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About EFS-Web



EFS-Web
Web Enabled Patent Filing

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



What EFS-Web Does

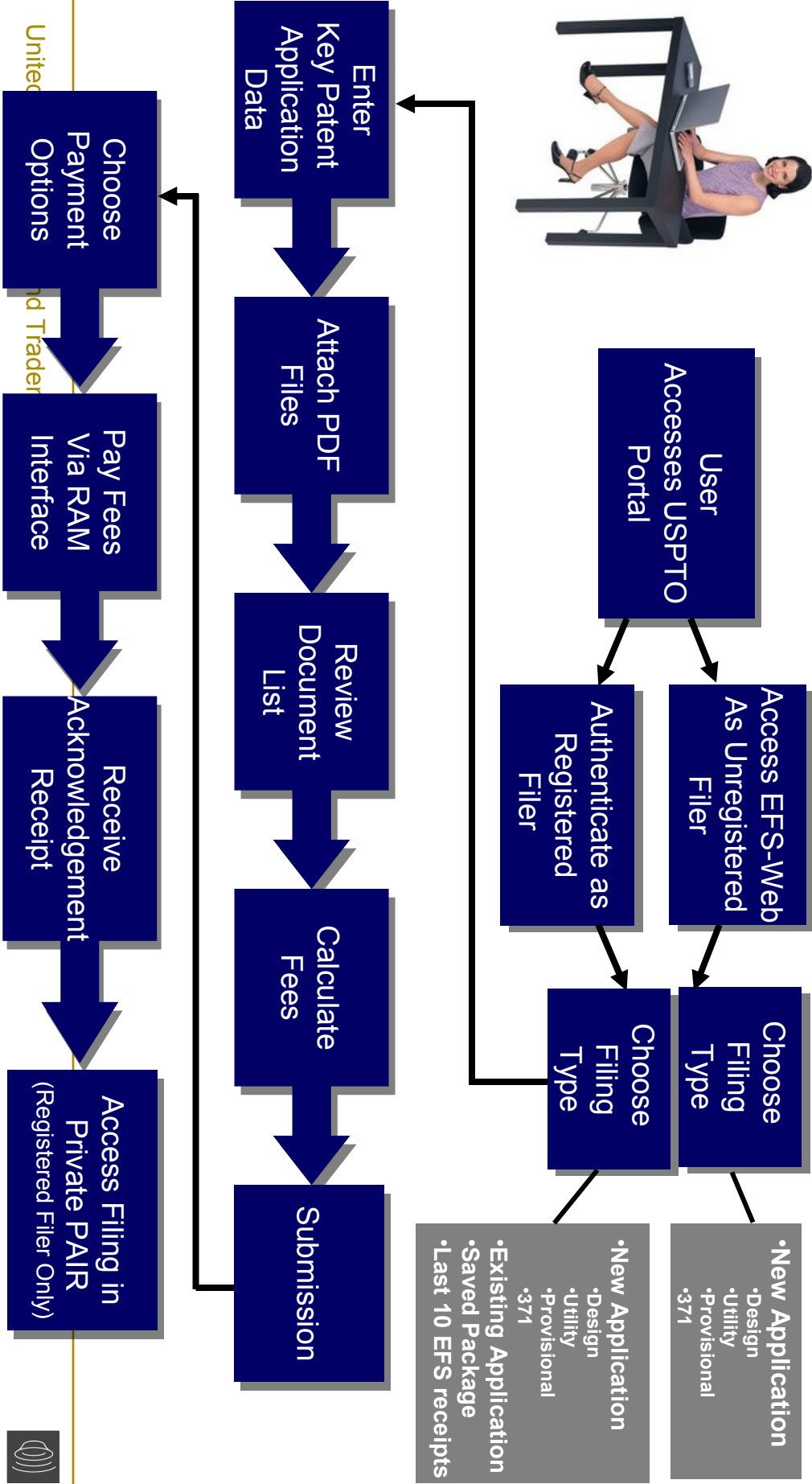
- *Online submission of PDF files of patent applications and documents*
- *Online payment of patent application and document filing fees*
- *Verifies and validates files before submission*
- *Provides a valid filing receipt that is the equivalent of an Express Mail receipt*
- *Speeds access to data via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




EFS-Web
Web Enabled Patent Filing



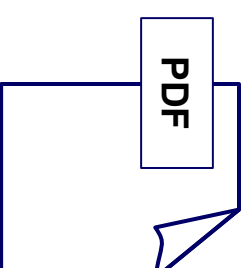
How EFS-Web Works





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**



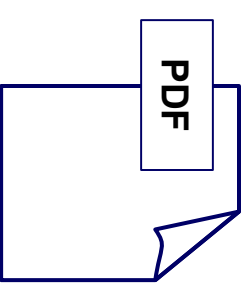
Used in conjunction with EFS-Web, PDF Form-Fillables ease the filing and submission process and accelerate the online availability of patent applications and documents



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**



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EFS-Web is a web-based patent application and document submission solution that utilizes standard web-based screens and prompts to enable you to submit a portable document format (PDF) document directly to the USPTO.

Q. How is EFS-Web different from PASAT and ABX?

Unlike USPTO's original electronic filing tool, PASAT, and its follow on, ABX, EFS-Web is not a patent application authoring tool, but simply a means allowing you to easily and quickly submit patent applications and related documents electronically as PDF attachments. You choose the tool, process and workflow with which you author your documents; the only requirement is that prior to submitting them via EFS-Web, you first convert them to PDF files.

Q. What's the benefit to using EFS-Web?

EFS-Web offers you the ability to file patent applications and other patent documents electronically in a fraction of the time and at substantially less cost than paper filings. You forgo printing, postage and courier costs, and receive immediate notification that your submission has been received. Unlike paper filings, most new applications submitted electronically can be viewed in Private PAIR in just a few hours after filing.

Q. Who can file documents using EFS-Web?

Both Registered and Unregistered users are able to file. The major difference is that Registered users (i.e., those holding a Digital Certificate or working under the direction of a PKI certificate holder) are able to view documents on Private PAIR after they file, while Unregistered users cannot. In addition, Registered users are able to file documents and/or fees associated with previously filed patent applications

Q. What types of filings may I submit using EFS Web?

Registered and Unregistered eFilers may file new utility, provisional, design, and National Stage applications under 35 USC 371. Registered eFilers may also file follow-on documents and/or fees for previously filed applications.

Q. Do I need a Customer Number?

A customer number is not required to file a patent application using EFS. A correspondence address may be provided in lieu of a customer number, however applications that are not filed using a customer number cannot be viewed in Private PAIR.

Q. What is a PKI certificate and how can I obtain one?

A PKI (Public Key Infrastructure) certificate is a digital certificate issued by the USPTO to registered patent attorneys, registered patent agents, independent inventors, and limited recognition practitioners. The PKI certificate ensures your transmission via EFS-Web against unauthorized viewing, and allows you to view recent submissions in Private PAIR. More information regarding how to obtain a digital certificate is available at [Customer Numbers and Digital Certificates](#). It is recommended that EFS users obtain a customer number and digital certificate as soon as possible so that USPTO can provide the most complete information and support possible.

Q. Can paralegals and others who are not holders of PKI certificates file patent applications on behalf of the certificate holder using EFS-Web?

Yes. Legal personnel working under the direction and control of a Digital Certificate holder may file as long as they provide their names and e-mail addresses.

Q. Do I need to download USPTO software onto my computer to use EFS-Web?

No. EFS-Web is a web-based tool. All you require to use it is Internet access of at least 56 Kbps and a standard operating system that is compatible with EFS-Web. It is recommended that you also have version 7.0 of Adobe Acrobat (or its counterpart if using a different type of PDF creation software) installed on your computer in order to use the EFS' fillable PDF forms.

Q. Can I submit files in formats other than PDF using EFS-Web?

No. At present, only PDF files can be submitted electronically. In future releases, other file types may be accepted as well.

Q. What types of PDF creation software can I use to produce the PDF files that will be accepted by the USPTO?

The most common versions of commercial PDF creation software will be accepted by EFS-Web:

- Adobe
- Open Office (Freeware)
- Easy Office (Ad ware)
- Cute PDF (Freeware)
- PDF Redirect (Freeware)
- PDF 995 (Ad ware)
- Primo PDF (Freeware)

USPTO supports PDF standards versions 1.1 to 1.6, and Adobe Reader 7.0.5 or higher to use EFS Fillable forms. A detailed listing of PDF guidelines may be found at the [EFS Forms](#) page.

Q. Is there a size limit for the PDF files submitted using EFS-Web?

Yes, files must be smaller than **25 MB**.

Q. What is a multi-doc PDF?

For your convenience, the USPTO will accept PDF files that contain **multiple documents** that should be separately indexed in the Image File Wrapper. For example, a patent application may contain a specification (e.g. description), claims, abstract, and drawings that should be listed as separate documents in the IFW. Enter the page ranges for each section so that the documents are properly displayed in the IFW.

Q. What is a form fillable PDF?

Certain USPTO forms are fillable, dynamic and saveable using Adobe Acrobat Reader 7.0.5 or greater. The forms can be downloaded and data can be entered into the forms and saved. Data can be imported and exported from these forms. The forms can then be attached to your submission package and the data in the forms will be automatically loaded into USPTO systems. See [EFS Forms](#) for more.

Q. Where can I find the latest versions of USPTO fillable forms?

The latest versions of USPTO fillable forms are available for download from [EFS Forms](#).

Q. Can I use my own PDF forms?

Yes, but the data present in the forms will **not** be automatically loaded into USPTO systems.

Q. What software do I need to use USPTO's fillable PDF forms?

Adobe Acrobat Reader 7.0.5 or greater is required to use the EFS fillable forms. Other USPTO fillable forms **not** designed for EFS can be filled and saved only with Adobe Acrobat Professional, version 6.

Q. The PDF fillable form Application Data Sheet requires an application type. What is an application type?

Application-type is a characteristic the USPTO applies to the new filings we receive. An application-type may be provisional, non-provisional, or a reissue. At this time EFS-Web does not accept reissue applications.

Q. The first named inventor in my application has only one name. What should I do?

If the inventor has only one name enter a period into one of the name fields.

Q. What is the application subject matter in the PDF fillable form Application Data Sheet?

Subject matter is a characteristic the USPTO applies to the new filings we receive. An application may be a utility application, a design application, or a plant application. At this time EFS-Web does not accept plant applications.

Q. I want to include an Information Disclosure Statement (IDS) and/or Application Data Sheet (ADS) with my new application, but the IDS or ADS form indicates that I should enter an application number. What should I do?

If your application has not yet been assigned an application number; leave the application number field blank on the IDS form.

Q. With PASAT and ABX it could take hours to submit an application. Is this true of EFS-Web as well?

No. Unlike PASAT and ABX, which created complex XML documents that required significant periods of time to successfully transmit over the Internet, EFS-Web transmits common PDF file attachments to USPTO. The time involved will depend upon the speed of your Internet connection and the size of the PDF files you are submitting, but the time required for submission is significantly less than you may have experienced with PASAT and ABX.

Q. Does EFS-Web have built-in safeguards that notify me if there's a problem with the file?

Yes. EFS-Web will automatically validate the file types and data entered on the web screens and tell you before you submit your application if it meets USPTO standards.

Q. What proof will I have that the USPTO has received my submission?

Once you have submitted your documents electronically you will immediately receive an Acknowledgement Receipt that contains critical information, including a time and date stamp of receipt, listing of the files/documents associated with your submission, page counts of those files/documents where applicable, an application number and a confirmation number. This electronic receipt may be printed, and it carries the security and authority of the Post Card receipt commonly provided in paper-filed applications and returned to you by the United States Patent and Trademark Office acknowledging receipt of your documents.

Q. Will the electronic time and date stamp reflect the time zone I file in?

No. The filing date will be calculated based on the time of receipt in the Eastern Time zone.

Q. What happens if I get disconnected or my system goes down during submission?

Contact the Patents Electronic Business Center at **866-217-9197**. However, your submission is not considered to be complete until you have received the electronic Acknowledgement Receipt.

Q. Is EFS-Web integrated with Private and Public PAIR?

Yes. EFS-Web is integrated with Private and Public PAIR. By becoming a trusted filer (someone who has a Digital Certificate), EFS-Web submissions are available for viewing in Private PAIR within hours instead of days or weeks.

Q. How long will it take to be able to view documents I've submitted electronically in Private PAIR?

New applications generally will be available for viewing within an hour of the time from which they are filed.

Q. Can I pay patent application fees online?

A. Yes, fee payments may be made in real time, much as you would in an online purchase transaction.

Q: When filing an authorization to charge fees to a deposit account via EFS-WEB, is a duplicate copy of the form

required?

A: No, only one copy of the form is required when filing via EFS-Web.

Q. I'm getting validation errors, what do the colored triangles mean?

Yellow triangles ▲ indicate that a warning message is associated with the PDF file.

Red inverted triangles ▼ indicate that an error has been found in the PDF file.

Q. My attached PDF file returned a validation error. What do I do?

Remove the PDF file, correct the problem identified in the error message, save the PDF file and attach and validate it again.

Q. May I submit with warning messages?

Yes.

Q. How long can I save a submission?

Registered users' submissions can be saved for up to **four (4) days**. After four days, saved files will be deleted from the EFS server.

Q. Where are my submissions being saved?

Submissions are saved on a dedicated EFS server.

Q. Can I resave my application and extend my save time?

No.

Q. How many applications may I save at a time?

Ten (10), but each saved application will be saved for up to four days.

Q. I make changes to my submission, why does my information not update/save?

Using navigation tabs in your browser instead of selecting the Continue function will result in information failing to be updated or saved.

Q. Do I have to attach a specification for a new utility submission?

No, but not including a PDF file with a document description of “specification” will lead to a delay in the processing of your application.

Q. Do you have any guidance on how to correctly use document codes?

Yes, see [How to Index Document Codes](#) for guidelines.

Q. What are the rules for naming PDF files for submission?

PDF File naming conventions:

EXAMPLE: Filename.pdf

1. Start file name with [**A** thru **Z**, **a** thru **z**, or **0** thru **9**] - do not use brackets or commas; cannot start a file name with an underscore or hyphen
2. Last 4 characters of the file name must be lowercase **.pdf**,

EXAMPLE: .pdf

3. Can consist of any combination of character selected from uppercase alphabet, lowercase alphabet and/or digits zero through nine:

[**A** thru **Z**, **a** thru **z**, or **0** thru **9**, **_**, **-**] - do not use brackets or commas; can use **underscore** or **hyphen** within file name

4. No spaces are permitted in the actual PDF file name
5. Spaces are permitted in your local file path
6. Length of PDF file name is limited to a maximum of **256 characters** including the required 4 character **.pdf** file extension

EXAMPLE: VALID FILE NAMES:

Up_to_252-Alphabetic_or_Numeric_CharactersPlus.pdf

RUNonlettersorNUMBERS.pdf

123-12333_z.pdf

EXAMPLE: INVALID FILE NAMES (ERRORS) :

Over252charactersplux.pdf (exceeds total character limit)

Name.PDF (ends in .PDF - must be .pdf)

Any space.pdf (exceeds total character limit)

~@#\$\$%^&*()+=]}[{"";:;?/?>.<,.pdf (contains invalid characters within file name)

KEY:  =online business system  =fees  =forms  =help  =laws/regulations  =definition (glossary)

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[Patent EBC](#) > [Patent Portals](#) > [EFS-Web Help & Tutorial](#) > **Benefits**

About EFS | **FAQs** | **Tools** | **Tutorials**

EFS-Web Benefits

- **EFS-Web is safe.** Filings made with EFS-Web provide you with the same legal protection as paper-based filings. You receive an electronic receipt and confirmation, as well as the ability to print the receipt for your records, affirming your receipt date.
- **EFS-Web is simple.** Even the largest and most complex patent applications can be submitted by attaching PDF files and filling out a few simple web screens.
- **EFS-Web is secure.** EFS-Web submissions are protected through state-of-the-art security methods, including Transport Layer Security (TLS), and if you sign up as a registered filer, Digital Certificates, one of the most secure methods now available.
- **EFS-Web is fast.** In just a few minutes and using a few web screens, you can submit a patent application, pay for your filing and receive an acknowledgment receipt.
- **EFS-Web is flexible.** EFS-Web requires you to make no changes to the tools, processes or workflows you use to author patent applications and documents. Filing with EFS-Web does not require you to learn how to use new authoring tools.
- **EFS-Web is forgiving.** EFS-Web validates whether the PDF files and data you're trying to file can be accepted before they are submitted. If there's a problem, EFS-Web will tell you why the document can't be submitted — allowing you to take corrective action quickly.

Registered and Unregistered Filers

While EFS-Web gives anyone who accesses the site the ability to submit patent applications and documents, you can get more benefit from the system as a registered filer, including filing follow-on papers and saving the package before submission. Registering is easy and can be done by submitting paper forms to the Patent Electronic Business Center, which will then issue a Digital Certificate that authenticates your identity.

Security

EFS-Web is a secure hosted application, no matter whether you are a registered or an unregistered filer. If you file as an unregistered filer, your documents will be transmitted using Transport Layer Security (TLS) or Secure Socket Layer (SSL) protocol. If you choose to register, in addition to transmission through TLS, access to your non-public

filing records is protected through a Public Key Infrastructure system that provides for authentication (proof that you are authorized to access the records) and the issuance of a session cookie that permits you to access all secure portal services that you have the authority to use.

Built-In File Validation

EFSS-Web automatically validates files and informs you before submission whether your application meets USPTO standards. If it doesn't meet standards, you'll be notified of the problem so you can take corrective action before final submission.

Online Payment of Fees

EFSS-Web allows you to pay filing fees in an e-commerce environment, smoothing the process and allowing you to select the payment option that you desire.

Valid Electronic Receipt

EFSS-Web provides an Acknowledgement Receipt that contains critical information, including a time and date stamp, an application number and a confirmation number. This electronic receipt may be printed, and it carries the security and authority of the Post Card receipt commonly provided in paper-filed applications.

Public/Private PAIR Integration

EFSS-Web submissions are viewable in Public/Private PAIR just like paper applications. If you are a registered filer, your patent applications and documents are available in Private PAIR in a short time.

KEY:  =online business system  =fees  =forms  =help  =laws/regulations  =definition (glossary)

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EFFS-Web System Requirements

OPERATING SYSTEM	HARDWARE	SOFTWARE	BROWSER	JAVA VIRTUAL MACHINES	COMMENTS
XP Pro	266-MHz or higher Intel Pentium processor (or similar AMD Processor)	Adobe Acrobat 7.0.5	IE 6.0 SP1/SP2, Netscape Navigator 7.0	MS JVM 5.0, Sun Java Plugin 1.5.0 and above	Sun JRE version 1.5.0_05 is strongly recommended for TLS configuration.
XP Home					
Win2000Pro	256 MB of RAM				
	20 GB hard drive with 90 MB of free disk space				
	1024 X 768 Resolution, 800 X 600 minimum				
	56 Kbps or faster				
Mac OSX 10.3	PowerPC	Adobe Acrobat 7.0.5 MAC	Mac Safari 1.2	Apple JVM 1.4.2	Apple JVM 1.4.2_05 (Update1) is not supported. Must use SSL instead of TLS
	256 MB of RAM				
	20 GB HFS formatted hard drive with 125 MB of free disk space				
	1024 X 768 Resolution, 800 X 600 minimum				
	56 Kbps or faster				
RedHat 9.0	266-MHz or higher Intel Pentium processor (or similar AMD Processor)	Adobe Acrobat 7.0.5	Mozilla 1.7.3 (Mozilla 1.7.2 has a security flaw)	Sun Java Plugin 1.5.0 and above	Sun JRE version 1.5.0_05 is strongly recommended for TLS configuration.
	256 MB of RAM				
	20 GB hard drive with 90 MB of free disk space				

1024 X 768 Resolution, 800
X 600 minimum

56 Kbps or faster

Browser and Adobe Acrobat Reader Compatibility

The following browser and Adobe Acrobat Reader version combinations for opening PDFs in a browser window are supported (marked by an 'x').

