



**EFS-Web**

## **Quick Start Guide**

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### **THIRD-PARTY PREISSUANCE SUBMISSIONS UNDER 37 CFR 1.290**



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## 1. Introduction

This guide is for Third-Party Preissuance Submissions under 37 CFR 1.290. For general information on submitting applications electronically via EFS-Web please review the EFS-Web Quick Start Guide located at <http://www.uspto.gov/patents/process/file/efs/guidance/EFSS-WebQuickStartGuide.pdf>

35 U.S.C. 122(e) provides a mechanism for third parties to submit patents, published patent applications, or other printed publications of potential relevance to the examination of a patent application with a concise description of the asserted relevance of each document submitted. Under 35 U.S.C. 122(e), such submissions must be made (1) before the later of (i) 6 months after the date the application is first published by the Office, or (ii) the date of a first Office action on the merits rejecting any claim, and (2) before the date a notice of allowance is given or mailed. Section 122(e) also provides for such fees as the Director may prescribe. This new provision is effective September 16, 2012, and applies to any patent application filed before, on, or after September 16, 2012.

The microsite for Third-Party Preissuance Submissions can be located at:  
[http://www.uspto.gov/patents/init\\_events/preissuance\\_submissions.jsp](http://www.uspto.gov/patents/init_events/preissuance_submissions.jsp).

Here you may initiate the Third-Party Submission by clicking the “Click Here to File” button located on the right side of the Preissuance Submissions banner shown below.



**Preissuance Submissions ("Third Party Submissions")**

**Preissuance Submissions**  
*(Third Party Submissions)*

35 U.S.C. 122(e) provides a mechanism for third parties to submit patents, published patent applications, or other printed publications of potential relevance to the examination of a patent application with a concise description of the asserted relevance of each document submitted. Under 35 U.S.C. 122(e), such submissions may be made before (1) the later of (i) 6 months after the date of publication or (ii) the date of a first Office action on the merits rejecting any claims, or (2) before the date of a notice of allowance, if earlier. Section 122(e) also provides for such fees as the Director may prescribe. This new provision was effective on September 16, 2012, and applies to any patent application.

After clicking the “Click Here to File” button, you will be directed to the EFS-Web Landing page for Unregistered eFilers where the “Third-Party Preissuance Submission under 37 CFR 1.90” radio button is preselected for filing purposes. Unregistered eFilers should follow the instructions set forth in Section 3.1.2 below. Registered eFilers should follow the instructions set forth in Section 3.1.1 below.

This Quick Start Guide will provide you with the information you need in order to rapidly understand how to file a Third-Party Preissuance Submission, including a brief overview of the process and screen shots that identify critical aspects of the submission.

A more comprehensive guide on how to use EFS-Web can be found at the EFS-Web Guidance and Resources page located at: <http://www.uspto.gov/patents/process/file/efs/guidance/index.jsp>

## 2. Basic Guidelines for Filing a Third-Party Preissuance Submission

- You must be able to access EFS-Web.
- The radio button “Third-Party Preissuance Submission under 37 CFR 1.290” **must** be selected.
- You can be either a Registered or Unregistered eFiler. Only Registered eFilers may save a submission as a work-in-progress for up to 7 days.
- A Third-Party Submission under 37 CFR 1.290 may be made in any non-provisional utility, design, or plant application, including any continuing application. The application may be pending or abandoned and need not be published.
- Third-Party Submissions under 37 CFR 1.290 are **not** permitted in reissue applications and reexamination proceedings.
- Before being entered into the image file wrapper (IFW) record of an application, Third-Party Submissions will be reviewed for compliance with 35 U.S.C. 122(e) and 37 CFR 1.290.
- Consult the current fee schedule available at <http://www.uspto.gov/about/offices/cfo/finance/fees.jsp> for the correct fee amounts. The regular undiscounted fee for a Third-Party Submission is currently \$180 for every 10 documents listed or fraction thereof, as set forth in 37 CFR 1.290(f) and 37 CFR 1.17(p) and will be due upon filing of the completed submission. If the third party qualifies as a small entity (e.g., a person, a small business, or a nonprofit organization), the fee is reduced by half.
- There is no fee required if the first submission by a third party in an application lists three or fewer items, and is accompanied by the statement set forth in 37 CFR 1.290(g).
- If a Third-Party Submission has been submitted but a required component has been omitted, the omitted component cannot be submitted as a follow-on paper. Instead, the third party may file another complete submission which includes the omitted component, provided the time period for doing so has not closed. See Section 3.2.6 for information regarding the fee required for a resubmission made in response to a notification of non-compliance.

**Warning:** EFS-Web sessions will time-out after one hour of inactivity. A Third-Party Submission that has not been submitted or saved after one hour of inactivity will be lost. You will need to login to EFS-Web again and re-enter the information from the start.

## 3. Filing a Third-Party Preissuance Submission

### 3.1 Signing-On to EFS-Web

Third parties have the option of signing-on to EFS-Web as either a Registered or Unregistered eFiler.

#### 3.1.1 Registered eFiler

Once you have signed-on to EFS-Web as a Registered eFiler, you will need to certify that you are the certificate holder or working under the authority of the certificate holder. Registered eFilers who authenticate can save “In-progress” submissions and return to edit them prior to completing the submission, but any required payment will be due upon filing of the completed submission.



The screenshot shows a web form titled "Your Digital Certificate has been authenticated - please certify your identity:". It contains two radio button options, each with a corresponding text input field. The first option is "I certify that I am the certificate holder" and the second is "I certify that I am working under the authority of the certificate holder:". The first option is selected, and its input field is highlighted with a red border. The second option is unselected, and its input field is also highlighted with a red border.

To submit a Third-Party Preissuance Submission, select the “**Existing application/patent**” radio button. The Web screen will expand to display additional options. Select the radio button located next to “**Third-Party Preissuance Submission under 37 CFR 1.290**” and enter the Application Number and Confirmation Number. The Confirmation Number can be obtained by looking up the application number in the Public Patent Application Information Retrieval (PAIR) System located at <http://portal.uspto.gov/external/portal/pair> and viewing the Bibliographic Data. If the Confirmation Number is not available or not known, the Third-Party Submission cannot be filed electronically and may be filed in paper instead. Instructions on how to file a third-party submission in paper are available at: [http://www.uspto.gov/patents/init\\_events/preissuance\\_submissions.jsp](http://www.uspto.gov/patents/init_events/preissuance_submissions.jsp).

The screenshot shows the EFS Registered web interface. At the top, there is a 'Registered eFilers' status and a 'Please Read Announcements' link. Below this is a 'Certification' section with a warning: 'A submission has not been filed officially at the USPTO until the e-filer executes the Submit function and the documents are received at the USPTO Eastern Time. The Acknowledgement Receipt is evidence of this submission.' There are also links for 'Legal Framework for using EFS-Web' and 'OMB Clearance and PRA Burden Statement'.

The main section is titled 'Your Digital Certificate has been authenticated - please certify your identity:'. It contains several radio buttons for certification: 'I certify that I am the certificate holder: CommanderCleo', 'I certify that I am working under the authority of the certificate holder: CommanderCleo', and 'Main Functions'. Under 'Main Functions', there are three radio buttons: 'New application/proceeding', 'Existing application/patent/proceeding', and 'Pre-Grant Publication under 37 CFR 1.211 to 1.221'. The 'Existing application/patent/proceeding' option is selected.

Under 'Existing application/patent/proceeding', there is a sub-section 'Select Type of Submission for Existing Application/Proceeding' with four radio buttons: 'Documents/Fees for an existing application/proceeding (applicant/representative only)', 'ePetition (for automatic processing and immediate grant, if all petition requirements are met)', 'eProcessing (Electronic Terminal Disclaimer and other requests for automatic processing)', and 'Third-Party Preissuance Submission under 37 CFR 1.290'. The 'Third-Party Preissuance Submission under 37 CFR 1.290' option is selected and highlighted with a red box. Below this, there are two text input fields: 'Application Number' (with an example: 99999999, 99/999999 or 99/999,999) and 'Confirmation Number' (with an example: 1234). There is also a checkbox for 'Pursuant to 37 CFR 11.18(b), a party presenting any paper to the Office is certifying that all statements made therein of the party's own knowledge are true, and that all statements made therein on information and belief are believed to be true, and all statements are made with the knowledge that whoever willfully makes any false statements or representations shall be subject to the penalties set forth under 18 U.S.C. 1001.' At the bottom, there is a 'Continue' button highlighted in red.

