 6007000	Lo-call	00:04:12	0.107
23 Jun	11:40	Local Rate	0845 9500505	Lo-call	00:25:24	0.647
23 Jun	12:15	Local Rate	0845 0796889	Lo-call	00:01:08	0.042
23 Jun	13:11	Manchester	0161 786 4000	Daytime	00:01:27	0.042
23 Jun	13:16	Nat Rate	0870 4100870	Nat rate	00:09:47	0.625
23 Jun	13:26	Nat Rate	0870 9070010	Nat rate	00:01:57	0.124
23 Jun	13:45	Local Rate	0845 0796889	Lo-call	00:07:14	0.184
23 Jun	13:53	Local Rate	0845 9500505	Lo-call	00:06:01	0.153
23 Jun	13:59	Malvern	01684 894194	Daytime	00:00:20	0.042
23 Jun	14:29	Malvern	01684 894194	Daytime	00:00:11	0.042
23 Jun	14:36	Manchester	0161 817 3700	Daytime	00:05:33	0.142
23 Jun	14:44	London	020 7405 9450	Daytime	00:06:35	0.158
23 Jun	14:51	Malvern	01684 894194	Daytime	00:24:27	0.613
23 Jun	15:53	Burnley	01282 456333	Daytime	00:01:48	0.046
24 Jun	09:10	Local Rate	0845 0796889	Lo-call	00:01:05	0.042
25 Jun	08:29	Leeds	0113 240 0492	Daytime	00:10:39	0.271
25 Jun	08:59	Leeds	0113 240 0492	Daytime	00:09:09	0.233
25 Jun	09:27	Local Rate	0845 0796889	Lo-call	00:01:30	0.042
25 Jun	09:38	Burnley	01282 412506	Daytime	00:10:08	0.258
25 Jun	09:38	Malvern	01684 894194	Daytime	00:00:11	0.042
25 Jun	10:04	Manchester	0161 832 5481	Daytime	00:15:42	0.400
25 Jun	10:57	Blackburn	01254 506070	Daytime	00:00:47	0.042
25 Jun	23:57	Local Rate	0845 0796889	Lo-call	00:00:42	0.042
26 Jun	10:08	Malvern	01684 568784	Eve/Weekend	00:23:00	0.051
26 Jun	10:49	Mobile Phone	07703 195479	Mobile	00:09:18	0.176
26 Jun	10:59	Chatburn	01200 441179	Eve/Weekend	00:00:06	0.051
26 Jun	13:15	Skipton	01756 749304	Eve/Weekend	00:00:43	0.051
26 Jun	19:34	Local Rate	0845 0796889	Lo-call	00:00:53	0.042
26 Jun	20:37	Local Rate	0845 0796889	Lo-call	00:00:34	0.042
26 Jun	23:13	Local Rate	0845 0796889	Lo-call	00:00:34	0.042
27 Jun	04:29	Local Rate	0845 0796889	Lo-call	00:00:52	0.042
27 Jun	14:14	Local Rate	0845 0796889	Lo-call	00:05:47	0.049
27 Jun	14:24	Local Rate	0845 0796889	Lo-call	00:00:41	0.042
27 Jun	21:59	Local Rate	0845 0796889	Lo-call	00:00:48	0.042
28 Jun	00:28	Local Rate	0845 0796889	Lo-call	00:00:50	0.042
28 Jun	09:04	Leeds	0113 240 0492	Daytime	00:20:14	0.516
28 Jun	09:25	Malvern	01684 894194	Daytime	00:01:10	0.042
28 Jun	09:38	Manchester	0161 817 3700	Daytime	00:08:56	0.227
28 Jun	09:49	Newport Gwent	01633 814449	Daytime	00:05:28	0.139
28 Jun	09:55	Mobile Phone	07703 195479	Mobile	00:02:36	0.353
28 Jun	10:00	Leeds	0113 390 2286	Daytime	00:06:44	0.171
28 Jun	10:08	Chelmsford	01245 355181	Daytime	00:00:12	0.042
28 Jun	10:08	Chelmsford	01245 355181	Daytime	00:01:01	0.042
28 Jun	10:10	Local Rate	0845 0796889	Lo-call	00:09:36	0.245
28 Jun	10:58	Local Rate	0845 0796889	Lo-call	00:04:09	0.106
28 Jun	11:52	Leeds	0113 240 0492	Daytime	00:00:07	0.042
28 Jun	12:30	Reading	0118 930 3388	Daytime	00:00:42	0.042
28 Jun	22:01	Local Rate	0845 0796889	Lo-call	00:00:43	0.042
29 Jun	16:18	Local Rate	0845 0796889	Lo-call	00:03:10	0.080
29 Jun	16:53	Local Rate	0845 0796889	Lo-call	00:01:03	0.042
29 Jun	16:54	Local Rate	0845 0796889	Lo-call	00:22:45	0.580
29 Jun	17:45	Leeds	0113 240 0492	Daytime	00:04:33	0.116
29 Jun	17:51	Leeds	0113 240 0492	Daytime	00:01:02	0.042
29 Jun	18:01	Leeds	0113 240 0492	Eve/Weekend	00:10:31	0.051
30 Jun	01:26	Local Rate	0845 0796889	Lo-call	00:00:51	0.042
30 Jun	01:28	Local Rate	0845 0796889	Lo-call	00:04:14	0.042
30 Jun	09:07	Leeds	0113 240 0492	Daytime	00:23:07	0.589
30 Jun	09:40	Manchester	0161 817 3700	Daytime	00:06:29	0.165
30 Jun	10:00	Local Rate	0845 0796889	Lo-call	00:05:29	0.139

table continues on next page



Date  
23 August 2004

Your account and bill number  
LC 2223 5930 Q035 5S

Your phone number  
01282 867811

## Summary and detail

### Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
4 Aug	11:06	Local Rate	0845 0796889	Lo-call	00:00:33	0.042
4 Aug	13:13	Local Rate	0845 0796889	Lo-call	00:00:42	0.042
4 Aug	14:14	Local Rate	0845 0796889	Lo-call	00:00:45	0.042
4 Aug	16:28	Local Rate	0845 0796889	Lo-call	00:00:43	0.042
4 Aug	17:59	Local Rate	0845 0796889	Lo-call	00:00:45	0.042
5 Aug	01:33	Local Rate	0845 0796889	Lo-call	00:01:22	0.042
5 Aug	01:36	Local Rate	0845 0796889	Lo-call	00:02:15	0.042
5 Aug	10:42	Local Rate	0845 0796889	Lo-call	00:00:48	0.042
5 Aug	12:28	Local Rate	0845 0796889	Lo-call	00:00:43	0.042
5 Aug	14:02	Local Rate	0845 6013311	Lo-call	00:02:29	0.063
5 Aug	14:08	Local Rate	0845 7114477	Lo-call	00:18:16	0.466
5 Aug	14:48	Local Rate	0845 0796889	Lo-call	00:10:08	0.258
5 Aug	14:59	Local Rate	0845 0796889	Lo-call	00:16:09	0.412
5 Aug	15:17	Bedford	01234 222406	Daytime	00:01:51	0.047
5 Aug	17:07	London	020 7580 7313	Daytime	00:00:23	0.042
5 Aug	17:20	Cuffley	01707 875219	Daytime	00:01:44	0.044
5 Aug	23:29	Local Rate	0845 0796889	Lo-call	00:43:47	0.372
6 Aug	00:19	Local Rate	0845 0796889	Lo-call	00:01:01	0.042
6 Aug	00:25	Local Rate	0845 0796889	Lo-call	00:01:27	0.042
6 Aug	06:45	Local Rate	0845 0796889	Lo-call	00:30:10	0.256
6 Aug	12:56	Burnley	01282 424923	Daytime	00:12:04	0.307
6 Aug	14:50	Local Rate	0845 0796889	Lo-call	00:06:53	0.175
7 Aug	00:06	Local Rate	0845 0796889	Lo-call	00:00:48	0.042
7 Aug	00:07	Local Rate	0845 0796889	Lo-call	00:51:23	0.437
7 Aug	01:13	Local Rate	0845 0796889	Lo-call	00:00:43	0.042
8 Aug	10:47	Local Rate	0845 0796889	Lo-call	00:13:28	0.114
8 Aug	13:02	Skipton	01756 749304	Eve/Weekend	00:02:03	0.046
9 Aug	09:13	Burnley	01282 429061	Daytime	00:03:59	0.101
9 Aug	09:48	Skipton	01756 799992	Daytime	00:00:46	0.042
9 Aug	11:11	Bedford	01234 222406	Daytime	00:00:05	0.042
9 Aug	11:17	Manchester	0161 367 2000	Daytime	00:10:16	0.262
9 Aug	12:59	Bedford	01234 222406	Daytime	00:00:02	0.042
9 Aug	13:01	Bedford	01234 222406	Daytime	00:00:26	0.042
9 Aug	13:12	Local Rate	0845 0796889	Lo-call	00:08:47	0.224
9 Aug	14:23	Local Rate	0845 0796889	Lo-call	00:20:40	0.527
9 Aug	14:45	Basingstoke	01256 841144	Daytime	00:04:51	0.123
9 Aug	16:25	Leeds	0113 240 0492	Daytime	00:00:33	0.042
9 Aug	17:29	Silsoe	01525 863539	Daytime	00:00:03	0.042
9 Aug	18:16	Local Rate	0845 6012288	Lo-call	00:05:06	0.043
9 Aug	18:34	Nat Rate	0870 9070010	Nat rate	00:06:55	0.221
10 Aug	10:20	Local Rate	0845 0796889	Lo-call	00:00:45	0.042
10 Aug	10:28	London	020 7580 7313	Daytime	00:00:17	0.042
10 Aug	10:32	Newport Gwent	01633 814642	Daytime	00:10:25	0.265
10 Aug	10:47	London	020 7917 6190	Daytime	00:09:06	0.232
10 Aug	10:59	Local Rate	0845 0796889	Lo-call	00:01:46	0.045
10 Aug	11:12	Local Rate	0845 0796889	Lo-call	00:07:03	0.180
10 Aug	11:20	Leyland	01772 819000	Daytime	00:00:30	0.042
10 Aug	11:22	Preston	01772 270570	Daytime	00:03:24	0.087
10 Aug	11:31	Manchester	0161 817 3700	Daytime	00:00:28	0.042
10 Aug	12:16	London	020 7580 7313	Daytime	00:00:11	0.042
10 Aug	12:22	London	020 7580 7313	Daytime	00:33:25	0.852
10 Aug	13:02	Bedford	01234 222406	Daytime	00:00:06	0.042
10 Aug	13:03	Mobile Phone	07906 354601	Mobile	00:01:11	0.183
10 Aug	14:42	Malvern	01684 894194	Daytime	00:14:26	0.368
10 Aug	16:04	Cuffley	01707 875219	Daytime	00:03:41	0.094
11 Aug	11:02	London	020 7917 6190	Daytime	00:00:44	0.042
11 Aug	11:04	London	020 7917 6190	Daytime	00:00:52	0.042
11 Aug	12:53	Bedford	01234 222406	Daytime	00:00:04	0.042
11 Aug	13:57	Local Rate	0845 0796889	Lo-call	00:02:02	0.052
11 Aug	17:30	Local Rate	0845 0796889	Lo-call	00:01:04	0.042
12 Aug	14:12	Burnley	01282 424923	Daytime	00:03:59	0.101
12 Aug	15:21	Local Rate	0845 0796889	Lo-call	00:01:43	0.044

table continues on next page

Date  
23 November 2004

Your account and bill number  
LC 2223 5930 Q036 9H

Your phone number  
01282 867811

## Summary and detail

### Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
25 Aug	12:35	Local Rate	0845 0796889	Lo-call	00:01:48	0.046
25 Aug	12:39	Silsoe	01525 863539	Daytime	00:00:14	0.042
25 Aug	16:54	Nelson	01282 697099	Daytime	00:01:07	0.042
25 Aug	16:57	Nelson	01282 697099	Daytime	00:00:25	0.042
25 Aug	17:21	London	020 8848 6418	Daytime	00:00:07	0.042
25 Aug	20:37	Mobile Phone	07970 728210	Mobile	00:00:27	0.051
25 Aug	23:54	Local Rate	0845 0796889	Lo-call	00:04:05	0.042
26 Aug	10:04	Local Rate	0845 0796889	Lo-call	00:11:29	0.293
26 Aug	12:47	London	020 8848 6418	Daytime	00:00:32	0.042
26 Aug	15:00	Newport Gwnt	01633 814642	Daytime	00:27:06	0.691
26 Aug	15:39	Local Rate	0845 0796889	Lo-call	00:01:08	0.042
26 Aug	16:25	Local Rate	0845 0796889	Lo-call	00:01:04	0.042
26 Aug	16:48	Local Rate	0845 0796889	Lo-call	00:00:42	0.042
26 Aug	16:52	Local Rate	0845 0796889	Lo-call	00:00:42	0.042
26 Aug	18:38	Burnley	01282 424923	Eve/Weekend	00:14:41	0.6
26 Aug	19:48	Colne	01282 865983	Eve/Weekend	00:06:06	0.046
27 Aug	12:20	Local Rate	0845 0796889	Lo-call	00:01:37	0.042
27 Aug	13:43	Local Rate	0845 0796889	Lo-call	00:01:58	0.050
27 Aug	14:57	Local Rate	0845 0796889	Lo-call	00:01:15	0.042
27 Aug	14:58	Local Rate	0845 0796889	Lo-call	00:02:16	0.057
28 Aug	00:53	Local Rate	0845 0796889	Lo-call	00:00:56	0.042
29 Aug	14:11	Earby	01282 843207	Eve/Weekend	00:01:26	0.046
30 Aug	17:55	Colne	01282 870156	Daytime	00:00:18	0.042
31 Aug	09:35	Local Rate	0845 0796889	Lo-call	00:02:02	0.052
31 Aug	17:50	Colne	01282 864991	Daytime	00:00:04	0.042
31 Aug	18:56	Local Rate	0845 0796889	Lo-call	00:01:14	0.042
31 Aug	18:58	Local Rate	0845 0796889	Lo-call	00:01:18	0.042
1 Sep	13:05	Local Rate	0845 0796889	Lo-call	00:01:19	0.042
1 Sep	16:59	Colne	01282 864991	Daytime	00:00:36	0.042
1 Sep	17:02	London	020 8848 6418	Daytime	00:00:04	0.042
1 Sep	17:05	Local Rate	0845 0796889	Lo-call	00:01:10	0.042
1 Sep	17:06	Local Rate	0845 0796889	Lo-call	00:00:20	0.042
1 Sep	17:15	Local Rate	0845 0796889	Lo-call	00:02:30	0.064
2 Sep	10:56	Local Rate	0845 0796889	Lo-call	00:04:34	0.116
2 Sep	11:04	Barnoldswick	01282 813339	Daytime	00:00:41	0.042
2 Sep	11:05	Burnley	01282 428753	Daytime	00:00:24	0.042
2 Sep	11:53	Local Rate	0845 0796889	Lo-call	00:07:35	0.193
2 Sep	12:24	Newport Gwnt	01633 814630	Daytime	00:02:53	0.3
2 Sep	13:00	Local Rate	0845 6012288	Lo-call	00:04:31	0.115
2 Sep	14:26	Colne	01282 864991	Daytime	00:00:42	0.042
2 Sep	19:25	Local Rate	0845 0796889	Lo-call	00:02:24	0.042
3 Sep	14:05	Colne	01282 864991	Daytime	00:00:39	0.042
3 Sep	15:29	Local Rate	0845 0796889	Lo-call	00:01:45	0.044
3 Sep	16:09	Local Rate	0845 0796889	Lo-call	00:00:54	0.042
3 Sep	16:46	Nelson	01282 612797	Daytime	00:00:59	0.042
3 Sep	23:28	Local Rate	0845 0796889	Lo-call	00:01:07	0.042
5 Sep	10:54	Colne	01282 864220	Eve/Weekend	00:00:20	0.046
6 Sep	12:06	Local Rate	0845 0796889	Lo-call	00:02:21	0.060
6 Sep	12:09	London	020 7580 7313	Daytime	00:00:38	0.042
6 Sep	12:13	Basingstoke	01256 841144	Daytime	00:01:02	0.042
6 Sep	12:16	London	020 7917 6190	Daytime	00:01:48	0.046
6 Sep	14:49	Local Rate	0845 0109000	Lo-call	00:05:28	0.139
6 Sep	14:56	Leeds	0113 343 7261	Daytime	00:03:16	0.083
6 Sep	15:00	Leeds	0113 343 5208	Daytime	00:13:35	0.346
6 Sep	15:25	Barnoldswick	01282 813339	Daytime	00:00:08	0.042
6 Sep	16:49	London	020 7580 7313	Daytime	00:00:29	0.042
6 Sep	16:51	Silsoe	01525 863539	Daytime	00:01:01	0.042
6 Sep	16:55	Leeds	0113 343 7171	Daytime	00:00:04	0.042
6 Sep	19:10	Local Rate	0845 0796889	Lo-call	00:02:15	0.042
6 Sep	19:14	Local Rate	0845 0796889	Lo-call	00:14:44	0.125
7 Sep	10:50	London	020 7917 6190	Daytime	00:01:22	0.042
7 Sep	16:31	Manchester	0161 830 1627	Daytime	00:19:05	0.487

table continues on next page



Date  
23 November 2004

Your account and bill number  
LC 2223 5930 Q036 9H

Your phone number  
01282 867811

## Summary and detail

### Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
15 Sep	08:40	Local Rate	0845 0796889	Lo-call	00:01:11	0.042
15 Sep	10:59	Local Rate	0845 0796889	Lo-call	00:01:03	0.042
15 Sep	11:29	Local Rate	0845 0796889	Lo-call	00:00:40	0.042
15 Sep	11:37	Nat Rate	0870 5275104	Nat rate	00:03:55	0.250
15 Sep	11:56	London	020 8848 6418	Daytime	00:03:01	0.077
15 Sep	12:03	Local Rate	0845 0796889	Lo-call	00:08:46	0.223
15 Sep	12:16	London	020 7215 1344	Daytime	00:15:03	0.384
15 Sep	12:35	Leeds	0113 343 5208	Daytime	00:07:23	0.188
15 Sep	12:43	Local Rate	0845 0796889	Lo-call	00:11:02	0.281
15 Sep	15:00	Local Rate	0845 0796889	Lo-call	00:00:59	0.042
15 Sep	15:16	Newcastle	0191 222 3500	Daytime	00:01:11	0.042
15 Sep	16:16	Local Rate	0845 0796889	Lo-call	00:01:11	0.042
15 Sep	16:18	Manchester	0161 830 1627	Daytime	00:01:27	0.042
15 Sep	17:55	Local Rate	0845 0796889	Lo-call	00:01:20	0.042
16 Sep	07:38	Local Rate	0845 0796889	Lo-call	00:01:02	0.042
16 Sep	10:52	Burnley	01282 424923	Daytime	00:02:54	0.074
16 Sep	12:54	Local Rate	0845 0796889	Lo-call	00:01:19	0.042
16 Sep	14:18	Leeds	0113 243 9021	Daytime	00:03:38	0.092
16 Sep	14:24	Leeds	0113 228 0000	Daytime	00:20:38	0.526
16 Sep	14:57	Local Rate	0845 0796889	Lo-call	00:02:04	0.052
16 Sep	18:06	Local Rate	0845 0796889	Lo-call	00:00:59	0.042
17 Sep	11:38	Local Rate	0845 0109000	Lo-call	00:01:46	0.045
17 Sep	11:42	Local Rate	0845 0109000	Lo-call	00:01:43	0.044
17 Sep	12:58	Local Rate	0845 0796889	Lo-call	00:04:16	0.109
17 Sep	13:53	Local Rate	0845 0796889	Lo-call	00:01:16	0.042
17 Sep	15:03	London	020 7580 7313	Daytime	00:00:44	0.042
17 Sep	16:41	Colne	01282 860585	Daytime	00:00:17	0.042
17 Sep	17:32	Local Rate	0845 0796889	Lo-call	00:01:43	0.043
17 Sep	22:10	Local Rate	0845 0796889	Lo-call	00:00:31	0.042
17 Sep	22:11	Local Rate	0845 0796889	Lo-call	00:00:30	0.042
17 Sep	22:12	Local Rate	0845 0796889	Lo-call	00:00:29	0.042
17 Sep	22:13	Local Rate	0845 0796889	Lo-call	00:00:43	0.042
17 Sep	22:16	Local Rate	0845 0796889	Lo-call	00:15:59	0.136
18 Sep	13:19	Skipton	01756 749304	Eve/Weekend	00:01:17	0.046
20 Sep	09:58	Leeds	0113 240 0492	Daytime	00:00:08	0.042
20 Sep	10:00	Leeds	0113 343 6556	Daytime	00:17:48	0.454
20 Sep	10:21	Leeds	0113 343 3852	Daytime	00:00:46	0.042
20 Sep	10:24	Leeds	0113 243 1751	Daytime	00:23:25	0.371
20 Sep	10:49	Newbury	01635 523545	Daytime	00:32:39	0.832
20 Sep	11:31	Local Rate	0845 0796889	Lo-call	00:02:22	0.060
20 Sep	11:40	London	020 7580 7313	Daytime	00:11:16	0.287
20 Sep	13:15	Leeds	0113 243 1751	Daytime	00:00:20	0.042
20 Sep	13:18	Leeds	0113 343 3815	Daytime	00:01:52	0.048
20 Sep	15:08	Local Rate	0845 0796889	Lo-call	00:01:58	0.050
20 Sep	15:16	Newbury	01635 523545	Daytime	00:51:24	1.310
20 Sep	16:49	Local Rate	0845 0796889	Lo-call	00:01:38	0.042
20 Sep	17:14	Newbury	01635 523545	Daytime	00:01:18	0.042
20 Sep	17:22	Local Rate	0845 0796889	Lo-call	00:07:26	0.189
21 Sep	09:02	Newbury	01635 523545	Daytime	00:45:40	1.164
21 Sep	10:08	London	020 7360 8112	Daytime	00:33:29	0.854
21 Sep	10:42	Malvern	01684 894194	Daytime	00:30:50	0.786
21 Sep	11:23	Burnley	01282 424923	Daytime	00:03:07	0.079
21 Sep	11:29	Preston	01772 202000	Daytime	00:01:15	0.042
21 Sep	11:32	Manchester	0161 832 5481	Daytime	00:07:57	0.202
21 Sep	11:42	Manchester	0161 839 0900	Daytime	00:02:03	0.052
21 Sep	11:46	Blackburn	01254 56333	Daytime	00:17:06	0.436
21 Sep	13:14	Local Rate	0845 0796889	Lo-call	00:01:51	0.047
21 Sep	15:07	Manchester	0161 839 0900	Daytime	00:00:50	0.042
21 Sep	15:58	Manchester	0161 839 0900	Daytime	00:01:01	0.042
21 Sep	16:12	Manchester	0161 839 0900	Daytime	00:29:04	0.741
21 Sep	17:28	Local Rate	0845 0796889	Lo-call	00:00:47	0.042
21 Sep	23:02	Local Rate	0845 0796889	Lo-call	00:00:45	0.042

table continues on next page



More connections.

More possibilities.

Date  
23 November 2004Your account and bill number  
LC 2223 5930 Q036 9HYour phone number  
01282 867811

## Summary and detail

## Cost of calls continued

PATENT OFFICE		Date	Time	Destination	Called number	Type of call	Duration	Cost
		22 Sep	10:57	Newport Gwnt	01633 814630	Daytime	00:05:19	0.135
		22 Sep	16:05	Local Rate	0845 0796889	Lo-call	00:01:32	0.042
		22 Sep	18:19	Local Rate	0845 0796889	Lo-call	00:01:22	0.042
		23 Sep	09:45	Local Rate	0845 0796889	Lo-call	00:01:06	0.042
		23 Sep	11:47	Local Rate	0845 0796889	Lo-call	00:00:52	0.042
		23 Sep	12:34	London	020 7580 7313	Daytime	00:00:11	0.042
		23 Sep	12:41	London	020 7360 8112	Daytime	00:00:15	0.042
		23 Sep	14:02	Local Rate	0845 0796889	Lo-call	00:01:24	0.042
		23 Sep	14:11	Newport Gwnt	01633 814630	Daytime	00:15:35	0.397
		23 Sep	15:10	Newbury	01635 523545	Daytime	00:40:24	1.030
		23 Sep	16:13	Local Rate	0845 0796889	Lo-call	00:01:09	0.042
		23 Sep	17:15	Local Rate	0845 0796889	Lo-call	00:01:28	0.042
		23 Sep	17:29	London	020 7580 7313	Daytime	00:00:41	0.042
		23 Sep	20:05	Local Rate	0845 0796889	Lo-call	00:00:59	0.042
		24 Sep	09:35	Local Rate	0845 0796889	Lo-call	00:01:17	0.042
		24 Sep	09:37	Local Rate	0845 0796889	Lo-call	00:03:57	0.100
		24 Sep	10:36	Local Rate	0845 0796889	Lo-call	00:01:07	0.042
		24 Sep	10:41	Local Rate	0845 0796889	Lo-call	00:00:44	0.042
		24 Sep	13:09	Local Rate	0845 0796889	Lo-call	00:02:06	0.053
		24 Sep	14:52	Local Rate	0845 0796889	Lo-call	00:00:36	0.042
		24 Sep	14:57	Leeds	0113 343 7171	Daytime	00:00:22	0.042
		24 Sep	14:58	Local Rate	0845 6013311	Lo-call	00:03:56	0.100
		24 Sep	15:33	Leatherhead	01372 376761	Daytime	00:30:35	0.780
		24 Sep	16:12	Nat Rate	0870 3338933	Nat rate	00:08:54	0.568
		24 Sep	17:32	Cambridge	01223 305493	Daytime	00:11:37	0.296
		24 Sep	18:27	Local Rate	0845 0796889	Lo-call	00:00:43	0.042
		24 Sep	18:32	Leeds	0113 240 0492	Eve/Weekend	00:22:28	0.046
		24 Sep	18:56	Cambridge	01223 305493	Eve/Weekend	01:18:58	0.207
		24 Sep	20:16	Local Rate	0845 0796889	Lo-call	00:00:34	0.042
		26 Sep	20:39	Local Rate	0845 0796889	Lo-call	00:02:06	0.042
		27 Sep	11:04	Local Rate	0845 0796889	Lo-call	00:00:58	0.042
		27 Sep	11:14	Cuffley	01707 875219	Daytime	00:02:17	0.058
		27 Sep	11:17	London	020 7580 7313	Daytime	00:14:16	0.364
		27 Sep	16:35	Nelson	01282 696161	Daytime	00:01:33	0.042
		27 Sep	18:26	Local Rate	0845 0796889	Lo-call	00:00:46	0.042
		28 Sep	15:46	Local Rate	0845 0796889	Lo-call	00:01:02	0.042
		28 Sep	20:11	Nat Rate	0870 5400600	Nat rate	00:00:11	0.042
		29 Sep	09:08	Northampton	01604 230230	Daytime	00:02:14	0.057
		29 Sep	09:12	Nat Rate	0870 9086000	Nat rate	00:03:18	0.210
		29 Sep	10:01	Manchester	0161 830 1627	Daytime	00:00:34	0.042
		29 Sep	10:02	London	020 7360 8112	Daytime	00:00:15	0.042
		29 Sep	10:05	Cambridge	01223 305493	Daytime	00:18:06	0.461
		29 Sep	10:25	Local Rate	0845 0796889	Lo-call	00:06:04	0.155
		29 Sep	10:32	Local Rate	0845 6009006	Lo-call	00:01:35	0.042
		29 Sep	10:50	London	020 8848 6418	Daytime	00:20:58	0.535
		29 Sep	11:13	Silsoe	01525 863539	Daytime	00:01:29	0.042
		29 Sep	12:15	London	020 8848 6418	Daytime	00:02:05	0.053
		29 Sep	12:18	Newcastle	0191 222 3500	Daytime	00:00:27	0.042
		29 Sep	12:18	Newcastle	0191 222 8639	Daytime	00:11:33	0.294
		29 Sep	12:37	Leeds	0113 343 3852	Daytime	00:00:55	0.042
		29 Sep	12:39	Chelmsford	01245 355181	Daytime	00:00:40	0.042
		29 Sep	12:42	Leeds	0113 343 1680	Daytime	00:08:03	0.205
		29 Sep	13:36	Cambridge	01223 305493	Daytime	00:20:05	0.512
		29 Sep	16:02	Blackburn	01254 607000	Daytime	00:15:06	0.385
		29 Sep	17:04	Leeds	0113 343 7171	Daytime	00:43:49	1.117
		29 Sep	22:42	Local Rate	0845 0796889	Lo-call	00:01:20	0.042
		30 Sep	10:34	London	020 7927 2194	Daytime	00:00:46	0.042
		30 Sep	10:36	London	020 7927 2193	Daytime	00:00:02	0.042
		30 Sep	10:49	Local Rate	0845 0796889	Lo-call	00:10:26	0.266
		30 Sep	11:02	London	020 7636 8636	Daytime	00:58:03	1.480
		30 Sep	12:02	Leeds	0113 343 1680	Daytime	00:00:54	0.042
		30 Sep	12:04	Leeds	0113 343 6963	Daytime	00:00:38	0.042

table continues on next page



Date  
23 November 2004

Your account and bill number  
LC 2223 5930 Q036 9H

Your phone number  
01282 867811

## Summary and detail

### Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
30 Sep	12:09	Local Rate	0845 6013311	Lo-call	00:04:31	0.115
30 Sep	12:37	Manchester	0161 367 2000	Daytime	00:00:39	0.042
30 Sep	12:38	Basingstoke	01256 841144	Daytime	00:00:38	0.042
30 Sep	12:41	Manchester	0161 830 1649	Daytime	00:00:12	0.042
30 Sep	12:42	London	020 7917 6190	Daytime	00:00:39	0.042
30 Sep	14:35	London	020 7917 6190	Daytime	00:00:29	0.042
30 Sep	14:37	Manchester	0161 367 2000	Daytime	00:01:20	0.042
30 Sep	14:45	Cambridge	01223 305493	Daytime	00:33:49	0.862
30 Sep	15:24	London	020 7917 6190	Daytime	00:01:08	0.042
30 Sep	15:26	Manchester	0161 830 1649	Daytime	00:12:31	0.319
30 Sep	16:22	London	020 7917 6190	Daytime	00:01:07	0.042
30 Sep	16:24	Silsoe	01525 863539	Daytime	00:01:01	0.042
30 Sep	18:47	Local Rate	0845 0796889	Lo-call	00:00:56	0.042
1 Oct	14:50	Local Rate	0845 0796889	Lo-call	00:01:17	0.042
1 Oct	15:35	London	020 7927 2194	Daytime	00:00:42	0.042
1 Oct	18:22	Local Rate	0845 0796889	Lo-call	00:01:35	0.042
2 Oct	11:53	Gisburn	01200 445355	Ringback	00:00:25	0.046
2 Oct	15:09	Burnley	01282 424923	Eve/Weekend	00:03:18	0.046
3 Oct	00:59	Local Rate	0845 0796889	Lo-call	00:01:11	0.042
4 Oct	10:18	London	020 7360 8112	Daytime	00:02:12	0.056
4 Oct	18:14	Local Rate	0845 0796889	Lo-call	00:01:29	0.042
5 Oct	10:35	Local Rate	0845 6012288	Lo-call	00:03:17	0.084
5 Oct	13:40	Local Rate	0845 0796889	Lo-call	00:01:17	0.042
6 Oct	07:59	Mobile Phone	07837 528377	Mobile	00:00:49	0.080
6 Oct	08:06	Mobile Phone	07973 100152	Mobile	00:00:27	0.051
6 Oct	08:09	Mobile Phone	07973 100152	Mobile	00:01:10	0.134
6 Oct	08:10	Mobile Phone	07973 100152	Mobile	00:02:15	0.259
6 Oct	09:18	Mobile Phone	07973 100152	Mobile	00:11:16	1.302
6 Oct	15:38	Colne	01282 865996	Daytime	00:00:20	0.042
6 Oct	15:41	Silsoe	01525 863539	Daytime	00:00:39	0.042
6 Oct	16:09	Bedford	01234 222406	Daytime	00:00:05	0.042
6 Oct	16:56	Local Rate	0845 0796889	Lo-call	00:05:44	0.146
6 Oct	17:24	Bedford	01234 222406	Daytime	00:00:03	0.042
6 Oct	19:15	Local Rate	0845 0796889	Lo-call	00:01:17	0.042
6 Oct	19:17	Local Rate	0845 0796889	Lo-call	00:01:22	0.042
6 Oct	19:19	Local Rate	0845 0796889	Lo-call	00:00:48	0.042
7 Oct	09:15	Newport Gwnt	01633 814630	Daytime	00:03:36	0.092
7 Oct	09:44	Bedford	01234 222406	Daytime	00:15:01	0.3
7 Oct	12:14	Malvern	01684 894194	Daytime	00:10:31	0.268
7 Oct	12:26	London	020 7580 7313	Daytime	00:00:42	0.042
7 Oct	12:29	London	020 7360 8112	Daytime	00:08:47	0.224
7 Oct	13:02	Local Rate	0845 0796889	Lo-call	00:01:25	0.042
7 Oct	16:57	Colne	01282 862630	Daytime	00:01:33	0.042
7 Oct	19:16	Burnley	01282 424923	Eve/Weekend	00:32:41	0.046
7 Oct	20:00	Colne	01282 869452	Eve/Weekend	00:23:57	0.046
8 Oct	09:00	Basingstoke	01256 841144	Daytime	00:01:31	0.042
8 Oct	09:38	Basingstoke	01256 841144	Daytime	00:00:40	0.042
8 Oct	10:29	Basingstoke	01256 841144	Daytime	00:00:10	0.042
8 Oct	10:31	Basingstoke	01256 841144	Daytime	00:00:21	0.042
8 Oct	15:43	Colne	01282 862630	Daytime	00:01:21	0.042
8 Oct	15:51	Local Rate	0845 0796889	Lo-call	00:01:00	0.042
8 Oct	15:52	Local Rate	0845 0796889	Lo-call	00:01:17	0.042
8 Oct	15:54	Burnley	01282 456333	Daytime	00:03:18	0.084
8 Oct	15:59	Burnley	01282 456333	Daytime	00:00:42	0.042
8 Oct	16:00	Burnley	01282 456333	Daytime	00:01:20	0.042
8 Oct	16:03	Gisburn	01200 445355	Daytime	00:00:52	0.042
8 Oct	16:26	Burnley	01282 424923	Daytime	00:20:44	0.528
8 Oct	16:55	Local Rate	0845 0796889	Lo-call	00:01:27	0.042
8 Oct	17:59	Local Rate	0845 0796889	Lo-call	00:00:49	0.042
8 Oct	18:59	Leeds	0113 240 0492	Eve/Weekend	00:27:55	0.046
9 Oct	11:29	Colne	01282 862630	Eve/Weekend	00:00:50	0.046
9 Oct	11:30	Gisburn	01200 445355	Eve/Weekend	00:01:54	0.046

PATIENT OFFICE

table continues on next page



More connections.

More possibilities.

Date  
23 November 2004Your account and bill number  
LC 2223 5930 Q036 9HYour phone number  
01282 867811

## Summary and detail

## Cost of calls continued

Date	Time	Destination	Called number	Type of call	Duration	Cost
9 Oct	13:24	Burnley	01282 456222	Eve/Weekend	00:03:25	0.046
11 Oct	09:50	London	020 7360 8112	Daytime	00:00:18	0.042
11 Oct	09:52	London	020 7917 6190	Daytime	00:01:08	0.042
11 Oct	09:54	Belfast	028 9034 2090	Daytime	00:00:10	0.042
11 Oct	09:55	Belfast	028 9034 1709	Daytime	00:00:08	0.042
11 Oct	09:56	Belfast	028 9034 2090	Daytime	00:00:19	0.042
11 Oct	11:09	London	020 7360 8112	Daytime	00:00:01	0.042
11 Oct	11:44	London	020 7360 8112	Daytime	00:00:40	0.042
11 Oct	11:45	Belfast	028 9034 2090	Daytime	00:01:07	0.042
11 Oct	11:58	Local Rate	0845 6012288	Lo-call	00:05:47	0.147
11 Oct	12:18	Local Rate	0845 6012288	Lo-call	00:02:44	0.070
11 Oct	14:15	Manchester	0161 827 9400	Daytime	00:05:49	0.148
11 Oct	14:50	London	020 7360 8112	Daytime	00:00:20	0.042
11 Oct	14:51	Belfast	028 9034 2090	Daytime	00:00:14	0.042
11 Oct	14:52	Local Rate	0845 0796889	Lo-call	00:00:51	0.042
11 Oct	15:38	London	020 7360 8112	Daytime	00:00:22	0.042
11 Oct	16:29	Nat Rate	0870 0107620	Nat rate	00:01:37	0.102
11 Oct	17:35	Nat Rate	0870 1217397	Nat rate	00:01:13	0.077
11 Oct	17:37	Nat Rate	0870 1217397	Nat rate	00:03:35	0.228
12 Oct	09:04	Local Rate	0845 6009006	Lo-call	00:00:59	0.042
12 Oct	09:06	Local Rate	0845 0796889	Lo-call	00:04:00	0.102
12 Oct	09:11	Local Rate	0845 6009006	Lo-call	00:01:05	0.042
12 Oct	09:12	London	020 7215 5000	Daytime	00:02:18	0.058
12 Oct	09:15	Local Rate	0845 0796889	Lo-call	00:07:12	0.183
12 Oct	09:22	London	020 7215 5000	Daytime	00:03:36	0.092
12 Oct	09:26	Local Rate	0845 0010031	Lo-call	00:00:03	0.042
12 Oct	09:26	Local Rate	0845 0010031	Lo-call	00:02:53	0.073
12 Oct	09:30	London	020 7215 8563	Daytime	00:00:05	0.042
12 Oct	09:30	Belfast	028 9023 9090	Daytime	00:01:25	0.042
12 Oct	09:32	Cambridge	01223 305493	Daytime	00:06:10	0.157
12 Oct	09:40	Basingstoke	01256 841144	Daytime	00:01:20	0.042
12 Oct	09:42	Manchester	0161 830 1649	Daytime	00:00:06	0.042
12 Oct	10:04	Belfast	028 9034 2090	Daytime	00:00:09	0.042
12 Oct	10:19	Local Rate	0845 0796889	Lo-call	00:00:50	0.042
12 Oct	11:11	Bedford	01234 222000	Daytime	00:00:03	0.042
12 Oct	11:12	Bedford	01234 222406	Daytime	00:21:33	0.549
12 Oct	11:36	Local Rate	0845 0796889	Lo-call	00:00:35	0.042
12 Oct	11:38	Manchester	0161 830 1649	Daytime	00:00:01	0.042
12 Oct	11:52	Nelson	01282 661818	Daytime	00:07:16	0.185
13 Oct	01:28	Local Rate	0845 0796889	Lo-call	00:00:48	0.042
13 Oct	09:19	Silsoe	01525 863539	Daytime	00:01:34	0.042
13 Oct	17:06	Local Rate	0845 0796889	Lo-call	00:01:12	0.042
13 Oct	20:46	Local Rate	0845 0796889	Lo-call	00:00:51	0.042
14 Oct	16:20	Local Rate	0845 0796889	Lo-call	00:00:57	0.042
14 Oct	16:41	Local Rate	0845 6012288	Lo-call	00:06:22	0.162
14 Oct	20:20	Colne	01282 869452	Eve/Weekend	00:12:49	0.046
15 Oct	10:17	Local Rate	0845 6012288	Lo-call	00:03:23	0.086
15 Oct	10:26	Local Rate	0845 7777766	Lo-call	00:11:26	0.291
15 Oct	10:38	Burnley	01282 412378	Daytime	00:08:19	0.212
15 Oct	10:49	Leeds	0113 343 7171	Daytime	00:27:18	0.696
15 Oct	13:33	Local Rate	0845 7114477	Lo-call	00:00:31	0.042
15 Oct	13:34	Local Rate	0845 6050789	Lo-call	00:05:25	0.138
15 Oct	13:51	Local Rate	0845 0796889	Lo-call	00:01:01	0.042
15 Oct	13:56	London	020 7580 7313	Daytime	00:24:06	0.614
15 Oct	14:21	Bedford	01234 222406	Daytime	00:00:05	0.042
15 Oct	14:31	Bedford	01234 222406	Daytime	00:00:04	0.042
15 Oct	14:53	Silsoe	01525 863539	Daytime	00:00:43	0.042
15 Oct	14:55	Newcastle	0191 222 3500	Daytime	00:00:26	0.042
15 Oct	14:56	Basingstoke	01256 841144	Daytime	00:01:47	0.045
15 Oct	14:58	Manchester	0161 830 1649	Daytime	00:03:10	0.081
15 Oct	15:04	Bedford	01234 222406	Daytime	00:00:01	0.042
15 Oct	15:21	Silsoe	01525 863539	Daytime	00:01:11	0.042

table continues on next page

523h



Steve Adkins - GB2267412

---

**From:** "andrew hall" <ajjh@freenetname.co.uk>  
**To:** <Steve.adkins@patent.gov.uk>  
**Date:** 23/09/2004 17:31  
**Subject:** GB2267412

---

Dear Steve,

Thank you for arranging the additions to the file GB2267412.

Could you please add a change of address for Northern Light Music Limited?

It is now:

Noyna Lodge  
Manor Road  
COLNE  
Lancashire  
England BB8 7AS

Kind regards,

Andrew Hall

Steve Adkins - GB2267412

---

From: "andrew hall" <ajjh@freenetname.co.uk>  
To: <Steve.adkins@patent.gov.uk>  
Date: 24/09/2004 14:53  
Subject: GB2267412

---

Dear Steve,

Thank you for sending the register entry for GB2267412.

"A" I have studied the agreement that Wilson Gunn McCaw submitted as evidence of the change in proprietor of the patents but note that only an extract was submitted.

"B" The extract supplied does not include the terms and conditions to which it refers and these are of relevance to the validity of the transaction.

"C" Amongst the elements missing are the terms and conditions relating to the proprietorship and change in proprietorship of the patents and all matters relating to any third party rights, title or interest therein. Such issues are referred to in the definitions section under 'Encumbrance', but do not appear in the extract supplied.

"D" Is it a requirement for entry on the register that all contractual clauses relevant to a transfer of proprietorship should be submitted or is it allowable for an incomplete selection such as this to be submitted?

"E" Based upon what is on file, there is insufficient evidence of a transfer of full title, less so in that the agreement does not confirm that sense-sonic was indeed the proprietor (see clause 2.1).

It is quite possible that a third party was the proprietor from February 2003 and the legal basis for this lies within the missing pages of the agreement.

The seller confirmed to me in the past that Sense-Sonic was not the proprietor from February 2003 onwards, and I am now establishing with the seller (administrator) a formal representation of the change in proprietorship.

"F" It would help me to know whether such a truncated document is actually sufficient to meet the requirement for registering a change in proprietorship.

Yours sincerely,

Andrew Hall



From: Steve Adkins  
To: "andrew hall" <ajjh@freenetname.co.uk>  
Date: 24/09/2004 15:05:31  
Subject: Please review 'ASSIGNMENTS GUIDE NOTES'

Andrew

This is all we look at to register a transaction.

