

# **Exhibit 10**

**Excerpts from production of “Administrative Record” by U.S. Patent and Trademark Office to Tafas Defendants**

**REDACTED**

-----Original Message-----

**From:** Clarke, Robert  
**Sent:** Thursday, March 10, 2005 4:05 PM  
**To:** Rolla, Joseph; Spar, Bob  
**Cc:** Bahr, Robert  
**Subject:** claims and percentages

I asked Toby to run stats to answer Jim Toupin's questions re the claim numbers to exceed a combined threshold.

Using claim data for newly serialized 2004 applications, the following numbers represent certain thresholds:

81.6% of applications have 5 or fewer independent claims, 93% of applications have 6 or fewer independent claims.

87.23% of applications have 40 or fewer total claims, 93% of applications have 51 or fewer total claims.

So a 6/51 limit would impact 7% of new applications (without taking into account restrictions or related applications.).

In the attached file, in worksheet 2004 corps data, column "F" is the percentage of applications having first X (from column C) independent and second Y total (Column B) claims and Column "M" is the percentage of applications having Z total claims (column I). The attached file is "huge" since it has a row for each combination of independent and dependent claim. If info from a particular TC is desired, I have provided the data (without an analysis) as worksheet "ClaimcountsbyTC".



Claim Counts by TC  
for FYs 02-...

By Independent claim

FY	Effective Claims	Independent Claims	Count	Total count	Percentage	FY	Effective Claims	Independent Claims	Count		
2004	1	1	5,915	5,915	1.94%	2004	1	1	5,915	5,915	1.94%
2004	2	1	2,032	7,947	2.60%	2004	2	1	2,032	7,947	2.60%
2004	3	1	2,849	10,796	3.53%	2004	2	2	1,226	9,173	3.00%
2004	4	1	3,766	14,562	4.77%	2004	3	1	2,849	12,022	3.94%
2004	5	1	3,654	18,216	5.96%	2004	3	2	623	12,645	4.14%
2004	6	1	4,094	22,310	7.30%	2004	3	3	806	13,451	4.40%
2004	7	1	3,992	26,302	8.61%	2004	4	1	3,766	17,217	5.64%
2004	8	1	4,242	30,544	10.00%	2004	4	2	1,377	18,594	6.09%
2004	9	1	3,730	34,274	11.22%	2004	4	3	294	18,888	6.18%
2004	10	1	4,268	38,542	12.62%	2004	4	4	485	19,373	6.34%
2004	11	1	3,202	41,744	13.66%	2004	5	1	3,654	23,027	7.54%
2004	12	1	3,127	44,871	14.69%	2004	5	2	1,317	24,344	7.97%
2004	13	1	2,497	47,368	15.50%	2004	5	3	470	24,814	8.12%
2004	14	1	2,363	49,731	16.28%	2004	5	4	150	24,964	8.17%
2004	15	1	2,182	51,913	16.99%	2004	5	5	187	25,151	8.23%
2004	16	1	1,951	53,864	17.63%	2004	6	1	4,094	29,245	9.57%
2004	17	1	1,706	55,570	18.19%	2004	6	2	2,068	31,313	10.25%
2004	18	1	1,674	57,244	18.74%	2004	6	3	719	32,032	10.48%
2004	19	1	1,377	58,621	19.19%	2004	6	4	230	32,262	10.56%
2004	20	1	2,886	61,507	20.13%	2004	6	5	65	32,327	10.58%
2004	21	1	1,028	62,535	20.47%	2004	6	6	202	32,529	10.65%
2004	22	1	832	63,367	20.74%	2004	7	1	3,992	36,521	11.95%
2004	23	1	673	64,040	20.96%	2004	7	2	1,764	38,285	12.53%
2004	24	1	674	64,714	21.18%	2004	7	3	795	39,080	12.79%
2004	25	1	560	65,274	21.37%	2004	7	4	255	39,335	12.88%
2004	26	1	488	65,762	21.53%	2004	7	5	92	39,427	12.91%
2004	27	1	427	66,189	21.67%	2004	7	6	46	39,473	12.92%
2004	28	1	415	66,604	21.80%	2004	7	7	86	39,559	12.95%
2004	29	1	342	66,946	21.91%	2004	8	1	4,242	43,801	14.34%
2004	30	1	334	67,280	22.02%	2004	8	2	2,659	46,460	15.21%
2004	31	1	244	67,524	22.10%	2004	8	3	893	47,353	15.50%
2004	32	1	272	67,796	22.19%	2004	8	4	486	47,839	15.66%
2004	33	1	232	68,028	22.27%	2004	8	5	114	47,953	15.70%
2004	34	1	190	68,218	22.33%	2004	8	6	85	48,038	15.72%
2004	35	1	228	68,446	22.40%	2004	8	7	25	48,063	15.73%
2004	36	1	173	68,619	22.46%	2004	8	8	85	48,148	15.76%
2004	37	1	157	68,776	22.51%	2004	9	1	3,730	51,878	16.98%
2004	38	1	128	68,904	22.55%	2004	9	2	2,331	54,209	17.74%
2004	39	1	102	69,006	22.59%	2004	9	3	1,283	55,492	18.16%
2004	40	1	114	69,120	22.62%	2004	9	4	363	55,855	18.28%
2004	41	1	99	69,219	22.66%	2004	9	5	152	56,007	18.33%
2004	42	1	118	69,337	22.70%	2004	9	6	96	56,103	18.36%
2004	43	1	64	69,401	22.72%	2004	9	7	38	56,141	18.38%
2004	44	1	88	69,489	22.75%	2004	9	8	14	56,155	18.38%
2004	45	1	61	69,550	22.77%	2004	9	9	56	56,211	18.40%
2004	46	1	58	69,608	22.78%	2004	10	1	4,268	60,479	19.80%
2004	47	1	66	69,674	22.81%	2004	10	2	3,474	63,953	20.93%
2004	48	1	79	69,753	22.83%	2004	10	3	1,472	65,425	21.42%
2004	49	1	57	69,810	22.85%	2004	10	4	631	66,056	21.62%
2004	50	1	45	69,855	22.87%	2004	10	5	219	66,275	21.69%
2004	51	1	45	69,900	22.88%	2004	10	6	154	66,429	21.74%
2004	52	1	43	69,943	22.89%	2004	10	7	42	66,471	21.76%
2004	53	1	35	69,978	22.91%	2004	10	8	32	66,503	21.77%
2004	54	1	36	70,014	22.92%	2004	10	9	14	66,517	21.77%
2004	55	1	36	70,050	22.93%	2004	10	10	38	66,555	21.78%

2004	56	1	35	70,085	22.94%	2004	11	1	3,202	69,757	22.83%
2004	57	1	33	70,118	22.95%	2004	11	2	2,591	72,348	23.68%
2004	58	1	28	70,146	22.96%	2004	11	3	1,479	73,827	24.17%
2004	59	1	20	70,166	22.97%	2004	11	4	502	74,329	24.33%
2004	60	1	32	70,198	22.98%	2004	11	5	230	74,559	24.40%
2004	61	1	15	70,213	22.98%	2004	11	6	98	74,657	24.44%
2004	62	1	22	70,235	22.99%	2004	11	7	51	74,708	24.45%
2004	63	1	21	70,256	23.00%	2004	11	8	21	74,729	24.46%
2004	64	1	24	70,280	23.00%	2004	11	9	19	74,748	24.47%
2004	65	1	17	70,297	23.01%	2004	11	10	5	74,753	24.47%
2004	66	1	14	70,311	23.01%	2004	11	11	24	74,777	24.48%
2004	67	1	16	70,327	23.02%	2004	12	1	3,127	77,904	25.50%
2004	68	1	21	70,348	23.03%	2004	12	2	3,392	81,296	26.61%
2004	69	1	22	70,370	23.03%	2004	12	3	1,840	83,136	27.21%
2004	70	1	6	70,376	23.04%	2004	12	4	754	83,890	27.46%
2004	71	1	12	70,388	23.04%	2004	12	5	254	84,144	27.54%
2004	72	1	17	70,405	23.05%	2004	12	6	224	84,368	27.62%
2004	73	1	9	70,414	23.05%	2004	12	7	54	84,422	27.63%
2004	74	1	8	70,422	23.05%	2004	12	8	42	84,464	27.65%
2004	75	1	7	70,429	23.05%	2004	12	9	22	84,486	27.65%
2004	76	1	10	70,439	23.06%	2004	12	10	23	84,509	27.66%
2004	77	1	10	70,449	23.06%	2004	12	11	5	84,514	27.66%
2004	78	1	12	70,461	23.06%	2004	12	12	22	84,536	27.67%
2004	79	1	4	70,465	23.06%	2004	13	1	2,497	87,033	28.49%
2004	80	1	13	70,478	23.07%	2004	13	2	2,411	89,444	29.28%
2004	81	1	6	70,484	23.07%	2004	13	3	1,710	91,154	29.84%
2004	82	1	5	70,489	23.07%	2004	13	4	651	91,805	30.05%
2004	83	1	15	70,504	23.08%	2004	13	5	239	92,044	30.13%
2004	84	1	11	70,515	23.08%	2004	13	6	142	92,186	30.17%
2004	85	1	3	70,518	23.08%	2004	13	7	68	92,254	30.20%
2004	86	1	5	70,523	23.08%	2004	13	8	31	92,285	30.21%
2004	87	1	3	70,526	23.08%	2004	13	9	33	92,318	30.22%
2004	88	1	11	70,537	23.09%	2004	13	10	11	92,329	30.22%
2004	89	1	3	70,540	23.09%	2004	13	11	8	92,337	30.22%
2004	90	1	6	70,546	23.09%	2004	13	12	5	92,342	30.23%
2004	91	1	4	70,550	23.09%	2004	13	13	11	92,353	30.23%
2004	92	1	6	70,556	23.09%	2004	14	1	2,363	94,716	31.00%
2004	93	1	2	70,558	23.10%	2004	14	2	3,211	97,927	32.05%
2004	94	1	6	70,564	23.10%	2004	14	3	1,819	99,746	32.65%
2004	95	1	5	70,569	23.10%	2004	14	4	830	100,576	32.92%
2004	96	1	1	70,570	23.10%	2004	14	5	248	100,824	33.00%
2004	97	1	1	70,571	23.10%	2004	14	6	196	101,020	33.07%
2004	98	1	3	70,574	23.10%	2004	14	7	70	101,090	33.09%
2004	99	1	1	70,575	23.10%	2004	14	8	61	101,151	33.11%
2004	100	1	4	70,579	23.10%	2004	14	9	22	101,173	33.12%
2004	101	1	3	70,582	23.10%	2004	14	10	15	101,188	33.12%
2004	102	1	1	70,583	23.10%	2004	14	11	7	101,195	33.12%
2004	103	1	3	70,586	23.10%	2004	14	12	7	101,202	33.13%
2004	104	1	5	70,591	23.11%	2004	14	13	2	101,204	33.13%
2004	105	1	5	70,596	23.11%	2004	14	14	15	101,219	33.13%
2004	106	1	2	70,598	23.11%	2004	15	1	2,182	103,401	33.85%
2004	107	1	1	70,599	23.11%	2004	15	2	2,705	106,106	34.73%
2004	108	1	3	70,602	23.11%	2004	15	3	2,390	108,496	35.51%
2004	109	1	3	70,605	23.11%	2004	15	4	802	109,298	35.78%
2004	110	1	5	70,610	23.11%	2004	15	5	336	109,634	35.89%
2004	111	1	2	70,612	23.11%	2004	15	6	204	109,838	35.95%
2004	112	1	2	70,614	23.11%	2004	15	7	70	109,908	35.98%
2004	113	1	2	70,616	23.11%	2004	15	8	51	109,959	35.99%

2004	317	4	1	249,143	81.55%	2004	44	6	196	275,847	90.29%
2004	328	4	1	249,144	81.55%	2004	44	7	101	275,948	90.32%
2004	341	4	1	249,145	81.55%	2004	44	8	83	276,031	90.35%
2004	344	4	1	249,146	81.55%	2004	44	9	34	276,065	90.36%
2004	372	4	1	249,147	81.55%	2004	44	10	33	276,098	90.37%
2004	389	4	1	249,148	81.55%	2004	44	11	20	276,118	90.38%
2004	429	4	1	249,149	81.55%	2004	44	12	17	276,135	90.38%
2004	523	4	1	249,150	81.55%	2004	44	13	8	276,143	90.39%
2004	540	4	1	249,151	81.55%	2004	44	14	5	276,148	90.39%
2004	836	4	1	249,152	81.55%	2004	44	15	7	276,155	90.39%
2004	5	5	187	249,339	81.61%	2004	44	16	5	276,160	90.39%
2004	6	5	65	249,404	81.64%	2004	44	17	3	276,163	90.39%
2004	7	5	92	249,496	81.67%	2004	44	18	4	276,167	90.40%
2004	8	5	114	249,610	81.70%	2004	44	20	1	276,168	90.40%
2004	9	5	152	249,762	81.75%	2004	44	21	2	276,170	90.40%
2004	10	5	219	249,981	81.82%	2004	44	24	1	276,171	90.40%
2004	11	5	230	250,211	81.90%	2004	44	28	1	276,172	90.40%
2004	12	5	254	250,465	81.98%	2004	44	44	1	276,173	90.40%
2004	13	5	239	250,704	82.06%	2004	45	1	61	276,234	90.42%
2004	14	5	248	250,952	82.14%	2004	45	2	150	276,384	90.47%
2004	15	5	336	251,288	82.25%	2004	45	3	330	276,714	90.57%
2004	16	5	300	251,588	82.35%	2004	45	4	288	277,002	90.67%
2004	17	5	380	251,968	82.47%	2004	45	5	224	277,226	90.74%
2004	18	5	418	252,386	82.61%	2004	45	6	180	277,406	90.80%
2004	19	5	485	252,871	82.77%	2004	45	7	112	277,518	90.84%
2004	20	5	1,037	253,908	83.11%	2004	45	8	63	277,581	90.86%
2004	21	5	611	254,519	83.31%	2004	45	9	59	277,640	90.88%
2004	22	5	575	255,094	83.50%	2004	45	10	30	277,670	90.89%
2004	23	5	600	255,694	83.69%	2004	45	11	22	277,692	90.89%
2004	24	5	518	256,212	83.86%	2004	45	12	16	277,708	90.90%
2004	25	5	566	256,778	84.05%	2004	45	13	9	277,717	90.90%
2004	26	5	601	257,379	84.25%	2004	45	14	12	277,729	90.91%
2004	27	5	564	257,943	84.43%	2004	45	15	7	277,736	90.91%
2004	28	5	538	258,481	84.61%	2004	45	16	5	277,741	90.91%
2004	29	5	538	259,019	84.78%	2004	45	17	6	277,747	90.91%
2004	30	5	698	259,717	85.01%	2004	45	18	1	277,748	90.91%
2004	31	5	489	260,206	85.17%	2004	45	19	1	277,749	90.91%
2004	32	5	492	260,698	85.33%	2004	45	20	4	277,753	90.91%
2004	33	5	449	261,147	85.48%	2004	45	21	2	277,755	90.92%
2004	34	5	407	261,554	85.61%	2004	45	22	1	277,756	90.92%
2004	35	5	382	261,936	85.74%	2004	45	25	1	277,757	90.92%
2004	36	5	422	262,358	85.88%	2004	45	27	1	277,758	90.92%
2004	37	5	341	262,699	85.99%	2004	45	29	1	277,759	90.92%
2004	38	5	342	263,041	86.10%	2004	46	1	58	277,817	90.94%
2004	39	5	341	263,382	86.21%	2004	46	2	150	277,967	90.98%
2004	40	5	361	263,743	86.33%	2004	46	3	227	278,194	91.06%
2004	41	5	246	263,989	86.41%	2004	46	4	267	278,461	91.15%
2004	42	5	234	264,223	86.49%	2004	46	5	187	278,648	91.21%
2004	43	5	230	264,453	86.56%	2004	46	6	173	278,821	91.26%
2004	44	5	198	264,651	86.63%	2004	46	7	81	278,902	91.29%
2004	45	5	224	264,875	86.70%	2004	46	8	95	278,997	91.32%
2004	46	5	187	265,062	86.76%	2004	46	9	48	279,045	91.34%
2004	47	5	166	265,228	86.81%	2004	46	10	30	279,075	91.35%
2004	48	5	172	265,400	86.87%	2004	46	11	23	279,098	91.35%
2004	49	5	160	265,560	86.92%	2004	46	12	14	279,112	91.36%
2004	50	5	154	265,714	86.97%	2004	46	13	10	279,122	91.36%
2004	51	5	132	265,846	87.02%	2004	46	14	6	279,128	91.36%
2004	52	5	96	265,942	87.05%	2004	46	15	3	279,131	91.37%

[A03557-67 omitted]