	Adobe 5.0.5	Adobe 5.1	Adobe 6.0.1	Adobe 7.0*
Internet Explorer 5.01 or higher	x	x	x	x
Netscape 7.0	x	x		x
Netscape 6.x		x		
Netscape 4.7x		x		x
Mozilla 1.73				x
Mozilla 1.8				x

* Adobe 7 Reader is only required to use Fillable PDF forms designed specifically for EFS.

PDF Instructions

EFS Web requires that the PDF documents conform to any one of versions 1.1 through 1.6 of the Adobe PDF specification.

About Adobe Acrobat Reader

EFS Web does not require the use of Adobe Acrobat Reader, a free software application. The recommended version of Adobe Acrobat for EFS Web is version 7.0. To **upgrade to version 7.0**, choose the appropriate operating system and language for download of Acrobat Reader 7.0. **[Click here for more help viewing PDF files in browser.](#)**

>> ***JAVA 2 Platform, Standard Edition 5.0, v 1.5.0_05 (J2SE) JAVA Runtime Environment (JRE)*** is required

>> **Security Settings**

>> **Cookie Settings**

KEY: =online business system =fees =forms =help =laws/regulations =definition (glossary)

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EFS-Web "Sandbox" - *Try before you file*

● **Simulated EFS - Unregistered eFilers**

Try out the Electronic Filing interface for Unregistered eFilers in a simulated environment where no information is transmitted to the USPTO. Preview the screens so you can know what to expect when you are actually ready to file online. Unregistered eFilers can only submit their application online and do not have the ability to save an application for later completion, nor can they perform follow-on actions or review their application record online afterwards. Such advanced capabilities require registration for a **Customer Number** and a **Digital Certificate** for proof of identity.

● **Simulated EFS - Registered eFilers**

Try out the Electronic Filing interface for Registered eFilers in a simulated environment where no information is transmitted to the USPTO. Preview the screens so you can know what to expect when you are actually ready to file online. Registered eFilers can submit new and follow-on applications online and have the ability to save an application for later completion. They can also monitor the progress of their application online afterwards.

About EFS-Web (Tutorial) [PPT, 29.9 Mb > [Free Viewer](#)]

View and listen to a brief PowerPoint presentation about what EFS-Web is and how it works.

Customer Numbers and Digital Certificates

A USPTO Customer Number is not required for Unregistered eFilers, but you may use one instead of typing in your correspondence address. Both a Customer Number and a Digital Certificate are required before you can use Registered eFiling. Follow the instructions on this page to obtain and use Customer Numbers and Digital Certificates.

Document Indexing

General rules for document description indexing

How to ... Cookie & JAVA Settings

Setting your web browser to work with session cookies and JAVA applets

How to ... JAVA Installation for Web Browsers

A key component of EFS-Web is the use of JAVA applets to operate security features. For Registered users, JAVA enables them to login and access their account information online.

How to ... Security & Other Settings

Setting your browser to successfully use EFS

PDF Creation for EFS

Directions for creating PDF files that may be submitted to the USPTO via EFS

KEY:  =online business system  =fees  =forms  =help  =laws/regulations  =definition (glossary)

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*Have a suggestion for more material for this customer profile? **E-mail suggestions to the webmaster@uspto.gov**. While we cannot promise to accommodate all requests , your suggestions will be considered and may lead to other improvements to the web site.*

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About PAIR | PAIR FAQs | PAIR Tools | PAIR Tutorials

A **document description** is a USPTO-defined description of forms and documents that are received and processed in the USPTO. These document descriptions have corresponding document codes that are established and managed in IFW.

Document Description	Category	USPTO Business Process Description
Abstract	Application Part	A portion of the application, as submitted by the applicant, that gives a brief overview of the disclosed invention.
Amendment	Amendment	Amendment filed by the applicant in response to a non-final office action issued by the Examiner based on the merits of the application.
Amendment After Final	Amendment	Amendment provided by the applicant after the Examiner closes prosecution with a final rejection. Amendment is not automatically entered by the Examiner. It will not be entered if it requires additional search or more than cursory review.
Amendment after Notice of Allowance (Rule 312)	Office of Patent Publication	When applicant files an amendment after the Notice of Allowance has been mailed but before the issue fee is paid, the amendment is not entered automatically. It may only be entered upon recommendation of a Primary Examiner. It will not be entered if it requires additional search or more than cursory review.

Amendment Submitted/Entered with Filing of CPA/RCE	
Amendment/Argument after BPAI Decision	Amendment
	Applicant may submit an amendment at the time of the filing of a Request for Continued Prosecution Application (CPA).
	An amendment may be filed after the decision of the Board of Patent Appeals and Interferences. If it does include any recommendation made by the Board and presents new or amended claims, in view of the fact that prosecution is closed, the appellant is not entitled to have such amendment entered automatically. However, if the amendment is submitted with a request for continued examination, the prosecution of the application will be reopened and the amendment will be entered. If the amendment obviously places an application in condition for allowance, the primary examiner, with the concurrence of the supervisory patent examiner, will have the amendment entered. Arguments may be filed after the Board's decision such as the judicial precedent or rule or statute has been rescinded or overruled.
Amendment/Argument after Notice of Appeal	Board of Patent Appeals
	An amendment may be filed at any time after final rejection, but before the jurisdiction of the case has passed to the Board of Patent Appeals and Interferences. However, after the Notice of Appeal has been filed by applicant, any amendment or argument filed by applicant is not normally entered unless the paper presented clearly places the application in condition for allowance.

Appeal Brief Filed	Board of Patent Appeals	After two rejections from the Examiner, applicant (now appellant) may file an Appeal Brief of the Examiner's decision. The appeal is to be decided upon by an administrative patent judge from the Board of Patent Appeals and Interferences within the USPTO. The judge weighs the evidence in the Appeal Brief and in an Examiner's Answer to reach a decision.
Applicant Arguments or Remarks Made in an Amendment	Amendment	A reply by the applicant to an office action must request reconsideration for further examination, must distinctly and specifically point out the supposed errors in the examiner's action and must reply to every ground of objection and rejection in the prior Office action. The reply must present arguments or remarks pointing out the specific distinctions believed to render the claims, including any newly presented claims, patentable over any applied references. In the amendment in reply to a rejection of claims, applicant's arguments or remarks must clearly point out the patentable novelty which he or she thinks the claims present in view of the references cited or the objections made.
Applicant Response to Pre-Exam Formalities Notice	Office of Initial Patent Examination	Response is sent by applicant to a notification to file missing parts or a notification of failure to comply with reissue rules within the time period for reply as set in the notice.
Applicant summary of interview with examiner	General Transmittal	This letter from the applicant provides the applicant's summary of an interview held with the examiner.

Application Data Sheet	Application Part	The application data sheet is a sheet voluntarily submitted in either provisional or nonprovisional applications and contains bibliographic data, arranged in a format specified by the USPTO. Supplemental application data sheets may be submitted prior to payment of the issue fee either to correct or update information in a previously submitted application data sheet.
Authorization for Extension of Time for all replies	General Transmittal	In response to most actions issued by the USPTO, applicant is required to respond within a shortened statutory time. The applicant may extend that period up to the maximum 6 month period set by statute by filing a written request and the appropriate fee. The request may include a blanket authorization from applicant to cover any concurrent or future reply requiring an extension.
Authorization to access US filed Patent Application by Trilateral Offices	General Transmittal	This document is an authorization from a US applicant permitting access to their electronic US Patent Applications by participating International Offices.
Change of Address	Change of Address or Attorney	Where an attorney or agent of record (or applicant, if he or she is prosecuting the application pro se) changes his or her correspondence address, he or she is responsible for promptly notifying the USPTO of the new correspondence address (including ZIP Code). The notification should also include his or her telephone number. A change of correspondence address must be signed by an attorney or agent of record.

Claims	Application Part	The claim is that part of a patent application particularly pointing out and distinctly claiming the subject matter which the applicant regards as the invention or discovery.
Continued Prosecution Application - Continuation (ACPA)	Continued Prosecution	A Continued Prosecution Application (CPA) is filed by applicant before abandonment or termination of proceedings of a prior application and requests express abandonment of that prior application. The CPA discloses and claims only subject matter disclosed in the prior application.
Continuing Prosecution Application - Divisional (DCPA)	Continued Prosecution	A Continued Prosecution Application (CPA) is filed by applicant before abandonment or termination of proceedings of a prior application and requests express abandonment of that prior application. The CPA discloses and claims only subject matter disclosed in the prior application. The CPA may be either a continuation or a Divisional CPA. In the Divisional CPA (DCPA), applicant requests prosecution of claims that were directed to the non-elected invention in the prior application.
Documents submitted with 371 Applications	Application Part	For an international application designating the United States, to begin the national stage, an applicant files International Bureau documents including the international application, a translation if necessary, and other documents such as an international search report and a preliminary examination report.
Drawings	Application Part	Where it is necessary to understand the invention, a complete application

Extension of Time	General Transmittal	must include drawings illustrating the disclosed invention. If applicant is required to respond within a shortened statutory time, the applicant may extend that period up to the maximum 6 month period set by statute by filing a written request and the appropriate fee.
Fee Worksheet (PTO-875)	General Transmittal	Fee worksheet is found at the end of the application used by the Technical Administrative Staff to determine the amount of fees due from the applicant. This worksheet can also include various other payment related internal documents.
Foreign Reference	Information Disclosure Statement	The foreign references originally cited by the Examiner or the applicant are made of record in the application and are viewable in IFW.
Incoming Specification - Not in English	Application Part	The written portion of the application is submitted by the applicant describing the invention that is not submitted in English.
Information Disclosure Statement (IDS) Filed	Information Disclosure Statement	The applicant provides an Information Disclosure Statement (IDS) at the earliest possible stage of prosecution detailing the most pertinent references known to applicant. The Examiner is to consider each reference cited in the IDS prior to the next Office action on the merits.
Issue Fee Payment Recorded	General Transmittal	When an application is ready to be issued, the Examiner provides the issue information on the Issue Classification form. This information includes the status of the claims, their final numbers for the issued patent, the

Letter requesting Express Abandonment of the application	General Transmittal	original U.S. Class and Subclass, the U.S. cross reference Class(es) and Subclass(es), the claim and the drawing figure to be printed in the Official Gazette, and the total number of claims being allowed. The Primary Examiner and the Assistant Examiner (if any) type in their name and sign the form.
Letter Requesting Interview with Examiner	General Transmittal	At any time during the prosecution of the application, applicant may file a letter expressly abandoning the application. Interviews with examiners concerning applications and other matters pending before the Office must be conducted on Office premises and within Office hours. An interview should normally be arranged for in advance, as by letter or telephone call, in order to insure that the primary examiner and/or the examiner in charge of the application will be present and available in the Office.
Letter Requesting Suspension of Prosecution	General Transmittal	An applicant may file a petition to suspend action in an application for a specific period of time for good and sufficient reasons. An example would be where a request for continued examination is made before a preliminary amendment is filed. The suspension would be requested to prevent having the case examined before the preliminary amendment is entered.
Letter to Official Draftsman Filed P/E	General Transmittal	Where applicant files a reply to a request for drawing corrections in an application, the applicant sends that

Miscellaneous Incoming Letter	General Transmittal	reply to the Official Draftsman requesting approval of the changes. A miscellaneous incoming letter from applicant shall be submitted any time during prosecution that is not directed to a requirement, notice or Office action sent by the USPTO.
New or Additional Drawings	General Transmittal	Transmittal letter is filed by applicant during prosecution of an application indicating that new or additional drawings were submitted.
Nonpublication request from applicant, filed as a separate paper
Notice of Appeal Filed	Board of Patent Appeals	After two rejections from the Examiner, applicant may file an Appeal Notice noting that applicant (now appellant) is appealing the Examiner's decision. The appeal is to be decided upon by an administrative patent judge from the Board of Patent Appeals and Interferences within the USPTO. The judge weighs the evidence in the Appeal Brief and in an Examiner's Answer to reach a decision
NPL Documents	Information Disclosure Statement	Document code is used for indicating Non Patent Literature (NPL) submitted by applicant or cited by the examiner.
Oath or Declaration filed		An oath or declaration filed as a part of a nonprovisional application must be signed by a person who understands the document that the person is signing, identify each inventor by full name, identify the country of citizenship of each inventor and state that the person making the oath or declaration believes the named inventor or inventors to be the original and first inventor or inventors of the subject

Patent Term Extension Application Under 35 USC 156 Filed		General Transmittal	matter which is claimed and for which a patent is sought. The oath or declaration must also identify the application to which it is directed, state that the person making the oath or declaration has reviewed and understands the contents of the application, including the claims, as amended by any amendment specifically referred to in the oath or declaration, and state that the person making the oath or declaration acknowledges the duty to disclose to the Office all information known to the person to be material to patentability.
Petition for review and processing by the Office of Petitions		Petition	If a product is required to be reviewed by the FDA or the Dept of Agriculture, a patent claiming the product, a method of use of the product, and/or a method of manufacturing the product may be eligible for extension. To obtain an extension, an application must be filed pursuant to 35 USC 156.
Petition for review and processing by the Office of Petitions		Petition	An incoming petition from applicant is sent to the official who has been delegated with the authority to decide the petition. Some petitions are delegated to the Office of Petitions to act on the decision or continue prosecution.
Petition for review and processing by the Technology Center SPRE		Petition	An incoming petition from applicant is sent to the official who has been delegated with the authority to decide the petition. Some petitions are delegated to the Technology Center Special Program Examiner to act on the decision or continue prosecution.

Petition for review and processing depending on status	Petition	An incoming petition from applicant is sent to the official who has been delegated with the authority to decide the petition. For some petitions, the office that is to review and process a petition is determined based on the processing status of the application as defined by the PALM status codes.
Petition to Withdraw from Issue		Prior to paying the issue fee, applicant can request that the Office withdraw an application from issue upon filing a petition including the fee and a showing of good and sufficient reasons why withdrawal of the application from issue is necessary. Once the issue fee has been paid, the application will only be withdrawn from issue upon filing a petition by applicant indicating unpatentability of one of more claims. The petition must be accompanied by an unequivocal statement that one or more claims are unpatentable; an amendment to the unpatentable claims, and an explanation as to how the amendment causes the claims to be patentable.
Power of Attorney (may include Associate POA)	Change of Address or Attorney	Applicant may file a change in Power of Attorney at any time during prosecution of an application. The POA indicates representatives given permission to act on behalf of the inventor or assignee to prosecute an application.
Power to Make Copies and/or Inspect	Change of Address or Attorney	Written authority signed by an applicant, an attorney or agent of record, an authorized official of an assignee or a registered attorney or agent named in the papers accompanying the application papers can be submitted to give access to an

		application to any person. This written authority gives the named person or persons a power to inspect and make copies of the application. An unrestricted power to inspect given by an applicant is recognized as in effect until rescinded.
Preliminary Amendment	Amendment	Amendment filed by the applicant prior to the Examiner issuing an office action that is based on the merits of the application.
Reply Brief Filed	Board of Patent Appeals	In response to an Examiner's Answer prepared by the Examiner following appellant's appeal brief to the Board of Patent Appeals and Interferences, appellant has a right to file a reply brief within two months of the mailing date of the Examiner's Answer.
Request for Certificate of Correction	Office of Patent Publication	Whenever a mistake of a minor character appears in a patent and a showing has been made that such mistake occurred in good faith, the applicant may request that the USPTO issue a certificate of correction. The certificate is then attached to each printed copy of the patent, and the certificate is considered as part of the original patent.
Request for Continued Examination (RCE)		If prosecution in an application is closed, an applicant may request continued examination (RCE) of the application by filing a submission and the fee prior to payment of the issue fee, abandonment of the application, or the filing of a notice of appeal. A submission includes, but is not limited to, an information disclosure statement, an amendment to the

written description, claims, or drawings, new arguments, or new evidence in support of patentability. The USPTO will withdraw the finality of any Office action and the submission will be entered and considered.

Request for Corrected Filing Receipt

Office of Initial
Patent
Examination

When an application is initially filed, applicant is informed of the application number and filing date by a filing receipt sent out by the USPTO. If applicant discovers an error in the filing receipt, applicant may send a request to the USPTO to correct the error.

Request for Corrected Notice of Allowance

Office of
Patent
Publication

If, on examination, it appears that the applicant is entitled to a patent under the law, a Notice of Allowance is sent to the applicant. The Notice of Allowance specifies an issue fee that must be paid within three months from the date of mailing of the Notice of Allowance to avoid abandonment of the application. Applicant may file necessary amendments, assignments, petitions, information disclosure statements, or other papers prior to the date of issue fee payment. One such paper is a request for a corrected Notice of Allowance, where some information on the Notice of Allowance is incorrect.

Request for Corrected Patent Application Publications

Pre-Grant
Publication

The Office will grant a request for a corrected or revised patent application publication from applicant when the Office makes a material mistake which is apparent from Office records. Any request for a corrected or revised patent application publication from applicant must be filed within two months from the date of the patent

Request for Early Publication	Pre-Grant Publication	application publication and include an indication of the mistake. Applications are normally published 18 months after they are filed. Applicant may request that his or her application be published earlier than that date.
Request for Expedited Processing for Design Rocket Docket Application	General Transmittal	A request is sent by applicant to expedite the processing and examination of a Design application. The request must be received prior to an examiner's action. The request must include a submission of request with fee, drawings, a statement that a preexamination search was conducted indicating the field of search with an Information Disclosure Statement (IDS) and that the application is in condition for examination.
Request for Reconsideration of BPAI Decision	Board of Patent Appeals	The Examiner may request rehearing of the decision of the Board of Patent Appeals and Interferences. All requests by the Examiner to the Board for rehearing of a decision must be approved by the TC Director and must also be forwarded to the Office of the Deputy Commissioner for Patent Examination Policy for approval before mailing. The request should set a period of 1 month for the appellant to file a reply. After the period set for appellant to file a reply has expired, the application file will be forwarded to the Board.
Request for Refund	General Transmittal	A formal request made from the applicant to refund fees paid during the prosecution of an application. The request must include reasons indicating why the fees are to be

Request for Refund of Publication Fee Paid	Pre-Grant Publication	Upon filing a request to withdraw the request for publication, applicant may also include a request for a refund of any amount paid in excess of the application filing fee and a handling fee as set forth by the USPTO. The request for refund of the publication fee must be filed prior to the publication of the application.
Request for Rule 1.138(c) Express Abandonment to avoid publication	Pre-Grant Publication	An applicant seeking to abandon an application to avoid publication of the application must submit a declaration of express abandonment by way of a petition including a fee in sufficient time to recognize the abandonment and remove the application from the publication process. Applicant should submit the declaration of express abandonment, petition and fee more than four weeks prior to the projected date of publication.
Request for status of Application	General Transmittal	This letter from the applicant is a simple request for the status of the application, such as the time until a first action can be expected
Request to Withdraw Appeal by Appellant	Board of Patent Appeals	Appellant may file a request to withdraw an appeal to the Board of Patent Appeals and Interferences. If no claims are allowed, the withdrawal is an express abandonment. If some claims are allowed, the withdrawal is the equivalent of an amendment canceling the appealed claims.
Request under Rule 129 to Reopen Prosecution	Continued	An applicant in an application, other

Prosecution	<p>than for reissue or a design patent, that has been pending for at least two years as of June 8, 1995 can request to have prosecution reopened for examination. Applicant is entitled to have a first submission entered and considered on the merits after a final rejection on the merits has closed prosecution if the first submission and the fee are filed prior to the filing of an appeal brief and prior to abandonment of the application. The finality of the final rejection is automatically withdrawn upon the timely filing of the submission and payment of the fee. A submission includes, but is not limited to, an information disclosure statement, an amendment to the written description, claims or drawings and a new substantive argument or new evidence in support of patentability.</p>
Request under Rule 48 correcting inventorship.	<p>Applicant can file a request to correct inventorship under Rule 48 at any time during prosecution of an application.</p>
Rescind Nonpublication Request for Pre Grant Publication	<p>An applicant may rescind at any time a prior filed request that an application not be published. This request will result in the publication of the application at eighteen months from the filing date of the application or as of the request to rescind the nonpublication request, whichever is earlier.</p>
Response after Ex Parte Quayle Action	<p>Amendment</p> <p>An Ex parte Quayle action is an Office action noting that all claims are allowable and the application is in condition for allowance except as to matters of form such as correction of the specification or a new oath. An Ex parte Quayle action closes prosecution</p>

