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Extract from the Law Concerning the Costs of the German Patent and Trade Mark Office and of the Federal Patent Court (Patent Costs Law) of 13 December 2001 (Federal Law Gazette¹ I p. 3656)

last amended by

Article 4 of the Law of 31 July 2009 (Federal Law Gazette I p. 2521)

Section 1 Scope,

Authority to Prescribe by Statutory Order

(1) The fees of the German Patent and Trade Mark Office and the Federal Patent Court shall be payable in accordance with this law except where otherwise provided for by law. The Law on Court Costs (*Gerichtskostengesetz*) shall apply to costs in proceedings before the Federal Patent Court.

(2) The Federal Ministry for Justice may prescribe by statutory order, without requiring the approval of the Federal Council:

1. that expenses as well as administrative costs (fees and expenses for certificates, authentication, file inspection and information or other official acts) shall be collected in procedures before the German Patent and Trade Mark Office, in addition to the fees payable in accordance with this law, and
2. which modes of payment shall apply to the costs payable to the German Patent and Trade Mark Office and the Federal Patent Court (fees and expenses), and the provisions concerning the date of payment.

Section 2 Amount of Fees

(1) The fees shall be collected in accordance with the schedule of fees annexed to this law.

(2) Fees for actions and injunctions before the Federal Patent Court shall be based on the value in dispute. The amount of the fee shall be based on Sec. 34 of the Law on Court Costs. The minimum fee shall amount to EUR 121. For fixing the value in dispute the provisions of the Law on Court Costs shall apply *mutatis mutandis*. The provisions on the reduction of the value in dispute (Sec. 144 Patent Law and Sec. 26 Utility Model Law) shall apply *mutatis mutandis*.

Section 3 Due Date of the Fees

(1) The fees shall fall due upon filing an application, request, or upon performing another act or upon recording the respective declaration except where otherwise provided for by law. Within the meaning of this law, another act is in particular:

1. seeking legal remedies or lodging appeals;
2. a request for a court decision pursuant to Sec. 61 (2) of the Patent Law;
3. giving notice of intervention in opposition proceedings;
4. bringing an action;
5. the amendment of an application or of a request, if this leads to higher fees for the procedure or the decision.

The fee for the unsuccessful reprimand due to violation of the right to be heard shall be due upon notification of the decision.

For the assessment of the fee amount, an auxiliary request shall be added to the main request, insofar as a decision is made on the auxiliary request; if the main request and the auxiliary request concern the same subject matter, the amount of the fees shall only be assessed according to the request that leads to the higher fee. If the person filing the objection lodges an appeal under Sec. 64 (6), second sentence, Trade Mark Law, he does not have to pay an appeal fee.

(2) The annual fees for patents, protection certificates and patent applications and the renewal fees for trade marks as well as the maintenance fees for utility models and industrial designs shall be due for the respective following period of protection on the last day of the month bearing the same name as that month containing the anniversary of the date of the application. Where a utility model is registered only after the end of the first or a subsequent period of

¹ Bundesgesetzblatt (BGBl.)

protection, the maintenance fee shall be due on the last day of the month in which the entry into the register is published.

Section 4 Party Liable for Costs

(1) The following persons shall be liable for the payment of costs:

1. any person who initiates the official act or is the beneficiary of the act;
2. any person who is awarded the costs by a decision of the German Patent and Trade Mark Office or the Federal Patent Court;
3. any person who has assumed the costs in a declaration to the German Patent and Trade Mark Office or the Federal Patent Court or by a declaration communicated to the German Patent and Trade Mark Office or the Federal Patent Court;
4. any person who is liable for the costs of another person by act of law.

(2) Several parties liable for costs have joint and several liability.

(3) Insofar as a party is liable for costs under subsection (1) Nos. 2 and 3, another party shall only be held liable to pay costs where execution levied upon the movables of the first mentioned party has been attempted unsuccessfully or seems to have no prospect of success. If legal aid is granted to a party liable for costs under subsection (1) No. 2, no other party shall be held liable for costs. Amounts which have already been paid shall be reimbursed.

Section 5 Advance Payment

(1) In procedures before the German Patent and Trade Mark Office, processing should be carried out only after payment of the fee for the procedure and advance payments on publication costs; this shall also apply in case of requests that are amended. Sentence 1 shall not apply to the requests for transmittal of an application to the Office for Harmonization in the Internal Market (Trade Marks and Designs) under Sec. 125a Trade Mark Law, Sec. 62 Designs Law and the requests for transmittal of international applications to the International Bureau of the World Intellectual Property Organization (WIPO) under Sec. 68 of the Designs Law. In proceedings before the Federal Patent Court the service of the action shall be effected only after payment of the fee for the proceedings. Upon intervention in an opposition in appeal proceedings or intervention in an opposition in case of a court decision under Sec. 61 (2) Patent Law no judicial action should be performed before payment of the fee.

