

# PILOT PATENT VALUATION SUPPORT SCHEME

## APPLICATION FORM

This application form is available in both Chinese and English. Please submit the duly signed application form together with all necessary information and supporting documents to the Hong Kong Technology and Innovation Support Centre (“HKTISC”) either –

(a) electronically through [pvss\\_enquiry@hkpc.org](mailto:pvss_enquiry@hkpc.org); or

(b) by mail or in person to Hong Kong Technology and Innovation Support Centre, 3/F, HKPC Building, 78 Tat Chee Avenue, Kowloon, Hong Kong.

Additional pages may be attached to the form if necessary.

Ref. No.: \_\_\_\_\_

Reference

date: \_\_\_\_\_

(For official use only)

### PART A: INFORMATION OF THE APPLICANT

#### Particulars of the Applicant

Company name in English: \_\_\_\_\_

Company name in Chinese: \_\_\_\_\_

Business Registration No.: \_\_\_\_\_

Address of registered office: \_\_\_\_\_

Correspondence Address: \_\_\_\_\_

(if different from above) \_\_\_\_\_

Nature of Business\*<sup>1</sup>: ☐ I. Manufacturing ☐ II. Non-manufacturing

\* Please choose only (I) or (II).

No. of persons employed by the Applicant: \_\_\_\_\_

#### Contact Person of the Applicant

**Full Name** of contact person: \_\_\_\_\_

Position held: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Mobile No.: \_\_\_\_\_

Fax No.: \_\_\_\_\_

Email Address: \_\_\_\_\_

<sup>1</sup> Please refer to paragraph 7 of the Guide for Applicants.

**PART B: INFORMATION OF THE APPLICANT'S INTELLECTUAL PROPERTY APPLIED / REGISTERED / GRANTED IN HONG KONG (for eligibility checking)**

*Please provide the information of ONE intellectual property that the Applicant has applied for, registered or been granted in Hong Kong for eligibility checking.*

|                          |                     |                                          |       |
|--------------------------|---------------------|------------------------------------------|-------|
| <input type="checkbox"/> | Patent              | Hong Kong Application/ Patent No.:       | _____ |
| <input type="checkbox"/> | Trade Mark          | Hong Kong Application/ Registration No.: | _____ |
| <input type="checkbox"/> | Design              | Hong Kong Application/ Registration No.: | _____ |
| <input type="checkbox"/> | Plant Variety Right | Hong Kong Application/ Registration No.: | _____ |

**PART C: INFORMATION OF THE APPLICANT'S HONG KONG PATENT (for HKTISC to provide the qualitative patent evaluation report)<sup>2</sup>**

*If the Applicant wishes to value any Hong Kong patent(s) in force, please select one to fill in this Part. HKTISC will provide a qualitative patent evaluation report based on this patent to assist the valuer to conduct the quantitative valuation.*

Title of the invention:

\_\_\_\_\_

Hong Kong Patent no.:

\_\_\_\_\_

Type of patent:

- ☐ Hong Kong Standard Patent (O)
- ☐ Hong Kong Standard Patent (R)
- ☐ Hong Kong Short-Term Patent

- ☐ If the Applicant's Hong Kong patent is a Short-Term Patent, please tick this box to confirm that the patent has undergone substantive examination.

Technology area(s): (may choose more than one)

- |                                                     |                                                                        |
|-----------------------------------------------------|------------------------------------------------------------------------|
| <input type="checkbox"/> Life and Health Technology | <input type="checkbox"/> Artificial Intelligence (AI) and Data Science |
| <input type="checkbox"/> Advanced Manufacturing     | <input type="checkbox"/> New Energy Technologies                       |
| <input type="checkbox"/> Others (please specify):   | _____                                                                  |

<sup>2</sup> The patent provided in this Part will also be used for eligibility checking and preliminary assessment together with the patent provided in Part D.

**PART D: INFORMATION OF THE APPLICANT'S NON-HONG KONG PATENT (for preliminary assessment)<sup>3</sup>**

*If the Applicant wishes to value any non-Hong Kong patent(s) in force, please select one to fill in this Part for the purpose of conducting preliminary assessment under the Pilot Patent Valuation Support Scheme ("the Scheme").*

Title of the invention:

Country/ Territory in which the patent is granted and the corresponding patent no. :

☐ Chinese Mainland Patent No.: \_\_\_\_\_  
☐ Others (please specify): \_\_\_\_\_ Patent No.: \_\_\_\_\_

Type of patent:

☐ Chinese Mainland Invention or Utility Model Patent  
☐ Other non-Hong Kong Patent (please specify): \_\_\_\_\_

