The EFS-Web Training Webinar Will Begin Shortly!

Please dial-in to the following number to hear the audio portion of this broadcast:

US/Canada: 866-469-3239
International: 650-429-3300
Passcode: 481074538

Today's Presenter

William Stryjewski
United States Patent &
Trademark Office

Some Housekeeping Items

- Today's seminar is scheduled to last for 2 hours
- All participants will be muted to enable the speakers to present without interruptions
- Questions can be submitted to presenters via the WebEx Q&A screen at any time
- Similar questions will be aggregated together

EFS-Web

Web Enabled Patent Filing

Agenda

- Introduction to EFS-Web
- Overview of EFS-Web Process Flow
- Product Review
- Software Requirements
- PDF File Attributes
- Form-Fillable PDF’s
- Security
- Support

Introduction

EFS-Web
Web Enabled Patent Filing

USPTO's new ***web-based*** patent application and document ***submission solution***

Introduction

- ***Online submission of PDF files*** of patent applications and documents
- ***Online payment*** of patent application and document filing fees
- ***Verifies and validates files*** before submission
- ***Provides a valid filing receipt*** that is the equivalent of an Express Mail receipt
- ***Speeds access to data*** via Private PAIR

Overview
How EFS-Web Works

User Accesses USPTO Portal

Access EFS-Web As Unregistered Filer

Authenticate as Registered Filer

Choose Filing Type

Choose Filing Type

- **New Application**
  - Design
  - Utility
  - Provisional
  - 371

- **New Application**
  - Design
  - Utility
  - Provisional
  - 371
- **Existing Application**
- **Saved Package**
- **Last 10 EFS receipts**

Enter Key Patent Application Data

Attach PDF Files

Review Document List

Calculate Fees

Submission

Choose Payment Options

Pay Fees Via RAM Interface

Receive Acknowledgement Receipt

Access Filing in Private PAIR
(Registered Filer Only)

Electronic version of a patent application, including image and/or text versions of the bibliographic information, all papers as filed, all office actions and correspondence

Internal USPTO database that catalogs patent data and then presents it in Public and Private PAIR

EFS-Web
Web Enabled Patent Filing

Image File Wrapper (IFW)

Patent Application Locating & Monitoring (PALM)

Public Patent Application Information Retrieval (Public PAIR)

Private Patent Application Information Retrieval (Private PAIR)

Provides access to status and history information for issued patents and published applications via the web

Provides controlled access to non-public patent information, as well as all information Public PAIR provides

