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
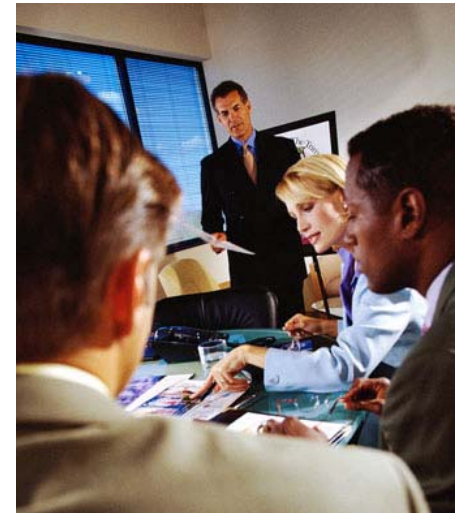
- Similar questions will be aggregated together

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*** <u>before</u> submission
- ***Provides a valid filing receipt*** that is the equivalent of an Express Mail receipt
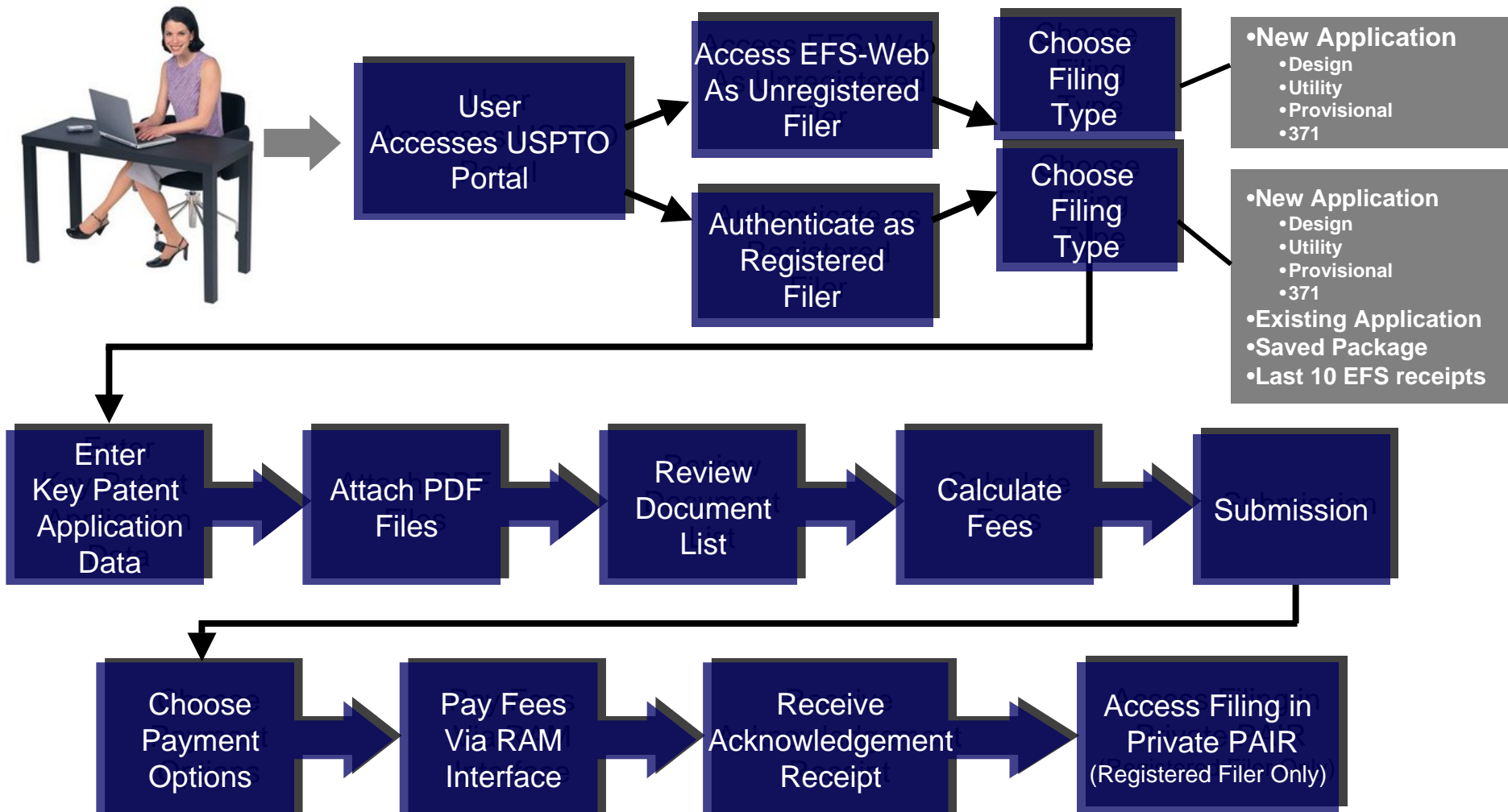- ***Speeds access to data*** via Private PAIR