Response to Election / Restriction Filed	Amendment
	<p>on the merits. A proper response from the applicant to an Ex parte Quayle action is limited to correcting these matters of form.</p> <p>Restriction is a generic term that includes the practice of requiring an election between distinct inventions, for example, election between combination and subcombination inventions, and the practice relating to an election between independent inventions, for example, an election of species. An Examiner may make a restriction requirement when an application may properly support separate patents and they are either independent or distinct. The Examiner may make this request either over the telephone, in which case the applicant's response is recorded in the next Office action, or in a separate letter making the Election or Restriction requirement. In the latter case, the applicant responds to this requirement in a separate response electing an invention or species to be examined.</p> <p>The USPTO will send applicant a notification of a failure to comply with the sequence rules and include an analysis of any submitted computer readable form. Upon detection during the preexamination processing of damage or a deficiency, a notice will be sent to the applicant detailing the damage or deficiency and setting a two month period for reply. Applicant must respond to the notice within the indicated time period and supply any information required.</p>
Response to Pre-Exam Sequence Notice	

Response to Rule 105 Communication	General Transmittal	If an Examiner determines that he or she does not have all information reasonably necessary to properly examine or treat a matter in a pending application, the Examiner may require additional information from the applicant or any assignee. Applicant's response to a Requirement for Information must include a complete response to each enumerated requirement for information giving either the information required or a statement that the information required to be submitted is unknown and/or is not readily available to the party or parties from which it was requested. There is no requirement for the applicant to show that the required information was not readily attainable, but applicant is required to make a good faith attempt to obtain the information and to make a reasonable inquiry once the information is requested.
Rule 131 or 132 Affidavits	Application Part	When a reference applied by the Examiner has a patent or publication date less than 1 year before the U.S. filing date of the application being examined, applicant may file an affidavit under Rule 131 to show prior inventorship to overcome the rejection. Evidence not otherwise provided for submitted by applicant to overcome a rejection or objection is submitted as an affidavit under Rule 132. Exhibits may be supplied to support either type of affidavit. Affidavits are normally submitted prior to a final rejection.
Specification	Application Part	The written portion of the application is submitted by the applicant describing

Status Letter Mailed to Applicant	General Transmittal	<p>the invention.</p> <p>At any time during prosecution of an application, applicant can request to know the status of an application. The USPTO responds to the request indicating the current status of the application after determination is made that the person requesting the status is of record in the application. This letter to applicant will also be used to acknowledge receipt of an application and documents received by the Electronic Filing System (EFS).</p>
Supplemental Amendment after Final Rejection	Amendment	<p>Supplemental Amendment provided by the applicant after the examiner closes prosecution with a final rejection. Amendment may or may not be entered by the examiner. The Supplemental Amendment after Final Rejection must be received prior to an examiner's Office Action in response to the original amendment after final.</p>
Supplemental Appeal Brief	Board of Patent Appeals	<p>Where prosecution is reopened by the primary examiner after an appeal or reply brief has been filed, appellant must either file a reply to the new office action or request a reinstatement of the appeal to avoid abandonment of the application. If reinstatement of the appeal is requested by appellant, such request must be accompanied by a supplemental appeal brief, but no new amendments, affidavits or other evidence are permitted. The supplemental appeal brief must follow the same rules for filing an appeal brief. Appellant also may file a Supplemental Appeal Brief after filing an Appeal Brief and prior to the Examiner's Answer.</p>

Supplemental Response or Supplemental Amendment	Amendment	
	Supplemental Response filed by the applicant at any time during prosecution in response to a communication issued by the USPTO to address informalities, corrections to the application or to augment arguments or a prior amendment submitted.	
Terminal Disclaimer Filed	Application Part	A timely filed terminal disclaimer may be filed by applicant to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent is shown to be commonly owned with this application. The purpose of a terminal disclaimer is to obviate a double patenting rejection by removing the potential harm to the public by issuing a second patent, and not to remove a patent as prior art.
Translation of a provisional application filed with a non provisional	Application Part	If a nonprovisional application submitted to the USPTO claims priority to a non-English language provisional application, applicant must submit an English language translation of the provisional application and a statement that the translation is accurate in order to be granted the priority date claimed. The English language translation must be submitted during the pendency of the nonprovisional application, and within the later of four months from the actual filing date of the nonprovisional application or sixteen months from the filing date of the prior provisional application.
Translation of Foreign Priority Documents	Application Part	An application may be entitled to the benefit of the filing date of a prior application filed in a foreign country, to

overcome an intervening reference or for similar purposes. As part of claiming the benefit of foreign priority, applicant is required to file a certified copy of the original foreign application, specification, and drawings upon which it is based. If the priority papers are not in the English language, a translation is required that may be filed with the priority papers or at a later time.

Transmittal of New Application

General Transmittal

Upon filing any papers to the USPTO regarding the filing of a new application, applicant includes a transmittal letter indicating the contents of the submission, including any fees that may accompany the papers. This letter usually includes the Express Mail Certificate of Mailing. This transmittal letter corresponds to the transmittal letter in a PCT application.

Document Indexing

General rules for document description indexing

KEY: =online business system =fees =forms =help =laws/regulations =definition (glossary)

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The EFS Team has noticed many issues regarding the mis-indexing of document codes. We also realize that this will be a large user education component for the EFS Team in the future. We hope to begin the education with you, our Phase I EFS-Web Beta Team, and look for your assistance in educating others.

Please, take a look at the following general rules for document description indexing. If you desire further education on the proper indexing of documents, reference the [Document Descriptions](#) [located on the EFS-Web page under [Help & Tutorial](#) > [Tools](#) > [Document Descriptions](#)] or e-mail the EFSEBETA@USPTO.GOV mailbox and a member of the EFS-Web team will be happy to assist.

General Rules for Document Indexing are as follows:

1. **Applications must be broken out into its appropriate sections**
 - Specification
 - Claims
 - Abstract
 - Drawing
2. **Paper associated with Amendments must be separated out to different document descriptions.** Typical amendment will include:
 - **Amendment transmittal document.** This is the first document discussing the type of amendment being filed:
 - Amendment after Non-Final
 - Amendment after Notice of Allowance (Rule 312)
 - Preliminary Amendment
 - Amendment after Final
 - **Application Parts** (if they exist):

- Specification
 - Claims
 - Abstract
 - Drawings
 - **Remarks** (Applicant Arguments or Remarks Made in an Amendment) document description
3. **Foreign References and Backfile NPL Documents** (Non-patent literature) must be separated out as separate documents
 4. **Appeal Briefs** do **not** have to have the “Claims” section separated out.
 5. **Petitions** that are accompanied **with Amendments** must have separate application parts documents descriptions as mentioned above,
- but if the petition cites the application part that part should not be separated out.

KEY:  =online business system  =fees  =forms  =help  =laws/regulations  =definition (glossary)

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- **EFS-Web is forgiving.** EFS-Web validates whether the PDF files and data you're trying to file can be accepted before they are submitted. If there's a problem, EFS-Web will tell you why the document can't be submitted — allowing you to take corrective action quickly.

Registered and Unregistered Filers

While EFS-Web gives anyone who accesses the site the ability to submit patent applications and documents, you can get more benefit from the system as a registered filer, including filing follow-on papers and saving the package before submission. Registering is easy and can be done by submitting paper forms to the Patent Electronic Business Center, which will then issue a Digital Certificate that authenticates your identity.

Security

EFS-Web is a secure hosted application, no matter whether you are a registered or an unregistered filer. If you file as an unregistered filer, your documents will be transmitted using Transport Layer Security (TLS) or Secure Socket Layer (SSL) protocol. If you choose to register, in addition to transmission through TLS, access to your non-public

filing records is protected through a Public Key Infrastructure system that provides for authentication (proof that you are authorized to access the records) and the issuance of a session cookie that permits you to access all secure portal services that you have the authority to use.

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EFSS-Web provides an Acknowledgement Receipt that contains critical information, including a time and date stamp, an application number and a confirmation number. This electronic receipt may be printed, and it carries the security and authority of the Post Card receipt commonly provided in paper-filed applications.

Public/Private PAIR Integration

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KEY:  =online business system  =fees  =forms  =help  =laws/regulations  =definition (glossary)

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This Legal Framework provides guidance on the background statutes, regulations and policies that support the Electronic Filing System – Web (EFS-Web) project. The document is provided as a reference for applicants, attorneys and agents as well as their staff using the system.

Background

Since October 2000, the USPTO has provided eFiling software including two client-side components. Currently those components are EFS-ABX for patent application specification authoring and ePAVE for form generation, validation, and submission to the USPTO. These products use the Annex F standards for XML, security, and data transfer protocol. EFS-ABX generates an .abx package that contains the PDF version of the file and an XML version with all associated files needed for rendering in a browser. ePAVE generates XML forms based on user input, allows for the .abx file to be attached, validates the package, and submits it to the USPTO for processing. Due to low adoption rates of eFiling, the USPTO requested feedback from the IP community and found that users are interested in filing applications using PDF, as well as, being freed from downloading and installing software on their workstations. The PDF file format is an improvement over the image file format in that the text of documents will be available to the examiner for more efficient processing. The use of a properly configured WWW browser on the client side will answer requests for a "light" client.

EFS-Web

The EFS-Web interface is a streamlined approach to eFiling in comparison to the current eFiling solution, ePAVE. EFS-Web allows for better integration with the current workflow for most inventors, law firms, and corporations. EFS-Web will collect only a few data elements on screen. All of the key patent information collected on form fillable PDF or user created PDF files attached to the submission. PDF is a de facto standard in the legal community. The Federal Government, the US court systems, and numerous industries and communities have adopted PDF as their preferred electronic exchange format. The IP community has also identified this format as its standard and the USPTO looking to integrate the current

customer workflow with the new EFS-Web system are turning to PDFs.

The advantage of a form fillable PDF is that the document format is standardized, portable, easy-to-use and the submitted data is processable by internal systems at the USPTO. This retains the value of XML and the automated processing, and gives the user an easy-to-use method of collecting and presenting the data to the USPTO. The user and the USPTO benefit greatly from automation by increasing the accuracy and timeliness of data going from one system to another. PDF Web will start with two fillable forms, the Invention Disclosure Statement and the Application Data Sheet; a growing number of forms will be converted to the PDF form-fillable format over time.

EFs-Web allows for a legal assistant or paralegal to submit the application without requiring the attorney or supervisor to review and sign the application. The USPTO recognizes that multiple staff and attorneys may review a submission before it is finalized and sent and are working within that paradigm.

Relevant Statutes and Rules

35 USC 111 – *filing a patent application*

37 CFR 1.52 – *form of an application*

37 CFR 1.4 – *signatures*

Electronic Filing System Available to Public: 240 OG 45 14 November 2000

Improper Use of Web Pages

The published waiver of 37 CFR 1.52 mentioned in the Official Gazette notice cited above is contingent on applicant's conformance to the instructions for use of EFS-Web. Use of EFS-Web in a manner significantly in violation of the instructions may result in non-entry of the submission or failure to accord a filing date (e.g. attempted submission of documents specifically proscribed by the instructions).

Legal Advantages to the Filer of the EFS-Web Approach

Major Innovations of EFS-Web

a. Web access from anywhere using web browser

- b. Standard PDF accepted, from commercial and free PDF converters
- c. Portable PDF forms, can be passed around for collaboration
- d. Responsible attorney or agent need not be present for submission
- e. Real time fee payments
- f. USPTO server software replaces ePave and can be updated without user actions
- g. Newly designed Acknowledgement Receipts have more legal weight

Legal Issues & Policies

This initiative does not depend on or require statutory changes. PDF files when submitted as part of a Patent Application Specification via EFS-Web are used to create the legal record.

The following are certain policies of the Office concerning e-filed patent applications under EFS-Web.

Subscriber Agreement/ E-signature Policy

EFS submissions can be accepted without the submitter providing an e-signature during the on-line session because such data is not substantive to the prosecution, but only for the purpose of submission identification. Thus a secretary, for example, may submit an application even though they may not be allowed to sign documents in the file.

Acknowledgement Receipt Policy

The Acknowledgement Receipt establishes the date of receipt by the USPTO of the electronic documents itemized in the receipt, and is thus an equivalent of a return postcard used in the paper process. Under EFS-Web, the Acknowledgement Receipt will contain a full listing of the documents submitted to the USPTO as described by applicant during the submission process, including the count of pages and/or byte sizes for each document. Thus, the Acknowledgement Receipt is the electronic equivalent of the post card receipt described in MPEP 503.

The official filing date will be noted on the paper Filing Receipt (37 CFR 1.54), PTO Form-103X, after the

submitted application parts are reviewed for compliance with 35 U.S.C. § 111 and based on the dates indicated on the Acknowledgement Receipt assuming that after review the documents submitted are found to be entitled to an application filing date.

If the official version of any document received by the EFS-Web is lost, damaged or rendered unreadable by the Office and if it cannot be recovered from the stored files received by electronic submission, then the applicant will be promptly notified as indicated in the EFS-Web instructions. In that situation, the applicant may have to resubmit the document(s) or portion of the document that are lost and petition for the original filing date. Such events are expected to be rare, indeed since inception of the EFS project no document submitted using USPTO EFS software and received in EFS has been lost. In most cases a phone call to the EBC will resolve the issue. But if that is not sufficient, the applicant would present 1) the Acknowledgement Receipt, 2) a paper version of the missing files as submitted and 3) a signed petition and statement verifying that the attached files are the same as mentioned in the Acknowledgement Receipt for that application number. The Acknowledgement Receipt and statement will serve as prima facie evidence that the resubmitted documents are the same as those submitted on the date of receipt. Note the Acknowledgement Receipt only indicates that the Office received what was actually sent, as opposed to what may have been intended to be transmitted. Applicants should exercise the same care in preparing and preserving a copy of a submission in electronic form as in paper.

Security

The USPTO requires PKI certificates for authenticated filing and access to meet federal government computer system guidelines as defined by NIST and OMB. The required evaluation or EFS and PAIR determined that level 3 authentication was needed and this is met by the USPTO PKI.

Only PKI registered users (or persons under their direction and control) can submit follow on papers. This preserves confidentiality, and supports the power of attorney and correspondence rules. In order to get a PKI certificate the user must already be a registered attorney (or equivalent) or pro se inventor and complete the appropriate paperwork to get credentials. Once the user has a PKI certificate, the user can authenticate to the USPTO through the EFS-Web sign-on. This will generate a secure, encrypted, connection with the USPTO.

For filers that do not have or do not wish to use a PKI certificate to authenticate to the USPTO, they may still submit new filings via a non-authenticated workflow. The user would go to the EFS-Web page and choose to submit without a PKI certificate, which would generate a TLS connection for the session, thus allowing secure data transmission to the USPTO. Non-authenticated users have the same level of protection for filing as a registered user, but are limited to submission of initial filings. This practice minimizes the risk of improperly filed

third party petitions.

Annex F Policy

EFS-Web employs a new Web based approach to document submission which is different from the Annex F “wrapped, bundled and signed package” approach. Thus EFS-Web is not required to meet Annex F requirements at this time. Work will commence to expand Annex F as a world standard.

- **What is the official record of documents submitted by EFS-Web?**

The Official Record for application files submitted via EFS remains the documents as stored in the Image File Wrapper system. Applications, and other documents, submitted by EFS are stored exactly as filed, for reference, in an independent location.

- **May a Computer Readable Form (CRF) of Biotechnology Sequence Listings still be submitted with the EFS-Web?**

Not at this time. The EFS-ABX will remain operational until EFS-Web is configured to accept CRF files. CD practice of 37 CFR 1.52(e), 821 remains in effect.

- **May large tables or computer program listing appendices be submitted with the EFS-Web?**

Not at this time. Applicants should use the standard CD practice identified in 37 CFR 1.52(e) for such submissions.

- **What is the date of receipt of an application received under the EFS-Web?**

The submission's “date of receipt” is the date that the documents submitted as the submission are fully, successfully, and officially received at the USPTO, as shown on the Acknowledgement Receipt. This date is controlling for filing date purposes of your newly filed application. Recall there is no “certificate of transmission” practice for new application e-filings (37 CFR 1.8).

To be very specific, the EFS-Web systems records as the date of receipt of documents the date on which it receives an electronic indication that the SUBMIT button has been clicked on the Confirm and Submit screen for those documents.

- **Hours of Operation**

Hours of operation of the EFS-Web will be clearly provided in the EFS-Web instructions. If a transmission is attempted during a down time, the Office cannot accept it and will, if possible, transmit back a notice that the Office is not accepting submissions. No Acknowledgement Receipt will be sent. Instead a notice will advise the applicant to use alternative filing methods, such as hand delivery of paper to the USPTO or Express Mail (under 37 CFR 1.10), to establish the filing date. Note that most applications filed under 37 CFR 1.53 cannot be submitted by fax (37 CFR 1.6(d)(3)), and that normal certificate of mailing procedures do not apply to new applications (37 CFR 1.8(a)(2)(i)(A) and (D)). Applicants are strongly advised to transmit their electronic filings sufficiently early in the day to allow time for alternative paper filing when transmission cannot be initiated or correctly completed.

If the submission is successfully received on a Saturday, Sunday or Federal holiday within the District of Columbia, the Office will assign that receipt date at the USPTO to the submission.

- **Are there any legal consequences of the Office's accepting electronic patent applications on Saturday and Sunday?**

The USPTO will be open for receiving applications in electronic form during scheduled hours every day of the week. Hours will be announced on <http://www.uspto.gov/ebc/portal/announcements.htm>.

Electronic filing will provide applicants with the opportunity to receive a filing date on any day of the week, including Saturday, Sunday, and Federal holidays. In addition, consistent with 35 U.S.C. § 21(b), when the last day for taking any action or paying any fee in the USPTO falls on Saturday, Sunday, or a Federal holiday within the District of Columbia, the action may be taken or fee paid on the next succeeding secular or business day.

Thus, under United States law, applicants will still be permitted to take action on the next business day when the last day for taking action falls on a weekend or Federal holiday, regardless of the mode or form of filing.

Because the conditions for priority rights are governed by national law, applicants are strongly cautioned to consider possible adverse consequences regarding the determination of priority periods under Article 4(C)(3) of the Paris Convention when filing international applications in the United States. Specifically, the ability to file applications electronically on weekends may result in loss of priority rights in foreign jurisdictions designated in international applications filed with the USPTO, if applicants elect to take advantage of sections 21(b) or 119(e)(3) of title 35. In such circumstances, other Patent Offices may deny the priority claim on the basis that the international application was not timely filed according to their national law. For this reason, applicants may prefer not to rely upon the "next business day" provisions of sections 21(b) and 119(e)(3) of title 35 when filing

applications with the USPTO, and instead file the application before the Convention year has expired.

- **Under what authority does an authorized assistant of the digital certificate holder submit signed documents?**

Subscriber Agreements and Certificate Action Forms have been rewritten to permit Assistants under the direction and control of the digital certificate holder (applicant or attorney) to submit documents under EFS-Web. The Assistant will either use the Certificate Holder's certificate, or be assigned one for himself based on his being under the direction and control of the main Certificate Holder, who is responsible for the submissions of the Assistant.

The Assistant will serve the ministerial function of pickup and delivery of documents that have been electronically or ink signed by the applicant or attorney. (Ink signed documents can be electronically scanned and then e-filed.) The Assistant, not being a registered attorney or applicant, does not have the authority to sign or be responsible for the content of the documents submitted. However, he may view and retrieve documents from Private PAIR, or submit documents under EFS-Web.