Product Review

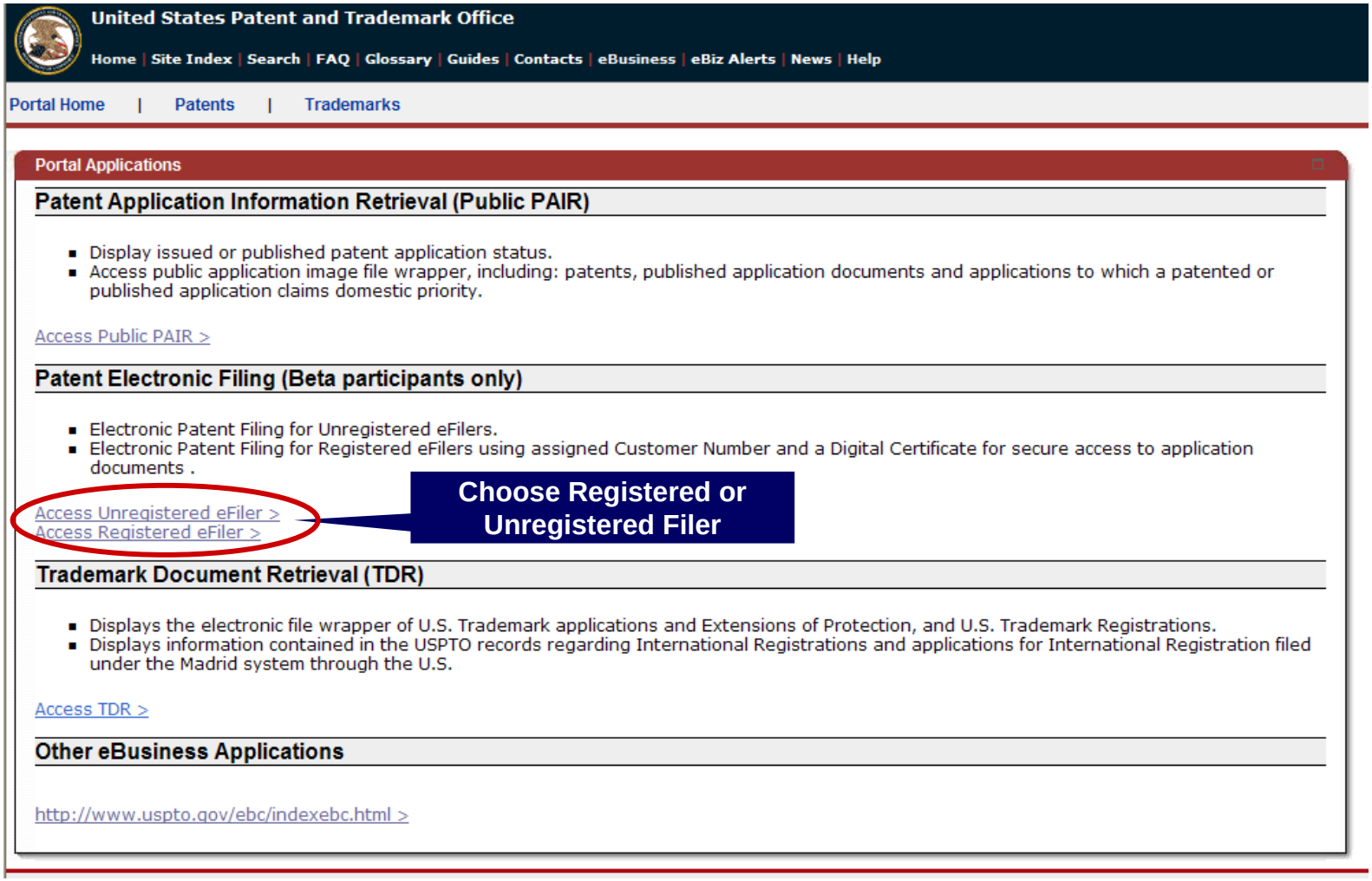
EFS-Web

Web Enabled Patent Filing

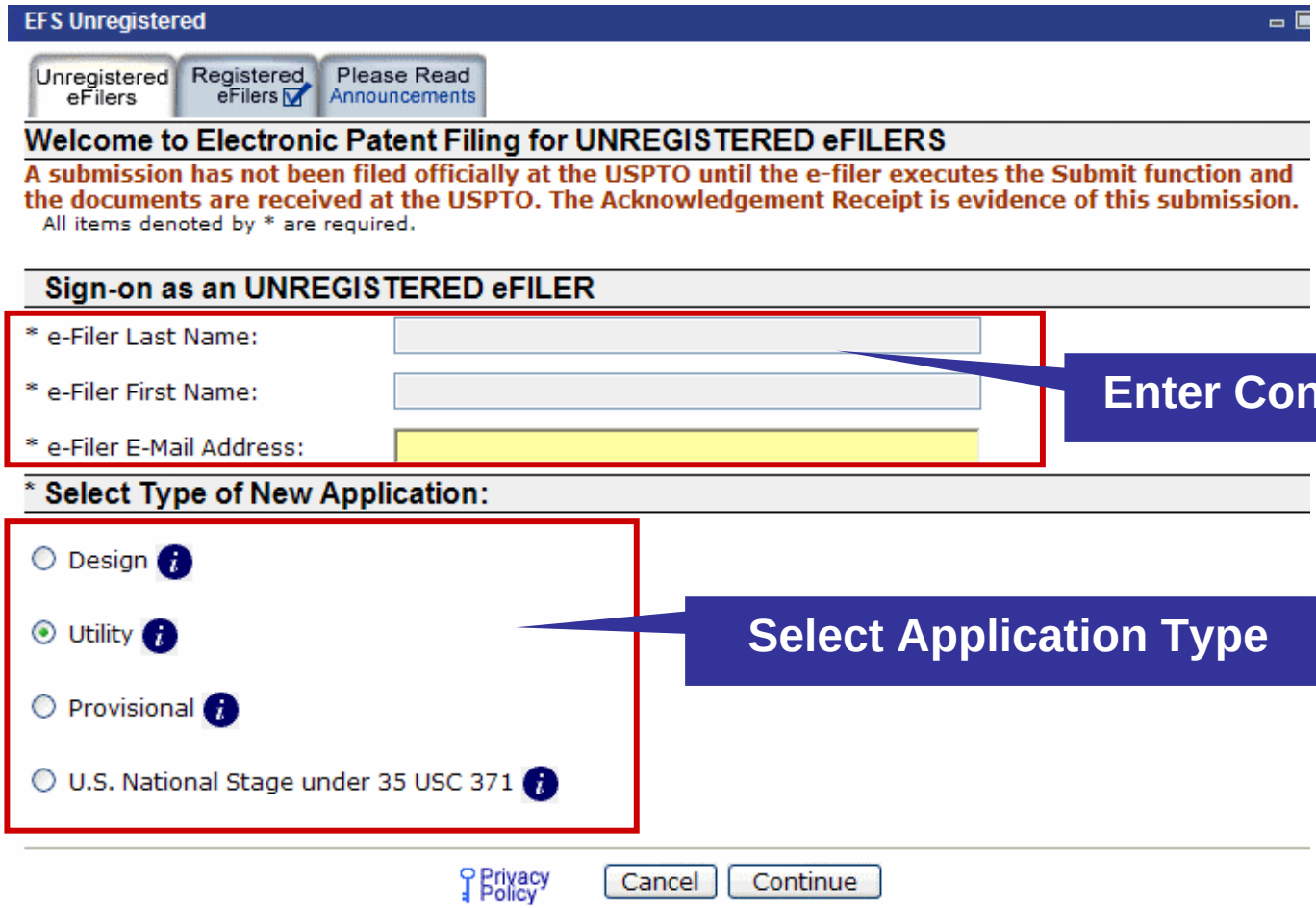
Who Can Submit Patent Applications and Documents?

- Unregistered Filers
  - *Anyone who visits EFS-Web* can submit patent applications and documents
  - Patent attorneys, patent agents, paralegals, legal secretaries, pro se filers
  - A *customer number is NOT required* for submissions
- Registered Filers
  - Those who *obtain a Digital Certificate in advance* from USPTO's Electronic Business Center (EBC)

