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Geneva 20, Switzerland  
World Intellectual Property  
Organization(WIPO)International Bureau

NOTIFICATION OF EX OFFICIO PROVISIONAL REFUSAL  
TO THE INTERNATIONAL BUREAU OF WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)  
UNDER RULE 17(1) OF THE COMMON REGULATIONS

**1. Office Making the Notification:**

Korean Intellectual Property Office (KIPO)  
189 Cheongsa-ro, Seo-gu, Daejeon Metropolitan City, 35208, Republic of Korea

**2. International Registration Number (Date of Registration/Subsequent Designation):**

1387286 (04/08/2017)

**3. Name and Address of the Holder:**

Johnson Controls Technology Company  
2875 High Meadow Circle Auburn Hills MI 48326-2773 United States of America

**4. Goods/Services Affected by this Provisional Refusal:**

All the designated goods/services

※ Please note that there is no provision in the Korean Trademark Act allowing the examiner to delete Ex Officio the designated goods/services refused by the ground(s) for the Provisional Refusal and to grant protection for the remaining goods/services.

**5. Grounds for the Decision:**

- Lack of distinctiveness
- Conflict with another person's earlier application(s) and/or registration(s)
- Vagueness and/or broadness of the designated goods/services
- Unconformity to "a single application for a single trademark rule"
- Other grounds

※ Please refer to item 9 for the details

**6. Provisions of the Korean Trademark Act applicable to the Grounds:**

Article 34(1)(vii)

**7. Date on which the Provisional Refusal was pronounced (Time Limit):**

21/09/2018(21/11/2018)

## 8. Guidance as to Future Procedure:

1. Where the holder receives this notification, the protection of the international registration is to be refused as a whole unless the holder submits to KIPO, through a representative whose address is in the Republic of Korea, a written opinion (amendment) within two months from the date on which this provisional refusal was pronounced. The holder may also submit to the International Bureau MM6 (Request for the Recording of a Limitation of the List of Goods/Services) within the above time limit.
2. Regarding the time limit, the holder may request the extension of time to submit a written opinion (amendment) to KIPO. The extension will be granted twice for a period of one month, respectively. This request should be made within the given time limit through the above representative.
3. If a request for Limitation is presented to the International Bureau so as to get over the ground for refusal mentioned below, we wish that it could also be informed by e-mail (kipomadrid@korea.kr) at the same time for your convenience.

## 9. Details of the Provisional Refusal:

The examiner refuses registration because the the proposed mark is identical with or similar to other person's registered marks (see below) which were applied for registration in the Republic of Korea prior to the international registration date of the proposed mark, and some designated goods are related to those of the earlier marks. Trademark Act, Article 34(1)(vii).

In this case, the proposed mark "**PENN**" is identical with or similar – in sound and meaning – to the earlier marks presented below.

However, this ground for refusal could be reviewed if the applicant deletes the refused goods/services listed below (the underlined goods/services).

Information concerning the earlier mark (1)

- Filing number : 4019810004460

- Filing date : 19/05/1981

- Korean registration number : 4000835660000

- Korean registration date : 25/08/1982

- Name and address of the owner : Johnson Controls Inc  
5757 North Greenbay Avenue, WI 53201, USA

- Goods/services :

[Class 09] 항온기,항습기,온도자동조절기계기구,압력자동조절기계기구,액체자동조절기계기구,액면  
자동조절기계기구,프로그램조절기계기구,

- Reproduction of the mark:

# PENN

\* Goods/Services of the proposed mark refused under this ground:

[Class 09] Thermostats; temperature controllers for refrigerators, freezers, walk-in coolers, HVAC systems, boilers, and cooling tower sump heaters; temperature sensors; humidity sensors; electric sensors; automatic pressure control instruments; pressure sensors; refrigerant leak detectors; electric relays; electrical transformers; automatic electric switches; solenoid valves; climate control systems consisting of a digital thermostat, pressure, and humidity controller for use with refrigeration systems, HVAC systems, and for industrial use; electronic controllers for refrigeration and HVAC systems; single-phase condenser electronic speed controllers for fans for refrigerator and air conditioning units; variable electronic speed drive controllers for HVAC and refrigerator units.

