

CERTIFICATION OF MICRO ENTITY STATUS

(Gross Income Basis)

Form PTO/SB/15A (07-21)

Docket Number: RUTHERFORD-017-PROV

Application Number: To be assigned

Filing Date: [Current Date]

First Named Inventor: Brian James Rutherford

Title: Culturally-Adaptive Differential Privacy System with Federated Learning for Multi-Jurisdictional Threat Intelligence Sharing Among Defensive AI Agent Networks

CERTIFICATION OF MICRO ENTITY STATUS UNDER 37 CFR 1.29(a) or (d) - GROSS INCOME BASIS

I hereby certify that:

☒ **The applicant qualifies as a micro entity as defined in 37 CFR 1.29(a) because:**

(1) Qualifying as Small Entity

☒ The applicant qualifies as a small entity as defined in 37 CFR 1.27

(2) Application Filing Limit

☒ Neither the applicant nor the inventor nor a joint inventor has been named as the inventor or a joint inventor on more than four previously filed U.S. patent applications, excluding:

- Provisional applications under 35 U.S.C. 111(b)
- International applications for which the national stage fee was not paid
- Applications for which the inventor was not an inventor under 35 U.S.C. 116
- Applications assigned to a previous employer

(3) Gross Income Requirement

☒ Neither the applicant nor the inventor nor a joint inventor had a gross income (as defined in section 61(a) of the Internal Revenue Code) exceeding the "Maximum Qualifying Gross Income" in the calendar year preceding the calendar year in which this certification is executed.

Current Maximum Qualifying Gross Income: \$223,740 (for 2024)

☒ I certify that my gross income in calendar year 2023 did not exceed \$223,740

(4) Assignment Prohibition

☒ Neither the applicant nor the inventor nor a joint inventor has assigned, granted, or conveyed, nor is under an obligation by contract or law to assign, grant, or convey, a license or other ownership interest in the application to an entity that, in the calendar year preceding the calendar year in which this certification is executed, had a gross income exceeding the "Maximum Qualifying Gross Income."

APPLICANT INFORMATION

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Entity Status: Individual Inventor

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DECLARATION

I acknowledge that:

1. The fee reduction pursuant to 35 U.S.C. 41(h)(1) is 75% of the applicable fee amount
 2. A micro entity certification must be filed for each application in which micro entity status is appropriate and desired
 3. I must notify the USPTO of any change in micro entity status before, at the time of, or within three months of paying any fee after the occurrence of an event causing loss of entitlement to micro entity status
 4. False statements are punishable by fine or imprisonment under 18 U.S.C. 1001
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SIGNATURE

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signature: /Brian James Rutherford/

Name: Brian James Rutherford

Date: [Current Date]

Title: Inventor/Applicant

NOTES FOR USPTO

- This certification establishes micro entity status for the provisional patent application
 - The 75% fee reduction applies to the basic filing fee
 - No additional certifications required unless status changes
 - Valid for all fees paid while micro entity status is maintained
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WARNING: Fraudulent assertion of micro entity status is subject to sanctions under 37 CFR 1.29(i)