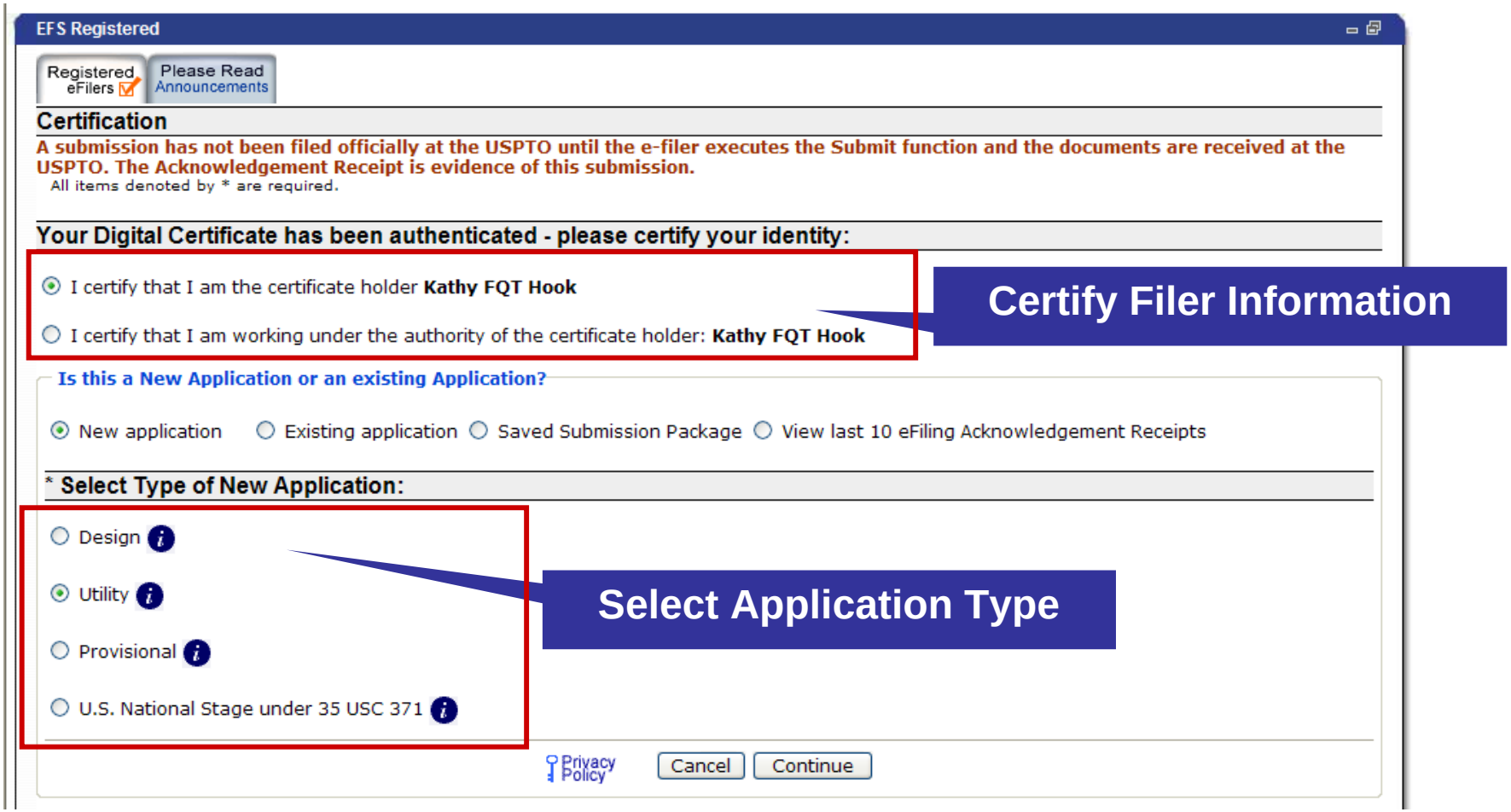
Logging on to EFS-Web



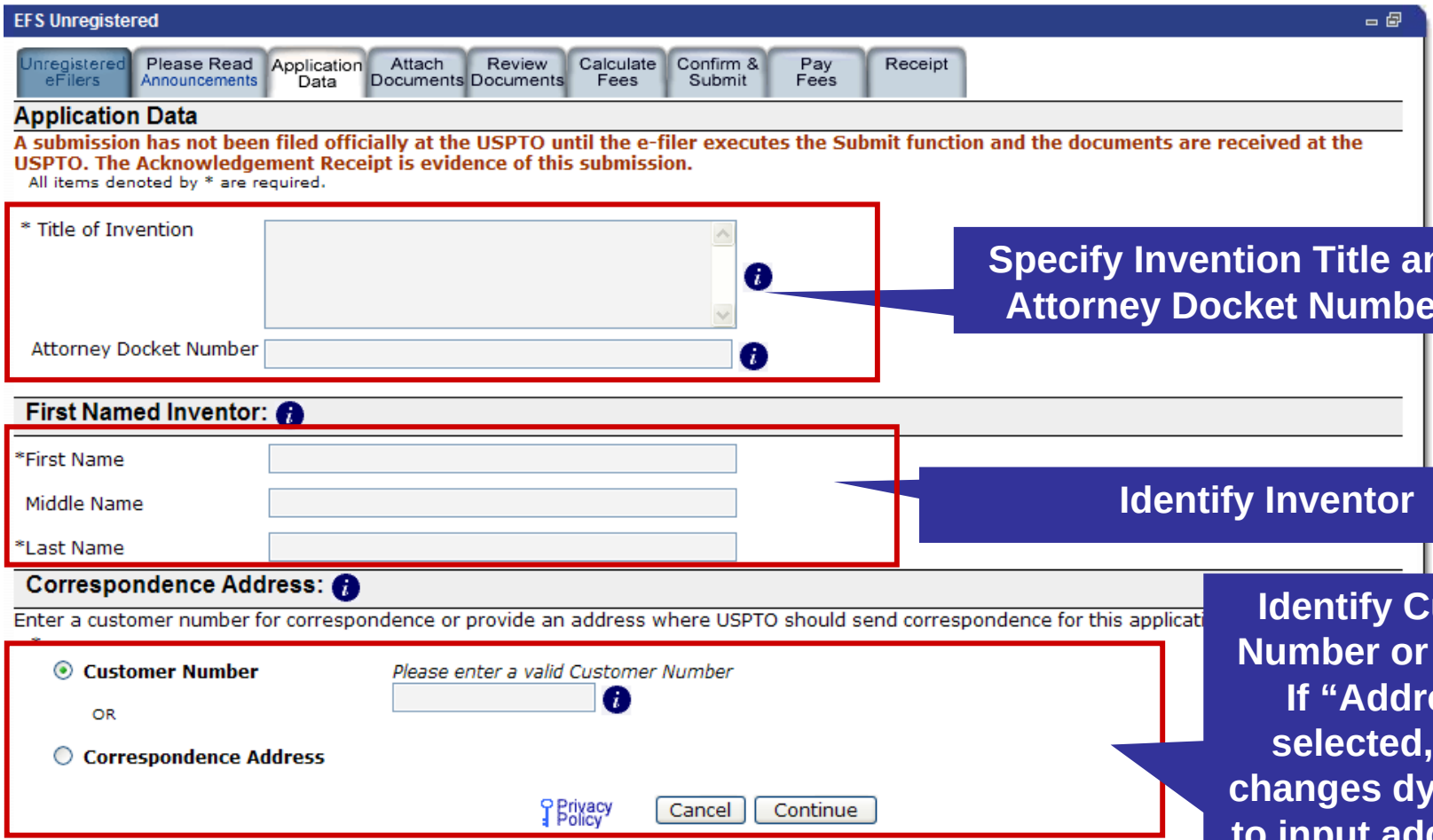
EFS-Web: Unregistered Sign On



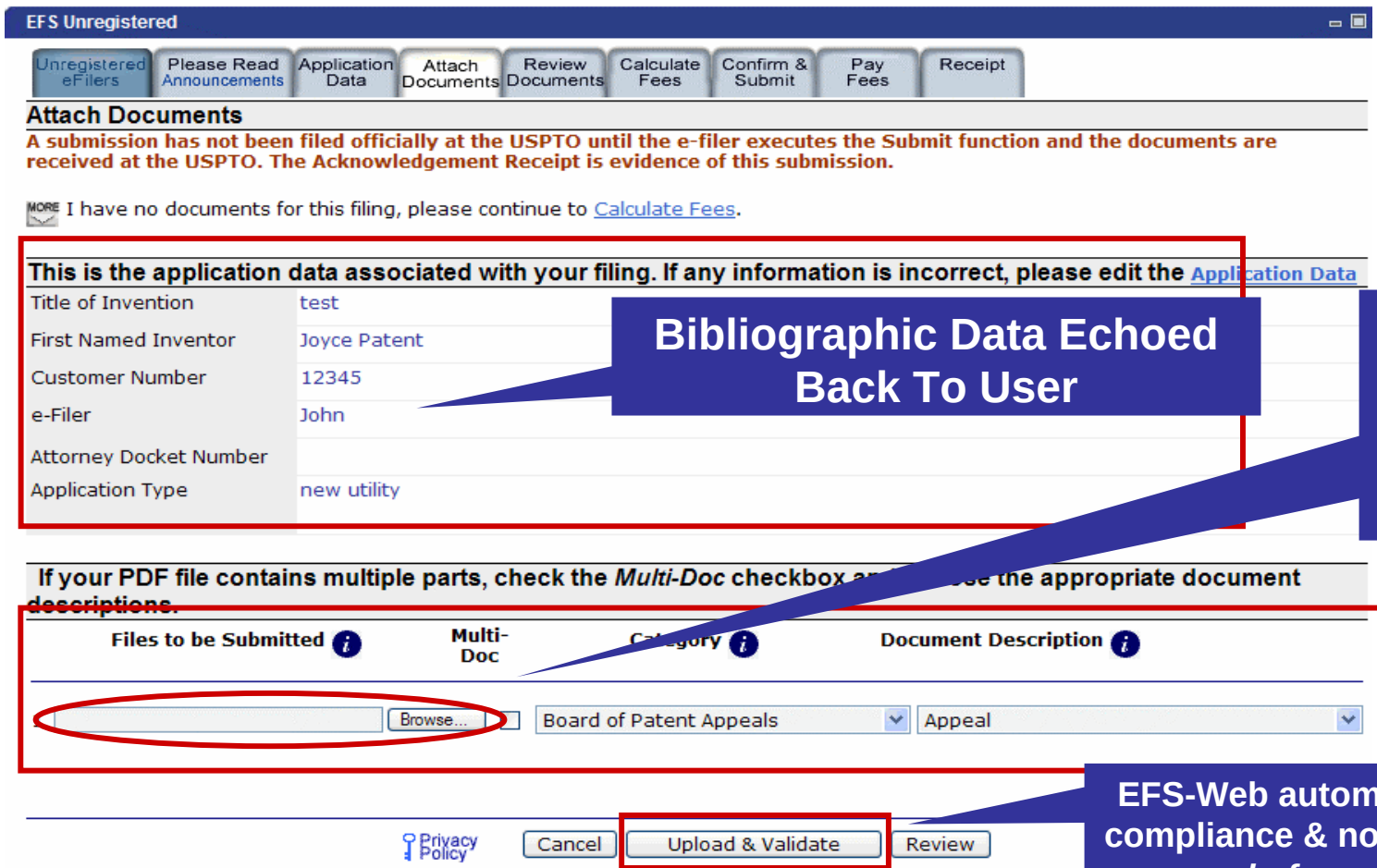
EFS-Web: Registered Sign On



EFS-Web: Enter Applicant Data