Steve

## ASSIGNMENTS SECTION - GUIDELINES FOR A3s/B1

1. Remove Assignment files from racking where they will have been placed by A1 in strict form filing date order, after booking-in work has been completed.
2. Check RS Sheet to see if there are any comments by A1 concerning under payments, incorrect Forms, or disparity between details on documents and those shown on the Register. Note, no action is taken on un-granted European Applications, nor do we 'register' Licence or Security Agreement(mortgage) requests for un-published cases these may be held, all other requests(assignments, etc.) should be returned and the agent advised to notify the EPO.
3. Some "Assignments" are mortgages in what they do and are treated as such. Note that actions should happen (ie. they date they occur) in the order which logically suits the chain of events. If any of the requirements are not met, send a standard letter to PA/Applicant drawing attention to the relevant problem, always make any changes to the Address for Service **NOW**. Where the current AFS is also the current (ie. old) proprietor, action must be considered. Always raise the question of who should be the afs in the future with the first letter issued. Make relevant entry in RS book, make note on Report Form, enter in Personal Stats book as cleared for weekly stats purposes. Request file and put documents away.

Documents are not required to prove the assignment when the Form 21/77 has been signed by or on behalf of all the parties to the transaction (and the registered proprietor is one of those parties).

4. When a reply reaches us, the case is re-instated and entered in the R S Book under its original reference number. Unless an additional fee is also received, nothing is shown under the £ headings. This entry is taken into account for stats purposes as a refile and is returned to the officer who first dealt with the case.
5. If all requirements are met refer to Reg Ins notes.
6. Complete check list on reverse of report sheet. (See copy attached).
7. For single applications call file and place assignment folder at the back of the file. For multiple applications and the documents are placed on the highest published number available. Should the schedule be entirely unpublished the documents go on the highest application number available.



# Assignment Report Sheet

<b>Optics Action Taken</b>	✓		
<b>Multiple Steps Taken</b>	w/a		
<b>Letter Sent</b>	✓		
<b>Deed Stamped/Returned</b>	w/a		
<b>File Voucher/Raised</b>	<b>1<sup>st</sup> Request</b>	<b>2<sup>nd</sup> Req</b>	<b>3<sup>rd</sup> Req</b>
	✓		
<b>Index Cards Made Up</b>	✓		
<b>Stats Book Noted</b>	✓		
<b>Spread Sheet Noted</b>	✓		
<b>File Work Completed</b>	✓		
<b>Jacket Placed On File</b>	✓		
<u><b>Misc Notes</b></u>			

# AS3804.WK4

Sc	Refile	Date	Filing	Pat. No.	Appn. No.	F21	F20	R21	R20	Old Adp	New Adp
5			09.09.2004	2267412		1				08162674001	08162674001

ite of Inst. Evidence filed on





# Wilson Gunn M'Caw

Also at Birmingham, Chesterfield, London

Chartered Patent Attorneys  
European Patent Attorneys  
Registered Trade Mark Attorneys  
European Trade Mark Attorneys

5th Floor  
Blackfriars House  
The Parsonage  
Manchester M3 2JA  
England

Tel: +44 (0)161 827 9400  
Fax: +44 (0)161 832 4905  
[www.wilsongunn.com](http://www.wilsongunn.com)

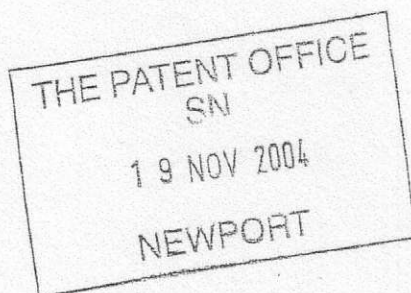
Our Ref: JER/EMW

Your Ref:

Date: 18 November 2004

DIRECT E-MAIL ADDRESS  
[james.robey@wilsongunn.com](mailto:james.robey@wilsongunn.com)

The Patent Office,  
Concept House,  
Cardiff Road,  
Newport,  
South Wales,  
NP10 8QQ



Dear Sirs,

Re: UK Patent Number 2267412  
TONWEAR LIMITED

The name of the proprietor of the above patent has changed to Conversor Products Limited and we ask that this change be recorded on the Patent Register. In connection with this request we enclose patents form 20/77 together with a certified copy of a change of name } "A"  
certificate issued by Companies House.

Yours faithfully,

Wilson Gunn M'Caw

Enc.

Patents Form 20/77

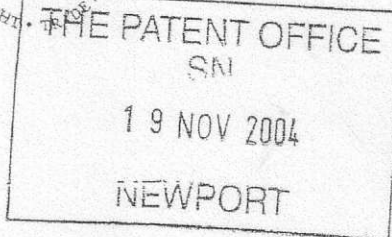
Patents Act 1977  
(Rule 45)



22/11/04 0100545-1 000350  
P20. TDO 0-00-2267412 N-2

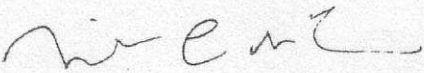
**Request to alter a name  
or address**

(See the notes on the back of this form)



The Patent Office

Cardiff Road  
Newport  
South Wales  
NP10 8QQ

- |  |   |
|--|---|
| 1. Your reference  | JER/EMW   |
| <hr/>  |   |
| 2. Patent application or patent number(s)<br>(see notes (c) & (d))   | 2267412   |
| <hr/>  |   |
| 3. Full name and address of the or of each patent<br>applicant or proprietor (as currently<br>on the register or application(s)) | TONEWEAR LIMITED,<br>37 Warren Street,<br>London<br>W1T 6AD             |
| Patents ADP number (if you know it)  |   |
| <hr/>  |   |
| 4. Name and/or address to be altered   | TONEWEAR LIMITED  |
| <hr/>  |   |
| Patents ADP number (if you know it)  |   |
| <hr/>  |   |
| 5. New name and/or address<br>(see note (e))   | CONVERSOR PRODUCTS LIMITED,<br>37 Warren Street,<br>London<br>W1T 6AD   |
| Patents ADP number (if you know it)  |   |
| <hr/>  |   |
| 6. Name of your agent (if you have one)  | WILSON GUNN M'CAW,  |
| "Address for service" in the United<br>Kingdom to which all correspondence<br>should be sent<br>(including the postcode)         | 5th Floor, Blackfriars House,<br>The Parsonage,<br>Manchester<br>M3 2JA |
| Patents ADP number (if you know it)  |   |
| <hr/>  |   |
| 7. Signature   | Date 18/11/2004   |
| <hr/>  |   |
|    |   |
| <hr/>  |   |
| 8. Name and daytime telephone number of<br>person to contact in the United Kingdom   | JAMES E ROBEY 0161 827 9400   |





# THE COMPANIES ACT 1985

Company No. 4884436

The Registrar of Companies for England and Wales hereby certifies that

**CONVERSOR PRODUCTS LIMITED**

formerly called **TONEWEAR LIMITED**

which name was changed by special resolution was incorporated under the Companies Act 1985

as a limited company on the 2nd September 2003 and that the certificate of incorporation altered to meet the circumstances of the case was issued on the 9th December 2003

Given at Companies House, Cardiff the 29<sup>th</sup> October 2004

"A"

I, James Edward Robey,  
Chartered Patent Attorney  
certify that this is  
a true copy of the  
original.

*J. Bridle*

**J. BRIDLE**

for the Registrar of Companies





INVESTOR IN PEOPLE

The Patent Office  
Patents Directorate

Wilson Gunn M'Caw  
Blackfriars House  
The Parsonage  
MANCHESTER  
M3 2JA

Concept House  
Cardiff Road, Newport  
South Wales NP10 8QQ  
United Kingdom

Direct line: 01633 814449  
†E-mail: amy.spring@patent.gov.uk  
Switchboard: 01633 814000  
Minicom: 08459 222250  
Fax: 01633 814563  
DX 722540/41 Cleppa Park 3  
<http://www.patent.gov.uk>

Your reference: JER/EMW  
Our reference: AS 67/48/04

16 December 2004

Dear Sir

Patents Act 1977 : Patents Rules 1995  
Patent Number : GB2267412

Thank you for the application for registration made on Form 20/77 (and accompanying documentary evidence) which is filed on GB2267412 .

In confirmation I enclose a copy of an extract from the Register of Patents showing that the recordal requested has been made and showing the name of the present proprietor and the address for service. Please notify me by return if anything is not correct. If the Register already reflects the correct address for service, and the entry at box 6 on the Form 20/77 merely confirms that fact, no further action is necessary. } "A"

In order to ensure that correspondence is not mis-directed and lost please write to the Patent Office with details of any future changes that might be made to the address for service shown.

Kindly also note that renewal fees need to be paid annually by the anniversary of the application date in order to keep the patents in force.

Yours faithfully

Amy Spring  
Patent Assignments

†Use of E-mail: Please note that e-mail should be used to file correspondence only.



REGISTER ENTRY FOR GB2267412

Form NP1 Application No GB9312798.3 filing date 23.12.1991

Lodged on 21.06.1993

Priority claimed:  
21.12.1990 in United Kingdom - doc: 9027784

PCT NATIONAL PHASE  
PCT Application PCT/GB1991/002316 filed on 23.12.1991 in English  
Publication No WO1992/011738 on 09.07.1992 in English

Title RADIO-BASED HEARING AID SYSTEM

Applicant/Proprietor  
SELECT HEARING SYSTEMS LIMITED, Incorporated in the United Kingdom, Audio  
House, Grindleton, CLITHEROE, Lancashire, BB7 4RL, United Kingdom  
[ADP No. 06384085001]

Inventor  
ANDREW JAMES JAMIESON HALL, 398 Gisburn Road, Blacko, NELSON, Lancashire,  
BB9 6LS, United Kingdom [ADP No. 06384093001]

Classified to  
H4J  
H04R H04B

Address for Service  
WILSON, GUNN & ELLIS, 41-51 Royal Exchange, Cross Street, MANCHESTER, M2  
7BD, United Kingdom [ADP No. 00037770001]

Publication No GB2267412 dated 01.12.1993

Examination requested 19.08.1993

Patent Granted with effect from 12.10.1994 (Section 25(1)) with title  
RADIO-BASED HEARING AID SYSTEM

---

13.06.1994 Notification of change of Address For Service name of  
WILSON, GUNN & ELLIS, 41-51 Royal Exchange, Cross Street,  
MANCHESTER, M2 7BD, United Kingdom [ADP No. 00037770001]

to  
WILSON GUNN M'CAW & CO., 41-51 Royal Exchange, Cross Street,  
MANCHESTER, M2 7BD, United Kingdom [ADP No. 00008144001]  
dated 01.05.1994. Official evidence filed on 9219583.3  
Entry Type 7.2 Staff ID. 8AD1 Auth ID. AO

28.02.1997 Notification of change of Address For Service name and address of  
WILSON GUNN M'CAW & CO., 41-51 Royal Exchange, Cross Street,  
MANCHESTER, M2 7BD, United Kingdom [ADP No. 00008144001]  
to  
WILSON GUNN M'CAW, 41-51 Royal Exchange, Cross Street, MANCHESTER,  
M2 7BD, United Kingdom [ADP No. 07153927001]  
dated 28.02.1997. Official evidence filed on GB230761  
Entry Type 7.1 Staff ID. PJ Auth ID. AO

TIMED: 16/12/04 10:44:55  
PAGE: 2

REGISTER ENTRY FOR GB2267412 (Cont.)

- 12.06.2001 Application under Section 32 filed on 30.05.2001  
Entry Type 8.1 Staff ID. MHIS Auth ID. F21
- 09.07.2001 SENSE-SONIC LIMITED, Incorporated in the United Kingdom, 3rd Floor,  
King Edward House, Jordangate, Macclesfield, Cheshire, SK10 1EE,  
United Kingdom [ADP No. 08162679001]  
registered as Applicant/Proprietor in place of  
SELECT HEARING SYSTEMS LIMITED, Incorporated in the United Kingdom,  
Audio House, Grindleton, CLITHEROE, Lancashire, BB7 4RL, United  
Kingdom [ADP No. 06384085001]  
by virtue of assignment dated 06.04.2001. Form 21/77 and supporting  
documents filed on GB2267412.  
Entry Type 8.4 Staff ID. TS Auth ID. F21
- 23.10.2001 Application to amend specification under Section 27 filed on  
11.10.2001  
Entry Type 13.1 Staff ID. SALI Auth ID. F11
- 18.06.2002 Specification amended under Section 27 on 18.06.2002  
Entry Type 13.3 Staff ID. KLE Auth ID. A3
- 29.12.2003 Notification of change of Address For Service address of  
WILSON GUNN M'CAW, 41-51 Royal Exchange, Cross Street, MANCHESTER,  
M2 7BD, United Kingdom [ADP No. 07153927001]  
to  
WILSON GUNN M'CAW, 5th Floor, Blackfriars House, The Parsonage,  
MANCHESTER, M3 2JA, United Kingdom [ADP No. 07153927001]  
dated 29.12.2003. Written notification filed on GB2357445  
Entry Type 7.3 Staff ID. Lдав Auth ID. B3
- 08.09.2004 Application under Section 32 filed on 03.09.2004  
Entry Type 8.1 Staff ID. SA1 Auth ID. F21
- 13.09.2004 Application under Section 32 filed on 09.09.2004  
Entry Type 8.1 Staff ID. JHUR Auth ID. F21
- 19.09.2004 The assignment below to Select Hearing Systems Ltd was subject to  
an earlier agreement dated 31st July 1991.  
Entry Type 10.1 Staff ID. SA1 Auth ID. BACK
- 20.09.2004 On the 18.12.1991 Northern Light Music Limited of Aurora Studios,  
Grindleton, Clitheroe, Lancashire assigned the rights of priority  
application GB9027784.9 to Select Hearing Systems Limited of Audio  
house, Grindleton, Clitheroe, Lancashire. Official evidence filed  
on GB2267412.  
Entry Type 10.1 Staff ID. SA1 Auth ID. F21
- 20.09.2004 TONEWEAR LIMITED, Incorporated in the United Kingdom, 37 Warren  
Street, LONDON, W1T 6AD, United Kingdom [ADP No. 08948580001]  
registered as Applicant/Proprietor in place of  
SENSE-SONIC LIMITED, Incorporated in the United Kingdom, 3rd Floor,  
King Edward House, Jordangate, Macclesfield, Cheshire, SK10 1EE,  
United Kingdom [ADP No. 08162679001]  
by virtue of assignment dated 15.09.2004. Form 21/77 filed on  
GB2267412.  
Entry Type 8.4 Staff ID. SA1 Auth ID. F21



TIMED: 16/12/04 10:44:55  
PAGE: 3

REGISTER ENTRY FOR GB2267412 (Cont.)

27.09.2004 This entry is to note Northern Light Music Limited have changed their address to Noya Lodge, Manor Road, Colne, Lancashire. BB8 7AS. Evidence filed on GB2267412.

Entry Type 10.1 Staff ID. SA1 Auth ID. B1

11.10.2004 Application under Section 32 filed on 08.10.2004  
Entry Type 8.1 Staff ID. JHUR Auth ID. F21

22.11.2004 Application under Section 32 filed on 19.11.2004  
Entry Type 8.1 Staff ID. SUM2 Auth ID. F20

"B"  
16.12.2004 Notification of change of Applicant/Proprietor name of  
TONEWEAR LIMITED, Incorporated in the United Kingdom, 37 Warren  
Street, LONDON, W1T 6AD, United Kingdom [ADP No. 08948580001]  
to  
CONVECTOR PRODUCTS LIMITED, Incorporated in the United Kingdom, 37  
Warren Street, LONDON, W1T 6AD, United Kingdom [ADP No. 09001629001]

"C"  
dated 29.10.2004. Official evidence filed on GB2267412  
Entry Type 7.2 Staff ID. ASPR Auth ID. F20

\*\*\*\* END OF REGISTER ENTRY \*\*\*\*

Falsification of register etc.

109. If a person makes or causes to be made a false entry in any register kept under this Act, or a writing falsely purporting to be a copy or reproduction of an entry in any such register, or produces or tenders or causes to be produced or tendered in evidence any such writing, knowing the entry or writing to be false, he shall be liable—

- (a) on summary conviction to a fine not exceeding the prescribed sum [£1,000],
- (b) on conviction on indictment [information in the Isle of Man], to imprisonment for a term not exceeding two years or a fine, or both.

*Note.* Subsection (a) was amended by the Magistrates' Courts Act 1980 (c. 43, s. 32(2)) and subsection (b) by S.I. 1978 No. 621.

#### COMMENTARY ON SECTION 109

##### Scope of the section

The offences under section 109 concern false entries in the register of patents and false copies thereof. Such an offence has existed since 1883, but no case appears to have been brought.

The offence is one triable "either way", i.e. by summary conviction or on indictment. In the summary jurisdiction the maximum fine is the "prescribed sum", a term which has been equated with the term "statutory maximum fine" used in other statutes (Criminal Justice Act 1982, c. 48, s. 75). This latter term is now defined (variously for England and Wales, Scotland and Northern Ireland) in the Interpretation Act 1978 (c. 30, Sched. 1, as amended by the Criminal Justice Act 1988, c. 33, Sched. 15, para. 58). It presently stands at £5,000 (Criminal Justice Act 1991, c. 53, s. 17). Although there is no limit specified for a fine on indictment, this must not be excessive (Bill of Rights 1688, c. 2, s. 1) and must be within the offender's capacity to pay (*R. v. Churchill* (No. 2) [1967] 1 QB 190 (CCA); and *R. v. Garner* [1986] 1 WLR 73; [1986] 1 All ER 78 (CA)). Where a company commits the offence, its officers may be liable under section 113, see § 113.02.

##### Knowing the entry or writing to be false

The offences under section 109 require the offender to have knowledge that the register entry or copy is false. A statement which is literally true may be false if an omission creates clearly and intentionally a belief which is wrong (*R. v. Bishirgian* [1936] 1 All ER 586 (CCA)). Whether the person responsible for the falsehood gains by it is not relevant (*Barrass v. Reeve* [1980] 3 All ER 705).

#### PART III, SECTION 109

Proof of a person's knowledge can be based on evidence that he "deliberately shut his eyes to the obvious or refrained from inquiry because he suspected the truth but did not wish to have his suspicions confirmed" (*Westminster City Council v. Croyalgrange* [1986] 2 All ER 353; [1986] 1 WLR 674 (HL) per Lord Bridge). The knowledge of an employee or agent may be imputed to his employer or principal where control of the work was delegated to him (*Vane v. Yiannopoulos* [1965] AC 486; [1964] 3 All ER 820 (HL)), but, in the absence of control or delegation, criminal acts by an employee are not imputed to his employer (*Tesco v. Nattrass* [1972] AC 153; [1971] 2 All ER 127 (HL)).

110.01

#### SECTION 110

##### Unauthorised claim of patent rights

110.—(1) If a person falsely represents that anything disposed of by him for value is a patented product he shall, subject to the following provisions of this section, be liable on summary conviction to a fine not exceeding level 3 on the standard scale [£200].

(2) For the purposes of subsection (1) above a person who for value disposes of an article having stamped, engraved or impressed on it or otherwise applied to it the word patent or "patented" or anything expressing or implying that the article is a patented product, shall be taken to represent that the article is a patented product.

(3) Subsection (1) above does not apply where the representation is made in respect of a product after the patent for that product or, as the case may be, the process in question has expired or been revoked and before the end of a period which is reasonably sufficient to enable the accused to take steps to ensure that

the product is not made (or does not continue to be made).

CIPA  
Guide, 15<sup>th</sup>  
Ed.

109.02

109.03

(S.I. 1981 No. 161  
s. 2(1)(b)).

##### Penalties under t

Offences under s  
is now defined by n  
is variously defined  
Act 1978 (c. 30, Sc  
15, para. 58), and "  
s. 17). Where a con  
under section 113,

Besides giving ri  
marker to discretic  
infringement or pas  
*MacNish* (1896) 13  
Trade Descriptions  
section 2(1) of that

##### Meaning of "pat

An offence under  
a term defined in se  
which a patented p  
60(1)(a) and (c). Tl  
(indirect) act of infi  
make that article a  
The patent in que  
was imposed in Ca.



---

In the Matter Of

Andrew James Jamieson Hall

And

Conversor Products Limited

---

Application under sections 8 and 37 of the Patents Act 1977  
in respect of GB9027784.9 and GB2267412

---

JB1, WITNESS STATEMENT OF JEREMY GUY BRASSINGTON

I, Jeremy Guy Brassington of Selacourt, Heathfield Close, Woking, Surrey, GU22 7JQ, state the following:

1. I am Managing Director of Conversor Products Limited (hereinafter "Conversor").
2. Conversor manufactures and sells products called the conversor (hereinafter "Products").
3. Conversor was formerly named Tonewear Limited. This previous name is recorded on the register of companies as shown in Exhibit C5 to the co-filed counter-statement by Conversor.
4. Under my direction, Tonewear Limited acquired GB2267412 (hereinafter "The Patent") by an assignment dated 15 September 2003 from the previous proprietor thereof (Sense-Sonic Limited) via the administrative receivers of Sense-Sonic Limited. A copy of this assignment has been provided as exhibit C4 to the co-filed counter-statement by Conversor.

Contact from Mr Hall

5. At the time of the assignment, I had no knowledge of the existence of any claim by Andrew James Jamieson Hall (hereinafter "Mr Hall") or Northern Light Music Limited (hereinafter "NLM") to or under The Patent.
6. The first contact I received from Mr Hall was by telephone several months after Tonewear Limited acquired The Patent. I did not record the date of this telephone discussion, although I recall it as having taken place between February and May of 2004. In this telephone call, Hall was not clear in what he was asserting and appeared to be mixing up frustrations of a Mr Paul Davidson (presumably the person identified in Mr Hall's sworn statement and major shareholder in Sense-Sonic Limited) with his claims

---

In the Matter Of

Northern Light Music Ltd  
(the Claimant)

And

Conversor Products Limited  
(the Defendant)

---

Application under section 37 of the Patents Act 1977  
in respect of GB9027784.9 and GB2267412

---

**JB2, WITNESS STATEMENT OF JEREMY GUY BRASSINGTON**

I, Jeremy Guy Brassington of Selacourt, Heathfield Close, Woking, Surrey, GU22 7JQ, state the following:

- "A"
1. I am Managing Director of Conversor Products Limited (hereinafter "The Defendant").
  2. The Defendant derives income from manufacture and sale of products called the conversor (hereinafter "Products"). This is a correction with respect to my earlier witness statement JB2. The Defendant's letter of 22 August 2006 (exhibited hereto as JB3) clearly identified and corrected this error as soon as it was pointed out to the Defendant. This corrected witness statement is being made at the first point in these proceedings at which the Defendant has an opportunity for formal submissions after noticing the error in the earlier witness statement JB1.

**Contact from Mr Hall**

3. At the time of the acquisition of GB2267412 (hereinafter "The Patent") by an assignment dated 15 September 2003 from the previous proprietor thereof (Sense-Sonic Limited) via the administrative receivers of Sense-Sonic Limited (hereinafter "SSL"), I had no knowledge of the existence of any claim by Andrew James Jamieson Hall (hereinafter "Mr Hall") or Northern Light Music Limited (hereinafter "the Claimant") to or under The Patent.
4. No mention of Mr Hall or NLM was made to me by any person or found in any document provided to me prior to 15 September 2003. Galileo, in its capacity as a director of SSL made us aware of the possibility of a sale from the administrative receivers, but never mentioned Mr Hall, the Claimant or a patent royalty right. During his (unsuccessful) attempt to



get me to support a management buyout, Mr Dickie never mentioned Mr Hall, the Claimant or any patent royalty rights. The due diligence carried out in respect of the assets of SSL related only to a valuation of the plant and machinery, we were under pressure to complete the deal quickly and there was no time for any further due diligence investigation. I had no contact with Mr Blayney before 15 September 2003. B

5. I recall that the first mention to me of Mr Hall's existence was made by Mr Blayney in late 2003, well after completion of the purchase under the 2003 assignment (previously exhibited as C4). At this time, Mr Hall was described to me as a bit of a nuisance and a mad inventor, always trying to get involved in the product design and development, but no mention whatsoever was made of any residual rights that he was supposed to have in the Patent or any other intellectual property rights.
6. As previously set out in my previous witness statement JB1, the first contact I received from Mr Hall was by telephone several months after Tonewear Limited acquired The Patent. I recall this as having taken place between February and May of 2004. This call and subsequent written correspondence have been detailed in my earlier witness statement JB1.
7. I confirm that no source of information was available to me at the time of the acquisition of The Patent by Tonewear Limited from which I could have discovered Mr Hall's or the Claimant's alleged interest in The Patent.

#### Notice Summary

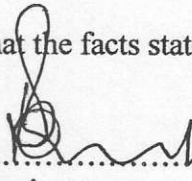
8. Therefore, at the time of the 2003 assignment (C4), the assignee had no actual or constructive knowledge of the Claimant's or Mr Hall's claims and I believe the assignee took the Patent free from any obligations to pay the Claimant or Mr Hall a royalty or any other payment.

#### Other issues

9. I am aware that Mr Hall and the Claimant continue to make a number of unsavoury allegations and comments against The Defendant's and my own conduct in this matter. Those allegations have no foundation. Contrary to the Claimant's and Mr Hall's assertions, the delay in registering the assignment was not in any way deliberate. Furthermore, there was no attempt to falsify the register as a valid assignment to an extant, non-dissolved company was recorded at the Patent Office.
10. The Claimant and Mr Hall failed to properly secure their interests in 1991 or subsequently. The Patent has been assigned properly to the Defendant, with no notice of any claim that Mr Hall or the Claimant may have thereto or thereunder. This action against The Defendant is an attempt to circumvent the legitimate and legally effective loss of rights caused by the Mr Hall's and Claimant's failure to record their alleged interest in the Register, to notify the Defendant of the alleged rights prior to purchase of the Patent, to ensure privity of contract between the Claimant and the

defendant, and Mr Hall's deliberate sale of any extant rights to SSL as consideration for the receipt of shares in SSL. I do not believe Mr Hall or the Claimant have any rights as against the Defendant nor under the Patent itself.

I believe that the facts stated in this witness statement are true.

Signature:  .....

Jeremy Brassington

Date: ..... 16-05-07 .....



128. A large amount of Mr Hall's witness statement is based upon document inadmissible in evidence. As noted above, all of AH/#1/27, 28, 29A, 31, 38, 40, 97 and AH/#2/101, 102, 103, 104, 105, 106, 107, 108 are inadmissible in evidence. Therefore, all of the arguments, assertions and allegations based upon these documents and as set forth in at least paragraphs 37, 39, 41, 46, 56, 57a, 58, 59, 59a, 59b, 59c, 59fii, 59fiic, 85 and 89 must fail as not being based upon admissible evidence.
129. Again, Mr Hall's witness statement includes allegations of criminal activity by persons not a party to these proceedings. Such criminal activity, if proven, would have no bearing on the dispute as between the parties to these proceedings, nor to the determination of the questions asked by the Claimant. It is therefore requested that any such allegations be at least ignored by the Comptroller, and preferably struck out as representing potentially libellous allegations about third parties.
130. Mr Hall's witness statement is populated by much speculation and innuendo between occasional punctuation of facts. Also, much of the fact is distorted, misunderstood and misapplied by Mr Hall. Much of this is addressed and explained in the above discussion of the particular questions which Mr Hall has raised in his various witness statements. Particular discussion of certain section of this latest undated witness statement is now presented.
131. Paragraph 15, the Claimant purports that the alleged royalty rights created under the 1991 assignments should last the lifetime of the Patent or the product, whichever is longer. This is not apparent from the assignments themselves, and is a condition that no reasonable person would enter into voluntarily. Thus this claim is clearly without merit, and such royalty right which may exist or have existed clearly cannot outlive the Patent.
132. Paragraphs 16 to 19 omit the information given by Mr Hall to Mr Karl Langton described in exhibit KL2 to Mr Langton's witness statement KL1. Clearly Mr Hall knew and understood that the share deal would extinguish any rights which he may at that time have had under the patent. It is further noted again here that the consultancy agreement between SSL and Mr Hall (AH/NLM26 & AH/#1/95) did not mention royalty in respect of intellectual property rights. Rather this was a consultancy agreement under which Mr Hall received a royalty to reflect his contractual efforts in assisting in the production of products.
133. Paragraph 21 attempts to imply that some of the intellectual property rights to the conversor product were not owned by SSL. However, it is believed that the shares prospectus (C6) would not have passed due diligence by the broker Gilbert Eliot & Co had this not been proven at the time. In this regard it is noted that the transfer of SSL shares to Mr Hall occurred at this time, extinguishing whatever rights he may have had prior to that time.
134. Paragraph 35 refers to royalties taken by the Defendant from Glentronics Ltd. These were legitimate royalties payable by Glentronics Ltd to the

defendant on account of the licensing of the intellectual property owned by the Defendant to Glentronics for production of conversor products. Glentronics traded all of the income received for sales of conversor products and thus accrued royalties for payment to the Defendant. As is shown by AH/#1/58, these royalties were in fact accrued but no cash payment in respect thereof was made to the Defendant.

135. Paragraph 41 sets great store by the (inadmissible) negotiations between the Defendant and Mr Brian Dickie. A brief background of the activities at this time is set out in the attached witness statement JB2 from Mr Jeremy Brassington, from which it will immediately be clear that no mention of Mr Hall or his alleged rights was made at any time prior to the acquisition.
136. Paragraphs 46-49 set out basis for Mr Hall's assignment from SSL in October 2006 (AH/#1/93). As has been discussed above, the Claimant (and presumably Mr Hall) has unfortunately misunderstood the 2003 assignment (C4) and specifically clause 4.5 thereof. Thus SSL retained no rights in respect of the Patent as at 23 October 2006 and thus Mr Hall's assignment transfers no rights in or under the Patent to Mr Hall.
137. Paragraph 52 refers to AH/#1/99 which is an extract from an undated, unidentifiable agreement, between parties unknown, in respect of unidentified "intellectual property", and gives no indication as to whether the "Mr Hall" mentioned therein actually owns the "intellectual property" described, as the referenced clause 9 merely confirms that this "intellectual property" is owned by the unidentified "company" after the agreement and gives no indication as to the ownership of that "intellectual property" before the agreement. There is not even any evidence that the "Mr Hall" mentioned therein is the same Mr Hall as is representative of the Claimant. The arguments in Paragraph 52 must therefore fail for lack of basis in evidence.
138. Paragraphs 57-63 refer to the pre-contractual negotiations between the Defendant and the receivers for SSL. These negotiations are inadmissible in evidence and thus these arguments must fail. The arguments in there paragraphs are also based on the misunderstanding of the 2003 assignment (C4) already discussed above.
139. Paragraphs 73-89 mostly represent a personal attack on the character and moral fibre of Mr Jeremy Brassington. These arguments attempt to cast Mr Brassington as a person unworthy of the Patent as he is an "asset stripper" and various other unsavoury things. Such submissions are clearly irrelevant as an attack on the personal character of an individual cannot alter the facts established by the documentary evidence.
140. Paragraphs 90 and 91 are simply incorrect, as discussed above.



tel 01772 532763  
 fax 01772 533843  
 e-mail dawn.robinson@ts.lancscc.gov.uk

Mr Andrew Hall  
 Northern Light Music Ltd  
 Noyna Lodge  
 Manor Road  
 Colne  
 BB8 7AS

Your Ref  
 Our Ref 53023  
 Date 19 July 2006

Dear Mr Hall

#### Conversor Products Ltd/ Jeremy Guy Brassington

I am writing further to your request on 17 July for additional information on the Trading Standards investigation into Conversor Products Ltd and Mr Jeremy Guy Brassington, instigated by your complaint to this service in June 2006.

I can confirm that attempts were made to interview Mr Brassington, initially in person, over possible criminal offences under Section 107 of the Copyright, Designs and Patents Act 1989, Section 1 of the Trade Descriptions Act 1987, and Section 95 of the Trade Marks Act 1994. All these matters were ones which had been brought to our attention in your witness statement, and appeared to be corroborated from other sources.

Unfortunately, due to Mr Brassington's commitments, an interview in person was not possible, and hence we interviewed him by letter and under caution on 3 November 2006 on matters relating to the above three offence sections. We received a partial reply from Mr Brassington to our questions, requesting confidentiality on all matters discussed due to commercial sensitivity.

Under the provisions of the Data Protection Act we are unable to release the detail of Mr Brassington's answers unless requested to do so by a body with powers to investigate criminal offences. However, if such a body does contact us with details of such powers, I will of course release the interview response.

To ascertain whether such answers will be of any assistance to other enforcement authorities, I can state that Mr Brassington informed me of the responsibilities of Glentronics Ltd, Conversor Ltd and Conversor Products Ltd in relation to manufacturing and sales of the Conversor. His answer in relation to which of these is responsible for past sales and which is responsible for current sales appears to conflict with the details on the press packs sent out to potential customers in 2005, and with the information Mr Brassington gives in the witness statement you have faxed to me.

PTO

He declined however to provide details of how and from whom any of the companies he was involved with obtained any rights to the products in question.

B  
From our investigation and the interview responses, it does seem as if offences have been committed by Mr Brassington and/or the various companies he seems to be connected with, relating to both the descriptions in marketing and advertising literature of "unique patented technology", and to the R logos next to the Listenor and Director products, when in actual fact only the Conversor is trade marked. As discussed, these offences are under Section 95 of the Trade Marks Act 1994, namely to falsely represent that a mark is a registered trade mark.

Since Mr Brassington confirmed that those descriptions in the Conversor Products Ltd advertising, that I had informed him constituted offences under the Trade Marks Act 1994, had already been removed after he received notification from the Patents Office, and any offences were therefore historical, it was decided by the Trading Standards Manager who processes the offence reports that prosecuting on this matter would not be in the public interest, since the offending statements had already been changed by the time of my interview.

Many thanks for all the information you provided in this matter. If any authority does wish for more information on the above, please give them my contact details.

Yours sincerely



DAWN ROBINSON  
Senior Trading Standards Officer



tel

01772 532763

fax

01772 533843

e-mail

[dawn.robinson@ts.lancscc.gov.uk](mailto:dawn.robinson@ts.lancscc.gov.uk)

Mr Andrew Hall  
Northern Light Music Ltd  
Noyna Lodge  
Manor Road  
Colne  
BB8 7AS

Your Ref

Our Ref

53023

Date

19 September 2006

Dear Mr Hall

**Conversor Products Ltd/ Jeremy Guy Brassington**

I am writing further to your report on 18 September informing this service that Conversor Products Ltd and/or Mr Jeremy Guy Brassington have continued to issue press releases breaching Section 95 of the Trade Marks Act 1994.

If it does turn out to be the case that there has been a continued distribution of the publicity material containing R logos next to the Listenor and Director products, I will be contacting those responsible with a view to further action as soon as you provide me with a further incidence of the provision of this material in Lancashire.

The incident we have discussed occurred in the London Borough of Bromley and is therefore within the jurisdiction of that authority, since each authority deals with offences within its own geographical area. Hence I advise you to refer the matter to Bromley Trading Standards Service for any action against the trader they wish to pursue. If there are any problems referring the matter please let me know and I will speak to my colleagues on your behalf.

Please feel free to contact me if you have any further information to provide on this matter.

Yours sincerely



DAWN ROBINSON  
Senior Trading Standards Officer



INVESTOR IN PEOPLE

Mr Andrew Hall  
Northern Light Music Limited  
Noya Lodge  
Manor Road  
Colne  
Lancashire  
BB8 7AS

**The Patent Office**

Concept House  
Cardiff Road  
Newport  
South Wales NP10 8QQ  
<http://www.patent.gov.uk>

Switchboard:  
01633-814000

Direct line 01633-814462  
Facsimile 01633-814922  
E-mail [Elisabeth.thibault@patent.gov.uk](mailto:Elisabeth.thibault@patent.gov.uk)  
Date 27 September 2005

Dear Mr Hall

**OFFENCES UNDER SECTION 95 OF THE TRADE MARKS ACT 1994 –  
CONVERSOR PRODUCTS LTD**

I refer to your letter dated 10 June 2005, which detailed allegations that Conversor Products Ltd had falsely represented in press releases issued at its product launch in March and subsequently on its website, that the product names 'the Listener' and 'the Director' were registered trademarks.

Further to our investigation, Conversor Products Ltd has confirmed that the claims are incorrect and has agreed to remove the offending material from its website and all printed advertising material.

The matter has now been resolved to the satisfaction of the Patent Office and we do not intend to take any further action.

Yours sincerely,

Elisabeth L. Thibault-Thomson  
**Intellectual Property and Innovation Directorate**





INVESTOR IN PEOPLE

Mr Andrew Hall  
Northern Light Music Limited  
Noyna Lodge  
Manor Road  
Colne  
Lancs.  
BB8 7AS

**The Patent Office**

Concept House  
Cardiff Road  
Newport  
South Wales NP10 8QQ  
<http://www.patent.gov.uk>

Switchboard:  
01633-814000

Tel: 01633 813722  
Fax: 01633 814922  
Email: [julyan.elbro@patent.gov.uk](mailto:julyan.elbro@patent.gov.uk)

Date: 07 November 2005

Dear Mr Hall

**Unauthorised claims: Section 110 Patents Act 1977 and Section 95 Trade Marks Act 1994**

Thank you for your recent emails and phone calls on this subject. I can confirm that following an enquiry from the Patent Office, Mr Brassington of Conversor Products Limited agreed to correct his press release and website regarding both the patent and trademark status of the "Listenor" and "Director".

If you can provide us with evidence that he is still distributing the uncorrected versions we will be happy to consider it.

Yours sincerely,

Julyan Elbro  
**Intellectual Property and Innovation Directorate**



INVESTOR IN PEOPLE

Mr Andrew Hall  
Northern Light Music Limited  
Noyna Lodge  
Manor Road  
Colne  
Lancs.  
BB8 7AS

**The Patent Office**

Concept House  
Cardiff Road  
Newport  
South Wales NP10 8QQ  
<http://www.patent.gov.uk>

Switchboard:  
01633-814000

Tel: 01633 814462  
Fax: 01633 814922  
Email: [Elisabeth.thibault@patent.gov.uk](mailto:Elisabeth.thibault@patent.gov.uk)

Date: 12 July 2005

Dear Mr Hall

**Unauthorised claims of patent rights, Section 110 of the Patents Act 1977**

After careful consideration of your letter of 10 June and its enclosures it appears that no action can be taken under sections 109 to 113 of the Patents Act 1977.

We regret than we are not able to assist you on this occasion.

Yours sincerely,

Elisabeth L. Thibault  
**Intellectual Property Policy Directorate**



andrew.hall2@btconnect.com

---

**From:** "Elizabeth Cook" <ecook@companieshouse.gov.uk>  
**To:** <andrew.hall2@btconnect.com>  
**Sent:** 03 May 2007 10:24  
**Subject:** CONVERSOR PRODUCTS LTD

Andrew Hall  
Andrew.hall2@btconnect.com

Crown Way Cardiff CF14 3UZ  
Telephone 029 2038 0076  
Fax 029 2038 0215  
DX 33050 Cardiff  
www.companieshouse.gov.uk

Your Ref  
Our Ref COMP/4884436/BJ  
Date 02 May 2007

Dear Mr Hall

**CONVERSOR PRODUCTS LIMITED**

I refer to your email dated 30/04/07 concerning the absence of statutory documents from the above companies' public records.

We are currently pursuing the company directors in order to obtain the outstanding documents. If at our review date the company remains to be in default Prosecution action will continue.

If you require any further information please do not hesitate to contact me on the above telephone number.

Yours sincerely

B Jones (Mr)  
Compliance Case Officer

This message and any attachments are intended for the persons named as addressees only and may contain confidential information. In addition they may be protected by copyright.

If you receive it in error, notify us, delete it and do not make use of or copy it. You must not copy, disseminate or otherwise distribute or publish this message, except for the purposes for which this message is intended, without our consent.

Please note that this e-mail has been created in the knowledge that Internet e-mail is not a 100% secure communications medium. We advise that you understand and accept this lack of security

09/08/2007

549

# CONVERSOR PRODUCTS LIMITED

## BALANCE SHEET AS AT 31 DECEMBER 2005

	Notes	£	2005 £	£	2004 £
<b>Fixed assets</b>					
Intangible assets	5		185,161		191,161
Tangible assets	6		27,000		20,000
			<u>212,161</u>		<u>211,161</u>
<b>Current assets</b>					
Debtors	7	50,000		-	
Cash at bank and in hand		16		16	
			<u>50,016</u>	<u>16</u>	
<b>Creditors amounts falling due within one year</b>	8	(276,934)		(190,224)	
<b>Net current liabilities</b>			<u>(226,918)</u>		<u>(190,208)</u>
<b>Total assets less current liabilities</b>			<u>(14,757)</u>		<u>20,953</u>
<b>Capital and reserves</b>					
Called up share capital	9		1		1
Profit and loss account	10		(14,758)		20,952
<b>Shareholders' funds</b>			<u>(14,757)</u>		<u>20,953</u>

In preparing these financial statements

- The director is of the opinion that the company is entitled to the exemption from audit conferred by Section 249A(1) of the Companies Act 1985,
- No notice has been deposited under Section 249B(2) of the Companies Act 1985, and
- The director acknowledges his responsibilities for
  - ensuring that the company keeps accounting records which comply with Section 221 of the Companies Act 1985, and
  - preparing accounts which give a true and fair view of the state of affairs of the company as at the end of the financial year and of its profit or loss for the financial year in accordance with the requirements of Section 226, and which otherwise comply with the requirements of this Act relating to accounts, so far as applicable to the company

These financial statements have been prepared in accordance with the special provisions of Part VII of the Companies Act 1985 relating to small companies and with the Financial Reporting Standard for Smaller Entities (effective January 2005)

Approved by the Board for issue on

24th January 2007

  
J.G. Brassington  
Director



**Companies House**

— for the record —

Mr Andrew Hall  
Northern Light Music Limited  
Noyna Lodge  
Manor Road  
Colne  
Lancashire  
BB8 7AS

Companies Administration  
Crown Way Cardiff CF14 3UZ  
Telephone 02920 381368  
Fax 029 2038 0652  
DX 33050 Cardiff  
[www.companieshouse.gov.uk](http://www.companieshouse.gov.uk)

Your Ref  
Our Ref CAD/25643/SDN  
Date 21 August 2006

Dear Mr. Hall

**Conversor Limited (Previously Websound Limited) - Company Number 4872186**  
**Accounts made up to 31 December 2004**

I refer to our telephone conversation this morning regarding the above company.

As explained earlier, It is the view of our internal departmental accountant that the evidence you supplied regarding the purchase of the "inspection mould tooling" is sufficiently significant for us to bring this to the attention of the company.

As a result, I have today written to the company regarding this issue, and will update you as and when required.

Yours faithfully

Simon Nicholas





Mr Andrew Hall  
Northern Light Music Limited  
Noyna Lodge  
Manor Road  
Colne  
Lancashire  
BB8 7AS

Companies Administration  
Crown Way Cardiff CF14 3UZ  
Telephone 02920 381368  
Fax 02920 380652  
DX 33050 Cardiff  
[www.companieshouse.gov.uk](http://www.companieshouse.gov.uk)

Your Ref  
Our Ref CAD25643  
Date 20 September 2006

Dear Sir

**Conversor Limited - Company Number 4872186**  
**Conversor Products Limited - Company Number 4884436**  
**Glentronics Limited - Company Number 4424349**

I refer to your e-mail communication, and our subsequent telephone conversation.  
I am able to update you as follows:-

On 19 August 2005, Companies House contacted Conversor Limited, enquiring why dormant non trading accounts had been filed, when there were indications (in the Glentronics Limited accounts) that trading had taken place.

The company replied on 6 September stating that there was an error on the Glentronics accounts, and that the entry relating to Conversor Limited, should have read Conversor Products Limited.

It was the view of our departmental accountant, that as a result of this, we would need revised accounts for Glentronics Limited. This request was made on 23 September, over a month before Glentronics went into Administration. Companies House have never received a reply to this letter, or the revised accounts requested, so as far as we are concerned, the matter remains unresolved.