(2) Except where otherwise provided, payments of annual fees for patents, protection certificates and patent applications, the renewal fees for trade marks and the maintenance fees for utility models and industrial designs are allowed up to one year before the due date, at the earliest.

Section 6 Terms of Payment, Consequences of Non-payment

(1) If a time limit is prescribed by law for filing a request or for carrying out any other act, the fee shall also be paid within this time limit. All other fees shall be paid within three months from the due date (Sec. 3 (1)) except where otherwise provided for by law.

(2) If the full amount of the fee under subsection (1) is not paid or not paid in due time, the application or the request shall be deemed to have been withdrawn, or the act shall be deemed not to have been carried out, except where otherwise provided for by law.

(3) Subsection (2) shall not apply to transmittal fees (numbers 335 100, 344 100 and 345 100).

(4) If the person filing an objection fails to pay the fee for the objection procedure in time or fails to pay the full amount of this fee, the appeal lodged by him under Sec. 64 (6), second sentence, Trade Mark Law, shall be deemed to have been withdrawn.

Section 7 Terms of Payment for Annual Fees, Maintenance Fees and Renewal Fees for IP Rights, Late Surcharge

(1) The annual fees for patents, protection certificates and patent applications, the renewal fees for trade marks and the maintenance fees for utility models and industrial designs shall be paid up to the expiry of the second month after the due date. If the fee is not paid within the time limit under the first sentence, the fee can still be paid along with a late surcharge up to the expiry of the sixth month after the due date.

(2) If publication of the reproduction of industrial designs is deferred, the extension fee shall be paid within the period of deferment (Sec. 21 (1), first sentence, of the Designs Law).

(3) If the classification of a registered trade mark is altered upon renewal due to the alteration of the class division, resulting in the increase in class fees to be paid, arrears of the additional class fees can be paid even after the expiry of the time limit of subsection (1), if the renewal fee has been paid in due time. The time limit for late payment shall end after the expiry of the 18th month after the due date of the renewal fee. No late surcharge has to be paid.

Section 8 Assessment of Costs

- (1) The cost shall be assessed
1. at the German Patent and Trade Mark Office
 - a) upon filling an application;
 - b) upon filing a request;
 - c) upon intervention in the opposition proceedings;

- d) upon filing a request for a court decision pursuant to Sec. 61 (2) Patent Law; and
 - e) upon seeking a legal remedy or lodging an appeal;
2. at the Federal Patent Court
- a) upon bringing an action;
 - b) upon applying for an injunction;
 - c) upon intervention in an opposition in appeal proceedings or in proceedings pursuant to Sec. 61 (2) Patent Law; and
 - d) upon unsuccessful reprimand due to violation of the right to be heard;

even if they have accrued at the requested court or the requested authority.

(2) The authority which has assessed the costs shall also take the decisions under Sections 9 and 10.

Section 9 Incorrect Handling of a Matter

Costs, which would not have accrued if the matter had been handled correctly, shall not be charged.

Section 10 Refund of Costs, Abolition of Fee

(1) Fees paid in advance which will no longer become due and advance payments for costs not consumed shall be refunded. The refund of partial amounts of the annual fees, numbers 312 205 to 312 207 of the schedule of fees, shall be excluded.

(2) If an application or a request is deemed withdrawn (Sec. 6 (2)) or withdrawn on the basis of other legal provisions, or if an IP right lapses, due to non-payment of the fee or part of the fee, the fee shall not be applicable, if the act requested has not been carried out.

Section 11 Objection, Appeal

(1) The authority which has assessed the costs shall decide on objections of the party liable for costs regarding the assessment of costs or measures under Sec. 5 (1). It may change the decision *ex officio*. The objection shall be filed in writing or recorded at the registry of the authority that has assessed the costs.

(2) An appeal from the decision of the German Patent and Trade Mark Office on the objection may be filed by the party liable for costs. The appeal is not subject to a time limit and shall be filed in writing with the German Patent and Trade Mark Office or recorded at the registry of this office. If the German Patent and Trade Mark Office considers the appeal to be well founded it shall rectify its decision. If the appeal is not allowed it shall be remitted to the Federal Patent Court.

(3) The decisions of the Federal Patent Court on the assessment of costs shall not be subject to appeal.