In the submission process, the Assistant is required to specify certain "locator information" so the documents can be associated with the proper electronic File Wrapper in the IFW system. That locator information may include the application's title, first named inventor, docket number, application number, confirmation number, correspondence address and filing date, all if available. This information is entered on submission to assure that the documents are placed in the proper file, and do not constitute a signed submission of bibliographic data on behalf of the applicant. Errors made in the "locator information" may be corrected by the Office on its own initiative, or by the applicant or Assistant, similar to the way they are corrected in paper processing.

It also should be noted that the assistant could pay the fees associated with the submission in the EFS-Web solution. This is comparable to the paper practice in which law firms designate individuals to pay fees.

- **Under what conditions will the EFS-Web allow refunds?**

The USPTO will grant refunds to e-filers when, due to a malfunction with the EFS-Web system, the EFS-Web system has misled a filer into paying a fee in error. If it cannot be determined that a malfunction occurred, but rather seems only to be a e-filer error, no refund will be given. The filer should contact the EBC if there are any issues associated with their submission.

- **Signature Policy**

The applicant may use the “electronic” signatures of Rule 4(d) when filing in EFS-Web.

37 CFR 1.4 (d) (3), which is relevant for “text based” PDF, indicates:

EFS character coded signature: Correspondence in character coded form being filed via the Office Electronic Filing System for a patent application or patent may be signed electronically. The electronic signature must consist only of letters of the English alphabet, or Arabic numerals, or both, with appropriate spaces and commas, periods, apostrophes, or hyphens for punctuation. The person signing the correspondence must personally insert the electronic signature with a first single forward slash mark before, and a second single forward slash mark after, the electronic signature (e.g., /Dr. James T. Jones, Jr./).

Signing with an slash signature is totally appropriate for text based PDF, as from a word processor converted to PDF.

If the signer is submitting the application through EFS-Web in image-based PDF (or from a scanned paper original), paragraph (d) (2) is pertinent. The applicant would type the document, using the slash signature, and either print the document and scan it, or set the PDF converter to image-based conversion. In that case, the document would be an image (TIFF) based image, wrapped in a PDF encoded shell. The applicant would follow the requirements of paragraph (d) (2). Nonetheless, since all of the documents currently are stored in the IFW system, the signature as well as the rest of the document will be eventually be converted to a TIFF image, which will display the signature as typed.

- **Documents Policy**

EFS-Web will allow registered users to file both new submissions and follow-on documents. The following is a list of submission types that are not allowed to be filed using EFS-Web:

1) Correspondence concerning **Registration Practice** submitted under 37 CFR 1.4(e), which states:

Correspondence requiring a person's signature and relating to registration practice before the Patent and Trademark Office in patent cases, enrollment and disciplinary investigations, or disciplinary proceedings must be submitted with an original hand written signature personally signed in permanent dark ink or its equivalent by that person. See 37 CFR 1.6(d)(1)

2) **Certified Copies** submitted under 37 CFR 1.4(f), which states:

When a document that is required by statute to be certified must be filed, a copy, including a photocopy or facsimile transmission, of the certification is not acceptable. See 37 CFR 1.6(d)(2). An example of such a submission is a certified copy of a foreign patent application filed pursuant to 35 USC 119 or a certified copy of an international application filed pursuant to 35 USC 365.

- 3) A request for **reexamination** under § 1.510 or §1.913 (See 37 CFR 1.6(d)(5))
- 4) Submissions regarding **reissue applications**.
- 5) Correspondence to be filed in a patent application subject to a **secrecy order** under §§ 5.1 through 5.5 of this chapter (See 37 CFR 1.6(d)(6))
- 6) Submissions in contested cases before the **Board of Patent Appeals and Interferences**, except as the Board may expressly authorize. (See 37 CFR 1.6(d)(9))
- 7) Papers filed in contested cases before the **Board of Patent Appeals and Interferences**, which are governed by 37 CFR 41.106(f) (See 37 CFR 1.6(d)(3))
- 8) Correspondence filed in connection with a **disciplinary proceeding** under 37 CFR part 10. (See 37 CFR 1.6(d)(3))
- 9) submissions that **are not associated with an application**
 - 10) **third party papers** under 37 CFR 1.99
 - 11) **protests** under 37 CFR 1.291
 - 12) **public use hearing papers** under 37 CFR 1.292
- **IN THE FUTURE**, the Office intends to support the following file types. **DO NOT** submit these documents now, but keep attuned to announcements in the future.
 - a. Color drawings submitted under §§ 1.81, 1.83 through 1.85, 1.152, 1.165, 1.173, or 1.437 (See 37 CFR 1.6(d)(4))
 - b. The filing of an international application for patent (See 37 CFR 1.6(d)(3))

c. The filing of a copy of the international application and the basic national fee necessary to enter the national stage, as specified in § 1.495(b). (See 37 CFR 1.6(d)(3))

d. Photographs/drawings with varying degrees of black/white/greyscale.

For more information on these policies, please contact Jay Lucas, Sr. Legal Advisor – IT Projects, PCT Legal Administration, at Jay.Lucas@uspto.gov .

December 6th, 2005

KEY:  =online business system  =fees  =forms  =help  =laws/regulations  =definition (glossary)

Send questions about *USPTO programs and services* to [**USPTO Contact Center\(UCC\)**](mailto:USPTO Contact Center(UCC)).

Have a suggestion for more material for this customer profile? **E-mail suggestions to the webmaster@uspto.gov** . While we cannot promise to accommodate all requests , *Your suggestions will be considered and may lead to other improvements to the web site.*

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Last Modified: 01/27/2006 23:19:31

USPTO JobOptions File



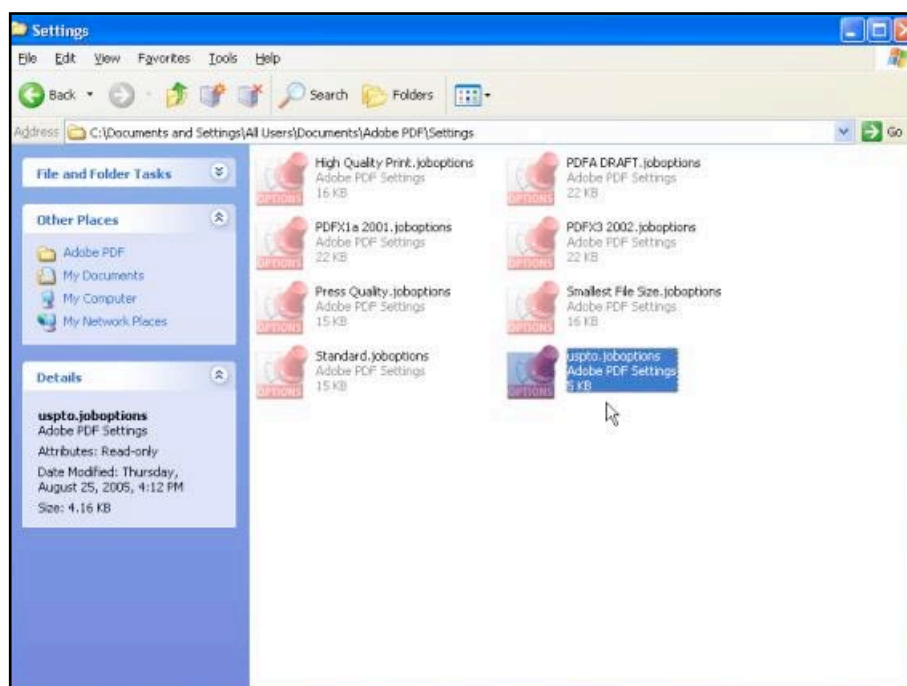
What is the USPTO.JobOptions file?

The USPTO.JobOptions file contains configuration settings that when selected, will produce a document consistent with the USPTO PDF profile. Using these settings will create Adobe PDF documents suitable for submission to the United States Patent and Trademark Office.

How do I install it?

To automatically set your PDF settings to USPTO standards, first you must save the .joboptions file into your Adobe PDF Settings folder typically located at:

C:\Documents and Settings\All Users\Documents\Adobe PDF\Settings



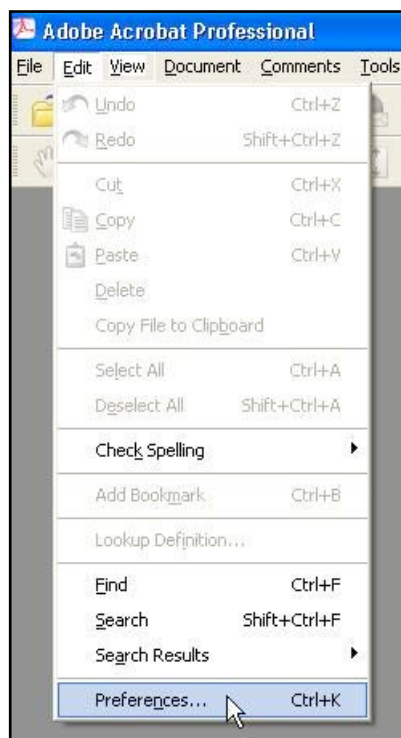
How do I use it?

This document describes two ways to create a PDF using the USPTO.JobOptions file. PDF files can be created either directly from Adobe Acrobat or from the source file itself (i.e. Microsoft Word). However, the ways in which to invoke the JobOptions file differ and are explained below.

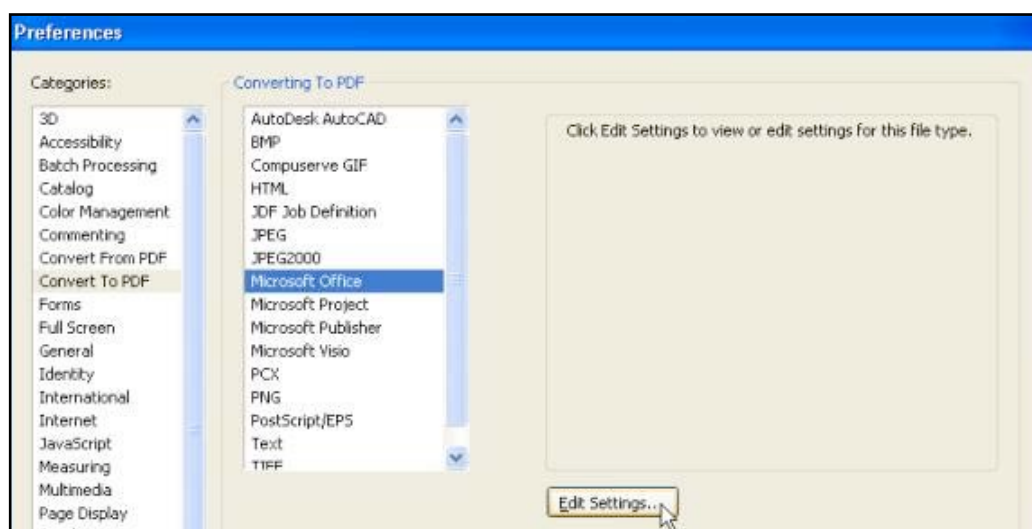
USPTO JobOptions File



Creating a PDF from Adobe Acrobat Professional



1. Once you have the USPTO.JobOptions file saved in the Adobe PDF Settings folder, when printing to PDF from Adobe Professional, select 'Preferences' from the Edit menu bar.

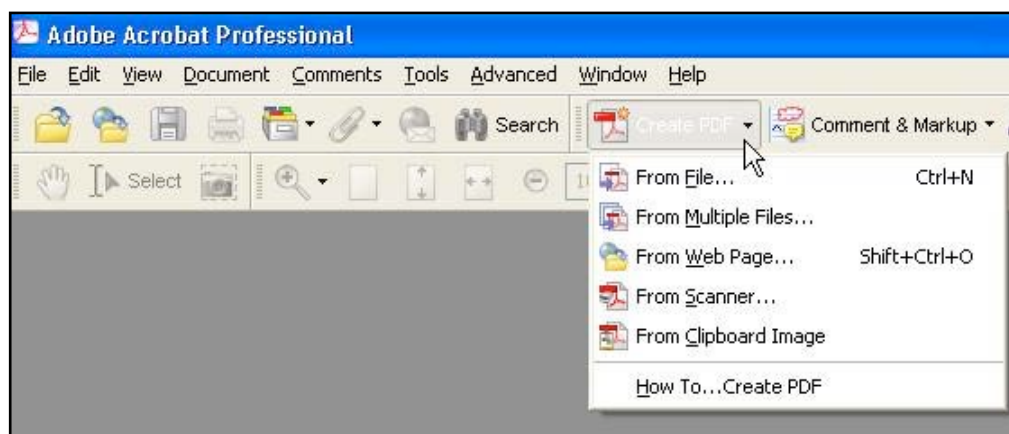


2. After selecting 'Convert to PDF' and 'Microsoft Office' click on the 'Edit Settings' button.

USPTO JobOptions File



3. Select 'USPTO' from the 'Adobe PDF Settings' dropdown.



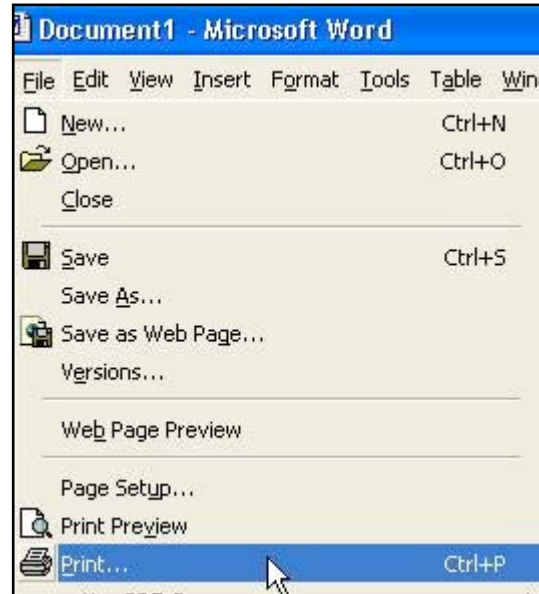
4. After selecting 'OK', you are now ready to create your PDF file consistent to USPTO PDF standards.

If you have any questions or problems, please contact our EBC Helpdesk at **1-866-217-9197** or email us at **ebc@uspto.gov**.

USPTO JobOptions File

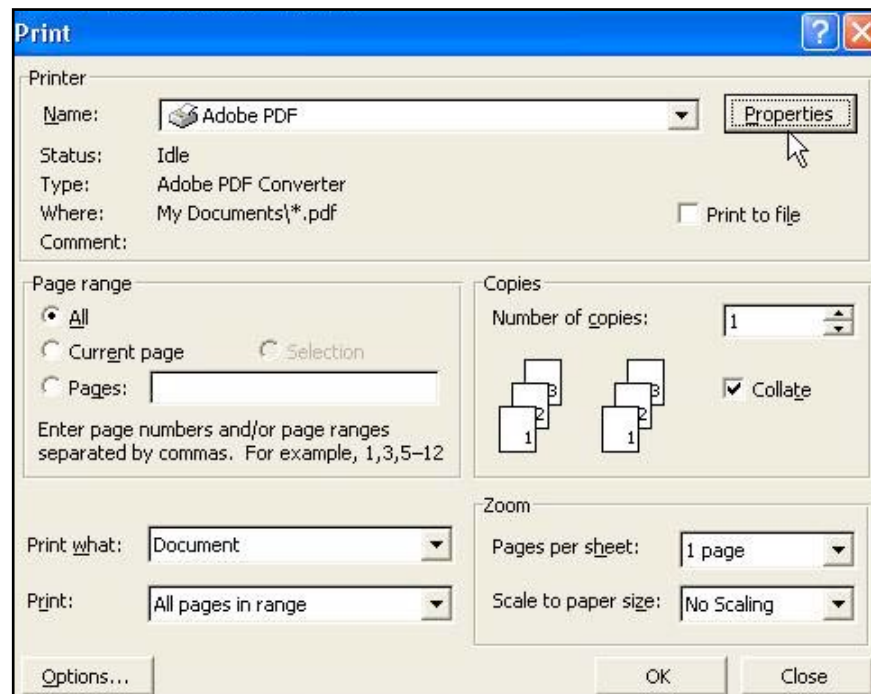


Creating a PDF from Source File



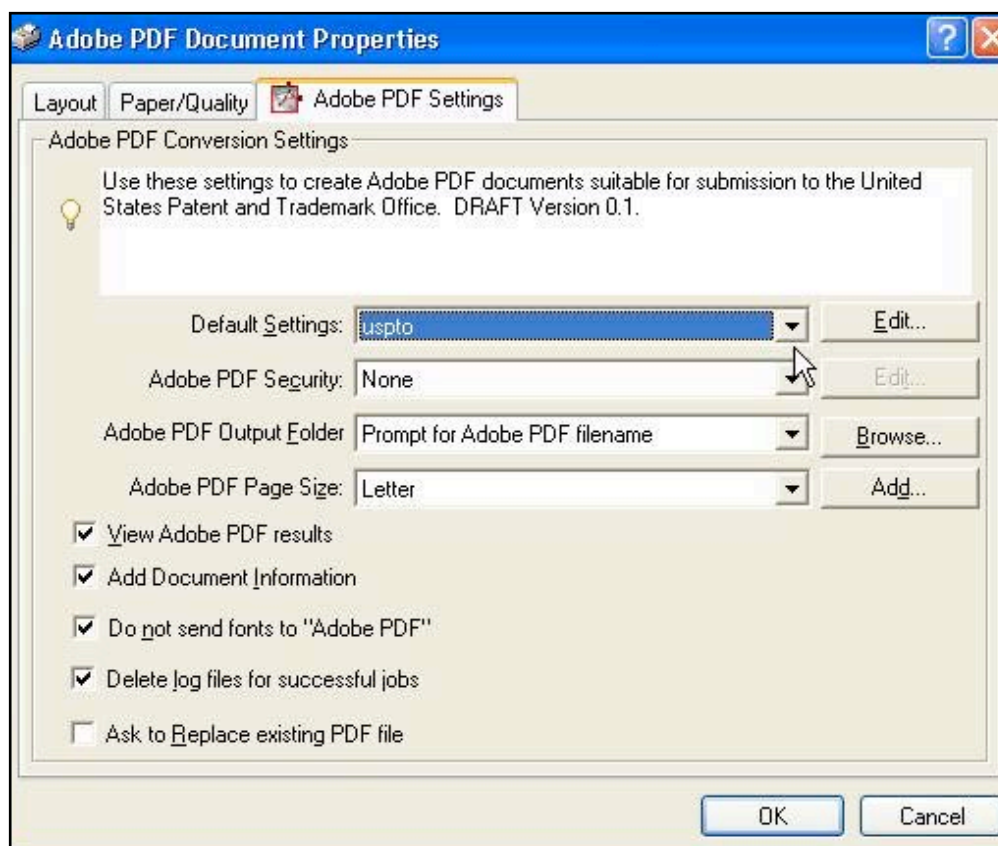
1. Once you have this file saved in the Adobe PDF Settings folder, when printing to PDF from your source file, select 'Print' from the file menu.

(Microsoft Word is used in this example)



2. Select 'Adobe PDF' from the Printer Name dropdown and click on the 'Properties' tab.

USPTO JobOptions File



3. After clicking on 'Properties', choose the 'Adobe PDF Settings' tab.
4. Under the Adobe PDF Conversion Settings section, select 'USPTO' from the 'Default Settings' drop down and click 'OK'.
5. After selecting 'OK', you are now ready to create your PDF file consistent to USPTO PDF standards.

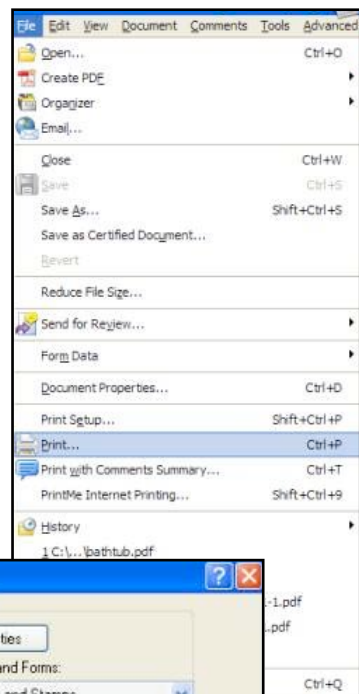
If you have any questions or problems, please contact our EBC Helpdesk at **1-866-217-9197** or email us at **ebc@uspto.gov**.