A003568

2004	58	47	1	305,461	99.98%	2004	458	1	1	305,461	99.98%
2004	60	47	1	305,462	99.98%	2004	460	1	1	305,462	99.98%
2004	144	47	1	305,463	99.98%	2004	460	3	1	305,463	99.98%
2004	162	47	1	305,464	99.98%	2004	463	11	1	305,464	99.98%
2004	50	48	1	305,465	99.99%	2004	464	1	1	305,465	99.99%
2004	69	48	1	305,466	99.99%	2004	466	18	1	305,466	99.99%
2004	156	48	1	305,467	99.99%	2004	471	5	1	305,467	99.99%
2004	168	48	1	305,468	99.99%	2004	472	11	1	305,468	99.99%
2004	73	49	1	305,469	99.99%	2004	479	22	1	305,469	99.99%
2004	85	49	1	305,470	99.99%	2004	480	1	1	305,470	99.99%
2004	366	49	1	305,471	99.99%	2004	483	2	1	305,471	99.99%
2004	62	51	1	305,472	99.99%	2004	489	6	1	305,472	99.99%
2004	76	51	1	305,473	99.99%	2004	491	11	1	305,473	99.99%
2004	80	52	1	305,474	99.99%	2004	499	2	1	305,474	99.99%
2004	112	52	1	305,475	99.99%	2004	503	7	1	305,475	99.99%
2004	83	53	1	305,476	99.99%	2004	511	2	1	305,476	99.99%
2004	54	54	1	305,477	99.99%	2004	521	66	1	305,477	99.99%
2004	77	54	1	305,478	99.99%	2004	523	4	1	305,478	99.99%
2004	134	54	1	305,479	99.99%	2004	523	24	1	305,479	99.99%
2004	305	55	1	305,480	99.99%	2004	538	6	1	305,480	99.99%
2004	123	56	1	305,481	99.99%	2004	540	4	1	305,481	99.99%
2004	96	60	1	305,482	99.99%	2004	542	15	1	305,482	99.99%
2004	145	60	1	305,483	99.99%	2004	548	29	1	305,483	99.99%
2004	196	60	1	305,484	99.99%	2004	550	1	1	305,484	99.99%
2004	113	61	1	305,485	99.99%	2004	559	1	1	305,485	99.99%
2004	118	62	1	305,486	99.99%	2004	562	3	1	305,486	99.99%
2004	136	62	1	305,487	99.99%	2004	569	1	1	305,487	99.99%
2004	126	63	1	305,488	99.99%	2004	571	3	1	305,488	99.99%
2004	84	64	1	305,489	99.99%	2004	572	1	1	305,489	99.99%
2004	391	64	1	305,490	99.99%	2004	613	19	1	305,490	99.99%
2004	406	64	1	305,491	99.99%	2004	620	2	1	305,491	99.99%
2004	81	66	1	305,492	99.99%	2004	621	2	1	305,492	99.99%
2004	241	66	1	305,493	99.99%	2004	634	21	1	305,493	99.99%
2004	251	66	1	305,494	99.99%	2004	646	219	1	305,494	99.99%
2004	521	66	1	305,495	100.00%	2004	672	12	1	305,495	100.00%
2004	206	67	1	305,496	100.00%	2004	682	26	1	305,496	100.00%
2004	189	71	1	305,497	100.00%	2004	694	7	1	305,497	100.00%
2004	79	73	1	305,498	100.00%	2004	699	7	1	305,498	100.00%
2004	129	74	1	305,499	100.00%	2004	724	5	1	305,499	100.00%
2004	135	75	1	305,500	100.00%	2004	734	8	1	305,500	100.00%
2004	111	78	1	305,501	100.00%	2004	802	2	1	305,501	100.00%
2004	159	83	1	305,502	100.00%	2004	802	11	1	305,502	100.00%
2004	142	84	1	305,503	100.00%	2004	836	4	1	305,503	100.00%
2004	168	85	1	305,504	100.00%	2004	902	1	1	305,504	100.00%
2004	163	92	1	305,505	100.00%	2004	1,019	1	1	305,505	100.00%
2004	207	110	1	305,506	100.00%	2004	1,090	6	1	305,506	100.00%
2004	158	137	1	305,507	100.00%	2004	1,250	3	1	305,507	100.00%
2004	193	156	1	305,508	100.00%	2004	1,279	25	1	305,508	100.00%
2004	646	219	1	305,509	100.00%	2004	1,792	3	1	305,509	100.00%
2004	2,141	531	1	305,510	100.00%	2004	2,141	531	1	305,510	100.00%

[A03569-619 omitted]

A003620

**Rolla, Joseph**

---

**From:** Rolla, Joseph  
**Sent:** Wednesday, June 01, 2005 10:35 AM  
**To:** Kisiuk, Bruce  
**Subject:** FW: claim fee analysis

Enjoy- I am.

-----Original Message-----

**From:** Young, Karen  
**Sent:** Wednesday, June 01, 2005 9:31 AM  
**To:** Rater, Martin; Brown, Peter Toby  
**Cc:** Hunter, Daniel; Rolla, Joseph; Goldberg, Howard; Bahr, Robert; Young, Karen; Mielcarek, John  
**Subject:** FW: claim fee analysis

Marty/Toby,

We have multiple things going on which are all using the data in various ways.

I've included below the additional information Bob needs - the specific info for the number of independent claims and the large and small entity data.

I believe you have already addressed Rolla's request in the work you sent yesterday (attached) and Joe thinks so too. He is going to double check and get back to us if he needs additional info.

Thanks all,  
Karen



Claims Ranges  
Summary FY02-05 ..

-----Original Message-----

**From:** Rolla, Joseph  
**Sent:** Wednesday, June 01, 2005 9:15 AM  
**To:** Bahr, Robert; Young, Karen  
**Subject:** RE: claim fee analysis

Also- it is needed at the Corps, TC, and workgroup level- along with the total number of claims.

-----Original Message-----

**From:** Bahr, Robert  
**Sent:** Wednesday, June 01, 2005 9:11 AM  
**To:** Young, Karen  
**Cc:** Rolla, Joseph  
**Subject:** RE: claim fee analysis  
**Importance:** High

The independent claim ranges are not useful for our purposes.

What we need is number of applications that:

A03661

- 3 or fewer independent claims
- 4 independent claims
- 5 independent claims
- 6 independent claims
- 7 independent claims
- 8 independent claims
- 9 independent claims
- 10 or more independent claims

Could we get that data for FY 2002, 2003, 2004, and 2005 (to date).

Also, could we get the data broken out by small entity - large entity.



Claims Ranges Summary FY02-05 - 0527051.xls

Total Claims Ranges - Corps Level								
Total Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
01 - 10	70,007	24.1%	66,414	22.7%	67,062	21.7%	35,583	22.0%
11 - 20	102,513	35.3%	103,999	35.5%	109,087	35.4%	64,447	39.8%
21 - 30	57,071	19.6%	59,963	20.5%	64,652	21.0%	33,644	20.8%
31 - 40	26,839	9.2%	27,553	9.4%	30,844	10.0%	13,755	8.5%
41 - 50	13,766	4.7%	14,380	4.9%	15,186	4.9%	6,341	3.9%
50+	20,467	7.0%	20,293	6.9%	21,544	7.0%	8,214	5.1%
<b>Total</b>	<b>290,663</b>	<b>100.0%</b>	<b>292,602</b>	<b>100.0%</b>	<b>308,375</b>	<b>100.0%</b>	<b>161,984</b>	<b>100.0%</b>

Independent Claims Ranges - Corps Level								
Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
01 - 05	251,642	86.6%	255,212	87.2%	270,595	87.7%	145,979	90.1%
06 - 10	31,377	10.8%	30,321	10.4%	31,206	10.1%	13,469	8.3%
11 - 15	5,059	1.7%	4,773	1.6%	4,458	1.4%	1,709	1.1%
16 - 20	1,490	0.5%	1,368	0.5%	1,238	0.4%	466	0.3%
21+	1,095	0.4%	928	0.3%	878	0.3%	361	0.2%
<b>TOTAL</b>	<b>290,663</b>	<b>100.0%</b>	<b>292,602</b>	<b>100.0%</b>	<b>308,375</b>	<b>100.0%</b>	<b>161,984</b>	<b>100.0%</b>

A03663

Claims Ranges Summary FY02-05 - 0527051.xls

1 ~ 10 Total Claims - by TC								
TC	FY 2002		FY 2003		FY 2004		FY 2005	
	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1600	7,712	21.5%	6,797	20.1%	6,582	20.0%	2,840	20.1%
1700	10,538	24.7%	10,025	22.9%	9,542	22.2%	4,236	21.6%
2100	3,481	13.2%	3,234	12.3%	3,370	11.6%	1,790	11.5%
2600	7,601	20.6%	6,982	19.1%	7,938	18.9%	4,742	18.9%
2800	15,849	25.4%	15,432	24.3%	15,901	23.1%	9,550	24.1%
3600	11,294	28.4%	10,768	26.8%	10,662	25.7%	5,752	26.6%
3700	13,532	29.1%	13,176	27.3%	13,067	25.6%	6,673	25.3%
Corps	70,007	24.1%	66,414	22.7%	67,062	21.7%	35,583	22.0%

>10 Total Claims - by TC								
TC	FY 2002		FY 2003		FY 2004		FY 2005	
	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1600	28,240	78.5%	26,959	79.9%	26,266	80.0%	11,286	79.9%
1700	32,158	75.3%	33,826	77.1%	33,423	77.8%	15,366	78.4%
2100	22,843	86.8%	23,055	87.7%	25,760	88.4%	13,721	88.5%
2600	29,226	79.4%	29,533	80.9%	34,117	81.1%	20,338	81.1%
2800	46,643	74.6%	48,176	75.7%	52,990	76.9%	30,151	75.9%
3600	28,540	71.6%	29,472	73.2%	30,790	74.3%	15,837	73.4%
3700	33,006	70.9%	35,167	72.7%	37,967	74.4%	19,702	74.7%
Corps	220,656	75.9%	226,188	77.3%	241,313	78.3%	126,401	78.0%

1 ~ 5 Independent Claims - by TC								
TC	FY 2002		FY 2003		FY 2004		FY 2005	
	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1600	28,877	80.3%	27,050	80.1%	26,511	80.7%	11,720	83.0%
1700	38,761	90.8%	39,977	91.2%	39,185	91.2%	18,200	92.8%
2100	20,350	77.3%	20,577	78.3%	23,538	80.8%	13,301	85.8%
2600	30,119	81.8%	30,149	82.6%	35,287	83.9%	21,695	86.5%
2800	55,325	88.5%	56,804	89.3%	61,696	89.6%	36,435	91.8%
3600	35,950	90.2%	36,693	91.2%	37,933	91.5%	20,111	93.2%
3700	42,260	90.8%	43,962	90.9%	46,445	91.0%	24,517	93.0%
Corps	251,642	86.6%	255,212	87.2%	270,595	87.7%	145,979	90.1%

>5 Independent Claims - by TC								
TC	FY 2002		FY 2003		FY 2004		FY 2005	
	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1600	7,075	19.7%	6,706	19.9%	6,337	19.3%	2,406	17.0%
1700	3,935	9.2%	3,874	8.8%	3,760	8.8%	1,402	7.2%
2100	5,974	22.7%	5,712	21.7%	5,592	19.2%	2,210	14.2%
2600	6,708	18.2%	6,366	17.4%	6,768	16.1%	3,385	13.5%
2800	7,167	11.5%	6,804	10.7%	7,195	10.4%	3,266	8.2%
3600	3,884	9.8%	3,547	8.8%	3,519	8.5%	1,478	6.8%
3700	4,278	9.2%	4,381	9.1%	4,589	9.0%	1,858	7.0%
Corps	39,021	13.4%	37,390	12.6%	37,780	12.3%	16,005	9.9%

A03664

### Total Claims Ranges by TC Group

TC	Group	TotalClaimsRange	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1600	1610	01-10	1397	20.7%	1,395	19.0%	1,429	16.2%	856	15.3%
1600	1610	11-20	2064	30.6%	2,292	31.2%	2,594	29.4%	1,772	31.8%
1600	1610	21-30	1335	19.8%	1,371	18.6%	1,799	20.4%	1,183	21.2%
1600	1610	31-40	718	10.7%	818	11.1%	1,035	11.7%	630	11.3%
1600	1610	41-50	388	5.8%	475	6.5%	616	7.0%	353	6.3%
1600	1610	50+	837	12.4%	1,004	13.7%	1,339	15.2%	787	14.1%
1600	1620	01-10	1888	25.2%	1,697	22.5%	1,402	21.6%	267	21.8%
1600	1620	11-20	2381	31.8%	2,459	32.7%	2,115	32.6%	399	32.6%
1600	1620	21-30	1331	17.8%	1,349	17.9%	1,193	18.4%	243	19.9%
1600	1620	31-40	695	9.3%	738	9.8%	599	9.2%	129	10.5%
1600	1620	41-50	373	5.0%	422	5.6%	340	5.2%	53	4.3%
1600	1620	50+	814	10.9%	862	11.5%	838	12.9%	132	10.8%
1600	1630	01-10	953	12.7%	1,021	14.9%	853	15.1%	304	15.0%
1600	1630	11-20	2099	28.0%	1,757	25.7%	1,445	25.5%	632	31.2%
1600	1630	21-30	1669	22.2%	1,577	23.1%	1,174	20.7%	492	24.3%
1600	1630	31-40	907	12.1%	849	12.4%	766	13.5%	203	10.0%
1600	1630	41-50	572	7.6%	546	8.0%	463	8.2%	143	7.1%
1600	1630	50+	1302	17.4%	1,081	15.8%	965	17.0%	251	12.4%
1600	1640	01-10	1384	17.2%	900	14.0%	892	13.8%	488	16.2%
1600	1640	11-20	2869	35.6%	1,781	27.7%	1,675	26.0%	853	28.4%
1600	1640	21-30	1309	16.2%	1,344	20.9%	1,343	20.8%	615	20.5%
1600	1640	31-40	838	10.4%	804	12.5%	811	12.6%	363	12.1%
1600	1640	41-50	509	6.3%	495	7.7%	522	8.1%	219	7.3%
1600	1640	50+	1155	14.3%	1,100	17.1%	1,204	18.7%	469	15.6%
1600	1650	01-10	946	19.1%	846	18.2%	822	19.4%	265	16.3%
1600	1650	11-20	1499	30.2%	1,420	30.6%	1,198	28.3%	518	31.8%
1600	1650	21-30	1035	20.9%	931	20.0%	835	19.7%	311	19.1%
1600	1650	31-40	549	11.1%	506	10.9%	512	12.1%	190	11.7%
1600	1650	41-50	309	6.2%	315	6.8%	290	6.8%	89	5.5%
1600	1650	50+	621	12.5%	627	13.5%	583	13.8%	257	15.8%
1600	1660	01-10	1144	94.9%	938	96.3%	1,184	99.0%	660	100.0%
1600	1660	11-20	38	3.2%	13	1.3%	3	0.3%	0	0.0%
1600	1660	21-30	5	0.4%	11	1.1%	4	0.3%	0	0.0%
1600	1660	31-40	8	0.7%	4	0.4%	3	0.3%	0	0.0%
1600	1660	41-50	6	0.5%	3	0.3%	2	0.2%	0	0.0%
1600	1660	50+	5	0.4%	5	0.5%	0	0.0%	0	0.0%
1700	1710	01-10	1545	24.0%	1,268	21.2%	1,177	21.0%	429	19.9%
1700	1710	11-20	2341	36.4%	2,164	36.1%	2,000	35.6%	806	37.3%
1700	1710	21-30	1168	18.2%	1,227	20.5%	1,092	19.4%	448	20.8%
1700	1710	31-40	566	8.8%	567	9.5%	569	10.1%	201	9.3%
1700	1710	41-50	345	5.4%	322	5.4%	304	5.4%	101	4.7%
1700	1710	50+	468	7.3%	446	7.4%	475	8.5%	174	8.1%
1700	1720	01-10	1477	27.7%	1,359	24.9%	1,288	24.8%	624	24.9%
1700	1720	11-20	1999	37.5%	2,065	37.8%	1,838	35.4%	974	38.9%
1700	1720	21-30	919	17.2%	1,038	19.0%	1,025	19.8%	472	18.8%
1700	1720	31-40	439	8.2%	457	8.4%	481	9.3%	206	8.2%
1700	1720	41-50	227	4.3%	240	4.4%	240	4.6%	104	4.2%

A03665

## Total Claims Ranges by TC Group

TC	Group	TotalClaimsR ange	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1700	1720	50+	268	5.0%	302	5.5%	317	6.1%	126	5.0%
1700	1730	01-10	1256	28.4%	1,273	28.3%	1,085	25.9%	448	25.0%
1700	1730	11-20	1537	34.8%	1,649	36.6%	1,569	37.4%	732	40.8%
1700	1730	21-30	798	18.1%	786	17.5%	787	18.8%	322	18.0%
1700	1730	31-40	412	9.3%	330	7.3%	351	8.4%	143	8.0%
1700	1730	41-50	185	4.2%	182	4.0%	156	3.7%	58	3.2%
1700	1730	50+	231	5.2%	283	6.3%	249	5.9%	89	5.0%
1700	1740	01-10	1938	26.2%	1,843	24.0%	1,833	23.9%	752	22.6%
1700	1740	11-20	2522	34.1%	2,671	34.7%	2,696	35.2%	1,348	40.4%
1700	1740	21-30	1389	18.8%	1,459	19.0%	1,470	19.2%	658	19.7%
1700	1740	31-40	682	9.2%	731	9.5%	717	9.4%	281	8.4%
1700	1740	41-50	353	4.8%	379	4.9%	394	5.1%	125	3.8%
1700	1740	50+	516	7.0%	607	7.9%	553	7.2%	169	5.1%
1700	1750	01-10	1617	21.5%	1,640	20.8%	1,621	20.1%	914	20.0%
1700	1750	11-20	2782	37.0%	2,920	37.1%	2,924	36.2%	1,743	38.1%
1700	1750	21-30	1556	20.7%	1,646	20.9%	1,634	20.2%	1,011	22.1%
1700	1750	31-40	695	9.3%	769	9.8%	856	10.6%	431	9.4%
1700	1750	41-50	346	4.6%	403	5.1%	433	5.4%	210	4.6%
1700	1750	50+	517	6.9%	498	6.3%	614	7.6%	260	5.7%
1700	1760	01-10	1516	23.2%	1,473	21.4%	1,474	21.4%	599	19.8%
1700	1760	11-20	2430	37.2%	2,569	37.3%	2,429	35.3%	1,139	37.7%
1700	1760	21-30	1237	19.0%	1,385	20.1%	1,444	21.0%	668	22.1%
1700	1760	31-40	587	9.0%	639	9.3%	669	9.7%	286	9.5%
1700	1760	41-50	291	4.5%	325	4.7%	337	4.9%	150	5.0%
1700	1760	50+	465	7.1%	504	7.3%	519	7.6%	181	6.0%
1700	1770	01-10	1189	23.4%	1,169	21.5%	1,064	19.9%	470	21.2%
1700	1770	11-20	1815	35.8%	1,949	35.9%	1,883	35.2%	855	38.5%
1700	1770	21-30	1003	19.8%	1,076	19.8%	1,157	21.6%	483	21.8%
1700	1770	31-40	464	9.1%	549	10.1%	541	10.1%	196	8.8%
1700	1770	41-50	225	4.4%	300	5.5%	266	5.0%	102	4.6%
1700	1770	50+	380	7.5%	389	7.2%	434	8.1%	114	5.1%
2100	2110	01-10	289	13.0%	305	13.0%	321	14.3%	195	14.3%
2100	2110	11-20	762	35.1%	827	35.1%	755	33.6%	585	43.0%
2100	2110	21-30	639	28.7%	704	29.9%	667	29.7%	366	26.9%
2100	2110	31-40	271	12.2%	261	11.1%	300	13.3%	133	9.8%
2100	2110	41-50	125	5.6%	130	5.5%	121	5.4%	42	3.1%
2100	2110	50+	124	5.6%	126	5.4%	84	3.7%	38	2.8%
2100	2120	01-10	443	16.3%	566	14.2%	574	12.4%	282	12.2%
2100	2120	11-20	895	33.0%	1,189	29.8%	1,361	29.5%	930	40.3%
2100	2120	21-30	619	22.8%	1,082	27.1%	1,361	29.5%	585	25.3%
2100	2120	31-40	346	12.8%	523	13.1%	681	14.8%	298	12.9%
2100	2120	41-50	182	6.7%	260	6.5%	301	6.5%	101	4.4%
2100	2120	50+	227	8.4%	371	9.3%	334	7.2%	112	4.9%
2100	2130	01-10	600	13.8%	514	12.3%	553	12.1%	317	12.2%
2100	2130	11-20	1363	31.3%	1,251	30.0%	1,407	30.8%	1,082	41.7%
2100	2130	21-30	1110	25.5%	1,131	27.1%	1,259	27.5%	661	25.5%
2100	2130	31-40	587	13.5%	558	13.4%	675	14.8%	292	11.3%