Technology area(s): (may choose more than one)

☐ Life and Health Technology ☐ Artificial Intelligence (AI) and Data Science  
☐ Advanced Manufacturing ☐ New Energy Technologies  
☐ Others (please specify): \_\_\_\_\_

**Important Note**

*The IP asset(s) provided in Parts B to D are for use by HKTISC to conduct eligibility checking / preliminary assessment / qualitative patent evaluation.*

*The Applicant may still commission a valuation service provider funded by this Scheme to conduct quantitative valuation of its other patents and IP assets **NOT** specified in these parts.*

<sup>3</sup> If no patent is provided in this Part, the patent provided in Part C will be used for preliminary assessment.

**PART E: ADDITIONAL INFORMATION RELATED TO PATENT (for conducting qualitative patent evaluation and / or preliminary assessment)**

*If Part C is completed, the information provided in Part E should relate to the patent specified in Part C. If Part C is not completed, the information provided in Part E should relate to the patent specified in Part D.*

| Counterpart <sup>4</sup> patent application(s)/ grant(s) |                                       |                    |                          |                |
|----------------------------------------------------------|---------------------------------------|--------------------|--------------------------|----------------|
| Country/ Territory:                                      | Counterpart patent application/ grant |                    | Application/ Patent No.: |                |
|                                                          | <input type="checkbox"/>              | Patent application | <input type="checkbox"/> | Patent granted |
|                                                          | <input type="checkbox"/>              | Patent application | <input type="checkbox"/> | Patent granted |
|                                                          | <input type="checkbox"/>              | Patent application | <input type="checkbox"/> | Patent granted |
|                                                          | <input type="checkbox"/>              | Patent application | <input type="checkbox"/> | Patent granted |

| Sales figures related to patent <sup>5</sup> |                                                       |                                |
|----------------------------------------------|-------------------------------------------------------|--------------------------------|
|                                              | From implementation to the end of last financial year | Within the last financial year |
| Units/quantities of goods sold               |                                                       |                                |
| Sales revenue (HKD)                          |                                                       |                                |
| Profits (HKD)                                |                                                       |                                |

| Market share related to patent <sup>6</sup>                                          |     |     |     |
|--------------------------------------------------------------------------------------|-----|-----|-----|
| Main geographic market:                                                              | (1) | (2) | (3) |
| Corresponding market share of each geographic market:                                | (1) | (2) | (3) |
| Other items or description related with market performance (no more than 500 words): |     |     |     |
|                                                                                      |     |     |     |
|                                                                                      |     |     |     |
|                                                                                      |     |     |     |
|                                                                                      |     |     |     |

<sup>4</sup> Counterpart patent applications/grants mean all the patent applications/grants which share common priority with the patent specified in Part C or D, or which disclose and claim the same invention that is the subject matter of the patent specified in Part C or D.

<sup>5</sup> Please fill in sales figures relating to the patent specified in Part C or D and its counterpart patents/patent applications.

<sup>6</sup> Please fill in market share of the product relating to the patent specified in Part C or D and its counterpart patents/patent applications.

**PART E: ADDITIONAL INFORMATION RELATED TO PATENT (continued)**

| Details of patent licensing <sup>7</sup>  |          |                        |                                                            |                                                 |                                                 |
|-------------------------------------------|----------|------------------------|------------------------------------------------------------|-------------------------------------------------|-------------------------------------------------|
| Patent application number / patent number | Licensee | Licensing amount (HKD) | Licensing income till the end of last financial year (HKD) | Whether owner is excluded from using the patent | Licence (licensing agreement) registered or not |
|                                           |          |                        |                                                            |                                                 |                                                 |
|                                           |          |                        |                                                            |                                                 |                                                 |
|                                           |          |                        |                                                            |                                                 |                                                 |

| Details of patent assignment <sup>8</sup> |          |          |                                                             |                              |
|-------------------------------------------|----------|----------|-------------------------------------------------------------|------------------------------|
| Patent application number / patent number | Assignor | Assignee | Assignment income till the end of last financial year (HKD) | Assignment registered or not |
|                                           |          |          |                                                             |                              |
|                                           |          |          |                                                             |                              |
|                                           |          |          |                                                             |                              |

| Details of patent financing and insurance <sup>9</sup> |              |         |
|--------------------------------------------------------|--------------|---------|
| Patent application number / patent number              | Amount (HKD) | Details |
|                                                        |              |         |
|                                                        |              |         |
|                                                        |              |         |

<sup>7</sup> Please fill in the details of licences of the patent specified in Part C or D and its counterpart patents/patent applications.