Information concerning the earlier mark (2)

- Filing number : 4020160108561

- Filing date : 05/12/2016

- Korean registration number : 4012622620000

- Korean registration date : 20/06/2017

- Name and address of the owner : IDIS CO., LTD.

8-10, Techno 3-ro, Yuseong-gu, Daejeon, 34012, Republic of Korea

- Goods/services :

[Class 09] CCTV 카메라,감시 카메라,무선 CCTV 카메라,CCTV용 모니터,CCTV용 컴퓨터,네트워크 크로 연결된 디지털 비디오 저장서버,네트워크 데이터저장장치,데이터 입력/출력/송신 및 저장용 장치,디지털 비디오 레코더,보안/감시 데이터의 기록/재생/전송용 장치,

- Reproduction of the mark:

# FEN

\* Goods/Services of the proposed mark refused under this ground:

[Class 09] Thermostats; temperature controllers for refrigerators, freezers, walk-in coolers, HVAC systems, boilers, and cooling tower sump heaters; temperature sensors; humidity sensors; electric sensors; automatic pressure control instruments; pressure sensors; refrigerant leak detectors; electric relays; electrical transformers; automatic electric switches; solenoid valves; climate control systems consisting of

a digital thermostat, pressure, and humidity controller for use with refrigeration systems, HVAC systems, and for industrial use; electronic controllers for refrigeration and HVAC systems; single-phase condenser electronic speed controllers for fans for refrigerator and air conditioning units; variable electronic speed drive controllers for HVAC and refrigerator units.

Information concerning the earlier mark (3)

- Filing number : 4019940029838
- Filing date : 26/07/1994
- Korean registration number : 4003702900000
- Korean registration date : 24/07/1997
- Name and address of the owner : FAN Separator GmbH  
5 Bernecker Str. 5, 95509 Marktschorgast, Germany

- Goods/services :

[Class 07] 분리기(농업용/종이와 펄프제조용/식품처리산업용/바이오 연료산업용/도축업용), 물분리기, 압착기, 압착롤러, 원심분리기(수력), 도르래(기계부품용), 여과용 기계, 공업용 프레스, 기계프레스, 수압프레스, 유압프레스, 필터프레스, 퇴비제조기계, 건조기{농업용}, 섬유건조기, 섬유열풍건조기, 절단기{기계}, 혼합기, 가스화장치(고체고형분용),

[Class 11] 물여과장치, 공기건조기,

- Reproduction of the mark:



\* Goods/Services of the proposed mark refused under this ground:

[Class 7] all designated goods

Information concerning the earlier mark (4)

- International registration number : 827511
- Priority date : CN/3664150/07/08/2003
- Priority date : CN/3718892/16/09/2003
- International registration date : 20/12/2003
- Korean registration date : 30/12/2005
- Name and address of the owner : XINRUIJIAN SCIENCE & TECHNOLOGY (SHENZHEN) CO., LTD  
Block 1st, Sanwei Industrial District, Xixiang, Baoan, Shenzhen 518126 Guangdong China

- Goods/services :

[Class 09] Mouses, Mouse pads, Computer memories, Disk drives (for computers), Wrist rests for use with computers, Juke boxes(for computers), Printers for use with computers, Computer keyboards, Scanners, Computers, Notebook computers, Laptop computers, Photo-copying machines, Unprocessed DVD, Navigation apparatus for vehicles (on-board computers), Simulators for the steering and control of vehicles, Phototelegraphy apparatus, Slide projectors, Deposit

apparatus for laboratories

[Class 11] Hair driers (dryers), Laundry dryers, Drying apparatus for fodder and forage, Drying apparatus for chemical processing, Ventilators, Fans for ventilators, Gas boilers, Gas stoves, Boilers for household purposes, Hearths, Dampers for heating, Warming pans, Radiator caps, Radiators, Petroleum stoves, Coal stoves, Heaters for instant hot water, Hot-air heating apparatus, Air heating furnaces, Water heaters, Hot-water heating apparatus, Steam heating equipment, Fire pots, Air-conditioning installations, Ventilations cabinets, Air-conditioning installations fans, Fans(parts of air conditioning installations)