USPTO JobOptions File

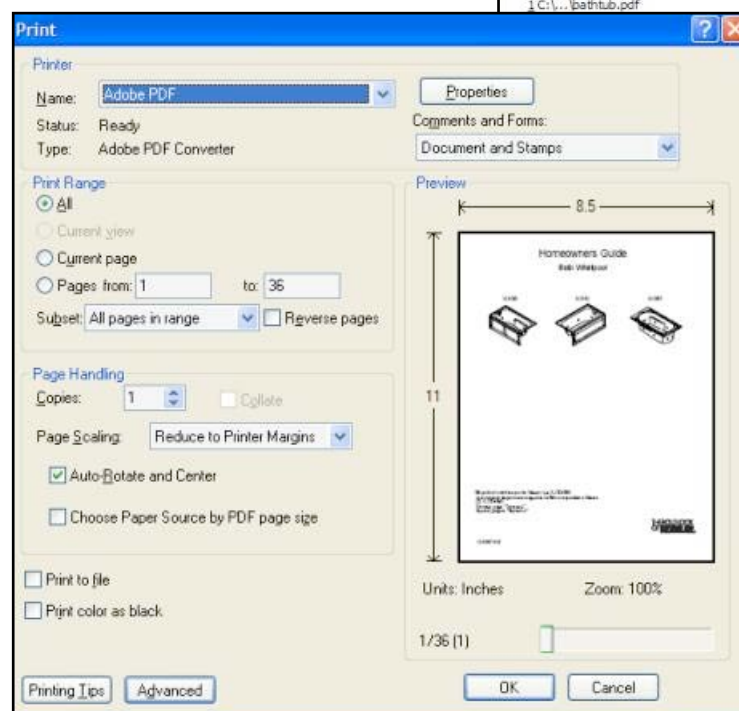


Validation Failure

If the PDF file fails validation due to non-embedded fonts or some other reason, open your PDF in Adobe Professional.

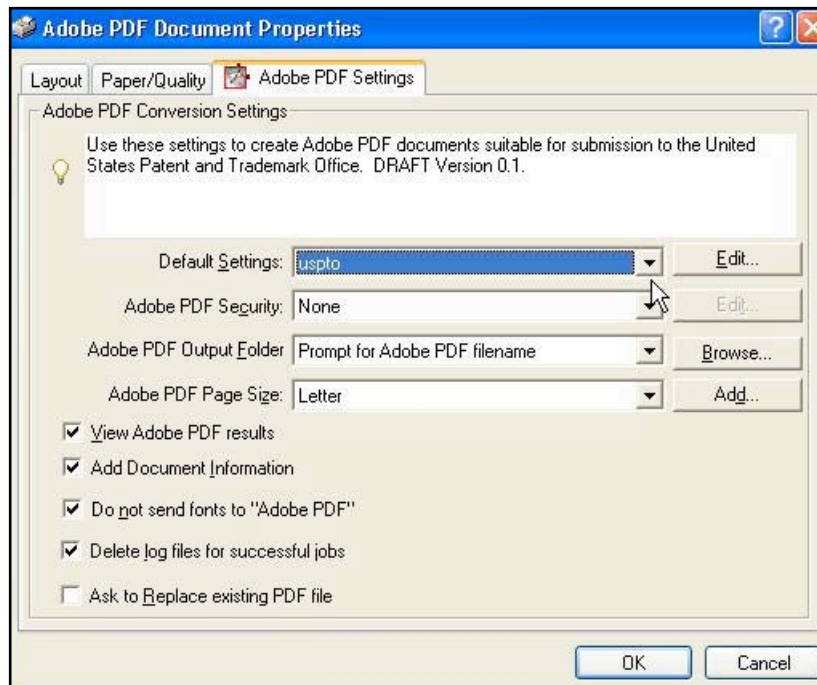


1. Choose "Print" from the File menu

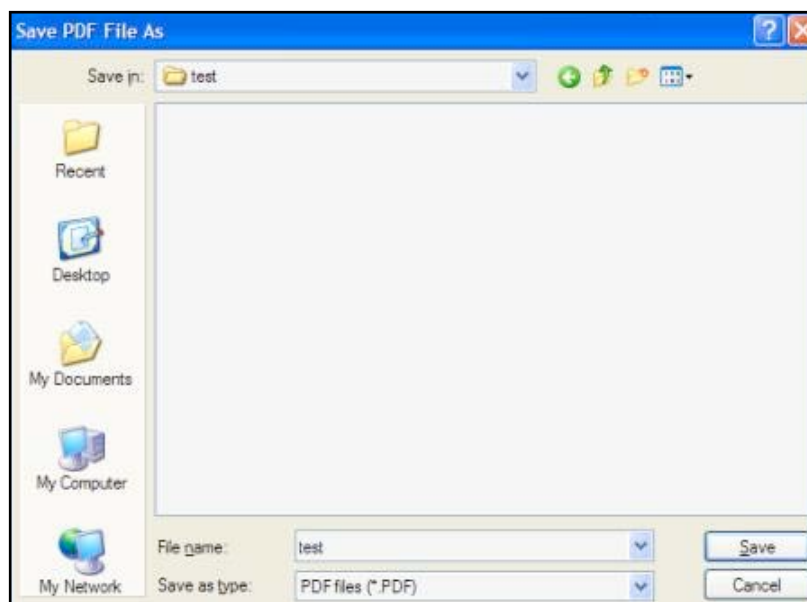


2. Select 'Adobe PDF' from the Printer Name dropdown and click on the 'Properties' tab.

USPTO JobOptions File



3. After clicking on 'Properties', choose the 'Adobe PDF Settings' tab.
4. Under the Adobe PDF Conversion Settings section, select 'USPTO' from the 'Default Settings' drop down and click 'OK'.
5. Click OK to begin printing.
6. Save the new version of the PDF



7. Re-attach file in EFS-Web.

**United States Patent and Trademark Office****PATENTS**[Home](#) | [Site Index](#) | [Search](#) | [FAQ](#) | [Glossary](#) | [Guides](#) | [Contacts](#) | [eBusiness](#) | [eBiz alerts](#) | [News](#) | [Help](#)[Patent EBC](#) > [Patent Portals](#) > [EFS-Web Help & Tutorial](#) > **[PDF Guidelines](#)**[About EFS](#) | [FAQs](#) | [Tools](#) | [Tutorials](#)**PDF Guidelines**

The USPTO will be receiving electronic patent application documents in the Adobe PDF (Portable Document Format) format, from which images will be produced for the Image File Wrapper (IFW) system. Because the PDF format is so feature-rich, a standard is required to restrict submitted content to what the United States Patent Office is prepared to receive. The following guidelines set forth in this document will help to ensure that the created PDF documents meet the requirements for processing at the USPTO.

The following guidelines are based in part on the PDF/A specification; a document conforming to PDF/A will meet the requirements of EFS Web for submission to the USPTO.

Document Formatting

The page size should be either 21.0 cm by 29.7 cm (DIN size A4) or 21.6 cm by 27.9 cm (8.5 by 11 inches). Pages of a larger size will be reduced to 8.5 by 11 inches, which may affect readability of the document and/or distort any attached image.

PDF Version

The PDF document must conform to any one of versions 1.1 through 1.6 of the Adobe PDF specification. These are the versions supported by the USPTO reference viewer (Adobe Acrobat Reader version 7.0 or higher). This document will be revised to indicate support for any future versions of PDF. A review of the to-be-filed document(s) is strongly recommended before submission.

Fonts

All characters (glyphs) that make up the text of the document must be embedded. Embedding allows the fonts used in the creation of a document to travel with that document, ensuring that a user sees documents exactly as the designer intended them to be seen. Embedded fonts may be limited to a subset containing the glyphs necessary to render the document. All fonts embedded within the document must be licensed and legally embeddable.

Color Text

It is recommended that the text of the document be black. Text of other colors may not convert to image properly, resulting in unreadable or invisible text.

Images

Bi-tonal (black and white), color, or grayscale images should be scanned at a minimum resolution of 300 DPI.

It is recommended to use images saved in a lossless format (e.g., TIFF, PNG, GIF, BMP). It is strongly recommended that the PDF creation software does not downsample images during the PDF creation process, as this could degrade the quality of the image. For color and grayscale images, it is recommended that no compression be used; CCITT Group IV compression is recommended for bi-tonal images.

The use of Alternates (a feature within PDF that allows for alternate images to be used for on-screen rendering and printing) is prohibited.

Images consisting of multiple layers must be flattened before embedding into the PDF document. The properties of all layers should be marked as "visible" before flattening. This ensures that the complete image is visible to the examiner.

Layers

PDF documents with multiple layers must be flattened prior to submission to ensure that the complete document is available to the examiner. If a document contains layers that are marked as "invisible", the invisible layers will be lost when the received document is processed within the USPTO. Documents submitted with multiple layers will be flattened by the USPTO when converted to an image.

Object Content

Content that cannot render (be viewed) directly or completely to a printed page, including: multimedia (e.g., sound, video, animations, slideshows), 3-dimensional models (e.g., CAD drawings), file attachments, multi-page objects (e.g., Microsoft Excel spreadsheets, multi-page TIFF images), and commenting/reviewing features (highlighting, annotations, comments, notes, and the like) are prohibited.

There must be no dependencies on external files or resources of any type in order to render the attached image.

Security Features

Password protection and encryption are prohibited. Documents that are protected in this manner will not pass

validation, thus will not be submitted. When files are submitted through EFS Web, the SSL v3 / TLS v1 protocol within the TruePass security application will provide the needed security and protection.

Embedded Code/Viruses

The PDF document must be free of executables, worms, viruses, or any type of potentially malicious content. Any files that found to have potential malicious content will be deleted.

JobOptions File

Most PDF creation tools have the ability to create a customized job option file that configures the print driver to use certain printing settings. This can be used for the user's specification for creating PDF print jobs that are used frequently but are not the standard. It allows users to create PDF files that meet the USPTO guidelines. This joboptions file may not work with other PDF creation tools.

>> See [Tools](#) to download the JobOptions file and for usage instructions

KEY: =online business system =fees =forms =help =laws/regulations =definition (glossary)

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Have a suggestion for more material for this customer profile? **E-mail suggestions to the webmaster@uspto.gov**. While we cannot promise to accommodate all requests , your suggestions will be considered and may lead to other improvements to the web site.

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Last Modified: 01/27/2006 23:17:54

How to file an amendment

Return to [main EFS Web page](#) or to [main Oppedahl & Olson LLP web page](#).

When you are e-filing an Amendment in EFS-Web, you need to tag the various parts of the Amendment correctly. By "correctly" we mean, you need to tag the various parts so that they will fit properly into USPTO's subsequent process flow.

For example, when Reed Publishing, the contractor who has the USPTO contract to perform 18-month publications as well as the publication of issued patents, goes to publish a particular application, it needs to publish an Abstract. To do this, it rummages through all of IFW and looks at every item that has been tagged as an Abstract. It then picks out the most recent such item and presumes that to be the one to publish. It does the same for the claims. In a more complicated way, the contractor also uses this to work out the most recent drawings and the most recent (amendments to the) specification. (I say "more complicated" because while Rule 121 requires the filer to file the *entirety* of the claims or abstract every time one word is changed, it permits filing less than all of the spec or drawings in the event they are amended.) The key thing about this is that for EFS-Web filings, if a beta filer files an amendment without tagging the "claims" portion of the amendment as "claims", this is a big problem that needs to be corrected. Otherwise those claims would never be seen by Reed and will never get into the 18-month publication or the issued patent.

You will recall that each and every EFS-Web filing during this beta phase is being hand-tended by USPTO people who are dedicated to the EFS-Web effort. I am told that these USPTO people are finding they are spending quite a lot of time tagging and re-tagging parts of e-filed Amendments because of beta users who choose different tags than USPTO people would have chosen.

Another category of tagging is the first page of the Amendment. This is the page containing the caption. This needs to be tagged in a particular way so that in Palm there will be a "flag" set that tells USPTO people that an Amendment has been filed and thus that (a) it must now be forwarded to an Examiner and (b) the application is no longer going to go abandoned due to failure to respond to an Office Action.

But if you file an Amendment containing "remarks" you should not tag the "remarks" the same way you tag the first page of the Amendment. This would get entered into Palm as if two separate Amendments had been filed.

So a typical Amendment would be tagged as follows.

The caption page of the amendment might be tagged as any of the following:

EFs-Web "category"	EFs-Web "document description"
Amendment	Amendment - After Non-Final Rejection

Office of Patent Publication	Amendment after Notice of Allowance (Rule 312)
Amendment	Amendment After Final
Amendment	Response after Ex Parte Quayle Action
Continued Prosecution	Amendment Submitted/Entered with Filing of CPA/RCE
Board of Patent Appeals	Amendment/Argument after Notice of Appeal
Amendment	Amendment/Argument after BPAI Decision
Amendment	Amendment
Amendment	Preliminary Amendment
Amendment	Supplemental Response or Supplemental Amendment
Amendment	Supplemental Amendment after Final Rejection

The "claims" pages of the amendment should be tagged as the following:

EFS-Web "category"	EFS-Web "document description"
Application Part	Claims

The "remarks" pages of the amendment should be tagged as the following:

EFS-Web "category"	EFS-Web "document description"
Amendment	Applicant Arguments or Remarks Made in an Amendment

Non-intuitive. When I explained all of the above to a couple of people in my office, their first reaction was that it is extremely counter-intuitive to think that a particular e-filing would be tagged using tags from more than one EFS-Web "category". For example if the thing we are filing is an "amendment", then intuitively (they figured) the various tags that are appropriate for the amendment would of course be in the EFS-Web "category" called "amendment". As you can see, for a typical amendment this is never true. The claims will be tagged as an "application part". The caption page may be tagged as "office of patent publication" or as "amendment" or as "board of patent appeals" or as "continued prosecution".

The only option, as far as I can see, is to print out the [Document Descriptions](#) page and study it closely each time you file anything. Selecting a "document description" that is, from the USPTO's point of view, "incorrect," will make extra work for the EFS Web beta people at the USPTO and risks having a paper processed incorrectly within USPTO.

Of course for a USPTO customer it is not at all an easy or straightforward task to guess which tag is the "right" one. To get this right, the customer would need to know all sorts of secret and unpublishized things about the paper flow within the USPTO. For example, suppose the status of my application is that the Notice of Allowance has been mailed but I have not yet paid the Issue Fee. And suppose I wish to file a Rule 312 Amendment. In the pull-down menu for "amendment" there is no "document description" that is specific to Rule 312 Amendments. So I would probably simply call it an "amendment after final" or perhaps simply an "amendment".

But no. The correct tag for such a filing is not "amendment" or "amendment after final". The correct tag for such a filing is not, in fact, listed anywhere in the "amendment" category. The place where you will find the correct tag is in the "office of patent publication" category. And the correct tag in the "office of patent publication" category is "amendment after notice of allowance (rule 312)".

The reason why this particular tag is needed is so that a flag will get set in Palm, telling the SPE that he or she must make a decision whether or not to permit entry of the Rule 312 Amendment. If you don't tag it that way, it won't get routed to the SPE and the decision will not get made.

What I don't know is what the real consequences are of tagging the Rule 312 amendment as something other than a Rule 312 amendment. Will it simply guarantee that the proposed amendment will never get considered and will never get into the issued patent? Or will it instead result in the amendment getting entered automatically and thus bypassing any review by the SPE? I just don't know.

So as I say, the only option is to print out the entirety of the [Document Descriptions](#) page and read it from the top to the bottom each time you file anything that is different in any way from what you have filed previously in EFS-Web.

One way to try go guess which tag to use in a particular case, I guess, is to go into IFW and find some other application where the same kind of filing was done. And then look to see how USPTO tagged the documents for that filing. (When choosing another application to look at for guidance, it would be important to choose one in which the documents were *not* e-filed through EFS-Web.)

This situation (where filers will often select the wrong tags when e-filing in EFS-Web) seems likely to grow to enormous proportions when EFS-Web is released to the general public in March 2006. This problem was in fact discussed in one of the e-Filing Forums. When it came up, participants suggested that one way to avoid a wrong-tag problem would simply be to permit the file to select a document description of "I'm not sure". This would then cause a document flow to a USPTO person who would study the document and tag it correctly. (The USPTO person doing this tagging would presumably be somebody who previously spent all day tagging documents received on the Central Fax Number.) This gives me a feeling of *deja vu*, because as many will recall, I wrote about this back in October of 2004 in my [Modest Proposal](#).

A few thoughts about the caption page of a filing.

Turning back for a moment to the caption page. Traditionally the caption page is cluttered with all manner of information, included by the filer in the hope that if some USPTO person were on the verge of sticking the paper into the wrong paper file, some bit of information would prompt the

USPTO person to avoid making a mistake about which file is the right one.

I imagine something like this. The USPTO person, holding a paper meant for serial number 10/123,456, is on the verge of accidentally filing it in file number 10/132,456. And then the USPTO person happens to glance at the "title" appearing in the caption -- "framus apparatus". And then glances at the "title" on the paper file -- "clevis apparatus". And then says "oh, wow, glad I saw that" and avoids the mistake, and sticks the paper into the file number 10/132,456. The idea is that the caption will very intentionally provide lots of items of "redundancy information", information that is not really needed at all but is provided merely to avoid accidental misfilings.

The silver bullet that the USPTO came up with to keep such misfiling to happen ever again was, of course, the "confirmation number", introduced maybe three years ago. For each filed paper, the USPTO person would scrutinize the confirmation number to make sure it matched, before sticking any piece of paper into a file.

Except, of course, that to this day, not even a single one of the [USPTO forms](#) has been modified to provide a place for the filer to insert the confirmation number. I assume that this has something to do with the OMB Paperwork Reduction Act, which requires USPTO to have a current "OMB Control Number" on each form and requires USPTO to estimate the number of minutes required to complete the form. Adding the customer number to each form would require USPTO to obtain a new OMB Control Number for each form, and would add a few minutes to each time estimate (because the filer would need to rummage around to find the Confirmation Number when completing the form).

Well, if you think about things for a moment, you will agree that for a paper filed in EFS-Web, there is probably no need for the caption to contain any "redundancy information" at all. The filer, after all, will have entered the serial number and confirmation number into EFS-Web. EFS-Web will then display the title and attorney docket number and inventor name. If the serial number was wrong, this will get caught right away. If the serial number is right, then the paper will get "filed" in the correct file automatically. There is simply no opportunity for misfiling.

I can report that for the papers I am filing in EFS Web, my captions are getting shorter and shorter. I did one the other day where the caption contained the serial number and nothing else.

But if you think about it a moment longer, you might agree with me that really the caption is now a vestigial organ, like the vermiform appendix. I cannot see any reason why a caption should be needed at all for a paper filed in EFS-Web.

Image quality is better with EFS Web as compared with faxing to the Central Fax Number

Return to [main EFS Web page](#) or to [main Oppedahl & Olson LLP web page](#).

