

MICRO ENTITY STATUS CHECKLIST

In order to qualify for micro entity status (on a gross income basis), the following conditions must be met.

- 1) Firstly, each applicant, inventor, or joint inventor must not have been named as an inventor on more than four previously filed US patent applications. Excluded from this count are i) provisional applications, ii) international applications filed under the PCT for which the basic national fee in USA was not paid, and iii) patent applications in which all patent rights were assigned, or obligated to be assigned, as a result of the applicant/inventor's previous employment. Does each applicant/inventor meet this requirement?

Yes No

- 2) Secondly, each applicant, inventor, joint inventor, owner, or any other entity with ownership interest must individually answer "yes" to each of the questions below. An entity with ownership interest is any entity to which patent rights have been assigned, granted, conveyed, or licensed, or to which patent rights are contractually obligated to be assigned, granted, conveyed, or licensed.

a) Is each applicant, inventor, or entity with ownership interest either: i) an individual, ii) a small business concern of less than 500 employees, or iii) a non-profit organization (including universities or institutes of higher education)?

Yes No

b) Was the gross income in the preceding calendar year, for each applicant, inventor, or entity with ownership interest, below the Maximum Qualifying Gross Income? (The Maximum Qualifying Gross Income is defined as three times the median household income in USA for that year. For 2020, the Maximum Qualifying Gross Income was \$206,109 USD, or \$273,506 CAD.)

Yes No

If you've answered "yes" to all the above, please sign, date and return a copy of this checklist to claim micro entity status. If you have any doubts as to whether the above conditions have been met, we recommend that you do not claim micro entity status, as falsely claiming micro entity status may jeopardize the validity of your patent.

Signature: _____

Date: _____

Printed Name: _____

****Alternatively, it is possible to qualify for micro entity status if each applicant or inventor who does not qualify according to the gross income basis i) earns the majority of their income from an institution of higher education, or ii) has assigned, granted, conveyed or is obligated to assign, grant, or convey a license or other ownership interest to an institution of higher education who is not an applicant.**