You must select the check box acknowledging that you have read the 37 CFR 11.18(b) statement in order to proceed with the submission. Next, to enter the data for the Third-Party Submission, click on the “Continue” button.

**Note:** Before proceeding, verify whether a submission would be timely under 37 CFR 1.290(b) and 37 CFR 1.7(a). Untimely submissions will not be entered and any required fees will not be refunded. At any time before you Submit, you may click the “Cancel” button at the bottom of page to restart the submission. By canceling the submission, any data entered will be lost and cannot be retrieved. Refer to Section 3.3 for instructions on how to save your work for later submission.

### 3.1.2 Unregistered eFiler

Once you have signed-on to EFS-Web as an Unregistered eFiler, you will need to enter your last name, first name and e-mail address. To submit a Third-Party Preissuance Submission, select the “Existing application/patent” radio button. The Web screen will expand to display additional options. Select the radio button located next to “Third-Party Preissuance Submission under 37 CFR 1.290”. If you selected the “Click Here to File” button on the Third-Party Preissuance Submissions microsite, the “Existing application/patent” radio button and the “Third-Party Preissuance Submission under 37 CFR 1.290” radio button will be preselected. You must enter the Application Number and Confirmation Number. The Confirmation Number can be obtained by looking up the application number in the Public Patent Application Information Retrieval (PAIR) System located at <http://portal.uspto.gov/external/portal/pair> and viewing the Bibliographic Data. If the Confirmation Number is not available or not known, the Third-Party Submission cannot be filed electronically and may be filed in paper instead. Instructions on how to file a third-party submission in paper are available at: [http://www.uspto.gov/patents/init\\_events/preissuance\\_submissions.jsp](http://www.uspto.gov/patents/init_events/preissuance_submissions.jsp).

EFS Unregistered

Unregistered eFilers
Registered eFilers 
Please Read Announcements

**Welcome to Electronic Patent Filing for UNREGISTERED eFILERS**

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

All items denoted by \* are required.

**Advisory (20APR2012)** Visit [www.uspto.gov/patents/init\\_events/afcp.jsp](http://www.uspto.gov/patents/init_events/afcp.jsp) to learn about the After Final Consideration Pilot, part of the USPTO's on-going efforts towards compact prosecution and increased collaboration between examiners and stakeholders.

**Advisory (5APR2012)** Tell your friends and family USPTO is hiring patent examiners in a variety of engineering, science & IP law disciplines. Amazing benefits and opportunities to support economic growth in an exciting field of work. Visit [www.USPTOcareers.gov](http://www.USPTOcareers.gov) for more.

**IMPORTANT:** Please read [Legal Framework for using EFS-Web](#). For information on the Paperwork Reduction Act as it pertains to third party submissions under 37 CFR 1.290, please see the [OMB Clearance and PRA Burden Statement - Third Party Submissions page](#)

**Sign-on as an UNREGISTERED eFILER**

\* e-Filer Last Name:

\* e-Filer First Name:

\* e-Filer E-Mail Address:

\*Main Functions

New application

*(This includes new filings of continuation, divisional, continuation-in-part and reissue applications, as well as reexamination and supplemental examination proceedings. A request for continued examination (RCE) and continued prosecution application (CPA) are considered existing documents and must be filed as a registered eFiler.)*

Existing application/patent i

Select Type of Submission for Existing Application

Petition

Third-Party Preissuance Submission under 37 CFR 1.290 i

*(for utility, design, or plant application only, and not a reissue application or reexam proceeding)*

\* Application Number:  (EXAMPLE: 99999999 , 99/999999 or 99/999,999) i

\* Confirmation Number:  (EXAMPLE: 1234) i

\*  Pursuant to 37 CFR 11.18(b), a party presenting any paper to the Office is certifying that all statements made therein of the party's own knowledge are true, and that all statements made therein on information and belief are believed to be true, and all statements are made with the knowledge that " whoever willfully makes any false statements or representations shall be subject to the penalties set forth under 18 U.S.C. 1001.

Any required fee must be paid at the time of filing. REGISTERED eFILERS who authenticate can save "in-progress" submissions and return to edit them prior to completing the submission, but payment will be due upon filing of the completed submission. UNREGISTERED eFILERS do not have the option of saving "in-progress" submissions. After selecting the "Continue" button below, UNREGISTERED eFILERS must complete the submission and make any required payment.

Privacy Policy
Cancel

You must select the check box acknowledging that you have read the 37 CFR 11.18(b) statement in order to proceed with the submission. Next, to enter the data for the Third-Party Submission, click on the "Continue" button.

**Note:** Before proceeding, verify whether a submission would be timely under 37 CFR 1.290(b) and 37 CFR 1.7(a). Untimely submissions will not be entered and any required fees will not be refunded. Once you have elected the **“Continue”** button, Unregistered eFilers must complete the submission and make any required payment. Unregistered eFilers do not have the option of saving “In-progress” submissions. At any time before you Submit, you may click the **“Cancel”** button at the bottom of page to restart the submission. By canceling the submission, any data entered will be lost and cannot be retrieved.

## 3.2 Entering Data for a Third-Party Submission

On the **“Application Data”** screen, only the application number will be displayed. On this screen, enter the data for the items that are being submitted in the Third-Party Submission in the appropriate sections of the screen (e.g., U.S. Patents, U.S. Patent Application Publications, Foreign Patents and Published Foreign Patent Applications, and Non-Patent Publications). A minimum of 1 item and a maximum of 10 may be listed per electronic submission. If you need to list more than 10, please make a subsequent submission to add the additional items. A form PTO/SB/429 will be automatically generated based on the data entered on this screen. You will be able to review the auto-generated PTO/SB/429 later on the **“Review Documents”** screen.

**Note:** For each item entered, a Concise Description of Relevance must either be entered as text in the provided text box or uploaded as a separate document on the **“Attach Documents”** screen. Failure to include a Concise Description of Relevance for each item will result in a non-compliant submission. When entering a Concise Description of Relevance in the provided text box, up to 1000 characters may be entered, and a counter will reveal how many characters you have left. A Concise Description of Relevance that exceeds 1000 characters must be uploaded as a separate document on the **“Attach Documents”** screen. A concise description of relevance is not an invitation for the third party to participate in the prosecution of the application. The concise description must not include arguments against patentability or set forth conclusions regarding whether one or more claims are patentable, and must not include proposed rejections of the claims or arguments relating to an Office action or an applicant’s reply in the application.

### 3.2.1 U.S. Patents

In the **“U.S. Patents”** section, a valid 7 digit U.S. patent number must be entered in the Patent Number field. The patent number entered will be validated against the USPTO database and the First Named Inventor and Issue Date fields will be automatically filled in upon selecting the **“Add Another”** or **“Continue”** button. The Kind Code is an optional field. If known, enter the kind of U.S. patent by the appropriate symbols indicated on the document under WIPO Standard ST.16. See Section 4.2 for a listing of Kind Codes.

**EFS Registered**

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

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

**Third-Party Preissuance Submission under 37 CFR 1.290**

Application Number: 59000000  
 Filed By:

**Instructions:** Enter each item to be listed (U.S. patent, U.S. patent application publication, foreign patent, published foreign patent application, or non-patent publication) in the designated fields below. A form PTO/SB/429 will be automatically generated, which can be reviewed on the Review Document's screen by clicking on the "Third-party-preissuance-submission.pdf" document. A total of 10 items may be listed per electronic submission. Please make a subsequent submission to add additional items over 10.