- Reproduction of the mark:



\* Goods/Services of the proposed mark refused under this ground:

[Class 09] Thermostats; temperature controllers for refrigerators, freezers, walk-in coolers, HVAC systems, boilers, and cooling tower sump heaters; temperature sensors; humidity sensors; electric sensors; automatic pressure control instruments; pressure sensors; refrigerant leak detectors; electric relays; electrical transformers; automatic electric switches; solenoid valves; climate control systems consisting of a digital thermostat, pressure, and humidity controller for use with refrigeration systems, HVAC systems, and for industrial use; electronic controllers for refrigeration and HVAC systems; single-phase condenser electronic speed controllers for fans for refrigerator and air conditioning units; variable electronic speed drive controllers for HVAC and refrigerator units.

10. Official Seal or Signature by the Office:

KIPO Examiner YOU, Bo Hyun 

<< Information >>

If the holder has any questions or needs assistance in responding to this notification, please contact the examiner.

E-mail: kipomadrid@korea.kr, telephone: (82) (42) 481 5149 or Fax: (82) (42) 472 3507

# Extract from the Korean Trademark Act

## Article 3 Persons Entitled to Registration of Trademark

(1) Any person who uses or intends to use a trademark in the Republic of Korea may obtain registration of his/her trademark: Provided, That no employee of the Korean Intellectual Property Office or the Intellectual Property Trial and Appeal Board shall obtain registration of a trademark while he/she is in office, except by inheritance or bequest.

## Article 6 Trademark Manager of Non-Resident

(1) Except where a person who is not domiciled or does not have his/her place of business in the Republic of Korea (hereinafter referred to as "non-resident") resides in the Republic of Korea, the non-resident (in cases of a corporation, referring to the representative thereof) may follow trademark-related procedures or bring a lawsuit against measures taken by an administrative authority in accordance with this Act or an order issued under this Act only through a person who is domiciled or has his/her place of business in the Republic of Korea (hereinafter referred to as "trademark manager") as an agent managing the trademark of the non-resident.

(2) A trademark manager shall represent his/her principal in a lawsuit with respect to trademark-related procedures or a disposition made by an administrative authority in accordance with this Act or an order issued under this Act, within the scope of authority delegated to him/her.

## Article 220 Service on Non-Resident

(1) Where a non-resident has a trademark manager, any document to be served on such non-resident shall be served on his/her trademark manager: Provided, That the foregoing shall not apply where an examiner notifies an applicant for international trademark registration of grounds for rejection via the International Secretariat pursuant to Article 190.

(2) Where a non-resident does not have a trademark manager, any document to be served on such non-resident may be sent by registered airmail.

(3) Where a document is sent by registered airmail pursuant to paragraph (2), such document shall be deemed served on the date the document is sent.

## Article 33 Requirements for Trademark Registration

(1) Trademark registration may be obtained, excluding the following trademarks:

1. A trademark consisting solely of a mark indicating, in a common manner, the common name of the goods;
  2. A trademark used customarily in connection with the goods;
  3. A trademark consisting solely of a mark indicating, in a common manner, the place of production, quality, raw materials, effect, usage, quantity, shape, price, method of production, method of processing, method of use or time of the goods;
  4. A trademark consisting solely of a conspicuous geographical name, the abbreviation thereof, or a map;
  5. A trademark consisting solely of a mark indicating a common surname or name according to the method in common use;
  6. A trademark consisting solely of a simple and readily available mark;
  7. In addition to trademarks under subparagraphs 1 through 6, a trademark which is unrecognizable for consumers to identify which goods related to whose business it indicates.
- (2) Even if a trademark falls under any of paragraph (1) 3 through 6, where such trademark is recognizable to consumers as a trademark indicating the source of goods of a specific person as a result of using the trademark before filing an application for trademark registration, trademark registration may be granted limited to the goods on which such trademark is used.
- (3) Even if a mark falls under paragraph (1) 3 (limited to place of production) or 4, where such mark is a geographical indication for specific goods, an applicant may obtain registration of a collective mark with geographical indication for goods using such geographical indication as designated goods (referring to the goods designated pursuant to Article 38 (1) and the goods additionally designated pursuant to Article 86 (1); hereinafter the same shall apply).