A03666



## Total Claims Ranges by TC Group

TC	Group	Total Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
2100	2130	41-50	294	6.7%	292	7.0%	296	6.5%	125	4.8%
2100	2130	50+	406	9.3%	426	10.2%	385	8.4%	115	4.4%
2100	2140	01-10	311	11.5%	257	11.7%	213	9.9%	60	8.7%
2100	2140	11-20	758	28.0%	635	28.8%	634	29.6%	279	40.7%
2100	2140	21-30	702	25.9%	587	26.7%	602	28.1%	185	27.0%
2100	2140	31-40	404	14.9%	320	14.5%	347	16.2%	79	11.5%
2100	2140	41-50	228	8.4%	191	8.7%	165	7.7%	41	6.0%
2100	2140	50+	307	11.3%	212	9.6%	181	8.5%	42	6.1%
2100	2150	01-10	408	11.2%	324	11.5%	268	11.2%	81	11.9%
2100	2150	11-20	1112	30.5%	785	27.8%	711	29.8%	268	39.2%
2100	2150	21-30	923	25.4%	800	28.4%	644	27.0%	180	26.4%
2100	2150	31-40	543	14.9%	406	14.4%	376	15.8%	87	12.7%
2100	2150	41-50	273	7.5%	230	8.2%	190	8.0%	31	4.5%
2100	2150	50+	382	10.5%	274	9.7%	198	8.3%	36	5.3%
2100	2160	01-10	302	11.1%	344	10.4%	272	9.0%	286	10.2%
2100	2160	11-20	742	27.4%	926	28.0%	833	27.6%	1,259	44.7%
2100	2160	21-30	750	27.7%	941	28.5%	946	31.4%	762	27.1%
2100	2160	31-40	395	14.6%	501	15.2%	513	17.0%	278	9.9%
2100	2160	41-50	214	7.9%	249	7.5%	219	7.3%	114	4.0%
2100	2160	50+	306	11.3%	343	10.4%	234	7.8%	117	4.2%
2100	2170	01-10	391	13.9%	322	11.5%	442	9.8%	238	10.2%
2100	2170	11-20	806	28.7%	788	28.1%	1,330	29.6%	935	40.1%
2100	2170	21-30	719	25.6%	743	26.5%	1,271	28.3%	570	24.5%
2100	2170	31-40	377	13.4%	419	15.0%	722	16.1%	293	12.6%
2100	2170	41-50	226	8.0%	213	7.6%	307	6.8%	140	6.0%
2100	2170	50+	291	10.4%	315	11.3%	421	9.4%	155	6.6%
2100	2180	01-10	532	17.0%	519	13.3%	663	13.1%	328	12.1%
2100	2180	11-20	1034	33.1%	1,314	33.6%	1,663	32.9%	1,168	43.1%
2100	2180	21-30	838	26.8%	1,152	29.5%	1,488	29.4%	757	27.9%
2100	2180	31-40	366	11.7%	459	11.7%	667	13.2%	276	10.2%
2100	2180	41-50	171	5.5%	232	5.9%	301	6.0%	94	3.5%
2100	2180	50+	186	5.9%	234	6.0%	274	5.4%	90	3.3%
2100	2190	01-10	205	10.1%	83	11.2%	64	10.7%	3	13.0%
2100	2190	11-20	618	30.5%	178	24.1%	171	28.5%	13	56.5%
2100	2190	21-30	617	30.5%	240	32.5%	199	33.2%	3	13.0%
2100	2190	31-40	287	14.2%	118	16.0%	96	16.0%	3	13.0%
2100	2190	41-50	131	6.5%	57	7.7%	31	5.2%	1	4.3%
2100	2190	50+	167	8.2%	62	8.4%	39	6.5%	0	0.0%
2600	2610	01-10	1103	22.6%	961	20.9%	1,156	22.9%	696	25.5%
2600	2610	11-20	1544	31.6%	1,601	34.8%	1,827	36.3%	1,016	37.3%
2600	2610	21-30	998	20.4%	964	20.9%	1,033	20.5%	564	20.7%
2600	2610	31-40	495	10.1%	482	10.5%	498	9.9%	235	8.6%
2600	2610	41-50	325	6.7%	252	5.5%	251	5.0%	103	3.8%
2600	2610	50+	416	8.5%	346	7.5%	274	5.4%	112	4.1%
2600	2620	01-10	777	18.3%	810	17.2%	889	18.2%	580	19.0%
2600	2620	11-20	1465	34.4%	1,628	34.6%	1,679	34.4%	1,296	42.5%
2600	2620	21-30	961	22.6%	1,048	22.3%	1,120	23.0%	654	21.4%

A03667 E3668

## Total Claims Ranges by TC Group

TC	Group	TotalClaimsRange	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
2600	2620	31-40	470	11.0%	569	12.1%	575	11.8%	279	9.2%
2600	2620	41-50	256	6.0%	285	6.1%	257	5.3%	123	4.0%
2600	2620	50+	327	7.7%	363	7.7%	355	7.3%	117	3.8%
2600	2630	01-10	1265	21.4%	1,115	20.4%	1,140	18.6%	708	18.7%
2600	2630	11-20	2002	33.9%	2,002	36.7%	2,221	36.2%	1,503	39.6%
2600	2630	21-30	1264	21.4%	1,200	22.0%	1,425	23.2%	901	23.8%
2600	2630	31-40	662	11.2%	525	9.6%	676	11.0%	356	9.4%
2600	2630	41-50	298	5.0%	263	4.8%	313	5.1%	155	4.1%
2600	2630	50+	417	7.1%	349	6.4%	359	5.9%	168	4.4%
2600	2640	01-10	735	20.7%	703	19.8%	695	19.6%	291	18.8%
2600	2640	11-20	1206	34.0%	1,219	34.4%	1,252	35.2%	647	41.8%
2600	2640	21-30	808	22.8%	811	22.9%	840	23.6%	325	21.0%
2600	2640	31-40	381	10.7%	386	10.9%	374	10.5%	137	8.9%
2600	2640	41-50	204	5.7%	171	4.8%	183	5.1%	72	4.7%
2600	2640	50+	215	6.1%	252	7.1%	210	5.9%	74	4.8%
2600	2650	01-10	1163	25.8%	1,106	24.8%	1,289	25.3%	798	23.7%
2600	2650	11-20	1573	34.9%	1,552	34.8%	1,938	38.0%	1,448	43.0%
2600	2650	21-30	936	20.7%	959	21.5%	1,043	20.5%	663	19.7%
2600	2650	31-40	391	8.7%	435	9.7%	438	8.6%	235	7.0%
2600	2650	41-50	185	4.1%	198	4.4%	197	3.9%	111	3.3%
2600	2650	50+	265	5.9%	213	4.8%	190	3.7%	114	3.4%
2600	2660	01-10	880	15.1%	770	13.7%	921	13.3%	726	13.7%
2600	2660	11-20	1867	32.1%	1,845	32.9%	2,253	32.6%	2,058	38.7%
2600	2660	21-30	1464	25.2%	1,549	27.6%	1,913	27.6%	1,407	26.5%
2600	2660	31-40	772	13.3%	720	12.8%	887	12.8%	611	11.5%
2600	2660	41-50	363	6.2%	351	6.3%	445	6.4%	257	4.8%
2600	2660	50+	466	8.0%	371	6.6%	500	7.2%	255	4.8%
2600	2670	01-10	816	22.7%	737	20.3%	824	19.0%	417	19.8%
2600	2670	11-20	1253	34.8%	1,334	36.8%	1,648	38.0%	905	43.0%
2600	2670	21-30	756	21.0%	739	20.4%	965	22.2%	444	21.1%
2600	2670	31-40	357	9.9%	381	10.5%	442	10.2%	170	8.1%
2600	2670	41-50	178	4.9%	173	4.8%	197	4.5%	76	3.6%
2600	2670	50+	239	6.6%	259	7.1%	263	6.1%	94	4.5%
2600	2680	01-10	862	20.0%	780	17.3%	1,024	16.8%	526	16.5%
2600	2680	11-20	1474	34.2%	1,619	35.8%	2,133	35.0%	1,249	39.3%
2600	2680	21-30	1001	23.2%	1,137	25.2%	1,504	24.7%	832	26.2%
2600	2680	31-40	457	10.6%	503	11.1%	743	12.2%	292	9.2%
2600	2680	41-50	220	5.1%	230	5.1%	326	5.3%	140	4.4%
2600	2680	50+	295	6.8%	249	5.5%	370	6.1%	140	4.4%
2800	2810	01-10	3220	22.5%	3,149	22.8%	2,943	20.5%	2,364	21.7%
2800	2810	11-20	5523	38.7%	5,273	38.1%	5,573	38.9%	4,619	42.4%
2800	2810	21-30	2978	20.8%	2,980	21.6%	3,176	22.1%	2,291	21.0%
2800	2810	31-40	1227	8.6%	1,158	8.4%	1,317	9.2%	879	8.1%
2800	2810	41-50	555	3.9%	563	4.1%	583	4.1%	373	3.4%
2800	2810	50+	783	5.5%	699	5.1%	751	5.2%	364	3.3%
2800	2820	01-10	2247	23.0%	2,297	22.4%	2,311	21.1%	1,089	23.3%
2800	2820	11-20	3593	36.7%	3,797	37.1%	4,081	37.3%	1,931	41.3%

A03668

## Total Claims Ranges by TC Group

TC	Group	Total Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
2800	2820	21-30	2011	20.6%	2,252	22.0%	2,394	21.9%	940	20.1%
2800	2820	31-40	890	9.1%	899	8.8%	1,057	9.7%	371	7.9%
2800	2820	41-50	421	4.3%	418	4.1%	465	4.3%	156	3.3%
2800	2820	50+	623	6.4%	585	5.7%	630	5.8%	184	3.9%
2800	2830	01-10	3827	32.7%	3,418	29.1%	3,455	28.6%	2,017	29.0%
2800	2830	11-20	4571	39.1%	4,797	40.9%	4,822	39.9%	3,105	44.6%
2800	2830	21-30	1926	16.5%	2,096	17.9%	2,210	18.3%	1,186	17.0%
2800	2830	31-40	695	5.9%	741	6.3%	847	7.0%	334	4.8%
2800	2830	41-50	322	2.8%	325	2.8%	358	3.0%	153	2.2%
2800	2830	50+	354	3.0%	358	3.1%	386	3.2%	169	2.4%
2800	2840	01-10	267	29.3%	302	27.3%	300	26.8%	130	28.6%
2800	2840	11-20	351	38.6%	424	38.3%	438	39.1%	190	41.9%
2800	2840	21-30	170	18.7%	233	21.0%	231	20.6%	80	17.6%
2800	2840	31-40	56	6.2%	85	7.7%	91	8.1%	38	8.4%
2800	2840	41-50	25	2.7%	27	2.4%	23	2.1%	6	1.3%
2800	2840	50+	41	4.5%	36	3.3%	38	3.4%	10	2.2%
2800	2850	01-10	2292	25.2%	2,263	24.0%	2,590	23.4%	1,416	23.9%
2800	2850	11-20	3518	38.6%	3,608	38.2%	4,139	37.3%	2,412	40.7%
2800	2850	21-30	1734	19.0%	1,891	20.0%	2,281	20.6%	1,199	20.2%
2800	2850	31-40	742	8.2%	816	8.7%	981	8.8%	474	8.0%
2800	2850	41-50	337	3.7%	405	4.3%	511	4.6%	209	3.5%
2800	2850	50+	481	5.3%	450	4.8%	585	5.3%	220	3.7%
2800	2860	01-10	461	21.0%	472	21.6%	391	22.7%	281	29.8%
2800	2860	11-20	792	36.1%	770	35.2%	585	33.9%	346	36.7%
2800	2860	21-30	482	22.0%	502	23.0%	384	22.3%	189	20.0%
2800	2860	31-40	237	10.8%	210	9.6%	186	10.8%	67	7.1%
2800	2860	41-50	83	3.8%	113	5.2%	83	4.8%	27	2.9%
2800	2860	50+	136	6.2%	120	5.5%	96	5.6%	34	3.6%
2800	2870	01-10	3137	25.3%	3,061	24.4%	3,283	23.4%	2,010	23.4%
2800	2870	11-20	4346	35.0%	4,777	38.0%	5,275	37.6%	3,519	40.9%
2800	2870	21-30	2470	19.9%	2,430	19.4%	2,713	19.4%	1,683	19.6%
2800	2870	31-40	1103	8.9%	1,046	8.3%	1,192	8.5%	662	7.7%
2800	2870	41-50	607	4.9%	551	4.4%	660	4.7%	326	3.8%
2800	2870	50+	754	6.1%	693	5.5%	888	6.3%	398	4.6%
2800	2880	01-10	389	19.5%	421	18.8%	468	18.3%	224	19.6%
2800	2880	11-20	693	34.8%	743	33.2%	903	35.2%	452	39.6%
2800	2880	21-30	424	21.3%	510	22.8%	594	23.2%	262	23.0%
2800	2880	31-40	226	11.4%	261	11.7%	291	11.4%	105	9.2%
2800	2880	41-50	97	4.9%	119	5.3%	123	4.8%	37	3.2%
2800	2880	50+	161	8.1%	182	8.1%	183	7.1%	61	5.3%
2800	2890	01-10	9	7.9%	49	17.4%	160	15.6%	19	17.4%
2800	2890	11-20	41	36.0%	93	33.0%	396	38.6%	44	40.4%
2800	2890	21-30	33	28.9%	66	23.4%	217	21.2%	21	19.3%
2800	2890	31-40	6	5.3%	32	11.3%	117	11.4%	10	9.2%
2800	2890	41-50	4	3.5%	11	3.9%	44	4.3%	10	9.2%
2800	2890	50+	21	18.4%	31	11.0%	92	9.0%	5	4.6%
3600	3610	01-10	1935	32.5%	1,961	31.2%	1,917	29.5%	1,078	30.3%

A03669



### Total Claims Ranges by TC Group

TC	Group	Total Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
3600	3610	11-20	2491	41.8%	2,607	41.5%	2,756	42.4%	1,598	44.9%
3600	3610	21-30	917	15.4%	1,014	16.1%	1,070	16.5%	574	16.1%
3600	3610	31-40	328	5.5%	380	6.1%	406	6.2%	172	4.8%
3600	3610	41-50	133	2.2%	157	2.5%	190	2.9%	78	2.2%
3600	3610	50+	159	2.7%	160	2.5%	158	2.4%	59	1.7%
3600	3620	01-10	1019	15.3%	838	13.8%	782	12.8%	414	14.8%
3600	3620	11-20	1943	29.3%	1,737	28.7%	1,808	29.6%	963	34.5%
3600	3620	21-30	1557	23.4%	1,433	23.6%	1,573	25.8%	675	24.2%
3600	3620	31-40	854	12.9%	788	13.0%	854	14.0%	358	12.8%
3600	3620	41-50	496	7.5%	463	7.6%	443	7.3%	170	6.1%
3600	3620	50+	771	11.6%	803	13.2%	642	10.5%	211	7.6%
3600	3630	01-10	1947	31.1%	1,978	30.0%	2,014	29.0%	1,022	29.4%
3600	3630	11-20	2512	40.2%	2,709	41.1%	2,739	39.4%	1,460	42.0%
3600	3630	21-30	1001	16.0%	1,072	16.2%	1,220	17.6%	620	17.8%
3600	3630	31-40	422	6.7%	431	6.5%	511	7.4%	191	5.5%
3600	3630	41-50	173	2.8%	205	3.1%	218	3.1%	85	2.4%
3600	3630	50+	198	3.2%	202	3.1%	244	3.5%	102	2.9%
3600	3640	01-10	1024	29.3%	989	27.7%	1,046	26.9%	589	27.8%
3600	3640	11-20	1412	40.5%	1,458	40.9%	1,535	39.5%	906	42.8%
3600	3640	21-30	606	17.4%	633	17.7%	639	16.5%	367	17.3%
3600	3640	31-40	221	6.3%	254	7.1%	330	8.5%	139	6.6%
3600	3640	41-50	102	2.9%	110	3.1%	159	4.1%	53	2.5%
3600	3640	50+	125	3.6%	125	3.5%	173	4.5%	62	2.9%
3600	3650	01-10	1146	30.7%	1,084	28.2%	925	25.1%	524	27.7%
3600	3650	11-20	1554	41.6%	1,514	39.4%	1,526	41.4%	758	40.1%
3600	3650	21-30	581	15.5%	700	18.2%	718	19.5%	349	18.5%
3600	3650	31-40	234	6.3%	267	7.0%	273	7.4%	137	7.3%
3600	3650	41-50	116	3.1%	130	3.4%	114	3.1%	57	3.0%
3600	3650	50+	106	2.8%	145	3.8%	130	3.5%	64	3.4%
3600	3660	01-10	709	22.6%	638	21.4%	723	21.4%	408	21.3%
3600	3660	11-20	1195	38.2%	1,088	36.5%	1,287	38.1%	758	39.6%
3600	3660	21-30	633	20.2%	644	21.6%	701	20.7%	406	21.2%
3600	3660	31-40	260	8.3%	284	9.5%	338	10.0%	171	8.9%
3600	3660	41-50	135	4.3%	162	5.4%	151	4.5%	89	4.6%
3600	3660	50+	199	6.4%	161	5.4%	182	5.4%	82	4.3%
3600	3670	01-10	2147	30.8%	2,046	28.0%	1,964	27.1%	1,048	27.0%
3600	3670	11-20	2584	37.1%	2,826	38.7%	2,766	38.1%	1,615	41.7%
3600	3670	21-30	1231	17.7%	1,258	17.2%	1,233	17.0%	683	17.6%
3600	3670	31-40	468	6.7%	525	7.2%	579	8.0%	270	7.0%
3600	3670	41-50	246	3.5%	290	4.0%	309	4.3%	101	2.6%
3600	3670	50+	293	4.2%	350	4.8%	407	5.6%	158	4.1%
3600	3680	01-10	1367	37.4%	1,234	34.1%	1,291	34.9%	669	34.0%
3600	3680	11-20	1526	41.8%	1,528	42.2%	1,526	41.3%	892	45.4%
3600	3680	21-30	491	13.4%	550	15.2%	578	15.6%	268	13.6%
3600	3680	31-40	138	3.8%	170	4.7%	186	5.0%	80	4.1%
3600	3680	41-50	72	2.0%	65	1.8%	63	1.7%	32	1.6%
3600	3680	50+	57	1.6%	74	2.0%	55	1.5%	24	1.2%