Following further documentary evidence, our accountant again suggested we write to Conversor Limited, which we did on 21 August 2006. In this instance, we brought up the issue of Conversor purchasing inspection mould tooling, again during the period where dormant non trading accounts were submitted to Companies House.

A response has been received, which I have referred to our legal advisors to comment on, as I am not in a position to respond until I receive their advice on how to proceed.

Yours faithfully

Simon Nicholas





**Companies House**

— for the record —

Mr Andrew Hall  
Northern Light Music Limited  
Noyna Lodge  
Manor Road  
Colne  
Lancashire  
BB8 7AS

Companies Administration  
Crown Way Cardiff CF14 3UZ  
Telephone 029 2038 0381  
Fax 029 2038 0652  
DX 33050 Cardiff  
[www.companieshouse.gov.uk](http://www.companieshouse.gov.uk)

Your ref  
Our ref CAD 30584

Date 2<sup>nd</sup> July 2007

Dear Mr Hall

**CONVERSOR HOLDINGS LIMITED**

**Company No. 5532189**

I refer to our telephone conversation of today and enclose a copy of the accounts for Conversor Holdings Limited for the period ended 31st December 2006.

I confirm that we will write to the company for an explanation of why the balance sheet indicates that transactions may have taken place, in the matter of assets, when the company is claiming dormant status.

For information, dormancy does not depend upon whether a company is trading or not but on whether there are any financial transactions that should be recorded in the company accounts. The Companies Act S 249AA (4) defines dormancy as :-

"A company is "dormant" during any period in which it has no significant accounting transactions."

Mr Nicholas will write to you in due course in respect of this issue and those raised previously.

Yours sincerely

S M White (Mrs)

Enc. Copy of 2006 accounts. ✓



**From the Chief Executive Officer**

Mr J Brassington  
Conversor Limited  
The Lansbury Estate  
102 Lower Guildford Road  
Knaphill  
Woking  
Surrey  
GU21 2EP

The UK Intellectual Property Office  
Concept House  
Cardiff Road  
NEWPORT  
South Wales  
NP10 8QQ  
United Kingdom

Tel: 01633 814000  
Fax: 01633 814504

By e-mail

Direct line: +44 (0)1633 814500  
Email: [Ian.Fletcher@ipo.gov.uk](mailto:Ian.Fletcher@ipo.gov.uk)  
Our ref:  
Your ref:  
Date: 8<sup>th</sup> January 2008

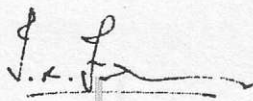
**Conversor Products Limited – Patent GB2267412, Trademark 1488225/UK,  
Design Rights 2027609 and 2022759**

Thank you for your letter of 21 December 2007.

I have to make it clear that I cannot make any comment which might prejudice, or appear to prejudice, the current or any future litigation or applications. I am aware that the disputes relating to the items of intellectual property have been protracted and have involved considerable repetition. We have done what we can to manage the issues which have arisen effectively and efficiently, and we will continue to do so. However, patents, trade marks and designs are covered by different Acts and Rules and it has not been possible to consolidate in a single action before the Office all the varied issues which have arisen at different times in this dispute. Many of the matters raised have fallen away and the only outstanding issues are your revocation action and Mr Hall's applications for changes to the patents and trade marks registers.

I am sorry not to be able to give a more positive response to your request to deal with all matters together.

Yours sincerely





December 21, 2007

If AH had wanted to bring these separate actions by SSL he, or the other director of SSL, should have brought them at the same time as AH brought the original case against CPL by NLM and in the one forum or court or Hearing Officer. If AH fails with his attempts with SSL's actions no doubt he will then pursue us under his own name again seeking different Hearing Officers to deal with the matter.

This is not justice, it is an abuse of process and we would formally ask you to consider the matter as a whole and make such recommendations as you see fit to consolidate this whole case into one forum or decline to deal on the basis of the complexity of the matter.

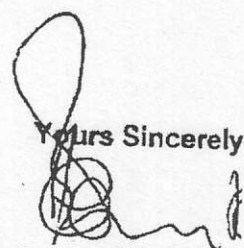
CPL has been tied up with this litigation for some four years now and has little or no resources left to fight the case. The business has suffered and could well lose the support of the shareholders if this matter is not resolved swiftly one way or the other. We will not however give up a position that we feel is right and equitable. If we had been advised, at any time, that AH had any right to the Intellectual Property whatsoever we would have sought to come to some agreement with him. We have not been so advised at any stage in the proceedings. We purchased the intellectual property under proper advice from a top firm of London solicitors, and took the advice of established Patent Agents who we trusted to register those acquired interests. Our advisers have confirmed that we purchased the IPR, that we are the equitable and registered proprietors of that IPR and that no other party has any right title or interest in that IPR.

As a result of this continued action by AH, we advised CPL to file an application to revoke the Patent GB2267412. The European Patent, which was identical in construct to the UK Patent, following opposition by two hearing aid manufacturers was revoked in July 2005 on the grounds of lack of invention resulting from the production by the opposition of prior art which invalidated the Patent claims of inventive step. The same prior art is being used as argument that the Patent GB2267412 itself lacks inventive step. Form 2177 and supporting evidence including the EPO Decision was filed last week.

Our counter-statement on Trademark 1488225 will be filed on Tuesday 27<sup>th</sup> December.

I hope that you can take a holistic view of this matter and hope that one day we will be able to get back to running the business instead of fighting unnecessary actions by an inventor who sold his Patent some years ago to a third party, SSL, lost his equity as a result of that company's receivership and who now thinks that by becoming a director of SSL he can somehow reacquire his lost IPR by fair means or foul.

Yours Sincerely

  
J,prerny Brassington

Managing Director

6 December 2007

Our Ref: EW/N1751/U

**TO ALL CREDITORS**

Dear Sirs

**Conversor Products Limited – Under Company Voluntary Arrangement**

The meeting of creditors of the above was held at The Potters International Hotel, 1 Fleet Road, Aldershot, Hants, GU11 2ET on 5 December 2007 at 2.30 pm.

The proposal for a Company Voluntary Arrangement as modified was considered and accepted by the creditors present. The proposal as modified was also accepted at a meeting of the members held later that day.

I enclose a copy of my report of the meeting for your information. I also enclose herewith a proof of debt form to enable you to lodge your claim.

Yours faithfully



E Walls  
Supervisor of Conversor Products Limited

Enc.

C12 Marquis Court  
Marquisway  
Team Valley  
Gateshead  
NE11 0RU

Tel: 0191 482 3343  
Fax: 0191 491 3062

e-mail: [all@marlorwalls.co.uk](mailto:all@marlorwalls.co.uk)



and interest still owned by SSL in the Conversor to Andrew Hall, who then sought to register this at the UKIPO. Andrew Hall subsequently became a director of SSL and has sought to use whatever information and files he has now recovered from the Liquidator against the company. Two weeks before the proposed Decline to Deal hearing NLM and SSL launched an action in the High Court against the company, Elite and the UKIPO claiming Elite had not paid stamp duty on the acquisition of an intercompany debt owed from Leaf Technologies to SSL. As a consequence he argued that the sale and purchase agreement evidencing the purchase of, inter alia, the Patents and Intellectual property from SSL was not valid in any court in the land and as such should be withdrawn from the UKIPO proceedings which would then be able to decide in his favour.

4.7 Justice David Richards dismissed the case and awarded costs against the first claimant, NLM. The Judge ordered that £6,000 should be paid within 28 days and the balance agreed between the parties or subject to a separate assessment hearing. NLM declined to accept the company's offer of £18,800, being 70% of the total costs incurred and a level normally adjudged in such matters and subsequently did not pay the £6,000 by 6<sup>th</sup> September as ordered by the Court. The company and Elite issued a winding up petition on 24th September 2007. The costs of the case exceeded £26,000 which will have to be borne by the company in the event NLM does not pay.

4.8 The company has been consistently advised by its solicitors, patent agents and Patent Counsel that none of Andrew Hall, NLM or SSL has a valid claim against the company.

4.9 The share structure of the company presently provides for 1 Ordinary £1 share. Please see statutory information at appendix 4 on page 25.

4.10 For Historical Financial information please see appendix 6 on page 33.

## 5 The present position is as follows

5.1 The company has agreed royalty receipts of \$15,000 (approximately £7,500) per annum from US and European licenses for sales of product in the USA.

5.1.1 These royalty receipts will all be paid into the CVA for the benefit of the creditors. See section 6 for further details

5.2 The company also receives annual royalty payments from Conversor Limited which is a wholly owned subsidiary and carries out the UK trading and distribution of the Conversor product range.

5.2.1 This amounts to 1% of annual Conversor sales which the company estimates will total at least £4,500 per year. The company will receive these royalties quarterly in arrears. These monies will be retained by the company to cover overheads such as accounting and professional fees and dealing with continued registration of the patents. See section 6 for further details.

5.3 The company is now, however, insolvent on balance sheet and cashflow tests but the directors believe that with the removal of creditor pressure, it can return a good dividend to its creditors.

5.4 Although extensive actions have been taken and are ongoing in respect of the restructuring, the directors realise that the company is now insolvent and that an interim solution is required. The directors are therefore proposing a CVA to aid the recovery for the creditors.

## 6 Company Voluntary Arrangement Proposal Terms

6.1 The CVA proposal laid out below is intended to enable the board of directors to provide a mechanism which will allow the company to return to a more profitable business structure. This will then allow the payment of a sensibly structured and achievable dividend to its creditors.

6.2 The contribution structure to this CVA will be based upon the company making two payments into the CVA for the benefit of creditors.

6.2.1 It will pay in c£7,500 per annum from royalty receipts of \$15,000 pa. The actual amount will be determined by exchange rate fluctuations and agreed with the supervisor.

6.2.2 A payment of £400 per month will be made on account of the royalty receipts referred to above, with the balance paid before each year end and upon receipt of the royalty payments net of any taxation which is due and payable. The company has losses brought forward for the year ended 2006 to cover the first year's royalty receipts.

6.2.3 Conversor Ltd will pay a royalty of 1% of its turnover to the company, however, as stated at section 5.2.1 above, these monies will be retained by the company to cover ongoing overheads.

6.2.4 The summary of the regular minimum annual contributions is as follows:

**Schedule of Regular Voluntary Contributions  
Dependent upon Exchange Rate Fluctuations**

<i>Period</i>	<i>Annual Contribution</i>
Year 1 Royalty Payment	£7,500
Year 2 Royalty Payment	£7,500
Year 3 Royalty Payment	£7,500
Year 4 Royalty Payment	£7,500
Year 5 Royalty Payment	£7,500

6.2.5 The voluntary contributions are further detailed in the comparison of outcome at appendix 2 on page 21 and in appendix 3 on page 23 (supporting schedules).

6.2.6 Over the agreed period the total contribution (as detailed in appendix 2 on page 21) is £37,500.

6.2.7 The regular contribution will be paid monthly by standing order. If any contributions fall greater than 60 days in arrears, this will be taken as a default of the arrangement. The first contribution is to be paid within 14 days of the date of the creditors' meeting by cheque. Thereafter, the contributions will be paid by Standing Order.

6.2.8 It is important to emphasise that the contributions must achieve a balance between being at the highest level (so as to maximise the returns to creditors) while ensuring that they are achievable. If the contributions are too high, this may cause a recurrence of the current financial failure, which will not maximise any parties' interests.

6.2.8.1 Therefore, it is stressed that in the opinion of the directors the voluntary contributions are set at the highest achievable level on a carefully forecasted basis.

6.3 The CVA period:

6.3.1 The duration of the CVA will be five years unless completed earlier through additional contributions or further restructuring.



#### 6.4 Financial Reporting

- 6.4.1 Until completion of the arrangement or such time as the company ceases to carry on the business, whichever is the earlier, the directors shall:
- 6.4.1.1 Submit quarterly management accounts to the supervisor within 45 days after each period end;
  - 6.4.1.2 Submit audited accounts (if the company's turnover breaches the limit where audited accounts are required by law) or annual accounts produced by external accountants, to the supervisor immediately after the completion of the audit;
  - 6.4.1.3 Consult the supervisor as often as the supervisor may require on the conduct and management of his business and keep the supervisor informed on any material developments relating thereto.

#### 6.5 Secured Creditors

- 6.5.1 It is drawn to creditors' attention that in terms of section 4(3) of The Insolvency Act 1986 secured creditors' rights cannot be affected by the CVA, except with the concurrence of the creditor concerned. Therefore, the secured creditors (for the secured portion of their claim) are not bound by the approved CVA, but they must be fully considered as part of the restructuring.
- 6.5.2 Under case law the secured creditors may consider voting in the CVA for the unsecured portion of their debts.
- 6.5.3 The directors' proposals for dealing with the company's secured debt are dealt with below in section 10.3 on page 12.

#### 7 Changes to be implemented following approval

- 7.1 The systemic problems creating the current financial difficulties must not recur. The directors have been subsumed into a long running and, in their view, baseless legal action initiated by the inventor of the Conversor system.

- E"
- 7.1.1 Having bought the intellectual property in September 2003 the board is confident that the company owns the rights to the product based upon legal advice obtained at the time and subsequently.
  - 7.1.2 The company has been advised that Andrew Hall's claims to ownership are out of time. With regard to the 1991 assignments between NLM and Select, the company first had notice of them after the acquisition of the intellectual property to which they refer. The previous owner of the Patents and intellectual property, SSL, paid a consultancy fee and commission to Andrew Hall under an unsigned agreement, which made no mention of royalties.
  - 7.1.3 The company has been advised that there was no privity of contract between either NLM and/or Andrew Hall and the company.
  - 7.1.4 It is believed that any entitlement Andrew Hall or NLM may have had was exchanged for shares representing 8% of the issued share capital of SSL.
  - 7.1.5 Even if a royalty were payable, there are a number of uncertainties regarding the calculation of any such royalty. The wording of the 1991 assignment refers to a need to renegotiate should Andrew Hall be neither director, employee nor

"F"

shareholder of the assignee, and the question of the validity and strength of the UK Patent as a result of the European version of the Patent being revoked in 2005 would need to be considered. The question would then be raised as to who would be liable for the payment of such royalty, as Glentronics Limited (formerly Leaf Technologies Limited) received all the income for sales of Conversors from 2003 to October 2005. The quantum of any royalty which might be payable as no figures have ever been submitted by Andrew Hall nor NLM, other than payments in respect of an unsigned consultancy agreement with SSL which would have been terminated as a result of the receivership of that company.

"G"

7.2 The circumstances set out above have led to the directors spending a lot of time and money on fighting these claims. With modest people and financial resources this may lead to the ultimate failure of the company.

7.3 The company will continue to vigorously defend any legal actions initiated by Mr Hall, NLM or SSL or any other company or body connected with him, although these parties will be notified of the CVA and bound by it.

7.4 The directors, and their legal advisors, are confident that neither Mr Hall nor any of the companies have any valid claim against the company.

7.5 However, for the avoidance of doubt, should Mr Hall or any of the companies be successful in any actions against the company, any future claims or awards made to Mr Hall, or any of the companies, will be bound by the CVA.

7.6 Mr Hall, or any of those companies, would then be entitled to prove their debts to the satisfaction of the supervisor.

7.6.1 The supervisor will adjudicate any such claims only and admit any such claims as he sees fit.

7.7 Should any such claim amount to more than 25% of the total debt outstanding at the time of the approval by the creditors at a creditors meeting, the supervisor may call a further creditors' meeting to obtain their views as to the dilution of the proposed dividend.

7.8 The directors, have closely examined the fundamental problems that could cause the business to fail after the approval of the voluntary arrangement. The CVA structure is designed to assist the company recover after a very difficult period.

7.8.1 If the directors, require further solutions to support their aim to drive the business to profitability, then they shall seek out such support from our professional advisors.

7.8.2 The aim will be to ensure the business is viable in future and to maximise the interests of creditors by enabling the business to succeed.

7.8.3 The costs of these activities will be monitored by the board and shareholders to obtain value.

7.9 Finally, the directors believe that if they decide to strengthen the management and the board, this will lead to a greater return for the creditors.

## 8 Future dealings with creditors

8.1 Should the company receive a solicited or unsolicited offer for the company the directors shall discuss the offer.



# Stakeholder Report



## Stakeholder

JEREMY GUY BRASSINGTON

### Identification for JEREMY GUY BRASSINGTON

ICC Number:	1472133
Nationality:	BRITISH
Date of Birth:	30/09/1951
Latest Address:	SELACOURT, HEATHFIELD CLOSE, WOKING, SURREY, GU22 7JQ, UK
Previous Address:	HIGHTREES WOOD RIDING, PYRFORD WOODS, WOKING, SURREY, GU22 8RH
Live Directorships of Trading/Non-Trading Companies:	12
Directorships of Dissolved Companies:	8
Live Directorships of Companies with Insolvency Proceedings:	1
Resigned Directorships:	53
Disqualified Director:	No
Live Shareholdings of Trading/Non-Trading Companies:	3
Shareholdings of Dissolved Companies:	1
Live Shareholdings of Companies with Insolvency Proceedings:	0
Total nominal value of shares held in private companies (£):	345.10
Proprietorships of Unincorporated Businesses:	0

### Stakeholder Summary

The report includes details on the following potential matches to your target stakeholder:

There are 0 stakeholdings with a different name but the same address.

There are 3 stakeholdings with the same name but a different address.

In total there are 3 stakeholders with potential matches.

### Live Directorships of Trading/Non-Trading Companies

Company Name:	<a href="#">WORPLESDON GOLF CLUB ESTATES LIMITED</a>
Registered Number:	00136913
Status:	Small
Latest Accounts Date:	31/12/2005
Latest Turnover (£ '000):	—
Latest Pre-tax Profit (£ '000):	—
Latest Net Worth (£ '000):	149
Score:	90
Position:	APPOINTMENT OF COMPANY DIRECTOR
Appointment Date:	09/05/2004
Occupation/Function:	FINANCIER
Company Name:	<a href="#">X4I LIMITED</a>
Registered Number:	03900050

<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/03/2006
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	773
<b>Score:</b>	59
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	03/05/2000
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>IBERIAN PROPERTY INVESTMENTS LIMITED</u></a>
<b>Registered Number:</b>	04078657
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	25/03/2006
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	0
<b>Score:</b>	Score not available
<b>Position:</b>	APPOINTMENT OF COMPANY SECRETARY
<b>Appointment Date:</b>	11/01/2001
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>ELITESOUND LIMITED</u></a>
<b>Registered Number:</b>	04871856
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/12/2005
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	200
<b>Score:</b>	49
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	10/09/2003
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>CONVERSOR LIMITED</u></a>
<b>Registered Number:</b>	04872186
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/12/2006
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	-217
<b>Score:</b>	55
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	10/09/2003
<b>Occupation/Function:</b>	FINANCIAL
<b>Company Name:</b>	<a href="#"><u>CONVERSOR LIMITED</u></a>
<b>Registered Number:</b>	04872186
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/12/2006
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	-217
<b>Score:</b>	55
<b>Position:</b>	APPOINTMENT OF COMPANY SECRETARY



<b>Appointment Date:</b>	31/08/2006
<b>Occupation/Function:</b>	COMPANY SECRETARY
<b>Company Name:</b>	<a href="#">CONVERSOR PRODUCTS LIMITED</a>
<b>Registered Number:</b>	04884436
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/12/2005
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	-200
<b>Score:</b>	24
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	10/09/2003
<b>Occupation/Function:</b>	FINANCIAL
<b>Company Name:</b>	<a href="#">CONVERSOR PRODUCTS LIMITED</a>
<b>Registered Number:</b>	04884436
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/12/2005
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	-200
<b>Score:</b>	24
<b>Position:</b>	APPOINTMENT OF COMPANY SECRETARY
<b>Appointment Date:</b>	31/08/2006
<b>Occupation/Function:</b>	COMPANY SECRETARY
<b>Company Name:</b>	<a href="#">CONVERSOR HOLDINGS LIMITED</a>
<b>Registered Number:</b>	05532189
<b>Status:</b>	Dormant
<b>Latest Accounts Date:</b>	31/12/2006
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score not available
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	23/08/2005
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#">CONVERSOR HOLDINGS LIMITED</a>
<b>Registered Number:</b>	05532189
<b>Status:</b>	Dormant
<b>Latest Accounts Date:</b>	31/12/2006
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score not available
<b>Position:</b>	APPOINTMENT OF COMPANY SECRETARY
<b>Appointment Date:</b>	31/08/2006
<b>Occupation/Function:</b>	COMPANY SECRETARY
<b>Company Name:</b>	<a href="#">COMPLETE ASSISTIVE TECHNOLOGIES LTD</a>
<b>Registered Number:</b>	06314192
<b>Status:</b>	Not Analysed
<b>Latest Accounts Date:</b>	—

Latest Turnover :	—
Latest Pre-tax Profit :	—
Latest Net Worth :	—
Score:	49
Position:	APPOINTMENT OF COMPANY DIRECTOR
Appointment Date:	17/07/2007
Occupation/Function:	DIRECTOR
Company Name:	<a href="#">COMPLETE ASSISTIVE TECHNOLOGIES LTD</a>
Registered Number:	06314192
Status:	Not Analysed
Latest Accounts Date:	—
Latest Turnover :	—
Latest Pre-tax Profit :	—
Latest Net Worth :	—
Score:	49
Position:	APPOINTMENT OF COMPANY SECRETARY
Appointment Date:	16/07/2007
Occupation/Function:	COMPANY SECRETARY

#### Directorships of Dissolved Companies

Company Name:	<a href="#">DEANES FURNITURE LIMITED</a>
Registered Number:	00434485
Status:	Dissolved
Latest Accounts Date:	30/09/1997
Latest Turnover (£ '000):	7,141
Latest Pre-tax Profit (£ '000):	-248
Latest Net Worth (£ '000):	563
Score:	Score suspended
Position:	APPOINTMENT OF COMPANY DIRECTOR
Appointment Date:	11/11/1994
Occupation/Function:	COMPANY DIRECTOR
Company Name:	<a href="#">SOFTVISION GROUP PLC</a>
Registered Number:	03133116
Status:	Dissolved
Latest Accounts Date:	31/12/1996
Latest Turnover (£ '000):	4,146
Latest Pre-tax Profit (£ '000):	-2,381
Latest Net Worth (£ '000):	-593
Score:	Score suspended
Position:	APPOINTMENT OF COMPANY DIRECTOR
Appointment Date:	30/12/1996
Occupation/Function:	FINANCIER
Company Name:	<a href="#">WORKPLACE PROTECTION LIMITED</a>
Registered Number:	03246268
Status:	Dissolved
Latest Accounts Date:	30/09/2000
Latest Turnover (£ '000):	3,276
Latest Pre-tax Profit (£ '000):	835
Latest Net Worth (£ '000):	30
Score:	Score suspended



<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	17/05/2000
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>CAPITAL PARTNERS INVESTMENTS LIMITED</u></a>
<b>Registered Number:</b>	03601322
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	—
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	27/07/1998
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>GRANDES SELECTIONS LTD.</u></a>
<b>Registered Number:</b>	03760516
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/2001
<b>Latest Turnover (£ '000):</b>	45
<b>Latest Pre-tax Profit (£ '000):</b>	1
<b>Latest Net Worth (£ '000):</b>	3
<b>Score:</b>	Score suspended
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	28/04/1999
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>NEWCO DELIVERY LIMITED</u></a>
<b>Registered Number:</b>	04084806
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	—
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	APPOINTMENT OF COMPANY DIRECTOR
<b>Appointment Date:</b>	24/11/2000
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>NEWCO DELIVERY LIMITED</u></a>
<b>Registered Number:</b>	04084806
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	—
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	APPOINTMENT OF COMPANY SECRETARY
<b>Appointment Date:</b>	24/11/2000
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>RADIOCOMS SERVICES LIMITED</u></a>
<b>Registered Number:</b>	04592116
<b>Status:</b>	Dissolved

Latest Accounts Date:	—
Latest Turnover :	—
Latest Pre-tax Profit :	—
Latest Net Worth :	—
Score:	Score suspended
Position:	APPOINTMENT OF COMPANY DIRECTOR
Appointment Date:	21/11/2002
Occupation/Function:	FINANCIER

### Live Directorships of Companies with Insolvency Proceedings

Company Name:	<a href="#">GLENTRONICS LIMITED</a>
Registered Number:	04424349
Status:	In Administration
Latest Accounts Date:	31/12/2004
Latest Turnover (£ '000):	—
Latest Pre-tax Profit (£ '000):	70
Latest Net Worth (£ '000):	232
Score:	Score suspended
Position:	APPOINTMENT OF COMPANY DIRECTOR
Appointment Date:	15/09/2003
Occupation/Function:	FINANCIER

### Resigned Directorships

Company Name:	<a href="#">SYCAMORE AVENUE (NO. 4) LIMITED</a>
Registered Number:	00148062
Status:	Dissolved
Latest Accounts Date:	30/09/1996
Latest Turnover :	—
Latest Pre-tax Profit :	—
Latest Net Worth :	—
Score:	Score suspended
Position:	RESIGNATION OF COMPANY DIRECTOR
Appointment Date:	—
Occupation/Function:	COMPANY DIRECTOR

Company Name:	<a href="#">REWALT NO. 3 LIMITED</a>
Registered Number:	00234206
Status:	Dissolved
Latest Accounts Date:	31/08/2003
Latest Turnover (£ '000):	1,869
Latest Pre-tax Profit (£ '000):	-112
Latest Net Worth (£ '000):	384
Score:	Score suspended
Position:	RESIGNATION OF COMPANY DIRECTOR
Appointment Date:	—
Occupation/Function:	FINANCIER

Company Name:	<a href="#">SYCAMORE AVENUE (NO.1) LIMITED</a>
Registered Number:	00297625
Status:	Dissolved
Latest Accounts Date:	30/09/1995



<b>Latest Turnover (£ '000):</b>	979
<b>Latest Pre-tax Profit (£ '000):</b>	163
<b>Latest Net Worth (£ '000):</b>	-1,852
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>SYCAMORE MANAGEMENT SERVICES LTD.</u></a>
<b>Registered Number:</b>	00318108
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1995
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	-1,641
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>EUROLAB LIMITED</u></a>
<b>Registered Number:</b>	00319732
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1995
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>REWALT LIMITED</u></a>
<b>Registered Number:</b>	00337016
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/08/2003
<b>Latest Turnover (£ '000):</b>	1,365
<b>Latest Pre-tax Profit (£ '000):</b>	-111
<b>Latest Net Worth (£ '000):</b>	69
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>WEB INTERNATIONAL LIMITED</u></a>
<b>Registered Number:</b>	00378166
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	12,213
<b>Latest Pre-tax Profit (£ '000):</b>	573
<b>Latest Net Worth (£ '000):</b>	1,378
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER

**Company Name:** [QUILIGOTTI INDUSTRIAL FLOORING LIMITED](#)  
**Registered Number:** 00406297  
**Status:** Non-Trading  
**Latest Accounts Date:** 31/03/2006  
**Latest Turnover (£ '000):** 3,033  
**Latest Pre-tax Profit (£ '000):** 311  
**Latest Net Worth (£ '000):** 411  
**Score:** Score not available  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** DIRECTOR

**Company Name:** [P.F. & F. \(RADCLIFFE\) LIMITED](#)  
**Registered Number:** 00498450  
**Status:** Dissolved  
**Latest Accounts Date:** 30/09/1996  
**Latest Turnover (£ '000):** 317  
**Latest Pre-tax Profit (£ '000):** 35  
**Latest Net Worth (£ '000):** 107  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** COMPANY DIRECTOR

**Company Name:** [HUNTERS LEISURE PLC](#)  
**Registered Number:** 00546699  
**Status:** Dissolved  
**Latest Accounts Date:** 30/04/2001  
**Latest Turnover (£ '000):** 580  
**Latest Pre-tax Profit (£ '000):** -1,208  
**Latest Net Worth (£ '000):** 2,340  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** COMPANY DIRECTOR

**Company Name:** [HUNTERS LEISURE PLC](#)  
**Registered Number:** 00546699  
**Status:** Dissolved  
**Latest Accounts Date:** 30/04/2001  
**Latest Turnover (£ '000):** 580  
**Latest Pre-tax Profit (£ '000):** -1,208  
**Latest Net Worth (£ '000):** 2,340  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY SECRETARY  
**Appointment Date:** –  
**Occupation/Function:** COMPANY DIRECTOR

**Company Name:** [HOME & CASTLE LIMITED](#)  
**Registered Number:** 00590352  
**Status:** Dissolved  
**Latest Accounts Date:** 30/09/1995  
**Latest Turnover :** –  
**Latest Pre-tax Profit :** –

<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>REWALT NO.4 LIMITED</u></a>
<b>Registered Number:</b>	00613211
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/08/2003
<b>Latest Turnover (£ '000):</b>	5,819
<b>Latest Pre-tax Profit (£ '000):</b>	0
<b>Latest Net Worth (£ '000):</b>	3,562
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>KYNNERSLEY (1) LIMITED</u></a>
<b>Registered Number:</b>	00699700
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	4,787
<b>Latest Pre-tax Profit (£ '000):</b>	145
<b>Latest Net Worth (£ '000):</b>	1,371
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>WESTWOOD HOLDINGS LIMITED</u></a>
<b>Registered Number:</b>	00713210
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	0
<b>Latest Pre-tax Profit (£ '000):</b>	0
<b>Latest Net Worth (£ '000):</b>	194
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>A.R.I.PROPAFLOR LIMITED</u></a>
<b>Registered Number:</b>	00846001
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/06/2000
<b>Latest Turnover (£ '000):</b>	1,398
<b>Latest Pre-tax Profit (£ '000):</b>	-607
<b>Latest Net Worth (£ '000):</b>	-145
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>SEAMLESS SURFACES LIMITED</u></a>



**Registered Number:** 00972510  
**Status:** Dissolved  
**Latest Accounts Date:** 31/12/2001  
**Latest Turnover (£ '000):** –  
**Latest Pre-tax Profit (£ '000):** –  
**Latest Net Worth (£ '000):** 155  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [MATCHGRADE LIMITED](#)  
**Registered Number:** 01068833  
**Status:** Dissolved  
**Latest Accounts Date:** 31/12/1998  
**Latest Turnover :** –  
**Latest Pre-tax Profit :** –  
**Latest Net Worth :** –  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [FLOOR FINISHES INTERNATIONAL LIMITED](#)  
**Registered Number:** 01205189  
**Status:** Dissolved  
**Latest Accounts Date:** 30/06/2003  
**Latest Turnover :** –  
**Latest Pre-tax Profit :** –  
**Latest Net Worth :** –  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [PROPASTRUT LIMITED](#)  
**Registered Number:** 01211819  
**Status:** Dissolved  
**Latest Accounts Date:** 30/06/2003  
**Latest Turnover :** –  
**Latest Pre-tax Profit :** –  
**Latest Net Worth :** –  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [SEMPOL SURFACES LIMITED](#)  
**Registered Number:** 01298342  
**Status:** Dissolved  
**Latest Accounts Date:** 31/12/2001  
**Latest Turnover (£ '000):** –  
**Latest Pre-tax Profit (£ '000):** –  
**Latest Net Worth (£ '000):** 49  
**Score:** Score suspended

<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>PROPAFLOR CONTRACTS LIMITED</u></a>
<b>Registered Number:</b>	01346425
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/06/2003
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	0
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>ASHWORTH LIVING LIMITED</u></a>
<b>Registered Number:</b>	01754276
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1995
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>SYCAMORE AVENUE NUMBER 9 LIMITED</u></a>
<b>Registered Number:</b>	01880304
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1996
<b>Latest Turnover (£ '000):</b>	3,157
<b>Latest Pre-tax Profit (£ '000):</b>	-428
<b>Latest Net Worth (£ '000):</b>	-1,299
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>NIELSEN BOOKDATA LIMITED</u></a>
<b>Registered Number:</b>	01988476
<b>Status:</b>	Non-Trading
<b>Latest Accounts Date:</b>	31/12/2006
<b>Latest Turnover (£ '000):</b>	3,810
<b>Latest Pre-tax Profit (£ '000):</b>	-33
<b>Latest Net Worth (£ '000):</b>	-817
<b>Score:</b>	Score not available
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	INVESTMENT BANKER
<b>Company Name:</b>	<a href="#"><u>CRISTOFOLI (UK) LIMITED</u></a>
<b>Registered Number:</b>	02050467
<b>Status:</b>	Non-Trading

<b>Latest Accounts Date:</b>	31/03/2006
<b>Latest Turnover (£ '000):</b>	896
<b>Latest Pre-tax Profit (£ '000):</b>	-136
<b>Latest Net Worth (£ '000):</b>	21
<b>Score:</b>	Score not available
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	DIRECTOR
<b>Company Name:</b>	<a href="#"><u>LIME HOLDINGS LIMITED</u></a>
<b>Registered Number:</b>	02271388
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1996
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	230
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>POOLE INVESTMENTS PLC</u></a>
<b>Registered Number:</b>	02282021
<b>Status:</b>	AIM
<b>Latest Accounts Date:</b>	31/05/2007
<b>Latest Turnover (£ '000):</b>	335
<b>Latest Pre-tax Profit (£ '000):</b>	-24
<b>Latest Net Worth (£ '000):</b>	3,408
<b>Score:</b>	81
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>NEWHEAD PROPERTIES LIMITED</u></a>
<b>Registered Number:</b>	02344666
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1996
<b>Latest Turnover (£ '000):</b>	289
<b>Latest Pre-tax Profit (£ '000):</b>	176
<b>Latest Net Worth (£ '000):</b>	1,400
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>F MITCHELLS PLASTICS LIMITED</u></a>
<b>Registered Number:</b>	02446623
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	30/09/1995
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—



<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>INTERCRAFT PRODUCTS LIMITED</u></a>
<b>Registered Number:</b>	02508833
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	4,272
<b>Latest Pre-tax Profit (£ '000):</b>	329
<b>Latest Net Worth (£ '000):</b>	3,416
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	DIRECTOR
<b>Company Name:</b>	<a href="#"><u>MILLBROOK FRAMES LIMITED</u></a>
<b>Registered Number:</b>	02514479
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	DIRECTOR
<b>Company Name:</b>	<a href="#"><u>CHELSEA ARTISANS (UK) LIMITED</u></a>
<b>Registered Number:</b>	02545015
<b>Status:</b>	Non-Trading
<b>Latest Accounts Date:</b>	31/03/2006
<b>Latest Turnover (£ '000):</b>	1,365
<b>Latest Pre-tax Profit (£ '000):</b>	-521
<b>Latest Net Worth (£ '000):</b>	-553
<b>Score:</b>	Score not available
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>QUILIGOTTI ACCESS FLOORING LIMITED</u></a>
<b>Registered Number:</b>	02698541
<b>Status:</b>	Large
<b>Latest Accounts Date:</b>	31/03/2007
<b>Latest Turnover (£ '000):</b>	6,519
<b>Latest Pre-tax Profit (£ '000):</b>	277
<b>Latest Net Worth (£ '000):</b>	1,187
<b>Score:</b>	51
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY DIRECTOR
<b>Company Name:</b>	<a href="#"><u>QUILIGOTTI ACCESS FLOORING LIMITED</u></a>
<b>Registered Number:</b>	02698541
<b>Status:</b>	Large
<b>Latest Accounts Date:</b>	31/03/2007
<b>Latest Turnover (£ '000):</b>	6,519

<b>Latest Pre-tax Profit (£ '000):</b>	277
<b>Latest Net Worth (£ '000):</b>	1,187
<b>Score:</b>	51
<b>Position:</b>	RESIGNATION OF COMPANY SECRETARY
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>SALADIN CAPITAL LIMITED</u></a>
<b>Registered Number:</b>	02861610
<b>Status:</b>	Non-Trading
<b>Latest Accounts Date:</b>	31/12/2005
<b>Latest Turnover (£ '000):</b>	181
<b>Latest Pre-tax Profit (£ '000):</b>	-4
<b>Latest Net Worth (£ '000):</b>	36
<b>Score:</b>	Score not available
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>PATERSON GROUP INTERNATIONAL LIMITED</u></a>
<b>Registered Number:</b>	03184641
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	3,644
<b>Latest Pre-tax Profit (£ '000):</b>	-445
<b>Latest Net Worth (£ '000):</b>	-235
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>IMPRESS GROUP HOLDINGS LIMITED</u></a>
<b>Registered Number:</b>	03264247
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	20,501
<b>Latest Pre-tax Profit (£ '000):</b>	-3,329
<b>Latest Net Worth (£ '000):</b>	-12,165
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>IMPRESS GROUP HOLDINGS LIMITED</u></a>
<b>Registered Number:</b>	03264247
<b>Status:</b>	Dissolved
<b>Latest Accounts Date:</b>	31/12/1999
<b>Latest Turnover (£ '000):</b>	20,501
<b>Latest Pre-tax Profit (£ '000):</b>	-3,329
<b>Latest Net Worth (£ '000):</b>	-12,165
<b>Score:</b>	Score suspended
<b>Position:</b>	RESIGNATION OF COMPANY SECRETARY
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER

**Company Name:** [IMPRESS GROUP LIMITED](#)  
**Registered Number:** 03333785  
**Status:** Insolvent  
**Latest Accounts Date:** 31/12/1999  
**Latest Turnover (£ '000):** 20,501  
**Latest Pre-tax Profit (£ '000):** -2,683  
**Latest Net Worth (£ '000):** -2,811  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [BB&EA HOLDINGS LIMITED](#)  
**Registered Number:** 03477666  
**Status:** In Liquidation  
**Latest Accounts Date:** 30/09/2000  
**Latest Turnover (£ '000):** 167  
**Latest Pre-tax Profit (£ '000):** -676  
**Latest Net Worth (£ '000):** 60  
**Score:** Score suspended  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [WADE ALLIED HOLDINGS LIMITED](#)  
**Registered Number:** 03732115  
**Status:** Large  
**Latest Accounts Date:** 31/12/2006  
**Latest Turnover (£ '000):** 11,351  
**Latest Pre-tax Profit (£ '000):** -7  
**Latest Net Worth (£ '000):** -1,721  
**Score:** 27  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [BULLDOG NOMINEES LIMITED](#)  
**Registered Number:** 03781640  
**Status:** Non-Trading  
**Latest Accounts Date:** 31/12/2005  
**Latest Turnover (£ '000):** –  
**Latest Pre-tax Profit (£ '000):** –  
**Latest Net Worth (£ '000):** 39  
**Score:** Score not available  
**Position:** RESIGNATION OF COMPANY DIRECTOR  
**Appointment Date:** –  
**Occupation/Function:** FINANCIER

**Company Name:** [L D TECHNOLOGY LIMITED](#)  
**Registered Number:** 03839736  
**Status:** Small  
**Latest Accounts Date:** 30/09/2005  
**Latest Turnover (£ '000):** 57  
**Latest Pre-tax Profit (£ '000):** 0  
**Latest Net Worth (£ '000):** 3,304



<b>Score:</b>	46
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#">L D TECHNOLOGY LIMITED</a>
<b>Registered Number:</b>	03839736
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	30/09/2005
<b>Latest Turnover (£ '000):</b>	57
<b>Latest Pre-tax Profit (£ '000):</b>	0
<b>Latest Net Worth (£ '000):</b>	3,304
<b>Score:</b>	46
<b>Position:</b>	RESIGNATION OF COMPANY SECRETARY
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#">POSETIV LIMITED</a>
<b>Registered Number:</b>	03915597
<b>Status:</b>	Medium
<b>Latest Accounts Date:</b>	31/12/2006
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	-629
<b>Latest Net Worth (£ '000):</b>	-2,196
<b>Score:</b>	42
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	DIRECTOR
<b>Company Name:</b>	<a href="#">LIQUID DISPLAY LIMITED</a>
<b>Registered Number:</b>	04099010
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	30/09/2005
<b>Latest Turnover (£ '000):</b>	9
<b>Latest Pre-tax Profit (£ '000):</b>	-163
<b>Latest Net Worth (£ '000):</b>	-3,573
<b>Score:</b>	4
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#">LIQUID DISPLAY LIMITED</a>
<b>Registered Number:</b>	04099010
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	30/09/2005
<b>Latest Turnover (£ '000):</b>	9
<b>Latest Pre-tax Profit (£ '000):</b>	-163
<b>Latest Net Worth (£ '000):</b>	-3,573
<b>Score:</b>	4
<b>Position:</b>	RESIGNATION OF COMPANY SECRETARY
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	COMPANY SECRETARY
<b>Company Name:</b>	<a href="#">INPUTPEARL LIMITED</a>
<b>Registered Number:</b>	04482849

<b>Status:</b>	Non-Trading
<b>Latest Accounts Date:</b>	31/07/2007
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score not available
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>INPUTPEARL LIMITED</u></a>
<b>Registered Number:</b>	04482849
<b>Status:</b>	Non-Trading
<b>Latest Accounts Date:</b>	31/07/2007
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	Score not available
<b>Position:</b>	RESIGNATION OF COMPANY SECRETARY
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>RADIOCOMS SYSTEMS LIMITED</u></a>
<b>Registered Number:</b>	04544886
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	30/09/2006
<b>Latest Turnover (£ '000):</b>	—
<b>Latest Pre-tax Profit (£ '000):</b>	—
<b>Latest Net Worth (£ '000):</b>	133
<b>Score:</b>	55
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>BULLDOG PARTNERS LIMITED</u></a>
<b>Registered Number:</b>	05316997
<b>Status:</b>	Small
<b>Latest Accounts Date:</b>	31/12/2005
<b>Latest Turnover (£ '000):</b>	136
<b>Latest Pre-tax Profit (£ '000):</b>	88
<b>Latest Net Worth (£ '000):</b>	19
<b>Score:</b>	20
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR
<b>Appointment Date:</b>	—
<b>Occupation/Function:</b>	FINANCIER
<b>Company Name:</b>	<a href="#"><u>RADIOCOMS HOLDINGS LIMITED</u></a>
<b>Registered Number:</b>	05846504
<b>Status:</b>	Not Analysed
<b>Latest Accounts Date:</b>	—
<b>Latest Turnover :</b>	—
<b>Latest Pre-tax Profit :</b>	—
<b>Latest Net Worth :</b>	—
<b>Score:</b>	49
<b>Position:</b>	RESIGNATION OF COMPANY DIRECTOR

Appointment Date: —  
 Occupation/Function: COMPANY DIRECTOR

### Live Shareholdings of Trading/Non-Trading Companies

Company Name: [WORPLESDON GOLF CLUB ESTATES LIMITED](#)  
 Registered Number: 00136913  
 Score: 90  
 Status: Small  
 Number of Exact CCJs: 0  
 Latest Accounts Date: 31/12/2005  
 Latest Turnover (£ '000): —  
 Latest Pre-tax Profit (£ '000): —  
 Latest Net Worth (£ '000): 149  
 Class of Share: ORDINARY  
 Number of Shares Held: 1  
 Par Value of Shares (£): 1.00  
 Total Value of Shares Held (£): 1.00  
 Total Issued Capital (£): 9.00

Company Name: [BULLDOG PARTNERS LIMITED](#)  
 Registered Number: 05316997  
 Score: 20  
 Status: Small  
 Number of Exact CCJs: 0  
 Latest Accounts Date: 31/12/2005  
 Latest Turnover (£ '000): 136  
 Latest Pre-tax Profit (£ '000): 88  
 Latest Net Worth (£ '000): 19  
 Class of Share: ORDINARY  
 Number of Shares Held: 1  
 Par Value of Shares (£): 1.00  
 Total Value of Shares Held (£): 1.00  
 Total Issued Capital (£): 2.00