**U.S. PATENTS**

Complete the fields below to enter a U.S. patent. Click the "Add Another" button to enter each additional U.S. patent.

\*Patent Number (EXAMPLE: 9,999,999, 9999999 or D999999)  
 1234567

Kind Code

\*Concise Description of Relevance (If not entered below, must be uploaded as a separate document on the Attach Documents screen)  
 Example of concise description...]

Add Another

You have 967 characters left.

To add additional U.S. patents, click the "Add Another" button. This button also appears in each of the other sections on this screen.

Example of concise description...]

Add Another

You have 967 characters left.

By clicking on the "Add Another" button, each previously entered U.S. patent will be listed at the top of the U.S. Patents section. You may remove an item by clicking on the respective "Remove" button.

**U.S. PATENTS**

Complete the fields below to enter a U.S. patent. Click the "Add Another" button to enter each additional U.S. patent.

Patent Number	Kind Code	Issue Date	First Named inventor	Concise Description of Relevance	
1234567		01/01/0001		Example...	Remove

\*Patent Number (EXAMPLE: 9,999,999, 9999999 or D999999)

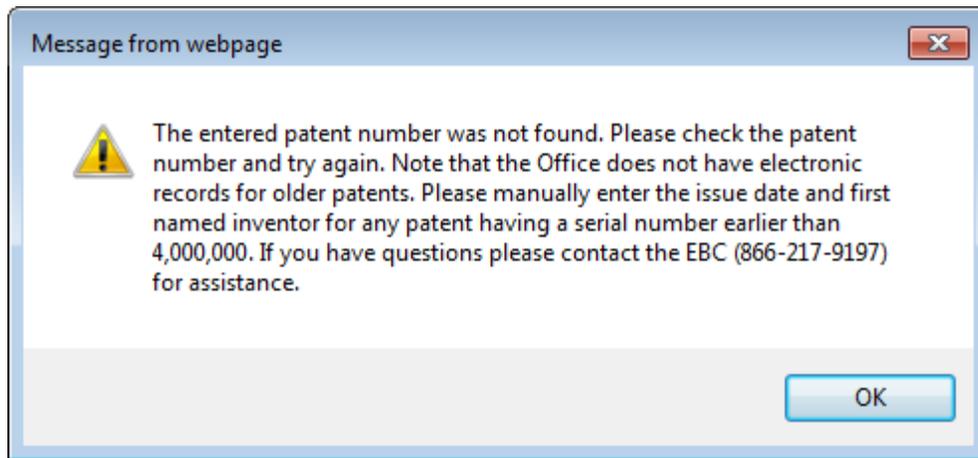
Kind Code

\*Concise Description of Relevance (If not entered below, must be uploaded as a separate document on the Attach Documents screen)

Add Another

You have 1000 characters left.

If a patent number is entered and the system is unable to validate the number against the USPTO database, a pop-up warning will appear on the screen. After clicking on the “OK” button, verify the entered patent number and try again.



**Note:** The Office does not keep electronic records for older patents having a serial number earlier than 4,000,000. Therefore, older patents cannot be verified against the USPTO database and the First Named Inventor and Issue Date fields cannot be automatically populated. Accordingly, when entering a patent number less than 4,000,000, manually complete the Issue Date and First Named Inventor fields after clicking the “OK” button on the pop-up warning.

**U.S. PATENTS**

Complete the fields below to enter a U.S. patent. Click the "Add Another" button to enter each additional U.S. patent.

<p><small>*Patent Number (EXAMPLE: 9,999,999, 9999999 or D999999)</small></p> <input style="width: 90%;" type="text" value="2123456"/>	<p><small>Kind Code</small></p> <input style="width: 80%;" type="text"/>
--	--

Complete the fields below for the entered U.S. patent.

<p><small>*Issue Date (MM/DD/YYYY)</small></p> <input style="width: 20%;" type="text" value="10"/> / <input style="width: 20%;" type="text" value="10"/> / <input style="width: 20%;" type="text" value="1960"/>	<p><small>*First Named Inventor</small></p> <input style="width: 90%;" type="text" value="John Doe"/>
--	---

\*Condse Description of Relevance  
(If not entered below, must be uploaded as a separate document on the Attach Documents screen)

You have  characters left.

The entered patent number was not found. Please check the patent number and try again. Note that the Office does not have electronic records for older patents. Please manually enter the issue date and first named inventor for any patent having a serial number earlier than 4,000,000. If you have questions please contact the EBC (866-217-9197) for assistance.

### 3.2.2 U.S. Patent Application Publications

In the “**U.S. Patent Application Publications**” section, an 11 digit publication number must be entered in the Publication Number field. The publication number will **not** be validated against the USPTO database. In addition to the Publication Number field, the Publication Date (MM/DD/YYYY) and the First Named Inventor (First Name, Last Name) fields are required to be completed. The Kind Code is an optional field. If known, enter the kind of U.S. patent application publication by the appropriate symbols indicated on the document under WIPO Standard ST.16. See [Section 4.2](#) for a listing of Kind Codes.

You may add additional U.S. patent application publications by clicking on the “**Add Another**” button. By clicking on the “**Add Another**” button, each previously entered U.S. patent application publication will be listed at the top of the “**U.S. Patent Application Publications**” section. To remove an entry, select the respective “**Remove**” button.

**U.S. PATENT APPLICATION PUBLICATIONS** 

Complete the fields below to enter a U.S. patent application publication. Click the "Add Another" button to enter each additional U.S. patent application publication.

<p>*Publication Number (EXAMPLE: YYYY999999)</p> <input style="width: 100%;" type="text" value="20001234567"/>	<p>Kind Code</p> <input style="width: 100%;" type="text"/>
<p>*Publication Date (MM/DD/YYYY)</p> <input style="width: 100%;" type="text" value="01 / 01 / 2000"/>	<p>*First Named Inventor</p> <input style="width: 100%;" type="text" value="John Smith"/>

\*Concise Description of Relevance  
(If not entered below, must be uploaded as a separate document on the Attach Documents screen)

  |

You have  characters left. 

### 3.2.3 Foreign Patents and Published Foreign Patent Applications

In the “**Foreign Patents and Published Foreign Patent Applications**” section, enter an appropriate document number in the Number field. This document number will **not** be validated against the USPTO database. In addition to the Number field, the Country Code, Publication Date (MM/DD/YYYY) and the Applicant, Patentee, or First Named Inventor (First Name, Last Name) fields are required to be completed. In the Country Code field, enter the country or patent office that issued the document by two-letter country code under WIPO Standard ST.3. See [Section 4.1](#) for a listing of Country Codes. For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. The Kind Code is an optional field. If known, enter the kind of document by the appropriate symbols indicated on the document under WIPO Standard ST.16. See [Section 4.2](#) for a listing of Kind Codes.

An English language translation must be attached for any non-English language foreign patent or published foreign patent application publication. Translations need not be certified and a reliable

machine translation may be submitted. You may indicate a translation document will be attached by selecting the **“Translation Attached”** check box. If you select this check box, you must upload the translation document on the **“Attach Documents”** screen.

You may add additional items by clicking on the **“Add Another”** button. By clicking on the **“Add Another”** button, each previously entered foreign patent or published foreign patent application will be listed at the top of the **“Foreign Patents and Published Foreign Patent Applications”** section. To remove an entry, select the respective **“Remove”** button.

You must upload a copy of the each foreign patent or published foreign patent application listed in this section on the **“Attach Documents”** screen.

**FOREIGN PATENTS AND PUBLISHED FOREIGN PATENT APPLICATIONS** 

Complete the fields below to enter a foreign patent or published foreign patent application. Click the "Add Another" button to enter each additional foreign patent or published foreign patent application. Upload a copy of the foreign patent or published foreign patent application and any English language translation, as required, on the "Attach Documents" screen.