A03670



### Total Claims Ranges by TC Group

TC	Group	Total Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
3700	3710	01~10	1101	27.3%	1,173	26.1%	1,187	25.7%	662	25.5%
3700	3710	11~20	1435	35.6%	1,627	36.1%	1,629	35.3%	1,003	38.6%
3700	3710	21~30	696	17.3%	802	17.8%	873	18.9%	524	20.2%
3700	3710	31~40	331	8.2%	378	8.4%	411	8.9%	172	6.6%
3700	3710	41~50	189	4.7%	223	5.0%	205	4.4%	102	3.9%
3700	3710	50+	282	7.0%	298	6.6%	312	6.8%	137	5.3%
3700	3720	01~10	4014	34.2%	3,813	32.7%	3,742	31.0%	1,742	31.1%
3700	3720	11~20	4555	38.8%	4,581	39.3%	4,755	39.4%	2,250	40.2%
3700	3720	21~30	1796	15.3%	1,880	16.1%	2,048	17.0%	991	17.7%
3700	3720	31~40	739	6.3%	708	6.1%	786	6.5%	316	5.6%
3700	3720	41~50	296	2.5%	334	2.9%	337	2.8%	145	2.6%
3700	3720	50+	335	2.9%	338	2.9%	392	3.3%	154	2.8%
3700	3730	01~10	1580	18.9%	1,616	18.5%	1,545	16.8%	826	16.7%
3700	3730	11~20	2587	31.0%	2,712	31.1%	2,758	30.0%	1,705	34.4%
3700	3730	21~30	1775	21.3%	1,831	21.0%	2,007	21.8%	1,137	23.0%
3700	3730	31~40	941	11.3%	998	11.4%	1,146	12.4%	532	10.7%
3700	3730	41~50	567	6.8%	632	7.2%	668	7.3%	305	6.2%
3700	3730	50+	889	10.7%	942	10.8%	1,082	11.8%	446	9.0%
3700	3740	01~10	3245	30.4%	3,107	27.5%	3,269	27.7%	1,711	27.6%
3700	3740	11~20	4332	40.6%	4,575	40.6%	4,754	40.3%	2,721	43.9%
3700	3740	21~30	1733	16.2%	2,038	18.1%	2,137	18.1%	1,061	17.1%
3700	3740	31~40	680	6.4%	789	7.0%	828	7.0%	381	6.2%
3700	3740	41~50	316	3.0%	380	3.4%	376	3.2%	146	2.4%
3700	3740	50+	372	3.5%	389	3.4%	439	3.7%	174	2.8%
3700	3750	01~10	1685	33.2%	1,696	31.5%	1,575	28.2%	805	27.8%
3700	3750	11~20	1953	38.5%	2,110	39.2%	2,226	39.8%	1,238	42.8%
3700	3750	21~30	814	16.0%	887	16.5%	948	16.9%	514	17.8%
3700	3750	31~40	318	6.3%	342	6.4%	415	7.4%	193	6.7%
3700	3750	41~50	128	2.5%	162	3.0%	220	3.9%	84	2.9%
3700	3750	50+	176	3.5%	181	3.4%	211	3.8%	60	2.1%
3700	3760	01~10	1907	28.6%	1,771	26.0%	1,749	22.6%	927	22.4%
3700	3760	11~20	2136	32.0%	2,243	33.0%	2,625	33.9%	1,550	37.5%
3700	3760	21~30	1153	17.3%	1,274	18.7%	1,470	19.0%	859	20.8%
3700	3760	31~40	602	9.0%	664	9.8%	782	10.1%	390	9.4%
3700	3760	41~50	344	5.2%	351	5.2%	420	5.4%	164	4.0%
3700	3760	50+	536	8.0%	498	7.3%	707	9.1%	248	6.0%
			290663		292602		308375		161984	

A03671

## Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1600	1610	01~03	4,628	68.7%	4,967	67.5%	5,791	65.7%	3,800	68.1%
1600	1610	04~05	1,089	16.2%	1,217	16.5%	1,576	17.9%	927	16.6%
1600	1610	06~10	766	11.4%	897	12.2%	1,093	12.4%	640	11.5%
1600	1610	11~15	149	2.2%	177	2.4%	228	2.6%	135	2.4%
1600	1610	16~20	59	0.9%	55	0.7%	65	0.7%	43	0.8%
1600	1610	21+	48	0.7%	42	0.6%	59	0.7%	36	0.6%
1600	1620	01~03	5,550	74.2%	5,503	73.1%	4,763	73.4%	923	75.5%
1600	1620	04~05	942	12.6%	1,043	13.9%	897	13.8%	160	13.1%
1600	1620	06~10	718	9.6%	694	9.2%	605	9.3%	109	8.9%
1600	1620	11~15	160	2.1%	163	2.2%	144	2.2%	20	1.6%
1600	1620	16~20	51	0.7%	68	0.9%	39	0.6%	6	0.5%
1600	1620	21+	61	0.8%	56	0.7%	39	0.6%	5	0.4%
1600	1630	01~03	4,015	53.5%	3,645	53.4%	3,074	54.3%	1,235	61.0%
1600	1630	04~05	1,508	20.1%	1,487	21.8%	1,157	20.4%	392	19.4%
1600	1630	06~10	1,283	17.1%	1,182	17.3%	1,029	18.2%	291	14.4%
1600	1630	11~15	382	5.1%	316	4.6%	246	4.3%	61	3.0%
1600	1630	16~20	160	2.1%	121	1.8%	89	1.6%	24	1.2%
1600	1630	21+	154	2.1%	80	1.2%	71	1.3%	22	1.1%
1600	1640	01~03	4,843	60.1%	3,373	52.5%	3,466	53.8%	1,779	59.2%
1600	1640	04~05	1,282	15.9%	1,254	19.5%	1,226	19.0%	546	18.2%
1600	1640	06~10	1,327	16.5%	1,199	18.7%	1,180	18.3%	473	15.7%
1600	1640	11~15	371	4.6%	359	5.6%	350	5.4%	124	4.1%
1600	1640	16~20	124	1.5%	135	2.1%	118	1.8%	41	1.4%
1600	1640	21+	117	1.5%	104	1.6%	107	1.7%	44	1.5%
1600	1650	01~03	2,987	60.2%	2,818	60.7%	2,518	59.4%	1,018	62.5%
1600	1650	04~05	835	16.8%	780	16.8%	848	20.0%	280	17.2%
1600	1650	06~10	800	16.1%	722	15.5%	622	14.7%	241	14.8%
1600	1650	11~15	189	3.8%	201	4.3%	151	3.6%	55	3.4%
1600	1650	16~20	81	1.6%	71	1.5%	55	1.3%	20	1.2%
1600	1650	21+	67	1.4%	53	1.1%	46	1.1%	16	1.0%
1600	1660	01~03	1,185	98.3%	956	98.2%	1,191	99.6%	660	100.0%
1600	1660	04~05	13	1.1%	7	0.7%	4	0.3%		0.0%
1600	1660	06~10	5	0.4%	7	0.7%	1	0.1%		0.0%
1600	1660	11~15	2	0.2%	4	0.4%		0.0%		0.0%
1600	1660	16~20	0	0.0%		0.0%		0.0%		0.0%
1600	1660	21+	1	0.1%		0.0%		0.0%		0.0%
1700	1710	01~03	5,071	78.8%	4,700	78.4%	4,366	77.7%	1,721	79.7%
1700	1710	04~05	861	13.4%	791	13.2%	790	14.1%	293	13.6%
1700	1710	06~10	421	6.5%	420	7.0%	381	6.8%	123	5.7%
1700	1710	11~15	52	0.8%	61	1.0%	52	0.9%	14	0.6%
1700	1710	16~20	17	0.3%	13	0.2%	22	0.4%	6	0.3%
1700	1710	21+	11	0.2%	9	0.2%	6	0.1%	2	0.1%
1700	1720	01~03	4,060	76.2%	4,180	76.5%	3,958	76.3%	1,935	77.2%
1700	1720	04~05	827	15.5%	859	15.7%	792	15.3%	393	15.7%
1700	1720	06~10	364	6.8%	354	6.5%	358	6.9%	153	6.1%
1700	1720	11~15	54	1.0%	52	1.0%	68	1.3%	19	0.8%
1700	1720	16~20	12	0.2%	9	0.2%	5	0.1%	5	0.2%
1700	1720	21+	12	0.2%	7	0.1%	8	0.2%	1	0.0%
1700	1730	01~03	3,469	78.5%	3,588	79.7%	3,300	78.6%	1,420	79.2%
1700	1730	04~05	616	13.9%	613	13.6%	584	13.9%	251	14.0%
1700	1730	06~10	287	6.5%	263	5.8%	274	6.5%	104	5.8%

A03672

### Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
1700	1730	11~15	34	0.8%	27	0.6%	27	0.6%	13	0.7%
1700	1730	16~20	7	0.2%	9	0.2%	6	0.1%	3	0.2%
1700	1730	21+	6	0.1%	3	0.1%	6	0.1%	1	0.1%
1700	1740	01~03	5,464	73.8%	5,616	73.0%	5,670	74.0%	2,618	78.5%
1700	1740	04~05	1,161	15.7%	1,286	16.7%	1,291	16.8%	505	15.2%
1700	1740	06~10	634	8.6%	672	8.7%	598	7.8%	180	5.4%
1700	1740	11~15	109	1.5%	84	1.1%	68	0.9%	16	0.5%
1700	1740	16~20	20	0.3%	21	0.3%	18	0.2%	9	0.3%
1700	1740	21+	12	0.2%	11	0.1%	18	0.2%	5	0.2%
1700	1750	01~03	5,554	73.9%	5,868	74.5%	6,008	74.3%	3,483	76.2%
1700	1750	04~05	1,187	15.8%	1,275	16.2%	1,321	16.3%	709	15.5%
1700	1750	06~10	650	8.7%	635	8.1%	642	7.9%	326	7.1%
1700	1750	11~15	82	1.1%	76	1.0%	73	0.9%	38	0.8%
1700	1750	16~20	23	0.3%	14	0.2%	21	0.3%	5	0.1%
1700	1750	21+	17	0.2%	8	0.1%	17	0.2%	8	0.2%
1700	1760	01~03	4,908	75.2%	5,227	75.8%	5,214	75.9%	2,348	77.7%
1700	1760	04~05	1,004	15.4%	1,040	15.1%	1,036	15.1%	445	14.7%
1700	1760	06~10	529	8.1%	530	7.7%	518	7.5%	200	6.6%
1700	1760	11~15	66	1.0%	60	0.9%	69	1.0%	23	0.8%
1700	1760	16~20	11	0.2%	23	0.3%	19	0.3%	5	0.2%
1700	1760	21+	8	0.1%	15	0.2%	16	0.2%	2	0.1%
1700	1770	01~03	3,783	74.5%	4,025	74.1%	3,965	74.2%	1,754	79.0%
1700	1770	04~05	796	15.7%	909	16.7%	890	16.7%	325	14.6%
1700	1770	06~10	403	7.9%	408	7.5%	410	7.7%	116	5.2%
1700	1770	11~15	61	1.2%	67	1.2%	46	0.9%	18	0.8%
1700	1770	16~20	16	0.3%	15	0.3%	27	0.5%	6	0.3%
1700	1770	21+	17	0.3%	8	0.1%	7	0.1%	1	0.0%
2100	2110	01~03	1,210	54.3%	1,289	54.8%	1,262	56.1%	861	63.4%
2100	2110	04~05	617	27.7%	677	28.8%	642	28.6%	328	24.1%
2100	2110	06~10	350	15.7%	336	14.3%	301	13.4%	159	11.7%
2100	2110	11~15	40	1.8%	40	1.7%	32	1.4%	8	0.6%
2100	2110	16~20	6	0.3%	8	0.3%	6	0.3%	2	0.1%
2100	2110	21+	7	0.3%	3	0.1%	5	0.2%	1	0.1%
2100	2120	01~03	1,537	56.7%	2,168	54.3%	2,525	54.7%	1,425	61.7%
2100	2120	04~05	644	23.7%	1,040	26.1%	1,245	27.0%	552	23.9%
2100	2120	06~10	443	16.3%	662	16.6%	728	15.8%	293	12.7%
2100	2120	11~15	56	2.1%	84	2.1%	79	1.7%	23	1.0%
2100	2120	16~20	18	0.7%	19	0.5%	25	0.5%	7	0.3%
2100	2120	21+	14	0.5%	18	0.5%	10	0.2%	8	0.3%
2100	2130	01~03	2,098	48.1%	1,969	47.2%	2,324	50.8%	1,525	58.8%
2100	2130	04~05	1,156	26.5%	1,137	27.3%	1,259	27.5%	646	24.9%
2100	2130	06~10	877	20.1%	852	20.4%	834	18.2%	352	13.6%
2100	2130	11~15	152	3.5%	144	3.5%	101	2.2%	53	2.0%
2100	2130	16~20	47	1.1%	45	1.1%	38	0.8%	8	0.3%
2100	2130	21+	30	0.7%	25	0.6%	19	0.4%	8	0.3%
2100	2140	01~03	1,210	44.6%	1,095	49.7%	1,074	50.1%	387	56.4%
2100	2140	04~05	812	30.0%	605	27.5%	628	29.3%	174	25.4%
2100	2140	06~10	568	21.0%	423	19.2%	376	17.6%	102	14.9%
2100	2140	11~15	90	3.3%	58	2.6%	47	2.2%	16	2.3%
2100	2140	16~20	20	0.7%	11	0.5%	7	0.3%	2	0.3%
2100	2140	21+	10	0.4%	10	0.5%	10	0.5%	5	0.7%

A03673



### Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
2100	2150	01~03	1,676	46.0%	1,314	46.6%	1,198	50.2%	389	57.0%
2100	2150	04~05	1,023	28.1%	840	29.8%	730	30.6%	181	26.5%
2100	2150	06~10	769	21.1%	543	19.3%	386	16.2%	100	14.6%
2100	2150	11~15	127	3.5%	90	3.2%	53	2.2%	8	1.2%
2100	2150	16~20	32	0.9%	16	0.6%	12	0.5%	3	0.4%
2100	2150	21+	14	0.4%	16	0.6%	8	0.3%	2	0.3%
2100	2160	01~03	1,246	46.0%	1,654	50.1%	1,500	49.7%	1,818	64.6%
2100	2160	04~05	791	29.2%	915	27.7%	900	29.8%	636	22.6%
2100	2160	06~10	540	19.9%	613	18.6%	547	18.1%	313	11.1%
2100	2160	11~15	98	3.6%	86	2.6%	52	1.7%	33	1.2%
2100	2160	16~20	18	0.7%	21	0.6%	9	0.3%	9	0.3%
2100	2160	21+	16	0.6%	15	0.5%	9	0.3%	7	0.2%
2100	2170	01~03	1,411	50.2%	1,426	50.9%	2,319	51.6%	1,397	59.9%
2100	2170	04~05	769	27.4%	752	26.9%	1,286	28.8%	596	25.6%
2100	2170	06~10	516	18.4%	524	18.7%	754	16.8%	279	12.0%
2100	2170	11~15	76	2.7%	58	2.1%	97	2.2%	42	1.8%
2100	2170	16~20	30	1.1%	22	0.8%	25	0.6%	9	0.4%
2100	2170	21+	8	0.3%	18	0.6%	12	0.3%	8	0.3%
2100	2180	01~03	1,709	54.7%	2,033	52.0%	2,583	51.1%	1,676	61.8%
2100	2180	04~05	861	27.5%	1,092	27.9%	1,569	31.0%	691	25.5%
2100	2180	06~10	478	15.3%	680	17.4%	794	15.7%	301	11.1%
2100	2180	11~15	57	1.8%	83	2.1%	75	1.5%	30	1.1%
2100	2180	16~20	16	0.5%	13	0.3%	24	0.5%	3	0.1%
2100	2180	21+	6	0.2%	9	0.2%	11	0.2%	12	0.4%
2100	2190	01~03	998	49.3%	360	48.8%	312	52.0%	14	60.9%
2100	2190	04~05	582	28.7%	211	28.6%	182	30.3%	5	21.7%
2100	2190	06~10	379	18.7%	128	17.3%	94	15.7%	4	17.4%
2100	2190	11~15	55	2.7%	32	4.3%	9	1.5%		0.0%
2100	2190	16~20	7	0.3%	1	0.1%		0.0%		0.0%
2100	2190	21+	4	0.2%	6	0.8%	3	0.5%		0.0%
2600	2610	01~03	2,690	55.1%	2,702	58.7%	3,062	60.8%	1,797	65.9%
2600	2610	04~05	1,147	23.5%	998	21.7%	1,145	22.7%	580	21.3%
2600	2610	06~10	814	16.7%	705	15.3%	680	13.5%	299	11.0%
2600	2610	11~15	148	3.0%	132	2.9%	101	2.0%	37	1.4%
2600	2610	16~20	50	1.0%	42	0.9%	26	0.5%	9	0.3%
2600	2610	21+	32	0.7%	27	0.6%	25	0.5%	4	0.1%
2600	2620	01~03	2,293	53.9%	2,489	52.9%	2,796	57.4%	1,894	62.1%
2600	2620	04~05	982	23.1%	1,104	23.5%	1,107	22.7%	681	22.3%
2600	2620	06~10	778	18.3%	856	18.2%	779	16.0%	394	12.9%
2600	2620	11~15	140	3.3%	165	3.5%	127	2.6%	58	1.9%
2600	2620	16~20	35	0.8%	56	1.2%	41	0.8%	13	0.4%
2600	2620	21+	28	0.7%	33	0.7%	25	0.5%	9	0.3%
2600	2630	01~03	3,686	62.4%	3,521	64.6%	3,930	64.1%	2,524	66.6%
2600	2630	04~05	1,293	21.9%	1,194	21.9%	1,341	21.9%	797	21.0%
2600	2630	06~10	788	13.3%	614	11.3%	744	12.1%	412	10.9%
2600	2630	11~15	101	1.7%	91	1.7%	88	1.4%	38	1.0%
2600	2630	16~20	26	0.4%	22	0.4%	20	0.3%	9	0.2%
2600	2630	21+	14	0.2%	12	0.2%	11	0.2%	11	0.3%
2600	2640	01~03	2,204	62.1%	2,238	63.2%	2,339	65.8%	1,069	69.1%
2600	2640	04~05	838	23.6%	801	22.6%	739	20.8%	326	21.1%
2600	2640	06~10	425	12.0%	412	11.6%	409	11.5%	133	8.6%