EFS-Web: Attachments

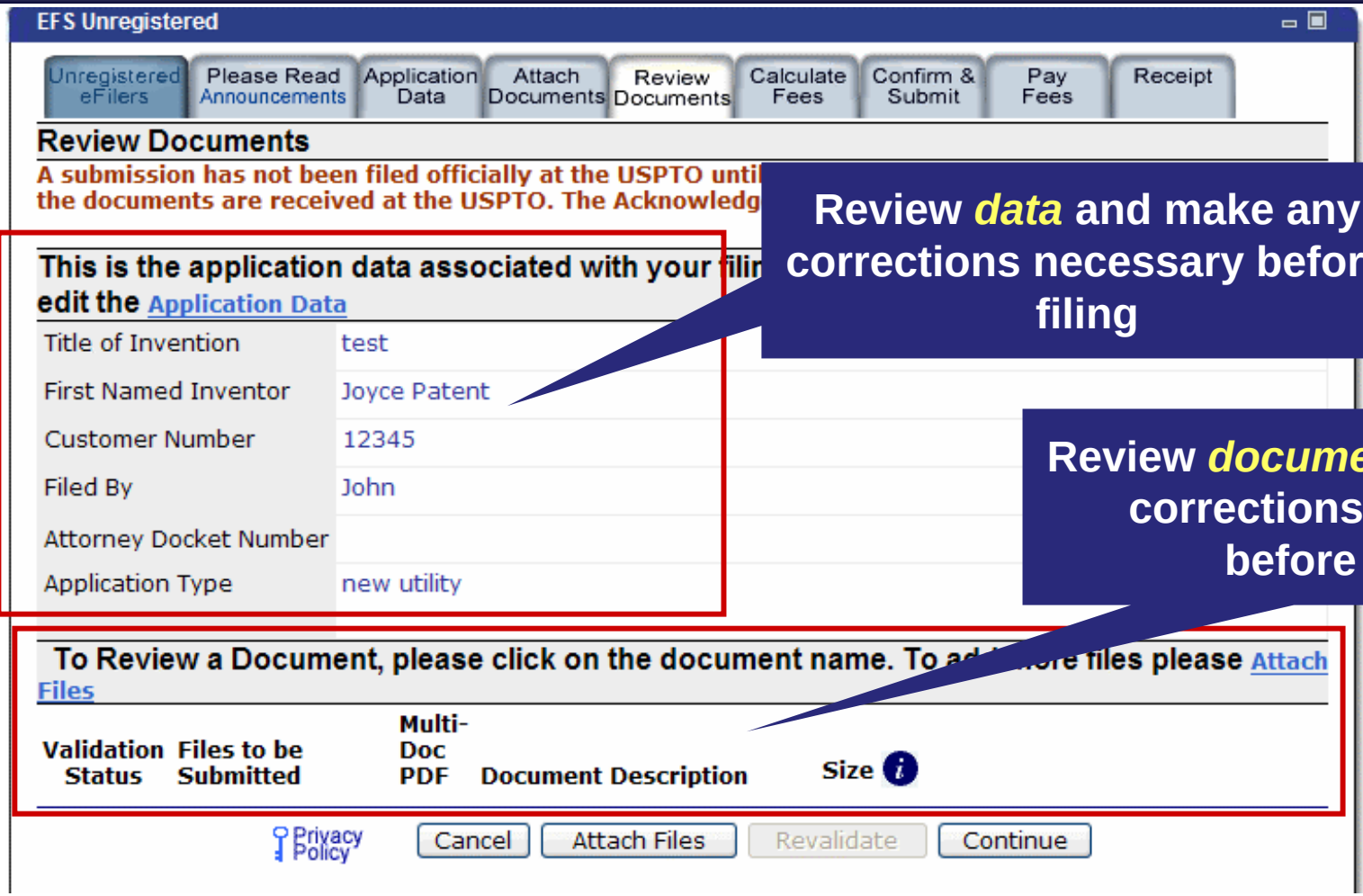


Bibliographic Data Echoed Back To User

Easy-to-Use Document Attachment Capability

EFS-Web automatically checks for compliance & notifies user of errors *before* submission