<p><b>*Number</b> <input style="width: 100%;" type="text" value="1234567"/></p> <p><b>Kind Code</b> <input style="width: 100%;" type="text"/></p> <p><b>*Applicant, Patentee or First Named Inventor</b> <input style="width: 100%;" type="text" value="Jane Smith"/></p> <p><b>*Concise Description of Relevance</b> (If not entered below, must be uploaded as a separate document on the Attach Documents screen) <input style="width: 100%;" type="text" value="Example of concise description"/></p> <p>You have <input style="width: 50px;" type="text" value="970"/> characters left. </p>	<p><b>*Country Code</b> <input style="width: 100%;" type="text" value="CN"/></p> <p><b>*Publication Date</b> (MM/DD/YYYY) <input style="width: 100%;" type="text" value="01 / 01 / 2001"/></p> <p><input type="checkbox"/> Translation Attached</p> <p style="text-align: center;"><input type="button" value="Add Another"/></p>
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### 3.2.4 Non-Patent Publications

In the **“Non-Patent Publications”** section, enter data for non-patent documents, such as journal articles, Office actions, communications from foreign patent offices, etc. that qualify as publications. The author (if any), title of the publication, page(s) being submitted, publication date (MM/DD/YYYY), publisher (where available), and place of publication (where available) must be entered. This data will **not** be validated against the USPTO database. For publications obtained from the Internet, the uniform resource locator (URL) of the Web page that is the source of the publication must be provided for the place of publication (e.g., “http://www.uspto.gov”). Additional information not specified above (e.g., journal title and volume/issue information for a journal article) may be provided. Where the actual publication date is not known, provide a date of retrieval or a time frame (e.g., a year, a month and year, a certain period of time) when the document was available as a publication, in addition to attaching evidence that establishes the document as a publication.

An English language translation must be attached for any non-English language publication. Translations need not be certified and a reliable machine translation may be submitted. You may indicate a

translation document will be attached by selecting the **“Translation Attached”** check box. If you select this checkbox, you must upload the translation document on the **“Attach Documents”** screen.

If no publication date is known, you must provide evidence of publication. Such evidence may be in the form of, for example, affidavits, declarations, a printout from a Web site, or any other appropriate format. You may indicate that evidence of publication will be attached by selecting the **“Evidence of Publication”** check box. By selecting this check box, you must attach the evidence of publication document(s) on the **“Attach Documents”** screen.

You may add additional items by clicking on the **“Add Another”** button. By clicking on the **“Add Another”** button, each previously entered non-patent document will be listed at the top of the **“Non-Patent Publications”** section. To remove the entry, select the respective **“Remove”** button.

You must upload a copy of each non-patent publication listed in this section on the **“Attach Documents”** screen.

**NON-PATENT PUBLICATIONS** 

Complete the fields below to enter a non-patent publication (e.g., journal article, Office action, foreign patent office communication, etc.). Click the "Add Another" button to enter each additional non-patent publication. Upload a copy of the non-patent publication and any English language translation and evidence of publication, as required, on the "Attach Documents" screen.

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\*Author (if any), title of the publication, page(s) being submitted, publication date, publisher (where available), and place of publication (where available)

Joe Author, title, 2 pages, 01/01/2001, US

Translation Attached  
 Evidence of Publication Attached

You have  characters left. 

\*Concise Description of Relevance  
(If not entered below, must be uploaded as a separate document on the Attach Documents screen)

Example of concise description

Add Another

You have  characters left. 

### 3.2.5 Request for Notification Regarding Third-Party Preissuance Submission

By completing the **“Request for Notification Regarding Third-Party Preissuance Submission”** section, you will be notified by e-mail if the submission is found to be compliant or non-compliant. This section is not required to be completed. To request electronic notification regarding your submission, you must select the check box and enter an e-mail address. The request for notification and the e-mail address provided will not be made of record in the application.

### REQUEST FOR NOTIFICATION REGARDING THIRD-PARTY PREISSUANCE SUBMISSION

Check the box and enter an e-mail address to request notification when the third-party submission is determined to be compliant or non-compliant. The request for notification and e-mail address will not be made of record in the application.

The undersigned requests notification via e-mail to the following address regarding whether the third-party submission is found to be compliant or non-compliant.

E-mail Address:

## 3.2.6 Statements

To facilitate compliance, the **“Statements”** section includes the statements required by 37 CFR 1.290(d)(5)(i) and (ii). The party making the submission must state that the party is not an individual who has a duty to disclose information with respect to the application (i.e., each individual associated with the filing and prosecution of the patent application) under 37 CFR 1.56. The party making the submission must also state that the submission complies with the requirements of 35 U.S.C. 122(e) and 37 CFR 1.290.

### Fee Radio Buttons:

Additionally, one of the fee radio buttons must be selected. The regular undiscounted fee for a Third-Party Submission is currently \$180 for every 10 documents listed or fraction thereof, as set forth in 37 CFR 1.290(f) and 37 CFR 1.17(p). If the third party qualifies as a small entity (e.g., a person, a small business, or a nonprofit organization), the fee is reduced by half. There is no fee required if the first submission by a third party in an application lists three or fewer items, and is accompanied by the statement set forth in 37 CFR 1.290(g).

First Fee Radio Button: Select the first fee radio button to indicate that the required fee is attached. If the first radio button, “The fee set forth in 37 CFR 1.290(f) has been submitted herewith” is selected, Unregistered eFilers will be required to electronically pay the required fee during the active session. See Section 3.2.11. Registered eFilers may save a submission as a “work-in-progress,” but must electronically pay the required fee upon filing the completed submission. See Section 3.3. Failure to pay the fee will result in a non-compliant submission.

Second Fee Radio Button: Select the second fee radio button if no fee is required because the submission lists three or fewer total items and, to the knowledge of the person electronically signing the statement after making reasonable inquiry, the submission is the first and only Third-Party Submission filed in the identified application by the party making the submission or by a party in privity with the party. See 37 CFR 1.290(g).

Third Fee Radio Button: The appropriate fee for the number of documents being submitted (e.g., \$180 for 1-10 documents) must accompany any resubmission made in response to a notification of non-compliance. However, to satisfy the fee requirement for a resubmission after a finding of non-compliance where the proper fee set forth in 37 CFR 1.290(f) accompanied the non-compliant submission, select the third fee radio button to request that the Office apply the previously-paid fee to the resubmission. Similarly, to satisfy the fee requirement for a resubmission after a finding of non-compliance where the non-compliant submission of three or fewer documents was accompanied by the fee exemption statement set forth in 37 CFR 1.290(g), select the third fee radio button to state that the

fee exemption applies to the resubmission. By selecting this statement, the party making this resubmission: (1) requests that the Office apply the previously paid fee set forth in 37 CFR 1.290(f), or (2) states that no fee is required to accompany this resubmission as the undersigned is again making the fee exemption statement set forth in 37 CFR 1.290(g). The corrections in the resubmission must be limited to addressing the non-compliance, and the resubmission must be another complete submission, as the Office will not accept amendments to the non-compliant submission. The determination of whether the fee requirement for a resubmission is satisfied will be made at the sole discretion of the Office. Note that the resubmission must be made before the statutory time period for filing a third-party submission has closed.

### **Signature:**

Third-Party Submissions are required to be signed. At the bottom of the **“Application Data”** screen, provide a valid S-signature, and complete the Name and Registration Number (if applicable) fields. *(Please refer to EFS Web Legal Framework, Section F. Signature Policy.)* The submitter of a Third-Party Submission will be identified but a real party in interest need not be identified. A real party in interest can remain anonymous by having someone else make the third-party submission for them, but the submitter cannot remain anonymous. The signature requirement of 37 CFR 1.4 for papers filed in a patent application, which require a person’s signature, apply to third-party submissions. Third-party submissions must be signed due to statements that are required to be made under 37 CFR 1.290(d)(5) and 37 CFR 1.290(g) (if applicable) by the party making the submission.

Click on the **“Save & Continue”** button to proceed to the next screen.