## Article 34 Trademarks Ineligible for Trademark Registration

(1) Notwithstanding Article 33, none of the following trademarks shall be registered:

1. Any of the following trademarks, which is a national flag of a country, an insignia of an international organization, etc.:
  - (a) Any trademark identical or similar to the national flag, the national emblem, the colors, medals, decorations or insignias of the Republic of Korea, or seals or signs used for supervision or certification by the Republic of Korea or public institutions;
  - (b) Any trademark identical or similar to any national flag of a country of the Union to the Paris Convention for the Protection of Industrial Property (hereinafter referred to as the "Paris Convention"), of a member of the World Trade Organization, or of a Contracting Party to the Trademark Law Treaty (hereafter in this paragraph, referred to as "countries of the Union, etc.");
  - (c) Any trademark identical or similar to the title, abbreviated title, or mark of the Red Cross, the International Olympic Committee, or a renowned international organization: Provided, That where such organization has applied for trademark registration of its title, abbreviated title, or mark, trademark registration may be obtained;
  - (d) Any trademark identical or similar to coats of arms, flags, medals, decorations or badges of the countries of the Union, etc. designated by the Commissioner of the Korean Intellectual Property Office after notification by the World Intellectual Property Organization pursuant to Article 6-3 of the Paris Convention, or titles, abbreviated titles, coats of arms, flags, medals, decorations or badges of inter-governmental international organizations which countries of the Union, etc. have joined: Provided, That where an inter-governmental international organization which the countries of the Union, etc. have joined applies for trademark registration of its title, abbreviated title, or mark, trademark registration may be obtained;
  - (e) Any trademark identical or similar to seals or signs used for supervision or certification by countries of the Union, etc. designated by the Commissioner of the Korean Intellectual Property Office after notification by the World Intellectual Property Organization pursuant to Article 6-3 of the Paris Convention or their public organizations, which is used for the goods identical or similar to those for which such seals or signs are used;
2. Any trademark which falsely indicates a relationship with a state, race, ethnic group, public organization, religion, or famous deceased person, or which slanders, insults, or is likely to defame any of them;
3. Any trademark identical or similar to a famous mark, which is a mark indicating nonprofit business or public service of a state, public organization, or any of its agencies and a non-profit corporation: Provided, That where such state, etc. has applied for trademark registration of its mark, trademark registration may be obtained;
4. Any trademark whose meaning, content, etc. conveyed to consumers is likely to harm public order, such as being contrary to moral norms, the prevailing moral sense of ordinary people, where the trademark itself is used or the trademark is used for goods;
5. Any trademark consisting of a mark identical or similar to a medal, certificate of merit or decoration awarded at an exhibition held by or with the approval of the Government of the Republic of Korea or at an exhibition held by or with the approval of the government of a foreign country: Provided, That where a person who has been awarded at such exhibition uses such mark as part of the trademark for the awarded goods, trademark registration may be obtained;
6. Any trademark containing the name, title, or trade name, portrait, signature, seal, literary name, stage name, pen name of a prominent person, or his/her abbreviated title: Provided, That where the consent of such person has been obtained,

trademark registration may be obtained:

7. Any trademark used for goods identical or similar to the designated goods, which is identical or similar to the registered trademark of another person (excluding any registered collective mark with geographical indication) based on first to file;

8. Any trademark used on goods recognized as identical to the designated goods, which is identical or similar to a registered collective mark with geographical indication of another person based on first to file;