Company Name: [X4I LIMITED](#)  
 Registered Number: 03900050  
 Score: 59  
 Status: Small  
 Number of Exact CCJs: 0  
 Latest Accounts Date: 31/03/2006  
 Latest Turnover (£ '000): —  
 Latest Pre-tax Profit (£ '000): —  
 Latest Net Worth (£ '000): 773  
 Class of Share: ORDINARY  
 Number of Shares Held: 3,431  
 Par Value of Shares (£): 0.10  
 Total Value of Shares Held (£): 343.10  
 Total Issued Capital (£): 5,528.20

### Shareholdings of Dissolved Companies

Company Name: [GRANDES SELECTIONS LTD.](#)



Registered Number:	03760516
Score:	Score suspended
Status:	Dissolved
Number of Exact CCJs:	0
Latest Accounts Date:	31/12/2001
Latest Turnover (£ '000):	45
Latest Pre-tax Profit (£ '000):	1
Latest Net Worth (£ '000):	3
Class of Share:	ORDINARY
Number of Shares Held:	1
Par Value of Shares (£):	1.00
Total Value of Shares Held (£):	1.00
Total Issued Capital (£):	4.00

#### Shareholdings of Insolvent Companies

None

#### STAKEHOLDINGS WITH A DIFFERENT NAME BUT THE SAME ADDRESS

None

#### STAKEHOLDINGS WITH THE SAME NAME BUT A DIFFERENT ADDRESS

#### Identification for Jeremy Guy Brassington

ICC Number:	8681133
Nationality:	—
Date of Birth:	—
Latest Address:	ALBEMARLE HOUSE, 1 ALBEMARLE STREET, LONDON, W1X 3HF, UK
Previous Address:	—
Live Directorships of Trading/Non-Trading Companies:	0
Directorships of Dissolved Companies:	0
Live Directorships of Companies with Insolvency Proceedings:	0
Resigned Directorships:	0
Disqualified Director:	No
Live Shareholdings of Trading/Non-Trading Companies:	0
Shareholdings of Dissolved Companies:	1
Live Shareholdings of Companies with Insolvency Proceedings:	0
Total nominal value of shares held in private companies :	0.00
Proprietorships of Unincorporated Businesses:	0

#### Live Shareholdings of Trading/Non-Trading Companies

None

#### Shareholdings of Dissolved Companies

<b>Company Name:</b>	<b>BHB MANAGEMENT LIMITED</b>
<b>Registered Number:</b>	01859231
<b>Score:</b>	Score suspended
<b>Status:</b>	Dissolved
<b>Number of Exact CCJs:</b>	0
<b>Latest Accounts Date:</b>	31/12/2003
<b>Latest Turnover (£ '000):</b>	0
<b>Latest Pre-tax Profit (£ '000):</b>	0
<b>Latest Net Worth (£ '000):</b>	6
<b>Class of Share:</b>	ORDINARY
<b>Number of Shares Held:</b>	2,250
<b>Par Value of Shares (£):</b>	0.10
<b>Total Value of Shares Held (£):</b>	225.00
<b>Total Issued Capital (£):</b>	4,500.00

#### Shareholdings of Insolvent Companies

None

#### Identification for Jeremy G. Brassington

<b>ICC Number:</b>	11143001
<b>Nationality:</b>	—
<b>Date of Birth:</b>	—
<b>Latest Address:</b>	C/O BULLDOG PARTNERS LIMITED, ALBERMARLE HOUSE, ALBERMARLE STREET, LONDON, W1X 3HF, UK
<b>Previous Address:</b>	—
<b>Live Directorships of Trading/Non-Trading Companies:</b>	0
<b>Directorships of Dissolved Companies:</b>	0
<b>Live Directorships of Companies with Insolvency Proceedings:</b>	0
<b>Resigned Directorships:</b>	0
<b>Disqualified Director:</b>	No
<b>Live Shareholdings of Trading/Non-Trading Companies:</b>	0
<b>Shareholdings of Dissolved Companies:</b>	1
<b>Live Shareholdings of Companies with Insolvency Proceedings:</b>	0
<b>Total nominal value of shares held in private companies :</b>	0.00
<b>Proprietorships of Unincorporated Businesses:</b>	0

#### Live Shareholdings of Trading/Non-Trading Companies

None

#### Shareholdings of Dissolved Companies

<b>Company Name:</b>	<b>MEDATES LIMITED</b>
<b>Registered Number:</b>	03961818
<b>Score:</b>	Score suspended
<b>Status:</b>	Dissolved

Number of Exact CCJs:	0
Latest Accounts Date:	31/08/2001
Latest Turnover (£ '000):	—
Latest Pre-tax Profit (£ '000):	—
Latest Net Worth (£ '000):	-1,030
Class of Share:	ORDINARY 1
Number of Shares Held:	5,000
Par Value of Shares (N/A):	0.10
Total Value of Shares Held (N/A):	500.00
Total Issued Capital (N/A):	—

#### Shareholdings of Insolvent Companies

None

#### Identification for Jeremy G. Brassington

ICC Number:	17197562
Nationality:	—
Date of Birth:	—
Latest Address:	SELACOURT, HEATHFIELD ROAD, WOKING, SURREY, GU22 7JG, UK
Previous Address:	—
Live Directorships of Trading/Non-Trading Companies:	0
Directorships of Dissolved Companies:	0
Live Directorships of Companies with Insolvency Proceedings:	0
Resigned Directorships:	0
Disqualified Director:	No
Live Shareholdings of Trading/Non-Trading Companies:	1
Shareholdings of Dissolved Companies:	0
Live Shareholdings of Companies with Insolvency Proceedings:	0
Total nominal value of shares held in private companies (£):	15,818.80
Proprietorships of Unincorporated Businesses:	0

#### Live Shareholdings of Trading/Non-Trading Companies

Company Name:	<a href="#">POWERSTAX PUBLIC LIMITED COMPANY</a>
Registered Number:	02688692
Score:	41
Status:	Large
Number of Exact CCJs:	0
Latest Accounts Date:	31/12/2006
Latest Turnover (£ '000):	2,000
Latest Pre-tax Profit (£ '000):	-351
Latest Net Worth (£ '000):	511
Class of Share:	ORDINARY
Number of Shares Held:	158,188
Par Value of Shares (£):	0.10
Total Value of Shares Held (£):	15,818.80



Total Issued Capital (£): 773,332.90

**Shareholdings of Dissolved Companies**

None

**Shareholdings of Insolvent Companies**

None

Report Generated: 17/10/2007  
© ICC Information Ltd

<b>Invoice date 17/10/2007 15:50:38</b>	<b>Invoice Number 58201</b>				
<div style="display: flex; justify-content: space-between; align-items: center;"><div style="font-size: 2em; font-weight: bold;">Invoice</div><div style="border: 1px solid black; padding: 2px; text-align: center; width: 50px;">x</div></div>					
<b>360 Strategies Ltd T/A Snoop4</b> , 399 Pontefract Road, Purston, Pontefract, West Yorkshire WF7 5AE <b>VAT No.</b> 780 0761 34 <b>Company Reg.</b> 4307200 <b>Email</b> 360strategies: <a href="#">Click Here</a>					
<div style="text-align: center; font-weight: bold; margin-bottom: 10px;">CUSTOMER DETAILS</div> <div style="display: flex; flex-direction: column; gap: 5px;"><div>First Name</div><div>Last Name</div><div>Company Name</div><div>Address</div><div>Postcode</div><div>Email Address</div></div>					
<div style="text-align: center; font-weight: bold; margin-bottom: 10px;">PAYMENT DETAILS</div> <div style="display: flex; flex-direction: column; gap: 5px;"><div>Card Number <b>XXXX XXXX XXXX 175</b>    Expiry Date <b>1008</b>    Valid From <b>N/AN/A</b></div><div>Card Type <b>Mastercard</b></div></div>					
<table border="1" style="width: 100%; border-collapse: collapse;"><thead><tr><th style="width: 60%; padding: 5px;">Report Type/Description</th><th style="width: 40%; padding: 5px;">Cost (including VAT)</th></tr></thead><tbody><tr><td style="padding: 5px;"><b>Stakeholder Report JEREMY GUY BRASSINGTON</b></td><td style="padding: 5px; text-align: center;"><b>£13.50</b></td></tr></tbody></table> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"><b>IMPORTANT NOTE for your Credit/Debit Card:</b> This transaction will appear on your statement as <a href="http://www.snip-retail.co.uk">www.snip-retail.co.uk</a></div>		Report Type/Description	Cost (including VAT)	<b>Stakeholder Report JEREMY GUY BRASSINGTON</b>	<b>£13.50</b>
Report Type/Description	Cost (including VAT)				
<b>Stakeholder Report JEREMY GUY BRASSINGTON</b>	<b>£13.50</b>				

## **Indexes and extracts from the Intellectual Property Rights Acts and Rules**

For an html version this Book 7  
(with active hyperlinks)  
click here:  
[www.theinventivesteps.co.uk/book7.html](http://www.theinventivesteps.co.uk/book7.html)



# PATENTS, DESIGNS, TRADE MARKS & STAMP ACTS AND RULES

## Index of relevant sections & rules

## weblink

[Documents Index](#)

[Patents Act 1977](#)

[PA 1977](#) ([PA 2004](#) – 22.07.04)

[Trade Marks Act 1994](#)

[TMA 1994](#)

[Registered Designs Act 1949](#)

[RDA 1949](#)

[Stamp Act 1891](#)

[SA 1891](#) Finance Act 2000 [s.129](#)  
Manual of Patent Practice  
s.32.09 corrected 01.07.08

[Patents Rules 1995](#) < as at 20.09.04

PR 1995 as at ([20.09.04](#)) & ([22.09.04](#))

[Trade Marks Rules 2000](#)

[TMR 2000](#)

[Registered Designs Rules 1995](#)

[RDR 1995](#)

## Interpretation:

Manual of Patent Practice

MOPP as at ([20.09.04](#)) & ([01.07.08](#)) and  
[prior to amendment](#) on 23.05.01  
(evidence of amendment date p.319)

Manual of Trade Marks Practice

MOTP as at ([27.09.04](#)) unchanged

# The Patents Act 1977(as amended)

[INDEX](#)

An unofficial consolidation produced by Patents Legal Section October 2005

## Note to users

This is an unofficial consolidation of the Patents Act 1977, as amended up to and including 1 October 2005. This consolidation therefore includes (amongst other changes) the amendments to the 1977 Act made by:

the Copyright, Designs and Patents Act 1988  
the Patents and Trade Marks (World Trade Organisation) Regulations 1999  
the Patents Regulations 2000  
the Enterprise Act 2002  
the Regulatory Reform (Patents) Order 2004, and  
certain provisions of the Patents Act 2004.

In some cases, the amending legislation applies transitional provisions to the changes made to the 1977 Act. It is particularly important to be aware of these transitional provisions in the case of the recent changes made by the Regulatory Reform (Patents) Order 2004 and by certain provisions of the Patents Act 2004. A number of the repealed provisions of the 1977 Act have been re-enacted or replaced by new provisions of that Act or by provisions in other legislation. Some wording of the 1977 Act has been 'modified in effect' by other pieces of legislation, although not actually amended, and footnotes show where this is the case. The *Manual of Patent Practice* should be consulted for more guidance on all these matters.

While the greatest care has been taken in this unofficial consolidation, the Patent Office does not accept any responsibility for errors or omissions, nor for any consequences of such errors or omissions.

Patents Legal Section  
The Patent Office  
October 2005

## PATENTS ACT 1977

### Chapter 37

#### ARRANGEMENT OF SECTIONS

#### PART I

#### NEW DOMESTIC LAW

##### *Patentability*

1. Patentable inventions
2. Novelty
3. Inventive step
4. Industrial application
5. Priority date
6. Disclosure of matter, etc., between earlier and later application

##### *Right to apply for and obtain a patent and be mentioned as inventor*

7. Right to apply for and obtain a patent
8. Determination before grant of questions about entitlement to patents, etc.
9. Determination after grant of questions referred to before grant
10. Handling of application by joint applicants
11. Effect of transfer of application under section 8 or 10
12. Determination of questions about entitlement to foreign and convention patents, etc.
13. Mention of inventor

## *Applications*

### [14. Making of application](#)

- 15. Date of filing application
- 15A. Preliminary examination
- 16. Publication of application

## *Examination and search*

- 17. Search
- 18. Substantive examination and grant or refusal of patent
- 19. General power to amend application before grant
- 20. Failure of application
- 20A. Reinstatement of applications
- 20B. Effect of reinstatement under section 20A
- 21. Observations by third party on patentability

## *Security and safety*

- 22. Information prejudicial to national security or safety of public
- 23. Restrictions on applications abroad by United Kingdom residents

## *Provisions as to patents after grant*

- 24. Publication and certificate of grant
- 25. Term of patent
- 26. Patent not to be impugned for lack of unity
- 27. General power to amend specification after grant
- 28. Restoration of lapsed patents
- 28A. Effect of order for restoration of patent
- 29. Surrender of patents

## *Property in patents and applications, and registration*

### [30. Nature of, and transactions in, patents and applications for patents](#)

### [31. Nature of, and transactions in, patents and applications for patents in Scotland](#)

### [32. Register of patents, etc.](#)

### [33. Effect of registration, etc., on rights in patents](#)

### [34. Rectification of register](#)

### [35. Evidence of register, documents, etc. \[repealed\]](#)

### [36. Co-ownership of patents and applications for patents](#)

### [37. Determination of right to patent after grant](#)

### [38. Effect of transfer of patent under section 37](#)



### *Employees' inventions*

- 39. Right to employees' inventions
- 40. Compensation of employees for certain inventions
- 41. Amount of compensation
- 42. Enforceability of contracts relating to employees' inventions
- 43. Supplementary

### *Contracts as to patented products, etc.*

- 44. Avoidance of certain restrictive conditions [repealed]
- 45. Determination of parts of certain contracts [repealed]

### *Licences of right and compulsory licences*

- 46. Patentee's application for entry in register that licences are available as of right
- 47. Cancellation of entry made under s.46
- 48. Compulsory licences: general
- 48A. Compulsory licences: WTO proprietors
- 48B. Compulsory licences: other cases
- 49. Provisions about licences under section 48
- 50. Exercise of powers on application under section 48
- 50A. Powers exercisable following merger and market investigations
- 51. Powers exercisable in consequence of report of Competition Commission
- 52. Opposition, appeal and arbitration
- 53. Compulsory licences: supplementary provisions
- 54. Special provisions where patented invention is being worked abroad

### *Use of patented inventions for services of the Crown*

- 55. Use of patented inventions for services of the Crown
- 56. Interpretation, etc., of provisions about Crown use
- 57. Rights of third parties in respect of Crown use
- 57A. Compensation for loss of profit
- 58. References of disputes as to Crown use
- 59. Special provisions as to Crown use during emergency

### *Infringement*

- 60. Meaning of infringement
- 61. Proceedings for infringement of patent
- 62. Restrictions on recovery of damages for infringement
- 63. Relief for infringement of partially valid patent
- 64. Right to continue use begun before priority date
- 65. Certificate of contested validity
- 66. Proceedings for infringement by a co-owner
- 67. Proceedings for infringement by exclusive licensee
- 68. Effect on non-registration on infringement proceedings
- 69. Infringement of rights conferred by publication of application
- 70. Remedy for groundless threats of infringement proceedings
- 71. Declaration or declarator as to non-infringement

### *Revocation of patents*

- [72. Power to revoke patents on application](#)

73. Comptroller's power to revoke patents on his own initiative

*Putting validity in issue*

74. Proceedings in which validity of patent may be put in issue

*Opinions by Patent Office*

74A. Opinions as to validity or infringement

74B. Reviews of opinions under section 74A

*General provisions as to amendment of patents and applications*

[75. Amendment of patent in infringement or revocation proceedings](#)

76. Amendment of applications and patents not to include added matter

76A. Biotechnological inventions

**PART II**  
**PROVISIONS ABOUT INTERNATIONAL CONVENTIONS**

*European patents and patent applications*

77. Effect of European patent (UK)

78. Effect of filing an application for a European patent (UK)

79. Operation of section 78 in relation to certain European patent applications

80. Authentic text of European patents and patent applications

81. Conversion of European patent applications

82. Jurisdiction to determine questions as to right to a patent

83. Effect of patent decisions of competent authorities of other states

84. Patent agents and other representatives [repealed]

85. European patent attorneys [repealed]

*Community patents*

86. Implementation of Community Patent Convention [repealed]

87. Decisions on Community Patent Convention [repealed]

88. Jurisdiction in legal proceedings in connection with Community Patent Convention [repealed]

*International applications for patents*

[89. Effects of international application for patent](#)

89A. International and national phases of application

89B. Adaptation of provisions in relation to international application

*Convention countries*

90. Orders in Council as to convention countries

### *Miscellaneous*

- 91. Evidence of conventions and instruments under conventions
- 92. Obtaining evidence for proceedings under the European Patent Convention
- 93. Enforcement of orders for costs
- 94. Communication of information to the European Patent Office, etc.
- 95. Financial provisions

## **PART III MISCELLANEOUS AND GENERAL**

### *Legal Proceedings*

- 96. The Patents Court [repealed]

#### [97. Appeals from the comptroller](#)

- 98. Proceedings in Scotland

#### [99. General powers of the court](#)

- 99A. Power of Patents Court to order report
- 99B. Power of Court of Session to order report
- 100. Burden of proof in certain cases

#### [101. Exercise of comptroller's discretionary powers](#)

- 102. Right of audience, etc., in proceedings before the comptroller
- 102A. Right of audience, etc., in proceedings on appeal from the comptroller
- 103. Extension of privilege for communications with solicitors relating to patent proceedings
- 104. Privilege for communication with patent agents relating to patent proceedings [repealed]
- 105. Extension of privilege in Scotland for communications relating to patent proceedings
- 106. Costs and expenses in proceedings before the Court
- 107. Costs and expenses in proceedings before the comptroller
- 108. Licences granted by order of comptroller

### *Offences*

#### [109. Falsification of register etc.](#)

#### [110. Unauthorised claim of patent rights](#)

- 111. Unauthorised claim that patent has been applied for
- 112. Misuse of title "Patent Office"

#### [113. Offences by corporations](#)

### *Patent agents*

- 114. Restrictions on practice as patent agent [repealed]
- 115. Power of comptroller to refuse to deal with certain agents [repealed]

### *Immunity of department*

- 116. Immunity of department as regards official acts



### *Administrative provisions*

#### [117. Correction of errors in patents and applications](#)

117A. Effect of resuscitation of a withdrawn application under section 117

117B. Extension of time limits specified by comptroller

#### [118. Information about patent applications and patents, and inspection of documents](#)

119. Service by post

120. Hours of business and excluded days

121. Comptroller's annual report

### *Supplemental*

122. Crown's right to sell forfeited articles

#### [123. Rules](#)

#### [124. Rules, regulations and orders; supplementary](#)

124A. Use of electronic communications

125. Extent of invention

125A. Disclosure of invention by specification: availability of samples of biological material

#### [126. Stamp duty \[repealed\]](#)

127. Existing patents and applications

128. Priorities between patents and applications under the 1949 Act and this Act

129. Application of Act to Crown

130. Interpretation

131. Northern Ireland

131A. Scotland

132. Short title, extent, commencement, consequential amendments and repeals

### **SCHEDULES:**

Schedule 1 – Application of 1949 Act to existing patents and applications

Schedule 2 – Application of this Act to existing patents and applications

Schedule 3 – Repeals of provisions of 1949 Act

Schedule 4 – Transitional provisions

Schedule 5 – Consequential amendments

Schedule 6 – Enactments repealed

Schedule A1 – Derogation from patent protection in respect of biotechnological inventions

Schedule A2 – Biotechnological inventions

## **PATENTS ACT 1977**

An Act to establish a new law of patents applicable to future patents and applications for patents; to amend the law of patents applicable to existing patents and applications for patents; to give effect to certain international conventions on patents; and for connected purposes.

Be it enacted by the Queen's most Excellent Majesty, by and with the advice and consent of the Lords Spiritual and Temporal, and Commons, in this present Parliament assembled, and by authority of the same, as follows:-

### **PART I**

#### **NEW DOMESTIC LAW**

1.....

.....13.....

#### *Applications*

#### **Making of application**

**14.-(1)** Every application for a patent –

(a) shall be made in the prescribed form and shall be filed at the Patent Office in the prescribed manner;

(b) [repealed]

(1A) Where an application for a patent is made, the fee prescribed for the purposes of this subsection ("the application fee") shall be paid not later than the end of the period prescribed for the purposes of section 15(10)(c) below.

(2) Every application for a patent shall contain –

(a) a request for the grant of a patent;

(b) a specification containing a description of the invention, a claim or claims and any drawing referred to in the description or any claim; and

(c) an abstract;

but the foregoing provision shall not prevent an application being initiated by documents complying with section 15(1) below.

(3) The specification of an application shall disclose the invention in a manner which is clear enough and complete enough for the invention to be performed by a person skilled in the art.

(4) [repealed]

(5) The claim or claims shall –

(a) define the matter for which the applicant seeks protection;

(b) be clear and concise;

(c) be supported by the description; and

(d) relate to one invention or to a group of inventions which are so linked as to form a single inventive concept.

(6) Without prejudice to the generality of subsection (5)(d) above, rules may provide for treating two or more inventions as being so linked as to form a single inventive concept for the purposes of this Act.

(7) The purpose of the abstract is to give technical information and on publication it shall not form part of the state of the art by virtue of section 2(3) above, and the comptroller may determine whether the abstract adequately fulfils its purpose and, if it does not, may reframe it so that it does.

(8) [repealed]

(9) An application for a patent may be withdrawn at any time before the patent is granted and any withdrawal of such an application may not be revoked.

(10) Subsection (9) above does not affect the power of the comptroller under section 117(1) below to correct an error or mistake in a withdrawal of an application for a patent.

**15.....**

**.....28.....**

### **Surrender of patents**

**29.**-(1) The proprietor of a patent may at any time by notice given to the comptroller offer to surrender his patent.

(2) A person may give notice to the comptroller of his opposition to the surrender of a patent under this section, and if he does so the comptroller shall notify the proprietor of the patent and determine the question.

(3) If the comptroller is satisfied that the patent may properly be surrendered, he may accept the offer and, as from the date when notice of his acceptance is published in the journal, the patent shall cease to have effect, but no action for infringement shall lie in respect of any act done before that date and no right to compensation shall accrue for any use of the patented invention before that date for the services of the Crown.

### *Property in patents and applications, and registration*

### **Nature of, and transactions in, patents and applications for patents**

**30.**-(1) Any patent or application for a patent is personal property (without being a thing in action), and any patent or any such application and rights in or under it may be transferred, created or granted in accordance with subsections (2) to (7) below.

(2) Subject to section 36(3) below, any patent or any such application, or any right in it, may be assigned or mortgaged.

(3) Any patent or any such application or right shall vest by operation of law in the same way as any other personal property and may be vested by an assent of personal representatives.

(4) Subject to section 36(3) below, a licence may be granted under any patent or any such application for working the invention which is the subject of the patent or the application; and –

(a) to the extent that the licence so provides, a sub-licence may be granted under any such licence and any such licence or sub-licence may be assigned or mortgaged; and

(b) any such licence or sub-licence shall vest by operation of law in the same way as any other personal property and may be vested by an assent of personal representatives.

(5) Subsections (2) to (4) above shall have effect subject to the following provisions of this Act.

(6) Any of the following transactions, that is to say –

(a) any assignment or mortgage of a patent or any such application, or any right in a patent or any such application;

(b) any assent relating to any patent or any such application or right;

shall be void unless it is in writing and is signed by or on behalf of the assignor or mortgagor (or, in the case of an assent or other transaction by a personal representative, by or on behalf of the personal representative).

(6A) If a transaction mentioned in subsection (6) above is by a body corporate, references in that subsection to such a transaction being signed by or on behalf of the assignor or mortgagor shall be taken to include references to its being under the seal of the body corporate.

(7) An assignment of a patent or any such application or a share in it, and an exclusive licence granted under any patent or any such application, may confer on the assignee or licensee the right of the assignor or licensor to bring proceedings by virtue of section 61 or 69 below for a previous infringement or to bring proceedings under section 58 below for a previous act.

### **Nature of, and transactions in, patents and applications for patents in Scotland**

**31.**-(1) Section 30 above shall not extend to Scotland, but instead the following provisions of this section shall apply there.

(2) Any patent or application for a patent, and any right in or under any patent or any such application, is incorporeal moveable property, and the provisions of the following sub-sections and of section 36(3) below shall apply to any grant of licences, assignations and securities in relation to such property.

(3) Any patent or any such application, or any right in it, may be assigned and security may be granted over a patent or any such application or right.

(4) A licence may be granted, under any patent or any application for a patent, for working the invention which is the subject of the patent or the application.

(5) To the extent that any licence granted under subsection (4) above so provides, a sub-licence may be granted under any such licence and any such licence or sub-licence may be assigned and security may be granted over it.

(6) Any assignation or grant of security under this section may be carried out only by writing subscribed in accordance with the Requirements of Writing (Scotland) Act 1995.

(7) An assignation of a patent or application for a patent or a share in it, and an exclusive licence granted under any patent or any such application, may confer on the assignee or licensee the right of the assignor or licensor to bring proceedings by virtue of section 61 or 69 below for a previous infringement or to bring proceedings under section 58 below for a previous act.

### **Register of patents, etc.**

**32.**-(1) The comptroller shall maintain the register of patents, which shall comply with rules made by virtue of this section and shall be kept in accordance with such rules.

(2) Without prejudice to any other provision of this Act or rules, rules may make provision with respect to the following matters, including provision imposing requirements as to any of those matters –

(a) the registration of patents and of published applications for patents;

(b) the registration of transactions, instruments or events affecting rights in or under patents and applications;

(ba) the entering on the register of notices concerning opinions issued, or to be issued, under section 74A below;

(c) the furnishing to the comptroller of any prescribed documents or description of documents in connection with any matter which is required to be registered;

(d) the correction of errors in the register and in any documents filed at the Patent Office in connection with registration;



(e) the publication and advertisement of anything done under this Act or rules in relation to the register.

(3) Notwithstanding anything in subsection (2)(b) above, no notice of any trust, whether express, implied or constructive, shall be entered in the register and the comptroller shall not be affected by any such notice.

(4) The register need not be kept in documentary form.

(5) Subject to rules, the public shall have a right to inspect the register at the Patent Office at all convenient times.

(6) Any person who applies for a certified copy of an entry in the register or a certified extract from the register shall be entitled to obtain such a copy or extract on payment of a fee prescribed in relation to certified copies and extracts;

and rules may provide that any person who applies for an uncertified copy or extract shall be entitled to such a copy or extract on payment of a fee prescribed in relation to uncertified copies and extracts.

(7) Applications under subsection (6) above or rules made by virtue of that subsection shall be made in such manner as may be prescribed.

(8) In relation to any portion of the register kept otherwise than in documentary form-

(a) the right of inspection conferred by subsection (5) above is a right to inspect the material on the register; and

(b) the right to a copy or extract conferred by subsection (6) above or rules is a right to a copy or extract in a form in which it can be taken away and in which it is visible and legible.

(9) Subject to subsection (12) below, the register shall be prima facie evidence of anything required or authorised by this Act or rules to be registered and in Scotland shall be sufficient evidence of any such thing.

(10) A certificate purporting to be signed by the comptroller and certifying that any entry which he is authorised by this Act or rules to make has or has not been made, or that any other thing which he is so authorised to do has or has not been done, shall be prima facie evidence, and in Scotland shall be sufficient evidence, of the matters so certified.

(11) Each of the following, that is to say –

(a) a copy of an entry in the register or an extract from the register which is supplied under subsection (6) above;

(b) a copy of any document kept in the Patent Office or an extract from any such document, any specification of a patent or any application for a patent which has been published, which purports to be a certified copy or a certified extract shall, subject to subsection (12) below, be admitted in evidence without further proof and without production of any original; and in Scotland such evidence shall be sufficient evidence.

(12) [repealed]

(13) In this section “certified copy” and “certified extract” mean a copy and extract certified by the comptroller and sealed with the seal of the Patent Office.

(14) In this Act, except so far as the context otherwise requires –

“register”, as a noun, means the register of patents;

“register”, as a verb, means, in relation to any thing, to register or register particulars, or enter notice, of that thing in the register and, in relation to a person, means to enter his name in the register;

and cognate expressions shall be construed accordingly.

### **Effect of registration, etc., on rights in patents**

**33.**-(1) Any person who claims to have acquired the property in a patent or application for a patent by virtue of any transaction, instrument or event to which this section applies shall be entitled as against any other person who claims to have acquired that property by virtue of an earlier transaction, instrument or event to which this section applies if, at the time of the later transaction, instrument or event –

- (a) the earlier transaction, instrument or event was not registered, or
- (b) in the case of any application which has not been published, notice of the earlier transaction, instrument or event had not been given to the comptroller, and
- (c) in any case, the person claiming under the later transaction, instrument or event, did not know of the earlier transaction, instrument or event.

(2) Subsection (1) above shall apply equally to the case where any person claims to have acquired any right in or under a patent or application for a patent, by virtue of a transaction, instrument or event to which this section applies, and that right is incompatible with any such right acquired by virtue of an earlier transaction, instrument or event to which this section applies.

(3) This section applies to the following transactions, instruments and events –

- (a) the assignment or assignation of a patent or application for a patent, or a right in it;
- (b) the mortgage of a patent or application or the granting of security over it;
- (c) the grant, assignment or assignation of a licence or sub-licence, or mortgage of a licence or sub-licence, under a patent or application;
- (d) the death of the proprietor or one of the proprietors of any such patent or application or any person having a right in or under a patent or application and the vesting by an assent of personal representatives of a patent, application or any such right; and
- (e) any order or directions of a court or other competent authority –
  - (i) transferring a patent or application or any right in or under it to any person; or
  - (ii) that an application should proceed in the name of any person;

and in either case the event by virtue of which the court or authority had power to make any such order or give any such directions.

(4) Where an application for the registration of a transaction, instrument or event has been made, but the transaction, instrument or event has not been registered, then, for the purposes of subsection (1)(a) above, registration of the application shall be treated as registration of the transaction, instrument or event.

### **Rectification of register**

**34.**-(1) The court may, on the application of any person aggrieved, order the register to be rectified by the making, or the variation or deletion, of any entry in it.

(2) In proceedings under this section the court may determine any question which it may be necessary or expedient to decide in connection with the rectification of the register.

(3) Rules of court may provide for the notification of any application under this section to the comptroller and for his appearance on the application and for giving effect to any order of the court on the application.

## **Evidence of register, documents, etc.**

35. [repealed]

## **Co-ownership of patents and applications for patents**

36.-(1) Where a patent is granted to two or more persons, each of them shall, subject to any agreement to the contrary, be entitled to an equal undivided share in the patent.

(2) Where two or more persons are proprietors of a patent, then, subject to the provisions of this section and subject to any agreement to the contrary –

(a) each of them shall be entitled, by himself or his agents, to do in respect of the invention concerned, for his own benefit and without the consent of or the need to account to the other or others, any act which would apart from this subsection and section 55 below, amount to an infringement of the patent concerned; and

(b) any such act shall not amount to an infringement of the patent concerned.

(3) Subject to the provisions of sections 8 and 12 above and section 37 below and to any agreement for the time being in force, where two or more persons are proprietors of a patent one of them shall not without the consent of the other or others –

(a) amend the specification of the patent or apply for such an amendment to be allowed or for the patent to be revoked, or

(b) grant a licence under the patent or assign or mortgage a share in the patent or in Scotland cause or permit security to be granted over it.

(4) Subject to the provisions of those sections, where two or more persons are proprietors of a patent, anyone else may supply one of those persons with the means, relating to an essential element of the invention, for putting the invention into effect, and the supply of those means by virtue of this subsection shall not amount to an infringement of the patent.

(5) Where a patented product is disposed of by any of two or more proprietors to any person, that person and any other person claiming through him shall be entitled to deal with the product in the same way as if it had been disposed of by a sole registered proprietor.

(6) Nothing in subsection (1) or (2) above shall affect the mutual rights or obligations of trustees or of the personal representatives of a deceased person, or their rights or obligations as such.

(7) The foregoing provisions of this section shall have effect in relation to an application for a patent which is filed as they have effect in relation to a patent and –

(a) references to a patent and a patent being granted shall accordingly include references respectively to any such application and to the application being filed; and

(b) the reference in subsection (5) above to a patented product shall be construed accordingly.

## **Determination of right to patent after grant**

37.-(1) After a patent has been granted for an invention any person having or claiming a proprietary interest in or under the patent may refer to the comptroller the question –

(a) who is or are the true proprietor or proprietors of the patent,

(b) whether the patent should have been granted to the person or persons to whom it was granted, or

(c) whether any right in or under the patent should be transferred or granted to any other person or persons;

and the comptroller shall determine the question and make such order as he thinks fit to give effect to the determination.

(2) Without prejudice to the generality of subsection (1) above, an order under that subsection may contain provision—

(a) directing that the person by whom the reference is made under that subsection shall be included (whether or not to the exclusion of any other person) among the persons registered as proprietors of the patent;

(b) directing the registration of a transaction, instrument or event by virtue of which that person has acquired any right in or under the patent;

(c) granting any licence or other right in or under the patent;

(d) directing the proprietor of the patent or any person having any right in or under the patent to do anything specified in the order as necessary to carry out the other provisions of the order.

(3) If any person to whom directions have been given under subsection (2)(d) above fails to do anything necessary for carrying out any such directions within 14 days after the date of the order containing the directions, the comptroller may, on application made to him by any person in whose favour or on whose reference the order containing the directions was made, authorise him to do that thing on behalf of the person to whom the directions were given.

(4) Where the comptroller finds on a reference under this section that the patent was granted to a person not entitled to be granted that patent (whether alone or with other persons) and on application made under section 72 below makes an order on that ground for the conditional or unconditional revocation of the patent, the comptroller may order that the person by whom the application was made or his successor in title may, subject to section 76 below, make a new application for a patent —

(a) in the case of unconditional revocation, for the whole of the matter comprised in the specification of that patent; and

(b) in the case of conditional revocation, for the matter which in the opinion of the comptroller should be excluded from that specification by amendment under section 75 below;

and where such new application is made, it shall be treated as having been filed on the date of filing the application for the patent to which the reference relates.

(5) On any such reference no order shall be made under this section transferring the patent to which the reference relates on the ground that the patent was granted to a person not so entitled, and no order shall be made under subsection (4) above on that ground, if the reference was made after the end of the period of two years beginning with the date of the grant, unless it is shown that any person registered as a proprietor of the patent knew at the time of the grant or, as the case may be, of the transfer of the patent to him that he was not entitled to the patent.

(6) An order under this section shall not be so made as to affect the mutual rights or obligations of trustees or of the personal representatives of a deceased person, or their rights or obligations as such.

(7) Where a question is referred to the comptroller under this section an order shall not be made by virtue of subsection (2) or under subsection (4) above on the reference unless notice of the reference is given to all persons registered as proprietor of the patent or as having a right in or under the patent, except those who are parties to the reference.

(8) If it appears to the comptroller on a reference under this section that the question referred to him would more properly be determined by the court, he may decline to deal with it and, without prejudice to the court's jurisdiction to determine any such question and make a declaration, or any declaratory jurisdiction of the court in Scotland, the court shall have jurisdiction to do so.

(9) The court shall not in the exercise of any such declaratory jurisdiction determine a question whether a patent was granted to a person not entitled to be granted the patent if the proceedings in which the jurisdiction is invoked were



commenced after the end of the period of two years beginning with the date of the grant of the patent, unless it is shown that any person registered as a proprietor of the patent knew at the time of the grant or, as the case may be, of the transfer of the patent to him that he was not entitled to the patent.

38.....

.....71.....

#### *Revocation of patents*

#### **Power to revoke patents on application**

**72.**-(1) Subject to the following provisions of this Act, the court or the comptroller may by order revoke a patent for an invention on the application of any person (including the proprietor of the patent) on (but only on) any of the following grounds, that is to say –

- (a) the invention is not a patentable invention;
- (b) that the patent was granted to a person who was not entitled to be granted that patent;
- (c) the specification of the patent does not disclose the invention clearly enough and completely enough for it to be performed by a person skilled in the art;
- (d) the matter disclosed in the specification of the patent extends beyond that disclosed in the application for the patent, as filed, or, if the patent was granted on a new application filed under section 8(3), 12 or 37(4) above or as mentioned in section 15(9) above, in the earlier application, as filed;
- (e) the protection conferred by the patent has been extended by an amendment which should not have been allowed.

(2) An application for the revocation of a patent on the ground mentioned in subsection (1)(b) above –

(a) may only be made by a person found by the court in an action for a declaration or declarator, or found by the court or the comptroller on a reference under section 37 above, to be entitled to be granted that patent or to be granted a patent for part of the matter comprised in the specification of the patent sought to be revoked; and

(b) may not be made if that action was commenced or that reference was made after the end of the period of two years beginning with the date of the grant of the patent sought to be revoked, unless it is shown that any person registered as a proprietor of the patent knew at the time of the grant or of the transfer of the patent to him that he was not entitled to the patent.

(3) [repealed]

(4) An order under this section may be an order for the unconditional revocation of the patent or, where the court or the comptroller determines that one of the grounds mentioned in subsection (1) above has been established, but only so as to invalidate the patent to a limited extent, an order that the patent should be revoked unless within a specified time the specification is amended under section 75 below to the satisfaction of the court or the comptroller, as the case may be.

(5) A decision of the comptroller or on appeal from the comptroller shall not estop any party to civil proceedings in which infringement of a patent is in issue from alleging invalidity of the patent on any of the grounds referred to in subsection (1) above, whether or not any of the issues involved were decided in the said decision.

(6) Where the comptroller refuses to grant an application made to him by any person under this section, no application (otherwise than by way of appeal or by way of putting validity in issue in proceedings for infringement) may be made to the court by that person under this section in relation to the patent concerned, without the leave of the court.

(7) Where the comptroller has not disposed of an application made to him under this section, the applicant may not apply to the court under this section in respect of the patent concerned unless either –

- (a) the proprietor of the patent agrees that the applicant may so apply, or
- (b) the comptroller certifies in writing that it appears to him that the question whether the patent should be revoked is one which would more properly be determined by the court.

73.....

.....74.....

#### *General provisions as to amendment of patents and applications*

#### **Amendment of patent in infringement or revocation proceedings**

75.-(1) In any proceedings before the court or the comptroller in which the validity of a patent may be put in issue the court or, as the case may be, the comptroller may, subject to section 76 below, allow the proprietor of the patent to amend the specification of the patent in such manner, and subject to such terms as to advertising the proposed amendment and as to costs, expenses or otherwise, as the court or comptroller thinks fit.

(2) A person may give notice to the court or the comptroller of his opposition to an amendment proposed by the proprietor of the patent under this section, and if he does so the court or the comptroller shall notify the proprietor and consider the opposition in deciding whether the amendment or any amendment should be allowed.

(3) An amendment of a specification of a patent under this section shall have effect and be deemed always to have had effect from the grant of the patent.

(4) Where an application for an order under this section is made to the court, the applicant shall notify the comptroller, who shall be entitled to appear and be heard and shall appear if so directed by the court.

76.....

.....88.....

#### **International and national phases of application**

89A.-(1) The provisions of the Patent Co-operation Treaty relating to publication, search, examination and amendment, and not those of this Act, apply to an international application for a patent (UK) during the international phase of the application.

(2) The international phase of the application means the period from the filing of the application in accordance with the Treaty until the national phase of the application begins.

(3) The national phase of the application begins –

(a) when the prescribed period expires, provided any necessary translation of the application into English has been filed at the Patent Office and the prescribed fee has been paid by the applicant; or

(b) on the applicant expressly requesting the comptroller to proceed earlier with the national phase of the application, filing at the Patent Office –

(i) a copy of the application, if none has yet been sent to the Patent Office in accordance with the Treaty, and

(ii) any necessary translation of the application into English, and paying the prescribed fee.

For this purpose a “copy of the application” includes a copy published in accordance with the Treaty in a language other than that in which it was originally filed.

(4) If the prescribed period expires without the conditions mentioned in subsection (3)(a) being satisfied, the application shall be taken to be withdrawn.

(5) Where during the international phase the application is amended in accordance with the Treaty, the amendment shall be treated as made under this Act if –

(a) when the prescribed period expires, any necessary translation of the amendment into English has been filed at the Patent Office, or

(b) where the applicant expressly requests the comptroller to proceed earlier with the national phase of the application, there is then filed at the Patent Office –

(i) a copy of the amendment, if none has yet been sent to the Patent Office in accordance with the Treaty, and

(ii) any necessary translation of the amendment into English;

otherwise the amendment shall be disregarded.

(6) The comptroller shall on payment of the prescribed fee publish any translation filed at the Patent Office under subsection (3) or (5) above.

**89B.....**

**.....95.....**

### PART III

#### MISCELLANEOUS AND GENERAL

##### *Legal Proceedings*

##### **The Patents Court**

**96.** [repealed]

#### **Appeals from the comptroller**

**97.**-(1) Except as provided by subsection (4) below, an appeal shall lie to the Patents Court from any decision of the comptroller under this Act or rules except any of the following decisions, that is to say –

(a) a decision falling within section 14(7) above;

(b) a decision under section 16(2) above to omit matter from a specification;

(c) a decision to give directions under subsection (1) or (2) of section 22 above;

(d) a decision under rules which is excepted by rules from the right of appeal conferred by this section.

(2) For the purpose of hearing appeals under this section the Patents Court may consist of one or more judges of that court in accordance with directions given by or on behalf of the Lord Chancellor

(3) An appeal shall not lie to the Court of Appeal from a decision of the Patents Court on appeal from a decision of the comptroller under this Act or rules –

(a) except where the comptroller's decision was given under section 8, 12, 18, 20, 27, 37, 40, 61, 72, 73 or 75 above; or

(b) except where the ground of appeal is that the decision of the Patents Court is wrong in law;

but an appeal shall only lie to the Court of Appeal under this section if leave to appeal is given by the Patents Court or the Court of Appeal.

(4) An appeal shall lie to the Court of Session from any decision of the comptroller in proceedings which under rules are held in Scotland, except any decision mentioned in paragraphs (a) to (d) of subsection (1) above.

(5) An appeal shall not lie to the Inner House of the Court of Session from a decision of an Outer House judge on appeal from a decision of the comptroller under this Act or rules –

- (a) except where the comptroller's decision was given under section 8, 12, 18, 20, 27, 37, 40, 61, 72, 73 or 75 above; or
- (b) except where the ground of appeal is that the decision of the Outer House judge is wrong in law.

**98.....**

### **General powers of the court**

**99.** The court may, for the purpose of determining any question in the exercise of its original or appellate jurisdiction under this Act or any treaty or international convention to which the United Kingdom is a party, make any order or exercise any other power which the comptroller could have made or exercised for the purpose of determining that question.

**100.....**

### **Exercise of comptroller's discretionary powers**

**101.** Without prejudice to any rule of law, the comptroller shall give any party to a proceeding before him an opportunity of being heard before exercising adversely to that party any discretion vested in the comptroller by this Act or rules.

**102.....**

**.....108.....**

### *Offences*

#### **Falsification of register etc.**

**109.** If a person makes or causes to be made a false entry in any register kept under this Act, or a writing falsely purporting to be a copy or reproduction of an entry in any such register, or produces or tenders or causes to be produced or tendered in evidence any such writing, knowing the entry or writing to be false, he shall be liable –

(a) on summary conviction, to a fine not exceeding the prescribed sum,

(b) on conviction on indictment, to imprisonment for a term not exceeding two years or a fine, or both.

#### **Unauthorised claim of patent rights**

**110.-(1)** If a person falsely represents that anything disposed of by him for value is a patented product he shall, subject to the following provisions of this section, be liable on summary conviction to a fine not exceeding level 3 on the standard scale.