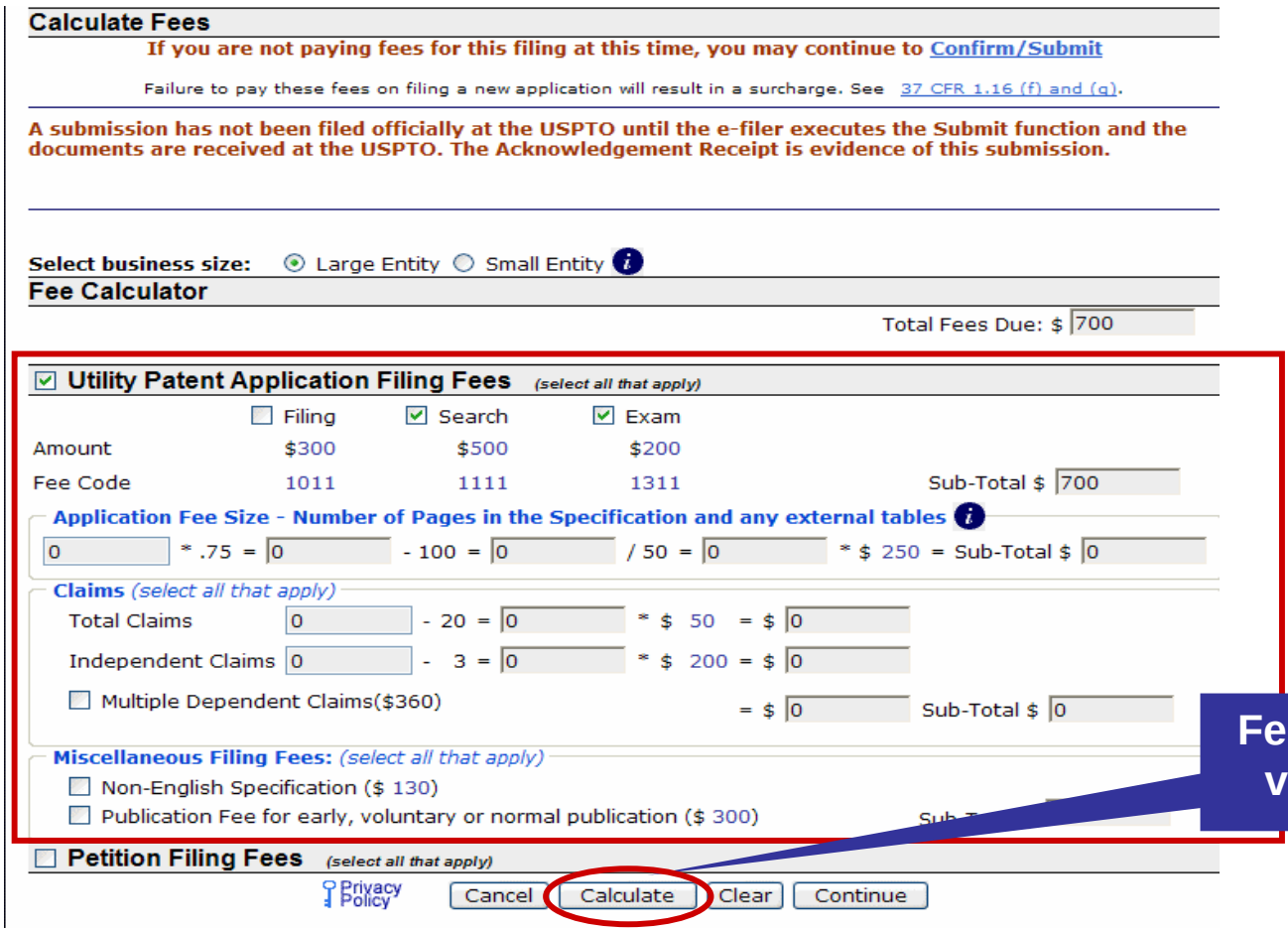
EFS-Web: Review Data & Documents



Review ***data*** and make any corrections necessary before filing

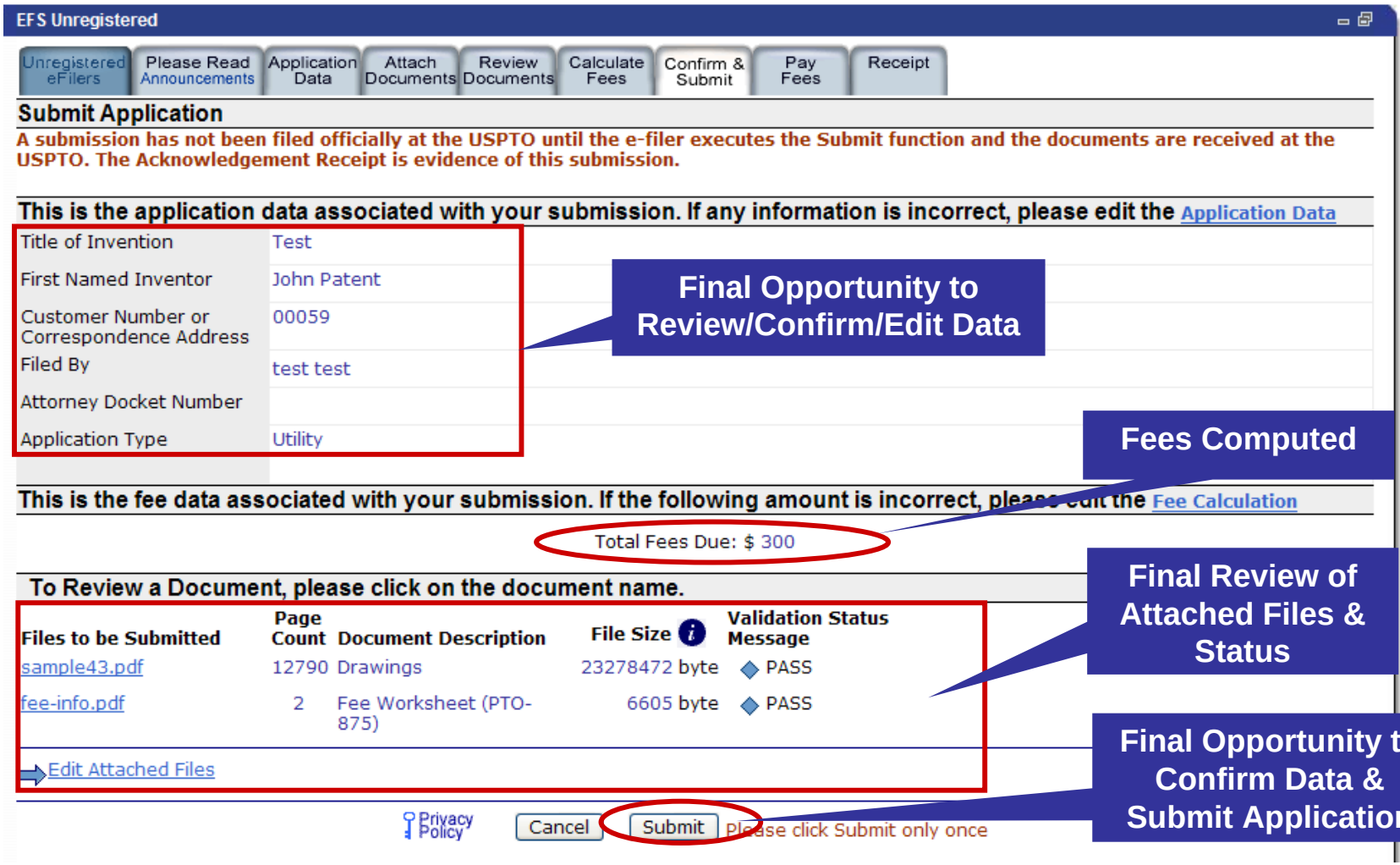
Review ***documents*** and make corrections/additions before filing