A03674

### Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
2600	2640	11~15	63	1.8%	75	2.1%	45	1.3%	15	1.0%
2600	2640	16~20	10	0.3%	14	0.4%	12	0.3%		0.0%
2600	2640	21+	9	0.3%	2	0.1%	10	0.3%	3	0.2%
2600	2650	01~03	2,813	62.3%	2,801	62.8%	3,375	66.2%	2,311	68.6%
2600	2650	04~05	975	21.6%	952	21.3%	1,027	20.2%	653	19.4%
2600	2650	06~10	586	13.0%	575	12.9%	582	11.4%	352	10.4%
2600	2650	11~15	102	2.3%	99	2.2%	80	1.6%	35	1.0%
2600	2650	16~20	25	0.6%	22	0.5%	23	0.5%	11	0.3%
2600	2650	21+	12	0.3%	14	0.3%	8	0.2%	7	0.2%
2600	2660	01~03	2,997	51.6%	2,982	53.2%	3,632	52.5%	3,050	57.4%
2600	2660	04~05	1,660	28.6%	1,560	27.8%	1,991	28.8%	1,389	26.1%
2600	2660	06~10	969	16.7%	900	16.1%	1,107	16.0%	767	14.4%
2600	2660	11~15	131	2.3%	120	2.1%	142	2.1%	72	1.4%
2600	2660	16~20	34	0.6%	29	0.5%	30	0.4%	23	0.4%
2600	2660	21+	21	0.4%	15	0.3%	17	0.2%	13	0.2%
2600	2670	01~03	2,148	59.7%	2,187	60.4%	2,690	62.0%	1,448	68.8%
2600	2670	04~05	788	21.9%	790	21.8%	973	22.4%	406	19.3%
2600	2670	06~10	545	15.1%	532	14.7%	566	13.0%	206	9.8%
2600	2670	11~15	80	2.2%	69	1.9%	78	1.8%	30	1.4%
2600	2670	16~20	20	0.6%	29	0.8%	18	0.4%	8	0.4%
2600	2670	21+	18	0.5%	16	0.4%	14	0.3%	8	0.4%
2600	2680	01~03	2,583	59.9%	2,715	60.1%	3,616	59.3%	2,072	65.2%
2600	2680	04~05	1,022	23.7%	1,115	24.7%	1,524	25.0%	698	22.0%
2600	2680	06~10	587	13.6%	583	12.9%	828	13.6%	342	10.8%
2600	2680	11~15	79	1.8%	69	1.5%	93	1.5%	54	1.7%
2600	2680	16~20	24	0.6%	25	0.6%	27	0.4%	9	0.3%
2600	2680	21+	14	0.3%	11	0.2%	12	0.2%	4	0.1%
2800	2810	01~03	9,839	68.9%	9,639	69.7%	10,031	69.9%	8,072	74.1%
2800	2810	04~05	2,638	18.5%	2,570	18.6%	2,688	18.7%	1,909	17.5%
2800	2810	06~10	1,472	10.3%	1,330	9.6%	1,382	9.6%	810	7.4%
2800	2810	11~15	232	1.6%	197	1.4%	171	1.2%	63	0.6%
2800	2810	16~20	58	0.4%	46	0.3%	37	0.3%	23	0.2%
2800	2810	21+	47	0.3%	40	0.3%	34	0.2%	13	0.1%
2800	2820	01~03	6,695	68.4%	7,126	69.5%	7,493	68.5%	3,461	74.1%
2800	2820	04~05	1,807	18.5%	1,916	18.7%	2,133	19.5%	800	17.1%
2800	2820	06~10	1,012	10.3%	998	9.7%	1,107	10.1%	353	7.6%
2800	2820	11~15	194	2.0%	150	1.5%	147	1.3%	42	0.9%
2800	2820	16~20	52	0.5%	36	0.4%	33	0.3%	13	0.3%
2800	2820	21+	25	0.3%	22	0.2%	25	0.2%	2	0.0%
2800	2830	01~03	9,005	77.0%	9,116	77.7%	9,344	77.4%	5,659	81.3%
2800	2830	04~05	1,819	15.6%	1,771	15.1%	1,861	15.4%	920	13.2%
2800	2830	06~10	762	6.5%	744	6.3%	767	6.4%	340	4.9%
2800	2830	11~15	80	0.7%	68	0.6%	69	0.6%	24	0.3%
2800	2830	16~20	16	0.1%	19	0.2%	24	0.2%	11	0.2%
2800	2830	21+	13	0.1%	17	0.1%	13	0.1%	10	0.1%
2800	2840	01~03	683	75.1%	824	74.4%	844	75.3%	354	78.0%
2800	2840	04~05	143	15.7%	172	15.5%	191	17.0%	67	14.8%
2800	2840	06~10	73	8.0%	97	8.8%	71	6.3%	32	7.0%
2800	2840	11~15	10	1.1%	11	1.0%	13	1.2%	1	0.2%
2800	2840	16~20	0	0.0%	3	0.3%	2	0.2%		0.0%
2800	2840	21+	1	0.1%		0.0%		0.0%		0.0%

A03675

## Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
2800	2850	01-03	6,459	70.9%	6,662	70.6%	7,829	70.6%	4,327	73.0%
2800	2850	04-05	1,603	17.6%	1,649	17.5%	2,010	18.1%	1,038	17.5%
2800	2850	06-10	886	9.7%	938	9.9%	1,039	9.4%	479	8.1%
2800	2850	11-15	97	1.1%	129	1.4%	142	1.3%	62	1.0%
2800	2850	16-20	40	0.4%	32	0.3%	46	0.4%	16	0.3%
2800	2850	21+	19	0.2%	23	0.2%	21	0.2%	8	0.1%
2800	2860	01-03	1,392	63.5%	1,467	67.1%	1,159	67.2%	722	76.5%
2800	2860	04-05	477	21.8%	425	19.4%	379	22.0%	141	14.9%
2800	2860	06-10	277	12.6%	261	11.9%	161	9.3%	71	7.5%
2800	2860	11-15	33	1.5%	23	1.1%	22	1.3%	9	1.0%
2800	2860	16-20	4	0.2%	7	0.3%	2	0.1%	1	0.1%
2800	2860	21+	8	0.4%	4	0.2%	2	0.1%		0.0%
2800	2870	01-03	8,762	70.6%	9,147	72.8%	10,196	72.8%	6,486	75.4%
2800	2870	04-05	2,231	18.0%	2,145	17.1%	2,411	17.2%	1,370	15.9%
2800	2870	06-10	1,160	9.3%	1,069	8.5%	1,174	8.4%	620	7.2%
2800	2870	11-15	169	1.4%	146	1.2%	156	1.1%	91	1.1%
2800	2870	16-20	67	0.5%	32	0.3%	50	0.4%	16	0.2%
2800	2870	21+	28	0.2%	19	0.2%	24	0.2%	15	0.2%
2800	2880	01-03	1,271	63.9%	1,489	66.6%	1,697	66.2%	795	69.7%
2800	2880	04-05	417	21.0%	443	19.8%	535	20.9%	217	19.0%
2800	2880	06-10	250	12.6%	256	11.4%	273	10.7%	111	9.7%
2800	2880	11-15	35	1.8%	32	1.4%	46	1.8%	15	1.3%
2800	2880	16-20	11	0.6%	9	0.4%	7	0.3%	2	0.2%
2800	2880	21+	6	0.3%	7	0.3%	4	0.2%	1	0.1%
2800	2890	01-03	48	42.1%	173	61.3%	714	69.6%	79	72.5%
2800	2890	04-05	36	31.6%	70	24.8%	181	17.6%	18	16.5%
2800	2890	06-10	22	19.3%	28	9.9%	112	10.9%	12	11.0%
2800	2890	11-15	4	3.5%	6	2.1%	13	1.3%		0.0%
2800	2890	16-20	1	0.9%	3	1.1%	4	0.4%		0.0%
2800	2890	21+	3	2.6%	2	0.7%	2	0.2%		0.0%
3600	3610	01-03	4,902	82.2%	5,218	83.1%	5,332	82.1%	2,991	84.0%
3600	3610	04-05	746	12.5%	766	12.2%	856	13.2%	416	11.7%
3600	3610	06-10	276	4.6%	260	4.1%	280	4.3%	140	3.9%
3600	3610	11-15	31	0.5%	29	0.5%	24	0.4%	11	0.3%
3600	3610	16-20	2	0.0%	3	0.0%	3	0.0%	1	0.0%
3600	3610	21+	6	0.1%	3	0.0%	2	0.0%		0.0%
3600	3620	01-03	3,543	53.4%	3,291	54.3%	3,423	56.1%	1,770	63.4%
3600	3620	04-05	1,605	24.2%	1,465	24.2%	1,501	24.6%	623	22.3%
3600	3620	06-10	1,183	17.8%	1,038	17.1%	957	15.7%	340	12.2%
3600	3620	11-15	185	2.8%	171	2.8%	148	2.4%	37	1.3%
3600	3620	16-20	74	1.1%	60	1.0%	41	0.7%	13	0.5%
3600	3620	21+	50	0.8%	37	0.6%	32	0.5%	8	0.3%
3600	3630	01-03	4,967	79.4%	5,318	80.6%	5,563	80.1%	2,836	81.5%
3600	3630	04-05	871	13.9%	898	13.6%	981	14.1%	470	13.5%
3600	3630	06-10	366	5.9%	333	5.0%	351	5.1%	163	4.7%
3600	3630	11-15	36	0.6%	40	0.6%	36	0.5%	5	0.1%
3600	3630	16-20	9	0.1%	6	0.1%	7	0.1%	5	0.1%
3600	3630	21+	4	0.1%	2	0.0%	8	0.1%	1	0.0%
3600	3640	01-03	2,760	79.1%	2,868	80.4%	3,034	78.2%	1,712	80.9%
3600	3640	04-05	474	13.6%	447	12.5%	564	14.5%	282	13.3%
3600	3640	06-10	221	6.3%	223	6.2%	243	6.3%	110	5.2%

A03676



### Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
3600	3640	11-15	21	0.6%	22	0.6%	28	0.7%	7	0.3%
3600	3640	16-20	9	0.3%	6	0.2%	6	0.2%	2	0.1%
3600	3640	21+	5	0.1%	3	0.1%	7	0.2%	3	0.1%
3600	3650	01-03	2,926	78.3%	3,025	78.8%	2,899	78.6%	1,509	79.9%
3600	3650	04-05	537	14.4%	551	14.3%	534	14.5%	261	13.8%
3600	3650	06-10	240	6.4%	218	5.7%	221	6.0%	102	5.4%
3600	3650	11-15	28	0.7%	34	0.9%	23	0.6%	13	0.7%
3600	3650	16-20	5	0.1%	8	0.2%	4	0.1%	1	0.1%
3600	3650	21+	1	0.0%	4	0.1%	5	0.1%	3	0.2%
3600	3660	01-03	2,100	67.1%	1,994	67.0%	2,345	69.3%	1,386	72.4%
3600	3660	04-05	588	18.8%	638	21.4%	661	19.5%	342	17.9%
3600	3660	06-10	383	12.2%	285	9.6%	310	9.2%	155	8.1%
3600	3660	11-15	43	1.4%	41	1.4%	44	1.3%	24	1.3%
3600	3660	16-20	14	0.4%	12	0.4%	9	0.3%	4	0.2%
3600	3660	21+	3	0.1%	7	0.2%	13	0.4%	3	0.2%
3600	3670	01-03	5,441	78.1%	5,663	77.6%	5,535	76.3%	3,080	79.5%
3600	3670	04-05	996	14.3%	1,075	14.7%	1,159	16.0%	540	13.9%
3600	3670	06-10	452	6.5%	486	6.7%	479	6.6%	214	5.5%
3600	3670	11-15	64	0.9%	43	0.6%	64	0.9%	19	0.5%
3600	3670	16-20	10	0.1%	17	0.2%	13	0.2%	10	0.3%
3600	3670	21+	6	0.1%	11	0.2%	8	0.1%	12	0.3%
3600	3680	01-03	3,125	85.6%	3,062	84.6%	3,146	85.1%	1,686	85.8%
3600	3680	04-05	369	10.1%	414	11.4%	400	10.8%	207	10.5%
3600	3680	06-10	143	3.9%	129	3.6%	133	3.6%	58	3.0%
3600	3680	11-15	10	0.3%	14	0.4%	14	0.4%	12	0.6%
3600	3680	16-20	3	0.1%	2	0.1%	3	0.1%	1	0.1%
3600	3680	21+	1	0.0%		0.0%	3	0.1%	1	0.1%
3700	3710	01-03	2,834	70.3%	3,245	72.1%	3,264	70.7%	1,974	75.9%
3700	3710	04-05	709	17.6%	768	17.1%	823	17.8%	383	14.7%
3700	3710	06-10	397	9.8%	387	8.6%	454	9.8%	199	7.7%
3700	3710	11-15	71	1.8%	71	1.6%	56	1.2%	33	1.3%
3700	3710	16-20	14	0.3%	21	0.5%	19	0.4%	8	0.3%
3700	3710	21+	9	0.2%	9	0.2%	1	0.0%	3	0.1%
3700	3720	01-03	9,394	80.1%	9,415	80.8%	9,727	80.7%	4,607	82.3%
3700	3720	04-05	1,594	13.6%	1,525	13.1%	1,587	13.2%	703	12.6%
3700	3720	06-10	663	5.6%	637	5.5%	642	5.3%	259	4.6%
3700	3720	11-15	66	0.6%	56	0.5%	79	0.7%	24	0.4%
3700	3720	16-20	12	0.1%	15	0.1%	11	0.1%	4	0.1%
3700	3720	21+	6	0.1%	6	0.1%	14	0.1%	1	0.0%
3700	3730	01-03	5,470	65.6%	5,686	65.1%	6,041	65.6%	3,419	69.1%
3700	3730	04-05	1,630	19.5%	1,722	19.7%	1,869	20.3%	984	19.9%
3700	3730	06-10	1,006	12.1%	1,098	12.6%	1,099	11.9%	456	9.2%
3700	3730	11-15	163	2.0%	158	1.8%	138	1.5%	58	1.2%
3700	3730	16-20	38	0.5%	32	0.4%	36	0.4%	19	0.4%
3700	3730	21+	32	0.4%	35	0.4%	23	0.2%	15	0.3%
3700	3740	01-03	8,381	78.5%	8,790	77.9%	9,293	78.7%	5,076	82.0%
3700	3740	04-05	1,463	13.7%	1,642	14.6%	1,664	14.1%	805	13.0%
3700	3740	06-10	714	6.7%	715	6.3%	749	6.3%	280	4.5%
3700	3740	11-15	78	0.7%	85	0.8%	69	0.6%	28	0.5%
3700	3740	16-20	24	0.2%	31	0.3%	18	0.2%	2	0.0%
3700	3740	21+	18	0.2%	15	0.1%	10	0.1%	3	0.0%

A03677

### Independent Claims Ranges by TC Group

TC	Group	Independent Claims Range	FY 2002		FY 2003		FY 2004		FY 2005	
			Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range	Count of Cases	Percent of Cases in Range
3700	3750	01~03	4,140	81.6%	4,433	82.4%	4,503	80.5%	2,392	82.7%
3700	3750	04~05	639	12.6%	643	12.0%	733	13.1%	368	12.7%
3700	3750	06~10	251	4.9%	275	5.1%	317	5.7%	119	4.1%
3700	3750	11~15	31	0.6%	19	0.4%	34	0.6%	11	0.4%
3700	3750	16~20	11	0.2%	4	0.1%	7	0.1%	3	0.1%
3700	3750	21+	2	0.0%	4	0.1%	1	0.0%	1	0.0%
3700	3760	01~03	4,898	73.3%	4,900	72.0%	5,639	72.7%	3,075	74.3%
3700	3760	04~05	1,108	16.6%	1,193	17.5%	1,302	16.8%	731	17.7%
3700	3760	06~10	569	8.5%	595	8.7%	665	8.6%	282	6.8%
3700	3760	11~15	72	1.1%	86	1.3%	101	1.3%	32	0.8%
3700	3760	16~20	17	0.3%	15	0.2%	29	0.4%	13	0.3%
3700	3760	21+	14	0.2%	12	0.2%	17	0.2%	5	0.1%
			290,663		292,602		308,375		161,984	

A03678



**Bahr, Robert**

---

**From:** Brown, Peter Toby  
**Sent:** Wednesday, October 19, 2005 8:12 AM  
**To:** Bahr, Robert; Young, Karen; Hunter, Daniel  
**Subject:** Not requested - 3rd Actions Plus by TC - 2005-10-15.xls

But likely will be requested at some point.

The 1st worksheet explains what the report shows, but in a nutshell,

We look at all Office actions, but do NOT count restrictions as Office actions.  
Action counts are determined, but we restart action counts after any CPA, RCE or R129.