**STATEMENTS** i

The party making the submission is not an individual who has a duty to disclose information with respect to the above-identified application under 37 CFR 1.56. This submission complies with the requirements of 35 U.S.C. 122(e) and 37 CFR 1.290.

The fee set forth in 37 CFR 1.290(f) has been submitted herewith.

The fee set forth in 37 CFR 1.290(f) is not required because this submission lists three or fewer total items and, to the knowledge of the person signing the statement after making reasonable inquiry, this submission is the first and only submission under 35 U.S.C.122(e) filed in the above-identified application by the party making the submission or by a party in privity with the party. See 37 CFR 1.290(g).

No fee is required because this submission is a resubmission after a finding of non-compliance, and the proper fee set forth in 37 CFR 1.290(f) was submitted with the non-compliant submission or was not required to be submitted because the non-compliant submission was accompanied by the statement set forth in 37 CFR 1.290(g).

\*Signature  (EXAMPLE:/John Smith/)

\*Name

Registration Number, if applicable

[Privacy Policy](#)

### **3.2.7 Attach Documents**

Once you have provided all of the necessary information on the **“Application Data”** screen, up to three PDF documents will be auto-generated: (1) a concise description of relevance document (**“Concise-description-generated.pdf”**) that includes each concise description of relevance entered (or indicates **“See Attached”**), (2) a form PTO/SB/429 document listing (**“Third-party-preissuance-submission.pdf”**) that identifies each document entered, and (3) if applicable, a request for notification regarding third-party submission (**“Third-party-notification-request.pdf”**).

You may click on the respective PDF hyperlink to preview these documents. If you need to make any corrections, go back to the “**Application Data**” screen by clicking on the “**Application Data**” tab at the top of the screen. After making any corrections, you must click on the “**Save & Continue**” button located at the bottom of the “**Application Data**” screen in order to apply any changes.

**Attach Documents**

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

Application Number: 59000000

Filed By: \_\_\_\_\_

**REMINDER:** For each item entered on the "Application Data" screen, a Concise Description of Relevance must either be entered as text in the provided text box or uploaded as a separate document below. Also, copies of any Foreign Patent, Published Foreign Patent Application, and/or Non-Patent Publication entered on the "Application Data" screen, as well as any corresponding English-language Translation and Evidence of Publication documents, must be uploaded below. **Failure to upload the required documents will result in a non-compliant submission.** Refer to the "Quick Start Guide for Third-Party Preissuance Submissions under 37 CFR 1.290" for detailed instructions.

Files to be Submitted	Multi-Doc	Category	Document Description
<a href="#">Concise-description-generated.pdf</a>	NO	EProcessing	Concise Description of Relevance
<a href="#">Third-party-preissuance-submission.pdf</a>	NO	EProcessing	THIRD-PARTY SUBMISSION UNDER 37 CFR 1.290

1 H:\Testing\PDFs\Test\_Document\_1 Browse... View All Categories [v] [v] Delete

Does your PDF file contain multiple documents?  Yes  No

Add File

Users are advised not to submit **credit card** payment form **PTO-2038** via EFS-Web. Submission of the credit card payment form via EFS-Web may result in the form being included among the patent or trademark records open for public inspection. Users choosing to pay with a credit card should instead utilize the on-line payment method available through EFS-Web.

Privacy Policy Cancel Upload & Validate Review

Please Upload & Validate before Review

On the “**Attach Documents**” screen, note the reminder above the “Files to be Submitted” section. For each item entered on the “**Application Data**” screen, a Concise Description of Relevance must either be entered as text in the provided text box or uploaded as a separate document on this screen. Also, copies of any Foreign Patent, Published Foreign Patent Application, and/or Non-Patent Publication entered on the “**Application Data**” screen, as well as any corresponding English-language Translation and Evidence of Publication documents, must be uploaded on this screen. **Failure to upload the required documents will result in a non-compliant submission.** See 37 CFR 1.290(d).

### How to Upload Documents:

**Step 1:** Click on the “**Browse**” button to search your computer for the document to be uploaded. Note: it would be beneficial to use a file name representative of the document being uploaded (e.g., “Jones.pdf” for a copy of a document authored by Jones, “Jones\_translation.pdf” for an English language translation of the Jones document, etc.).

**Step 2:** Once the document is uploaded, you will need to index it correctly. For the “**Category**” drop down menu select “**EProcessing**” and on the “**Document Description**” drop down menu select the correct document description for the document being filed. The following document descriptions are available:

- Concise Description of Relevance (if not previously entered in the Concise Description of Relevance field)
- Evidence of Publication
- Foreign Reference (for copies of Foreign Patents and Published Foreign Patent Applications)
- Non Patent Literature (for copies of Non-Patent Publications)
- Translation of Foreign Patent Document
- Translation of Non-Patent Publication

Once the appropriate selections have been made, click on the **“Upload & Validate”** button. You will need to repeat Steps 1 and 2 for each document to be uploaded. Click on the **“Review”** button after all documents have been uploaded.

If you do not have any required documents to upload, click on the **“Review”** button.

### 3.2.8 Review Documents

On the **“Review Documents”** screen, confirm that all of the necessary documents uploaded properly. If you receive any validation errors you will not be able to proceed to the next screen until the errors are fixed. However, you will be able to proceed to the next screen if you receive any validation warnings.

Once you have uploaded all of the necessary documents for your submission and received no validation errors, click on the **“Continue”** button to advance to the next screen.

If your document could not be validated, an error message will appear informing you of the reason for the validation failure. Attaching a document that is not a PDF or TXT will cause a failure to validate, as will not choosing a document description. For more information, please review the EFS-Web Quick Start guide located at <http://www.uspto.gov/patents/process/file/efs/guidance/EFSS-WebQuickStartGuide.pdf>.

### 3.2.9 Calculate Fees

On the “**Calculate Fees**” screen, the fee for the submission will appear in the “**Total Fees Due**” box. If you selected the radio button that fees are due for the submission on the “**Application Data**” screen, the “**Total Fees Due**” box will be populated with the fee set forth in 37 CFR 1.290. By selecting “**Regular Undiscounted**,” the regular undiscounted fee is populated in the “**Total Fees Due**” box below.

The screenshot shows the 'Calculate Fees' screen in the EFS Registered interface. The 'Fees Displayed' section is set to 'Regular Undiscounted'. Under 'Miscellaneous Patent Fees', a 'Third-Party Preissuance Submission under 37 CFR 1.290' is listed with a fee of 1818 \$180. The 'Total Fees Due' is \$180. The 'Entity Status for Fee Purposes' is set to 'Regular Undiscounted'.

By selecting “**Small Entity**,” the small entity fee is populated in the “**Total Fees Due**” box. By selecting “**Small Entity**” and paying the applicable small entity fee, the party making the submission asserts that the party qualifies as a small entity. If the third party qualifies as a small entity (e.g., a person, a small business, or a nonprofit organization), the fee is reduced by half as shown below. Note: A third party is not eligible for the micro entity discount.

The screenshot shows the 'Calculate Fees' screen in the EFS Registered interface. The 'Fees Displayed' section is set to 'Small Entity'. Under 'Miscellaneous Patent Fees', a 'Third-Party Preissuance Submission under 37 CFR 1.290' is listed with a fee of 2818 \$90. The 'Total Fees Due' is \$90. The 'Entity Status for Fee Purposes' is set to 'Small Entity'.

Also, note that if you selected either of the second or third fee radio buttons in the “**Statements**” section of the “**Application Data**” screen, the “**Total Fees Due**” box will indicate no fee is due. See Section 3.2.6. Click on the “**Continue**” button to proceed to the next screen.

### 3.2.10 Confirm and Submit

On the “**Confirm & Submit**” screen, you will be presented with a review of the content of the active Third-Party Submission request. This will include all of the items entered on the “**Application Data**” screen, the fee indicated on the “**Calculate Fees**” screen, as well as any additional documents uploaded on the “**Attach Documents**” screen.

If payment is required, click on the “**File & Pay Third Party Submission**” button.