EFS-Web: Fee Calculation

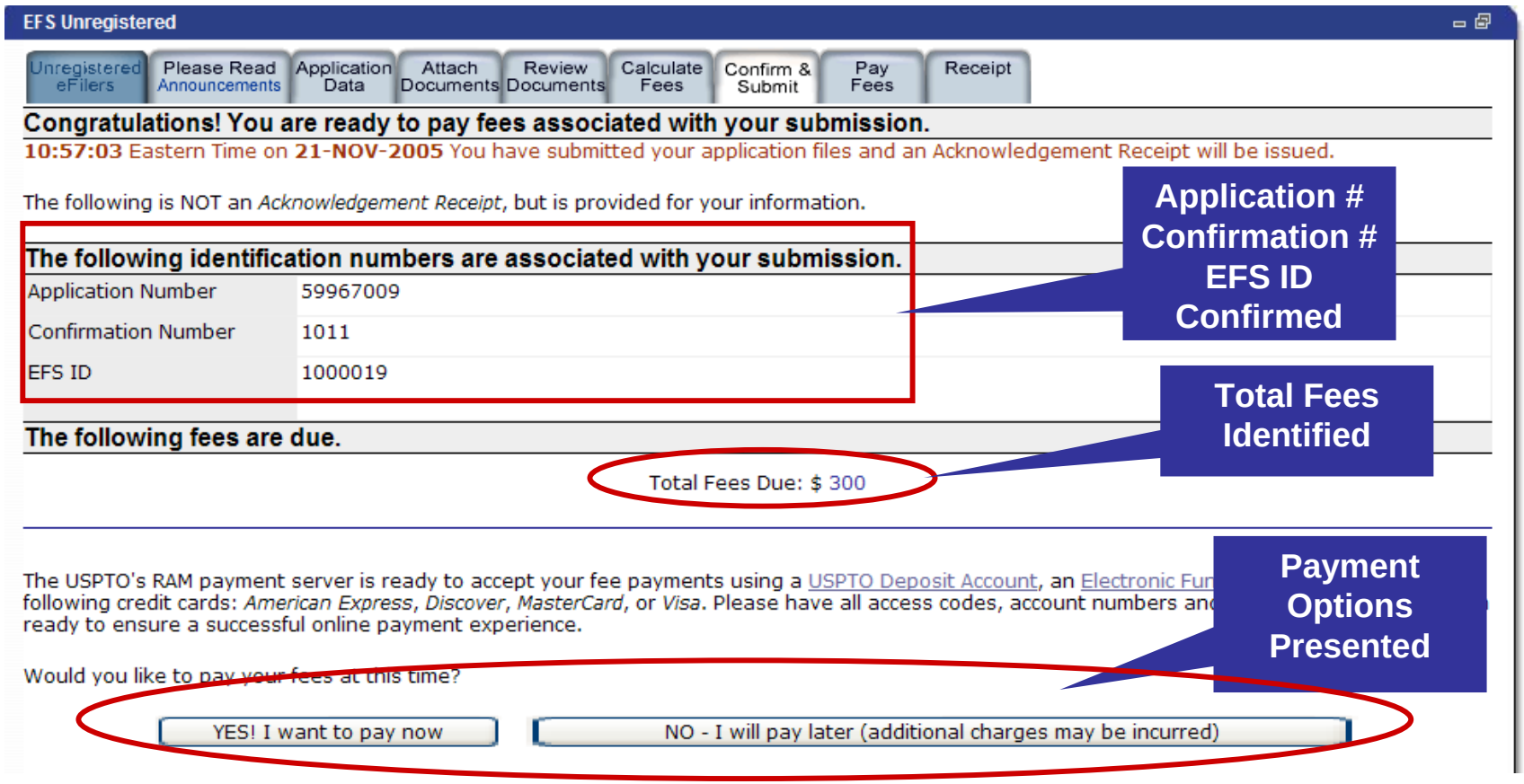


Fees calculated based on values entered by user

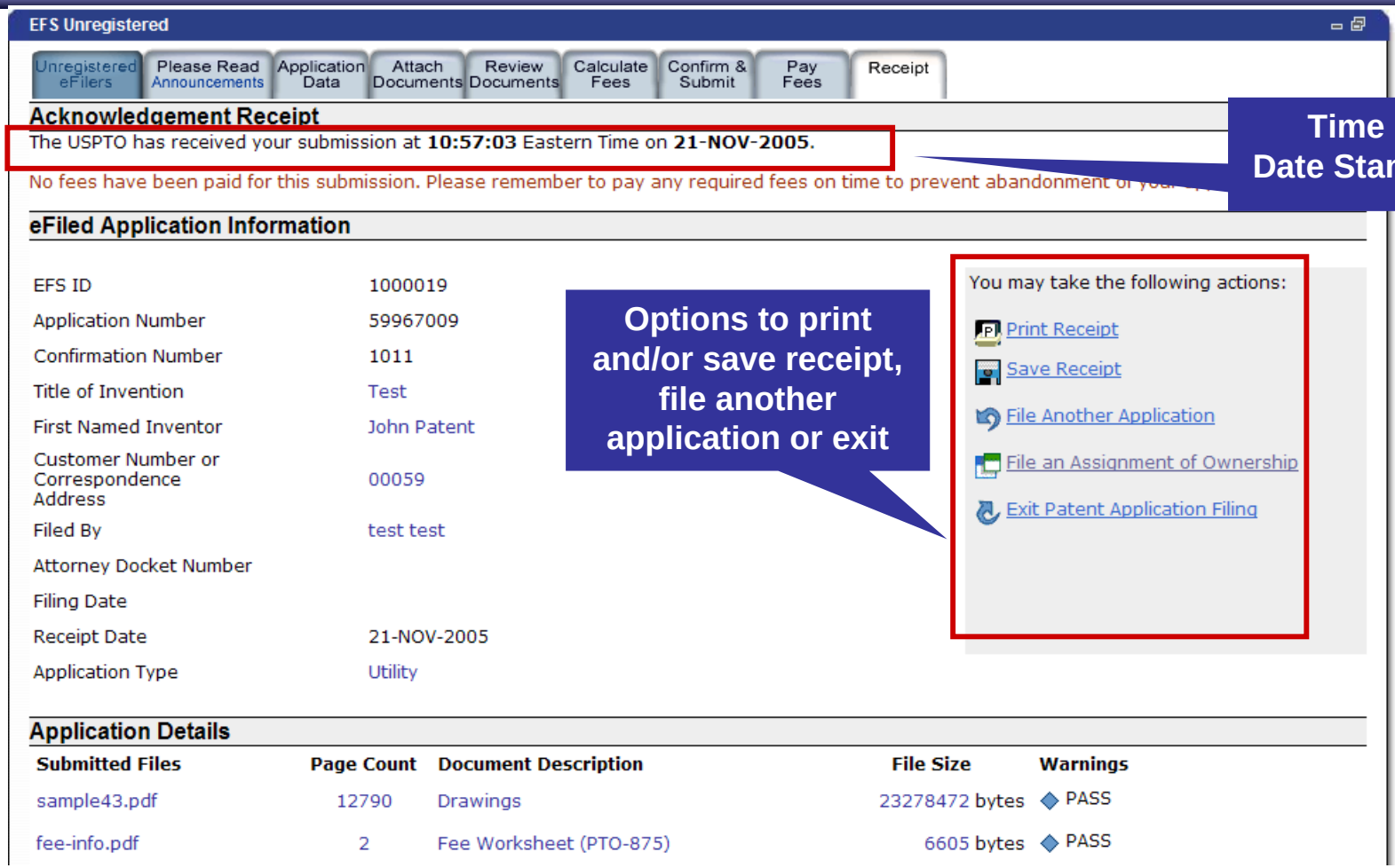
EFS-Web: Confirmation and Submission



EFS-Web: Pre-Acknowledgement Receipt



EFS-WEB: Acknowledgement Receipt



Product Demonstration

Software Requirements

EFS-Web

Web Enabled Patent Filing

EFS-Web: Browsers and Plug-ins

- **Standard web browser**:
  - Internet Explorer
  - Netscape 7.0
  - Mozilla/Firefox
  - Safari

- **JAVA:**
  - Need to download JAVA from the Sun Microsystems site

EFS-Web: About Java

- **JAVA is a general purpose programming language**
  - A number of features in JAVA are well suited for use on the Web

- **Small JAVA applications are called JAVA applets**
  - Applets can be downloaded from a Web server and run on your computer
  - Must use a JAVA-compatible Web browser such as Netscape Navigator or Microsoft Internet Explorer.