EFS-Web
Web Enabled Patent Filing
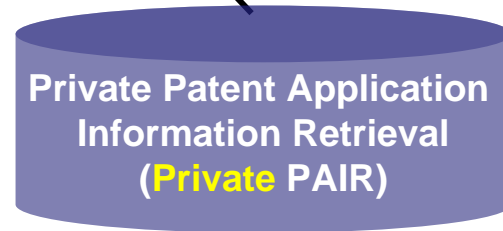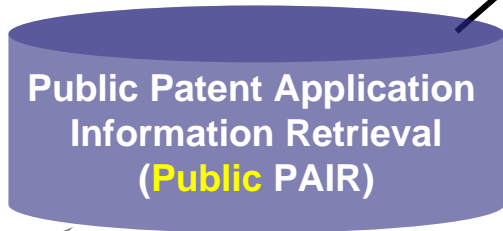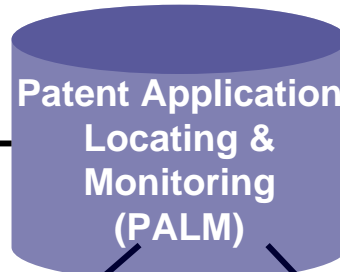
Overview
How EFS-Web Works

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

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)

EFS-Web
Web Enabled Patent Filing

Logging on to EFS-Web

United States Patent and Trademark Office

Home | Site Index | Search | FAQ | Glossary | Guides | Contacts | eBusiness | eBiz Alerts | News | Help

Portal Home | Patents | Trademarks

Portal Applications

Patent Application Information Retrieval (Public PAIR)

- Display issued or published patent application status.
- Access public application image file wrapper, including: patents, published application documents and applications to which a patented or published application claims domestic priority.

Access Public PAIR >

Patent Electronic Filing (Beta participants only)

- Electronic Patent Filing for Unregistered eFilers.
- Electronic Patent Filing for Registered eFilers using assigned Customer Number and a Digital Certificate for secure access to application documents .

Access Unregistered eFiler >
Access Registered eFiler >

Choose Registered or Unregistered Filer

Trademark Document Retrieval (TDR)

- Displays the electronic file wrapper of U.S. Trademark applications and Extensions of Protection, and U.S. Trademark Registrations.
- Displays information contained in the USPTO records regarding International Registrations and applications for International Registration filed under the Madrid system through the U.S.

Access TDR >

Other eBusiness Applications

http://www.uspto.gov/ebc/indexebc.html >

EFS-Web:
Unregistered Sign On

EFS Unregistered

| Unregistered eFilers | Registered eFilers ☑ | Please Read Announcements |

Welcome to Electronic Patent Filing for UNREGISTERED eFILERS

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission.
All items denoted by * are required.