(2) For the purposes of subsection (1) above a person who for value disposes of an article having stamped, engraved or impressed on it or otherwise applied to it the word “patent” or “patented” or anything expressing or implying that the article is a patented product, shall be taken to represent that the article is a patented product.

(3) Subsection (1) above does not apply where the representation is made in respect of a product after the patent for that product or, as the case may be, the process in question has expired or been revoked and before the end of a period which is reasonably sufficient to enable the accused to take steps to ensure that the representation is not made (or does not continue to be made).



(4) In proceedings for an offence under this section it shall be a defence for the accused to prove that he used due diligence to prevent the commission of the offence.

**111.....**

**.....112.....**

### **Offences by corporations**

**113.**-(1) Where an offence under this Act which has been committed by a body corporate is proved to have been committed with the consent or connivance of, or to be attributable to any neglect on the part of, a director, manager, secretary or other similar officer of the body corporate, or any person who was purporting to act in any such capacity, he, as well as the body corporate, shall be guilty of that offence and shall be liable to be proceeded against and punished accordingly.

(2) Where the affairs of a body corporate are managed by its members, subsection (1) above shall apply in relation to acts and defaults of a member in connection with his functions of management as if he were a director of the body corporate.

### *Patent agents*

#### **Restrictions on practice as patent agent**

**114.** [repealed]

**115.....**

**.....116.....**

### *Administrative provisions*

#### **Correction of errors in patents and applications**

**117.**-(1) The comptroller may, subject to any provision of rules, correct any error of translation or transcription, clerical error or mistake in any specification of a patent or application for a patent or any document filed in connection with a patent or such an application.

(2) Where the comptroller is requested to correct such an error or mistake, any person may in accordance with rules give the comptroller notice of opposition to the request and the comptroller shall determine the matter.

(3) Where the comptroller is requested to correct an error or mistake in a withdrawal of an application for a patent, and

—

(a) the application was published under section 16 above; and

(b) details of the withdrawal were published by the comptroller;

the comptroller shall publish notice of such a request in the prescribed manner.

(4) Where the comptroller publishes a notice under subsection (3) above, the comptroller may only correct an error or mistake under subsection (1) above by order.

## **Information about patent applications and patents, and inspection of documents**

**118.**-(1) After publication of an application for a patent in accordance with section 16 above the comptroller shall on a request being made to him in the prescribed manner and on payment of the prescribed fee (if any) give the person making the request such information, and permit him to inspect such documents, relating to the application or to any patent granted in pursuance of the application as may be specified in the request, subject, however, to any prescribed restrictions.

(2) Subject to the following provisions of this section, until an application for a patent is so published documents or information constituting or relating to the application shall not, without the consent of the applicant, be published or communicated to any person by the comptroller.

(3) Subsection (2) above shall not prevent the comptroller from –

(a) sending the European Patent Office information which it is his duty to send that office in accordance with any provision of the European Patent Convention; or

(b) publishing or communicating to others any prescribed bibliographic information about an unpublished application for a patent;

nor shall that subsection prevent the Secretary of State from inspecting or authorising the inspection of an application for a patent or any connected documents under section 22(6) above.

(4) Where a person is notified that an application for a patent has been made, but not published in accordance with section 16 above, and that the applicant will, if the patent is granted, bring proceedings against that person in the event of his doing an act specified in the notification after the application is so published, that person may make a request under subsection (1) above, notwithstanding that the application has not been published, and that subsection shall apply accordingly.

(5) Where an application for a patent is filed, but not published, and a new application is filed in respect of any part of the subject-matter of the earlier application (either in accordance with rules or in pursuance of an order under section 8 above) and is published, any person may make a request under subsection (1) above relating to the earlier application and on payment of the prescribed fee the comptroller shall give him such information and permit him to inspect such documents as could have been given or inspected if the earlier application had been published.

**119.**.....

.....**122.**.....

## **Rules**

**123.**-(1) The Secretary of State may make such rules as he thinks expedient for regulating the business of the Patent Office in relation to patents and applications for patents (including European patents, applications for European patents and international applications for patents) and for regulating all matters placed by this Act under the direction or control of the comptroller; and in this Act, except so far as the context otherwise requires, “prescribed” means prescribed by rules and “rules” means rules made under this section.

(2) Without prejudice to the generality of subsection (1) above, rules may make provision –

(a) prescribing the form and contents of applications for patents and other documents which may be filed at the Patent Office and requiring copies to be furnished of any such documents;

(b) regulating the procedure to be followed in connection with any proceeding or other matter before the comptroller or the Patent Office and authorising the rectification of irregularities of procedure;

(c) requiring fees to be paid in connection with any such proceeding or matter or in connection with the provision of any service by the Patent Office and providing for the remission of fees in the prescribed circumstances;

(d) regulating the mode of giving evidence in any such proceeding and empowering the comptroller to compel the attendance of witnesses and the discovery of and production of documents;

- (e) requiring the comptroller to advertise any proposed amendments of patents and any other prescribed matters, including any prescribed steps in any such proceeding;
  - (f) requiring the comptroller to hold proceedings in Scotland in such circumstances as may be specified in the rules where there is more than one party to proceedings under section 8, 12, 37, 40(1) or (2), 41(8), 61(3), 71 or 72 above;
  - (g) providing for the appointment of advisers to assist the comptroller in any proceeding before him;
  - (h) prescribing time limits for doing anything required to be done in connection with any such proceeding by this Act or the rules and providing for the alteration of any period of time specified in this Act or the rules;
  - (i) giving effect to an inventor's rights to be mentioned conferred by section 13, and providing for an inventor's waiver of any such right to be subject to acceptance by the comptroller;
  - (j) without prejudice to any other provision of this Act, requiring and regulating the translation of documents in connection with an application for a patent or a European patent or an international application for a patent and the filing and authentication of any such translations;
  - (k) [repealed]
  - (l) providing for the publication and sale of documents in the Patent Office and of information about such documents.
- (2A) The comptroller may set out in directions any forms the use of which is required by rules; and any such directions shall be published in the prescribed manner.
- (3) Rules may make different provision for different cases.
- (3A) It is hereby declared that rules –
- (a) authorising the rectification of irregularities of procedure, or
  - (b) providing for the alteration of any period of time, may authorise the comptroller to extend or further extend any period notwithstanding that the period has already expired.
- (4) [repealed]
- (5) [repealed]
- (6) Rules shall provide for the publication by the comptroller of a journal (in this Act referred to as “the journal”) containing particulars of applications for and grants of patents, and of other proceedings under this Act.
- (7) Rules shall require or authorise the comptroller to make arrangements for the publication of reports of cases relating to patents, trade marks, registered designs or design right decided by him and of cases relating to patents (whether under this Act or otherwise) trade marks, registered designs, copyright and design right decided by any court or body (whether in the United Kingdom or elsewhere).

#### **Rules, regulations and orders; supplementary**

**124.**-(1) Any power conferred on the Secretary of State by this Act to make rules, regulations or orders shall be exercisable by statutory instrument.

(2) Any Order in Council and any statutory instrument containing an order, rules or regulations under this Act, other than an order or rule required to be laid before Parliament in draft or an order under section 132(5) below, shall be subject to annulment in pursuance of a resolution of either House of Parliament.

(3) Any Order in Council or order under any provision of this Act may be varied or revoked by a subsequent order.

**125.....**

**Stamp duty**

126. [repealed]

127.....

.....132.....

---



---

**STATUTORY INSTRUMENTS**

---

**PATENTS****An unofficial consolidation of the Patents Rules 1995**

incorporating the amendments made by:

The Patents (Amendment) Rules 1999 (SI 1999 No. 1092)

The Patents and Trade Marks (World Trade Organisation) Regulations 1999 (SI 1999 No.1899)

The Patents (Amendment) (No.2) Rules 1999 (SI 1999 No. 3197)

The Patents (Amendment) Rules 2001 (SI 2001 No. 1412)

The Patents (Amendment) Rules 2002 (SI 2002 No. 529)

The Patents (Electronic Communications) (Amendment) Rules 2003 (SI 2003 No. 513)

---

In the following list, rules which have been amended:

by SI 1999 No. 1092 are marked \*

by SI 1999 No. 1899 are marked #

by SI 1999 No. 3197 are marked †

by SI 2001 No. 1412 are marked ‡

by SI 2002 No. 529 are marked §

by SI 2003 No. 513 are marked &

**ARRANGEMENT OF RULES***Preliminary*

1 Citation and commencement

[2\\* Interpretation](#)

[3 Construction](#)

[4& Forms](#)

4A& Multiple copies

5 International exhibitions

6\*† Declaration of priority for the purposes of section 5

*Right to apply for and obtain a patent*

7† References under section 8(1)(a) or 12(1)(a)

8† References by co-proprietors under section 8(1)(b) or 12(1)(b)

9 Orders under section 8 or 12

10 Prescribed period for new applications under section 8(3) or 12(6)

11 Authorisation under section 8(5)

12† Request by joint applicant under section 10 or 12(4)

13† Reference to the comptroller under section 11(5)

*Inventors*

14† Mention of inventor under section 13

15 Procedure where applicant is not the inventor or sole inventor

2

*Applications for patents*

16& Applications for the grant of patents under sections 14 and 15

17‡ Biological material

18& Drawings

19 The abstract

20& Size and presentation of documents

21 Form of statements, counter-statements and evidence

22\* Unity of invention

23 Late filed drawings

24\*† New applications under section 15(4)

25†§ Periods prescribed under section 15(5)(a) and (b) and 17(1) for filing claims, abstract and request for preliminary examination and search

26‡ Extensions for new applications

27 Period for publication of application

*Examination and search*

28 Preliminary examination and search under section 17

29 Procedure where earlier application made

[30 Address for service](#)

31& Formal requirements

32† Searches under section 17(6) and (8)  
 33§ Request for substantive examination under section 18  
 34 Period for putting application in order  
 35 Amendment of request for grant  
 36 Amendment of application before grant  
 37 Observations on patentability under section 21  
*Grant, amendment and continuation of patent*  
 38† Certificates of grant  
 39† Renewal of patents  
 40†& Amendment of specification after grant  
 41 Restoration of lapsed patents under section 28  
 42 Notification of lapsed patent  
 43† Surrender of patents  
*Registration*  
[44† Entries in the register](#)  
[45 Alteration of name or address](#)  
[46† Registrations under section 33](#)  
 47 Request for correction of error  
 48 Request as to payment of renewal fee  
[49\\* Inspection of register](#)  
[50 Advertisements in relation to register](#)  
 51 Entries relating to sections 8(1), 12(1) and 37(1)  
 52 Certificates and copies supplied by comptroller  
 53 Order or direction by court  
 3  
*Entitlement to patent*  
 54† Reference of question to the comptroller under section 37(1)  
 55 Application under section 37(3)  
 56 Time limit for new application  
 57 Request under section 38(3)  
 58† Reference to comptroller under section 38(5)  
*Employees' inventions*  
 59† Application under section 40 for compensation  
 60 Application under section 41(8) to vary etc awards of compensation  
*Licences of right*  
 61 Application under section 46(1) for entry in the register  
 62† Application under section 46(3) to settle licences of right  
[63 Application by proprietor under section 47\(1\) for cancellation of entry](#)  
 64 Application under section 47(3)  
 65 Opposition to cancellation of entry under section 47  
 66 Procedure after cancellation of entry pursuant to section 47(3)  
 67 Declaration under paragraph 4A of Schedule 1 to the Act  
*Compulsory licences*  
 68# Application for compulsory licence under section 48(1), or revocation or cancellation under section 52(2)(a)  
 69 Application by Minister under section 51  
 70# Procedure on receipt of application under section 48, 51 or 52  
 71#† Opposition under section 52  
*Infringement proceedings before comptroller*  
 72† Procedure on reference to comptroller under section 61(3)  
 73† Procedure where validity of patent in dispute  
 74† Procedure on application under section 71  
*Revocation of patents*  
 75† Procedure on application for revocation under section 72  
 76 Award of costs  
[77 Revocation and amendment of patents under section 73](#)  
*Amendment of patents in infringement or revocation proceedings*  
[78\\*& Amendment of patent under section 75](#)  
*European patents and patent applications and national processing of international applications*  
 79\* Entries in the register  
 80 European Patents and applications (UK): translations  
 81 Procedure for making request under section 81(2)(b)(i)  
 82 Procedure where section 81(2)(b)(ii) applies  
 83 Procedure for making request for substantive examination where section 81(2) applies

84 Recognition of determinations in proceedings before comptroller  
4  
85\*†‡§ International applications for patents: sections 89 and 89A  
86 Obtaining evidence for proceedings under Euro pean Patent Convention  
87 Communication of information to European Patent Office  
*Hearings, agents and correction of errors*  
[88† Comptroller's discretionary powers](#)  
89 Admittance to hearings before comptroller  
[90 Agents](#)  
[91 Correction of errors in patents and applications](#)  
*Information and inspection*  
92 Request for information under section 118  
93 Inspection of documents under section 118  
94 Confidential documents  
95 Bibliographic data for purposes of section 118(3)(b)  
96 Request for information where section 118(4) applies  
*Miscellaneous*  
97 Service by post  
98\* Hours of business  
99\* Excluded days  
100 Correction of irregularities  
101 Dispensation by comptroller  
102\* Remission of fees  
103† Evidence  
104 Statutory declarations and affidavits  
104A† Witness statements  
105 Admission of documents  
106 Directions as to furnishing of documents etc  
107 Supporting statements or evidence  
108 Proceedings in Scotland  
109 Appointment of advisers  
110\*†‡ Alteration of time limits  
111 Calculation of times or periods  
112 Copies of documents  
113 Translations  
114 Publication and sale of documents  
[115\\* The Journal](#)  
116 Reports of cases  
*International applications*  
117 Filing of applications  
118\* Transmittal and late payment fees  
119\* Certified copies  
120 Fees to be paid in sterling  
121 Transitional provisions and revocations  
*Schedules*  
Schedule 1\*†‡& General forms  
Schedule 2‡ Biological material  
5  
Schedule 3† Form of certificate of grant of patent  
Schedule 4& European Patents and applications (UK): translations  
Schedule 5 Patents Act 1949 forms  
Schedule 6 Revocations

The Secretary of State, in exercise of the powers conferred upon him by sections 5(2), 8(3), 12(6), 13(1) and (3), 14(1) and (6), 15(2), (3) and (5), 16(1), 17(1), (2) and (8), 18(1) and (4), 19(1), 20(1), 21(1), 24(2), 25(3) and (5), 28(1), (1A) and (2A), 32(2), (5), (6) and (7), 40(1) and (2), 47(3) and (6), 52(1), 77(6), 78(4), 80(3), 81(2)(b) and (2)(c), 89, 89A, 92(3) and (4), 97(1)(d), 118(1) and (3)(b), 120(1), 123(1) to (3A), (6) and (7), 124, 125A(1), (2) and (3), 127(6) and 130(2) of, and paragraph 4A(5) of Schedule 1 and paragraph 14 of Schedule 4 to, the Patents Act 1977 after consultation with the Council on Tribunals pursuant to section 8(1) of the Tribunals and Inquiries Act 1992, hereby makes the following Rules:-

## PRELIMINARY

## **Citation and commencement**

1. These Rules may be cited as the Patents Rules 1995 and shall come into force on 4th September 1995.

## **Interpretation**

2. In these Rules –

"the Act" means the Patents Act 1977;

"the 1949 Act" means the Patents Act 1949;

"declared priority date" means-

(a) the date of filing of the earliest relevant application specified in a declaration made for the purposes of section 5 where the priority date claimed in the declaration has not been lost or abandoned and where the declaration has not been withdrawn before preparations for the publication of the application in suit have been completed by the Patent Office in accordance with section 16;

(b) the date of filing of any such application for a patent as is referred to in section 127(4) which is specified in a declaration made for the purposes of that section;

(c) where an application for a European patent (UK) is, by virtue of section 81(1), to be treated as an application for a patent under the Act, the date of filing of the earliest previous application mentioned in the declaration of priority filed by the applicant in respect of the application for a European patent (UK) under Article 88(1) of the European Patent Convention where the priority date claimed in the declaration has not been lost or abandoned and where the declaration has not been withdrawn before the comptroller directs that the application for a European patent (UK) shall be so treated; or

(d) where an international application for a patent (UK) is to be treated as an application for a patent under the Act, the date of filing of the earliest application filed in or for a State which is a party to the Convention for the Protection of Industrial Property signed at Paris on 20th March 1883 the priority of which is claimed in a declaration filed for the purposes of Article 8 of the



Patent Co-operation Treaty, provided that such priority claim has not been lost or abandoned under the provisions of that Treaty;

"Journal" means the journal published in accordance with rule 115.

### **Construction**

3. In these Rules, save where otherwise indicated

(a) references to a section are references to that section of the Act;

(b) references to a rule are references to that rule in these Rules;

(c) references to a Schedule are references to that Schedule to these Rules;

(d) references to a form are references to that form as set out in Schedule 1;

and references to the filing of a form or other document are references to filing it at the Patent Office.

### **Forms**

4.-(1) The forms of which the use is required by these Rules (except the forms mentioned in rule 121(1)) are those set out in Schedule 1.

(2) A requirement under these Rules to use such a form is satisfied by the use either of a replica of that form or of a form which is acceptable to the comptroller and contains the information required by the form set out in that Schedule.

(3) A requirement under these Rules to use a form shall not apply if the comptroller, in directions made under section 124A, directs that the information required may be presented in some other manner.

## **Address for service**

30.-(1) There shall be furnished to the comptroller-

(a) by every applicant for the grant of a patent, an address for service in the United Kingdom for the purpose of his application, and

(b) notwithstanding the provisions of paragraphs (2) to (4) below, by every person (including the applicant for, or the proprietor of, a patent, as the case may be) concerned in any proceedings to which any of these Rules relate, an address for service in the United Kingdom, and the address so furnished or, where another address (being an address in the United Kingdom) has been furnished in place thereof, that address shall be treated for the purposes of that application or those proceedings, as appropriate, as the address of that applicant or, as the case may be, of that person.

(2) Upon grant of an application for a patent (not being an application for a European patent (UK)), the applicant's address for service as shown in the register shall be treated as the address for service of the proprietor of the patent unless an alternative address is furnished.

(3) As from publication of the mention of the grant of every European patent (UK) in the European Patent Bulletin, the address for service of the proprietor shall be the address for service notified to the comptroller by or on behalf of the proprietor, whether before or after the said mention of the grant, and in the absence of any such notification the proprietor's address on the register shall be treated as the address for service.

(4) An address for service for an applicant for, or a proprietor of, a patent may be withdrawn by the applicant or the proprietor or the person providing the address for service, as the case may be, by notice to the comptroller; and upon such notification the comptroller may treat the address of the applicant or the proprietor previously notified to him, or the address shown in the register, as the address for service until such time as an alternative address is furnished.

.....

## REGISTRATION

### **Entries in the register**

44.-(1) No entry shall be made in the register in respect of any application for a patent before the application has been published in accordance with section 16.

(2) Upon such publication, the comptroller shall cause to be entered in the register-

- (a) the name and address of the applicant or applicants;
- (b) the name and address of the person or persons stated by the applicant or applicants to be believed to be the inventor or inventors;
- (c) the title of the invention;
- (d) the date of filing and the file number of the application for the patent;
- (e) the date of filing and the file number of any application declared for the purposes of section 5(2) or 127(4) and the country in or for which the application was made;
- (f) the date on which the application was published; and
- (g) the address for service of the applicant or applicants.

Provided that the comptroller may omit from the register the address of the person or persons stated by the applicant or applicants to be believed to be the inventor or inventors, if so requested by the applicant or applicants.

(3) The comptroller shall also cause to be entered in the register-

- (a) the date of filing of the request for substantive examination;

(b) the date on which the application is withdrawn, taken to be withdrawn, treated as having been withdrawn, refused or treated as having been refused;

(c) the date on which the patent is granted;

(d) the name and address of the person or persons to whom the patent is granted if different to the entries made in accordance with paragraph (2)(a) above;

(e) the address for service if different to the entry made in accordance with paragraph (2)(g) above; and

(f) notice of any transaction, instrument or event referred to in section 33(3).

(4) The comptroller may at any time enter in the register such other particulars as he may think fit.

### **Alteration of name or address**

45.-(1) A request by any person, upon the alteration of his name, for that alteration to be entered in the register or on any application or other document filed at the Patent Office shall be made on Patents Form 20/77.

(2) Before acting on a request to alter a name, the comptroller may require such proof of the alteration as he thinks fit.

(3) A request by any person for the alteration or correction of his address or address for service entered in the register or on any application or other document filed at the Patent Office shall, if not made on a form filed under any provision of these Rules, be made in writing and shall identify any relevant application or patent.

(4) If the comptroller is satisfied that a request to alter a name or to alter or correct an address or address for service may be allowed, he shall cause the register, application or other document to be altered accordingly.



### **Registrations under section 33**

46.-(1) An application to register, or to give notice to the comptroller of, any transaction, instrument or event to which section 33 applies shall be made on Patents Form 21/77.

(2) An application under paragraph (1) above shall-

(a) where it relates to an assignment or assignation referred to in section 33(3)(a) or (c), be signed by or on behalf of the parties thereto **or the assignor only**; [emphasis added, rule change 1999]

(b) where it relates to a mortgage or the granting of a licence or sub-licence or security referred to in section 33(3)(b) or (c), be signed by or on behalf of the mortgagor or the grantor of the licence or security, as the case may be;

or be accompanied by such documentary evidence as suffices to establish the transaction, instrument or event.

(3) The comptroller may direct that such evidence as he may require in connection with the application shall be sent to him within such period as he may specify.

.....

### **Inspection of register**

49.-(1) The register or entries or reproductions of entries in it shall be made available for inspection by the public between the hours of 9 am and 5 pm on weekdays, other than Saturdays and days which are specified as excluded days for the purposes of section 120.

(2) A request to be allowed to inspect the register shall be accompanied by the prescribed fee, if any, but a copy of an entry in or extract from the register shall be requested only in accordance with rule 52.

### **Advertisements in relation to register**

50. The comptroller may arrange for the publication and advertisement of such things done under the Act or these Rules in relation to the register as he may think fit.

.....

### **Application by proprietor under section 47(1) for cancellation of entry**

63. An application under section 47(1) shall be-

(a) made on Patents Form 30/77;

(b) accompanied by fees to the amount of the balance of all renewal fees which would have been payable if the entry had not been made; and

(c) advertised by the comptroller in the Journal.

.....

### **Revocation and amendment of patents under section 73**

77.-(1) The opportunity to be given by the comptroller under subsection (1) or (2) of section 73 to the proprietor of a patent to make observations and to amend the specification of the patent shall be given by the comptroller sending to the proprietor notice informing him that he may make the observations and amend the specification and that, if he wishes to do so, he must do so within three months after the notice is sent to him.

(2) Where the comptroller gives leave under section 73 for the specification of the patent to be amended, he may, before the specification is amended, require the applicant to file a new specification as amended, prepared in accordance with rules 16, 18 and 20.

## AMENDMENT OF PATENTS IN INFRINGEMENT OR REVOCATION PROCEEDINGS

### **Amendment of patent under section 75**

78.-(1) Where in any proceedings before the comptroller a proposed amendment to the specification of a patent made under section 75 is to be delivered to the comptroller it shall, if it is reasonably possible, be delivered to the comptroller in electronic form or using electronic communications.

(1A) If the comptroller requires it, notice that a proposal has been made to amend the specification of a patent shall be advertised in the Journal and the advertisement shall state that any person may apply to the comptroller for a copy of the proposed amendment.

(2) Within two months of the date of the advertisement in the Journal, any person may give the comptroller notice of opposition to the proposed amendment on Patents Form 15/77.

(3) Such notice shall be accompanied by a copy thereof and be supported by a statement in duplicate setting out fully the facts upon which the opponent relies and the relief which he seeks. The comptroller shall send a copy of the notice and statement to the proprietor of the patent and any other party to the proceedings before the comptroller.

(4) The comptroller may give such directions as he may think fit with regard to the subsequent procedure.

(5) Where the comptroller gives leave under section 75 for the specification of the patent to be amended, he may, before the specification is amended, require the applicant to file a new specification as amended, prepared in accordance with rules 16, 18 and 20.

.....

## HEARINGS, AGENTS AND CORRECTION OF ERRORS

### Comptroller's discretionary powers

88.-(1) Before exercising any discretionary power vested in him by or under the Act adversely to any party to a proceeding before him, the comptroller shall, unless he considers a different period is appropriate, give that party at least fourteen days' notice of the time when he may be heard.

(1A) At any stage of any proceedings before the comptroller, he may direct that the party or parties to the proceedings attend a case management conference at which he may give such directions as he may think fit with regard to the management of the proceedings. The comptroller shall give the party or parties at least fourteen days notice of the date of the case management conference.

(1B) Before hearing any party or parties that desire to be heard in any proceedings before him, the comptroller may direct that the party or parties attend a pre-hearing review at which he may give such directions as he may think fit with regard to the management of the hearing. The comptroller shall give the party or parties at least fourteen days notice of the date of the pre - hearing review.

(2) If, in any proceedings, a party desires to be heard, he shall give notice in writing to the comptroller, and the comptroller may refuse to hear any party who has not given such notice before the day appointed for the hearing.

(3) In any proceedings, any party who intends to refer at the hearing to any document (other than a report of a decision of any court or of the comptroller) not already mentioned in the proceedings shall, unless the comptroller consents and the other party agrees, give at least fourteen days' notice of his intention with details of, or a copy of, the document to the comptroller and the other party.

(4) After hearing the party or parties desiring to be heard or, if no party so desires, without a hearing, the comptroller shall decide the matter and shall notify all parties of his decision and, if any party so desires, shall give his reasons for the decision.

.....



## **Agents**

90.-(1) Unless the comptroller otherwise directs in any particular case-

(a) all attendances upon him may be made by or through an agent; and

(b) every notice, application or other document filed under the Act may be signed by an agent.

(2) Where after a person has become a party to proceedings before the comptroller he appoints -

(a) an agent for the first time, the newly appointed agent shall file Patents Form 51/77 on or before the first occasion when he acts as agent; or

(b) one agent in substitution for another, the newly appointed agent shall file in duplicate Patents Form 51/77 on or before the first occasion when he acts as agent and the comptroller shall send one copy of the form to the previously appointed agent.

.....

## **Correction of errors in patents and applications**

91.-(1) Except where rule 45(3) or paragraph 4 of Schedule 4 has effect, a request for the correction of an error of translation or transcription or of a clerical error or mistake in any specification of a patent, in an application for a patent or in any document filed in connection with a patent or such an application shall be made on Patents Form 11/77 clearly identifying the proposed correction; and the comptroller may, if he thinks fit, require that the correction be shown on a copy of the document of which correction is sought.

(2) Where such a request relates to a specification, no correction shall be made therein unless the correction is obvious in the sense that it is immediately evident that nothing else would have been intended than what is offered as the correction.

(3) Where the comptroller requires notice of the proposed correction to be advertised, he shall advertise the request and the nature of the proposed correction in the Journal.

(4) At any time within two months after the date of the advertisement, any person may give notice to the comptroller of opposition to the request on Patents Form 15/77.

(5) Such notice shall be accompanied by a copy thereof and be supported by a statement in duplicate setting out fully the facts on which the opponent relies and the relief which he seeks.

(6) The comptroller shall send a copy of the notice and the statement to the person making the request who, if he desires to proceed with the request, shall within the period of two months beginning on the date when the copies are sent to him, file a counter-statement in duplicate setting out fully the grounds on which he contests the opposition and the comptroller shall send a copy of the counter-statement to the opponent.

(7) The comptroller may give such directions as he may think fit with regard to the subsequent procedure.

.....

### **The Journal**

115. The comptroller shall publish a journal containing particulars of applications for patents and other proceedings under the Act and any other information he may deem to be generally useful or important.

.....

## **SCHEDULE 1**

Rule 4(1)

### **GENERAL FORMS**

[The Patents Forms are not reproduced here, but can be downloaded in pdf format from the our website at

<http://www.patent.gov.uk/patent/forms/ukpatsupp.htm> ]

**An unofficial consolidation of the Registered Designs Act 1949 as amended by the Copyright, Designs and Patents Act 1988 (1<sup>st</sup> August 1989), the Registered Designs Regulations 2001 (9<sup>th</sup> December 2001) and the Registered Designs Regulations 2003 (1<sup>st</sup> April 2003)**

*Note: ... .. in text indicates repeal of a section or paragraph.*

## ARRANGEMENT OF SECTIONS

### *Registrable designs and proceedings for registration*

1. Registration of designs.
  - 1A. Substantive grounds for refusal of registration.
  - 1B. Requirement of novelty and individual character.
  - 1C. Designs dictated by their technical function.
  - 1D. Designs contrary to public policy or morality.
2. Proprietorship of designs.
3. Applications for registration.
  - 3A. Determination of applications for registration.
  - 3B. Modification of applications for registration.
  - 3C. Date of registration of designs.
  - 3D. Appeals in relation to applications for registration.
4. ... ..
5. Provisions for secrecy of certain designs.
6. ... ..

### *Effect of registration, etc.*

7. Right given by registration.
  - 7A. Infringements of rights in registered designs.
8. Duration of right in registered design.
  - 8A. Restoration of lapsed right in design.
  - 8B. Effect of order for restoration of right.
9. Exemption of innocent infringer from liability for damages.
10. ... ..
11. Cancellation of registration.
  - 11ZA. Grounds for invalidity of registration.
  - 11ZB. Applications for declaration of invalidity.
  - 11ZC. Determination of applications for declaration of invalidity.
  - 11ZD. Modification of registration.
  - 11ZE. Effect of cancellation or invalidation of registration.
  - 11ZF. Appeals in relation to cancellation or invalidation.
- 11A. Powers exercisable for protection of the public interest.
- 11B. ... ..
12. Use for services of the Crown.

### *International arrangements*

- 13. Orders in Council as to convention countries.
- 14. Registration of design where application for protection in convention country has been made.
- 15. Extension of time for applications under section 14 in certain cases.
- 16. ... ..

### *Register of designs, etc.*

#### **17. Register of designs.**

#### **18. Certificate of registration.**

#### **19. Registration of assignments, etc.**

#### **20. Rectification of register.**

#### **21. Power to correct clerical errors.**

#### **22. Inspection of registered designs.**

- 23. Information as to existence of right in registered design.
- 24. ... ..

### *Legal proceedings and appeals*

- 25. Certificate of contested validity of registration.
- 26. Remedy for groundless threats of infringement proceedings.
- 27. The court.
- 28. The Appeal Tribunal.

### *Powers and duties of registrar*

#### **29. Exercise of discretionary powers of registrar.**

- 30. Costs and security for costs.

#### **31. Evidence before registrar.**

- 32. ... ..

### *Offences*

- 33. Offences under section 5.

#### **34. Falsification of register, etc.**

- 35. Fine for falsely representing a design as registered.

### 35A. Offence by body corporate: liability of officers.

*Rules, etc.*

### 36. General power of Secretary of State to make rules, etc.

### 37. Provisions as to rules and Orders.

38. ... ..

#### *Supplemental*

- 39. Hours of business and excluded days.
- 40. Fees.
- 41. Service of notices, etc., by post.
- 42. Annual report of registrar.
- 43. Savings.
- 44. Interpretation.
- 45. Application to Scotland.
- 46. Application to Northern Ireland.
- 47. Application to Isle of Man.
- 47A. Territorial waters and the continental shelf.
- 48. Repeals, savings and transitional provisions.
- 49. Short title and commencement.

#### SCHEDULES:

##### Schedule A1: Grounds for refusal of registration in relation to emblems etc

- 1. Grounds for refusal in relation to certain emblems etc.
- 2. Grounds for refusal in relation to emblems etc of Paris Convention countries.
- 3. Grounds for refusal in relation to emblems etc of certain international organisations.
- 4. Paragraphs 2 and 3: supplementary.
- 5. Interpretation.

##### Schedule 1: Provisions as to the use of registered designs for the services of the Crown and as to the rights of third parties in respect of such use

- 1. Use of registered designs for services of the Crown.
- 2. Rights of third parties in respect of Crown use.
- 2A. Compensation for loss of profit.
- 3. Reference of disputes as to Crown use.
- 4. Special provisions as to Crown use during emergency



*1.....*

*.....*

*16.....*

***Register of designs, etc.***

**Register of designs**

**17.—**(1) The registrar shall maintain the register of designs, in which shall be entered—

(a) the names and addresses of proprietors of registered designs;

(b) notices of assignments and of transmissions of registered designs; and

(c) such other matters as may be prescribed or as the registrar may think fit.

(2) No notice of any trust, whether express, implied or constructive, shall be entered in the register of designs, and the registrar shall not be affected by any such notice.

(3) The register need not be kept in documentary form.

(4) Subject to the provisions of this Act and to rules made by the Secretary of State under it, the public shall have a right to inspect the register at the Patent Office at all convenient times.

(5) Any person who applies for a certified copy of an entry in the register or a certified extract from the register shall be entitled to obtain such a copy or extract on payment of a fee prescribed in relation to certified copies and extracts; and rules made by the Secretary of State under this Act may provide that any person who applies for an uncertified copy or extract shall be entitled to such a copy or extract on payment of a fee prescribed in relation to uncertified copies and extracts.

(6) Applications under subsection (5) above or rules made by virtue of that subsection shall be made in such manner as may be prescribed.

(7) In relation to any portion of the register kept otherwise than in documentary form—

(a) the right of inspection conferred by subsection (4) above is a right to inspect the material on the register; and

(b) the right to a copy or extract conferred by subsection (5) above or rules is a right to a copy or extract in a form in which it can be taken away and in which it is visible and legible.

(8) Subject to subsection (11) below, the register shall be prima facie evidence of anything required or authorised to be entered in it and in Scotland shall be sufficient evidence of any such thing.

(9) A certificate purporting to be signed by the registrar and certifying that any entry which he is authorised by or under this Act to make has or has not been made, or that any other thing which he is so authorised to do has or has not been done, shall be prima facie evidence, and in Scotland shall be sufficient evidence, of the matters so certified.

(10) Each of the following—

(a) a copy of an entry in the register or an extract from the register which is supplied under subsection (5) above;

(b) a copy or any representation, specimen or document kept in the Patent Office or an extract from any such document, which purports to be a certified copy or certified extract shall, subject to subsection (11) below, be admitted in evidence without further proof and without production of any original; and in Scotland such evidence shall be sufficient evidence.

.....

(12) In this section “certified copy” and “certified extract” means a copy and extract certified by the registrar and sealed with the seal of the Patent Office.

### **Certificate of registration**

**18.—**(1) The registrar shall grant a certificate of registration in the prescribed form to the registered proprietor of a design when the design is registered.

(2) The registrar may, in a case where he is satisfied that the certificate of registration has been lost or destroyed, or in any other case in which he thinks it expedient, furnish one or more copies of the certificate.

**Registration of assignments, etc.**

**19.**—(1) Where any person becomes entitled by assignment, transmission or operation of law to a registered design or to a share in a registered design, or becomes entitled as mortgagee, licensee or otherwise to any other interest in a registered design, he shall apply to the registrar in the prescribed manner for the registration of his title as proprietor or co-proprietor or, as the case may be, of notice of his interest, in the register of designs.

(2) Without prejudice to the provisions of the foregoing subsection, an application for the registration of the title of any person becoming entitled by assignment to a registered design or a share in a registered design, or becoming entitled by virtue of a mortgage, licence or other instrument to any other interest in a registered design, may be made in the prescribed manner by the assignor, mortgagor, licensor or other party to that instrument, as the case may be.

(3) Where application is made under this section for the registration of the title of any person, the registrar shall, upon proof of title to his satisfaction—

(a) where that person is entitled to a registered design or a share in a registered design, register him in the register of designs as proprietor or co-proprietor of the design, and enter in that register particulars of the instrument or event by which he derives title; or

(b) where that person is entitled to any other interest in the registered design, enter in that register notice of his interest, with particulars of the instrument (if any) creating it.

(3A) Where national unregistered design right subsists in a registered design, the registrar shall not register an interest under subsection (3) unless he is satisfied that the person entitled to that interest is also entitled to a corresponding interest in the national unregistered design right.

(3B) Where national unregistered design right subsists in a registered design and the proprietor of the registered design is also the design right owner, an assignment of the national unregistered

design right shall be taken to be also an assignment of the right in the registered design, unless a contrary intention appears.

(4) Subject to any rights vested in any other person of which notice is entered in the register of designs, the person or persons registered as proprietor of a registered design shall have power to assign, grant licences under, or otherwise deal with the design, and to give effectual receipts for any consideration for any such assignment, licence or dealing. Provided that any equities in respect of the design may be enforced in like manner as in respect of any other personal property.

(5) Except for the purposes of an application to rectify the register under the following provisions of this Act, a document in respect of which no entry has been made in the register of designs under subsection (3) of this section shall not be admitted in any court as evidence of the title of any person to a registered design or share of or interest in a registered design unless the court otherwise directs.

### **Rectification of register**

**20.**—(1) The court may, on the application of the relevant person, order the register of designs to be rectified by the making of any entry therein or the variation or deletion of any entry therein.

(1A) In subsection (1) above “the relevant person” means—

(a) in the case of an application invoking any ground referred to in section 1A(1)(c) of this Act, any person concerned by the use in question;

(b) in the case of an application invoking the ground mentioned in section 1A(2) of this Act, the appropriate person;

(c) in the case of an application invoking any ground mentioned in section 11ZA(2),

(3) or (4) of this Act, the person able to make the objection;

(d) in any other case, any person aggrieved.

(1B) In subsection (1A) above “the appropriate person” means, in relation to an earlier design protected by virtue of registration under this Act or the Community Design Regulation or an application for such registration, the registered proprietor of the design, the holder of the registered Community design or (as the case may be) the applicant.

(2) In proceedings under this section the court may determine any question which it may be necessary or expedient to decide in connection with the rectification of the register.

(3) Notice of any application to the court under this section shall be given in the prescribed manner to the registrar, who shall be entitled to appear and be heard on the application, and shall appear if so directed by the court.

(4) Any order made by the court under this section shall direct that notice of the order shall be served on the registrar in the prescribed manner; and the registrar shall, on receipt of the notice, rectify the register accordingly.

(5) A rectification of the register under this section has effect as follows—

(a) an entry made has effect from the date on which it should have been made;

(b) an entry varied has effect as if it had originally been made in its varied form, and

(c) an entry deleted shall be deemed never to have had effect, unless, in any case, the court directs otherwise.

(6) Orders which may be made by the court under this section include, in particular, declarations of partial invalidity.

### **Power to correct clerical errors**

**21.**—(1) The registrar may, in accordance with the provisions of this section, correct any error in an application for the registration or in the representation of a design, or any error in the register of designs.

(2) A correction may be made in pursuance of this section either upon a request in writing made by any person interested and accompanied by the prescribed fee, or without such a request.

(3) Where the registrar proposes to make any such correction as aforesaid otherwise than in pursuance of a request made under this section, he shall give notice of the proposal to the registered proprietor or the applicant for registration of the design, as the case may be, and to any other person who appears to him to be concerned, and shall give them an opportunity to be heard before making the correction.

### **Inspection of registered designs**

**22.**—(1) Where a design has been registered under this Act, there shall be open to inspection at the Patent Office on and after the day on which the certificate of registration is issued, the representation or specimen of the design.



This subsection has effect subject to the following provisions of this section and to any rules made under section 5(2) of this Act.

(2) Where—

(a) a design has been registered;

(b) a product to which the design was intended to be applied or in which it was intended to be incorporated was specified, in accordance with rules made under section 36 of this Act, in the application for the registration of the design; and

(c) the product so specified falls within any class prescribed for the purposes of this subsection, no representation, specimen or evidence filed in pursuance of the application shall, until the expiration of such period after the day on which the certificate of registration is issued as may be prescribed in relation to products of that class, be open to inspection at the Patent Office except by the registered proprietor, a person authorised in writing by the registered proprietor, or a person authorised by the registrar or by the court:

Provided that where the registrar proposes to refuse an application for the registration of any other design on the ground that, by reference to the first-mentioned design, it is not new or does not Have individual character, the applicant shall be entitled to inspect the representation or specimen of the first-mentioned design filed in pursuance of the application for registration of that design.

(3) In the case of a registered design and a specified product which falls within any class prescribed for the purposes of the last foregoing subsection, the representation, specimen or evidence shall not, during the period prescribed as aforesaid, be inspected by any person by virtue of this section except in the presence of the registrar or of an officer acting under him;

and except in the case of an inspection authorised by the proviso to that subsection, the person making the inspection shall not be entitled to take a copy of the representation, specimen or evidence or any part thereof.

(4) Where an application for the registration of a design has been abandoned or refused, neither the application for registration nor any representation, specimen or evidence filed in pursuance

thereof shall at any time be open to inspection at the Patent Office or be published by the registrar.

23.....

28.....

### ***Powers and duties of registrar***

#### **Exercise of discretionary powers of registrar**

**29.**— Without prejudice to any provisions of this Act requiring the registrar to hear any party to proceedings thereunder, or to give to any such party an opportunity to be heard, rules made by the Secretary of State under this Act shall require the registrar to give to any applicant for registration of a design an opportunity to be heard before exercising adversely to the applicant any discretion vested in the registrar by or under this Act.

30.....

#### **Evidence before registrar**

**31.**— Rules made by the Secretary of State under this Act may make provision—

(a) as to the giving of evidence in proceedings before the registrar under this Act by affidavit or statutory declaration;

(b) conferring on the registrar the powers of an official referee of the Supreme Court as regards the examination of witnesses on oath and the discovery and production of documents; and

(c) applying in relation to the attendance of witnesses in proceedings before the registrar the rules applicable to the attendance of witnesses in proceedings before such a referee.

32.....

33.....

**Falsification of register, etc.**

**34.**— If any person makes or causes to be made a false entry in the register of designs, or a writing falsely purporting to be a copy of an entry in that register, or produces or tenders or causes to be produced or tendered in evidence any such writing, knowing the entry or writing to be false, he shall be guilty of an offence and liable—

(a) on conviction on indictment to imprisonment for a term not exceeding two years or a fine, or both;

(b) on summary conviction to imprisonment for a term not exceeding six months or a fine not exceeding the statutory maximum, or both.

.....

**Offence by body corporate: liability of officers**

**35A.**—(1) Where an offence under this Act committed by a body corporate is proved to have been committed with the consent or connivance of a director, manager, secretary or other similar officer of the body, or a person purporting to act in any such capacity, he as well as the body corporate is guilty of the offence and liable to be proceeded against and punished accordingly.

(2) In relation to a body corporate whose affairs are managed by its members “director” means a member of the body corporate.

***Rules, etc.***

**General power of Secretary of State to make rules, etc.**

**36.**—(1) Subject to the provisions of this Act, the Secretary of State may make such rules as he thinks expedient for regulating the business of the Patent Office in relation to designs and for regulating all matters by this Act placed under the direction or control of the registrar or the Secretary of State.

(1A) Rules may, in particular, make provision—

(a) prescribing the form of applications for registration of designs and of any representations or specimens of designs or other documents which may be filed at the Patent Office, and requiring copies to be furnished of any such representations, specimens or documents;

(ab) requiring applications for registration of designs to specify—

(i) the products to which the designs are intended to be applied or in which they are intended to be incorporated.

(ii) the classification of the designs by reference to such test as may be prescribed.

(b) regulating the procedure to be followed in connection with any application or request to the registrar or in connection with any proceeding before him, and authorising the rectification of irregularities of procedure;

(c) providing for the appointment of advisers to assist the registrar in proceedings before him;

(d) regulating the keeping of the register of designs;

(e) authorising the publication and sale of copies of representations of designs and other documents in the Patent Office.

(f) prescribing anything authorised or required by this Act to be prescribed by rules.