If no payment is required, click on “**File Third Party Submission**” button.

**EF5 Unregistered**

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

**Confirm & Submit**

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

**Third-Party Preissuance Submission under 37 CFR 1.290**

Application Number: 59000000  
Filed By: Inventor Joe

**Electronic Request**

If the following information is incorrect, please [click here to edit the Third-Party Preissuance Submission.](#)

U.S.PATENTS						
Patent Number	Kind Code	Issue Date	First Named Inventor	Concise Description of Relevance		
6001001		12/14/1999	MOHAMMAD ISLAMRAJA	Test		
7001001		02/21/2006	James Spencer	Test		
8001001		08/16/2011	Colin Brady	Test		

U.S. PATENT APPLICATION PUBLICATIONS				
Publication Number	Kind Code	Publication Date	First Named Inventor	Concise Description of Relevance

FOREIGN PATENTS AND PUBLISHED FOREIGN PATENT APPLICATIONS						
Number	Country Code	Kind Code	Publication Date	Applicant, Patentee or First Named Inventor	Translation Attached	Concise Description of Relevance

NON-PATENT PUBLICATIONS			
Author (if any), title of the publication, page(s) being submitted, publication date, publisher (where available), and place of publication (where available)	Translation Attached	Evidence of Publication Attached	Concise Description of Relevance

**REQUEST FOR NOTIFICATION REGARDING THIRD-PARTY PREISSUANCE SUBMISSION**

Check the box and enter an e-mail address to request notification when the third-party submission is determined to be compliant or non-compliant. The request for notification and e-mail address will not be made of record in the application.

The undersigned requests notification via e-mail to the following address regarding whether the third-party submission is found to be compliant or non-compliant.

E-mail Address:

**This is the fee data associated with your submission.**

Total Fees Due: \$ 0

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

Sequence	Files to be Submitted	Page Count	Document Description	File Size	Validation Status Message
1	<a href="#">Concise-description-generated.pdf</a> No validation errors found.	3	Concise Description of Relevance	29824 byte	PASS
2	<a href="#">Third-party-preissuance-submission.pdf</a> No validation errors found.	3	THIRD-PARTY SUBMISSION UNDER 37 CFR 1.290	45079 byte	PASS
3	<a href="#">Third-party-notification-request.pdf</a> No validation errors found.	1	Request for Notification of Non-compliant Third-Party Submission	19650 byte	PASS

**STATEMENTS**

The party making the submission is not an individual who has a duty to disclose information with respect to the above-identified application under 37 CFR 1.56.

This submission complies with the requirements of 35 U.S.C. 122(e) and 37 CFR 1.290.

The fee set forth in 37 CFR 1.290(f) has been submitted herewith.

The fee set forth in 37 CFR 1.290(f) is not required because this submission lists three or fewer total items and, to the knowledge of the person signing the statement after making reasonable inquiry, this submission is the first and only submission under 35 U.S.C.122(e) filed in the above-identified application by the party making the submission or by a party in privity with the party. See 37 CFR 1.290(g).

No fee is required because this submission is a resubmission after a finding of non-compliance, and the proper fee set forth in 37 CFR 1.290(f) was submitted with the non-compliant submission or was not required to be submitted because the non-compliant submission was accompanied by the statement set forth in 37 CFR 1.290(g).

\*Signature:   
\*Name:   
Registration Number, if applicable:

If you need help:

- To ask questions about Patent e-Filing, or to suggest improvements to the online system, or report technical problems, please call the Patent Electronic Business Center at (866) 217-9197 (toll free) or send email to [EBC@uspto.gov](mailto:EBC@uspto.gov).
- Send general questions about USPTO programs to the [USPTO Contact Center \(UCC\)](#).
- For general questions regarding a petition, or requirements for filing a petition, contact the Office of Petitions Help Desk at 1 800-786-9199.

 <ul style="list-style-type: none"> <li>Accessibility</li> <li>Privacy Policy</li> <li>Terms of Use</li> <li>Security</li> <li>Emergencies/Security Alerts</li> <li>Information Quality Guidelines</li> </ul>	<ul style="list-style-type: none"> <li>Federal Activities Inventory Reform (FAIR) Act</li> <li>Notification and Federal Employee Antidiscrimination and Retaliation (NoFEAR) Act</li> <li>Budget &amp; Performance</li> <li>Freedom of Information Act (FOIA)</li> </ul>	<ul style="list-style-type: none"> <li>Department of Commerce NoFEAR Act Report</li> <li>Regulations.gov</li> <li>STOP!Fakes.gov</li> <li>Department of Commerce</li> <li>USA.gov</li> </ul>	<ul style="list-style-type: none"> <li>Strategy Targeting Organized Piracy (STOP!)</li> <li>Careers</li> <li>Site Index</li> <li>Contact Us</li> <li>USPTO Webmaster</li> </ul>
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### 3.2.11 Pay Fees

On the “Pay Fees” screen, you have the option of paying via “Charge USPTO Deposit Account,” “Charge Credit Card,” or “Electronic Funds Transfer.” Select the radio button that coincides with your method of payment. The “Fee Amount,” “Fee Total” and “Total Payment” will be listed on the screen.

To make a payment, click the “Start online payment process” button located at the bottom of the screen.

**Note:** You will not be able to view the “Pay Fees Screen” if no fee is due. Instead you will be forwarded to the “Receipt” screen.

EFS Unregistered

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

**Review fees and select payment method**

review fees | make payment | fee receipt

Your Acknowledgement Receipt (evidence of this submission) will be provided upon completion of this payment transaction.

**This is the application for which you are paying fees.**

EFS ID: 1298085  
Application Number: 59000000  
Filed By: Joe Inventor

**The following fees will be collected for this application.**

Fee Description	Fee Code	Quantity	Fee Amount	Fee Total
Document fee for third-party submissions	1818	1	180	180

Total Payment \$ 180

**Select method of payment**

The U.S. Patent and Trademark Office supports Secure Sockets Layer (SSL) for the security of all transactions. Read more... [about the security of your transaction.](#)

Charge USPTO Deposit Account  
 Charge Credit Card  
 Electronic Funds Transfer

Start online payment process

### 3.2.12 Acknowledgement Receipt

Once you have provided all of the necessary payment information and your payment is processed successfully, you will receive your Acknowledgement Receipt on the “Receipt” screen. You may print or save the receipt. Registered eFilers will also have the option of viewing the Acknowledgement Receipt under “My Workplace” on EFS-Web. The Acknowledgement Receipt displays the details of the submission, such as the file names of the uploaded documents, time stamp, and total amount paid.

**EFS Unregistered**

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

**Acknowledgement Receipt**

The USPTO has received your submission at **14:13:47 EST** on **14-MAR-2013**.

\$ 90 fee paid by e-Filer with *RAM* Confirmation Number: 4.

**eFiled Application Information**

Application Number		You may take the following actions:
Filed By	commander cleo	<a href="#">E-mail Receipt Info</a>
EFS ID	4422969	<a href="#">Print Receipt</a>
		<a href="#">Save Receipt</a>
		<a href="#">File Another Application</a>
		<a href="#">File an Assignment of Ownership</a>
		<a href="#">Pay Maintenance Fees</a>
		<a href="#">Access Private PAIR</a>

**Application Details**

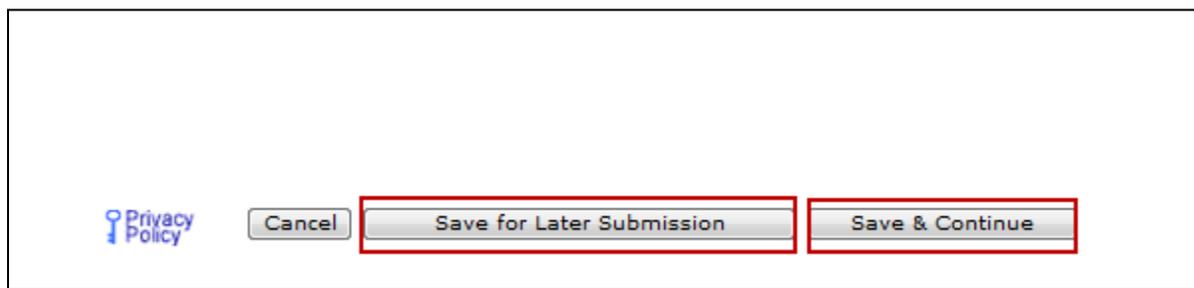
Submitted Files	Page Count	Document Description	File Size	Warnings
Concise-description-generated.pdf	2	Concise Description of Relevance	28755 bytes	PASS
Third-party-preissuance-submission.pdf	2	THIRD-PARTY SUBMISSION UNDER 37 CFR 1.290	42955 bytes	PASS
Third-party-notification-request.pdf	1	Request for Notification of Non-compliant Third-Party Submission	19579 bytes	PASS
fee-info.pdf	2	Fee Worksheet (PTO-06)	28581 bytes	PASS

The acknowledgement receipt may be printed or saved to the applicant's computer.