<sup>8</sup> Please fill in the details of assignment of the patent specified in Part C or D and its counterpart patents/patent applications.

<sup>9</sup> Please fill in the details of financing and insurance relating to the patent specified in Part C or D and its counterpart patents/patent applications.

**PART E: ADDITIONAL INFORMATION RELATED TO PATENT (continued)**

| <b>Details of litigation, arbitration, or other legal proceedings affecting the patent specified in Part C or D or its counterpart patents or applications (e.g. infringement, revocation, invalidation and amendment)</b> |                                                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| Patent application number / patent number                                                                                                                                                                                  | Details of the proceedings and the parties involved |
|                                                                                                                                                                                                                            |                                                     |
|                                                                                                                                                                                                                            |                                                     |
| <b>The number and diversity of technical fields applicable to the patent</b>                                                                                                                                               |                                                     |
| Description: No more than 100 words.                                                                                                                                                                                       |                                                     |
| <b>Development stage of the patented technology<br/>(for example, conceptualisation, preliminary testing, product optimisation, or commercialisation)</b>                                                                  |                                                     |
| Description: No more than 100 words.                                                                                                                                                                                       |                                                     |
| <b>Award(s) and other achievements related to the patent</b>                                                                                                                                                               |                                                     |
| Patent application number / patent number                                                                                                                                                                                  | Details of the award(s) and other achievements      |
|                                                                                                                                                                                                                            |                                                     |
|                                                                                                                                                                                                                            |                                                     |
|                                                                                                                                                                                                                            |                                                     |
|                                                                                                                                                                                                                            |                                                     |

## **PART F: LIST OF SUPPORTING DOCUMENTS**

**1. The Applicant must submit a copy of each of the following documents as attachment(s) to the Application Form: -**

- (a) Certificate of Incorporation or, where applicable, Certificate of Re-domiciliation issued by the Companies Registry of the Government of the Hong Kong Special Administrative Region (“**the Government**”);
- (b) the latest Business Registration Certificate issued by the Inland Revenue Department of the Government;
- (c) the latest Annual Return (Form NAR1), or the Incorporation Form (Form NNC1) if the Applicant is a newly established company, or the re-domiciliation form if the Applicant is a newly re-domiciled company; and
- (d) all Notice(s) or Certificate(s) of Change of Company Name (if any) of the Applicant.

**2. The Applicant must submit a copy of the latest payment receipt of the required renewal fee or patent annuity for the patent(s) listed in Part D of this application form.**

**3. For verification of information provided in Part E of the Application Form, the Applicant should, where applicable, provide the following supporting documents to facilitate our preliminary assessment and preparation of the qualitative patent evaluation report: -**

- (a) Copies of supporting documents (e.g. audited report or invoices) showing the sales figures of the Applicant;
- (b) Copies of the documents (e.g. registration records or agreements) showing the details of patent licensing, assignment, pledge financing, insurance, or other transaction activities, of the selected patent or its counterpart patents/applications, if any;
- (c) Copies of documents showing the latest results/legal status and compensation status of any legal proceedings, including litigation and arbitration, related to the selected patent, if any; and
- (d) Other supporting documents showing the commercial application and recognition of the selected patent (e.g. I&T related awards, press release regarding outstanding breakthrough or contribution, photographs showing successful application of the patented invention in the industry, etc.).

☐ I/We have understood the above and provided the supporting documents set out in this Part F.

**IMPORTANT NOTES**

**1. General Notes:**

- (a) By submitting this form, you will be treated as having given consent to the HKTISC, the Hong Kong Productivity Council (“HKPC”) and the Government of the Hong Kong Special Administrative Region (“the Government”) to copy or communicate any information provided in this form to any party who assists or supports HKTISC, HKPC and the Government in performing its functions under the Scheme.
- (b) This form must be signed and dated.

**2. Use of personal data:**

- (a) Personal data provided in this form and any supporting document will be used by HKTISC, HKPC and the Government for the purposes set out in the Privacy Policy of HKTISC (see “Collection of Personal Data”, “Use of Personal Data”, “Disclosure of Personal Data” and “Personal Information Collection Statement”) at <https://hktisc.hkpc.org/index.php/privacy-policy> (“Privacy Policy”). In particular, such data will be collected and used for the purposes of administrating the Scheme, determining the eligibility of applicants, assessing the funding applications, arranging disbursement of funding, providing the qualitative patent evaluation service and all other purposes directly related to or incidental to the above. The provision of personal data is voluntary. However, if you do not provide sufficient information, it may affect the processing of your application and the result of the qualitative patent evaluation service provided by HKTISC.
- (b) The personal data provided in this form and any supporting document will be kept confidential. However, HKTISC, HKPC and/or the Government may provide such data to other parties when necessary. For details, please refer to “Disclosure of Personal Data” in the Privacy Policy.
- (c) You have a right to access and correct the personal data provided in this form and any supporting document. For details, please refer to “Access to and Correction of Personal Data” in the Privacy Policy.
- (d) DO NOT include in this form and any supporting document any irrelevant or unnecessary personal data (whether yours or others).