Section 12 Limitation of Action; Payment of Interest

Sec. 5 of the Law on Court Fees shall apply *mutatis mutandis* to the limitation of action and the payment of interest regarding cost claims, and to the claims for reimbursement of costs.

Section 13 Application of the Previous Fee Rates

(1) Even after the entry into force of an altered fee rate the fee rates applicable prior to this date shall be applied,

1. if the fee was due before the entry into force of the altered fee rate, or
2. if a time limit has been fixed by law for the payment of a fee and the relevant event for the commencement of the time limit occurred before the entry into force of the altered fee rate, or
3. if the payment of a fee falling due after the entry into force of an altered fee rate was made under established advance payment schemes before the entry into force of the altered fee rate.

(2) The previous fee rates shall only remain applicable to examination requests under Sec. 44 of the Patent Law and search requests under Sec. 43 of the Patent Law, Sec. 11 of the Extension Law and Sec. 7 of the Utility Model Law, if the request and the fee payment were received before the entry into force of the altered fee rate.

(3) Where a fee falling due within three months from the entry into force of an altered fee rate is paid in due time according to the previous fee rates, the differential amount may be paid until the expiry of a time limit to be fixed by the German Patent and Trade Mark Office or the Federal Patent Court. Where the differential amount is paid within the fixed time limit, the fee shall be deemed to have been paid in due time. A late surcharge shall not be collected in these cases.

(4) Procedural acts which amend an application or a request shall not affect the amount of the fee, if the fee was not assessed on the basis of the extent of the request that initiated the procedure at the time of its initiation.

Section 14 Transitional Provision on Occasion of the Entry into Force of this Law

(1) The previous fee rates of the annex to Sec. 1 (Schedule of Fees) of the Law on Patent Fees of 18 August 1976², as amended by Article 10 of the Law of 22 December 1999³ (Federal Law Gazette I, p. 2534), shall be applicable even after 1 January 2002,

1. if the fee was due prior to 1 January 2002, or
2. if a time limit has been fixed by law for the payment of a fee and the relevant event for the commencement of the time limit occurred prior to 1 January 2002, or

² Official Gazette *Blatt für PMZ* 1976, p. 257 et seq.

³ Official Gazette *Blatt für PMZ* 2000, p. 1 et seq.

3. if the payment of a fee which shall fall due after 1 January 2002 was made prior to 1 January 2002 under established advance payment schemes.

If, in the cases provided for in the first sentence, No.1, the service of a fee notice is required for the time limit for payment to commence, and if it was not effected prior to 1 January 2002, the fee may still be paid until 31 March 2002.

(2) In cases in which, under the provisions heretofore in force only the annual fees, maintenance fees and extension fees for the industrial property right fall due on 1 January 2002, but not yet the late surcharges, the amount and due date of the late surcharge shall be governed by Sec. 7 (1) provided that the fees may still be paid until 30 June 2002 along with the late surcharge.

(3) The previous fee rates shall only remain applicable to industrial designs and type faces applied for prior to 1 January 2002 if, while the respective term of protection or time limit under Sec. 8b (2), first sentence, of the Designs Law expired before 1 January 2002, the time limit for paying the renewal or extension fees with a late surcharge has not yet expired, provided that the fees may still be paid until 30 June 2002 along with the late surcharge.

(4) The previous fee rates shall only remain applicable to examination requests under Sec. 44 of the Patent Law and search requests under Sec. 43 of the Patent Law, Sec. 11 of the Extension Law and

Sec. 7 of the Utility Model Law if the request and the fee payment were received prior to 1 January 2002.

(5) Where a fee falling due within three months from 1 January 2002 is paid in due time according to the previous fee rates, the differential amount may be paid until the expiry of a time limit to be fixed by the German Patent and Trade Mark Office or the Federal Patent Court. Where the differential amount is paid within the fixed time limit, the fee shall be deemed to have been paid in due time. A late surcharge shall not be collected in these cases.

Section 15 Transitional Provision on Occasion of the Entry into Force of the Designs Law

(1) In cases in which only the extension fees for industrial designs or type faces fall due on 31 May 2004, but not yet the late surcharge, the period for payment of the extension fee will be extended to the end of the period of deferment under Sec. 21 (1), first sentence, of the Designs Law. A late surcharge shall not be collected.

(2) In cases in which, on 31 May 2004, the extension fees for industrial designs or type faces can only be paid together with a late surcharge within the period of deferment of Sec. 8b of the Designs Law in the version applicable until the expiration of 31 May 2004, the period for payment shall be extended to the end of the period of deferment under Sec. 21 (1), first sentence, of the Designs Law.