9. Any trademark identical or similar to a trademark (excluding a geographical indication) widely recognized by consumers as indicating the goods of another person, which is used on goods identical or similar to the goods of another person;

10. Any trademark identical or similar to a geographical indication of another person widely recognized by consumers as indicating the goods of a specific region, which is used on goods recognized as identical to the goods using such geographical indication;

11. Any trademark likely to cause confusion with goods or business of another person remarkably recognized by consumers or to dilute their distinctiveness or reputation;

12. Any trademark which is likely to mislead consumers about the quality of goods or deceive consumers;

13. Any trademark which is identical or similar to a trademark (excluding a geographical indication) recognized as indicating the goods of a specific person by consumers in the Republic of Korea or overseas, which is used for unlawful purposes, such as unjust enrichment or inflicting loss on the specific person;

14. Any trademark which is identical or similar to a geographical indication recognized as indicating the goods of a specific region by customers in the Republic of Korea or overseas, which is used for unlawful purposes, such as unjust enrichment or inflicting loss on any legitimate users of such geographical indication;

15. Any trademark consisting solely of the three-dimensional shape, color, combination of colors, sound, or smell, which is essential (in cases of services, referring to cases essential for the use and purpose thereof) to secure the function of goods intended to obtain trademark registration or of the package of such goods;

16. Any trademark intended to be used on wine or distilled beverages, which consists of a geographical indication of the place of production of wine or distilled beverages or contains such geographical indication in a member of the World Trade Organization: Provided, That where a legitimate user of the geographical indication applies for registration of a collective mark with geographical indication under Article 36 (5) by designating the relevant goods as the designated goods, he/she may obtain trademark registration;

17. Any trademark which is identical or similar to the name of a variety registered pursuant to Article 109 of the Act on the Protection of New Varieties of Plants, which is used for goods identical or similar to the name of such variety;

18. Any trademark which is identical or similar to a geographical indication of another person registered pursuant to Article 32 of the Agricultural and Fishery Products Quality Control Act, which is used on goods recognized as identical to the goods using such geographical indication;

19. Any trademark which is identical or similar to a geographical indication of another person protected in accordance with a bilateral or multilateral free trade agreement which has come into effect, concluded by the Republic of Korea with a foreign country or foreign countries, or which consists of or contains such geographical indication, used on goods deemed identical to the goods using such geographical indication;

20. Any trademark for the registration of which an applicant applies on goods, which is identical or similar to such trademark, while he/she is aware that another person uses or intends to use the trademark through a contractual relationship, such as partnership or employment, or business transactional relationship, or any other relationship;

21. Any trademark for the registration of which any person who has or had a contractual relationship, such as partnership or employment, business contractual relationship, or any other relationship with a person who holds the right to the trademark registered, which is identical or similar to the trademark registered in a State party to the treaty, applies on goods by designating goods identical or similar to the goods on which the trademark is designated as the designated goods without the consent of the person who holds the right to the trademark.

(2) Whether paragraph (1) and an applicant for trademark registration (hereinafter referred to as "applicant") correspond to another person under the relevant provision shall be determined based on the time a decision corresponding to any of the following is made (hereinafter referred to as "decision on whether to grant trademark registration"): Provided, That in cases falling under paragraph (1) 11, 13, 124, 20 and 21, whether an applicant corresponds to another person under the relevant provision shall be determined based on the time an application for trademark registration is filed:

1. Decision to reject trademark registration under Article 54;

2. Decision to grant trademark registration under Article 68.

(3) Where a trial to revoke trademark registration is requested because a trademark right holder or a person who uses a trademark of such trademark right holder falls under Article 119 (1) 1 through 3 and 5 through 9, and he/she falls under any of the following after the date such lawsuit is commenced, he/she may obtain trademark registration only where he/she applies for registration of a trademark identical or similar to such trademark (limited to where he/she intends to obtain trademark registration again by designating identical or similar goods (in cases of a collective mark with geographical indication, referring to goods deemed identical) as the designated goods) after three years from the date he/she falls under any of the following:

1. Where trademark rights are extinguished upon expiry;

2. Where a trademark right holder relinquishes trademark rights or abandons some of the designated goods;

3. Where a trial decision to revoke trademark registration is final and conclusive.

(4) None of the provisions of paragraph (1) 8 and 10 shall apply to homonymous collective marks with a geographical indication.