Sign-on as an UNREGISTERED eFILER

* e-Filer Last Name:

* e-Filer First Name:

* e-Filer E-Mail Address:

Enter Contact Information

* Select Type of New Application:

○ Design *i*

◉ Utility *i*

○ Provisional *i*

○ U.S. National Stage under 35 USC 371 *i*

Select Application Type

Privacy Policy   Cancel   Continue

EFS-Web:
Registered Sign On

EFS Registered

Registered eFilers ☑ | Please Read Announcements

Certification

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission.

All items denoted by * are required.

Your Digital Certificate has been authenticated - please certify your identity:

⦿ I certify that I am the certificate holder **Kathy FQT Hook**

○ I certify that I am working under the authority of the certificate holder: **Kathy FQT Hook**

Certify Filer Information

Is this a New Application or an existing Application?

⦿ New application   ○ Existing application ○ Saved Submission Package ○ View last 10 eFiling Acknowledgement Receipts

* Select Type of New Application:

○ Design ⓘ

⦿ Utility ⓘ

○ Provisional ⓘ

○ U.S. National Stage under 35 USC 371 ⓘ

Select Application Type

Privacy Policy   [Cancel] [Continue]

EFS-Web:
Enter Applicant Data

EFS Unregistered

| Unregistered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt |

Application Data

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission.
All items denoted by * are required.

* Title of Invention

Attorney Docket Number

Specify Invention Title and Attorney Docket Number

First Named Inventor: *i*

*First Name

Middle Name

*Last Name

Identify Inventor

Correspondence Address: *i*

Enter a customer number for correspondence or provide an address where USPTO should send correspondence for this application.

⊙ **Customer Number**   *Please enter a valid Customer Number*

OR

○ **Correspondence Address**

Identify Customer Number or Address. If "Address" is selected, screen changes dynamically to input address info

Privacy Policy   [Cancel] [Continue]

EFS-Web: Attachments

EFS Unregistered

| Unregistered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt |

Attach Documents

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission.

MORE I have no documents for this filing, please continue to Calculate Fees.

This is the application data associated with your filing. If any information is incorrect, please edit the Application Data

Title of Invention	test
First Named Inventor	Joyce Patent
Customer Number	12345
e-Filer	John
Attorney Docket Number	
Application Type	new utility

Bibliographic Data Echoed Back To User

Easy-to-Use Document Attachment Capability

If your PDF file contains multiple parts, check the *Multi-Doc* checkbox and choose the appropriate document descriptions.

Files to be Submitted 🛈	Multi-Doc	Category 🛈	Document Description 🛈
[ ] Browse...	☐	Board of Patent Appeals ▾	Appeal ▾

Privacy Policy   [Cancel] [Upload & Validate] [Review]

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

EFS-Web:
Review Data & Documents

EFS-Web:
Fee Calculation

Calculate Fees

If you are not paying fees for this filing at this time, you may continue to **Confirm/Submit**

Failure to pay these fees on filing a new application will result in a surcharge. See 37 CFR 1.16 (f) and (g).

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission.

Select business size: ⊙ Large Entity ○ Small Entity ⓘ

Fee Calculator

Total Fees Due: $ 700

☑ **Utility Patent Application Filing Fees** *(select all that apply)*

	☐ Filing	☑ Search	☑ Exam	
Amount	$300	$500	$200	
Fee Code	1011	1111	1311	Sub-Total $ 700

Application Fee Size - Number of Pages in the Specification and any external tables ⓘ

0   * .75 = 0   - 100 = 0   / 50 = 0   * $ 250 = Sub-Total $ 0

Claims *(select all that apply)*

Total Claims 0   - 20 = 0   * $ 50 = $ 0

Independent Claims 0   - 3 = 0   * $ 200 = $ 0

☐ Multiple Dependent Claims($360)   = $ 0   Sub-Total $ 0

Miscellaneous Filing Fees: *(select all that apply)*

☐ Non-English Specification ($ 130)

☐ Publication Fee for early, voluntary or normal publication ($ 300)   Sub-T...