**3. Use of other information:**

- (a) Other information, including those relating to any business enterprise or entity provided in this form and any supporting document for the application will also be used by HKTISC, HKPC and/or the Government for the purposes as referred to in paragraph 2(a) above.
- (b) Such information collected by HKTISC, HKPC and/or the Government may, in full or part, also be disclosed as set out in paragraph 2(b) above.

## **DECLARATION**

I/ We, the undersigned, as the director/authorized representative<sup>10</sup> of the Applicant, hereby declare that (please check the boxes for declaration):

- ☐ 1. I/ We have read and fully understood all information set out in the (i) Guide for Applicants, (ii) Guide for Grantees and Valuation Service Providers, and (iii) this form (together, the “Scheme Documents”). I/ We agree to comply with, and shall ensure that the Applicant shall comply with the Scheme Documents as may be issued and amended by the Government/HKTISC from time to time.
- ☐ 2. I/We understand that the Scheme adopts a 1 (Government): 1 (eligible local SME) matching grant model. I/ We are aware that if this application is approved, the Applicant shall be responsible for providing its own corresponding portion of funding.
- ☐ 3. I/ We certify that all the information provided in this form is true, complete and accurate. I/ We are aware that the Government/HKTISC will rely on the information provided by me/ us to determine the eligibility and conduct qualitative patent evaluation if applicable. In the event that any information is found untrue, incomplete or inaccurate, the Government/HKTISC reserves the right to revoke its approval of any application, request for refund to the Government of any payment already made, and subject the case to legal proceedings. I/We understand that the application may not be processed if insufficient information is provided. I/ We also acknowledge that any omission/misrepresentation of information with a view to obtaining pecuniary advantage by deception is an offence and is liable to legal proceedings. I/ We and the Applicant undertake to refund the Government of any payment made to the Applicant upon demand by the Government/HKTISC.
- ☐ 4. I/ We confirm that the Applicant is a small-medium enterprise as defined in the Scheme Documents.
- ☐ 5. If this application is approved, I/ we undertake to procure that the Applicant will commission a valuation service provider in accordance with the Guide for Grantees and Valuation Service Providers to provide quantitative valuation service in relation to the intellectual property assets of the Applicant. I/ We also undertake that we will obtain and submit quotations and apply for reimbursements of expenses for the quantitative valuation in accordance with the procedures set out in the Guide for Grantees and Valuation Service Providers.
- ☐ 6. I/ We acknowledge that no agency or employment relationship between the Government and the Applicant will be resulted in connection with or arising from the Scheme. The Applicant shall not represent itself and shall ensure that none of its employees, servants or agents shall represent itself as an employer, employee, servant, agent or partner of the Government.
- ☐ 7. I/ We authorize HKTISC, HKPC and the Government to handle the personal data and other information provided in relation to this application in accordance with the Scheme Documents, including to copy or communicate all the information provided to any third party (in or outside Hong Kong) who assists or supports HKTISC, HKPC and the Government in performing its functions under the Scheme and to contact other departments of the Government and relevant parties or organisations to verify the truth of data provided in the application where necessary.

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<sup>10</sup> Please delete whichever does not apply.

☐ 8. I/We understand and agree that, HKTISC, HKPC and the Government disclaim any liability for any loss or damage if any application material or supporting document submitted via e-mail or hard copy is received by any person who is not the intended recipient. E-mail transmissions cannot be guaranteed to be completely secure, error or virus free. No responsibility is accepted by the HKTISC, HKPC and the Government for any loss or damage arising in any way from receipt or use thereof.

☐ 9. I/ We understand that I/ we and the Applicant shall observe the Prevention of Bribery Ordinance (Cap. 201) (“**PBO**”) and shall procure that I/ we and the directors, employees, agents, suppliers, consultants, contractors and other personnel of the Applicant shall not offer to or solicit or accept from any person any advantages, including money, gifts, loan etc. (as defined in the PBO) in relation to the application. The Government/HKTISC shall be entitled to withhold, suspend and/ or terminate the application immediately, and revoke an approved application and request for refund to the Government of any payment already made, if I/ We or the Applicant commit an offence under the PBO in relation to the application, and I/ we shall be held liable for any loss or damages the Government may thereby sustain.