(1B) The remuneration of an adviser appointed to assist the registrar shall be determined by the Secretary of State with the consent of the Treasury and shall be defrayed out of money provided by Parliament.

- (1) Rules made under this section may provide for the establishment of branch offices for designs and may authorise any document or thing required by or under this Act to be filed or done at the

Patent Office to be filed or done at the branch office at Manchester or any other branch office established in pursuance of the rules.

(2)

### **Provisions as to rules and Orders**

**37.— ... ..**

(2) Any rules made by the Secretary of State in pursuance of section 15 of this Act, and any order made, direction given, or other action taken under the rules by the registrar, may be made, given or taken so as to have effect as respects things done or omitted to be done on or after such date, whether before or after the coming into operation of the rules or of this Act, as may be specified in the rules.

(3) Any power to make rules conferred by this Act on the Secretary of State or on the Appeal Tribunal shall be exercisable by statutory instrument; and the Statutory Instruments Act 1946 shall apply to a statutory instrument containing rules made by the Appeal Tribunal in like manner as if the rules had been made by a Minister of the Crown.

(4) Any statutory instrument containing rules made by the Secretary of State under this Act shall be subject to annulment in pursuance of a resolution of either House of Parliament.

(5) Any Order in Council made under this Act may be revoked or varied by a subsequent Order in Council.

**38.....**

**.....**

**49.....**

[INDEX](#)

---



**An unofficial consolidation of the Registered Designs Rules 1995 as amended by the Registered Designs (Amendment) Rules 1999 (22<sup>nd</sup> December 1999) and the Registered Designs (Amendment) Rules 2001 (9<sup>th</sup> December 2001)**

*Note: ... .. in text indicates the omission of a previous rule.*

## ARRANGEMENT OF RULES

### **Preliminary**

- 1 Citation and commencement
- 2 Interpretation
- 3 Revocation
- [4 Forms](#)

### **Documents**

- [5 Size and presentation of documents](#)
- [6 Signature of documents](#)
- [7 Service of documents](#)

### **Address**

- [8 Address for service](#)
- 9 Failure to provide address for service

### **Agents**

- [10 Appointment of agents](#)
- [11 Appointment of agent after start of proceedings](#)

### **Applications for registration**

- 12 Form for applications
- 13 ... ..
- 14 Product to which design is intended to be applied or in which it is intended to be incorporated
- 15 Partial disclaimers in relation to applications
- 16 ... ..

### **Representations and specimens**

- 17 Supply of representations and specimens
- 17A Descriptions explaining representations
- 18 ... ..
- 19 Size and presentation of representations
- 20 Drawings or tracings
- 21 Replacement of specimens by representations
- 22 ... ..
- 23 Repeating surface patterns
- 24 ... ..
- 25 ... ..
- 26 ... ..

**Convention applications**

27 Declarations

28 Copies and translations

**Procedure on receipt of application**

29 Statement of objections by registrar

30 Decision of registrar to be communicated in writing

31 Appeal from registrar's decision

**Certificate of registration**

32 Form of certificate

33 Copy of certificate

34 ... ..

35 ... ..

**Non-completion**

36 Time limits

**Modification of applications for registration**

36A Period prescribed for the purposes of section 3B(3)

**Death of applicant**

37 Substitution

**Extension of duration of right in registered design**

38 Extension for further periods of five years

39 Notice of expiry of the right in a registered design

40 Late extensions

41 Restoration of lapsed right in a design under section 8A

**Registration of assignments, etc.**

[42 Procedure for application for registration](#)

[43 Other transaction, event or document](#)

[44 Particulars to be provided](#)

45 Cancellation of claim to be mortgagee or licensee

[46 Alteration of name or address](#)

**Correction of errors**

[47 Request for correction](#)

**Discretionary power**

[48 Exercise of discretionary powers of registrar](#)

**Dispensation by registrar**

[49 Registrar's power to dispense from rules](#)

**Amendments**

[50 Registrar's power to allow amendments and rectify irregularities in procedure](#)

**Extension of time**

[51 Registrar's power to extend times prescribed by rules](#)

**Application for invalidation of registration of design under section 11ZB**

52 Procedure for application

53 Opposition by registered proprietor

54 Evidence of applicant

55 Evidence of registered proprietor and evidence in reply

56 Prohibition on further evidence

57 Procedure for hearing

**Cancellation under section 11(1)**

58 Request for cancellation

59 ... ..

**Costs**

60 Costs of proceedings

61 Security for costs

**Evidence before registrar**

62 Evidence

63 Form and content of statutory declaration, witness statement or affidavit

64 Making and subscription of statutory declaration or affidavit

64A Making of witness statement

65 Registrar's power to require documents, information or evidence

**Advisers**

66 Registrar's power to appoint advisers

**Inspection of register and documents**

[67 Inspection by public](#)

68 Direction by registrar under section 5(1)

69 Prohibition on inspection under section 22(2)

**Searches**

70 Procedure when registration number known

71 Procedure when registration number unknown or general search

**Certificates and copies supplied by registrar**

72 Certificates supplied by registrar

73 Copies supplied by registrar

**Hours of business and excluded days**

74 Hours of business

75 Excluded days

76 Calculation of times or periods

**Orders of the court**

77 Service of application on registrar

78 Filing of order with registrar

## **Schedules**

### **Schedule 1 - General Forms**

## **Preliminary**

### *Citation and commencement*

1. These rules may be cited as the Registered Designs Rules 1995 incorporating the Registered Designs (Amendment) Rules 2001.

### *Interpretation*

2. In these rules, unless the context otherwise requires:

"the Act" means the Registered Designs Act 1949 and "section" means a section of the Act;

"convention application" means an application in the United Kingdom under section 14;

"Journal" means the journal published by the Comptroller-General of Patents, Designs and Trade Marks under the Patents Act 1977;

"register" means the register of designs kept under section 17;

"specimen" means a product to which a design is applied or in which it is incorporated;

"textile product" means textile and plastics piece goods, handkerchiefs, shawls and such other classes of products of a similar character as the registrar may from time to time decide; but does not include wallpaper and similar wall covering or lace goods;

"United Kingdom" includes the Isle of Man.

### *Revocation*

3. The Registered Designs Rules 1989 and the Registered Designs (Amendment) Rules 1990 are hereby revoked.

## **Forms**

4. (1) The forms mentioned in these rules are those set out in Schedule 1 to these rules.

(2) A requirement under these rules to use a form set out in Schedule 1 to these rules is satisfied by the use either of a replica of that form or of a form which contains the information required by the form set out in the said schedule and which is acceptable to the registrar.

## **Documents**

### *Size and presentation of documents*

5. Subject to any directions that may be given by the registrar in any particular case, all applications, notices, papers having representations affixed, and other documents filed under the Act or these rules shall be upon strong paper of a size approximately A4 and on one side only.

### *Signature of documents*

6. (1) This rule applies to any notice, application or other document required or authorised by the Act or these rules to be given, made or filed at the Patent Office and such a notice, application or other document is referred to in the following paragraphs of this rule as a "document".

(2) A document filed by or on behalf of a firm which is concerned in any proceedings to which these rules relate as principal and not as an agent shall contain the names of all the partners in full and shall be signed by all the partners, by any partner stating that he signs on behalf of the firm (or, in the case of a firm formed under the law of Scotland, by any partner in the firm's name) or by any other person who satisfies the registrar that he is authorised to sign the document.

(3) A document signed for or on behalf of a body corporate shall be signed by a director or the secretary or other principal officer of the body or by any other person who satisfies the registrar that he is authorised to sign the document.

(4) A document signed for or on behalf of an unincorporated body or association of persons other than a firm may be signed by any person who satisfies the registrar that he is authorised to sign the document.

### *Service of documents*

7. Any notice, application or other document sent to the Patent Office by posting it in the United Kingdom shall be deemed to have been given, made or filed at the time when the letter containing it would be delivered in the ordinary course of post.



## **Address**

### *Address for service*

8. (1) There shall be furnished to the registrar:

(a) by every applicant for the registration of a design, an address for service in the United Kingdom for the purpose of his application; and

(b) notwithstanding the provisions of paragraphs (2) and (3) below, by every person (including the applicant for registration of a design or the proprietor of a registered design, as the case may be) concerned in any proceedings to which any of these rules relate, an address for service in the United Kingdom, and the address so furnished or, where another address (being an address in the United Kingdom) has been furnished in place thereof, that address shall be treated for the purposes of that application or those proceedings, as appropriate, as the address of that applicant or, as the case may be, of that person.

(2) Upon the registration of a design, the applicant's address for service shall be treated as the address for service of the proprietor of the registered design unless an alternative address is furnished.

(3) An address for service for an applicant for registration of a design, or a proprietor of a registered design, may be withdrawn by the applicant or the proprietor or an agent or other person providing the address for service, as the case may be, by notice to the registrar; and upon such notification the registrar may treat the address of the applicant or the proprietor previously notified to him, or the address shown in the register, as the address for service until such time as an alternative address is furnished.

9. ....

## **Agents**

### *Appointment of agents*

10. Unless the registrar otherwise directs in any particular case, anything required or authorised by these rules to be done by or in relation to any person may be done by, or in relation to, his agent.

### *Appointment of agent after start of proceedings*

11. Where after a person has become a party to proceedings before the registrar he appoints:

(a) an agent for the first time, the newly appointed agent shall file Designs Form 1A on or before the first occasion when he acts as agent; or

(b) one agent in substitution for another, the newly appointed agent shall file in duplicate Designs Form 1A on or before the first occasion when he acts as agent and the comptroller shall send one copy of the form to the previously appointed agent.

12.....

.....

41.....

## **Registration of assignments, etc**

### *Procedure for application for registration*

42. (1) An application under section 19(1) or (2) for the registration of the title of any person becoming entitled by assignment, transmission or operation of law to a registered design or to a share in a registered design, or becoming entitled as mortgagee, licensee or otherwise to any interest in a registered design shall be made on Designs Form 12A.

(2) An application under paragraph (1) above shall:

(a) where it relates to an assignment as mentioned in section 19(1) or (2), be signed by or on behalf of the parties thereto;

(b) where it relates to a mortgage or the granting of a licence as mentioned in section 19(1) or (2), be signed by or on behalf of the mortgagor or the grantor of the licence, as the case may be;

or be accompanied by such documentary evidence as suffices to establish the assignment, transmission or operation of law.

(3) The registrar may direct that such evidence as he may require in connection with the application should be furnished within such period as he may specify.

*Other transaction, event or document*

43. Application may be made in writing for entry in the register of notification of any transaction, event or document other than those referred to in rule 42 purporting to affect the proprietorship of, or any interest in, a registered design. The registrar may direct that such evidence as he may require in connection with the application should be furnished within such period as he may specify.

*Particulars to be provided*

44. An application under rule 42(1) above shall contain the name and address of the person claiming or stated to be entitled together with full particulars of the transaction, event or document under which title is claimed or given.

45 .....

*Alteration of name or address*

46. (1) A request by any person upon the alteration of his name for that alteration to be entered in the register or on any application or other document filed at the Patent Office shall be made on Designs Form 16A.

(2) Before acting on a request to alter a name, the registrar may require such proof of the alteration as he thinks fit.

(3) A request by any person for the alteration or correction of his address or address for service entered in the register or on any application or other document filed at the Patent Office shall be made in writing and shall identify the entry in the register or the application or other document to which the request relates.

(4) Where any person files a form under these rules and on that form he specifies as his address or address for service an address which differs from the address or address for service (as the case may be) which he has previously furnished to the registrar, he shall be deemed, in relation to the design to which the form relates, to have made a request in writing under paragraph (3) above in respect of any address or address for service of his (as the case may be) entered in the register and on any application or other document filed at the Patent Office.

(5) If the registrar is satisfied that the request to alter a name, address or address for service may be allowed, he shall cause the register, application or other document to be altered accordingly.

### **Correction of errors**

#### *Request for correction*

47. Where a person interested desires, under the provisions of section 21, to correct an error, he shall make his request on Designs Form 16A (unless the error relates to his address or address for service).

### **Discretionary power**

#### *Exercise of discretionary powers of registrar*

48. (1) Without prejudice to any provision of the Act or these rules requiring the registrar to hear any party to proceedings under the Act, or to give any such party an opportunity to be heard, the registrar shall, before exercising any discretion vested in him by or under the Act adversely to any party to a proceeding before him, give that party an opportunity to be heard.

(2) The registrar shall give that party at least fourteen days' notice of the time and date when he may be heard unless he considers a different period is appropriate.

(3) At any stage of any proceedings before the registrar, he may direct that the party or parties to the proceedings attend a case management conference at which he may give such directions as he may think fit with regard to the management of the proceedings. The registrar shall give the party or parties at least fourteen days notice of the date of the case management conference.

(4) Before hearing any party or parties that desire to be heard, the registrar may direct that the party or parties to any proceedings attend a pre-hearing review at which he may give such directions as to the management of the hearing as he may think fit. The registrar shall give the party or parties at least fourteen days notice of the date of the pre-hearing review.

### **Dispensation by registrar**

#### *Registrar's power to dispense from rules*

49. Where under these rules any person is required to do any act or thing, or any document or evidence is required to be produced or filed and it is shown to the satisfaction of the registrar that from any reasonable cause that person is unable to do that act or thing, or that document or evidence cannot be produced or filed the registrar may, upon the production of such evidence and subject to such terms as he thinks fit, dispense with the doing of any such act or thing, or the production or filing of that document or evidence.

### **Amendments**

#### *Registrar's power to allow amendments and rectify irregularities in procedure*

50. If the registrar thinks fit any document or drawing or other representation of a design may be amended, and any irregularity in procedure may be rectified, on such terms as the registrar may direct.

### **Extension of time**

#### *Registrar's power to extend times prescribed by rules*

51. The times or periods prescribed by these rules for doing any act or taking any proceeding thereunder, other than the period prescribed in rule 41(1) above, may be extended by the registrar if he thinks fit, upon such notice and upon such terms as he may direct, and such extension may



be granted although the time or period for doing such act or taking such proceeding has already expired.

## **Inspection of register and documents**

### *Inspection by public*

67. The register (or the material on the register) and the material available for inspection pursuant to section 22 shall be made available for inspection by the public on payment of the prescribed fee between the hours of nine a.m. and five p.m. on weekdays, other than Saturdays and days which are specified as excluded days for the purposes of section 39.

.....

## **SCHEDULE 1**

Rule 4

### **GENERAL FORMS**

#### **List of Forms**

- 1A Appointment or change of agent.
- 2A Application for registration of a design.
- 7 Request for statement of grounds of decision.
- 8 Request for extension of time to complete an application for the registration of a design.
- 9A Application to extend the period of protection.
- 12A Application to register or give notice of rights acquired in a registered design or in an application to register a design.
- 16A Request for alteration of name, or for correction of error.
- 19A Application or request for a compulsory licence, licence of right or cancellation of registration.
- 21 Request for search among registered designs.
- 23 Request for certificate of the registrar, or certified copies.
- 29 Application to restore a registered design.
- 30 Fee for restoration of a registered design.

[INDEX](#)

---

**Trade Marks Act 1994**

*This text has been prepared from the original and authoritative version of the **Trade Marks Act 1994**, ISBN 0 10 542694 6. Printed copies of the authoritative version are published by The Stationery Office Limited, and available from them. For details see [How to obtain The Stationery Office Limited titles](#).*

**ARRANGEMENT OF SECTIONS****PART I****REGISTERED TRADE MARKS***Introductory*

1. Trade marks.
2. Registered trade marks.

*Grounds for refusal of registration*

3. Absolute grounds for refusal of registration.
4. Specially protected emblems.
5. Relative grounds for refusal of registration.
6. Meaning of “earlier trade mark”.
7. Raising of relative grounds in case of honest concurrent use.
8. Power to require that relative grounds be raised in opposition proceedings.

*Effects of registered trade mark*

9. Rights conferred by registered trade mark.
10. Infringement of registered trade mark.
11. Limits on effect of registered trade mark.
12. Exhaustion of rights conferred by registered trade mark.
13. Registration subject to disclaimer or limitation.

*Infringement proceedings*

14. Action for infringement.
15. Order for erasure, &c. of offending sign.
16. Order for delivery up of infringing goods, material or articles.
17. Meaning of “infringing goods, material or articles”.
18. Period after which remedy of delivery up not available.
19. Order as to disposal of infringing goods, material or articles.
20. Jurisdiction of sheriff court or county court in Northern Ireland.
21. Remedy for groundless threats of infringement proceedings.

*Registered trade mark as object of property*

- 22. Nature of registered trade mark.
- 23. Co-ownership of registered trade mark.

**24. Assignment, &c. of registered trade mark.**

**25. Registration of transactions affecting registered trade mark.**

**26. Trusts and equities.**

- 27. Application for registration of trade mark as an object of property.

*Licensing*

- 28. Licensing of registered trade mark.
- 29. Exclusive licences.
- 30. General provisions as to rights of licensees in case of infringement.
- 31. Exclusive licensee having rights and remedies of assignee.

*Application for registered trade mark*

- 32. Application for registration.
- 33. Date of filing.
- 34. Classification of trade marks.

*Priority*

- 35. Claim to priority of Convention application.
- 36. Claim to priority from other relevant overseas application.

*Registration procedure*

- 37. Examination of application.
- 38. Publication, opposition proceedings and observations.
- 39. Withdrawal, restriction or amendment of application.
- 40. Registration.
- 41. Registration: supplementary provisions.

*Duration, renewal and alteration of registered trade mark*

- 42. Duration of registration.
- 43. Renewal of registration.
- 44. Alteration of registered trade mark.

*Surrender, revocation and invalidity*

- 45. Surrender of registered trade mark.
- 46. Revocation of registration.
- 47. Grounds for invalidity of registration.
- 48. Effect of acquiescence.

#### *Collective marks*

- 49. Collective marks.

#### *Certification marks*

- 50. Certification marks.

### PART II

### COMMUNITY TRADE MARKS AND INTERNATIONAL MATTERS

#### *Community trade marks*

- 51. Meaning of “Community trade mark”.
- 52. Power to make provision in connection with Community Trade Mark Regulation.

#### *The Madrid Protocol: international registration*

- 53. The Madrid Protocol.
- 54. Power to make provision giving effect to Madrid Protocol.

#### *The Paris Convention: supplementary provisions*

- 55. The Paris Convention.
- 56. Protection of well-known trade marks: Article 6*bis*.
- 57. National emblems, &c. of Convention countries: Article 6*ter*.
- 58. Emblems, &c. of certain international organisations: Article 6*ter*.
- 59. Notification under Article 6*ter* of the Convention.
- 60. Act of agent or representative: Article 6*septies*.

#### *Miscellaneous*

#### **61. Stamp duty.**

### PART III

## ADMINISTRATIVE AND OTHER SUPPLEMENTARY PROVISIONS

### *The registrar*

62. The registrar.

### *The register*

#### **63. The register.**

#### **64. Rectification or correction of the register.**

65. Adaptation of entries to new classification.

### *Powers and duties of the registrar*

#### **66. Power to require use of forms.**

#### **67. Information about applications and registered trade marks.**

68. Costs and security for costs.

#### **69. Evidence before registrar.**

70. Exclusion of liability in respect of official acts.

71. Registrar's annual report.

### *Legal proceedings and appeals*

#### **72. Registration to be prima facie evidence of validity.**

73. Certificate of validity of contested registration.

74. Registrar's appearance in proceedings involving the register.

75. The court.

#### **76. Appeals from the registrar.**

77. Persons appointed to hear and determine appeals.

### *Rules, fees, hours of business, &c.*

#### **78. Power of Secretary of State to make rules.**

79. Fees.

80. Hours of business and business days.

#### **81. The trade marks journal.**



*Trade mark agents, &c.*

## **82. Recognition of agents.**

- 83. The register of trade mark agents.
- 84. Unregistered persons not to be described as registered trade mark agents.
- 85. Power to prescribe conditions, &c. for mixed partnerships and bodies corporate.
- 86. Use of the term “trade mark attorney”.
- 87. Privilege for communications with registered trade mark agents.
- 88. Power of registrar to refuse to deal with certain agents.

*Importation of infringing goods, material or articles*

- 89. Infringing goods, material or articles may be treated as prohibited goods.
- 90. Power of Commissioners of Customs and Excise to make regulations.
- 91. Power of Commissioners of Customs and Excise to disclose information.

*Offences*

- 92. Unauthorised use of trade mark, &c. in relation to goods.
- 93. Enforcement function of local weights and measures authority.

## **94. Falsification of register, &c.**

- 95. Falsely representing trade mark as registered.
- 96. Supplementary provisions as to summary proceedings in Scotland.

*Forfeiture of counterfeit goods, &c.*

- 97. Forfeiture: England and Wales or Northern Ireland.
- 98. Forfeiture: Scotland.

## **PART IV MISCELLANEOUS AND GENERAL PROVISIONS**

*Miscellaneous*

- 99. Unauthorised use of Royal arms, &c.
- 100. Burden of proving use of trade mark.

## **101. Offences committed by partnerships and bodies corporate.**

### *Interpretation*

- 102. Adaptation of expressions for Scotland.
- 103. Minor definitions.
- 104. Index of defined expressions.

### *Other general provisions*

- 105. Transitional provisions.
- 106. Consequential amendments and repeals.
- 107. Territorial waters and the continental shelf.
- 108. Extent.
- 109. Commencement.
- 110. Short title.

### SCHEDULES:

- Schedule 1 - Collective marks.
- Schedule 2 - Certification marks.
- Schedule 3 - Transitional provisions.
- Schedule 4 - Consequential amendments.
- Schedule 5 - Repeals and revocations.

### *Registered trade mark as object of property*

**1.....**

**.....**

**23.....**

**24.** - (1) A registered trade mark is transmissible by assignment, testamentary disposition or operation of law in the same way as other personal or moveable property.

It is so transmissible either in connection with the goodwill of a business or independently.

(2) An assignment or other transmission of a registered trade mark may be partial, that is, limited so as to apply-

- (a) in relation to some but not all of the goods or services for which the trade mark is registered, or

(b) in relation to use of the trade mark in a particular manner or a particular locality.

(3) An assignment of a registered trade mark, or an assent relating to a registered trade mark, is not effective unless it is in writing signed by or on behalf of the assignor or, as the case may be, a personal representative.

Except in Scotland, this requirement may be satisfied in a case where the assignor or personal representative is a body corporate by the affixing of its seal.

(4) The above provisions apply to assignment by way of security as in relation to any other assignment.

(5) A registered trade mark may be the subject of a charge (in Scotland, security) in the same way as other personal or moveable property.

(6) Nothing in this Act shall be construed as affecting the assignment or other transmission of an unregistered trade mark as part of the goodwill of a business.

**25. -** (1) On application being made to the registrar by-

- (a) a person claiming to be entitled to an interest in or under a registered trade mark by virtue of a registrable transaction, or
- (b) any other person claiming to be affected by such a transaction, the prescribed particulars of the transaction shall be entered in the register.

(2) The following are registrable transactions-

- (a) an assignment of a registered trade mark or any right in it;
- (b) the grant of a licence under a registered trade mark;
- (c) the granting of any security interest (whether fixed or floating) over a registered trade mark or any right in or under it;
- (d) the making by personal representatives of an assent in relation to a registered trade mark or any right in or under it;
- (e) an order of a court or other competent authority transferring a registered trade mark or any right in or under it.

(3) Until an application has been made for registration of the prescribed particulars of a registrable transaction-

(a) the transaction is ineffective as against a person acquiring a conflicting interest in or under the registered trademark in ignorance of it, and

(b) a person claiming to be a licensee by virtue of the transaction does not have the protection of section 30 or 31 (rights and remedies of licensee in relation to infringement).

(4) Where a person becomes the proprietor or a licensee of a registered trade mark by virtue of a registrable transaction, then unless-

(a) an application for registration of the prescribed particulars of the transaction is made before the end of the period of six months beginning with its date, or

(b) the court is satisfied that it was not practicable for such an application to be made before the end of that period and that an application was made as soon as practicable thereafter, he is not entitled to damages or an account of profits in respect of any infringement of the registered trade mark occurring after the date of the transaction and before the prescribed particulars of the transaction are registered.

(5) Provision may be made by rules as to-

(a) the amendment of registered particulars relating to a licence so as to reflect any alteration of the terms of the licence, and

(b) the removal of such particulars from the register-

(i) where it appears from the registered particulars that the licence was granted for a fixed period and that period has expired, or

(ii) where no such period is indicated and, after such period as may be prescribed, the registrar has notified the parties of his intention to remove the particulars from the register.

(6) Provision may also be made by rules as to the amendment or removal from the register of particulars relating to a security interest on the application of, or with the consent of, the person entitled to the benefit of that interest.

**26.** - (1) No notice of any trust (express, implied or constructive) shall be entered in the register;

and the register shall not be affected by any such notice.

(2) Subject to the provisions of this Act, equities (in Scotland, rights) in respect of a registered trade mark may be enforced in like manner as in respect of other personal or moveable property.

**27.....**

**.....**

**60.....**

#### *Miscellaneous*

**61.** Stamp duty shall not be chargeable on an instrument relating to a Community trade mark or an international trade mark (UK), or an application for any such mark, by reason only of the fact that such a mark has legal effect in the United Kingdom.

**62.....**

#### *The register*

**63.** - (1) The registrar shall maintain a register of trade marks.

References in this Act to “the register” are to that register; and references to registration (in particular, in the expression “registered trade mark”) are, unless the context otherwise requires, to registration in that register.

(2) There shall be entered in the register in accordance with this Act-

(a) registered trade marks,

(b) such particulars as may be prescribed of registrable transactions affecting a registered trade mark, and

(c) such other matters relating to registered trade marks as may be prescribed.

(3) The register shall be kept in such manner as may be prescribed, and provisions shall in particular be made for-

(a) public inspection of the register, and

(b) the supply of certified or uncertified copies, or extracts, of entries in the register.

**64.** - (1) Any person having a sufficient interest may apply for the rectification of an error or omission in the register:

Provided that an application for rectification may not be made in respect of a matter affecting the validity of the registration of a trade mark.

(2) An application for rectification may be made either to the registrar or to the court, except that-

(a) if proceedings concerning the trade mark in question are pending in the court, the application must be made to the court; and

(b) if in any other case the application is made to the registrar, he may at any stage of the proceedings refer the application to the court.

(3) Except where the registrar or the court directs otherwise, the effect of rectification of the register is that the error or omission in question shall be deemed never to have been made.

(4) The registrar may, on request made in the prescribed manner by the proprietor of a registered trade mark, or a licensee, enter any change in his name or address as recorded in the register.

(5) The registrar may remove from the register matter appearing to him to have ceased to have effect.

**65.....**

*Powers and duties of the registrar*

**66.** - (1) The registrar may require the use of such forms as he may direct for any purpose relating to the registration of a trade mark or any other proceeding before him under this Act.

(2) The forms, and any directions of the registrar with respect to their use, shall be published in



the prescribed manner.

**67.** - (1) After publication of an application for registration of a trade mark, the registrar shall on request provide a person with such information and permit him to inspect such documents relating to the application, or to any registered trade mark resulting from it, as may be specified in the request, subject, however, to any prescribed restrictions.

Any request must be made in the prescribed manner and be accompanied by the appropriate fee (if any).

(2) Before publication of an application for registration of a trade mark, documents or information constituting or relating to the application shall not be published by the registrar or communicated by him to any person except-

(a) in such cases and to such extent as may be prescribed, or

(b) with the consent of the applicant;

but subject as follows.

(3) Where a person has been notified that an application for registration of a trade mark has been made, and that the applicant will if the application is granted bring proceedings against him in respect of acts done after publication of the application, he may make a request under subsection (1) notwithstanding that the application has not been published and that subsection shall apply accordingly.

**67.....**

**68.....**

**69.** Provision may be made by rules-

(a) as to the giving of evidence in proceedings before the registrar under this Act by affidavit or statutory declaration;

(b) conferring on the registrar the powers of an official referee of the Supreme Court as regards the examination of witnesses on oath and the discovery and production of documents; and

(c) applying in relation to the attendance of witnesses in proceedings before the registrar the rules applicable to the attendance of witnesses before such a referee.

**70.....**

**71.....**

*Legal proceedings and appeals*

**72.** In all legal proceedings relating to a registered trade mark (including proceedings for rectification of the register) the registration of a person as proprietor of a trade mark shall be prima facie evidence of the validity of the original registration and of any subsequent assignment or other transmission of it.

**73.....**

**74.....**

**75.....**

**76.** - (1) An appeal lies from any decision of the registrar under this Act, except as otherwise expressly provided by rules.

For this purpose “decision” includes any act of the registrar in exercise of a discretion vested in him by or under this Act.

**77.....**

*Rules, fees, hours of business, &c.*

**78.** - (1) The Secretary of State may make rules-

(a) for the purposes of any provision of this Act authorising the making of rules with respect to any matter, and

(b) for prescribing anything unauthorised or required by any provision of this Act to be prescribed, and generally for regulating practice and procedure under this Act.

(2) Provision may, in particular, be made-

(a) as to the manner of filing of applications and other documents;

(b) requiring and regulating the translation of documents and the filing and authentication of any translation;

(c) as to the service of documents;

(d) authorising the rectification of irregularities of procedure;

(e) prescribing time limits for anything required to be done in connection with any proceedings under this Act;

(f) providing for the extension of any time limit so prescribed, or specified by the registrar, whether or not it has already expired.

(3) Rules under this Act shall be made by statutory instrument which shall be subject to annulment in pursuance of a resolution of either House of Parliament.

**79.....**

**80.....**

**81.** Provision shall be made by rules for the publication by the registrar of a journal containing particulars of any application for the registration of a trade mark (including a representation of the mark) and such other information relating to trade marks as the registrar thinks fit.

#### *Trade mark agents*

**82.** Except as otherwise provided by rules, any act required or authorised by this Act to be done by or to a person in connection with the registration of a trade mark, or any procedure relating to a

registered trade mark, may be done by or to an agent authorised by that person orally or in writing.

**83.....**

.....

**93.....**

**94.** - (1) It is an offence for a person to make, or cause to be made, a false entry in the register of trade marks, knowing or having reason to believe that it is false.

(2) It is an offence for a person-

(a) to make or cause to be made anything falsely purporting to be a copy of an entry in the register, or

(b) to produce or tender or cause to be produced or tendered in evidence any such thing, knowing or having reason to believe that it is false.

(3) A person guilty of an offence under this section is liable-

(a) on conviction on indictment, to imprisonment for a term not exceeding two years or a fine, or both;

(b) on summary conviction, to imprisonment for a term not exceeding six months or a fine not exceeding the statutory maximum, or both.

**95.** - (1) It is an offence for a person-

(a) falsely to represent that a mark is a registered trade mark, or

(b) to make a false representation as to the goods or services for which a trade mark is registered knowing or having reason to believe that the representation is false.

(2) For the purposes of this section, the use in the United Kingdom in relation to a trade mark-

(a) of the word “registered”, or

(b) of any other word or symbol importing a reference (express or implied) to registration, shall be deemed to be a representation as to registration under this Act unless it is shown that the reference is to registration elsewhere than in the United Kingdom and that the trade mark is in fact so registered for the goods or services in question.

(3) A person guilty of an offence under this section is liable on summary conviction to a fine not exceeding level 3 on the standard scale.

**96.....**

**.....**

**100.....**

**101.** - (1) Proceedings for an offence under this Act alleged to have been committed by a partnership shall be brought against the partnership in the name of the firm and not in that of the partners; but without prejudice to any liability of the partners under subsection (4) below.

(2) The following provisions apply for the purposes of such proceedings as in relation to a body corporate-

(a) any rules of court relating to the service of documents;

(b) in England and Wales or Northern Ireland, Schedule 3 to the Magistrates’ Courts Act 1980 or Schedule 4 to the Magistrates’ Courts (Northern Ireland) Order 1981 (procedure on charge of offence).

(3) A fine imposed on a partnership on its conviction in such proceedings shall be paid out of the partnership assets.

(4) Where a partnership is guilty of an offence under this Act, every partner, other than a partner who is proved to have been ignorant of or to have attempted to prevent the commission of the Offence, is also guilty of the offence and liable to be proceeded against and punished accordingly.

(5) Where an offence under this Act committed by a body corporate is proved to have been committed with the consent or connivance of a director, manager, secretary or other similar officer of the body, or a person purporting to act in any such capacity, he as well as the body corporate is guilty of the offence and liable to be proceeded against and punished accordingly.

**102.....**

**.....**

**110.....**

[INDEX](#)

---



STATUTORY INSTRUMENTS

---

**2000 No. 136**

**TRADE MARKS**

**The Trade Marks Rules 2000**

<i>Made</i>	<i>23rd January 2000</i>
<i>Laid before Parliament</i>	<i>26th January 2000</i>
<i>Coming into force</i>	<i>17th February 2000</i>

**ARRANGEMENT OF RULES**

**Preliminary**

1 Citation and commencement

2 Interpretation

[3 Forms and directions of the registrar under s. 66](#)

4 Requirement as to fees

**Application for registration**

5 Application for registration; s. 32

6 Claim to priority; ss. 35 & 36

7 Classification of goods and services; s. 34

8 Application may relate to more than one class and shall specify the class

9 Prohibition on registration of mark consisting of arms; s. 4

[10 Address for service](#)

11 Deficiencies in application; s. 32

**Publication, observations, opposition and registration**

12 Publication of application for registration; s. 38(1)

13 Opposition proceedings; s. 38(2)

14 Decision of registrar in opposition proceedings

15 Observations on application to be sent to applicant; s. 38(3)

16 Publication of registration; s. 40

**Amendment of application**

17 Amendment of application; s. 39

18 Amendment of application after publication; s. 39

#### **Division, merger and series of marks**

19 Division of application; s. 41

20 Merger of separate applications or registrations; s. 41

21 Registration of a series of trade marks; s. 41

#### **Collective and certification marks**

22 Filing of regulations for collective and certification marks; Schs. 1 & 2

23 Amendment of regulations of collective and certification marks; Sch. 1 para. 10 & Sch. 2 para. 11

#### **Disclaimers, limitations and alteration or surrender of registered trade mark**

24 Registration subject to disclaimer or limitation; s. 13

25 Alteration of registered trade mark; s. 44

26 Surrender of registered trade mark; s. 45

#### **Renewal and restoration**

27 Reminder of renewal of registration; s. 43

28 Renewal of registration; s. 43

29 Delayed renewal and removal of registration; s. 43

30 Restoration of registration; s. 43

#### **Revocation, invalidation and rectification**

31 Procedure on application for revocation (on grounds of non-use); s. 46(1)(a) and (b)

32 Procedure on application for revocation (on grounds other than non-use); s. 46(1)(c) and (d)

33 Procedure on application for declaration of invalidity; s. 47

#### **34 Procedure on application for rectification of the register; s. 64**

35 Procedure for intervention

#### **Case Management and pre-hearing review**

36 Case management; s. 78

37 Pre-hearing review; s. 78

#### **The register**

#### **38 Form of register; s. 63(3)**

#### **39 Entry in register of particulars of registered trade marks; s. 63**

#### **40 Entry in register of particulars of registrable transactions; s. 25**

#### **41 Application to register or give notice of transaction; ss. 25 & 27(3)**

#### **42 Public inspection of register; s. 63(3)**

#### **43 Supply of certified copies, etc; s. 63(3)**

#### **44 Request for change of name or address in register; s. 64(4)**

#### **45 Removal of matter from register; s. 64(5)**

#### **Change of classification**

46 Change of classification; ss. 65(2) & 76(1)

47 Opposition to proposals; ss. 65(3) & 76(1)

#### **Request for information, inspection of documents and confidentiality**

48 Request for information; s. 67(1)

49 Information available before publication; s. 67(2)

**50 Inspection of documents; ss. 67 & 76(1)**

51 Confidential documents

**Agents**

**52 Proof of authorisation of agent may be required; s. 82**

53 Registrar may refuse to deal with certain agents; s. 88

**Decision of registrar, evidence and costs**

54 Decisions of registrar to be taken after hearing

55 Evidence in proceedings before registrar; s. 69

56 Making and subscription of statutory declaration or affidavit

**57 Registrar's power to require documents, information or evidence**

**58 Registrar to have power of an official referee; s. 69**

59 Hearings before registrar to be in public

60 Costs of proceedings; s. 68

61 Security for costs; s. 68

62 Decision of registrar

**Appeals**

63 Appeal to person appointed; s. 76

64 Determination whether appeal be referred to Court; s. 76(3)

65 Hearing of appeal; s. 76(4)

**Correction of irregularities, calculation and extension of time**

**66 Correction of irregularities of procedure**

67 Calculation of times and periods

68 Alteration of time limits

**Filing of documents, hours of business, Trade Marks Journal and translations**

69 Filing of documents by electronic means

70 Directions on hours of business; s. 80

**71 Trade Marks Journal; s. 81**

72 Translations

**Transitional provisions and revocations**

73 Pending applications for registration; Sch. 3, para. 10(2)

74 Revocation of previous Rules

**Schedules**

Schedule 1- Revocations

Schedule 2- Classification of goods (pre-1938)

Schedule 3- Classification of goods and services

The Secretary of State, in exercise of the powers conferred upon him by sections 4(4), 13(2), 25(1), (5) and (6), 34(1), 35(5), 38(1) and (2), 39(3), 40(4), 41(1) and (3), 43(2), (3), (5) and (6), 44(3), 45(2), 63(2) and (3), 64(4), 65, 66(2), 67(1) and (2), 68(1) and (3), 69, 76(1), 78, 80(3), 81,

82 and 88 of, paragraph 6(2) of Schedule 1 to, paragraph 7(2) of Schedule 2 to, and paragraphs 10(2), 12 and 14(5) of Schedule 3 to, the Trade Marks Act 1994[1], after consultation with the Council on Tribunals pursuant to section 8(1) of the Tribunals and Inquiries Act 1992[2], hereby makes the following Rules:-

## **Preliminary**

### ***Citation and commencement***

1. These Rules may be cited as the Trade Marks Rules 2000 and shall come into force on 17th February 2000.

### ***Interpretation***

2. - (1) In these Rules, unless the context otherwise requires-

"the Act" means the Trade Marks Act 1994;

"the Journal" means the Trade Marks Journal published in accordance with rule 71 below;

"the Office" means the Patent Office;

"old law" means the Trade Marks Act 1938[3] (as amended) and any rules made thereunder existing immediately before the commencement of the Act;

"proprietor" means the person registered as the proprietor of the trade mark;

"publish" means publish in the Journal;

"send" includes give;

"specification" means the statement of goods or services in respect of which a trade mark is registered or proposed to be registered;

"United Kingdom" includes the Isle of Man.

(2) In these Rules, except where otherwise indicated, a reference to a section is a reference to that section in the Act, a reference to a rule is a reference to that rule in these Rules, a reference to a Schedule is a reference to that Schedule to these Rules and a reference to a form is a reference to that form as published by the registrar under rule 3 below.

(3) In these Rules references to the filing of any application, notice or other document, unless the contrary intention appears, are to be construed as references to its being delivered to the registrar at the Office.

### ***Forms and directions of the registrar under s. 66***

3. - (1) Any forms required by the registrar to be used for the purpose of registration of a trade mark or any other proceedings before her under the Act pursuant to section 66 and any directions with respect to their use shall be published and any amendment or modification of a form or of the directions with respect to its use shall be published.

(2) A requirement under this rule to use a form as published is satisfied by the use either of a replica of that form or of a form which is acceptable to the registrar and contains the information

required by the form as published and complies with any directions as to the use of such a form.

4.....

.....

9.....

#### **Address for service (Form TM33)**

**10.** - (1) For the purposes of any proceedings before the registrar under these Rules or any appeal from a decision of the registrar under the Act or these Rules, an address for service in the United Kingdom shall be filed by-

- (a) every applicant for the registration of a trade mark;
- (b) every person opposing an application for registration of a trade mark;
- (c) every applicant applying to the registrar under section 46 for the revocation of the registration of a trade mark, under section 47 for the invalidation of the registration of a trade mark, or under section 64 for the rectification of the register;
- (d) every person granted leave to intervene under rule 35 (the intervener); and
- (e) every proprietor of a registered trade mark which is the subject of an application to the registrar for the revocation, invalidation or rectification of the registration of the mark.

(2) The address for service of an applicant for registration of a trade mark shall upon registration of the mark be deemed to be the address for service of the registered proprietor, subject to any filing to the contrary under paragraph (1) above or rule 44(2) below.

(3) In any case in which an address for service is filed at the same time as the filing of a form required by the registrar under rule 3 which requires the furnishing of an address for service, the address shall be filed on that form and in any other case it shall be filed on Form TM33.

(4) Anything sent to any applicant, opponent, intervener or registered proprietor at his address for service shall be deemed to be properly sent; and the registrar may, where no address for

service is filed, treat as the address for service of the person concerned his trade or business address in the United Kingdom, if any.

(5) An address for service in the United Kingdom may be filed at any time by the proprietor of a registered trade mark and by any person having an interest in or charge on a registered trade mark which has been registered under rule 40.

(6) Where an address for service is not filed as required by paragraph (1) above, the registrar shall send the person concerned notice to file an address for service within two months of the date of the notice and if that person fails to do so-

(a) in the case of an applicant as is referred to in sub-paragraph (a) or (c), the application shall be treated as abandoned;

(b) in the case of a person as is referred to in sub-paragraph (b) or (d), he shall be deemed to have withdrawn from the proceedings; and

(c) in the case of the proprietor referred to in sub-paragraph (e), he shall not be permitted to take part in any proceedings.

**11.....**

.....

**33.....**

#### **Procedure on application for rectification; s. 64 (Form TM26(R))**

**34.** - (1) An application for rectification of an error or omission in the register under section 64(1) shall be made on Form TM26(R) together with:

(a) a statement of the grounds on which the application is made; and

(b) any evidence to support those grounds.



(2) Where any application is made under paragraph (1) by a person other than the proprietor of the registered trade mark the registrar-

(a) shall send a copy of the application and the statement, together with any evidence filed, to the proprietor; and

(b) may give such direction as she thinks fit with regard to the filing of subsequent evidence upon such terms as she may think fit.

(3) Upon completion of the evidence the registrar shall request the parties to state by notice to her in writing whether they wish to be heard; if any party requests to be heard the registrar shall send to the parties notice of a date for the hearing.

(4) When the registrar has made a decision on the application she shall send the parties to the proceedings written notice of it, stating the reasons for her decision; and for the purposes of any appeal against the registrar's decision the date when the notice of the decision is sent shall be taken to be the date of the decision

**35.....**

**36.....**

**37.....**

## **The register**

### **Form of register; s. 63(1)**

**38.** The register required to be maintained by the registrar under section 63(1) need not be kept in documentary form.

### **Entry in register of particulars of registered trade marks; s. 63(2) (Form TM24)**

**39.** In addition to the entries in the register of registered trade marks required to be made by section 63(2)(a), there shall be entered in the register in respect of each trade mark registered therein the following particulars-

- (a) the date of registration as determined in accordance with section 40(3) (that is to say, the date of the filing of the application for registration);
- (b) the actual date of registration (that is to say, the date of the entry in the register);
- (c) the priority date (if any) to be accorded pursuant to a claim to a right to priority made under section 35 or 36;
- (d) the name and address of the proprietor;
- (e) the address for service (if any) as furnished pursuant to rule 10 above;
- (f) any disclaimer or limitation of rights under section 13(1)(a) or (b);
- (g) any memorandum or statement of the effect of any memorandum relating to a trade mark of which the registrar has been notified on Form TM24;
- (h) the goods or services in respect of which the mark is registered;
- (i) where the mark is a collective or certification mark, that fact;
- (j) where the mark is registered pursuant to section 5(5) with the consent of the proprietor of an earlier trade mark or other earlier right, that fact;
- (k) where the mark is registered pursuant to a transformation application,

- (a) the number of the international registration, and

- (b) either:

- (i) the date accorded to the international registration under Article 3(4), or

- (ii) the date of recordal of the request for extension to the United Kingdom of the international registration under Article 3ter,

as the case may be, of the Madrid Protocol;

- (l) where the mark arises from the conversion of a Community trade mark or an application for a Community trade mark, the number of any other registered trade mark from which the Community trade mark or the application for a Community trade mark claimed seniority and the earliest seniority date.

## **Entry in register of particulars of registrable transactions; s. 25**

**40.** Upon application made to the registrar by such person as is mentioned in section 25(1)(a) or (b) there shall be entered in the register the following particulars of registrable transactions, that is to say-

(a) in the case of an assignment of a registered trade mark or any right in it-

- (i) the name and address of the assignee,
- (ii) the date of the assignment, and
- (iii) where the assignment is in respect of any right in the mark, a description of the right assigned;

(b) in the case of the grant of a licence under a registered trade mark-

- (i) the name and address of the licensee,
- (ii) where the licence is an exclusive licence, that fact,
- (iii) where the licence is limited, a description of the limitation, and
- (iv) the duration of the licence if the same is or is ascertainable as a definite period;

(c) in the case of the grant of any security interest over a registered trade mark or any right in or under it-

- (i) the name and address of the grantee,
- (ii) the nature of the interest (whether fixed or floating), and
- (iii) the extent of the security and the right in or under the mark secured;

(d) in the case of the making by personal representatives of an assent in relation to a registered trade mark or any right in or under it-

- (i) the name and address of the person in whom the mark or any right in or under it vests by virtue of the assent, and
- (ii) the date of the assent; and

(e) in the case of a court or other competent authority transferring a registered trade mark or any right in or under it-

- (i) the name and address of the transferee,

(ii) the date of the order, and

(iii) where the transfer is in respect of a right in the mark, a description of the right transferred;

and, in each case, there shall be entered the date on which the entry is made.

**Application to register or give notice of transaction; ss. 25 & 27(3) (Forms TM16, TM24, TM50 & TM51)**

**41.** - (1) An application to register particulars of a transaction to which section 25 applies or to give notice to the registrar of particulars of a transaction to which section 27(3) applies shall be made, subject to paragraph (2) below,

(a) relating to an assignment or transaction other than a transaction referred to in sub-paragraphs (b) to (d) below, on form TM16;

(b) relating to a grant of a licence, on form TM50;

(c) relating to an amendment to, or termination of a licence, on form TM51;

(d) relating to the grant, amendment or termination of any security interest, on form TM24; and

(e) relating to the making by personal representatives of an assent or to an order of a court  
or other competent authority, on form TM24.

(2) An application under paragraph (1) above shall-

(a) where the transaction is an assignment, be signed by or on behalf of the parties to the assignment;

(b) where the transaction falls within sub-paragraphs (b), (c) or (d) of paragraph (1) above,  
be signed by or on behalf of the grantor of the licence or security interest;

or be accompanied by such documentary evidence as suffices to establish the transaction.

(3) Where the transaction is effected by an instrument chargeable with duty, the application shall be subject to the registrar being satisfied that the instrument has been duly stamped.

(4) Where an application to give notice to the registrar has been made of particulars relating to an application for registration of a trade mark, upon registration of the trade mark, the registrar shall enter those particulars in the register.

### **Public inspection of register; s. 63(3)**

**42.** - (1) The register shall be open for public inspection at the Office during the hours of business of the Office as published in accordance with rule 70 below.

(2) Where any portion of the register is kept otherwise than in documentary form, the right of inspection is a right to inspect the material on the register.

### **Supply of certified copies etc; s. 63(3) (Form TM31R)**

**43.** The registrar shall supply a certified copy or extract or uncertified copy or extract, as requested on Form TM31R, of any entry in the register.

### **Request for change of name or address in register; s. 64(4) (Forms TM21 & TM33)**

**44.** - (1) The registrar shall, on a request made on Form TM21 by the proprietor of a registered trade mark or a licensee or any person having an interest in or charge on a registered trade mark which has been registered under rule 40, enter any change in his name or address as recorded in the register.

(2) The registrar may at any time, on a request made on Form TM33 by any person who has furnished an address for service under rule 10 above, if the address is recorded in the register, change it.

### **Removal of matter from register; s. 64(5) (Form TM7)**

**45.** - (1) Where it appears to the registrar that any matter in the register has ceased to have effect, before removing it from the register-

(a) she may, where she considers it appropriate, publish her intention to remove that matter, and

(b) where any person appears to her to be affected by the removal, she shall send notice of her intention to that person.

(2) Within three months of the date on which her intention to remove the matter is published, or notice of her intention is sent, as the case may be-

(a) any person may file notice of opposition to the removal on form TM7; and

(b) the person to whom a notice is sent under paragraph (1)(b) above may file, in writing-

(i) his objections, if any, to the removal, or

(ii) a request to have his objections heard orally;

and where such opposition or objections are made, rule 54 shall apply.

(3) If the registrar is satisfied after considering any objections or opposition to the removal that the matter has not ceased to have effect, she shall not remove it.

(4) Where there has been no response to the registrar's notice she may remove the matter; where representations objecting to the removal of the entry have been made (whether in writing or orally) the registrar may, if she is of the view after considering the objections that the entry or any part thereof has ceased to have effect, remove it or, as appropriate, the part thereof.

46.....

.....

49.....

#### **Inspection of documents; ss. 67 & 76(1)**

**50.** - (1) Subject to paragraphs (2) and (3) below, the registrar shall permit all documents filed or kept at the Office in relation to a registered mark or, where an application for the registration of a trade mark has been published, in relation to that application, to be inspected.

(2) The registrar shall not be obliged to permit the inspection of any such document as is mentioned in paragraph (1) above until she has completed any procedure, or the stage in the procedure which is relevant to the document in question, which she is required or permitted to carry out under the Act or these Rules.

(3) The right of inspection under paragraph (1) above does not apply to-

- (a) any document until fourteen days after it has been filed at the Office;
- (b) any document prepared in the Office solely for use therein;
- (c) any document sent to the Office, whether at its request or otherwise, for inspection and subsequent return to the sender;
- (d) any request for information under rule 48 above;
- (e) any document issued by the Office which the registrar considers should be treated as confidential;
- (f) any document in respect of which the registrar issues directions under rule 51 below that it be treated as confidential.

(4) Nothing in paragraph (1) shall be construed as imposing on the registrar any duty of making available for public inspection-

- (a) any document or part of a document which in her opinion disparages any person in a



way likely to damage him; or

(b) any document or information filed at or sent to or by the Office before 31st October 1994, or

(c) any document or information filed at or sent to or by the Office after 31st October 1994 relating to an application for registration of a trade mark under the Trade Marks Act 1938.

(5) No appeal shall lie from a decision of the registrar under paragraph (4) above not to make any document or part of a document available for public inspection.

**51.....**

### **Agents**

Proof of authorisation of agent may be required; s. 82 (Form TM33)

**52.** - (1) Where an agent has been authorised under section 82, the registrar may in any particular case require the personal signature or presence of the agent or the person authorising him to act as agent.

(2) Where after a person has become a party to proceedings before the registrar, he appoints an agent for the first time or appoints one agent in substitution for another, the newly appointed agent shall file Form TM33, and any act required or authorised by the Act in connection with the registration of a trade mark or any procedure relating to a trade mark may not be done by or to the newly appointed agent until on or after the date on which he files that form.

(3) The registrar may by notice in writing sent to an agent require him to produce evidence of his authority.

**53.....**

.....

**56.....**

### **Registrar's power to require documents, information or evidence**

57. At any stage of any proceedings before the registrar, she may direct that such documents, information or evidence as she may reasonably require shall be filed within such period as she may specify.

### **Registrar to have power of an official referee; s. 69**

58. - (1) The registrar shall in relation to the examination of witnesses on oath and the disclosure and production of documents have all the powers of an official referee of the Supreme Court.

### **Correction of irregularities of procedure**

66. Subject to rule 68 below, any irregularity in procedure in or before the Office or the registrar, may be rectified on such terms as the registrar may direct.

67.....

.....

70.....

### **Trade Marks Journal; s. 81**

71. The registrar shall publish a journal, entitled "The Trade Marks Journal ", containing particulars of any application for the registration of a trade mark (including a representation of the mark), such information as is required to be published under these Rules and such other information as the registrar thinks fit.

72.....

73.....

74.....

[INDEX](#)

<b>PDDDB - Assignments Desknates Index</b>		
Note No	Desknate Subject/Task Description	Filename: (h:\sharelot\assign\desknate)
001	Index	001 Index.wpd
002	Section handout overview	002 Section handout overview.wpd
003	A1 Tasks	003 A1 Tasks.wpd
004	A3 Tasks	004 A3 Tasks.wpd
005	Common Tasks	005 Common Tasks.wpd
006	B1 Tasks	006 B1 Tasks.wpd
007	Requirements for assignments	007 Requirements for assignments.WPD
008	Requirements for licences	008 Requirements for licences.wpd
009	Licence fact sheet	009 Licence fact sheet.wpd
010	Licence, phrases in use	010 Licence, phrases in use.wpd
011	Booking in	011 Booking in.wpd
Desk Instructions		
012	Change of address	012 Desk Instr.Change of address.wpd
013	Change of name	013 Desk Instr. Change of name.wpd
014	Filework	014 Desk Instr. Filework.wpd
015	File Searcher guidelines	015 File Searcher guidelines.wpd
016	Files for public inspection	016 Desk Instr. Files for public inspection.wpd
017	Form 21 processing	017 Desk Instr. Form 21 processing.wpd
018	Regular Irregularities	018 Desk Instr. Regular Irregularities.wpd
019	refunds	019 Desk Instr. refunds.wpd

020	Form 11 corrections	020 Desk Instr. Form 11 corrections.wpd
021	Cha Cas	021 Desk Instr. Cha Cas.wpd
022	Use of LOTUS 123 for statistical and record purposes	022 Desk Instr. Use of LOTUS 123 for statistical and record purposes.wpd
023	Section overview	023 Desk Instr. Section overview.wpd

- 002    Section overview
- Assignments Handout )(issued to callers for their assistance)
  - Licences Handout                    )
  - Licence; phrases in use and requirements to register

003    A1 Tasks

Booking in

Change of Name (Form 20/77)

File searching, location aide memoire

Files for Public Inspection



8. **DECEASED OWNERS:** Registration of ownership of a beneficiary

In order to register a beneficiary as the owner of an Application or Patent the following are required:-

Form 21/77 and

1. If the estate is worth more than £5000 probate will have been granted and should have a copy of the will attached to it. (No death certificate necessary)
2. Letters of administration with a will (No death certificate necessary)
3. Probate or Letters of administration when Applicant dies leaving more than £5000 but does not leave a will (**Intestate**)
4. If the property is worth less than £5000 and no will has been made an assignment document signed by the person acting as administrator (assignor) and beneficiary (assignee). (A copy of the death certificate is necessary).
5. Where the deceased person was an overseas national, United Kingdom probate may still be required. However, if the UK estate (often only the patent) is less than £5,000 probate may not be required, in this case a statutory declaration or witness statement confirming the refusal of the probate and that the estate is *Deminimus* (less than £5,000) is acceptable.
6. Overseas documents will differ from the British style and there may be no equivalent to probate abroad. Always look for a document issued by a court or registration authority and be prepared to be flexible with the documents acceptable.
7. Foreign equivalents; Scotland, confirmation; South Africa, direction under Section 18(3) Estates Act 1965; Japan, family register.

**What is probate?**

When a person dies somebody has to deal with their estate (money, property and possessions left) by collecting in all the money, paying any debts and distributing the estate to those entitled to it.

The probate registry issues the document, which is called **a grant of representation**

1. Probate is issued to the executors named in the deceased will
2. Letters of administration are issued when there is a will but when there is no executor named.
3. Letters of administration are issued when the deceased has not made a will or any will made is invalid.

005    Common Tasks  
         File Work  
         Refunds

006 B1 Tasks

Correction of an error in The Register, or in any document filed at The Patent Office in connection with registration (Form 11/77)  
CHA CAS

## ASSIGNMENTS

Assignment is the sale of a patent/application. An assignment document may be quite straight forward, but as the transfer of ownership is involved it may be preferred and is the recommendation of the Office, that you employ the services of a Solicitor or Patent Agent.

However, if drawing up the document oneself, the following should be borne in mind.

Assignments must state:

- 1) The present owner of the patent/application giving both name and address(seller).
- 2) That the buyer is acquiring ownership and give his full name and address.
- 3) The signatures of all parties involved.
- 4) The number(s) of the patent/application.
- 5) Confirm that sale took place.
- 6) The date of the transaction.
- 7) A monetary amount paid. If applicable - certify that the transaction does not form part of a larger or series of transactions the value of which is in excess of £60,000 (The certification clause), see below.

If the monetary consideration and certification clauses are both included, the document is exempt from Stamp Duty. If only one, or neither are included, or if the transaction is in excess of £60,000, then the document should be presented to Inland Revenue for assessment of the duty to which it may be liable.

In order to register the assignment:-

File Patent Form 21/77 the fee is currently nil(£0). Provided the form 21/77 has been signed by all parties to the assignment, no additional documents need be sent. However, if all signatures cannot be obtained, the original document &/or a certified copy of the document should be sent with the form 21/77.

When registration has been made, the original, if sent, will be returned endorsed with the Comptroller's stamp if a certified copy was provided for retention on the patent file. The documents held will be open to public inspection.

=====

"It is hereby certified that the transaction hereby effected does not form part of a larger or series of transaction in respect of which the amount or value or the aggregate amount or value of the consideration exceeds £60,000."

The wording is prescribed (Section 34(4)) Finance Act 1958. It cannot be altered.

## Examination of Licenses

### Introduction

- 5.01 A licence grants a right to use, sell, make, wholesale, retail, or distribute the idea contained in the patent/application. The conditions are a matter of agreement between the parties. Since there will often be complex financial arrangements with regard to royalties, licences are often made as two separate items.
- 5.02 The agreement that contains all the commercial details and a short licence (for registration purposes), that refers back to the agreement. Alternatively, the licence may be complete in itself setting out the terms as well as the actual grant of the licence.
- 5.03 Both the agreement and the licence can be quite simple documents, but if complex items are involved it may be preferred to employ the services of a solicitor or a Patent Agent. However, if drawing up the document oneself the following should be borne in mind.

The licence must state;

The owner of the patent/application giving both name and address (the licensor)

- 5.04 That the other party wishes to use the patent and give name and address (the licensee)

The number of the patent/application: confirm that the licence has been granted.

The licence may refer to the terms and conditions of an agreement which must be identified, or the licence may set out the terms and conditions.

- 5.05 Stamp Duty can be complex in relation to licences but for general guidance, if;

- 1) the licence cannot be terminated; and
- 2) the licence is for a single royalty payment, not periodic
- 3) the licence is exclusive

royalties

The licence may be liable for stamp duty and should be presented to Inland Revenue for assessment. Most other licences are not liable, but a definitive view may only be taken on inspection of the documents.

## WHAT DO WE NEED TO REGISTER A LICENSE

- 5.06 1) the grantor must be on our register  
How else do we know there is authority to act
- 2) full name and address of the licensee  
How else can we identify the licensee
- 3) number(s) of the patent  
This is the only specific way to identify the case
- 4) signature of the grantor  
there can be no grant of a licence without that completion of the document
- 5) what type of licence is it, see above if not advised make a general registration eg. licence.  
clarify where possible
- 6) if you have a short-form licence for registration and a main agreement the main agreement is NOT OPEN TO PUBLIC INSPECTION, make-up a pink NOPI jacket, which is placed immediately in front of the green assignment jacket, hold the main agreement there until registration, then return it endorsed with stamp when confirming registration.

## **LICENSE GLOSSARY**

### **5.07 LICENCES**

Patents Act 1977, Patent Rules 1995

A grant of rights to use somebody else's patent.

Section 30(4)

#### **Exclusive**

Only the licensee can use the patent, not even the owner can continue to work.

Section 130(1)

#### **Sole**

The only licence, but not to exclude the owner legal convention

#### **Non-exclusive**

The owner can also use.

#### **Sub-licence**

Granted by a licensee to a third party.

1)right to assign,2) sub-licence,3) grant other licences,

refer to the licence agreement, but excepting exclusive licences these are all presumed to exist. 1&2 exist for exclusive licences.

Section 30(4)(a&b)

#### **Co-ownership**

all the owners must agree to any licences, but all owners may use the patent individually as well as together.

Section 36(3)&(2)

Licences may be for all aspects or some, eg. to make, use, sell, distribute, wholesale, retail, sub-licence.

See the contractual terms as set out in the document

#### **Infringement**

exclusive licensees can sue in their own right. Sole and non-exclusive licensees can usually only ask the proprietor to sue for them (but refer to the licence).

Section (68)



**Stamp Duty**

can only be payable on an exclusive licence, and then only if the licence was executed before 28 March 2000 and

- 1)the licence is irrevocable
- 2)the licence cannot be terminated

## Patents Factsheet\*\*: **Licence**

A licence grants a right to use, sell, make, wholesale, retail, or distribute the idea contained in the patent/application. The conditions are a matter of agreement. The licence can be quite a simple document, but if complex financial arrangements with regard to royalties are involved it may be preferred to employ the services of a solicitor or a Patent Agent.

In order to register the licence:- File Patent Form 21/77, the fee is nil. Provided the Form 21/77 has been signed by the licensor, no additional documents need be sent. However, if that signature cannot be obtained, the original document &/or a copy (which has been marked as a true copy and signed to that effect) should be sent with the Form 21/77. If the original document is filed it can be endorsed and returned after registration, provided a copy is also sent for retention on the patent file.

If drawing up the document oneself the following should be borne in mind:-

Enquiries: If you have any queries, please contact the Patent Office on : 0645 500505 (local call rate; Minicom for the hard of hearing: 0645 222250)

We are keen to help all our customers as much as possible, but regret that we cannot assist with the commercial exploitation of your invention. This factsheet is not intended to be a comprehensive guide and necessarily omits details which may be relevant in particular circumstances.

- ☞ The owner of the patent/application giving both name and address
- ☞ The other party who wishes to use the patent giving name and address
- ☞ The number of the patent/application
- ☞ confirm that the licence has been granted.

**Important:** These are not all the terms and conditions your licence may need to contain. They are the requirements the Patent Office would expect to see to ensure the document is effective.

Any documents you send will be open to inspection. It is often preferred to keep out of the public view detailed commercial terms about the licence. This can be done by only filing the Form 21/77 with the necessary signature, or only sending extracts of the document (which should include all of the information above).

Useful terms relating to licences: **Exclusive**; only the licensee can use the patent, excluding even the owner. **Sole**, the only licence, but not to exclude the owner. **Non-exclusive**; the owner can also operate. **Sub-licence**; granted by a licensee to a third party.

Enquiries: If you have any queries, please contact the Patent Office on : 0645 500505 (local call rate; Minicom for the hard of hearing: 0645 222250)

We are keen to help all our customers as much as possible, but regret that we cannot assist with the commercial exploitation of your invention. This factsheet is not intended to be a comprehensive guide and necessarily omits details which may be relevant in particular circumstances.

## **LICENCES**

Patents Act 1977, Patent Rules 1995

A grant of rights to use somebody else's patent.

Section 30(4)

### **Exclusive**

only the licensee can use the patent, not even the owner can continue to work.

Section 130(1)

### **Sole**

the only licence, but not to exclude the owner.

legal convention

### **Non-exclusive**

the owner can also use.

### **Sub-licence**

granted by a licensee to a third party.

1)right to assign,2) sub-licence,3) grant other licences,

refer to the licence agreement, but excepting exclusive licences these are all presumed to exist. 1&2 exist for exclusive licences.

Section 30(4)(a&b)

### **Co-ownership**

all the owners must agree to any licences, but all owners may use the patent individually as well as together.

Section 36(3)&(2)

Licences may be for all aspects or some, eg. to make, use, sell, distribute, wholesale, retail, sub-licence.

See the contractual terms as set out in the document

### **Infringement**

exclusive licensees can sue in their own right. Sole and non-exclusive licensees can usually only ask the proprietor to sue for them(but refer to the licence).

Section (68)

### **Stamp Duty**

can only be payable on an exclusive licence, and then only if the licence was executed before 28 March 2000 and

1)the licence is irrevocable

2)the licence cannot be terminated

**What do we need to register a licence**

- 1) the grantor must be on our register  
How else do we know there is authority to act
- 2) full name and address of the licensee  
How else can we identify the licensee
- 3) number(s) of the patent  
This is the only specific way to identify the case
- 4) signature of the grantor  
there can be no grant of a licence without that completion of the document
- 5) what type of licence is it, see above if not advised make a general registration eg. licence.  
clarify where possible
- 6) if you have a short-form licence for registration and a main agreement the main agreement is NOT OPEN TO PUBLIC INSPECTION, make-up a pink NOPI jacket, which is placed immediately in front of the green assignment jacket, hold the main agreement there until registration, then return it endorsed with stamp when confirming registration.

## BOOKING IN

Post is collected from Document Reception (GY45) at 9am each morning.

Split post received into forms 21/77, 11/77, letters making enquiry, 20/77, changes of address/address for service and refiles.

All requests may relate to one, or many cases, each case is allocated it's own new RS number, that number is the next new(not refile)number and will be specific to that action on that case, each request is listed into LOTUS RSNNN giving each case it's own line and RS number and any RS numbers associated with that one Form bracketed together by \* in the schedule column with S\* noting the first in a schedule.

**ALWAYS** read the letter and note any requests for urgent attention. **ALWAYS** check for papers, or parts of the letter which do not relate to the assignment section and are for other parts of the Office, a copy of the letter and all papers **must** be sent to the appropriate section, note on the RS sheet any such action you take.

### 21/77

Remember that forms 21/77 together with documents (or alone) may have been returned to the agent for signatures, or Stamp Duty requirements. Check the filing date on the form and refer to any letter for references to an Official letter or that the letter is a reply, to see if this is the case. If the form or letter now filed is a reply, or refile then it **must not** be booked in as a new form, refer to REFILES.

#### LOTUS RS File

Every case gets next line from the file. Check whether change of AFS has been requested, or requested in letter accompanying the form, if so, it needs counting in as part of the request for action. Check and note if fee (£0) has been paid. (Enter £0) Enter S\* in column for 21/77 on the only, or first of a schedule of cases and \* in the column for all others, as appropriate. Enter filing date of form in column for that purpose.

#### RS Sheet

Note what form(s) and papers we received onto RS sheet, place on Green Jacket noting RS number and highest published number on front of jacket.

### 11/77 CORRECTION (OF REGISTER OR ASSOCIATED DOCUMENTS)

#### LOTUS RS File

Every case is allocated it's own RS number and, where correcting a previous action, should be cross-referenced to the RS number of the original action. Check the correct fee has been paid (£40) bracket together requests for the same correction. Tick the 21/77, or other box as appropriate, according to what is being corrected (error on a 21/77 registration etc.). Enter filing date of form in column for that purpose.

#### RS Sheet

Note what form(s) and papers were received onto the RS sheet.

### **20/77 CHANGE OF NAME**

#### LOTUS RS File

See form 21/77 above, noting fee (£nil), check whether AFS request is made. Tick box for 20/77, or count AFS as appropriate. Enter filing date of form in column for that purpose.

#### RS Sheet

See form 21/77 above.

### **LETTERS**

A letter may be a request for information on how to register an action, such letters are booked in as if they were those actions 21/77, 20/77 etc. except that no Green Jacket is required, and no section 30/32 entry is made.

### **REFILES**

#### LOTUS RS File

All refiles should have an RS number on the letter. Check back through the files and find it. Complete the refile column with this week's RS file no (eg 2498). Remember there should only be one refile open for a schedule at a time, if one already exists, check what you now hold is not a duplicate. Go to today's entry, type in the case officers' initials, RS number the patent number, note which column whether 20/77, 21/77 and how many cases involved. Enter filing date of **this** letter in column provided.

If a refile does not have an RS number, try the following;

- 1) Go to OPTICS, enter DIS FUL and the Patent/Application number, scroll down the screen until you find 'Application under Section 30/32 filed 'ddmmy'', the date of that entry should be the date on which the LOTUS File/RS book entry was made, find the LOTUS File/RS book for that date turn to and find the entry for this case, complete as above also noting the RS



- number.
- 2) Ask the person to whom the letter is addressed for the RS number.

## **OPTICS**

### **REGISTER THE FILING OF 20/77 AND 21/77**

Where a form 21/77 is filed or, where the form 20/77 is requesting a change of name, then registration of the filing of the form is required. Form 20/77 for a change of address/AFS only, no action required.

### **REG FIL**

Split 20/77 from 21/77. Put into filing date order. State form and date of form action. Menu option 7. Enter publication number. Next screen check entry, type Y if correct, then N to allow Journal entry. If there is more than one patent number for the same form type for the same filing date they can be added here, otherwise they should be entered as separate actions. Next screen check cases are correct. Check for application number, the class and the grant date. No patent number, no grant date just application number, then the class is unpublished, go to unpublished cases. If you have the patent number and application number but no grant date the class is A pub, if all three are present the case is B pub.(granted), enter this information onto the RS sheet, type in Y for those cases having publication number or publication number and grant date and where you are sure you have entered the number correctly from the form/evidence supplied, N for those having only an application number, action. If form not logged comes up on the screen you make a telephone call to ext. 4578 and ask them to log the form, they will need to know the case number(s), form type and filing date.

### **Unpublished cases**

There is no Section 32 OPTICS entry, you have a free text entry to make, Menu option 6, sundry or free text option 11, 'Application under Section 30 filed on ddmm yy', as authority for action enter F21 or F20, as appropriate.

Voucher for file, note on voucher 'S30 ddmm yy' (where this is the filing date of the form), when the file arrives stamp "application under Section 30 filed on ddmm yy" on;

- 1) file
- 2) the minute sheet
- 3) 1/77 (stamping across the applicant's name)

## **CASE DOES NOT EXIST**

take no action at this stage, except to check that you have the number entered correctly from the form/evidence supplied.

**'Old Act' cases**    Should be unusual

First digit of patent number is a 1, have no OPTICS work at the booking-in stage, check on REC OLD that the proprietor is the one given on the form. Complete the minute (specimen follows) addressed to Register Section, Room 62, Southampton Buildings, requesting entry of the Section 32.

Register Section  
Room 62  
Southampton Buildings  
London

From:  
Assignments  
GR15  
Concept House  
tel(GTN1214)4788  
Date

Please enter Section 32 against the following cases :

RS No	Patent No	Section 32 date	in the name of	Actioned by Register Section

--	--	--	--	--

## ASSIGNMENTS DESK

### NOTES

#### ADDRESS FOR SERVICE

*An amendment or correction to an Address for Service may be made in writing (Patent Rule 45). Where or after a person has become a party to proceedings before the Comptroller he appoints an agent for the first time or appoints one agent in substitution for another, the Office must be notified on a Form 51/77.*

*Such a change may cover a single patent or a schedule of patents.*

#### **ON RECEIPT OF FORMS OR LETTERS**

1. *The request should be counted for statistical purposes.*

2. **Enter OPTICS**

a) *For published New Act and EP granted cases.*

*Use "**DIS FUL**" to obtain application/patent Numbers as necessary, classification (eg U/P, A, or B-published), and grant date for EP cases.*

*On header screen pay particular attention to status. It should read "patent in force". If it reads as ceased, terminated, withdrawn no further action can be taken on these cases.*

b) *The ADP Number of the existing A F S should be listed on the letter.*

c) *The highest published patent number should be identified, as it will be on this file that all evidence will be filed (inside the rear cover of the "Open to Public Inspection" Section).*

d) *Next Action "**SEA NAM**".*

*Using the usual procedure find the new ADP No. Make certain that the address matches between the ADP No and the request.*

e) *Next Action "**REG NAM**".*

*i Enter Patent No*

*ii Option 1-3 (change name and/or address)*

*iii As screen requests, enter old and new ADP numbers*

*iv Home/Action*

*v Enter "**Y**" to confirm correct addresses*

*vi Enter option 12 (Address for Service)*

*vii Home/Action*

*viii As authority enter either **F51** (if filed) or **EO**, **AO** or **AA** as appropriate if letter*

*ix Date of instrument - will be the date on which the request was filed*

*x See Section C above*

- xi    *Home/Action*
- xii    *Check details on screen and confirm with "Y" if correct. If not enter "N" and repeat as from (viii) above*
- xiii    *If more than one case has been identified with the same existing ADP No then enter the patent numbers in the appropriate column*
- xiv    *As final check confirm that cases are in force before entering "Y" to confirm case*
- f)    *Limited action can be taken on **un-published** cases in post-grant, if the afs is on OPTICS treat as A-Published. If there is no AFS on OPTICS complete filework and advise the appropriate formalities unit by minute with a copy of the Form 51/77 or letter and ask them to confirm completion.*
- g)    ***A-published** cases have work to do on files. After files are vouchered, open file to Form 1/77.*
  - i    *Cross through the existing AFS in red pen. Immediately above write in new AFS name and address details and ADP number; again in red ink, but also see CHANAM & FILEASS if the afs change is part of a bigger action*
  - ii    *Turn to minute sheet and note to Formalities "Please see Form 1/77 for change of address for service. Evidence filed on .....". Sign, date and return to the person who issued the file.*
- h)    ***Un-granted EP Cases** - no action can be taken. Any A-published cases should be minuted to EP*



## *Translations.*

### *i)   **Old Act Cases***

- i     Enter "**REC OLD**"*
- ii    Enter patent number: Home/Action*
- iii   Option 1 (Change Name and Address details)  
Home/Action*
- iv    Enter "**Y**" alongside existing A F S and "**A**" in  
A/C/E field.   Home/Action*
- v     Enter Option [3] and new ADP No.  
Home/Action*
- vi    Check that new AFS details are correct and  
enter "**Y**" if correct.   If not then first check ADP  
No on "SEA NAM" and repeat steps in this  
section (i) again*
- vii   Option [7] to exit*

*All Old Act cases must have a notification sent to  
London Front Office for Register Section to make the  
appropriate entry.*

### *j)    When all above actions have been carried out*

- i     Send out a letter of confirmation to the new AFS  
(Our Ref ASS06)*
- ii    Send duplicate (or photocopy) of Form 51/77 to  
outgoing AFS stamped "Form Actioned"*

- iii *Place evidence on appropriate file - see 2(c) above*

## ***ASSIGNMENTS DESK NOTES***

### ***CHANGE OF NAME***

Rule 45(1) A request for the recordal/registration of a change of name should be made on a Patents Form 20/77 (on which the prescribed fee is Nil) see note. If the form filed covers more than one patent a schedule should be attached.

A change of name may be requested in respect of:-

Applicant/Proprietor

Licensee,

Sub-licensee

Mortgagee

Party to an Agreement

Inventor

Rule 45(2) Proof of the change of name must be supplied. The document should clearly show the succession of names. The type of document will vary accordingly to the nationality of the entity involved. Examples of acceptable evidence would be a Certificate of Incorporation, or documents issued by the appropriate companies registration authority. For example:-

Great Britain A certificate from Companies House, including a certificate of re-registration from an unlimited company to a limited company.

USA A certificate from the Secretary of State

Japan An extract from the Commercial Register

Germany ]

Austria ] An extract from the Handelsregister

Switzerland ]

France ] A copy from the gazette or paper

Belgium ] in which the change was advertised.

For a natural person whose name was changed by deed-poll, a copy of the paper or gazette in which the change was advertised. For a Scottish Limited Partnership, an extract (Certificate)

from Companies House, Edinburgh. A Scottish General Partnership has no registration and no requirement to advertise, a Statutory declaration from the managing or senior partner, giving the change of name and listing all of the partners to the firm is accepted. Any documents not supplied as originals must be certified as true copies or extracts from the originals.

Rule 113(1) Documents supplied in a foreign language must be accompanied by a verified true translation of the original.

Care should be taken to ensure that the name to be changed on the Form 20/77 and the evidence exactly matches that on OPTICS. Also that the change is made to the correct rôle.

Any discrepancies should be brought to the attention of the person filing the request, and fully resolved before actioning the request.

#### Published and Granted Cases

Require index cards as below:

New (Rights Holder) Name	<b>Change of Name/Licence</b>
Patent Number(s)	
-----	
Do Not Write	O Below This Line
Todays Date	

Cards are filed in the draw, if cases are scheduled on the Form they may also be scheduled on this card.

Where two or more entities have the same rôle, cards must be prepared showing each first eg.; Red Ltd, Blue Ltd, then Blue Ltd, Red Ltd.

#### INDEX CARD DESPATCH

Cards are collated and despatched monthly to Martin Burgess, STB-IPS, Floor 1, Zone 6, British Library, 96, Euston Road, LONDON. Completed sets should be enveloped and handed to European Translations for inclusion in their weekly box despatch by van to the library.

These cards form a useful reference to the B1 who checks them loosely before despatch, of those cases she/he may wish to spot check from amongst completed work.

Note:

There is another patent office form which can request a change of name.

Form 11/77 can be used: (option i, Rules 35 & 36) provided that a Form 7/77 has not been filed to request an amendment. The action will be taken by Formalities. (option iii Rule 47)

Where an error has occurred resulting in a mistake being entered on the Register as a result of a Form 20/77, or 21/77 request. The action is taken by Assignments. (option iii Rule 47)

where an entry made at the EPO on an EP(UK) is found to be wrong after grant. Dealt with by European Translations. (option iv Rule 91) Correction of any other error or mistake.

Dealt with by Legal Section Post-Grant and Formalities pre-grant.

The forms should be passed to the B1 in Assignments before any action is taken.

## **File Work**

Although the OPTICS work is the same to register the change of name/address on all New Act cases, there is file work on all pending applications, where there is a change to the Applicant's or Inventor's name or address.

### Un-Published Cases

These cases are actioned under Section 30. Stamp on the File shell, minute sheet and Form 1/77 "Application under Section 30 filed on ddmmyy", if not already done (the file shell stamping is made below the entry noting priorities, the Form 1/77 stamping is across the name to be changed).

Complete form CS1, heading the sheet with the application number, noting Section 30, or 32 on the CS1 and entering the new applicant's name(s) also adding the new afs (if it has been

changed), attach the cs1 to the front of the form 1/77.. Write on the minute sheet "Formalities, please see form 1/77 for change of Applicant's/Inventor's name or address, sign and date the minute.

#### A-Published

Action is as above except that action is under Section 32, therefore, stamping of the file shell etc. should be " Application under Section 32 filed on ddmmyy".

#### **Enter OPTICS**

Use "**DIS FUL**" to obtain application/patent Numbers as necessary, classification (eg U/P, A, or B-published), and grant date for EP cases. On header screen pay particular attention to status. It should read "patent in force". If it reads as ceased, terminated, withdrawn no further action can be taken on these cases.

- b) The ADP Number of the existing role should be noted.
- c) The highest published patent number should be identified, as it will be on this file that all evidence will be filed (inside the rear cover of the "Open to Public Inspection" Section).
- d) Next Action "**SEA NAM**".

Using the usual procedure find the new ADP No. Make certain that the address matches between the ADP No and the request.

- e) Next Action "**REG NAM**".
  - i Enter Patent No
  - ii Option 1-3 (change name and/or address)
  - iii As screen requests, enter old and new ADP numbers
  - iv Home/Action
  - v Enter "**Y**" to confirm correct addresses
  - vi Enter appropriate option
  - vii Home/Action
  - viii As authority enter **F20** or **A3** or **A1** as appropriate
  - ix Date of instrument - will be the date on the evidence when the change took place
  - x See Section C above

- xi Home/Action
- xii Check details on screen and confirm with "Y" if correct. If not enter "N" and repeat as from (viii) above
- xiii If more than one case has been identified with the same existing ADP No then enter the patent numbers in the appropriate column
- xiv As final check confirm that cases are in force before entering "Y" to confirm case
- g) **GB cases** that are not granted have work to do on files For change of name of Applicant only :- After files are vouchered, open file to Form 1/77.
- i Prepare CS1 To show Application number new Applicant(if appropriate) and ADP number
- ii Turn to minute sheet and use stamp. Sign, date and return to the person who issued the file.
- h) **Un-granted EP Cases** - no action can be taken. Any A-published cases should be minuted to EP Translations.
- i) When all above actions have been carried out
- i Send out a letter of confirmation to the person filing the form PAA1



## **File Work**

Although the OPTICS work is the same to register the change of Applicant on all New Act cases, there is file work on all pending applications, where there is a change to the Applicant.

### Un-Published Cases

These cases are actioned under Section 30.

Stamp on the File shell, minute sheet and Form 1/77 "Application under Section 30 filed on ddmmyy", if not already done (the file shell stamping is made below the entry noting priorities, the Form 1/77 stamping is across the Applicant to be changed).

Complete CS1 by entering the Application number in the space provided and then the new Applicant information in full (name ,address country of incorporation) on the form, note on the CS1 any new address for service, staple the CS1 across the original Form 1/77 over the old Applicant information. Stamp on the minute sheet

<p><u>In accordance with the request on Patent Form 21/77 the application is now proceeding in the name of</u></p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Assignment section actions completed. File returned to formalities for further action.</p> <p>OPTICS      amended</p> <p>Form 1/77    "</p>

to instruct Formalities what action you have taken and then add your name stamp to the minute sheet.

Do not return the file on voucher, send it to the Formality unit who are responsible for it's processing, (folding over the voucher on the file) instructing them to refer to the minute on file.

### A-Published

Action is as above except that action is under Section 32, therefore, stamping of the file shell etc. should be " Application under Section 32 filed on ddmmyy".

## File Searching Location of Files Aide Memoire

### Un Published Applications

Awaiting Form 9/77 ) Pre Form 9/77 )	Pre Form 9 store, #. *
Ready for Allotment/ Allocation	Try G.R75 if filing date is very recent, if DIS FUL shows PCT or WO priority details try G.Y73.
Ready for Search	With Examiner; note heading, priority date & allocation from OPTICS, use PAFS to identify which examiner. **
Search report issued	A Store. *
Not ready for A-Publication May be S16 published	A- store. * refer to GR book. A - store #. *
A Published	A Store/ EP Store (check with Fmls B1)#, *. If date of A Publication is near, then G.B13.~
Ready for A Publication	EP Store (check with Fmls B1). *
Ready for Formalities	With Formality Officer, # then ask unit clerk.
S	Try G.R75

### A Published Applications

A Published awaiting Form 10/77	C Store. * If date of A Publication is <i>very</i> recent G.B13.~
Ready for Examination	With Examiner; note heading, priority date & allocation from OPTICS, use PAFS to identify which examiner. **
Amendment	With Examiner; note heading, priority date & allocation from OPTICS, use PAFS to identify which examiner. **
Awaiting Applicants Response	C Store. *
Disposed of not in order	C Store. *
Ready for Formalities	With Formality Officer, # then ask unit clerk.

Ready for Grant	If date of grant has not passed G.B13 ~, if it has, NMP.
Examination report issued	C Store. *
WR1 Store	WR1 Store. *
WR2 Store	WR2 Store. *
WR3 Store	WR3 Store. *
WR4 Store	WR4 Store. *

<b>Terminated cases</b>	If the Termination date has passed NMP, if not Fmls. *
-------------------------	--

**Granted Cases** If the Grant date has passed NMP, if not G.B13.~

Granted Cases not at NMP	Staff at NMP should have a note of where the file was sent (marking) If Not \$
--------------------------	--

```
# check allocation for Fmls unit
```

\* All files removed from Formalities must be left with unit clerk for file movement records to be made.

**\*\*** Some headings are too large for storage in examiners' rooms, check the appropriate list to see which headings use tanks and where the tanks are located. Before removing files from an examiner's room or tank agreement should be sought. If the examiner is not available check with the principal. All files removed from the examiner must be taken to the group clerk for file movement records to be made.

~ No file may be removed from G.B13 without agreement of the staff, who usually attach a red card to ensure return when due.

\$ Try OPTICS; DIS FUL will show any entries made 'below the line' look for the AUTH ID and initials of the staff member who made the entry, then use phone book to trace staff location, or Form filed and see who takes action on that Form. Examples; LS/DM/AR, F2, F11 are all Legal section.

File Searchers responsibility ends when the voucher has been attached to the file, whoever has the file should release it, or contact the person wh issued the voucher. IT IS NOT THE FILE SEARCHERS JOB TO STAND OVER THE PERSON WHO HAS THE FILE TO SEE THAT THIS IS DONE. If you find a file already has a voucher and is not being released refer the voucher back the B1, Assignments G.R15.

## FILES FOR PUBLIC INSPECTION

Below is an extract of the recent instruction with new procedures to adopt when files are requested relating to Patents/Applications for public inspection and the patent/application has been subject to a Form 20/77, or 21/77 registration request. The result of this new instruction is to shift responsibility to the File Searcher for ensuring assignment folders are available.

In the case of an assignment, which could affect several hundred cases, the potential problem of someone inspecting a file and not realising that there has been an assignment request and not seeing the assignment documents could be overcome by adopting the following procedures. On receiving a request from the LSR to supply a file for public inspection, the File Searcher, who is located in Assignment Section, should check the register to see if a request to register an assignment has been filed and on what file the folder containing the assignment documents has been placed. If the register shows that a request to register an assignment has been filed then the File Searcher should vouch for the requested file and the file containing the assignment folder if different. If the requested file does not contain the assignment folder, because it is on another file or is located in Assignments Section, the File Searcher should ensure that the folder is placed on the requested file before it is sent to the LSR. When the file is returned the assignment folder should be relocated on the original file or passed back to Assignments Section whichever is appropriate.

To complete this task the File Searcher should check the Register of each case requested by LSR, any case on which the following entry has been made will relate to an assignment file:

"Application under Section 30/32 filed on ddmmyy"

Further, many registers will also bear the registration to which the form relates. A very general example follows below:

12.08.1992 S.I.SV.EL. S.P.A., Incorporated in Italy, via 4 Fontane No. 20, Rome, Italy

[ADP No.  
06172332001]

registered as Applicant/Proprietor in place of  
INDESIT INDUSTRIA ELETTRODOMESTICI ITALIANA SPA, Str  
Piossasco Km 17, Rivalta,  
Turin, Italy

[ADP No.  
00512947001]

by virtue of deed of assignment dated 27.09.1985. **Certified copy filed on  
GB2105538**

Entry Type 8.4 Staff ID. DM Auth ID.  
F21

From this entry they highlight the file on which evidence they have filed to support the request. This type of information is on each entry. This is the file for which to vouch, if it is different from the one requested by LSR.

If only the "Application under Section 30/32 filed on ddmmyy" entry exists, the AA in assignments should be asked to help find the file by checking the RS book to find the assignment folder. The folder may still be in assignments, or it may be subject to a technical query and already be on a patent/application file. Once the assignment file has been located, both/all cases should be sent to LSR with return vouchers attached to the File Searcher G.R15. On return of the file the File Searcher should separate the files and arrange their return to their correct locations.

## ASSIGNMENTS SECTION - GUIDELINES FOR A3s/B1

1. Remove Assignment files from racking where they will have been placed by A1 in strict form filing date order, after booking-in work has been completed.
2. Check RS Sheet to see if there are any comments by A1 concerning under payments, incorrect Forms, or disparity between details on documents and those shown on the Register. Note, no action is taken on un-granted European Applications, nor do we 'register' Licence or Security Agreement(mortgage) requests for un-published cases these may be held, all other requests(assignments, etc.) should be returned and the agent advised to notify the EPO.
3. Some "Assignments" are mortgages in what they do and are treated as such. Note that actions should happen (ie. they date they occur) in the order which logically suits the chain of events. If any of the requirements are not met, send a standard letter to PA/Applicant drawing attention to the relevant problem, always make any changes to the Address for Service **NOW**. Where the current AFS is also the current (ie. old) proprietor, action must be considered. Always raise the question of who should be the afs in the future with the first letter issued. Make relevant entry in RS book, make note on Report Form, enter in Personal Stats book as cleared for weekly stats purposes. Request file and put documents away.