EFS-Web: About JAVA

EFS-WEB requires that you have JAVA or Microsoft VM (Virtual Machine) enabled on your computer.

***Minimum* JAVA version required is Java 2 Platform, Standard Edition, v 1.4.2 (J2SE) Java Runtime Environment (JRE)**

***Recommended*: Java 1.5 Update 5**

EFS-Web: Installing JAVA

- **Operating System pre-Feb. 2003:**
  - May come with Microsoft JAVA Virtual Machine installed

- **Operating System post-Feb. 2003:**
  - Need to download JAVA from the Sun Microsystems site

EFS-Web: JAVA Enabling Your PC

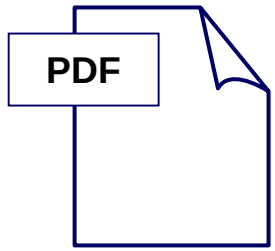
- **Install through your IT group**
  - **Contact IT using your organization's standard support procedures**
  - **Request that your computer be JAVA-enabled**

The USPTO encourages all EFS-Web users to maintain compliance with their organization's policies regarding changes to their desktop machines and IT security infrastructure.

PDF Attributes

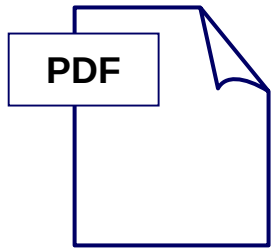
EFS-Web: About PDF Technology

- ***PDF standards*** were developed by Adobe Systems
- ***Universal file format*** that preserves the fonts, images, graphics, and layout of any source document, regardless of the application and platform used to create it



EFS-Web: About PDF Technology

- ***PDF is an open standard*** supported by many vendors

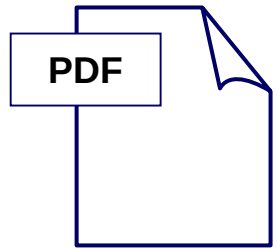


- There two versions of PDF: ***Readers and Writers***

- ***EFS-Web requires you to have PDF Writer***

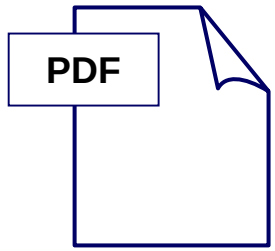
EFS-Web: About PDF Technology

- ***Recommended PDF Writers*** to work with EFS-Web include:
  - ***Adobe Professional***
  - ***Open Office***
  - ***Easy Office***
  - ***Cute PDF***
  - ***PDF Redirect***
  - ***PDF 995***
  - ***Primo PDF***



EFS-Web: About PDF Technology

- **Document Format**
  - *Standard 8 1/2” x 11”*
  - *A4 (21 cm. by 29.7 cm)*
  - Larger pages will be reduced to 8 1/2 x 11

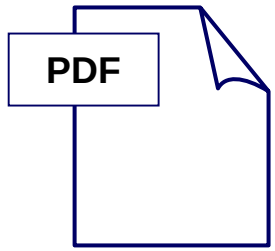


- ***Versions 1.1 – 1.6 of the PDF Specification***

- **Fonts**
  - *Must be embedded* to ensure they travel with the document
  - *All fonts must be licensed* and legally embeddable

EFS-Web: About PDF Technology

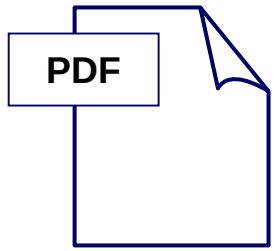
- ***Color: Black & White***
  - Color is not recommended



- **Images**
  - *Black & White, Color, Grayscale*
  - *300 dpi*
  - *GIF, BMP, TIFF, PNG formats permitted*
  - Use of “alternate” images is not supported

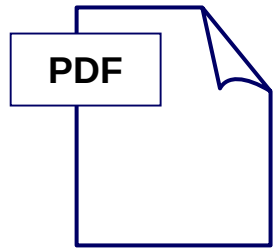
EFS-Web: About PDF Technology

- **Layers**
  - *Single layer documents only* may be submitted
  - Documents with *multiple layers must be flattened* prior to submission
  - *"Invisible" layers will be lost* when processed by USPTO
- **Object Content**
  - *No sound, video, animations or slideshows* are permitted
  - *No 3D models, file attachments, multi-page objects, commenting/reviewing features, no dependencies on external filers or resources*



EFS-Web: About PDF Technology

- **Security Features**
  - *No password protected or encrypted PDF files* are permitted



- **Embedded Code/Viruses**
  - PDF document must be *free of executables, worms, viruses or other malicious content*
  - *Files with malicious content will be deleted*

EFS-Web: PDF File Naming Convention

- Files for submission should be named as [FILENAME].pdf
- A file name can be up to 256 characters long including the extension (.pdf)
- A file name can consist of the following characters inside the brackets (excluding comma):
  [A-Z, a-z, 0-9, _, -, .]
- The last 4 characters need to .pdf (lowercase)
- The file name needs to start with one of the following characters (excluding comma):
  [A-Z, a-z , 0-9]

Validation Errors

Warnings (still submitted and accepted)

- Page size over limit
- Non-licensed fonts

Errors (rejected from submission)

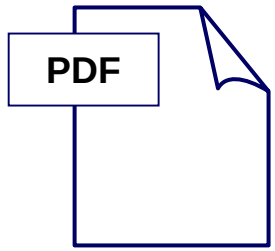
- Secure file (password encrypted)
- Non-embedded fonts
- Any version of PDF that is not supported (below 1.1)
- PDF containing OLE (object linking and embedding) files
- Malicious and virus embedded files
- Not PDF file type

Image Based PDF Files

- Create Image PDF when unable to validate quickly
- Text is no longer searchable or selectable in an image based PDF

EFS-Web: About Form-Fillable PDF Technology

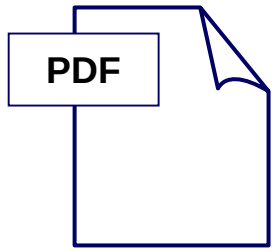
- Interactive forms
- Utilize a variety of field types and formatting options
- Auto-load field information directly in USPTO's systems



Used in conjunction with EFS-Web, PDF Form-Fillables ease the filing and submission process and accelerate the online availability of patent applications and documents

EFS-Web: PDF Form-Fillable Benefits

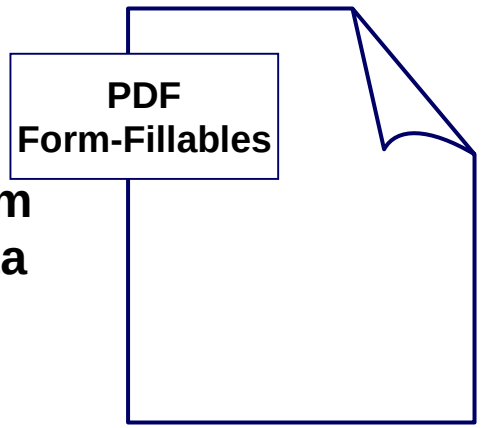
- EFS-Web users can *minimize rework and improve data accuracy* for all types of filings by extracting data directly out of Form-Fillable PDF's
- *Reduces the need* to file additional papers
- Form-Fillable PDF's *require no PDF creation software*, only the latest version of the free Acrobat Reader