#### **Article 35 First to File**

(1) Where at least two applications for trademark registration are filed on different days with respect to the same or similar trademark to be used on the same or similar goods, only the first person who files an application may obtain registration of such trademark.

#### **Article 38 One Application for One Trademark**

(1) Any person who intends to file an application for trademark registration shall file an application for each trademark by designating at least one category of goods in accordance with the classification of goods.

(2) Specific goods belonging to the category of goods under paragraph (1) shall be prescribed and announced by the Commissioner of the Korean Intellectual Property Office.

(3) No classification of any category of goods under paragraph (1) shall be construed as prescribing the range of similarity of goods.

#### **Article 54 Decision to Reject Trademark Registration**

Where an application for trademark registration falls under any of the following, an examiner shall decide to reject trademark registration:

1. Where a trademark fails to meet the definitions of a trademark, collective mark, geographical indication, collective mark with geographical indication, certification mark, certification mark with geographical indication, or business emblem under Article 2 (1);

2. Where a trademark is in violation of the treaty;

3. Where a trademark cannot be registered pursuant to Articles 3, 27, 33 through 35, 38 (1), the latter part of Article 48 (2), paragraph (4) or (6) through (8) of the aforesaid Article;

4. Where a person is not entitled to registration of a collective mark, certification mark and business emblem under Article 3;

5. In cases of an application for registration of a collective mark with geographical indication, the articles of incorporation of an organization

actually do not permit persons to join the organization as its members, such as the prohibition of persons from joining the organization in accordance with the articles of incorporation, or impracticable conditions for joining the organization are stipulated in the articles of incorporation;

6. Where all or some of the matters concerning the use of a collective mark prescribed by Presidential Decree are not stated in the articles of incorporation under Article 36 (3), or all or some of the matters concerning the use of a certification mark prescribed by Presidential Decree are not stated in the articles of incorporation or the rules under paragraph (4) of the aforesaid Article;

7. In cases of an application for registration of a certification mark, the articles of incorporation actually do not permit persons who may use such certification mark to use it, such as the prohibition of persons from using it in accordance with the articles of incorporation or the rules without justifiable grounds, or impracticable conditions of use thereof are stipulated in the articles of incorporation or the rules.

#### **Article 55 Notification of Grounds for Rejection**

(1) Where an examiner intends to decide to reject trademark registration pursuant to Article 54, he/she shall notify an applicant of grounds for rejection (referring to grounds provided in any of the subparagraphs of the aforesaid Article; hereinafter referred to as "grounds for rejection") in advance. In such cases, the applicant may submit a written opinion about grounds for rejection within a period prescribed by Ordinance of

the Ministry of Trade, Industry and Energy.

(2) Where an examiner notifies an applicant of grounds for rejection pursuant to paragraph (1), he/she shall specify the grounds and basis for rejection of each of the designated goods.

(3) An applicant who fails to submit a written opinion within a period under the latter part of paragraph (2) may apply for continuing trademark-related procedures and submit a written opinion addressing the grounds for rejection within two months from the expiration date of such period.

#### **Article 115 Trial against Decision to Dismiss Amendment**

Where a person who receives a decision to dismiss an amendment under Article 42 (1) appeals against such decision, he/she may request a trial within 30 days from the date he/she is served with a certified copy of such decision.

#### **Article 116 Trial against Decision to Reject**

Where a person who receives a decision to reject trademark registration, decision to reject registration of additional designated goods or decision to reject registration of the conversion of the classification of goods (hereinafter referred to as "decision to reject") under Article 54 appeals against such decision, he/she may request a trial within 30 days from the date he/she is served with a certified copy of such decision to reject.

**Korean Trademark Act URL: <http://www.kipo.go.kr/eng/>**