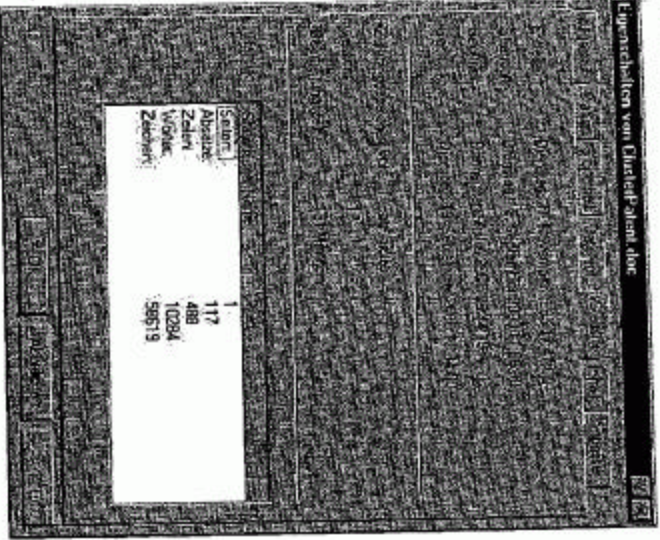
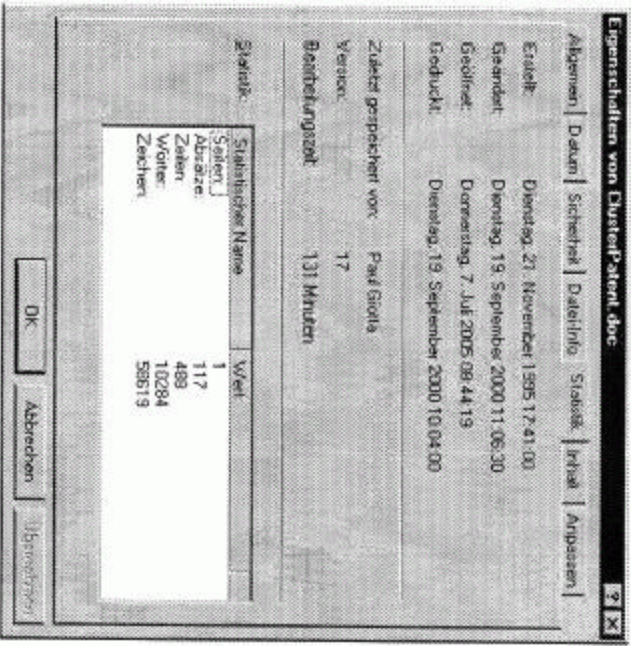
We recently needed to file a paper in a US patent application having an exhibit with a bit of gray scale to it. We filed the paper in October of 2005 (before EFS Web was available) and thus our only options at that time were to file by fax or by mail. We chose fax (the USPTO Central Fax Number). Even though we faxed the paper in "photo" mode, by the time USPTO personnel scanned it into IFW, it was essentially unreadable. You can see the actual image from IFW quoted in the table.

In December of 2005 we heard from the Examiner, who said he was unable to read it. And we looked in IFW and indeed we could see why.

So in December of 2005, we e-filed another copy of the exhibit, using EFS-Web. To do this, we scanned the exhibit with a scanner set for gray scale. The resulting PDF looked pretty clear in the "preview" feature of EFS Web, and looked about the same when we viewed it in IFW. You can see the actual image from IFW quoted in the table. The Examiner was able to read it.

Other differences can be seen. Somehow the image that passed through the Central Fax Number had its aspect ratio changed. It is just as tall but less wide, as compared with the original. The image that passed through the Central Fax Number also got skewed.

The conclusion we have reached around our office is that whenever we are filing a paper with gray scale in it, we will want to use EFS Web rather than faxing to the Central Fax Number.

scanned by USPTO personnel at the Central Fax Number in October 2005	e-filed via EFS Web in December 2005
	

National-stage entry gets into PAIR, and into IFW, far faster for an e-filed case than for a paper-filed case.

Return to [main EFS Web page](#) or to [main Oppedahl & Olson LLP web page](#).

Example:

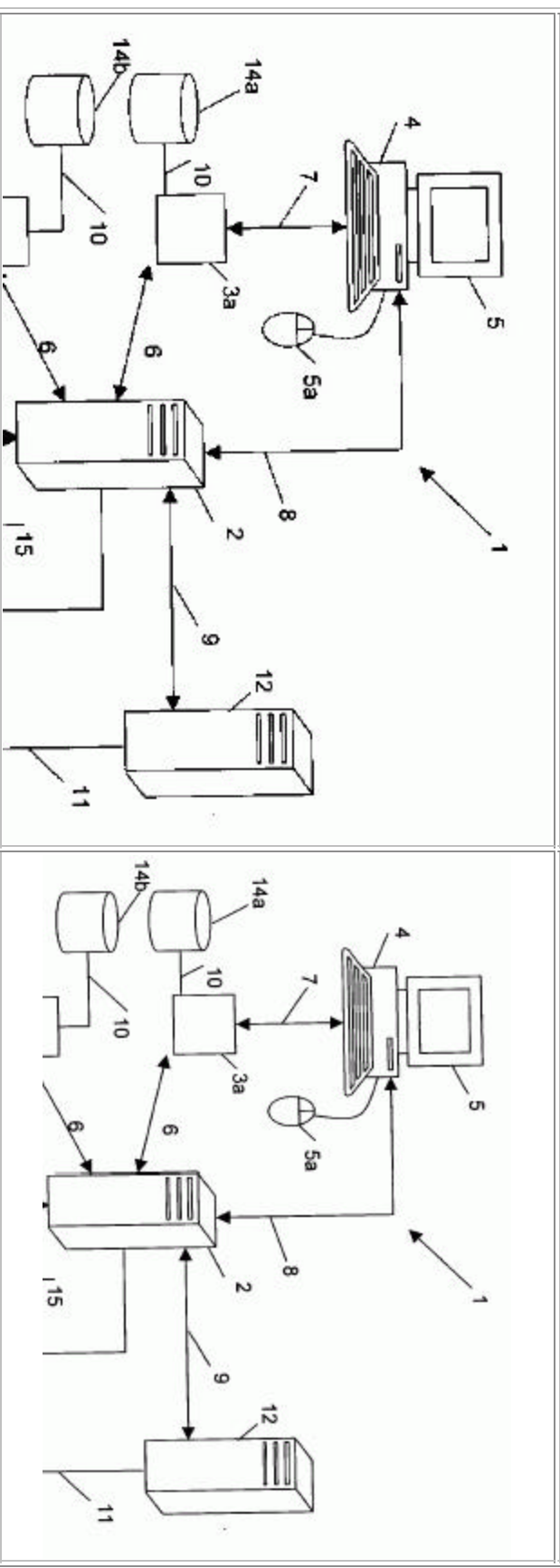
- We paper-filed an entry into the US national stage for one of our applications on November 4, 2005 (at a time when EFS-Web had not yet been made available to users). For the past six weeks there has been no entry whatsoever in Private PAIR for this application. Finally just now it is present in Private PAIR. But there is no IFW for it. If our past experience is a guide, there will be no IFW for this application until about six months from now, when the application reaches the top of the EO/DO/US pile and EO/DO/US processes it and releases the file to OIPE.
- We e-filed an entry into the US national stage for another of our applications on December 9, 2005 (at a time when EFS-Web was available). Almost immediately, it was in Private PAIR and was also in IFW. Not only that, the (US patent) references we listed in our IDSs are already available for viewing in "display references".

So the decision to e-file the national-stage filing rather than paper-file it accelerated the visibility of the application in Private PAIR by about a month. And accelerated the visibility of the application in IFW by six or seven months.

Yet another advantage of using EFS-Web to file papers for entry into the US national stage is that you get your serial number instantly rather than weeks or months later.

Return to [main EFS Web page](#) or to [main Oppedahl & Olson LLP web page](#).

e-filed via EFS Web



The problem is that ABX always fiddles with any image that is inserted into it. No matter how carefully we create the TIF images, ABX always resizes them and "converts them to black and white" even if they were already black and white. The result is things like "jaggies" and loss of some thin vertical or horizontal lines. You can see the actual ABX-converted image quoted in the table.

Look at any of the diagonal lines (e.g. link 6 between boxes 2 and 3a). The line on the left has jaggies while the line on the right is smooth. Look at the keyboard of computer 4. The keyboard on the left has horizontal lines that blurred and merged. Link 8 as seen on the left has aliasing artifacts due to resizing.

The conclusion we have reached around our office is that whenever we are filing figures, we will want to use EFS Web rather than ABX and ePave.

National-stage entry gets into PAIR, and into IFW, far faster for an e-filed case than for a paper-filed case.

Return to [main EFS Web page](#) or to [main Oppedahl & Olson LLP web page](#).

Example:

- We paper-filed an entry into the US national stage for one of our applications on November 4, 2005 (at a time when EFS-Web had not yet been made available to users). For the past six weeks there has been no entry whatsoever in Private PAIR for this application. Finally just now it is present in Private PAIR. But there is no IFW for it. If our past experience is a guide, there will be no IFW for this application until about six months from now, when the application reaches the top of the EO/DO/US pile and EO/DO/US processes it and releases the file to OIPE.
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Yet another advantage of using EFS-Web to file papers for entry into the US national stage is that you get your serial number instantly rather than weeks or months later.

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Notes

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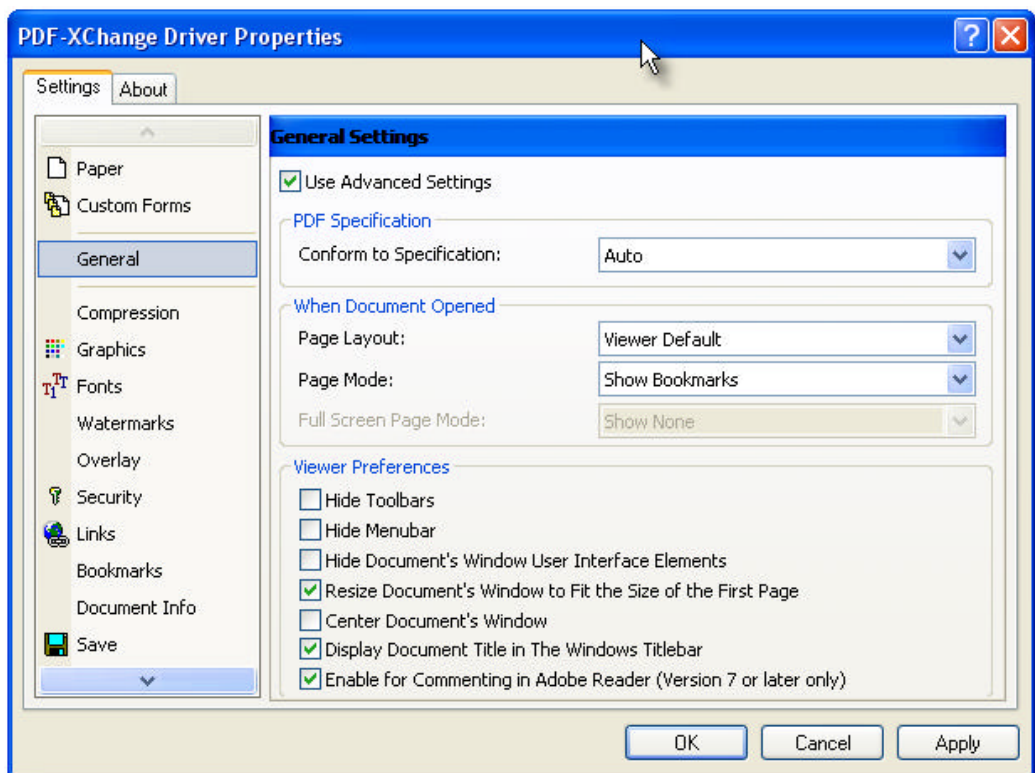
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See our [Product Comparison Chart](#) for Version features info

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As a result of our efforts and time spent on improving our bestseller, the new version of PDF-XChange has many new features which will make your life easier then ever before.

Here is a screen shot of the latest V3.5x Printer preferences page showing just some of the functions available :



In

In addition to the ability to create files (including up to 1.6 specification, though this later format requires viewing with Adobe Acrobat Reader ver.7.0 or later), you can now:

Use PDF-XChange with the new **64 BIT** for XP and Vista Versions of MS Windows.

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- easily work with **CJK fonts** (PDF-XChange V3 supports fonts containing Unicode symbols, making PDF-XChange an easy choice for users requiring Chinese, Japanese and Korean etc (CJK) font compatibility.);
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- call your favourite **viewer** or software **application** after the file is created;
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Instructions for Application Data Sheet 37 CFR 1.76

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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6. Active Military Descriptions Table

1. Form-Fillable Instructions

Overview

USPTO fill-in PDF forms use the features provided with Adobe Acrobat products. There is some validation of the information you enter but you are still responsible for entering all required information (instructions may require some information to be handwritten on the form).

Software Requirements

To view, complete and print USPTO fill-in PDF forms you will need the free [Adobe Acrobat Reader](#) software installed on your computer. Version 7.0.5 or later of Adobe Reader is recommended.

Opening the Form

Your web browser may be configured with an Adobe Reader plug-in to automatically open the file within your browser's window upon download. To download the file directly to disk, right click the form title link then select "Save Target/Link As..." from the menu. Use Adobe Reader to open the file.

Completing the Form

When positioning the cursor on a fill-in area or element, the cursor will change appearance. The I-beam pointer allows you to type text. The hand pointer allows you to select a check box or radio button.

Enter the appropriate data in each box or field. To move from one field to the next, press the Tab key. You can also use your cursor to move from field to field. Place your cursor in the field you want to fill in, then left-click.

Some fields limit the maximum number of characters you can enter and may automatically advance to the next field.

For additional help with fill-in forms, see the Adobe Reader's online help information.

Tips:

- Type the first letter of your country in the Country Name lists to find it quicker
- Use the latest version of Adobe Reader in order to ensure the form's full functionality
- Save a copy of your work to avoid loss
- The USPTO is only accepting certain types of applications electronically. Visit www.uspto.gov for more details

2. Detailed Form Instructions by Field

Applicant Information:

Secrecy Order Checkbox	Rule 37 C.F.R. 5.2, states that if an invention has been determined to be a matter of national security, the Director of Patents & Trademarks has the right to keep the invention secret. Under the same rule, applicants are obligated to notify the Office of any related cases that the Commissioner has kept secret.
Inventor	One who contributes to the conception of an invention. The patent law of the United States of America requires that the applicant in a patent application must be the inventor.
Legal Representative under 35 U.S.C. 117	35 U.S.C. 117 Legal representatives of deceased inventors and of those under legal incapacity may make application for patent upon compliance with the requirements and on the same terms and conditions applicable to the inventor.
Party of Interest under 35 U.S.C. 118	35 U.S.C. 118 Whenever an inventor refuses to execute an application for patent, or cannot be found or reached after diligent effort, a person to whom the inventor has assigned or agreed in writing to assign the invention or who otherwise shows sufficient proprietary interest in the matter justifying such action, may make application for patent on behalf of and as agent for the inventor on proof of the pertinent facts and a showing that such action is necessary to preserve the rights of the parties or to prevent irreparable damage; and the Director may grant a patent to such inventor upon such notice to him as the Director deems sufficient, and on compliance with such regulations as he prescribes.
Inventor Status Drop Down	In case of the death of the inventor, the legal representative (executor, administrator, etc.) of the deceased inventor may make the necessary oath or declaration, and apply for and obtain the patent. Where the inventor dies during the time intervening between the filing of the application and the granting of a patent thereon, the letters patent may be issued to the legal representative upon proper intervention. When the inventor is insane or legally incapacitated. In case an inventor is insane or otherwise legally incapacitated, the legal representative (guardian, conservator, etc.) of such inventor may make the necessary oath or declaration, and apply for and obtain the patent. Filing when an inventor refuses to sign or cannot be reached.(a) If a joint inventor refuses to join in an application for patent or cannot be found or reached after diligent effort, the application may be made by the other inventor on behalf of himself or herself and the nonsigning inventor.
Given Name	Enter the first or given name of the inventor. If the inventor has only one name, enter a period in this field.
Middle name	Enter any middle name of the inventor. (Optional)
Family Name	Enter the last or family name of the inventor.
Suffix	Enter any name suffix of the inventor; II., III., IV., Jr., Sr.
City	Enter the city of the inventor's residence.
State / Province	Enter the state of the inventor's residence. REQUIRED if the inventor is a U.S. resident. See State/Province List for choices.
Active US Military Service	Select if the inventor is in Active U.S. Military service.
Region of Military Service	If the Active U.S. military service is selected, indicate the region of the world where the inventor is stationed. See Active Military Service Table for options.
Country of Residence	Enter the country of residence of the inventor. Select a country from the drop-down menu for addresses outside of the United States or U.S. territories. REQUIRED. See Country Code Table for complete listing, along with abbreviation.

Citizenship under 1.41 (b)	Enter the citizenship of the inventor. Select the citizenship from the choices available in the drop-down menu.
Address-1	Enter the first line of the inventor's address.
Address-2	Enter the second line of the inventor's address.
City	Enter the city of the inventor's address.
State / Province	If the inventor's address is in the United States or in a U.S. territory, enter the state of the inventor's address. Select a state from the drop-down menu for addresses in the United States or U.S. territories. See State/Province List for choices.
Postal Code	Enter the 5 - 9 digit postal code of the inventor's address. Entry of a postal code for foreign countries is optional.
Country	Enter the country of the inventor's address. Select a country from the drop-down menu for addresses outside of the United States or U.S. territories. See Country Code Table for complete listing, along with abbreviation.
Additional Inventors	Joint inventors must apply for a patent jointly and each must make the required oath or declaration: neither of them alone, nor less than the entire number, can apply for a patent for an invention invented by them jointly, except as provided in § 1.47. (b)
Delete Inventor Information Blocks	Choose this button to delete the adjacent Inventor section.
Active Organization Name	If the representative is an organization, select the Organization name box.
Organization Name	Enter the name of the organization or if the representative is an individual provide name information for the representative is the Inventor representative's name fields.
Prefix	Enter any name prefix of the inventor's representative
Given Name	Enter the first or given name of the inventor's representative. If the representative has only a single name, enter a period in this field.
Middle name	Enter any middle name of the inventor's representative.
Family Name	Enter the last or family name of the inventor's representative.
Suffix	Enter any name suffix of the inventor's representative.
City	Enter the city of the representative's residence
State / Province	Enter the state of the representative's residence. Select a state from the drop-down menu for addresses in the United States or U.S. territories. REQUIRED if the representative is a U.S. resident. See State/Province List for choices.
Active US Military Service	Select if the representative is in Active U.S. Military service.
Region of Military Service	If the Active U.S. military service is selected, indicate the region of the world where the inventor is stationed. See Active Military Service Table for options.
Country of Residence	Enter the country of residence of the representative. Select a country from the drop-down menu for addresses outside of the United States or U.S. territories. See Country Code Table for complete listing, along with abbreviation.
Citizenship under 1.41 (b)	Enter the citizenship of the representative. Select the citizenship from the choices available in the drop-down menu. See Country Code Table for complete listing, along with abbreviation.
Address-1	Enter the first line of the representative's address.
Address-2	Enter the second line of the representative's address.
City	Enter the city of the representative's address
State / Province	Enter the state of the representative's address if the representative's address is in the United States or a U.S. territory. Select a state from the drop-down menu for addresses in the United States or U.S. territories. See State/Province List for choices.

Postal Code	Enter the 5 - 9 digit postal code of the representative's address. Entry of a postal code for foreign countries is optional.
Country	Enter the country of the representative's address. Select a country from the drop-down menu for addresses outside of the United States or U.S. territories. See Country Code Table for complete listing, along with abbreviation.