If you have any questions or concerns regarding filing in EFS-Web, please contact the Patent EBC Monday - Friday, from 6:00 a.m. to 12 Midnight Eastern Time, by email [ebc@uspto.gov](mailto:ebc@uspto.gov) or telephone 866-217-9197.

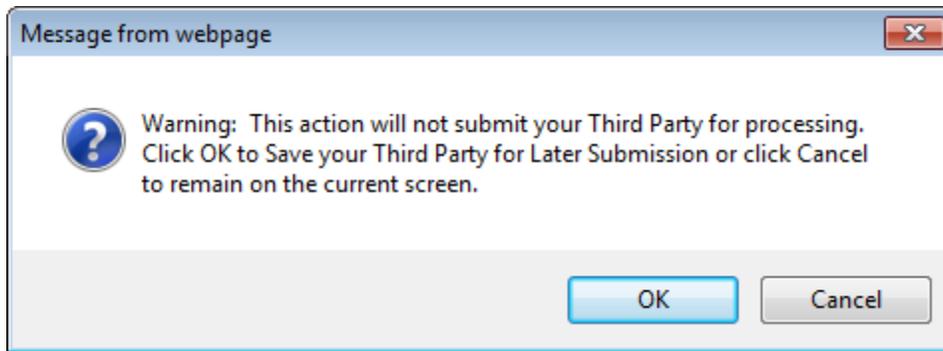
### 3.3 Save Submission Feature for Registered eFilers

When preparing a Third-Party Preissuance submission, you have the option of saving the submission for later if you are a Registered eFiler. You must complete all of the required fields on the **“Application Data”** tab in order to save the submission. At the bottom of the screen the options **“Save for Later Submission”** and **“Save & Continue”** are available.



If you click on **“Save & Continue”** the submission will be saved on the EFS-Web server. You are then allowed to advance to the next screen towards finalizing the submission.

If you click on **“Save for Later Submission”** the following pop-up warning will appear.



After clicking on the “OK” button, the next screen will display the saved application for later submission. There is a notification statement that explains that the submission has not been filed officially at the USPTO until the Submit function is executed. A statement at the bottom of the screen details that the submission will be saved for up to 7 days.

EFS Registered

Registered eFilers  Please Read Announcements

### Certification

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

**Advisory (19OCT2011):** Java 6 Update 29 and Java 7 are currently **not compatible and not supported** in EFS-Web and Private PAIR.

**Advisory (17OCT2011):** Due to system maintenance, EFS-Web and EFS-Web Contingency will be unavailable starting at **12:01 a.m. and ending 4 a.m. ET Saturday, October 22.**

**Advisory (03OCT2011):** Effective on Monday, Sept. 26, applicants may file a Track I application via EFS-Web.  
[See Quick Start Guide, Form, Federal Register notice](#)  
[See FAQs](#)

**IMPORTANT:** Please read the [Legal Framework for using EFS-Web](#). For information on the Paperwork Reduction Act, please see the [OMB Clearance and PRA Burden Statement page](#).

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

I certify that I am the certificate holder **Joe Inventor**

I certify that I am working under the authority of the certificate holder: **Joe Inventor**

\*Main Functions

New application  
*(This includes new filings of continuation, divisional, and continuation-in-part applications. A request for continued examination (RCE) and continued prosecution application (CPA) are considered existing documents and must be filed as a registered eFiler.)*

Existing application/patent

My Workplace

Select a My Workplace Function

[Saved Submission Package](#)

[View last 40 eFiling Acknowledgement Receipts](#)

My Saved Packages **Joe Inventor**

Saved Packages by Customer Number

### Saved Packages

(saved within the last 7 calendar days, but not submitted to the USPTO):

Select	Date	EFS-ID	Title of Invention	Docket Number	First Named Inventor / Applicant Name	Registered Practitioner/ eFiler	
<input checked="" type="checkbox"/>	18-OCT-2011	99999999	My Important Invention	99-999999	Joe Inventor	Joe Inventor/	<input type="button" value="Delete"/>

[Privacy Policy](#)

In order to later retrieve your saved submission package, you must log in to EFS-Web as a Registered eFiler. On the EFS-Web page you must select **“My Workplace”**, and then click on the **“Saved Submission Package”** link. Next, select **“My Saved Packages”** and click on the drop down menu to select an eFiler and click on the **“Retrieve”** button. This will retrieve your saved submission packages. Fill in the radio button under **“Select”** in order to choose the particular saved submission package and click the **“Continue”** button.

If you have any questions or concerns regarding filing in EFS-Web, please contact the Patent EBC Monday - Friday, from 6:00 a.m. to 12 Midnight Eastern Time, by email [ebc@uspto.gov](mailto:ebc@uspto.gov) or telephone 866-217-9197.

## 4. Reference Materials

### 4.1 WIPO ST.3 Country Codes

LIST OF STATES, OTHER ENTITIES AND INTERGOVERNMENTAL ORGANIZATIONS, IN ALPHABETIC SEQUENCE OF THEIR SHORT NAMES, AND THEIR CORRESPONDING CODES (as of March 22, 2007)

AFGHANISTAN	AF
AFRICAN INTELLECTUAL PROPERTY ORGANIZATION (OAPI) <sup>(1)</sup>	OA
AFRICAN REGIONAL INTELLECTUAL PROPERTY ORGANIZATION (ARIPO) <sup>(1)</sup>	AP
ALBANIA	AL
ALGERIA	DZ
ANDORRA	AD
ANGOLA	AO
ANGUILLA	AI
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
BENELUX OFFICE FOR INTELLECTUAL PROPERTY (BOIP) <sup>(2)</sup>	BX
BENIN	BJ
BERMUDA	BM
BHUTAN	BT
BOLIVIA	BO
BOSNIA AND HERZEGOVINA	BA
BOTSWANA	BW
BOUVET ISLAND	BV
BRAZIL	BR
BRUNEI DARUSSALAM	BN
BULGARIA	BG
BURKINA FASO	BF
BURUNDI	BI
CAMBODIA	KH
CAMEROON	CM
CANADA	CA
CAPE VERDE ...	CV
CAYMAN ISLANDS	KY
CENTRAL AFRICAN REPUBLIC	CF
CHAD	TD
CHILE	CL
CHINA	CN
COMMUNITY PLANT VARIETY OFFICE (EUROPEAN COMMUNITY) (CPVO)	QZ
COLOMBIA	CO
COMOROS	KM