Documents are not required to prove the assignment when the Form 21/77 has been signed by or on behalf of all the parties to the transaction (and the registered proprietor is one of those parties).

4. When a reply reaches us, the case is re-instated and entered in the R S Book under its original reference number. Unless an additional fee is also received, nothing is shown under the £ headings. This entry is taken into account for stats purposes as a refile and is returned to the officer who first dealt with the case.
5. If all requirements are met refer to Reg Ins notes.
6. Complete check list on reverse of report sheet. (See copy attached).
7. For single applications call file and place assignment folder at the back of the file. For multiple applications and the documents are placed on the highest published number available. Should the schedule be entirely unpublished the documents go on the highest application number available.

## 8. **DECEASED OWNERS:** Registration of ownership of a beneficiary

In order to register a beneficiary as the owner of an Application or Patent the following are required:-

Form 21/77 and

1. If the estate is worth more than £5000 probate will have been granted and should have a copy of the will attached to it. (No death certificate necessary)
2. Letters of administration with a will (No death certificate necessary)
3. Probate or Letters of administration when Applicant dies leaving more than £5000 but does not leave a will (**Intestate**)
4. If the property is worth less than £5000 and no will has been made an assignment document signed by the person acting as administrator (assignor) and beneficiary (assignee). (A copy of the death certificate is necessary) .
5. Where the deceased person was an overseas national, United Kingdom probate may still be required. However, if the UK estate (often only the patent) is less than £5,000 probate may not be required, in this case a statutory declaration or witness statement confirming the refusal of the probate and that the estate is *Deminimus* (less than £5,000) is acceptable.
6. Overseas documents will differ from the British style and there may be no equivalent to probate abroad. Always look for a document issued by a court or registration authority and be prepared to be flexible with the documents acceptable.
7. Foreign equivalents; Scotland, confirmation; South Africa, direction under Section 18(3) Estates Act 1965; Japan, family register.

### **What is probate?**

When a person dies somebody has to deal with their estate (money, property and possessions left) by collecting in all the money, paying any debts and distributing the estate to those entitled to it.

The probate registry issues the document, which is called **a grant of representation**

1. Probate is issued to the executors named in the deceased will
2. Letters of administration are issued when there is a will but when there is no executor named.



3. Letters of administration are issued when the deceased has not made a will or any will made is invalid.

**Copies of any documents should be certified**

9. LICENCES: No action is taken on Un-Published cases, if there are any queries outstanding raise them, book out the case and place the green jacket in the bottom drawer of the filing cabinet, if there are no queries, do not book out, write advising the case will be held awaiting A-Pub., place green jacket in the bottom drawer. There is no amendment to be made to Application files beyond the entry of the Section 32. Reg Ins notes detail the OPTICS registration, there is no OPTICS work on OLD ACT cases. Signatures required; the person granting the licence must sign the document (else there is no authority for the grant of the licence). Licences are not subject to the signature of all parties requirement as they are not mentioned in Section 30(6) of the Patents Act 1977).

Documents are not required to prove the licence when the Form 21/77 has been signed by or on behalf of the licensor (and that is the registered proprietor).

10. AGREEMENTS: The checklist is as for assignments take care for any security Agreements in what they do (Assignments are treated as such, Security agreements are dealt with under mortgages). There are no index cards or file action.
11. MORTGAGES: Use the checklist. Note that there is NO CHANGE OF TITLE unless the mortgagor forecloses in which case a second entry is made as for an assignment. Note that some mortgages are set out as Security Agreements, Debentures, charges these are subject to the same checks as mortgages, but are registered as Security agreements.

Documents are not required to prove the mortgage when the Form 21/77 has been signed by or on behalf of the person giving the mortgage ie. the borrower (and that is the registered proprietor).

12. MERGERS: must be read to ensure whether the company who is dissolved was the patent owner (form 21), or whether the surviving company is the patent proprietor (form 20/77 only, and only that if that company changes it's name). The action is the same as an assignment for OPTICS and filework.

If the company on the register no longer exists once the merger is completed then the change should be registered as a merger.

If another company merges into the company on the register and then there is a change of name this should be recorded as a change of name only.

A = the Applicant now on register

B = the New Applicant

A merges into B (and A has name change) = Form 21/77 and record as a merger

B merges into A and A has name change = Form 20/77 only change of name

13. BANKRUPTCY/LIQUIDATION: these are the names used to describe individuals or

companies who have been adjudged insolvent by the courts. Their affairs are managed by court appointed officials (administrators, trustees, liquidators, or receivers) who job is to act for those creditors who asked the court to judge the case. We do not need to see the court decision , or the appointment of the official, they may complete assignments, or licences as if they were the proprietor. However, they may not be registered as the proprietor, their appointment is as a trustee acting on the behalf of others ( Section 32(3) of the Patents Act 1977 refers), they have no beneficial interest in the patent .

## **INDEX: ASSIGNMENTS, REGULAR IRREGULARITIES**

- 1. PCT APPLICATION**
- 2. VEB TO GMBH TRANSACTIONS**
- 3. DOCUMENTS NOT OPEN TO INSPECTION**
- 4. REGISTRATION OF UNDATED ASSIGNMENTS**
- 5. CAVEATS**
- 6. "SECRETS" CASES SECTION 22**
- 7. AMENDMENT OF OWNER POST GRANT**
- 8. SUPPLEMENTARY PROTECTION CERTIFICATES**
- 9. URGENT TREATMENT REQUESTED BY FORMALITIES**
- 10. DISPUTE MANAGEMENT**
- 11. SIGNATURES ON FORM 21/77**
- 12. HEARSAY EVIDENCE**
- 13. SIGNATURES TO ASSIGNMENT/MORTGAGE DOCUMENTS**
- 14. EFFECTIVE DATES**

## **PCT APPLICATIONS/ASSGN 1**

An application for a patent electing the UK may be made under the Patent Cooperation treaty (PCT). Unlike an application to the EPO, such an application does not proceed to grant but S. 89 enters what is called the National Phase when it is treated as an application under the Patents Act 1977.

### **S 85(1)**

Entry into the National Phase is by way of filing Form NP1 and fee that is treated as the Form 1/77 thereafter. The form is dated and given a number in line with the normal filing procedure at this Office, but its filing date

S89B(1) is deemed to be the date that it was filed with PCT. If the application has been published by PCT.

S 89(2) Then it is deemed to be in the public domain from the date of that publication.

In order to accord the application a seven figure number it is re-published in the UK. The UK Office publishes the details exactly as those published by PCT.

S30 & 32 Registration of a transaction, instrument of event, or a change of name is by way of F21/77 or 20/77 with the usual supporting evidence.

Practice Since the Office published the application details as published by PCT, it will not be possible to complete an action until after publication.

Procedure The action office should then contact Formalities for advice as to when the application will publish. As soon as publication has taken place the necessary entry should be placed on the register. The required file work should be completed as soon as the file becomes available after publication.

To: All  
cc Paul Twyman  
From:  
Mr. M. Hewlett  
GR15  
Concept House  
tel(GTN1214)4630  
13 March 2002

GB9516364.8 ~ Applications filed claiming priority from PCT

The above case was filed in the United Kingdom as B. It appears the original PCT was filed in name A and a change of Applicant occurred after WIPO Publication.

Our problem is that these cases may have assignments or changes of name filed for registration and appear to be already in the correct name (B). When this has happened we are asked, by legal to accept the form (and money, if appropriate), but take no action, the name already being correct.

To identify such a case you will have to notice;

- . It already stands in the correct name.
- . There is a claimed priority and above the line heading PCT NATIONAL PHASE.

Action required is only to check the papers filed, raise and resolve deficiencies, then confirm the application proceeds in the new name (B). You will need to diarise deficiencies for a reply any lack of response to chasing letters of this nature should be referred to the B1 with a view to amending the register to reflect the correct (old) applicant.

Booking-in procedures are completely unchanged.

M.Hewlett  
Marks & Clerk  
Sussex House  
83-85 Mosley Street  
MANCHESTER  
M2 3LG

Direct Line 01633 814630  
Our ref MH/ASSIGN.  
Your ref MH/LP/M087747PGB.

Date 13 March 2002

Dear Sir

Patents Act 1977: Patents Rules 1995  
Application/Patent No.GB9612505.9

I refer to your letter of 21 August 1996.

By virtue of Section 89(1) and 89A(1), the Application is treated as having been filed on the date that the international application was filed. If, therefore, the name of the Applicant differs from that on the PCT Documents as transmitted by WIPO, then the appropriate statutory procedure should be followed to change the name. Form NP1 is not effective for this purpose, not being a statutory form and being merely advisory.

If, as appears from the certificate, the Applicant has changed name, then the change should be requested on Form 20/77. No further evidence of the change is necessary in view of this certificate.

Please, therefore, file Form 20/77 to complete this requirement.

A period of one month is allowed, from the date of this letter, for the filing of the Form 20/77.

Yours faithfully

Mike Hewlett  
Assignments

## REGISTRATION OF TRANSACTIONS "VEB" TO "GMBH"/ASSGN 2

Following the unification of Germany and the adoption by the former East Germany of a new constitution, requests are made by agents to reflect this on the Patent Register for those patent proprietors so affected. The method by which this was to be effected was established following an enquiry by an agent.

Minute            This unification has required companies to  
13/8/91            incorporate under the unified German constitution, such an action involves  
a reconstitution under German Federal Law, and is  
Section            effectively, an order or direction from a  
33(3)E            competent authority.

Rule 46(1)       This requires evidencing via a Form 21/77.  
Practice           Evidence may vary, acceptable evidence is:  
1)        An extract from the Handels Register  
2)        A document purporting to be an assignment stating, it is transferring to a successor  
following the unification requirements.

Procedure           Documentation should be correctly translated  
Rule 46(2)       and certified together with, certified copies if appropriate.

DECEMBER 1991

### **DOCUMENTS NOT OPEN TO INSPECTION/ASSGN 3**

All documents are inspected by the A1s on being booked in.

Documents requiring confidentiality fall into two categories:

Rule 93(4)c A) Any document to be treated as "for inspection and return only" such documents may be marked or, the request may be made in the accompanying letter.

Practice The Office also treats as "inspection and return only" those documents that are full agreements or licences and are accompanied by a "short-form" documents even though a specific request has not been made.

Rule 94(1) B) Documents that bear a confidential marking or, for which a confidential request has been made.

Rule 93(5)Ai) Documents that contain disparaging comments about named persons

Procedure All such documents are to be placed on a Not Open to Public Inspection (N.O.P.I.) file and attached to the green jacket externally, the case then to be passed to the EO:

Procedure A) On completion of the case or, as soon as a letter has to be sent to the applicant, the N.O.P.I. document is returned and the report sheet marked accordingly.

The N.O.P.I. folder is returned to the A1 for re-use.

Practice B) On a request for confidentiality being made, a letter is sent asking for reasons for the request for confidentiality. A period of 14 days from the date of the letter is allowed, at which point the documents will go O.P.I. The file should be called after one month and if no interim reply has been received the documents placed on open file.

Procedure On receipt of a reasoned request the documents are sent to the C2 for consideration.

JANUARY 1992



## REGISTRATION OF UNDATED ASSIGNMENTS/ASSGN 4

As a general rule, documents submitted for registration are dated. All standard register entries relating to assignments work required the insertion of an effective date or, the system will reject the entry.

Occasionally a document is received that does not bear a date. This is almost certainly an oversight and should be drawn to the attention of the person who has filed the documents. The wording for the letter is attached. The date thus obtained is used as the effective date.

The effort must be made to get a date in writing. The Officer actioning the case must not allocate a date other than on this basis.

it is in the best interest of all concerned that an effective date be given on the Register. however, though the date that persons assumed right or title may be significant in proceedings, neither the Patents Act 1977 nor the Rules made thereunder specify the requirement for the supply of an effective date. It follows that the Office cannot refuse to register because a date is not given. If the above procedure is followed and the person who filed the document declines to give a date, the case must be referred to the B2 for consideration of a suitable free-test entry on the Register to cover the particulars of the case.

## **CAVEATS/ASSGN 5**

A caveat is a request for information relating to a patent or patent application which may ask for information on work undertaken by Assignments Section.

A caveat file is recognised by a red sticker on the front of the file, the caveat is stated on a red card, placed at the end of the minutes.

All cases for which a caveat has been filed:-

The caveat clerk is notified when a register entry has been completed as he/she gets a weekly Optics advice.

Procedure      As a back-up, if an officer is dealing with a published case which appears to have a relevant caveat request, it should be minuted to the caveat clerk for his/her attention. For un-published cases the file should be minuted to the relevant Formalities Unit requesting they advise the caveat clerk and "A" publication as a response may need to be issued.

**PATENT APPLICATION SUBJECT TO A PROHIBITION ORDER  
UNDER SECTION 22 (SECURITY CASES) / ASSGN6**

The purpose of this instruction is to formalise the section's action in respect of security cases.

**Identification of a Security Case.**

There will be no OPTICS entry. The nature of the error message on the screen may vary.

**Procedure**                      However, a telephone enquiry to Security Section (extension number 4989) will enable confirmation as to whether an application is held as a security case. No record is made of such a call, nor is any entry made on the Section's R S Book or Report Sheets. The booking-in procedures being undertaken without entry of a "Section 30" being made. The request is then held until it falls due for action, enquiries as to any additional requirements or deficiencies being made without reference to security cases (it may be necessary for the actioning officer to again check with Security Section s above whether they hold a case).

**Minute**                      Should an agent specifically refer to a  
27 April 1992 security case (other than as a part of the original request or in evidence), a copy of the correspondence, with the security cases blanked out, is to be placed on the open file and the original held in an assignments Not Open To Public Inspection (NOPI) jacket. Amendments and blankings out are not made to

**Practice**                      legal documents or evidence supplied, the main object is not to draw attention to cases.

**Minute**                      When a security case is referred to in a  
27 April 1992 schedule that does not form a part of the evidence, the schedule is to be copied for the open part of the file with the appropriate numbers blanked out, the amended copy will go on the open part of the file and the original in a NOPI assignment jacket.

**Procedure**                      After registration of the available cases, the file bearing the evidence should be minuted to Mr Hayes, GR70, Concept House with the legend "Assignment File For Your Attention". A pro-forma is attached which should be completed and placed in the assignment jacket.

**Procedure**                      The PAA1 advice letter is not to refer to security cases. Any correspondence in which agents refer to the apparent in-action on security cases is to be referred direct to Security Section.

ACTION :                CHANGE OF NAME/ADDRESS  
ASSIGNMENT  
EXCLUSIVE/NON EXCLUSIVE LICENCE  
MORTGAGE  
MERGER  
AGREEMENT  
PROBATE/LETTERS OF ADMINISTRATION

EFFECTIVE DATES OF ACTION :

DATE OF FILING OF FORM 20/77  
OR 21/77

OLD APPLICANT : NAME

ADDRESS

STATE OF INCORPORATION

NEW APPLICANT : NAME

LICENSEE

MORTGAGEE                ADDRESS

STATE OF INCORPORATION

EVIDENCE FILED ON :

## **AMENDMENT OF OWNER POST-GRANT ASSGN 7.**

Files become "unavailable" for some time before grant. There is always some time lag between the filing of a Form 21/77 or a Form 20/77 and when action can be effected. Clarification of inadequate evidence can lengthen the time case takes to process.

All these factors mean that there will be times when a case grants in the wrong name. No action is taken by the Office to identify these cases, rather a request for an amendment by the agent/owner is awaited. When a replacement certificate of grant is required the original must be returned before the new one is issued.

The factors that need to be taken into account when deciding whether erratum slips and/or a new certificate of grant are allowable are the assignment execution date and the date of grant under Section 24(1).

For the request to be allowable, the assignment must be executed before the grant date.

If a request for a fresh certificate and/or erratum slips is made the request is sent to the B1 Assignment Section who will check the dates. If the request is allowed the B1 will minute publication section as follows:

"Execution of the assignments having taken place before grant, the patent stands in the name of:

ABC  
The High Street  
NEWTON  
Surrey

Please issue errata (and a replacement certificate of grant. The original certificate has been returned)".

The certificate of Grant, and B specification if returned, must be placed on their own file with the main correspondence, not on any evidence file, or assignments green jacket. If the request is not allowed a letter is issued (returning the certificate of grant) pointing out that the assignment date is after the date of grant but the new owner/name has been registered and if proof of ownership is required a certified copy of the register, as prima facie evidence of ownership, may be obtained on the filing of Form 23/77 with fee.

A similar situation can obtain at "A" publication. It is extremely rare for a request to be made to amend the "A" publication but when it is done the procedure is the same. The two dates to be taken into account are the date that the assignment was executed and the publication date Section 16(1).

## SUPPLEMENTARY PROTECTION CERTIFICATES/ASSGN8

The Supplementary Protection Certificate (SPC), is a separate piece of property, which appears as a below the line entry on a patent register, an example is shown below;

"Supplementary Protection Certificate SPC/GB93/104 in respect of 2,4-Diamino-5-(8-dimethylamino-7-methyl-5-quinolylmethyl) pyrimidine in combination with Sulphadimethoxime was granted on 25 January 1994 for a maximum period expiring on 26 September 2006."

These certificates are capable of being sold separately from, or with the patent and can form an encumbrance on the patent to a new proprietor, if he/she is not aware of them, as they permit their owner to use the technology for the specific purpose stated in the SPC.

Where they appear on the register of a patent that is being assigned, the agent should be asked to confirm to the new proprietor that an SPC is registered, when the first letter relating to the assignment is issued. The agent should also be asked to confirm whether the SPC is part of the assignment, if this is not made clear from the documents supplied. This does not delay registration.

However, it is also possible for the SPC to be sold, licenced, or mortgaged separately and for registration of the transaction, instrument or event to be requested. Legal division have the responsibility for the granting and Formalities for the maintenance of SPC's, but the registration is to remain with us. Form 21/77 is still required, and the transaction should be considered in a similar way as the registration of the assignment or a licence of a patent, except that, the register entry is required to be a FREE-TEXT entry, no roles are to be opened, or closed, specimens are given below;

MALLINCKRODT VETERINARY INC, Incorporated in USA - Delaware, 421  
East Hawley Street, Mundelein, Illinois 60060, United States of America registered as Holder of  
Certificate Number SPC/GB93/104 in place of  
THE WELLCOME FOUNDATION LIMITED, 183-193 Euston Road, London NW1 2BP,  
United Kingdom  
by virtue of deed of assignment dated 26.07.1995. Certified copy filed on EP0051879

-----  
Notice of Exclusive Licence of Certificate Number SPC/GB93/051 to May & Baker Limited (A  
Company Incorporated in the United Kingdom), of RPR House, 52 St. Leonards Road,  
Eastbourne, East Sussex, BN21 3YG, United Kingdom. Effective Date 14 December 1995  
Evidence filed on GB1441359

The usual administrative procedures apply, index cards, PAA1 letter etc, should all be completed, noting the SPC as a separate piece of property. Under SPC Rules, there is no need to establish a State of Incorporation of the role being established. The SPC file should be requested from Ms M Screen Room 2R.88 and file work done on the SPC file to draw attention to the SPC database staff of the change in ownership. Address for service letters and Forms 51/77 should be copied to Ms M Screen in room 2R.88 who will record the change. Confirm to the agent this has been noted and book out the work.

## **URGENT TREATMENT REQUESTED BY FORMALITIES - ASSGN 9.**

The Assignments/Formalities Quality Circle has agreed a standard procedure to deal with cases where the Change of address, Form 20/77, 21/77 should be actioned immediately. The cases will be identified by Formalities who will have either, set the case in order for A-Publication/Grant, or who will have received a request on Form 23/77 for certified office copies. The procedure will also apply to requests received from European Translation section where there is a Form 23/77 action pending.

The Formality Officer will minute the file to the EO with a statement saying what action they have to take and what they require the Assignment section to do.

Our responsibility is to deal with the case and issue a reply with the file saying either, "Assignment action complete-OPTICS and file records up-dated, see evidence filed on .....", or "Assignment action cannot be completed - further action pending agents reply, see fax/letter dated ....." in any case this must be done, or the Formality unit advised, within 24 hours.

## **DISPUTE MANAGEMENT 10**

Occasionally doubt is cast upon the validity of documents, or a formal court action (divorce, contract litigation) is pending resolution. Post-Grant can only consider whether the transaction/instrument/event does, or does not establish a prima facie right. Cases are likely to be relatively rare and not easily resolved simply by following pre-determined guidelines. Involve the B2 in all cases. If an urgent view is requested by any party and B2/B3/C2 are unavailable PDD/H should be involved. The Office should then register the transaction, or not and suggest entitlement proceedings (Section 8, or 37), rectification of the Register (Section 34), or that an external court action be launched, ie. a formal environment designed to resolve the dispute. What follows is the procedure adopted because of two disputed assignments (GB9508186.5 and GB2132744). See also GB2261583 for guidance by Legal Division.

### **Part 1. Initial Booking - in and general handling**

When told about a dispute, normal booking-in procedures are followed, and the papers linked to the assignment, if received. Whenever the dispute is raised, action to make changes to the rights recorded/registered should be suspended. Changes of name may still be registered. Changes of Address for Service must be carefully considered.

Post-Grant does not decide these matters, but they may be decided elsewhere and it is important to remain above the dispute. Comments about the types of papers required and the attention/weight they will be given should be restricted to general practice, no confirmation should be given that a statement once received will resolve the situation. The intention is to take a view based on the balance of the prima facie evidence. Not to make a registration is to come down on the side of whoever is already on the register.

The B1 will involve the B2, or above before taking a final stance.

Correspondence should be phrased, "it is the preliminary view of the Patent Office", "in the view of the Office", "in the opinion of the Patent Office". Do not use the words "decided", "decision", or the like, as they have legal meaning in disputes when used by examiners/legal, further Sections 30-33 of the Patents Act 1977 do not provide for decisions.

There is no formal proceeding and it is not customary to require Forms 51/77 from the agents involved.

### **Part 2. Substantive treatment of the dispute.**

#### **A1**

Booking - in procedures are unchanged, the letter is treated as relating to a Form 21/77 action. An entry is made in the RS book under the 21/77 line, although obviously no fee has been received. The comments column may be annotated "dispute reference", for identification purposes. The letter should be made urgent and placed at the front of the pending work.

#### **B1**

Notification of a dispute will usually be a letter by the party claiming loss. First establish whether the matter they dispute has yet to be received (1), is awaiting registration in pending



work (2) or, has been registered (3).

There may be references to fraud, or wrongdoing by a person in the letter or statements filed, these must be brought to the attention of the C2, any such statements may well be held Not Open to Public Inspection. References in letters or statements which appear disparaging or likely to damage a person should be placed Not Open to Public Inspection by virtue of Rule 93(5)(a)(i). The agent should be advised of that action and instructed to restrain future comments to factual statements.

1) If nothing has been received, there is little to do. Place the documents on file (to be available for Public Inspection after fourteen days). Then write to the agent suggesting they file a caveat request asking to be notified of an Application for Registration of a Transaction/Instrument/Event. At this stage file Form 49/77, noting an internal caveat with the caveat clerk (G.Y73) and request to be told when a register entry is made "Application under Section 30/32 filed on ddmmyy". This is to draw attention to the Form 21/77 that may be filed to request registration of the disputed transaction.

2) Where a request for registration is already pending, trace the Form 21/77 and place all of the papers on the one evidence file, keep the dispute matter separate on the ordinary correspondence section of the file. Write to the disputing agent advising of the pending form (if appropriate when it will be available for Public Inspection), where it is held and by whom it was filed. Write to the agent filing the request for registration, advising them of the dispute and asking for such comments as they may have (to do this you should enclose a copy of the dispute letter) and raise any technical deficiencies with the request.

3) If registration has already happened, advise the agent with a copy of the register (if unpublished only a written statement can be issued).

The dispute may revolve around disposal of property which is prohibited by a court (eg. an injunction issued pending completion of a divorce). The agent should then be recommended to file the court order and ask for registration of that restriction on Form 21/77 as an event affecting the rights in the Patent.

Once comments from each side have been received a view should be taken and relevant action planned. It may be felt worthwhile to allow a period between issuing the letter and completing any action necessary. It is not correct to refuse to act because someone is disadvantaged. Until the correct action has been completed under Section 33, there is no person aggrieved to file an action under, for instance Sections 8, 34, 37, to seek an inter - partes decision on the case and a final settlement.

## SIGNMENT SECTION STAFF MEETING

### ACCEPTABLE SIGNATURE DESIGNATIONS ON FORM 21/77/ASSGN 11

Position;

The new Form 21/77 allows for signatures by or, on behalf of parties to a transaction (assignment, mortgage, licence). We receive forms completed by agents & solicitors who sign saying they are agent for, solicitor to etc. but, not that they act for and on behalf of .....

Difficulty;

We should have a clear and consistent line on the acceptability or, otherwise of the various statements.

Decision;

Signatures must be written and must be against identifiable parties (licensor, assignee/assignor, mortgagor, Fred Bloggs, parties listed overleaf, etc.) but, need not be written separately against each rule. They should be accepted where the person signing claims to act in any formal capacity for the parties to the transaction.

17 FEBRUARY 1997

PRESENT:

Mike Hewlett

Philip Heaven

Paul Edwards

Barbara Jones

Natalie Morgan

### FORM 21/77 EXECUTION

Following the Civil Evidence Act 1995 and after discussion with Legal Division there are effects on the completion of Form 21/77. Rules and the Form 21/77 itself make no statement that the Form must be signed. The need for signature(s) is based on our reliance on the document to support the request for registration. Broadly there are three themes;

If the Form has not been signed at all, registration should be made only on the basis of the evidence filed.

Where the Form has been filed with "hearsay" evidence and the transaction is one which may attract Stamp Duty, a signature at (7) on the Form is required to confirm both that rights were acquired and that Stamp Duty requirements are met. A signature by a professional to that statement is accepted without question.

When the Form is filed to request registration and no supporting evidence is provided, the requirements are for a signature by the mortgagor, the licensor or, if an assignment both parties. For a licence or assignment those signature(s) are taken to confirm compliance with Stamp Duty legislation.

## **HEARSAY EVIDENCE/ASSGN 12**

The Civil Evidence Act 1995 has now come into force. The effect of this Act is to allow hearsay evidence to be accepted as proof that something happened. For us this means to support requests for registration on Forms 20/77 & 21/77.

What can we now accept and what can we not accept?

Accept:

Notarial statements saying that a transaction, instrument or event has taken place.

Statutory declarations and affidavits.

Minutes of meetings which confirm that something has happened (eg. minutes of a company meeting which confirm a change of name has been registered with the appropriate authority).

Letters and statements from registration authorities (eg. EPO2544).

Not Accept:

Statements saying that something will happen (eg. minutes of a meeting agreeing that a change of company name will take place).

Letters and statements which do not cite a basis, or document from which they draw the information.

See also Signature designation (ASSGN11).

A precedent case heard in the High Court before Justice Jacob (1) has led to a review of the types of assignment execution that can be accepted for registration. This has arisen because assignment/mortgage documents must be executed by the parties to the transaction, if they are not to be void (2).

What is meant by void? What effect does the document have?

Void, in this instance, means no legal, registerable title passed to the assignee. The document is an enforceable agreement conveying equitable rights.

What is not acceptable?

Any document which does not have both signatures as part of the original execution. A separate acceptance cannot meet this requirement since it "accepts" property from the earlier document, thus it cannot be part of that "assignment".

What is acceptable?

Documents executed in counterpart, where the assignment clearly provides for both parties to sign and both have, although, on separate originals. Assignments where the assignee's signature has been added to the original, although as an afterthought. Care, these can only be effective from the latest signature. Assignments which refer to an earlier agreement and are otherwise complete in all respects, although no earlier date of execution can be entered in the Register (with effect from, effective date etc) (3)

What should the Office do about these documents when asked to Register them?

Legal division have instructed an entry to be put on the Register under Rule 44(4) "an equitable right in favour of ... has been noted" (4).

An official letter should be sent outlining the position and this will request observations and offer a hearing (5).

Why is this entry made and what should be done with enquiries from the agent or third parties?

The entry is a temporary holding position, it does not complete the Form 21/77 request. This serves to warn third parties of the existence of the equity.

Since formal observations and the opportunity of a hearing are involved, telephone conversations must be carefully reported, any question which is not answerable in simple terms should be requested in writing, it may form part of an observation formally and a reply could be used as evidence during a hearing.

What happens after this?

The agent will either;

A) File a legally effective document registration of which is made to complete the original Form 21/77 request.

B) Write in with observations or request a hearing, at which time the file will be minuted to the unit manager for onward transmission to Legal Division.

If the dispute is resolved in the Applicant for registration's favour, the new title will be entered as requested under Rule 46.

If the dispute is decided against the Applicant for registration, no registration is made. Any fee on Form 2177 is refunded and the entry under Rule 44(4) remains. If the owner in equity requires to enforce their rights legally in the future, either the assignor will have to be joined in the action, or the registration of legal ownership will have to be completed.

C) Not respond, in which case requests for examination, renewal fees etc. should only be accepted on forms bearing the Applicants/Proprietors name on the file/register.

Mike Hewlett

### **Bibliography**

1 Baxter International Inc. et al. vs Nederlands Produktielaboratorium Bloedtransfusieapparatuur en Infusievloerstoffen BV et al. No 278 CH 1997

2 Patents Act 1977 Section 30(6).

3 Coflexip Stena Offshore Limited's patent RPC No. 6 1997

4 "Entered under Rule 44(4): Discretionary notice of an equitable right to this Application/Patent in favour of ..... Dated ddmmyy Certified copy of the agreement filed on GB/EPnnnnnn."

5 "I refer to the Form 21/77 filed at the Office ddmmyy to register the assignment of this patent.

The Office is unable to register the transaction under Rule 46 as the document of assignment has not been signed by the parties in accordance with the requirements of Section 30(6). In this respect it is noted that the transaction document itself is signed only by the assignor, and although it is accompanied by a letter of acceptance which is signed by the assignee, nevertheless the acceptance is a separate document which does not appear to form part of the assignment proper. The equitable right created by the defective transaction document has been recorded as a discretionary entry in the register under Rule 44(4).

You may, within one month of the date of this letter, file observations or request to be heard in this matter."

Requests for registration of a transaction (usually an assignment) sometimes refer to an 'effective date' of the transaction, asserting that an earlier (un-exhibited) document transferred title. It is usually part of the registration request that this earlier date is the date accorded to the change of ownership on the Register.

Before such a registration can be made there are objections to be overcome, eg. consideration of the potential Stamp Duty liability of that earlier document and its= meeting the requirement to be signed by all parties, together with all other technical requirements. Unless these considerations can be satisfied registration should not be made quoting that earlier date.

While a Form 21/77 signed by all parties will be accepted at face value, registration based on an assessment of the evidence should reflect that evidence and not documents which are unseen and not available for inspection.

Mike Hewlett  
24 May 1999

# Desk notes :- Refunds

The objectives for the refunds officer are to ensure that a refund:-

- i) is in fact due
- ii) is being sent to the correct address
- iii) is being sent via cheque or the appropriate deposit account
- iv) gives the correct reason for the refund
- v) gives the correct patent number against the refund
- vi) accompanied by a refund letter from the section submitting the refund.

When a refund arrives it should be documented for incoming stats purposes.

These outgoing stats are totalled each week and submitted via the Stats sheet on Lotus 1.2.3.

1. The **first** check is that the **amount** being refunded is correct. This can not exceed the amount on the form itself. Any form not showing a credited amount, (usually found in the top right hand corner), typed as received with a letter "E" followed by a six to eight figure reference, can not have a refund made against it as it shows no evidence of the original payment being received.
2. The **second** refund check is whether this should be **refunded via a deposit account?** An updated hard copy of all deposit accounts is available for this. If a deposit account does not exist then the refund is made via a cheque. If a deposit account does exist, the refund **must** be refunded via this deposit account even if the original payment was by cheque.

Any letters compiled to be refunded via cheque that are found to have a deposit account, should be returned to reflect a deposit account refund letter.

3. The **third** check is to ensure the **reason** for the refund is correctly stated. The refund letter should give this. Any not stating the reason should be returned as incomplete. The reason the letter gives for the refund, should be accompanied by documentation enabling you to check that the reason given is correct.

In the case of refunds on 11/77's & 21/77's:-

Overpayment (This can be checked against the query sheet, showing payment due, actual payment, and overpayment, a DIS HIS should also be used)

Patent Ceased (This can be checked against the DIS FUL, a checklist for

ceased  
letters  
should  
also  
be

Patent Revoked	(This can be checked against the DIS FUL, a DIS HIS should also be used)
Terminated	(This can be checked against the DIS FUL, a DIS HIS should also be used)
Previous payment	(This can be checked against DIS HIS, a copy of the original payment should also be supplied)
Not Yet Granted	(This can be checked against the DIS FUL, a DIS HIS should also be used). Used for EP cases.
Withdrawn	(This can be checked against the DIS FUL, a DIS HIS should also be used). Used for EP cases.
Not UK Designated	(This can be checked against the DIS FUL, a DIS HIS should also be used). Used for EP cases.
Void	(This can be checked against the DIS FUL, a DIS HIS should also be used). Used for EP cases.
Underpayment	A copy of the underpayment letter should be supplied.

4 The **fourth** check is to ensure the **correct address** is given at the head of the letter. This is usually supplied on the form against which the refund is being made. If it is not clear, try comparing with DIS CUR or DIS FUL

5 The **Fifth** check is to ensure the **correct Patent Number** is stated.

When these checks have been completed, the letters are then ready to compile onto a Spreadsheet. These are then passed for HEO (or above) authorisation.

7 For Deposit account refunds, information under the following headings should be supplied:-

Form Number, Agent/Proprietor, Deposit Account, Patent Number, Reason for refund, Amount refunded for this patent, Amount refunded for the full letter.

8 Each form must be refunded separately.

9 For Cheque refunds, information under the following headings should be supplied:-



Form Number, Agent/Proprietor, Patent Number, Reason for refund, Ledger heading, Amount refunded for this patent, Amount refunded for the full letter.

- 10 The ledger headings are allotted according to the form being refunded. These are as follows

Form Number  
11/77

Ledger to be used

21/77

- 11 The schedules should be given to Des Williams for signing. It is at this point that the schedules should be copied over to S-Drive.

- 12 When the schedules have been authorised, the Certification Numbers should be filled out on the individual letters.

This is made up as follows:

Batch Number • page number/line number

- 13 The letters should then be photo copied.

When this has been completed, the schedules should be signed, to say you're the one who compiled them, and photocopied.

These photocopied schedules should be kept as reference of refunds done and can be used to find when a refund was given and answer queries.

- 14 When this has been completed, the letters made out for CHEQUE refunds should be sent up to Kath Hyde Room 3R45, along with the original schedules.

The schedules for the DEPOSIT refunds should be sent to Laura Loder GR43, but the letters should be kept on your desk.

- 15 Laura will use the authorised schedules to refund direct to the deposit accounts. She will then return copies of the invoices for you to double check against the letters, marry up, then send out.

Along with these will be a copy of the Deposit schedules with the invoice numbers added. These schedules should be swapped with the photocopied schedules taken before the invoice numbers were added.

- 16 A 'Final Payment Register' will then be sent from Kath Hyde when the Cheques have been actioned. This should be used to add the Cheque numbers to the schedules photocopied earlier.

The photo copied letters should be married up with supporting documentation submitted with the original letters.

- 17 The original forms now need to be stamped to show if a full or part payment has been made.

All full payments should be stamped "Refunded on *DATE* Refunds Clerk" with the *date* shown appropriately.

All part payments should be stamped with the AMOUNT, DATE & CERTIFICATION NUMBER.

- 18 All documentation for refunds should be copied and the originals returned to the officer from whom it came.

The documentation kept by the refunds officer should be divided into files which are made up once per week. One should be for the EP and one for the GB. The Batch number and date to be shown on the outside of the file.

## **CORRECTION OF AN ERROR IN THE REGISTER OR IN ANY DOCUMENT FILED AT THE PATENT OFFICE IN CONNECTION WITH REGISTRATION**

legislation: **SECTION 32(2)(D) (Patents Act 1977)**  
**RULE 47 (Patent Rules 1995)**

Assignments are responsible for some corrections filed on Form 11/77. The form allows for corrections and amendment under several provisions. Rule 47 is considered by Assignments section to correct an action Assignments would have completed, or an error in a form filed at the Office in connection with registration. This is option iii on the Form.

Form 11/77 is "booked in" as a new Form, although there will be a link with previous or, existing work. An entry is made on the Register and the Application file (if appropriate) "Application under Section 32(2)(d) filed on ddmm yy". The EO holds a record book of all Form 11/77 corrections filed, enter the form in that log. The form is issued to the officer who was responsible for the original action or, their named replacement.

The AO/AA case officer is responsible for obtaining the file and documents for which correction is sought. Preliminary checks are made to see that the fee has been paid, all relevant and quoted papers are present and an extract of the Register placed on file.

The EO should examine the request;

- I. Establish that the request is a Rule 47 correction and does not form the responsibility of another work unit. Corrections to EP errors and translations on Form 54/77 are the responsibility of European Translations; corrections to specifications and/or, above the line entries on GB patents after grant, Legal Division; Corrections to Patent Applications and errors in specifications before grant, Formalities.
- II. Consider the request and recommend acceptance or, suggest additional requirements to the HEO, who decides the matter. The EO should also propose how the correction should be made.

The HEO has responsibility to allow the correction. There has to be a weighing of the explanation and a balance of how obvious and probable the error was. There is **not usually** a need to advertise corrections, since no third party is disadvantaged and the OJ(P) entries made on Section 32 are minimal. However, A-Publication and Grant must be considered, to establish whether a replacement, or an erratum is required.

The EO will either:

- i. Request further explanation. Note, no formal provision exists to compel replies within a specified period of time and 47(2) requires the correction to be agreed by the proprietor/applicant and the comptroller. B/F the case for two months, just to ensure some progress is made.
- ii. Administer the correction. OPTICS correction can be complex. Often corrections are unobtrusive and by the substitution of one ADP number for another, or sometimes

by using an ALTA DATA request to remove an entry and make a new entry. However, there will be occasions (sometimes the error has been public for so long) when it is inappropriate to simply remove and replace. An explanation must then be given with the correct information. Minute the case officer to make any changes to the file and Forms/documents and to confirm the correction. Minute also Publication and/or Formalities for an erratum/Certificate of Grant correction (a fresh Certificate will only be issued if the original is returned).

The AA/AO case officer makes any changes to documents and Forms as required, changes index cards and issues confirmation of the correction. Changes to documents and Forms are made with red pen, delete the wrong item and enter the replacement adding the note "Form 11/77 filed ddmmyy, held on GB/EPnnnnnnn & initialled". Index cards are sent to London Front Office with a covering minute.

## CHA CAS

A function which provides access to change the following information on OPTICS:

- |                                       |                                    |
|---------------------------------------|------------------------------------|
| 1 Administrative Information          | 7 Key Editions for Classifications |
| 2 Bibliographic and Register Info.    | 8 Earlier Application              |
| 3 Primary Heading and Field of Search | 9 Forms Logged Against Case        |
| 4 Priority Details                    | 10 Time Limits for Case            |
| 5 Front Page Footnotes                |                                    |
| 6 Equivalent Cases.                   |                                    |

Changes are unobtrusive and hidden, they are far reaching and their full extent is not always clear at the time of making the change. To avoid errors which may accumulate and be difficult to correct, OPTICS DIS FUL & screen prints should be taken before and after action and compared, for the desired effect and any other changes that may have arisen.

Assignment section uses for the CHA CAS function are quite limited. A common requirement is to add, delete, or mark as actioned Forms logged against a case. Occasional requests for correction of errors at the EPO (Form 11(3)) have resulted in CHA CAS use, for instance a title that has been misspelt.

**Use of LOTUS 1-2-3  
for Statistical and Record purposes  
in Patent Assignments**

**Creation of a New record week (Rsxxxx)**

Open file H:\SHARELOT\ASSIGN\RSNEW.WK4 check the view visible refers to RS Book, access cell C1 and overtype to create Rsxxxx, where xxxx is the week no. and last two digits of the year from the current Banner calendar, eg RS0600. Access cell B2 select view, freeze titles, rows and ok. Change view to ASSGNSECTWKEND, access cell A1, add the last date of this week, access cell B6, calculate and insert a date which will be four weeks old on the date inserted in A1. Access cell C22 insert the three day target for file searching, again from cell A1. Change the view to RS Book and save as RSxxxx.wk4 to agree with entry in cell C1, above.

## ASSIGNMENTS SECTION

B1 Geoff Shadbolt	01633 814630 Manager	<a href="mailto:geoff.shadbolt@patent.gov.uk">geoff.shadbolt@patent.gov.uk</a>
A3s Barbara Jones	01633 814451 examination	<a href="mailto:barbara.jones@patent.gov.uk">barbara.jones@patent.gov.uk</a>
Susan Bready	01633 814893 examination	<a href="mailto:susan.bready@patent.gov.uk">susan.bready@patent.gov.uk</a>
Pamela Thompson	01633 814642 examination	<a href="mailto:pamela.thompson@patent.gov.uk">pamela.thompson@patent.gov.uk</a>
Ceri-Lee Steiner	01633 814398 examination	<a href="mailto:ceri-lee.steiner@patent.gov.uk">ceri-lee.steiner@patent.gov.uk</a>
Brigitte Sparkes	01633 814304 examination	<a href="mailto:brigitte.sparkes@patent.gov.uk">brigitte.sparkes@patent.gov.uk</a>
Tammy Steer	01633 814657 examination	<a href="mailto:tammy.steer@patent.gov.uk">tammy.steer@patent.gov.uk</a>
Sue Morgan	01633 814644 examination	<a href="mailto:sue.morgan@patent.gov.uk">sue.morgan@patent.gov.uk</a>

The section takes action on forms 11/77 (option iii), (£40), & Form 21/77, (No Fee) to record/register changes affecting Applicant/Proprietors and/or their rights. Form 11/77 (iii) corrects an error in the register, or any connected document, not an error in an application, or form filed to advance that application.

The A1 posts have responsibility for receipt and booking-in of all correspondence onto the section, the entry on the register of the legend "Application under Section 32 filed ddmmyy", to advertise the filing of the request for registration (this is a notice with legal effect).

The most common form is a 21/77 (fee £0), this is used to record/register a transaction/instrument/event and is actioned by the A3s. Assignments, licences and mortgages(including debentures, charges, security agreements) form the common transactions; statutory instruments (Acts of Parliament, not necessarily British), court injunctions the usual instruments; mergers, grants of probate form the common events. The post is detailed and requires assessment of papers which may have originated in many parts of the world, in different languages, copies must be properly certified, translations into English are required and must be verified. Staff must also consider Stamp Duty, a property tax levied by Inland Revenue (accepting a document signed before 28 March 2000, not containing the correct Stamp can result in the Office being fined by Inland Revenue and the registration being struck off). The transactions are often filed in a sequence of events, providing a history of the patent ownership, which must be separately verified and resolved before the next step can be considered. The post requires some detailed and careful thought, agents are often asked, at the 'phone or by letter to provide additional documents, or missing papers. There is also file work and OPTICS action.

The B1 acts as an arbiter in cases of unusual evidence and to liaise with other parts of the Office, Legal Division, Formalities, Restorations, etc. and with agents and other agencies, such as Inland Revenue.