☐ **Petition Filing Fees** *(select all that apply)*

ⓘ Privacy Policy   [Cancel] [Calculate] [Clear] [Continue]

Fees calculated based on values entered by user

EFS-Web:
Confirmation and Submission

EFS Unregistered

Unregistered eFilers	Please Read Announcements	Application Data	Attach Documents	Review Documents	Calculate Fees	Confirm & Submit	Pay Fees	Receipt

Submit Application

A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO. The Acknowledgement Receipt is evidence of this submission.

This is the application data associated with your submission. If any information is incorrect, please edit the Application Data

Title of Invention	Test
First Named Inventor	John Patent
Customer Number or Correspondence Address	00059
Filed By	test test
Attorney Docket Number	
Application Type	Utility

Final Opportunity to Review/Confirm/Edit Data

Fees Computed

This is the fee data associated with your submission. If the following amount is incorrect, please edit the Fee Calculation

Total Fees Due: $ 300

To Review a Document, please click on the document name.

Files to be Submitted	Page Count	Document Description	File Size ℹ	Validation Status Message
sample43.pdf	12790	Drawings	23278472 byte	◆ PASS
fee-info.pdf	2	Fee Worksheet (PTO-875)	6605 byte	◆ PASS

Final Review of Attached Files & Status

➡ Edit Attached Files

Final Opportunity to Confirm Data & Submit Application

⚷ Privacy Policy   [Cancel]   [Submit]   Please click Submit only once

EFS-Web:
Pre-Acknowledgement Receipt

EFS Unregistered

| Unregistered eFilers | Please Read Announcements | Application Data | Attach Documents | Review Documents | Calculate Fees | Confirm & Submit | Pay Fees | Receipt |

Congratulations! You are ready to pay fees associated with your submission.

10:57:03 Eastern Time on 21-NOV-2005 You have submitted your application files and an Acknowledgement Receipt will be issued.

The following is NOT an *Acknowledgement Receipt*, but is provided for your information.

The following identification numbers are associated with your submission.

Application Number	59967009
Confirmation Number	1011
EFS ID	1000019

Application #
Confirmation #
EFS ID
Confirmed

The following fees are due.

Total Fees Due: $ 300

Total Fees Identified

The USPTO's RAM payment server is ready to accept your fee payments using a USPTO Deposit Account, an Electronic Fun following credit cards: *American Express, Discover, MasterCard,* or *Visa.* Please have all access codes, account numbers an ready to ensure a successful online payment experience.

Would you like to pay your fees at this time?

| YES! I want to pay now | NO - I will pay later (additional charges may be incurred) |

Payment Options Presented

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.
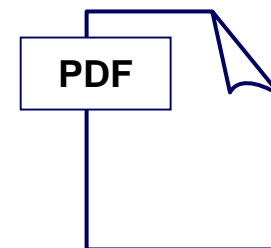
PDF Attributes
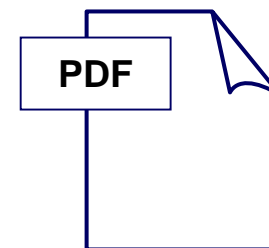
EFS-Web:
About PDF Technology

- ***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

PDF

EFS-Web:
About PDF Technology

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

- There two versions of PDF: ***Readers and Writers***
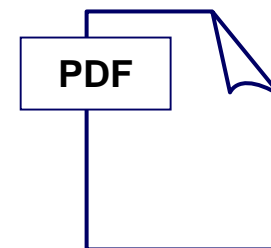
- ***EFS-Web requires you to have PDF Writer***

PDF

EFS-Web:
About PDF Technology

- **_Recommended PDF Writers_** to work with EFS-Web include:

  - **_Adobe Professional_**

  - **_Open Office_**

  - **_Easy Office_**

  - **_Cute PDF_**

  - **_PDF Redirect_**

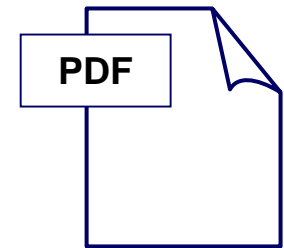 - **_PDF 995_**

  - **_Primo PDF_**
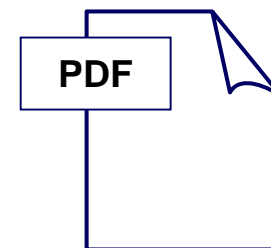
PDF

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

PDF

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*
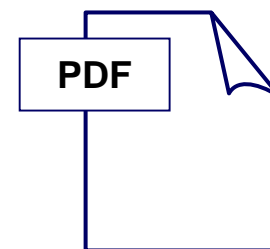 - Use of "alternate" images is not supported

PDF

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
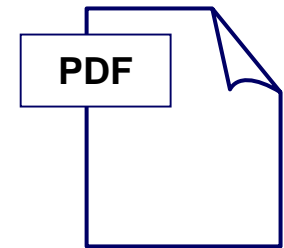
PDF

- **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*

PDF

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
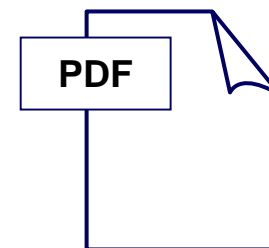- Malicious and virus embedded files
- Not PDF file type

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

PDF

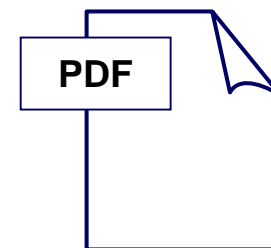- Auto-load field information directly in USPTO's systems

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

PDF

- *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
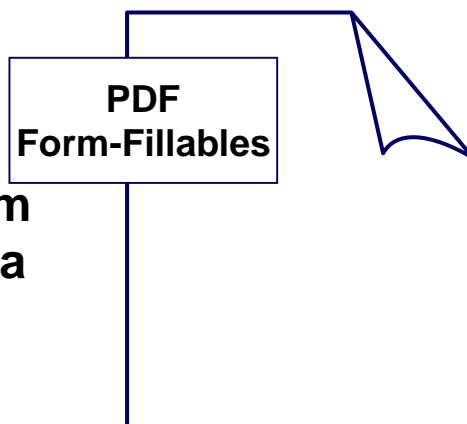
EFS-Web:
PDF Form-Fillable Features

Print forms with data
entered by the user

Save form electronically
with data embedded

PDF
Form-Fillables

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/Non-provisional applications

- Contains bibliographic data

Information Disclosure Statement

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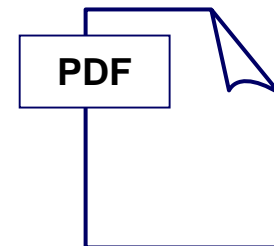- Submitted for consideration in a non-provisional patent application

EFS-Web:
Requirements and Availability

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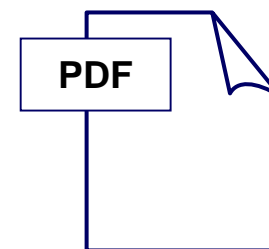 - Adobe Reader 7.0.5 and above
  - Freely available from Adobe

- **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.**
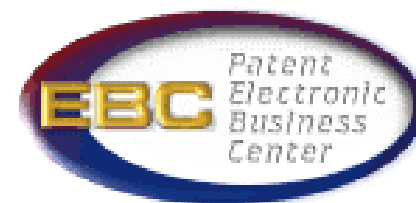
EFS-Web:
Support

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

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*** <u>before</u> 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
Web Enabled Patent Filing

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