CONGO (see Congo, below; Democratic Republic of the Congo)	
CONGO	CG
COOK ISLANDS.	CK
COSTA RICA	CR
CÔTE D'IVOIRE	CI
CROATIA	HR
CUBA	CU
CYPRUS	CY
CZECH REPUBLIC	CZ
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	KP
DEMOCRATIC REPUBLIC OF THE CONGO	CD
DENMARK	DK
DJIBOUTI	DJ
DOMINICA ...	DM
DOMINICAN REPUBLIC	DO
ECUADOR	EC
EGYPT	EG
EL SALVADOR	SV
EQUATORIAL GUINEA	GQ
ERITREA	ER
ESTONIA	EE
ETHIOPIA	ET
EURASIAN PATENT ORGANIZATION (EAPO) <sup>(1)</sup>	EA
EUROPEAN COMMUNITY TRADE MARK OFFICE (See Office for Harmonization in the Internal Market)	
EUROPEAN PATENT OFFICE (EPO) <sup>(1)</sup>	EP
FALKLAND ISLANDS (MALVINAS)	FK
FAROE ISLANDS	FO
FIJI	FJ
FINLAND	FI
FRANCE	FR
GABON	GA
GAMBIA	GM
GEORGIA	GE
GERMANY <sup>(3)</sup>	DE
GHANA	GH
GIBRALTAR	GI
GREECE	GR
GREENLAND ...	GL
GRENADA ...	GD
GUATEMALA ...	GT
GUERNSEY.	GG
GUINEA	GN
GUINEA-BISSAU	GW
GULF COOPERATION COUNCIL (see Patent Office of the Cooperation Council for the Arab States of the Gulf)	
GUYANA	GY
HAITI	HT

HOLY SEE ...	VA
HONDURAS	HN
HONG KONG (See The Hong Kong Special Administrative Region of the People's Republic of China)	
HUNGARY	HU
ICELAND	IS
INDIA	IN
INDONESIA	ID
INTERNATIONAL BUREAU OF THE WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) <sup>(4)</sup>	IB, WO
IRAN, ISLAMIC REPUBLIC OF	IR
IRAQ	IQ
IRELAND	IE
ISLE OF MAN	IM
ISRAEL	IL
ITALY	IT
JAMAICA	JM
JAPAN	JP
JERSEY	JE
JORDAN	JO
KAZAKHSTAN	KZ
KENYA	KE
KIRIBATI	KI
KOREA (see Democratic People's Republic of Korea; Republic of Korea)	
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
MACAO	MO
MACEDONIA (see The former Yugoslav Republic of Macedonia)	
MADAGASCAR	MG
MALAWI	MW
MALAYSIA ...	MY
MALDIVES ...	MV
MALI	ML
MALTA	MT
MAURITANIA	MR
MAURITIUS	MU
MEXICO	MX
MOLDOVA (see Republic of Moldova)	
MONACO	MC
MONGOLIA	MN
MONTENEGRO.	ME
MONTserrat	MS
MOROCCO	MA
MOZAMBIQUE	MZ
MYANMAR	MM
NAMIBIA	NA
NAURU	NR
NEPAL	NP
NETHERLANDS.	NL

NETHERLANDS ANTILLES	AN
NEW ZEALAND	NZ
NICARAGUA	NI
NIGER	NE
NIGERIA	NG
NORDIC PATENT INSTITUTE (NPI)	XN
NORTHERN MARIANA ISLANDS	MP
NORWAY	NO
OFFICE FOR HARMONIZATION IN THE INTERNAL MARKET (TRADE MARKS AND DESIGNS) (OHIM)	EM
OMAN	OM
PAKISTAN ...	PK
PALAU	PW
PANAMA	PA
PAPUA NEW GUINEA	PG
PARAGUAY	PY
PATENT OFFICE OF THE COOPERATION COUNCIL FOR THE ARAB STATES OF THE GULF (GCC)	GC
PERU	PE
PHILIPPINES ...	PH
POLAND	PL
PORTUGAL	PT
QATAR	QA
REPUBLIC OF KOREA	KR
REPUBLIC OF MOLDOVA	MD
ROMANIA	RO
RUSSIAN FEDERATION	RU
RWANDA	RW
SAINT HELENA	SH
SAINT KITTS AND NEVIS ...	KN
SAINT LUCIA ...	LC
SAINT VINCENT AND THE GRENADINES	VC
SAMOA	WS
SAN MARINO	SM
SAO TOME AND PRINCIPE	ST
SAUDI ARABIA	SA
SENEGAL	SN
SERBIA	RS
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
SUDAN	SD
SURINAME	SR
SWAZILAND	SZ
SWEDEN	SE
SWITZERLAND	CH
SYRIAN ARAB REPUBLIC	SY
TAIWAN, PROVINCE OF CHINA	TW
TAJIKISTAN	TJ
TANZANIA (see United Republic of Tanzania)	

THAILAND ...	TH
THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA	MK
THE HONG KONG SPECIAL ADMINISTRATIVE REGION OF THE PEOPLE'S REPUBLIC OF CHINA	HK
TIMOR-LESTE	TL
TOGO.	TG
TONGA	TO
TRINIDAD AND TOBAGO	TT
TUNISIA	TN
TURKEY	TR
TURKMENISTAN	TM
TURKS AND CAICOS ISLANDS	TC
TUVALU	TV
UGANDA	UG
UKRAINE	UA
UNITED ARAB EMIRATES	AE
UNITED KINGDOM	GB

UNITED REPUBLIC OF TANZANIA	TZ
UNITED STATES OF AMERICA	US
URUGUAY ...	UY
UZBEKISTAN ...	UZ
VANUATU ...	VU
VATICAN CITY STATE (See Holy See)	
VENEZUELA	VE
VIET NAM	VN
VIRGIN ISLANDS, BRITISH	VG
WESTERN SAHARA <sup>(5)</sup>	EH
WORLD INTELLECTUAL PROPERTY ORGANIZATION (WIPO) (INTERNATIONAL BUREAU OF) <sup>(4)</sup>	WO, IB
YEMEN	YE
ZAMBIA	ZM
ZIMBABWE	ZW

- (1) Intergovernmental organizations (regional patent offices) acting for certain Contracting States under the PCT (Patent Cooperation Treaty). In case of the European Patent Office, it also acts as International Searching Authority and International Preliminary Examining Authority under the PCT.
- (2) The Benelux Office for Intellectual Property (BOIP) (former Benelux Trademark and Designs Offices) have replaced the national Offices of Belgium, Luxembourg and the Netherlands with regard to actions relating to marks and industrial designs.
- (3) In the electronic database of the International Register of Marks, the International Bureau of WIPO uses the following additional codes, not part of the active codes of Standard ST.3: "DD" to designate Germany without the territory that, prior to October 3, 1990, constituted the Federal Republic of Germany; "DT" to designate Germany without the territory that, prior to October 3, 1990, constituted the German Democratic Republic.
- (4) The code "WO" is used in relation to the international publication under the Patent Cooperation Treaty (PCT) of international applications filed with any PCT receiving Office, as well as in the publication of international deposits of industrial designs under the Hague Agreement Concerning the International Deposit of Industrial Designs. In this regard, reference is made to INID code (33) given in WIPO Standards [ST.9](#) and [ST.80](#). The code "WO" is also the appropriate code to be used with respect to international registrations of marks under the Madrid Agreement and the Madrid Protocol Concerning the International Registration of Marks. The code "IB" is used in relation to the receipt of international applications under the PCT filed with the International Bureau of WIPO in its capacity as a PCT receiving Office.
- (5) Provisional name.
- (6) Code BF adopted in 1984.
- (7) Code CD adopted in 1997.
- (8) Code MM adopted in 1989.
- (9) Code TL adopted on May 20, 2002.
- (10) Code SY used before 1.1.1978.
- (11) Code DL used before 1.1.1978.
- (12) Subsequent to the country name change of "Yugoslavia" to "Serbia and Montenegro", that took effect on February 4, 2003, and to the decision by the ISO 3166/MA to use the new country name and new two-letter code "CS" (to replace "YU"), which was announced on July 23, 2003, the SCIT Standards and Documentation Working Group agreed, at its fifth session, in November 11, 2004, to recommend that the two-letter code "YU" continue to be used for "Serbia and Montenegro" in the industrial property field because code "CS" raised certain problems due to its former use to represent "Czechoslovakia" until 1993.

## 4.2 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