Results are compiled by TC, corps and further an edited corps worksheet is included.

Only FY05 was updated. The other FYs, if updated, would have VERY slight changes dues to PALM troubleshooting, etc.. but basically, once a FY ends, the FY data is complete.

Thanks!!

Toby



3rd Actions Plus by  
TC - 2005-...

## Logical Flow of Program (last updated October 15, 2005)

All applications with office actions during FYs 02 - 05 were identified and all office actions from those applications were extracted. Then the actions were indexed and counted.

Actions were selected from the mailing of a non-final rejection, a final rejection, an advisory action, a miscellaneous action, an independent rule 105 communication, an examiner's answer, a supplemental examiner's answer, a notice of allowance, a letter of suspension (ML.SP only), an interference action, an ex parte Quayle action and an interference disposal.

Also identified and included in the list of actions were the express abandonments for CPA, RCE or R129.

When counting the Office actions, counts were restarted with any express abandonment. In this way, the same application could have multiple first actions, etc.

Restrictions are not included in this analysis (i.e., they are not counted as Office actions).

Action # 6+ represents all Office actions numbered 6 or greater (and 2+ represents  $\geq 2$ ).

A04373

Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005

	FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
1 6 0 0	2	1	29,434	24,178	771	101	4,148	236
		2	21,632	3,976	9,545	149	7,495	467
		3	10,420	1,201	1,697	83	3,780	3,659
		4	3,987	516	589	46	1,625	1,211
		5	1,582	267	227	23	670	395
		6+	1,323	227	189	26	573	308
	Total	68,378	30,365	13,018	428	18,291	6,276	
1 6 0 0	3	1	27,937	22,703	525	116	4,378	215
		2	20,243	3,739	9,366	148	6,633	357
		3	10,335	1,292	1,807	91	3,560	3,585
		4	3,691	576	471	52	1,485	1,107
		5	1,502	262	236	25	578	401
		6+	1,404	259	199	21	555	370
	Total	65,112	28,831	12,604	453	17,189	6,035	
1 6 0 0	4	1	26,534	22,453	369	75	3,451	186
		2	18,868	3,793	8,837	130	5,789	319
		3	9,175	1,263	1,473	69	2,856	3,514
		4	3,350	642	482	25	1,202	999
		5	1,400	276	239	14	464	407
		6+	1,231	264	198	25	378	366
	Total	60,558	28,691	11,598	338	14,140	5,791	
1 6 0 0	5	1	29,055	24,914	428	76	3,404	233
		2	20,067	3,931	10,292	124	5,403	317
		3	9,393	1,301	1,717	59	2,787	3,529
		4	3,314	628	540	32	1,125	989
		5	1,306	267	264	16	441	318
		6+	1,131	206	216	18	353	338
	Total	64,266	31,247	13,457	325	13,513	5,724	

A04374

**Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005**

FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
1 7 0 0	1	42,492	34,796	468	175	6,989	64
	2	29,427	3,707	11,766	125	13,582	247
	3	12,205	942	1,437	27	5,174	4,625
	4	3,640	402	377	20	1,741	1,100
	5	1,364	152	194	11	674	333
	6+	1,004	117	154	7	465	261
	<b>Total</b>	<b>90,132</b>	<b>40,116</b>	<b>14,396</b>	<b>365</b>	<b>28,625</b>	<b>6,630</b>
1 7 0 0	1	41,944	33,550	330	287	7,720	57
	2	30,572	4,003	12,105	141	14,106	217
	3	12,570	1,094	1,576	47	5,257	4,596
	4	3,670	437	428	18	1,675	1,112
	5	1,337	175	176	5	662	319
	6+	948	133	121	13	429	252
	<b>Total</b>	<b>91,041</b>	<b>39,392</b>	<b>14,736</b>	<b>511</b>	<b>29,849</b>	<b>6,553</b>
1 7 0 0	1	42,255	34,116	283	265	7,510	81
	2	29,102	3,646	11,555	133	13,563	205
	3	11,504	936	1,355	42	4,606	4,565
	4	3,164	387	363	11	1,396	1,007
	5	1,078	140	173	4	439	322
	6+	791	112	117	5	299	258
	<b>Total</b>	<b>87,894</b>	<b>39,337</b>	<b>13,846</b>	<b>460</b>	<b>27,813</b>	<b>6,438</b>
1 7 0 0	1	42,259	37,185	374	202	4,405	93
	2	30,333	5,336	14,882	109	9,705	301
	3	12,407	1,648	1,813	22	3,530	5,394
	4	3,499	650	501	15	1,151	1,182
	5	1,163	202	216	6	369	370
	6+	732	143	127	5	208	249
	<b>Total</b>	<b>90,393</b>	<b>45,164</b>	<b>17,913</b>	<b>359</b>	<b>19,368</b>	<b>7,589</b>

A04375

**Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005**

	FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
2 1 0 0 0	2 0 0 2	1	16,791	13,987	128	156	2,494	26
		2	9,991	1,431	4,048	50	4,380	82
		3	3,992	366	488	19	1,355	1,764
		4	1,437	185	177	7	590	478
		5	636	94	78	2	309	153
		6+	414	55	56	4	183	116
		<b>Total</b>	<b>33,261</b>	<b>16,118</b>	<b>4,975</b>	<b>238</b>	<b>9,311</b>	<b>2,619</b>
2 1 0 0 0	2 0 0 3	1	22,478	19,317	111	192	2,831	27
		2	14,699	2,475	6,836	65	5,240	83
		3	6,430	679	980	25	1,796	2,950
		4	1,909	307	245	5	648	704
		5	697	126	92	1	295	183
		6+	438	58	77	1	167	135
		<b>Total</b>	<b>46,651</b>	<b>22,962</b>	<b>8,341</b>	<b>289</b>	<b>10,977</b>	<b>4,082</b>
2 1 0 0 0	2 0 0 4	1	31,221	27,690	97	175	3,217	42
		2	17,965	2,779	9,432	69	5,608	77
		3	8,012	772	1,107	7	1,984	4,142
		4	2,414	438	331	6	796	843
		5	959	166	168	1	378	246
		6+	587	97	76	1	230	183
		<b>Total</b>	<b>61,158</b>	<b>31,942</b>	<b>11,211</b>	<b>259</b>	<b>12,213</b>	<b>5,533</b>
2 1 0 0 0	2 0 0 5	1	33,533	29,914	198	172	3,192	57
		2	27,290	4,385	16,143	63	6,569	130
		3	12,173	1,335	1,779	15	2,524	6,520
		4	3,210	729	473	3	1,022	983
		5	1,145	245	226	2	400	272
		6+	828	180	159	1	288	200
		<b>Total</b>	<b>78,179</b>	<b>36,788</b>	<b>18,978</b>	<b>256</b>	<b>13,995</b>	<b>8,162</b>

A04376

**Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005**

	FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
2600	2	1	30,101	24,956	232	458	4,400	55
		2	19,191	3,729	7,530	129	7,658	145
		3	8,840	1,217	1,237	33	3,044	3,309
		4	3,223	601	454	11	1,292	865
		5	1,328	222	193	5	604	304
		6+	906	152	113	5	406	230
	<b>Total</b>		<b>63,589</b>	<b>30,877</b>	<b>9,759</b>	<b>641</b>	<b>17,404</b>	<b>4,908</b>
2600	2	1	34,124	28,309	189	610	4,972	44
		2	23,383	4,863	9,572	114	8,674	160
		3	10,992	1,719	1,690	39	3,576	3,968
		4	3,629	754	533	14	1,398	930
		5	1,415	331	217	7	576	284
		6+	973	212	139	4	402	216
	<b>Total</b>		<b>74,516</b>	<b>36,188</b>	<b>12,340</b>	<b>788</b>	<b>19,598</b>	<b>5,602</b>
2600	4	1	39,347	33,111	187	689	5,327	33
		2	25,634	5,238	11,093	132	9,070	101
		3	11,784	1,718	1,831	55	3,680	4,500
		4	4,051	857	650	10	1,498	1,036
		5	1,655	348	304	9	636	358
		6+	1,190	258	200	1	478	253
	<b>Total</b>		<b>83,661</b>	<b>41,530</b>	<b>14,265</b>	<b>896</b>	<b>20,689</b>	<b>6,281</b>
2600	5	1	41,307	34,681	221	658	5,718	29
		2	31,134	6,003	14,030	133	10,839	129
		3	12,823	1,792	1,948	29	3,912	5,142
		4	3,929	813	644	11	1,395	1,066
		5	1,528	314	311	5	570	328
		6+	1,080	227	200	4	401	248
	<b>Total</b>		<b>91,801</b>	<b>43,830</b>	<b>17,354</b>	<b>840</b>	<b>22,835</b>	<b>6,942</b>

A04377

**Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005**

FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
2800	1	68,075	51,871	269	1,090	14,753	92
	2	44,441	6,292	13,883	277	23,799	190
	3	15,509	1,458	1,811	49	6,629	5,562
	4	4,138	493	469	21	2,079	1,076
	5	1,368	179	198	14	691	286
	6+	786	81	109	10	395	191
	<b>Total</b>		<b>134,317</b>	<b>60,374</b>	<b>16,739</b>	<b>1,461</b>	<b>48,346</b>
2800	1	68,194	49,950	218	1,186	16,748	92
	2	47,053	6,867	14,695	324	25,009	158
	3	18,038	1,883	2,314	68	7,667	6,106
	4	5,005	666	598	18	2,499	1,224
	5	1,436	182	187	8	733	326
	6+	807	115	102	8	381	201
	<b>Total</b>		<b>140,533</b>	<b>59,663</b>	<b>18,114</b>	<b>1,612</b>	<b>53,037</b>
2800	1	67,109	47,194	205	1,473	18,154	83
	2	46,060	6,291	14,219	313	25,099	138
	3	17,195	1,848	2,113	57	7,256	5,921
	4	4,848	723	641	19	2,234	1,231
	5	1,660	262	258	8	789	343
	6+	864	144	118	4	393	205
	<b>Total</b>		<b>137,736</b>	<b>56,462</b>	<b>17,554</b>	<b>1,874</b>	<b>53,925</b>
2800	1	70,607	51,301	208	1,714	17,273	111
	2	44,658	6,269	15,506	322	22,406	155
	3	16,528	1,923	2,107	53	6,470	5,975
	4	4,741	822	686	22	2,006	1,205
	5	1,724	313	295	7	722	387
	6+	1,075	188	181	4	433	269
	<b>Total</b>		<b>139,333</b>	<b>60,816</b>	<b>18,983</b>	<b>2,122</b>	<b>49,310</b>

A04378

**Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005**

FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
3600	1	40,407	34,130	287	471	5,462	57
	2	25,447	3,118	9,173	154	12,787	215
	3	8,872	722	978	39	3,965	3,168
	4	2,388	262	272	17	1,144	693
	5	800	107	117	3	368	205
	6+	587	89	78	10	258	152
	<b>Total</b>		<b>78,501</b>	<b>38,428</b>	<b>10,905</b>	<b>694</b>	<b>23,984</b>
3600	1	39,624	33,171	291	450	5,660	52
	2	28,742	3,911	11,778	163	12,710	180
	3	11,303	1,080	1,562	40	4,495	4,126
	4	3,169	416	404	20	1,291	1,038
	5	1,043	185	122	11	425	300
	6+	627	96	96	8	239	188
	<b>Total</b>		<b>84,508</b>	<b>38,859</b>	<b>14,253</b>	<b>692</b>	<b>24,820</b>
3600	1	39,357	33,749	265	492	4,749	102
	2	26,395	3,922	11,425	166	10,639	243
	3	10,435	1,207	1,426	32	3,574	4,196
	4	3,021	594	418	12	1,030	967
	5	1,166	219	221	13	385	328
	6+	766	150	122	6	241	247
	<b>Total</b>		<b>81,140</b>	<b>39,841</b>	<b>13,877</b>	<b>721</b>	<b>20,618</b>
3600	1	36,030	31,115	308	362	4,094	151
	2	28,288	4,621	13,530	150	9,604	383
	3	12,836	1,726	1,918	42	3,923	5,227
	4	4,067	821	658	12	1,348	1,228
	5	1,521	340	306	4	470	401
	6+	1,033	246	182	7	275	323
	<b>Total</b>		<b>83,775</b>	<b>38,869</b>	<b>16,902</b>	<b>577</b>	<b>19,714</b>

A04379



Office Action Analysis by Tech Center (restrictions excluded) - updated October 15, 2005

FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
3700	1	44,166	35,138	430	399	8,133	66
	2	28,195	3,088	9,482	145	15,275	205
	3	9,120	713	1,000	27	4,258	3,122
	4	2,575	270	308	10	1,253	734
	5	878	109	122	6	432	209
	6+	698	101	87	8	305	197
	<b>Total</b>		<b>85,632</b>	<b>39,419</b>	<b>11,429</b>	<b>595</b>	<b>29,656</b>
3700	1	44,486	34,574	359	442	9,034	77
	2	31,140	3,842	10,963	162	15,969	204
	3	11,372	913	1,375	36	5,028	4,020
	4	3,000	317	369	23	1,414	877
	5	1,009	128	130	9	475	267
	6+	602	84	93	8	266	151
	<b>Total</b>		<b>91,609</b>	<b>39,858</b>	<b>13,289</b>	<b>680</b>	<b>32,186</b>
3700	1	45,465	36,391	352	472	8,143	107
	2	27,648	3,742	10,371	129	13,204	202
	3	10,034	997	1,198	34	4,083	3,722
	4	2,700	388	329	11	1,211	761
	5	917	135	129	6	415	232
	6+	670	100	115	7	236	212
	<b>Total</b>		<b>87,434</b>	<b>41,753</b>	<b>12,494</b>	<b>659</b>	<b>27,292</b>
3700	1	42,320	34,471	464	434	6,853	98
	2	31,424	4,616	13,395	184	12,955	274
	3	12,615	1,456	1,766	38	4,706	4,649
	4	3,456	519	457	25	1,512	943
	5	1,006	186	174	9	390	247
	6+	604	109	110	4	178	203
	<b>Total</b>		<b>91,425</b>	<b>41,357</b>	<b>16,366</b>	<b>694</b>	<b>26,594</b>

A04380

Office Action Analysis UPR (restrictions excluded) - updated October 15, 2005							
FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
2002	1	271,466	219,056	2,585	2,850	46,379	596
	2	178,324	25,341	65,427	1,029	84,976	1,551
	3	68,958	6,619	8,648	277	28,205	25,209
	4	21,388	2,729	2,646	132	9,724	6,157
	5	7,956	1,130	1,129	64	3,748	1,885
	6+	5,718	822	786	70	2,585	1,455
	<b>Total</b>	<b>553,810</b>	<b>255,697</b>	<b>81,221</b>	<b>4,422</b>	<b>175,617</b>	<b>36,853</b>
2003	1	278,787	221,574	2,023	3,283	51,343	564
	2	195,832	29,700	75,315	1,117	88,341	1,359
	3	81,040	8,660	11,304	346	31,379	29,351
	4	24,073	3,473	3,048	150	10,410	6,992
	5	8,429	1,389	1,160	66	3,744	2,070
	6+	5,799	957	827	63	2,439	1,513
	<b>Total</b>	<b>593,960</b>	<b>265,753</b>	<b>93,677</b>	<b>5,025</b>	<b>187,656</b>	<b>41,849</b>
2004	1	291,288	234,704	1,758	3,641	50,551	634
	2	191,672	29,411	76,932	1,072	82,972	1,285
	3	78,139	8,741	10,503	296	28,039	30,560
	4	23,548	4,029	3,214	94	9,367	6,844
	5	8,835	1,546	1,492	55	3,506	2,236
	6+	6,099	1,125	946	49	2,255	1,724
	<b>Total</b>	<b>599,581</b>	<b>279,556</b>	<b>94,845</b>	<b>5,207</b>	<b>176,690</b>	<b>43,283</b>
2005	1	295,111	243,581	2,201	3,618	44,939	772
	2	213,194	35,161	97,778	1,085	77,481	1,689
	3	88,775	11,181	13,048	258	27,852	36,436
	4	26,216	4,982	3,959	120	9,559	7,596
	5	9,393	1,867	1,792	49	3,362	2,323
	6+	6,483	1,299	1,175	43	2,136	1,830
	<b>Total</b>	<b>639,172</b>	<b>298,071</b>	<b>119,953</b>	<b>5,173</b>	<b>165,329</b>	<b>50,646</b>

A04381

Office Action Analysis UPR (restrictions excluded) - updated October 15, 2005							
FY	Action Number	All Actions	Non-Finals	Finals	Quayles	Allows	Other
UPR 2002	1	271,466	219,056	2,585	2,850	46,379	596
	2+	282,344	36,641	78,636	1,572	129,238	36,257
	<b>Total</b>	<b>553,810</b>	<b>255,697</b>	<b>81,221</b>	<b>4,422</b>	<b>175,617</b>	<b>36,853</b>
	% 2+ of Total	<b>51.0%</b>	14.3%	96.8%	35.5%	73.6%	98.4%
UPR 2003	1	278,787	221,574	2,023	3,283	51,343	564
	2+	315,173	44,179	91,654	1,742	136,313	41,285
	<b>Total</b>	<b>593,960</b>	<b>265,753</b>	<b>93,677</b>	<b>5,025</b>	<b>187,656</b>	<b>41,849</b>
	% 2+ of Total	<b>53.1%</b>	16.6%	97.8%	34.7%	72.6%	98.7%
UPR 2004	1	291,288	234,704	1,758	3,641	50,551	634
	2+	308,293	44,852	93,087	1,566	126,139	42,649
	<b>Total</b>	<b>599,581</b>	<b>279,556</b>	<b>94,845</b>	<b>5,207</b>	<b>176,690</b>	<b>43,283</b>
	% 2+ of Total	<b>51.4%</b>	16.0%	98.1%	30.1%	71.4%	98.5%
UPR 2005	1	295,111	243,581	2,201	3,618	44,939	772
	2+	344,061	54,490	117,752	1,555	120,390	49,874
	<b>Total</b>	<b>639,172</b>	<b>298,071</b>	<b>119,953</b>	<b>5,173</b>	<b>165,329</b>	<b>36,220</b>
	% 2+ of Total	<b>53.8%</b>	18.3%	98.2%	30.1%	72.8%	98.3%