☐ 10. I/ we and the Applicant undertake to comply with all applicable laws (including the Law of the People’s Republic of China on Safeguarding National Security in the Hong Kong Special Administrative Region and the Safeguarding National Security Ordinance), regulations and by-laws of Hong Kong.

☐ 11. I/We understand and agree that the Government/HKTISC may at any time revoke an approved application or terminate any funding with immediate effect and I/we must immediately refund all or any payment already made to the Government on the occurrence of any of the following events:

- (i) I/We or the Applicant or the valuation service provider commissioned by the Applicant has engaged or is engaging in acts or activities that are likely to constitute or cause the occurrence of offences endangering national security or which would otherwise be contrary to the interest of national security;
- (ii) the continued provision of the funding to the Applicant or continued engagement of the valuation service provider commissioned by the Applicant is contrary to the interest of national security; or
- (iii) the Government reasonably believes that any of the events mentioned in paragraphs (i) to (ii) above is about to occur.

☐ 12. I/We understand and agree that a qualitative patent evaluation report based on the national standard will be provided by HKTISC (“**HKTISC Report**”) in respect of my/our patent specified in Part C. I/We understand and agree that all information and analysis presented in the HKTISC Report are for general information and reference only and shall not be construed as a substitute for formal legal advice. The HKTISC Report does not constitute any guarantee of revenues associated with the patent, nor does the HKTISC Report impose any obligations in relation to any agreement or pricing. I/We understand and agree that a copy of the HKTISC Report will be forwarded to the valuation service provider commissioned by the Applicant under the Scheme for reference.

☐ 13. I/We understand and agree that no express or implied warranty is given by the Government/HKTISC as to the accuracy of the information and analysis contained in the HKTISC Report. For example, the data, information and evaluation results in the HKTISC Report may become outdated or inaccurate over time. While reasonable efforts have been made to ensure their accuracy, the Government/HKTISC will not have or accept any liability (including liability for negligence), obligation or responsibility for any mistakes, omissions, errors, or inaccuracies in the information or the evaluation results provided in the HKTISC Report, nor for

any loss or damage whatsoever arising from any cause whatsoever in connection with such data, information or evaluation results (if applicable).

☐ 14. I/We understand and agree that the HKTISC Report may contain data or materials contributed by third parties. Unless explicitly stated otherwise, the provision of any such data or materials by the third parties shall not constitute any form of cooperation or affiliation with the Government/HKTISC of any such third parties. Provision of such data or materials contributed by third parties in the HKTISC Report gives rise to no statement, representation or warranty, express or implied, that the Government/HKTISC agrees or does not disagree with the contents of any such data or materials (if applicable).

☐ 15. I/We understand and agree that the language of the HKTISC Report will follow the language in which the specification of the patent specified in Part C was published in the Register of Patents.

☐ 16. I/We understand and agree that if the Applicant fails to meet any specified response timeline requested by HKTISC or the Government, the application will be deemed withdrawn.

17. I/ We hereby declare and confirm that:

- ☐ The Applicant has **never** received any prior funding under the Scheme.
- ☐ The Applicant has never received any other sources of funding support from the Government for the valuation to be conducted under the Scheme, and is not applying for other funding support for such valuation from the Government at the time of filing this application.
- ☐ The Applicant agrees to pay HKTISC the fees for conducting the qualitative patent evaluation service<sup>11</sup>, if the Applicant **fails to** commission a valuation service provider under the Scheme within 4 months from the date of issuance of the funding grant letter.

18. I/ We hereby declare and confirm that: (Please tick the box as appropriate)

- ☐ The applicant is NOT owned and/or controlled by a current HKPC Council Member or his/her associate or associated person at the time of filing application.
- ☐ The applicant is owned and/or controlled by a current HKPC Council Member or his/her associate or associated person at the time of filing application. The full name of such HKPC Council Member is provided below:

[Full Name of Council Member]

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Signed by the authorized signator(ies) for and on behalf of the Applicant:

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<sup>11</sup> The reference service fees for conducting the qualitative patent evaluation service for a Hong Kong standard patent (O), Hong Kong standard patent (R) and Hong Kong short-term patent with substantive examination are HKD 15,000, HKD 30,000 and HKD 30,000 for each patent respectively. The final price will be subject to confirmation for each case.

Name and company chop of the Applicant:

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Name(s) and title(s) of the authorized signator(ies):

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Date: