

CERTIFICATION OF MICRO ENTITY STATUS

(Gross Income Basis)

37 CFR 1.29(a)

Application Number: [TO BE ASSIGNED]

Filing Date: [CURRENT DATE]

First Named Inventor: Brian James Rutherford

Attorney Docket No: RUTHERFORD-013_PROV

Title of Invention:

Federated Quantum Threat Intelligence Network with Privacy-Preserving Multi-Organization Protocols, Zero Trust Architecture, Quantum-Verified Incident Response with Optimized Latency, and Quantum Homomorphic Encryption

CERTIFICATION OF MICRO ENTITY STATUS

I hereby certify that I qualify for micro entity status as defined in 37 CFR 1.29(a) and as set forth in 35 U.S.C. 123(a) for the purpose of paying reduced fees to the United States Patent and Trademark Office.

REQUIREMENTS FOR MICRO ENTITY STATUS - GROSS INCOME BASIS

I certify that ALL of the following are true:

☒ **REQUIREMENT 1: Small Entity Status**

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

☒ **REQUIREMENT 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 basic national fee under 35 U.S.C. 41(a) was not paid
- Applications resulting from prior employment where the applicant was obligated to assign rights to a previous employer

Number of previously filed applications (non-provisional): 0

☒ **REQUIREMENT 3: Gross Income Limit**

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 three times the median household income for the preceding calendar year.

Current 3x Median Household Income Limit (2024): Approximately \$229,000

I certify my gross income did not exceed this limit

☒ **REQUIREMENT 4: Assignment/License Restrictions**

Neither the applicant nor the inventor nor a joint inventor has:

- Assigned, granted, or conveyed a license or other ownership interest in the application
 - Is under an obligation by contract or law to assign, grant, or convey such interest to an entity that had a gross income exceeding three times the median household income
-

SPECIFIC CERTIFICATIONS

I hereby certify that:

1. **Small Entity Qualification:** I first qualify as a small entity under 37 CFR 1.27
 2. **Previous Applications:** I have been named as inventor on **0** previously filed non-provisional U.S. patent applications (excluding provisionals and foreign applications)
 3. **Gross Income:** My gross income in the preceding calendar year (2023) did not exceed three times the U.S. median household income
 4. **No Disqualifying Assignments:** I have not assigned, granted, conveyed, or licensed (and am not obligated to assign, grant, convey, or license) any rights in this invention to any entity that would not qualify for micro entity status
 5. **Continuing Obligation:** I acknowledge my continuing obligation to notify the USPTO of any change in my entitlement to micro entity status
-

ACKNOWLEDGMENTS AND WARNINGS

1. **Notification Requirement:** I understand that I must file a notification of loss of entitlement to micro entity status (37 CFR 1.29(i)) if I no longer meet all requirements for micro entity status BEFORE paying any fee at other than the micro entity rate.
2. **False Statements:** I acknowledge that any false statement in this certification is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

3. **Patent Validity:** I understand that fraudulent assertions of micro entity status may jeopardize the validity of the patent or any patent issuing from this application.
 4. **Fee Recovery:** I understand that if micro entity status is erroneously claimed, any deficiency owed must be paid with a surcharge under 37 CFR 1.29(k).
-

VERIFICATION STATEMENT

I have reviewed the requirements for micro entity status as set forth in 35 U.S.C. 123 and 37 CFR 1.29. I understand that any person who knowingly makes a false, fictitious, or fraudulent statement or representation in this certification is subject to criminal penalties under 18 U.S.C. 1001.

I have made a good faith determination that I meet ALL requirements for micro entity status based on:

- Review of my gross income for the preceding calendar year
 - Verification of my patent application filing history
 - Confirmation of no disqualifying assignments or obligations
-

SIGNATURE

By signing below, I certify under penalty of perjury that all statements made herein are true and correct to the best of my knowledge and belief:

Signature: /Brian James Rutherford/

Name: Brian James Rutherford

Title: Inventor/Applicant

Date: [CURRENT DATE]

Telephone: (512) 648-0219

Email: Actual@ScrappinR.com

FEE REDUCTION

Standard (Large Entity) Fee: \$300.00

Small Entity Fee (50% reduction): \$150.00

Micro Entity Fee (75% reduction): \$75.00

Fee Savings by Claiming Micro Entity Status: \$225.00

IMPORTANT NOTES

1. **Income Limit Updates:** The gross income limit is indexed to the median household income and changes annually. Check current limits at [USPTO.gov](https://www.uspto.gov).
 2. **Application Count:** Provisional applications do NOT count toward the 4-application limit.
 3. **Joint Inventors:** ALL inventors must meet micro entity requirements.
 4. **Loss of Status:** You must notify the USPTO BEFORE paying any fee if you lose micro entity status.
 5. **Verification:** The USPTO may require additional documentation to verify micro entity status.
-

END OF MICRO ENTITY CERTIFICATION