A04382

**Bahr, Robert**

---

**From:** Morse, Gregory  
**Sent:** Wednesday, July 19, 2006 8:08 AM  
**To:** Bahr, Robert  
**Subject:** RE: Continuing applications data



Refile Analysis.xls

-----Original Message-----

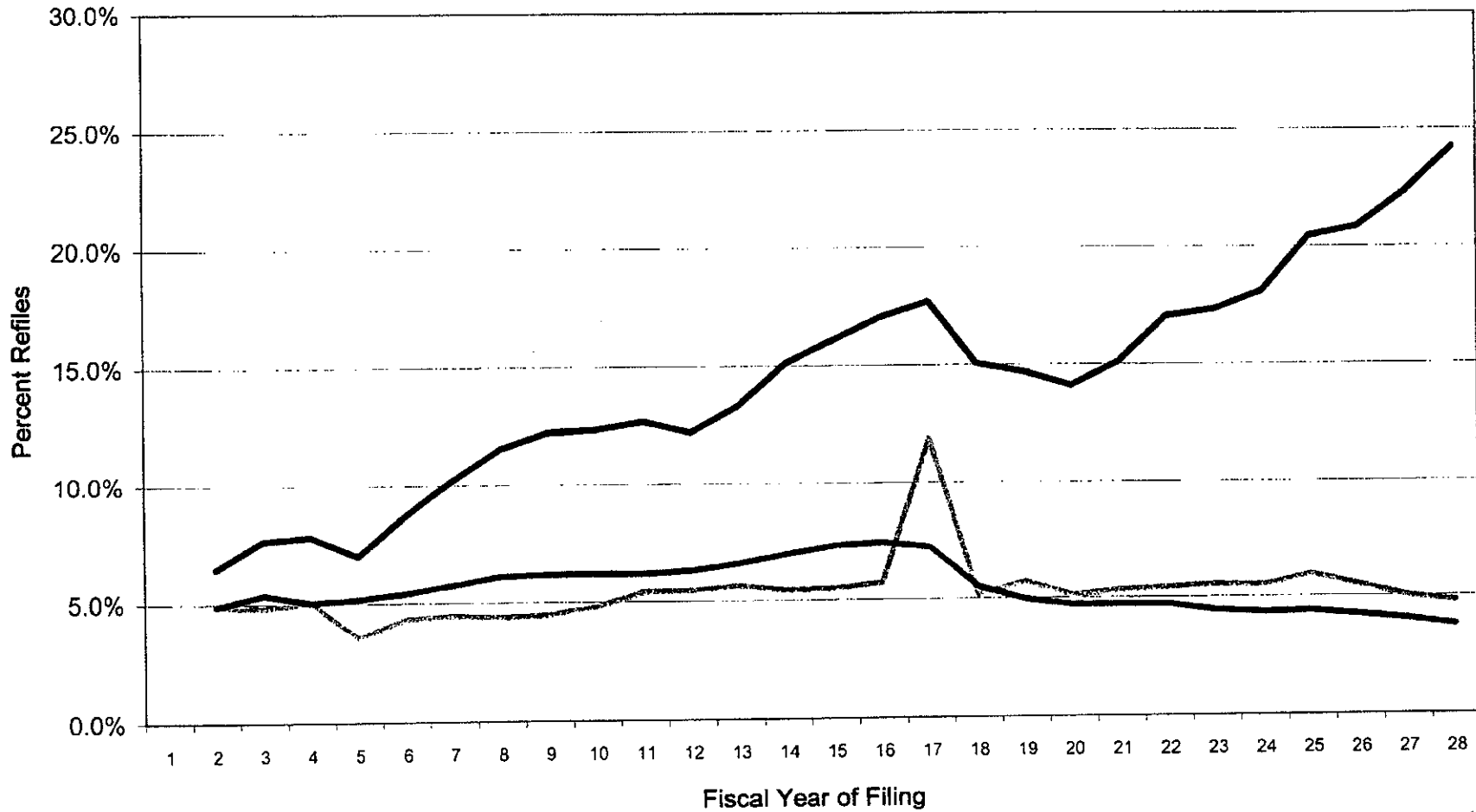
**From:** Bahr, Robert  
**Sent:** Wednesday, July 19, 2006 5:49 AM  
**To:** Morse, Gregory  
**Subject:** Continuing applications data

Could you obtain for me a chart showing the number of applications filed from FY 1982-2005 and also showing the number and percentage of continuation, divisional, continuation-in-part, and total continuing applications filed each of these FYs?

Fiscal Year	UPR Filings	Continuations	CPAs	RCEs	R129s	Total CON-type Refiles	% CONs of Total Filings	% Total CONs of Total Filings
FY80	93,800	6,022	0	0	0	6,022	6.4%	6.4%
FY81	107,513	8,192	0	0	0	8,192	7.6%	7.6%
FY82	116,731	9,097	0	0	0	9,097	7.8%	7.8%
FY83	97,448	6,764	0	0	0	6,764	6.9%	6.9%
FY84	109,539	9,509	0	0	0	9,509	8.7%	8.7%
FY85	116,427	11,882	0	0	0	11,882	10.2%	10.2%
FY86	121,611	14,036	0	0	0	14,036	11.5%	11.5%
FY87	126,407	15,466	0	0	0	15,466	12.2%	12.2%
FY88	137,069	16,923	0	0	0	16,923	12.3%	12.3%
FY89	151,331	19,184	0	0	0	19,184	12.7%	12.7%
FY90	163,561	19,962	0	0	0	19,962	12.2%	12.2%
FY91	167,715	22,346	0	0	0	22,346	13.3%	13.3%
FY92	172,539	26,086	0	0	0	26,086	15.1%	15.1%
FY93	174,553	28,067	0	0	0	28,067	16.1%	16.1%
FY94	186,123	31,750	0	0	0	31,750	17.1%	17.1%
FY95	221,304	37,563	0	0	1,612	39,175	17.0%	17.7%
FY96	191,016	23,735	0	0	5,016	28,751	12.4%	15.1%
FY97	220,773	28,673	0	0	3,737	32,410	13.0%	14.7%
FY98	240,090	14,016	17,461	0	2,356	33,833	5.8%	14.1%
FY99	261,013	13,239	25,258	0	949	39,446	5.1%	15.1%
FY2000	293,244	17,613	30,888	1,033	444	49,978	6.0%	17.0%
FY2001	326,081	21,436	22,406	12,438	206	56,486	6.6%	17.3%
FY2002	333,688	25,613	8,978	25,680	118	60,389	7.7%	18.1%
FY2003	333,452	26,141	2,333	39,572	87	68,133	7.8%	20.4%
FY2004	355,527	27,981	0	46,014	42	74,037	7.9%	20.8%
FY2005	384,228	30,756	0	54,964	8	85,728	8.0%	22.3%
FY2006	229,219	17,212	0	38,259	9	55,480	7.5%	24.2%

A04525

### Percent Refiles (CON-DIV-CIP-RCE-CPA-R129) of Total Filings



— % CON-RCE-CPA-R129 of Total Filings — % DIV of Total Filings — % CIP of Total Filings

A04526

Fiscal Year	UPR Filings	Continuations	CPAs	RCEs	R129s	Divisionals	DCPAs	CIPs	CONs - DIVs	CONs - DIVs - CIPs	ALL Refiles	% CON-RCE-CPA-R129 of Total Filings	% DIV of Total Filings	% CIP of Total Filings	% Total Refiles of Total Filings
FY80	93,800	6,022	0	0	0	4,549	0	4,585	10,571	15,156	15,156	6.4%	4.8%	4.9%	16.2%
FY81	107,513	8,192	0	0	0	5,158	0	5,743	13,350	19,093	19,093	7.6%	4.8%	5.3%	17.8%
FY82	116,731	9,097	0	0	0	5,839	0	5,871	14,936	20,807	20,807	7.8%	5.0%	5.0%	17.8%
FY83	97,448	6,764	0	0	0	3,455	0	5,023	10,219	15,242	15,242	6.9%	3.5%	5.2%	15.6%
FY84	109,539	9,509	0	0	0	4,726	0	5,903	14,235	20,138	20,138	8.7%	4.3%	5.4%	18.4%
FY85	116,427	11,882	0	0	0	5,174	0	6,648	17,056	23,704	23,704	10.2%	4.4%	5.7%	20.4%
FY86	121,611	14,036	0	0	0	5,301	0	7,383	19,337	26,720	26,720	11.5%	4.4%	6.1%	22.0%
FY87	126,407	15,466	0	0	0	5,647	0	7,745	21,113	28,858	28,858	12.2%	4.5%	6.1%	22.8%
FY88	137,069	16,923	0	0	0	6,546	0	8,432	23,469	31,901	31,901	12.3%	4.8%	6.2%	23.3%
FY89	151,331	19,184	0	0	0	8,156	0	9,282	27,340	36,622	36,622	12.7%	5.4%	6.1%	24.2%
FY90	163,561	19,962	0	0	0	8,853	0	10,222	28,815	39,037	39,037	12.2%	5.4%	6.2%	23.9%
FY91	167,715	22,346	0	0	0	9,382	0	10,980	31,728	42,708	42,708	13.3%	5.6%	6.5%	25.5%
FY92	172,539	26,086	0	0	0	9,320	0	11,968	35,406	47,374	47,374	15.1%	5.4%	6.9%	27.5%
FY93	174,553	28,067	0	0	0	9,533	0	12,690	37,600	50,290	50,290	16.1%	5.5%	7.3%	28.8%
FY94	186,123	31,750	0	0	0	10,570	0	13,753	42,320	56,073	56,073	17.1%	5.7%	7.4%	30.1%
FY95	221,304	37,563	0	0	1,612	26,272	0	15,881	63,835	79,716	81,328	17.7%	11.9%	7.2%	36.7%
FY96	191,016	23,735	0	0	5,016	9,833	0	10,500	33,568	44,068	49,084	15.1%	5.1%	5.5%	25.7%
FY97	220,773	28,673	0	0	3,737	12,537	0	10,914	41,210	52,124	55,861	14.7%	5.7%	4.9%	25.3%
FY98	240,090	14,016	17,461	0	2,356	11,837	396	11,288	25,853	37,141	57,354	14.1%	5.1%	4.7%	23.9%
FY99	261,013	13,239	25,258	0	949	13,536	314	12,257	26,775	39,032	65,553	15.1%	5.3%	4.7%	25.1%
FY2000	293,244	17,613	30,888	1,033	444	15,548	260	13,764	33,161	46,925	79,550	17.0%	5.4%	4.7%	27.1%
FY2001	326,081	21,436	22,406	12,438	206	17,799	140	14,472	39,235	53,707	88,897	17.3%	5.5%	4.4%	27.3%
FY2002	333,688	25,613	8,978	25,680	118	18,065	171	14,437	43,678	58,115	93,062	18.1%	5.5%	4.3%	27.9%
FY2003	333,452	26,141	2,333	39,572	87	19,692	36	14,584	45,833	60,417	102,445	20.4%	5.9%	4.4%	30.7%
FY2004	355,527	27,981	0	46,014	42	19,415	0	14,971	47,396	62,367	108,423	20.8%	5.5%	4.2%	30.5%
FY2005	384,228	30,756	0	54,964	8	19,148	0	15,461	49,904	65,365	120,337	22.3%	5.0%	4.0%	31.3%
FY2006	229,219	17,212	0	38,258	9	10,921	0	8,636	28,133	36,769	75,037	24.2%	4.8%	3.8%	32.7%

A04527

REDACTED

**Relevant data:**

In FY 1980, the USPTO received 93,800 filings of which 15,156 (16.2%) were continued examination filings and 10,607 (11.3%) were continuations or CIPs<sup>2</sup>.

In FY 1994<sup>3</sup>, the USPTO received 186,123 filings of which 56,073 (30.1%) were continued examination filings and 45,503 (24.5%) were continuations or CIPs.

In FY 2005, the USPTO received 384,228 filings of which 120,337 (31.3%) were continued examination filings and 101,181 (26.3%) were continuations, CIPs, or RCEs.

In FY 2005, the number of continued examination filings (120,337) exceeded the number of total filings received in any fiscal year prior to 1986 (116,731 was the most filings received in any fiscal years prior to 1986).

**Note:** The best estimate is that between 5 and 30 percent of second/subsequent continued examination filings will still be filed now with a petition. Given that the currently yearly filing rate for continued examination filings is about 22,000, this would mean between 1,100 and 6,600 petitions per year.

<sup>2</sup> RCEs did not exist until FY 2000.

<sup>3</sup> The last fiscal year before the advent of twenty-year patent term.

A04546

Confidential

Do Not Distribute



REDACTED

**Relevant data:**

In FY 2005, the USPTO received 384,228 filings of which 120,337 (31.3 %) were continued examination filings and 10,607 (26.3 3%) were continuations, CIPs, or RCEs.

The twenty-year patent term change in 1995 resulted in a continued examination filing bubble of 45% (81,328 continued examination filings in FY 1995 relative to 56,073 continued examination filings in FY 1994 (25,255 additional)).

Given current continued examination filings, a similar bubble could result in an additional 54,000 (45% of 120,000) filings.

Confidential

No Not Distribute

A04547

REDACTED

Confidential

Do Not Distribute

**Relevant data:**

In FY 2005, only 2.8% (655 of 23,132) divisional applications claimed the benefit of more than 2 prior applications.

In FY 2005 in TC 1600, only 4.2% (165 of 3923) divisional applications claimed the benefit of more than 2 prior applications.

Therefore, permitting a divisional application to be filed during the pending of the initial application or the first continuing application will not affect the overwhelming number (95% in any TC) of applicants.

A04548

Note: To make a proper ODP rejection requires claim-by-claim analysis and identifying individual correspondence of the relationship between those claims. This can be very time consuming for the examiner. The AIPLA comments allege that "only 3% of issued patents in FY 2005" included a TD. This still amounts to almost 4,800 applications that required an ODP analysis. This figure also does not consider that (absent any information from applicants concerning co-pending applications) an examiner must consider every application for ODP issues.

Confidential

Do Not Distribute

A04549

REDACTED

Confidential

Do Not Distribute

**Relevant data:**

Of the 242,980 nonprovisional applications filed in the second, third, and fourth quarters of FY 2005 (under the CAA fee provisions), 190,110 (78%) have more than 10 total claims but only 2,847 (1.17%) have more than 10 independent claims.

Of the 154,145 nonprovisional applications filed in the first and second quarters of FY 2006, 121,905 (79%) have more than 10 total claims but only 1,664 (1.08%) have more than 10 independent.

Thus, the 10 representative claims approach will have an effect on about 80% of applicants (requiring them to select which dependent claims are and are not representative claims), but will have a significant impact (requiring an ESD to avoid cancellation of one or more independent claims) on fewer than about 1.2% of applicants.

**Ten Representative Claims**

	Independent Claims: 1-10 Total Claims: 1-10	Independent Claims: 1-10 Total Claims: >0
FY2005: 2 <sup>nd</sup> - 4 <sup>th</sup> Quarters	78%	1.17%
FY2006: 1 <sup>st</sup> - 2 <sup>nd</sup> Quarters	79%	1.08%
Estimate Effect	80%	1.2%

A04550

**REDACTED**

**Relevant data:**

Of the 242,980 nonprovisional applications filed in the second, third, and fourth quarters of FY 2005 (under the CAA fee provisions), 87,210 (36%) have more than 6 independent claims or more than 20 total claims, and 11,896 (4.9%) have more than 6 independent claims.

Of the 154,145 nonprovisional applications filed in the first and second quarters of FY 2006, 54,389 (35%) have more than 6 independent claims or more than 20 total claims, and 6,916 (4.49%) have more than 6 independent claims.

Thus, the 6/20 representative claims approach will have an effect on about 35% of applicants (requiring them to select which dependent claims are and are not representative claims), but will have a significant impact (requiring an ESD to avoid cancellation of one or more independent claims) on about 5% of applicants.

**6/20 Representative Claims Approach**

	Independent Claims: 1-6 Total Claims: 1-20	Independent Claims: 1-6 Total Claims: >0
FY2005: 2 <sup>nd</sup> – 4 <sup>th</sup> Quarters	36%	4.9%
FY2006: 1 <sup>st</sup> – 2 <sup>nd</sup> Quarters	35%	4.49%
Estimate Effect	35%	5%

**Note:** In comparing the 10 representative claims approach to the 6/20 representative claims approach, the 6/20 representative claims approach permits a higher percentage of applicants to be completely unaffected by the claims rule, but does result in a higher percentage of applicant being significantly affected (requiring an ESD to avoid cancellation of one or more independent claims).

Changing from the proposed the 10 representative claims approach to the 6/20 representative claims approach may result in delay in promulgating a final rule due to the need for the USPTO to conduct an Initial and Final Regulatory Flexibility Analysis (IRFA and FRFA) under the Regulatory Flexibility Act due to the higher percentage of applicants experiencing a significant impact.

**10 Representative Claims Versus 6/20 Representative Claims Approach**

	10 Representative Claims	6/20 Representative Claims
% of applicants that are required to select representative claims	80%	35%
% of applicants that are required to file ESD	1.2%	5%

**Confidential**

**Do Not Distribute**

**A04551**

8/3/06



**Note:** Some application of the claims changes to pending applications is the best hedge against a bubble in filings due to the continuations changes (and would reduce the burden of examining any bubble filings). In addition, at 300,000 FAOMs per year (roughly the FY 2005 level of FAOMs), it would take over two years (roughly April of 2009) for the USPTO to see any impact from the rule change if the USPTO does not also apply the changes to the backfile of applications.

**Relevant data:**

The USPTO currently (07/2006) has an inventory of about 650,000 applications awaiting examination. Of the roughly 650,000 applications awaiting examination, claims data is available for 607,347 applications (about 40,000 have not yet undergone the necessary processing). Of these 607,347 backfile applications for which claims data is available, 108,737 (17.9%) have 10 or fewer total claims, and 498,610 (82.1%) have more than 10 claims. Thus, it appears that 553,650 (82.1% of 650,000) applicants would be affected by a requirement (in an application containing more than 10 total claims) to select which dependent claims (if any) are representative claims.

**Costs to applicants:** It is estimated that a reply to a notice to designate which dependent claims (if any) are representative claims will on average take 1 hour of attorney time at \$286/hour<sup>1</sup>. Thus, the total cost to all patent applicants to select which dependent claims (if any) are representative claims would be \$158,343,900 (553,650 hours at \$286/hour).