Correspondence Information:

Provide a Customer Number Checkbox	<p>Select this checkbox to have correspondence in this application sent to an address associated with a specific customer number.</p> <p>When filing an application, a correspondence address must be set forth in either an application data sheet (§ 1.76), or elsewhere, in a clearly identifiable manner, in any paper submitted with an application filing. If no correspondence address is specified, the Office may treat the mailing address of the first named inventor (if provided, see §§ 1.76(b)(1) and 1.63(c)(2)) as the correspondence address. The Office will direct all notices, official letters, and other communications relating to the application to the correspondence address. The Office will not engage in double correspondence with an applicant and a registered attorney or agent, or with more than one registered attorney or agent except as deemed necessary by the Director. If more than one correspondence address is specified, the Office will establish one as the correspondence address. For the party to whom correspondence is to be addressed, a daytime telephone number should be supplied in a clearly identifiable manner and may be changed by any party who may change the correspondence address.</p>
Customer Number	A number assigned by the Office that is used to simplify the submission of an address change, to appoint a practitioner, or to designate the fee address for a patent. <i>Customer numbers</i> are primarily used by attorneys and law firms, and must be requested using the "Request for Customer Number" form (PTO/SB/125) . (previously referred to as "payor number") -
Provide a customer address	If a customer number is not entered, the customer correspondence address must be provided.
Name - 1	Enter the name for the correspondence address.
Name -2	Enter any additional name information for the address.
Address-1	Enter the first line of the correspondence address.
Address-2	Enter the second line of the correspondence address.
City	Enter the city for the correspondence address.
State / Province	If the correspondence address is located in the United States or in a U.S. territory, enter the state for the correspondence address. Select a state from the drop-down menu for addresses in the United States or U.S. territories. REQUIRED for a correspondence address that is in the United States or U.S. territories. See State/Province List for choices.
Country	Enter the country of the correspondence address. Select a country from the drop-down menu for addresses outside of the United States or U.S. territories. See Country Code Table for complete listing, along with abbreviation.
Postal Code	Enter the 5 - 9 digit postal code for the correspondence address. Entry of a postal code for foreign countries is optional.
Phone number	Enter the telephone number for the correspondence address.
Fax number	Enter the fax number for the correspondence address.
Email address	Enter the e-mail address for the correspondence address.
Additional email address	You may enter up to 3 email addresses.

Application Information:

Title of the Invention	The title of the invention may have up to 500 characters and it must be as short and specific as possible. The approved characters include: A-Z,0-9,standard keyboard characters plus <i>f</i> ,...,œ,™,œ,ÿ,ı,ç,£,¤,¥,§,©, ^a ,«,¬,®,°,±, ² , ³ ,μ, ¹ ,°,»,¼,½,¾,¿,À,Á,Â,Ã,Ä,Å,Æ,Ç,È,É,Ê,Ë,Ì,Í,Î,Ï,Ñ,Ò,Ó,Ô,Õ,Ö,Ø,Ù,Ú,Û,Ü,Ý,ß,à,á,â,ã,ä,å,æ,ç,è,é,ê,ë,ì,í,î,ï,ð,ó,ô,õ,ö,÷,ø,ù,ú,û,ü,ý,ÿ,
Attorney Docket Number	This field is optional. It may be used to enter an internal reference number associated with this submission. This field is limited to 25 characters.
Entity Status Small	For purposes of small entity determination per MPEP 509.02 - means an independent inventor, a small business concern, or a nonprofit organization eligible for reduced patent fees.
Application Type	An application may be either provisional, non-provisional, or a reissue. At this time EFS-Web does not accept reissue applications. Select the application type from the drop-down list.
Subject Matter	An application may be either a utility application, a design application, or a plant application. At this time EFS-Web does not accept plant applications. Select the subject matter of the application from the drop-down list.
Suggested Classification	Enter a suggested classification for the application. Optional.
Sub Class	Enter a suggested subclass for the application. Optional.
Suggested Technology Center	Enter a suggested technology center for the application.
Total Number of Drawing Sheets	Enter the total number of drawing sheets in the application.
Suggested Figure for Publication	Enter a suggested figure for publication.
Latin Name	Enter the Latin Name of the plant described in the submission as required by UPOV.
Variety Denomination Name	Enter the Variety denomination of the plant described in the submission as required by UPOV.
Request Early Publication	Request for early publication – Select if this application should be published as soon as possible.
Request Not to Publish	Check this box if a request for non-publication under 35 U.S.C. 122(b) and 37 CFR 1.213 is being made.

Representative Information:

Customer Number Selection	Check this box if you want to provide a Customer Number for patent practitioners associated with this application.
Customer Number Entry	If Customer number is selected enter the customer number associated with patent practitioner information for this application.
Prefix	Enter any name prefix of the patent practitioner. Choose the desired prefix from the drop-down menu.
Given Name	Enter the first or given name of the patent practitioner.
Middle Name	Enter any middle name of the patent practitioner.
Family Name	Enter the last or family name of the patent practitioner. REQUIRED.
Suffix	Enter any name suffix of the patent practitioner.
Registration number	Enter the USPTO registration number of the patent practitioner.
Add Additional Representatives	If patent practitioner is selected, enter the name and registration information for each patent practitioner and select the Add button when the information is complete. Repeat for each patent practitioner.

Delete Representative	If you want to delete a patent practitioner select the delete button next to the patent practitioner you wish to remove.
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Domestic Priority Information:

Application Number	If this field is left blank, it will signify "This Application is a" to refer to the application being submitted. You may also enter any application number that is already referred to in the Prior Application Number fields on the current form.
Continuity Type	Select the relationship between patent applications by selecting one of eight available relationship buttons. The relationships are continuation, division, continuation-in-part, 371 of international, substitution, reissue and non-provisional.
Prior Application Number	Provide the application serial number for the related application.
Prior Filing Date (MM/DD/YY)	Select the filing date of the prior related application from the drop-down menu, which converts into a calendar.
Application Status	Select the status of the related application, Issued, Pending, Abandoned, or Expired.
Add Domestic Priority Data	Add the information to the continuity information list by selecting the Add button.
Delete Domestic Priority Data	Delete the information to the continuity information list by selecting the Delete button.

Foreign Priority Information:

Application Number	Enter the Foreign Document Number of an associated foreign-filed application in the Application Number field. PCT number format: PCT/aaYY/xxxxx or PCT/aaYYYY/xxxxx where aa is valid foreign receiving office/country code YY or YYYY is year and xxxxx is the five-digit number.
Country	Enter the country where the application was filed.
Parent Filing Date (MM/DD/YY)	Enter the foreign filing date in the Date field.
Priority Claimed Yes/No	Indicate whether or not foreign priority is claimed by selecting the appropriate radio button.
Add	Add additional information to the Foreign Priority Information list by selecting the Add button.
Delete	Delete information to the Foreign Priority Information list by selecting the Delete button.

Publication Assignee Information:

Organization	Select the Organization name box if the assignee is an organization.
Organization Name	If the application is assigned to an organization, enter the name of the organization.
Prefix	Enter any name prefix of the assignee. Choose the desired prefix from the drop-down menu.
Given Name	If the application is assigned to an individual or group of individuals, enter the first or given name of the assignee. If the assignee has only one name enter a period into one of the name fields.
Middle Name	Enter any middle name of the assignee.
Family Name	Enter the name of the assignee that USPTO is to publish on the front page of the patent application publication.
Suffix	Enter any name suffix of the assignee
Address 1	Enter the first line of the address of the assignee that USPTO is to publish on the front page of the patent application publication.

Address 2	Enter the second line of the assignee's address.
City	Enter the city of the assignee's address
Postal Code	Enter the 5 - 9 digit postal code of the assignee. Entry of a postal code for foreign countries is optional
State / Province	Enter the state of the assignee's address. Select a state from the drop-down menu for addresses in the United States or U.S. territories. See State/Province List for choices.
Country	Enter the country of the assignee's address. Select a country from the drop-down menu for addresses outside of the United States or U.S. territories. See Country Code List for choices.
Phone Number	Enter the telephone number of the assignee.
Fax Number	Enter the fax number of the assignee.
Email Address	Enter the e-mail address of the assignee.
Add Button	Additional Assignee information Blocks may be generated.
Delete Button	Assignee information Blocks may be deleted.

Signature:

Signature	This signature is an electronic legal signature. The individual named MUST add a signature. Electronic signature should be in the format /###/ where # is alpha-numeric, space or punctuation (but not / or ?), it cannot just have space or punctuations. Example: "/John Doe/". For more information see 37 CFR 1.4(d)(3).
Parent Filing Date (MM/DD/YY)	Enter the date that the submission is being signed. Or, select the date from the drop-down menu, which converts into a calendar.
Name / Print	Type or write the name of the filer.
Registration Number	Please enter a Registration Number if you are a patent practitioner.

3. Country Code Table

COUNTRY	CODE
AFGHANISTAN	AF
ALBANIA	AL
ALGERIA	DZ
ANDORRA	AD
ANGOLA	AO
ANGUILLA	AI
ANTARCTICA	AQ
ANTIGUA AND BARBUDA	AG
ARGENTINA	AR
ARMENIA	AM
ARUBA	AW
AUSTRALIA	AU
AUSTRIA	AT
AZERBAIJAN	AZ
BAHAMAS	BS
BAHRAIN	BH
BANGLADESH	BD
BARBADOS	BB
BELARUS	BY
BELGIUM	BE
BELIZE	BZ
BENIN	BJ
BERMUDA	BM
BHUTAN	BT
BOLIVIA	BO
BOSNIA AND HERZEGOVINA	BA
BOTSWANA	BW
BOUVET ISLAND	BV
BRAZIL	BR
BRITISH INDIAN OCEAN TERRITORY	IO
BRUNEI DARUSSALAM	BN
BULGARIA	BG
BURKINA FASO	BF
BURUNDI	BI
CAMBODIA	KH
CAMEROON	CM
CANADA	CA
CANTON AND ENDERBURY ISLANDS	CT
CAPE VERDE	CV
CAYMAN ISLANDS	KY
CENTRAL AFRICAN REPUBLIC	CF
CHAD	TD
CHILE	CL
CHINA	CN
CHRISTMAS ISLAND	CX
COCOS (KEELING) ISLANDS	CC
COLOMBIA	CO
COMOROS	KM

CONGO	CG
CONGO, THE DEMOCRATIC REPUBLIC OF THE	CD
COOK ISLANDS	CK
COSTA RICA	CR
COTE D'IVOIRE	CI
CROATIA	HR
CUBA	CU
CYPRUS	CY
CZECH REPUBLIC	CZ
CZECHOSLOVAKIA	CS
DENMARK	DK
DJIBOUTI	DJ
DOMINICA	DM
DOMINICAN REPUBLIC	DO
DRONNING MAUD LAND	NQ
EAST TIMOR	TP
ECUADOR	EC
EGYPT	EG
EL SALVADOR	SV
EQUATORIAL GUINEA	GQ
ERITREA	ER
ESTONIA	EE
ETHIOPIA	ET
FALKLAND ISLANDS (MALVINAS)	FK
FAROE ISLANDS	FO
FIJI	FJ
FINLAND	FI
FRANCE	FR
FRENCH GUIANA	GF
FRENCH POLYNESIA	PF
FRENCH SOUTHERN AND ANTARCTIC TERRITORIES	FQ
FRENCH SOUTHERN TERRITORIES	TF
GABON	GA
GAMBIA	GM
GEORGIA	GE
GERMAN DEMOCRATIC REPUBLIC	DD
GERMANY	DE
GHANA	GH
GIBRALTAR	GI
GREECE	GR
GREENLAND	GL
GRENADA	GD
GUADELOUPE	GP
GUATEMALA	GT
GUINEA	GN
GUINEA-BISSAU	GW
GUYANA	GY
HAITI	HT

HEARD ISLAND AND MCDONALD ISLANDS	HM
HOLY SEE (VATICAN CITY STATE)	VA
HONDURAS	HN
HONG KONG	HK
HUNGARY	HU
ICELAND	IS
INDIA	IN
INDONESIA	ID
IRAN, ISLAMIC REPUBLIC OF	IR
IRAQ	IQ
IRELAND	IE
ISRAEL	IL
ITALY	IT
JAMAICA	JM
JAPAN	JP
JORDAN	JO
KAZAKSTAN	KZ
KENYA	KE
KIRIBATI	KI
KOREA, DEMOCRATIC PEOPLE'S REPUBLIC OF	KP
KOREA, REPUBLIC OF	KR
KUWAIT	KW
KYRGYZSTAN	KG
LAO PEOPLE'S DEMOCRATIC REPUBLIC	LA
LATVIA	LV
LEBANON	LB
LESOTHO	LS
LIBERIA	LR
LIBYAN ARAB JAMAHIRIYA	LY
LIECHTENSTEIN	LI
LITHUANIA	LT
LUXEMBOURG	LU
MACAU	MO
MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF	MK
MADAGASCAR	MG
MALAWI	MW
MALAYSIA	MY
MALDIVES	MV
MALI	ML
MALTA	MT
MARSHALL ISLANDS	MH
MARTINIQUE	MQ
MAURITANIA	MR
MAURITIUS	MU
MAYOTTE	YT
MEXICO	MX
MIRCRONESIA, FEDERATED STATES OF	FM
MOLDOVA, REPUBLIC OF	MD
MONACO	MC
MONGOLIA	MN

MONTSERRAT	MS
MOROCCO	MA
MOZAMBIQUE	MZ
MYANMAR	MM
NAMIBIA	NA
NAURU	NR
NEPAL	NP
NETHERLANDS	NL
NETHERLANDS ANTILLES	AN
NEUTRAL ZONE	NT
NEW CALEDONIA	NC
NEW ZEALAND	NZ
NICARAGUA	NI
NIGER	NE
NIGERIA	NG
NIUE	NU
NORFOLK ISLAND	NF
NORWAY	NO
NOT PROVIDED	XP
OMAN	OM
PACIFIC ISLANDS (TRUST TERRITORY)	PC
PAKISTAN	PK
PALAU	PW
PANAMA	PA
PANAMA CANAL ZONE	PZ
PAPUA NEW GUINEA	PG
PARACEL ISLANDS	QP
PARAGUAY	PY
PERU	PE
PHILIPPINES	PH
PITCAIRN	PN
POLAND	PL
PORTUGAL	PT
QATAR	QA
REUNION	RE
ROMANIA	RO
RUSSIAN FEDERATION	RU
RWANDA	RW
SAINT HELENA	SH
SAINT KITTS AND NEVIS	KN
SAINT LUCIA	LC
SAINT PIERRE AND MIQUELON	PM
SAINT VINCENT AND THE GRENADINES	VC
SAMOA	WS
SAN MARINO	SM
SAO TOME AND PRINCIPE	ST
SAUDI ARABIA	SA
SENEGAL	SN
SEYCHELLES	SC
SIERRA LEONE	SL

SINGAPORE	SG
SLOVAKIA	SK
SLOVENIA	SI
SOLOMON ISLANDS	SB
SOMALIA	SO
SOUTH AFRICA	ZA
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	GS
SPAIN	ES
SRI LANKA	LK
STATELESS	ZZ
SUDAN	SD
SURINAME	SR
SVALBARD AND JAN MAYEN	SJ
SWAZILAND	SZ
SWEDEN	SE
SWITZERLAND	CH
SYRIAN ARAB REPUBLIC	SY
TAIWAN	TW
TAJIKISTAN	TJ
TANZANIA, UNITED REPUBLIC OF	TZ
THAILAND	TH
TOGO	TG
TOKELAU	TK
TONGA	TO
TRINIDAD AND TOBAGO	TT
TUNISIA	TN
TURKEY	TR
TURKMENISTAN	TM
TURKS AND CAICOS ISLANDS	TC
TUVALU	TV
UGANDA	UG
UKRAINE	UA
UNION OF SOVIET SOCIALIST REPUBLICS	SU
UNITED ARAB EMIRATES	AE
UNITED KINGDOM	GB
UNITED STATES	US
URUGUAY	UY
UZBEKISTAN	UZ
VANUATU	VU
VENEZUELA	VE
VIET NAM	VN
VIET-NAM, DEMOCRATIC REPUBLIC OF	VD
VIRGIN ISLANDS, BRITISH	VG
WALLIS AND FUTUNA	WF
WESTERN SAHARA	EH
YEMEN	YE
YEMEN, DEMOCRATIC	YD
YUGOSLAVIA	YU
ZAMBIA	ZM
ZIMBABWE	ZW

4. WIPO ST.3 Table

COUNTRY	CODE
ANDORRA	AD
UNITED ARAB EMIRATES	AE
AFGHANISTAN	AF
ALGERIA	DZ
ANTIGUA AND BARBUDA	AG
ANGUILLA	AI
ARMENIA	AM
ALBANIA	AL
NETHERLANDS ANTILLES	AN
ANGOLA	AO
AFRICAN REGIONAL INDUSTRIAL PROPERTY ORGANIZATION (ARIPO)	AP
ARGENTINA	AR
AUSTRALIA	AU
ARUBA	AW
AZERBAIJAN	AZ
BANGLADESH	BD
BOSNIA AND HERZEGOVINA	BA
BAHRAIN	BH
BARBADOS	BB
BELGIUM	BE
BULGARIA	BG
BHUTAN	BT
BURUNDI	BI
BERMUDA	BM
BRUNEI DARUSSALAM	BN
BOLIVIA	BO
BRAZIL	BR
BAHAMAS	BS
BOTSWANA	BW
MYANMAR	MM
BOUVET ISLAND	BV
BENELUX TRADEMARK OFFICE (BBDM) AND BENELUX DESIGNS OFFICE (BBDM)	BX
BELARUS	BY
BELIZE	BZ
CANADA	CA
DEMOCRATIC REPUBLIC OF THE CONGO	CD
CHILE	CL
CONGO	CG
SWITZERLAND	CH
COTE D'IVOIRE	CI
COOK ISLANDS	CK
SRI LANKA	LK
COLOMBIA	CO
COSTA RICA	CR
CUBA	CU
HOLY SEE	VA

CAPE VERDE	CV
CYPRUS	CY
CZECH REPUBLIC	CZ
BENIN	BJ
DJIBOUTI	DJ
DENMARK	DK
DOMINICA	DM
DOMINICAN REPUBLIC	DO
GERMANY	DE
ETHIOPIA	ET
EURASIAN PATENT ORGANIZATION (EAPO)	EA
ECUADOR	EC
ESTONIA	EE
WESTERN SAHARA	EH
IRELAND	IE
EUROPEAN (EU) OFFICE FOR HARMONIZATION IN THE INTERNAL MARKET (OHIM)	EM
EUROPEAN PATENT OFFICE (EPO)	EP
ERITREA	ER
SPAIN	ES
EGYPT	EG
FIJI	FJ
FALKLAND ISLANDS (MALVINAS)	FK
LIECHTENSTEIN	LI
FAROE ISLANDS	FO
FRANCE	FR
GABON	GA
UNITED KINGDOM	GB
PATENT OFFICE OF THE COOPERATION COUNCIL FOR THE ARAB STATES OF THE GULF (GCC)	GC
GRENADA	GD
GAMBIA	GM
GEORGIA	GE
GHANA	GH
GUINEA	GN
GIBRALTAR	GI
GREENLAND	GL
EQUATORIAL GUINEA	GQ
GREECE	GR
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	GS
GUATEMALA	GT
GUINEA-BISSAU	GW
GUYANA	GY
HAITI	HT
THE HONG KONG SPECIAL ADMINISTRATIVE REGION OF THE PEOPLE'S REPUBLIC OF CHINA	HK
HONDURAS	HN
CROATIA	HR
HUNGARY	HU

INTERNATIONAL BUREAU OF THE WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)	IB
INDONESIA	ID
ISRAEL	IL
INDIA	IN
IRAQ	IQ
IRAN, ISLAMIC REPUBLIC OF	IR
ICELAND	IS
ITALY	IT
JAPAN	JP
JAMAICA	JM
JORDAN	JO
CAMEROON	CM
KENYA	KE
KYRGYZSTAN	KG
KIRIBATI	KI
COMOROS	KM
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	KP
SAINT KITTS AND NEVIS	KN
REPUBLIC OF KOREA	KR
KUWAIT	KW
CAYMAN ISLANDS	KY
KAZAKHSTAN	KZ
LAOS	LA
LEBANON	LB
SAINT LUCIA	LC
LIBERIA	LR
LESOTHO	LS
LITHUANIA	LT
LUXEMBOURG	LU
LATVIA	LV
LIBYA	LY
MOROCCO	MA
MONACO	MC
MADAGASCAR	MG
REPUBLIC OF MOLDOVA	MD
MALI	ML
THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA	MK
MALTA	MT
MONGOLIA	MN
MACAU	MO
NORTHERN MARIANA ISLANDS	MP
MAURITIUS	MU
MONTSERRAT	MS
MAURITANIA	MR
OMAN	OM
MALDIVES	MV
MALAWI	MW
MEXICO	MX