EFS-Web:
PDF Form-Fillable Features

Print forms with data entered by the user

Save form electronically with data embedded



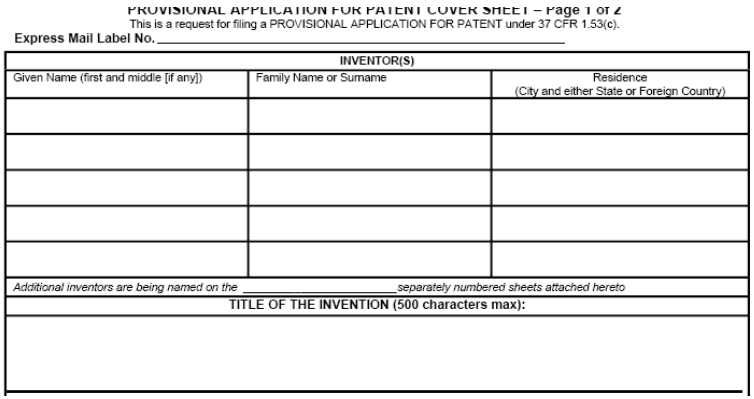
Re-open the saved form to modify existing data

Import data in XML format from multiple sources

Export data in XML format to document management systems and other databases

EFS-Web: Form-Fillable PDF's Available

Application Data Sheet



PROVISIONAL APPLICATION FOR PATENT COVER SHEET – Page 1 of 2
This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).
Express Mail Label No. _____

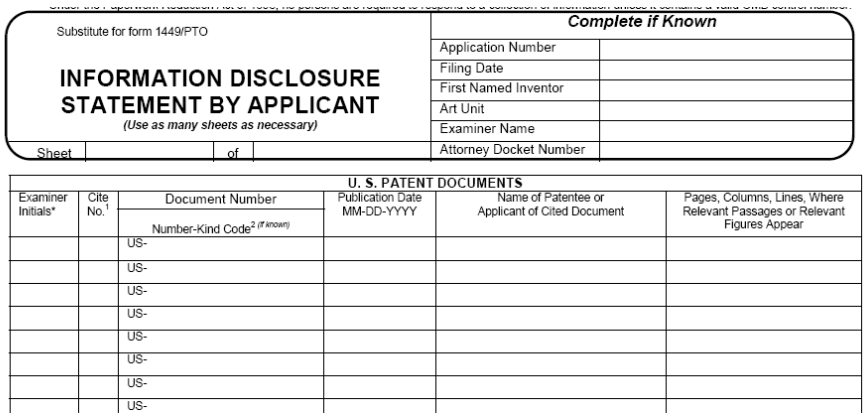
INVENTOR(S)		
Given Name (first and middle [if any])	Family Name or Surname	Residence (City and either State or Foreign Country)

Additional inventors are being named on the _____ separately numbered sheets attached hereto

TITLE OF THE INVENTION (500 characters max):

- Provisional/Non-provisional applications
- Contains bibliographic data

Information Disclosure Statement



Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet _____ of _____

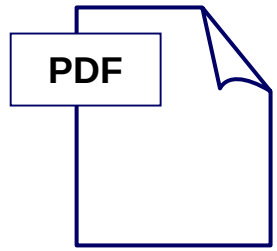
Complete if Known	
Application Number	
Filing Date	
First Named Inventor	
Art Unit	
Examiner Name	
Attorney Docket Number	

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

- Listing all U.S. patents and U.S. publications
- Foreign patent documents and non-patent literature (NPL)
- Submitted for consideration in a non-provisional patent application

EFS-Web: Requirements and Availability

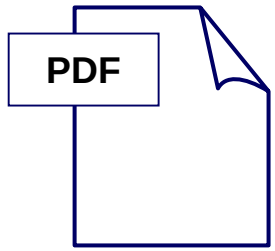
- **Required Acrobat Reader Version**
  - Adobe Reader 7.0.5 and above
  - Freely available from Adobe



- **Availability of USPTO Form-Fillable PDF's**
  - USPTO library of key static and limited function Form-Fillable PDFs available at:

EFS-Web: Important Notes

- **Legacy PDF forms**
  - PDF forms on the USPTO web site, but these *do not* save data
  - Field information will not be automatically loaded onto USPTO systems



- **User-created Form-Fillable PDF's and**

- **User-modified USPTO Form-Fillable PDF's**
  - User data will be accepted
  - Data in individual fields will *not* auto-load into USPTO systems

EFS-Web: Summary of PDF Benefits

- **Using PDF Form Fillables as part of the EFS-Web system expedites the patent submission process.**
- **PDF is a standard file format.**
- **PDF protects the fonts, images and text formatting in the document.**
- **PDF Readers and Writers are easily accessible and are available as freeware, shareware and for purchase.**

EFS-Web: Support

EFS-Web: Support

- Electronic Business Center (EBC) ***support available from 6 a.m. to 12 Midnight Eastern Monday-Friday***

- ***EBC Contact Numbers:***
  - ***1-866-217-9197***
  - ***571-272-4100***
  - ***Press 9 when calling to be identified as a EFS-Web Beta user***

- ***E-mail:*** ***ebc@uspto.gov***

- ***Fax:*** **571-273-0177**

EFS-Web: Support

- Computer Based Training (CBT) *modules available on USPTO website 24 x 7*
- *EFS-Web Data Sheets* available on the web
- EFS-Web *QuickStart Guides available* on the web:
  - *EFS-Web Introduction*
  - *PDF files*
  - *Security*
  - *Private/Public PAIR*

EFS-Web:
In Summary

EFS-Web
Web Enabled Patent Filing

USPTO's new ***web-based*** patent application and document ***submission solution***

EFS-Web: In Summary

- ***Online submission of PDF files*** of patent applications and documents
- ***Online payment*** of patent application and document filing fees
- ***Verifies and validates files*** before submission
- ***Provides a valid filing receipt*** that is the equivalent of an Express Mail receipt
- ***Speeds access to data*** via Private PAIR

EFS-Web
Web Enabled Patent Filing

EFS-Web: In Summary

- ***Safe***
  - EFS-Web submissions protect your filing date just like Express Mail
- ***Simple***
  - Even the largest and most complex patent applications can be submitted using PDF files and a few web screens
- ***Secure***
  - EFS-Web submissions are protected through Digital Certificates, the most secure method now available

EFS-Web: In Summary

- ***Fast***
  - Patent applications and documents can be submitted and a receipt obtained *in minutes*
- ***Flexible***
  - Requires NO changes to the processes & tools you use to author patent applications and documents
- ***Forgiving***
  - Checks documents *before* submission to ensure compatibility with USPTO standards

EFS-Web
Web Enabled Patent Filing

EFS-Web

Web Enabled Patent Filing