**Savings to the USPTO:** The primary impact of this change is an improvement in patent quality rather than any reduction in costs. Given that applications include (on average) 25 total claims, applying the claims rule changes to the backfile of applications will reduce the number of claims that must be examined from 16,250,000 (650,000 X 25) to 6,500,000 (650,000 X 10), or by 9,750,000. The effort to examine these 9,750,000 claims if presented in separate applications each containing 30 claims would roughly equal to a fiscal year's effort of the Patent Examining Corps: 9,750,000 at 30 claims per applications is 325,000 applications.

In addition, the change will have an ancillary impact of removing applications in which the applicant no longer has an interest from the USPTO's backfile of unexamined applications. Approximately, 5 to 10% of applications become abandoned due to lack of reply to a first Office action. It is estimated that most of these applications become abandoned because the applicant is no longer interested in the application (rather than because the Office action demonstrates that there is no patentable subject matter in the application). This ancillary impact would result in the removal of 27,680 to 55,360 applications in which the applicant no longer has an interest from the USPTO's backfile of unexamined applications.

<sup>1</sup> The professional rate of \$286/hour is the median rate for associate attorneys in private firms as published in a report by the 2003 Committee on Economics of Legal Practice of the American Intellectual Property Law Association (AIPLA).

A04552

8/3/06

Confidential

Do Not Distribute

REDACTED

**Relevant data:**

Of the 607,347 backfile applications for which claims data is available, 304,365 (50.1%) have 3 or fewer independent claims and 20 or fewer total claims, and 302,982 (49.9%) have more than 3 independent claims or more than 20 total claims. Thus, it appears that 324,350 (49.9% of 650,000) applicants would be affected by a requirement (in an application containing more than 3 independent claims or more than 20 total claims) to select which dependent claims (if any) are representative claims.

Costs to applicants: It is estimated that a reply to a notice to designate which dependent claims (if any) are representative claims will on average take 1 hour of attorney time at \$286/hour. Thus, the total cost to all patent applicants to select which dependent claims (if any) are representative claims would be \$92,764,100 (324,350 hours at \$286/hour).

REDACTED

**Relevant data:**

Of the 607,347 backfile applications for which claims data is available, 475,627 (78.3%) have 6 or fewer independent claims and 30 or fewer total claims, and 131,720 (21.7%) have more than 6 independent claims or more than 30 total claims. Thus, it appears that 140,970 (21.7% of 650,000) applicants would be affected by a requirement (in an application containing more than 6 independent claims or more than 30 total claims) to select which dependent claims (if any) are representative claims.

Costs to applicants: It is estimated that a reply to a notice to designate which dependent claims (if any) are representative claims will on average take 1 hour of attorney time at \$286/hour. Thus, the total cost to all patent applicants to select which dependent claims (if any) are representative claims would be \$40,317,420 (140,970 hours at \$286/hour).

**Comparison Chart**

	10 Representative Claims	3/20 Representative Claims	6/30 Representative Claims
<b># of Claims</b>	Independent: 1-10 Total: 1-10	Independent: 1-3 Total: 1-20	Independent: 1-6 Total: 1-30
<b>% of Applicants Required to Select</b>	82.1%	49.9%	21.7%
<b>Costs to Applicants</b>	\$158.3 M	\$92.8 M	\$40.3 M

A04S53

Confidential

Do Not Distribute

\*\*\*\*\* DRAFT FOR DISCUSSIONS ONLY - NOT FOR DISTRIBUTION \*\*\*\*\*

Based on OPQA reviews conducted in FY05 and FY06, the allowance error rate is significantly higher among cases with more than 25 claims at issue. While the significant difference is also noted in higher cut points (such as 30 in FY05 and 40 in FY06), a cut point of 25 appears to be the optimal point where error rates significantly increase and a sizeable portion of the population (20%) is impacted.

Given the observed differences in the error rates at the proposed claim cut-points, to realize any significant change in overall Patents error rates, the change factor needs to be applied to a significant portion of the population. In the table below, a cut point of 25 claims is needed to see any real net impact on the overall Corps error rate (when sampling error and other factors are considered).

Cut Point	Population Affected		Difference in Observed Error Rate		Net Impact on Overall Corps Error Rate	
	FY05	FY06	FY05	FY06	FY05	FY06
26+	21%	21%	2.3%	1.4%	0.5%	0.3%
41+	7%	7%	3.0%	3.1%	0.2%	0.2%

**FY06 Claims at Allowance**

FY06 Cut Point = 25		Overall Case Finding				
		No Error		Error		Total
		Count	Row N %	Count	Row N %	Count
Cut Point - Claims At Allowance	<=25	3996	96.5%	147	3.5%	4143
	26+	1042	95.1%	54	4.9%	1096
	<b>Total</b>	<b>5038</b>	<b>96.2%</b>	<b>201</b>	<b>3.8%</b>	<b>5239</b>

Utility Cases Only

FY06		Overall Case Finding				
		No Error		Error		Total
		Count	Row N %	Count	Row N %	Count
Claims at Allowance - Grouped	<=10	1562	96.5%	56	3.5%	1618
	11-20	1885	96.4%	71	3.6%	1956
	21-25	549	96.5%	20	3.5%	569
	26-30	343	96.1%	14	3.9%	357
	31-40	366	95.8%	16	4.2%	382
	41+	333	93.3%	24	6.7%	357
	<b>Total</b>	<b>5038</b>	<b>96.2%</b>	<b>201</b>	<b>3.8%</b>	<b>5239</b>

Utility Cases Only

**FY05 Claims at Allowance**

FY05 Cut Point = 25		Overall Case Finding				
		No Error		Error		Total
		Count	Row N %	Count	Row N %	Count
Cut Point - Claims at Allowance	<=25	5733	95.9%	248	4.1%	5981
	26+	1500	93.6%	102	6.4%	1602
	<b>Total</b>	<b>7233</b>	<b>95.4%</b>	<b>350</b>	<b>4.6%</b>	<b>7583</b>

Utility Cases Only

FY05		Overall Case Finding				
		No Error		Error		Total
		Count	Row N %	Count	Row N %	Count
Claims at Allowance - Grouped	<=10	2284	96.8%	75	3.2%	2359
	11-20	2648	95.0%	140	5.0%	2788
	21-25	801	96.0%	33	4.0%	834
	26-30	479	96.6%	17	3.4%	496
	31-40	495	92.0%	43	8.0%	538
	41+	526	92.6%	42	7.4%	568
	<b>Total</b>	<b>7233</b>	<b>95.4%</b>	<b>350</b>	<b>4.6%</b>	<b>7583</b>

Utility Cases Only

A 05725

**Key Model Assumptions**

**Without Bush Administration Plan (Red Diamond)**

Bush Administration Plan - Proposed with:

- Increased Filings - 6% instead of 5.5%
- Hiring at attrition level only - FY 05/10 296
- Attrition Rate FY 05/10 8%
- Decrease in Overtime Usage - 90 hrs/FTE instead of 100 hrs/FTE
- Adjusted for Complexity Creep
- No PCT or US Search Outsourcing

**1,000 Hires & Low Attrits (Gold Square)**


- Increased Hiring Level - 1,000 Examiners
- Decreased Attrition Rate - FY 06 10%; FY 07 9%; FY 06 8%; FY 07/11 7%
- PCT Outsourcing Savings FY 06/11
- Outsourcing of the US Search - Goal Adjustment Shifted to  
Begin in FY 09 instead of FY 08 at 1/2 the level and 1/2 the gain
- Increased Filings - 6% instead of 5.5%
- Decrease in Overtime Usage - 90 hrs/FTE instead of 100 hrs/FTE
- Adjusted for Complexity Creep

**Plus Claims and Continuation Limits (Blue Circle)**

- Claims Reduction - 2.5% in FY 06 - Additional 2.5% in FY 07 (5% Total)
- 5% Reduction in Filings from Limits on Continuations
- Increased Hiring Level - 1,000 Examiners
- Decreased Attrition Rate - FY 06 10%; FY 07 9%; FY 06 8%; FY 07/11 7%
- PCT Outsourcing Savings FY 06/11
- Outsourcing of the US Search - Goal Adjustment Shifted to  
Begin in FY 09 instead of FY 08 at 1/2 the level and 1/2 the gain
- Increased Filings - 6% instead of 5.5%
- Decrease in Overtime Usage - 90 hrs/FTE instead of 100 hrs/FTE
- Adjusted for Complexity Creep

**Plus Patentability Report (Purple X)**

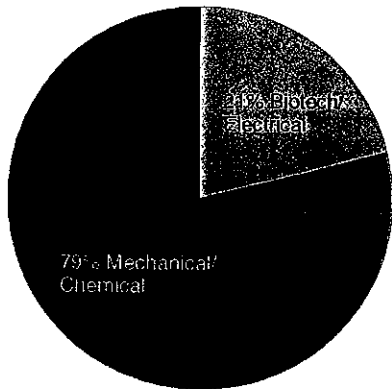
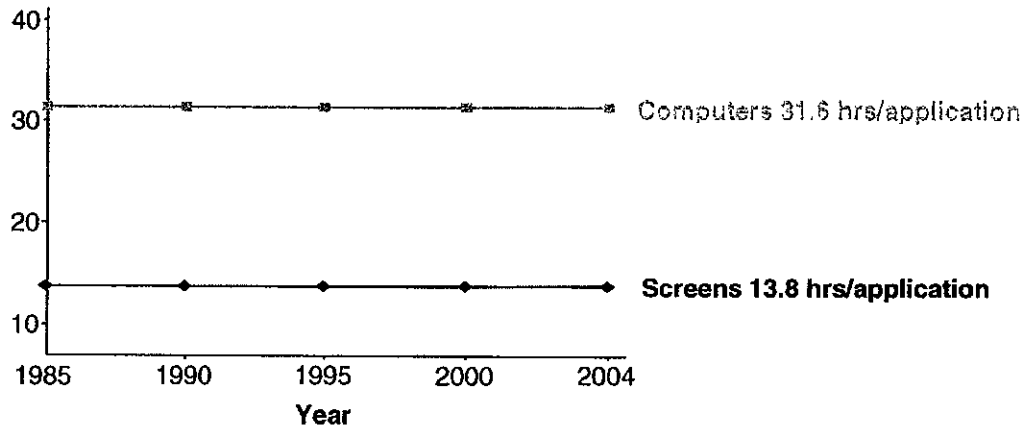
- Patentability Reports - 15% Gain Beginning in FY 07  
10% Drop in Inventory; 10% Reduction in Filings
- No Outsourcing of the US Search
- Claims Reduction - 2.5% in FY 06 - Additional 2.5% in FY 07 (5% Total)
- 5% Reduction in Filings from Limits on Continuations
- Increased Hiring Level - 1,000 Examiners
- Decreased Attrition Rate - FY 06 10%; FY 07 9%; FY 06 8%; FY 07/11 7%
- PCT Outsourcing Savings FY 06/11
- Increased Filings - 6% instead of 5.5%
- Decrease in Overtime Usage - 90 hrs/FTE instead of 100 hrs/FTE
- Adjusted for Complexity Creep

	<h2 style="text-align: center;">Pendency Savings</h2>			
	2008 Pendency	2008 Savings	2011 Pendency	2011 Savings
Without Bush Administration Plan	37.3 mos	0 mos	47 mos	0 mos
1,000 Hires & Low Attrits	33.4 mos	3.9 mos	32.9 mos	14.1 mos
Plus Claims & Continuations Limits	32.9 mos	4.4 mos	29.3 mos	17.7 mos
Plus Patentability Reports	25.6 mos	11.7 mos	14.0 mos	33.0 mos

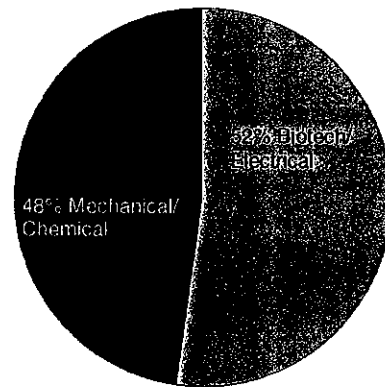
A07096

Every year, of the total number of patent applications filed, a higher percentage of applications are filed in the very high complexity art areas such as biotechnology, data processing, and telecommunications. These applications require more hours to examine than applications in the relatively less complex art areas such as general mechanical and chemical technologies. Therefore, the number of hours to examine the average of all applications has increased every year.

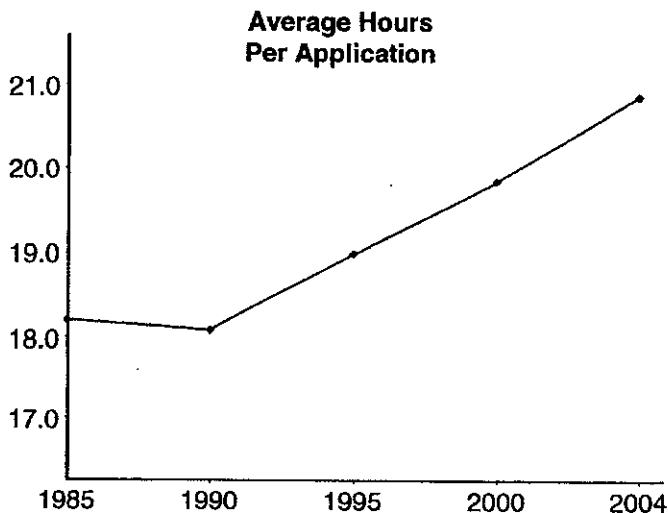
**Hours Per Application: Complex vs. Non-Complex**



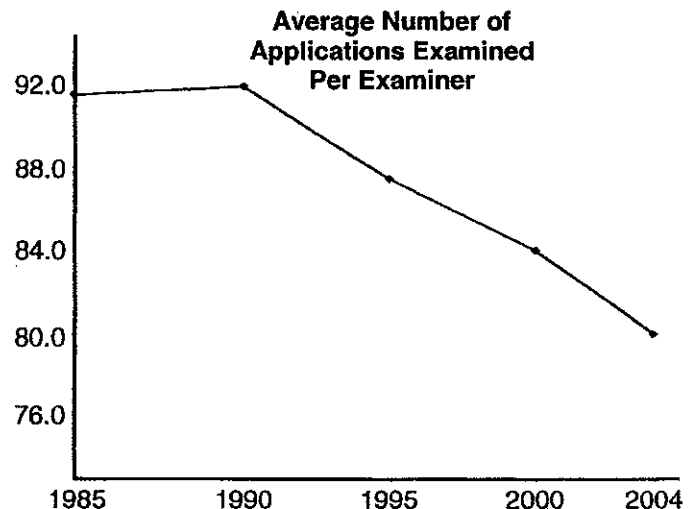
**1985 Filings**  
18.2 Hrs/Application



**2004 Filings**  
20.8 Hrs/Application

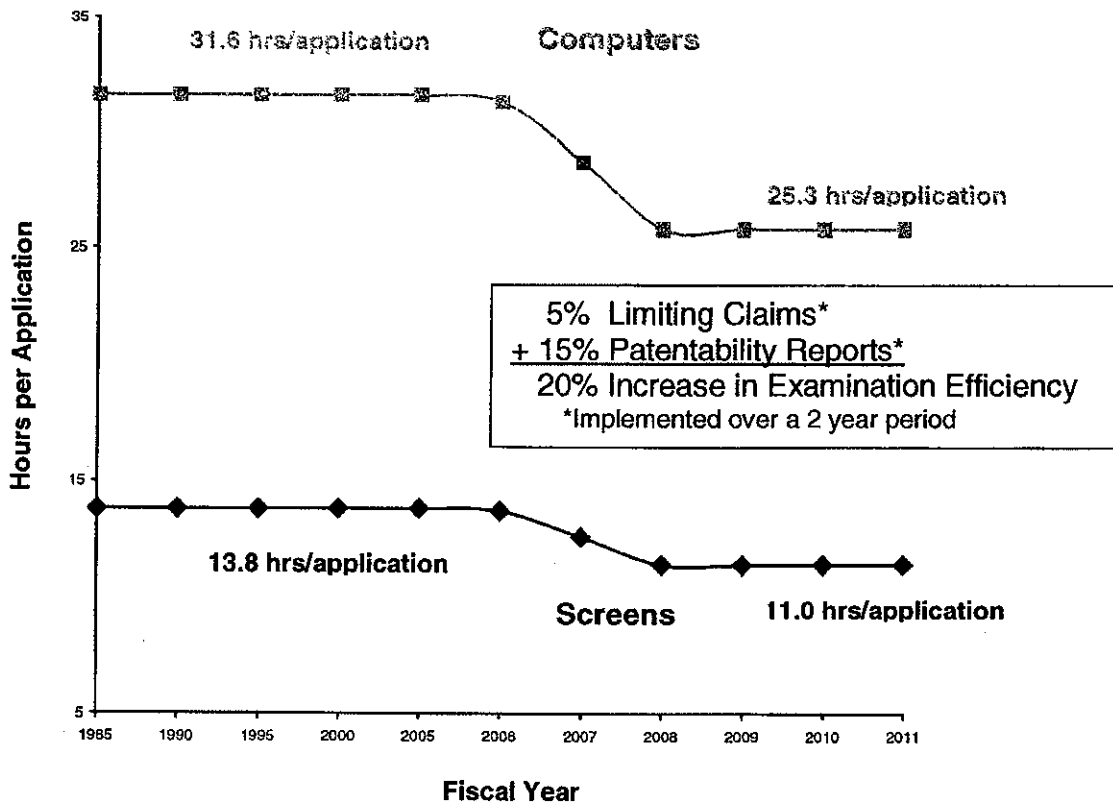


Higher percentage of complex applications means more hours required to examine the average of all applications



Higher hours required to examine average of all applications means fewer applications examined per fixed number of examining hours

A07139



A07140





# Productivity

<b>Productivity Gains</b>	
<b>Phased Productivity Initiatives</b>	<b>Cumulative Productivity</b>
Phase I: 1,000 Hires and Lower Attrition	0%
Phase II: Claims and Continuation Limits	5%
Phase III: Patentability Reports*	20%

\* Patentability Reports will provide the added benefit of increased quality, since the search function would be performed by those who know the technology best – applicants. This would be especially true in business methods and complex technologies such as biotechnology and computers where much of the prior art resides in non-patent literature.

A07143