MALAYSIA	MY
MOZAMBIQUE	MZ
NICARAGUA	NI
NAMIBIA	NA
NIGER	NE
NETHERLANDS	NL
NORWAY	NO
NEPAL	NP
NAURU	NR
NEW ZEALAND	NZ
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION (OAPI)	OA
AUSTRIA	AT
PERU	PE
PARAGUAY	PY
PHILIPPINES	PH
PAKISTAN	PK
PANAMA	PA
POLAND	PL
PAPUA NEW GUINEA	PG
PORTUGAL	PT
PALAU	PW
QATAR	QA
CHINA	CN
ROMANIA	RO
RUSSIAN FEDERATION	RU
RWANDA	RW
SAUDI ARABIA	SA
SOLOMON ISLANDS	SB
SEYCHELLES	SC
SUDAN	SD
FINLAND	FI
SINGAPORE	SG
SAINT HELENA	SH
SLOVENIA	SI
SLOVAKIA	SK
EL SALVADOR	SV
SAN MARINO	SM
SENEGAL	SN
SOMALIA	SO
SYRIA	SY
SURINAME	SR
SAO TOME AND PRINCIPE	ST
SWEDEN	SE
SWAZILAND	SZ
UNITED REPUBLIC OF TANZANIA	TZ
TURKS AND CAICOS ISLANDS	TC
TRINIDAD AND TOBAGO	TT
THAILAND	TH
TONGA	TO
TAJIKISTAN	TJ

TURKMENISTAN	TM
TUNISIA	TN
TOGO	TG
EAST TIMOR	TP
TURKEY	TR
CHAD	TD
TUVALU	TV
TAIWAN	TW
UKRAINE	UA
UGANDA	UG
UNITED STATES OF AMERICA	US
BURKINA FASO	BF
URUGUAY	UY
UZBEKISTAN	UZ
SAINT VINCENT AND THE GRENADINES	VC
VENEZUELA	VE
VIRGIN ISLANDS, BRITISH	VG
VIET NAM	VN
VANUATU	VU
SIERRA LEONE	SL
NIGERIA	NG
WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) (INTERNATIONAL BUREAU OF)	WO
SAMOA	WS
YUGOSLAVIA	YU
SOUTH AFRICA	ZA
ZAMBIA	ZM
CENTRAL AFRICAN REPUBLIC	CF
CAMBODIA	KH
ZIMBABWE	ZW
YEMEN	YE
EUROPEAN (EU) COMMUNITY PLANT VARIETY OFFICE (CPVO)	QZ

5. State/Province List

U.S. State / U.S. territories / Canadian Provinces	Code
ALABAMA	AL
ALASKA	AK
ALBERTA	AB
AMERICAN SAMOA	AS
ARIZONA	AZ
ARKANSAS	AR
Armed Forces in Americas excluding Canada	AA
Armed Forces in Europe, the Middle East, Africa, and Canada	AE
Armed Forces in the Pacific	AP
BAKER ISLAND	81
BRITISH COLUMBIA	BC
CALIFORNIA	CA
CHANNEL ISLANDS	CHA
COLORADO	CO
CONNECTICUT	CT
DELAWARE	DE
DISTRICT OF COLUMBIA	DC
FLORIDA	FL
GEORGIA	GA
GUAM	GU
HAWAII	HI
HOWLAND ISLAND	84
IDAHO	ID
ILLINOIS	IL
INDIANA	IN
IOWA	IA
JARVIS ISLAND	86
JOHNSTON ATOLL	67
KANSAS	KS
KENTUCKY	KY
KINGMAN REEF	89
LOUISIANA	LA
MAINE	ME
MANITOBA	MB
MARYLAND	MD
MASSACHUSETTS	MA
MICHIGAN	MI
MIDWAY ISLANDS	71
MINNESOTA	MN
MISSISSIPPI	MS
MISSOURI	MO
MONTANA	MT
NAVASSA ISLAND	76
NEBRASKA	NE
NEVADA	NV
NEW BRUNSWICK	NB
NEW HAMPSHIRE	NH

NEW JERSEY	NJ
NEW MEXICO	NM
NEW YORK	NY
NEWFOUNDLAND	NF
NORTH CAROLINA	NC
NORTH DAKOTA	ND
NORTHWEST TERRITORIES	NT
NOVA SCOTIA	NS
NUNAVUT	NU
OHIO	OH
OKLAHOMA	OK
ONTARIO	ON
OREGON	OR
PALMYRA ATOLL	95
PENNSYLVANIA	PA
PRINCE EDWARD ISLAND	PE
PUERTO RICO	PR
QUEBEC	QC
RHODE ISLAND	RI
SASKATCHEWAN	SK
SOUTH CAROLINA	SC
SOUTH DAKOTA	SD
TENNESSEE	TN
TEXAS	TX
UNITED STATES MINOR OUTLYING ISLANDS	UM
UTAH	UT
VERMONT	VT
VIRGIN ISLANDS, U.S.	VI
VIRGINIA	VA
WAKE ISLAND	79
WASHINGTON	WA
WEST VIRGINIA	WV
WISCONSIN	WI
WYOMING	WY
YUKON TERRITORY	YT

6. Active Military Descriptions Table

AE	The inventor is serving in Europe or Africa
AP	The inventor is serving in the Pacific
AA	The inventor is serving in the Americas excluding Canada

Instructions for Information Disclosure Statement

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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1. Form-Fillable Instructions

Overview

USPTO fill-in PDF forms use the features provided with Adobe Acrobat products. There is some validation of the information you enter but you are still responsible for entering all required information (instructions may require some information to be handwritten on the form).

Software Requirements

To view, complete and print USPTO fill-in PDF forms you will need the free [Adobe Acrobat Reader](#) software installed on your computer. Version 7.0.5 or later of Adobe Reader is recommended.

Opening the Form

Your web browser may be configured with an Adobe Reader plug-in to automatically open the file within your browser's window upon download. To download the file directly to disk, right click the form title link then select "Save Target/Link As..." from the menu. Use Adobe Reader to open the file.

Completing the Form

When positioning the cursor on a fill-in area or element, the cursor will change appearance. The I-beam pointer allows you to type text. The hand pointer allows you to select a check box or radio button.

Enter the appropriate data in each box or field. To move from one field to the next, press the Tab key. You can also use your cursor to move from field to field. Place your cursor in the field you want to fill in, then left-click.

Some fields limit the maximum number of characters you can enter and may automatically advance to the next field.

For additional help with fill-in forms, see the Adobe Reader's online help information.

Tips:

- Type the first letter of your country in the Country Name lists to find it quicker
- Use the latest version of Adobe Reader in order to ensure the form's full functionality
- Save a copy of your work to avoid loss
- The USPTO is only accepting certain types of applications electronically. Visit www.uspto.gov for more details

2. Detailed Form Instructions by Field

Information Disclosure Statement Header:

Application Number	Enter the US Application number you wish to file the Information Disclosure Statement against, for example 999999999 or 099999999
Filing Date	Enter the filing date of the US Application number with which you are filing the Information Disclosure Statement.
First Named Inventor	Enter the Last Name of the first named inventor. If the name is more than 50 characters in length. Characters beyond the 50th will be truncated in USPTO internal systems
Art Unit	Enter the Art Unit location if known.
Examiner Name	Enter the name of the examiner assigned, if known or likely to be assigned to the corresponding patent application.
Attorney Docket Number	Enter the Attorney Docket Number. The text format is alpha numeric.

U.S. Patents:

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. When U.S. Patent Application Publications are also listed, the maximum combined total is 50. For USPTO action only.
Patent Number	Enter the Patent Number to be cited, example is 99999999 or 099999999
Kind	Enter the Kind code of the patent number if known. WIPO Standard ST. 16 codes (kind codes) include a letter, and in many cases a number, used to distinguish the kind of patent document (e.g., publication of an application for a utility patent (patent application publication), patent, plant patent application publication, plant patent, or design patent) and the level of publication (e.g., first publication, second publication, or corrected publication).
Issue Date	Enter the date of Issue for the cited patent.
Name of Patentee or Applicant of cited Document	Enter the Last Name of the first named inventor of the cited patent. If the name is more than 50 characters in length characters beyond the 50th will be truncated in USPTO internal systems
Pages, Columns, Lines where relevant passages or relevant figures appear.	Enter any relevant information of the cited patent regarding Page Number, Column Location or Line Number where the Relevant Passages or Figures appear.
Remove	Selecting the DELETE button will delete the last U.S. Patent Citation row of data.
Add	Selecting the ADD button will add additional U.S. Patent Citation data fields.

U.S. Patent Application Publications

Examiner Initial	When the examiner processes the form, he or she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. When U.S. Patents are also listed, are also listed, the maximum combined total is 50. For USPTO action only.
Publication Number	Enter the Publication Number to be cited, example is YYYY99999999
Kind	Enter the Kind code of the patent number if known. WIPO Standard ST. 16 codes (kind codes) include a letter, and in many cases a number, used to distinguish the kind of patent document (e.g., publication of an application for a utility patent (patent application publication), patent, plant patent application publication, plant patent, or design patent) and the level of publication (e.g., first publication, second publication, or corrected publication).

Publication Date	Enter the date of Publication for the cited application.
Name of Patentee or Applicant of cited Document	Enter the Last Name of the first named inventor of the cited patent. If the name is more than 50 characters in length characters beyond the 50th will be truncated in USPTO internal systems
Pages, Columns, Lines where relevant passages or relevant figures appear.	Enter any relevant information of the cited patent regarding Page Number, Column Location or Line Number where the Relevant Passages or Figures appear.
Remove	Selecting the DELETE button will delete the selected U.S. Patent Citation row of data.
Add	Selecting the ADD button will add additional U.S. Patent Citation data fields.

Foreign Patent Documents :

Examiner Initial	When the examiner processes the form, he or. she will initial this box if they accept the citation. For USPTO action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. For USPTO action only.
Foreign Document Number	Enter up to 17 characters alpha numeric of the Foreign Document Number.
Country Code	See the attached WIPO ST.3 Table for the correct 2 digit code.
Kind	See the attached WIPO ST.16 Kind Code Table
Publication Date	Date of Publication of the Foreign Patent Document
Name of Patentee or Applicant of cited Document	If known, enter the Last Name of the Inventor of the cited Foreign Patent Document
Pages, Columns, Lines where relevant passages or relevant figures appear.	List the page, column or line number of the relevant text or figures of the cited Foreign Patent Document.
T	Check the box if an English translation of the Foreign Patent Document is attached to the IDS submission
Remove	Selecting the DELETE button will delete the bottom Foreign Patent Document Citation row of data.
Add	Selecting the ADD button will Add an additional row of data for Foreign Patent Document citation.

Non-Patent Literature Documents:

Examiner Initial	When the examiner processes the form, he or. she will initial this box if they accept the citation. USPTO internal action only.
Cite Number	This number is self-incrementing; as you add more citations, this number will increase by one to a maximum of 50. USPTO internal action only.
Name of the author, title of the article, title of the item, publisher, city and or country where published.	If known, enter the Last Name of the author, the title of the article or item, the publisher, city and or country of publication.
T	Check the box if an English translation of the Non-Patent Literature is attached to the IDS submission
Remove	Selecting the DELETE button will delete the bottom citation row of Non-Patent Literature.
Add	Selecting the ADD button will Add an additional citation row of data for Non-Patent Literature.

Certification Statement

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):
That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):
See attached certification statement.	Select this box if the eFiler intends to submit their own IDS Certification Statement.
Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.	Select this box for an Information Disclosure Statement under CFR 37 1.97(c) or 1.97 (d) or a submission under CFR 1.37 1.99:
None	Select this box if none of the selections apply.

Signature

Signature	Enter the electronic signature of the individual signing the Information Disclosure Statement. An example would be /John Q Public/ See 37CFR 1.4d(3)
Date	Enter the date of submission of the Information Disclosure Statement.
Name/Print	Type or write the name of the individual submitting the Information Disclosure Statement.
Registration Number	Enter the Registration Number of the U.S. Patent Practitioner who is submitting the Information Disclosure Statement.
Remove	Selecting the DELETE button will delete the bottom citation row of Non-Patent Literature.
Add	Selecting the ADD button will Add an additional citation row of data for Non-Patent Literature.

3. WIPO ST.3 Table

COUNTRY	CODE
ANDORRA	AD
UNITED ARAB EMIRATES	AE
AFGHANISTAN	AF
ALGERIA	DZ
ANTIGUA AND BARBUDA	AG
ANGUILLA	AI
ARMENIA	AM
ALBANIA	AL
NETHERLANDS ANTILLES	AN
ANGOLA	AO
AFRICAN REGIONAL INDUSTRIAL PROPERTY ORGANIZATION (ARIPO)	AP
ARGENTINA	AR
AUSTRALIA	AU
ARUBA	AW
AZERBAIJAN	AZ
BANGLADESH	BD
BOSNIA AND HERZEGOVINA	BA
BAHRAIN	BH
BARBADOS	BB
BELGIUM	BE
BULGARIA	BG
BHUTAN	BT
BURUNDI	BI
BERMUDA	BM
BRUNEI DARUSSALAM	BN
BOLIVIA	BO
BRAZIL	BR
BAHAMAS	BS
BOTSWANA	BW
MYANMAR	MM
BOUVET ISLAND	BV
BENELUX TRADEMARK OFFICE (BBDM) AND BENELUX DESIGNS OFFICE (BBDM)	BX
BELARUS	BY
BELIZE	BZ
CANADA	CA
DEMOCRATIC REPUBLIC OF THE CONGO	CD
CHILE	CL
CONGO	CG
SWITZERLAND	CH
COTE D'IVOIRE	CI
COOK ISLANDS	CK
SRI LANKA	LK
COLOMBIA	CO
COSTA RICA	CR
CUBA	CU

HOLY SEE	VA
CAPE VERDE	CV
CYPRUS	CY
CZECH REPUBLIC	CZ
BENIN	BJ
DJIBOUTI	DJ
DENMARK	DK
DOMINICA	DM
DOMINICAN REPUBLIC	DO
GERMANY	DE
ETHIOPIA	ET
EURASIAN PATENT ORGANIZATION (EAPO)	EA
ECUADOR	EC
ESTONIA	EE
WESTERN SAHARA	EH
IRELAND	IE
EUROPEAN (EU) OFFICE FOR HARMONIZATION IN THE INTERNAL MARKET (OHIM)	EM
EUROPEAN PATENT OFFICE (EPO)	EP
ERITREA	ER
SPAIN	ES
EGYPT	EG
FIJI	FJ
FALKLAND ISLANDS (MALVINAS)	FK
LIECHTENSTEIN	LI
FAROE ISLANDS	FO
FRANCE	FR
GABON	GA
UNITED KINGDOM	GB
PATENT OFFICE OF THE COOPERATION COUNCIL FOR THE ARAB STATES OF THE GULF (GCC)	GC
GRENADA	GD
GAMBIA	GM
GEORGIA	GE
GHANA	GH
GUINEA	GN
GIBRALTAR	GI
GREENLAND	GL
EQUATORIAL GUINEA	GQ
GREECE	GR
SOUTH GEORGIA AND THE SOUTH SANDWICH ISLANDS	GS
GUATEMALA	GT
GUINEA-BISSAU	GW
GUYANA	GY
HAITI	HT
THE HONG KONG SPECIAL ADMINISTRATIVE REGION OF THE PEOPLE'S REPUBLIC OF CHINA	HK

HONDURAS	HN
CROATIA	HR
HUNGARY	HU
INTERNATIONAL BUREAU OF THE WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO)	IB
INDONESIA	ID
ISRAEL	IL
INDIA	IN
IRAQ	IQ
IRAN, ISLAMIC REPUBLIC OF	IR
ICELAND	IS
ITALY	IT
JAPAN	JP
JAMAICA	JM
JORDAN	JO
CAMEROON	CM
KENYA	KE
KYRGYZSTAN	KG
KIRIBATI	KI
COMOROS	KM
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	KP
SAINT KITTS AND NEVIS	KN
REPUBLIC OF KOREA	KR
KUWAIT	KW
CAYMAN ISLANDS	KY
KAZAKHSTAN	KZ
LAOS	LA
LEBANON	LB
SAINT LUCIA	LC
LIBERIA	LR
LESOTHO	LS
LITHUANIA	LT
LUXEMBOURG	LU
LATVIA	LV
LIBYA	LY
MOROCCO	MA
MONACO	MC
MADAGASCAR	MG
REPUBLIC OF MOLDOVA	MD
MALI	ML
THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA	MK
MALTA	MT
MONGOLIA	MN
MACAU	MO
NORTHERN MARIANA ISLANDS	MP
MAURITIUS	MU
MONTSERRAT	MS
MAURITANIA	MR
OMAN	OM

MALDIVES	MV
MALAWI	MW
MEXICO	MX
MALAYSIA	MY
MOZAMBIQUE	MZ
NICARAGUA	NI
NAMIBIA	NA
NIGER	NE
NETHERLANDS	NL
NORWAY	NO
NEPAL	NP
NAURU	NR
NEW ZEALAND	NZ
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION (OAPI)	OA
AUSTRIA	AT
PERU	PE
PARAGUAY	PY
PHILIPPINES	PH
PAKISTAN	PK
PANAMA	PA
POLAND	PL
PAPUA NEW GUINEA	PG
PORTUGAL	PT
PALAU	PW
QATAR	QA
CHINA	CN
ROMANIA	RO
RUSSIAN FEDERATION	RU
RWANDA	RW
SAUDI ARABIA	SA
SOLOMON ISLANDS	SB
SEYCHELLES	SC
SUDAN	SD
FINLAND	FI
SINGAPORE	SG
SAINT HELENA	SH
SLOVENIA	SI
SLOVAKIA	SK
EL SALVADOR	SV
SAN MARINO	SM
SENEGAL	SN
SOMALIA	SO
SYRIA	SY
SURINAME	SR
SAO TOME AND PRINCIPE	ST
SWEDEN	SE
SWAZILAND	SZ
UNITED REPUBLIC OF TANZANIA	TZ
TURKS AND CAICOS ISLANDS	TC
TRINIDAD AND TOBAGO	TT

THAILAND	TH
TONGA	TO
TAJIKISTAN	TJ
TURKMENISTAN	TM
TUNISIA	TN
TOGO	TG
EAST TIMOR	TP
TURKEY	TR
CHAD	TD
TUVALU	TV
TAIWAN	TW
UKRAINE	UA
UGANDA	UG
UNITED STATES OF AMERICA	US
BURKINA FASO	BF
URUGUAY	UY
UZBEKISTAN	UZ
SAINT VINCENT AND THE GRENADINES	VC
VENEZUELA	VE
VIRGIN ISLANDS, BRITISH	VG
VIET NAM	VN
VANUATU	VU
SIERRA LEONE	SL
NIGERIA	NG
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YUGOSLAVIA	YU
SOUTH AFRICA	ZA
ZAMBIA	ZM
CENTRAL AFRICAN REPUBLIC	CF
CAMBODIA	KH
ZIMBABWE	ZW
YEMEN	YE
EUROPEAN (EU) COMMUNITY PLANT VARIETY OFFICE (CPVO)	QZ

WIPO ST.16 Kind Codes

Summary of USPTO Kind Codes Used on Documents Published Beginning January 2, 2001		
WIPO ST.16 Kind Codes	Kind of document	Comments
A1	Patent Application Publication	Pre-grant publication available March 2001
A2	Patent Application Publication (Republication)	Pre-grant publication available March 2001
A9	Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
B1	Patent	No previously published pre-grant publication
B2	Patent	Having a previously published pre-grant publication and available March 2001
C1, C2, C3...	Reexamination Certificate	Previously used codes B1 and B2 are now used for granted Patents
E	Reissue Patent	No change
H	Statutory Invention Registration (SIR)	No change
P1	Plant Patent Application Publication	Pre-grant publication available March 2001
P2	Plant Patent	No previously published pre-grant publication
P3	Plant Patent	Having a previously published pre-grant publication and available March 2001
P4	Plant Patent Application Publication (Republication)	Pre-grant publication available after March 2001
P9	Plant Patent Application Publication (Corrected Publication)	Pre-grant publication available March 2001
S	Design Patent	No change